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Analysis of the "Publicity" of Network Community of Science Communication - Case Studies of Guokr.com and Songshuhui-Association of Science Communicators

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Abstract

Considering public sphere as the research perspective, this paper conducts a study on public sphere of science communication that is set up by scientific social contact media which are represented by Guokr.com and Songshuhui-Association of Science Communicators. Then, the paper makes deep discussion on the "publicity" of network communy of science communication and the crisis it may encounter (namely, exclusiveness and identity landscape of elite communities).

Keywords: public sphere, public sphere of science communication, Guokr.com, Songshuhui-Association of Science Communicators, network community, publicity, communities

1. Proposal of Research Questions

With advent of scientific revolution once again worldwide, network virtual community which has arisen over the past few years has offered brand-new approaches to scientific communication for network users by virtue of its powerful internet interactive platform. In network virtual community, opinion leaders of network community of science communication are qualified to set up topics of discussion for scientific community and spread scientific knowledge and information to common users of the community. Community members are also entitled to build and share scientific knowledge information, pictures and videos and express their opinions and viewpoints with freedom. They gather together based on common interest and form a social and civic community which takes interest in science and technology affairs. An individual of the community no longer passively and totally accepts all scientific knowledge information of content producers. Instead, he absorbs information in a reflective and critical way. In the public sphere of science communication, an individual of the community is entitled to make independent self-decision on the scientific and technical affairs which he shows interest in and in which he actively takes part. In this way, his subject consciousness gets released to the largest extent. How does the network virtual public space established by scientific social contact media reflect "publicity" of the community? At present, which crises are encountered by "publicity" of network community of science communication? This paper takes Guokr.com and Songshuhui-Association of Science Communicators as a case study and makes profound analysis of the above issues based on the research perspective of public sphere.

2. Study on Relevant Theories in Public Sphere

The concept of public sphere was firstly put forward by the German American Hannah Arendt and the German scholar Jürgen Habermas. In 1958, Hannah Arendt, for the first time, put forward the concept of public sphere. In her book "The Human Condition", she mentioned, "the word 'public' means two phenomena that are closely connected but are not totally identical. Any phenomenon that is displayed to the public sphere has to be seen and heard by each person and has the maximum publicity." (Note 1) In 1961, Habermas conducted a profound research on evolution and transition of public sphere. According to his theory, public sphere and life world are two closely connected concepts. He pointed out in his theoretical works "Structural Transformation of the Public Sphere", "if a communication action does not take its root in a backdrop of life world which offers large-scale background consensus, such a risk will lead to the result that language use inclined to mutual understanding does not fulfill social integration. At the very beginning, a communication action is set in a shared atmosphere that has no doubt. In the meantime, it obtains nutrient from those resources which it has got familiar with quite earlier."

(Note 2) In this sense, he believes that life world is a source for all elements in the public sphere and constitutes understanding of the public in daily living practice in the public sphere and a context in which the public reach a consensus based on their understanding. The following three factors are required to constitute a public sphere. Firstly, it is the public who have critical consciousness and have independent personality and critical spirit and who are able to participate in any discussion on a rational basis regarding problems of public interest. Secondly, it is the media that can communicate freely and fully. Finally, it is to form public opinions. In a public sphere, the public may make discussion with freedom and communicate fully concerning public topics and public affairs and reach a consensus on a rational and critical basis, which will form public opinions.

3. Science Communication from the Perspective of Public Sphere: Construction of Public Sphere with Science Communication

The word "science communication" was, at the earliest, used by the British scholar J.D Bernal in his book "The Social Function of Science". It has undergone communication at three phases, which are respectively central broadcasting model, deficit model and dialog model (also termed as democracy model). These three types of science communication models correspond to the traditional period of popularization of science, the traditional period of public understanding of science and the traditional period of "reflective" science communication. (Note 3) After network communication springs up, especially when social contact media become an important usage by network users, due to interactivity and openness of the media per se, quite a large quantity of researches hold the view that science communication in China has entered the period of "reflective" science communication. (Note 4) The "reflective" science communication is characterized by diversification of science communication subject and object, focus on its attitude towards the public, the right to speak of the public and participation in science and technology affairs by the public. The theory of "the fourth subject" further poses that the dialog model lays more stress on expression of "household interest". (Note 5) Therefore, discussion on establishment of the "reflective" science communication model and construction of the public sphere of science communication may not avoid the following several issues: whether the public participation in science and technology affairs is realized to a maximum extent, whether the subject consciousness of a network individual is given full play, tolerance and acceptance of different opinions in the public sphere of science communication by the public, the awakening capacity of an individual's subject consciousness, his public spirit and his rationally critical spirit as well as whether self-construction and self-correction capacity of the knowledge information is adequately fulfilled. Then, in the process of constructing the public sphere of science communication, how to realize equal "dialogue" and "mutual communication" of knowledge between opinion leaders and community individuals in the network community of science communication; how the subject consciousness centered by "reflectiveness" and critical spirit "germinates" in the virtual public space. This paper will make an analysis and conduct research on all the issues by taking such scientific and social contact network as Guokr.com and Songshuhui-Association of Science Communicators as examples to reflect dialectically on these issues.

4. An Analysis of the "Publicity" of Network Community of Science Communication – A Case Study of Guokr.com and Songshuhui-Association of Science Communicators

4.1 Equal "Dialogue" and "Mutual Communication" of Information Exist between Opinion Leaders and Community Individuals

In the process of constructing the public sphere of science communication, analysis of "publicity" of the network community should, first of all, focus on mutual communication of knowledge information between opinion leaders and common individuals. That is to realize publicity of the network space in the process of equal "dialogue". In his Hermeneutics theory, the German Philosopher Hans-Georg Gadamer points out, "understanding is made possible in dialogue", which means that "without dialogue, there won't be any possibility to reach a consensus". Habermas puts forward the "communicative rationality". He points out, communicative rationality is two-dimensional which involves the dialogical relationship between different speakers. The traditional concept of rationality is manifested through our paradigm of knowledge in an object, whereas communicative rationality is expressed by the paradigm that the subjects are mutually understood. These subjects are able to speak and behave and live in understanding of a world of non self-centration. It is rationality of a life world and concentrates on inter-subjectivity with reliable propositions. People under different contexts, through social contact, achieve mutual respect and avoid misunderstanding and misinterpretation so as to fulfill "sympathetic understanding" and certain kind of real "consensus". The well-known French sociologist Pierre Bourdieu poses, "when people compete in their own field domain, they are not attempting to overwhelm each other, but are, instead, taking into consideration mutual understanding and innovation." As a network medium, Songshuhui-Association of Science Communicators follows the idea of "diversity, equality, openness and interactivity". It not only "popularizes" scientific information and knowledge up to date to the public who

are "a fool" to science, as a result of which the public is respected and is responded patiently. What's more, the platform of this association corrects even professional disseminators. In the meantime, in the process of an equal dialogue, the disseminators have the opportunity to know more about their audience and communicate with and know about each other in the dialogue, which avoids science communication from deviating purport and interest of network community users. Chen Chao, a member of Songshuhui-Association of Science Communicators, poses that this association, to a certain extent, has avoided the boundedness of communication with a small circle of people. The association gives members and users of the community an opportunity to publish articles which are directly checked by a mass of readers and receive replies from members of the community among which there are really penetrating opinions and nitpick for correctness of science. (Note 6) In addition, Guokr.com has also made practical attempts in this regard. In the following, we are going to take as an example a talent with an internet ID "Zi Yu" in Guokr.com to analyze how Guokr talents as opinion leaders and the common users of Guokr community attain equal dialogue in a virtual public space. In the real life, "Zi Yu" talent is a mater in phytoecology, while in Guokr.com, he is not merely a Guokr talent, but also takes charge of the two small groups of "natural control" and "stargazer". "Zi Yu" talent ever said, "he even went to Mount Emei for seven times for a forest quadrat and was ever stationed in the forest where the film 'The Twilight Saga' was shot to examine the plantlets of needle-leaved trees and measure their photosynthetic intake." Such a talent who possesses such abundant professional and practical experience often introduces, in Guokr community, the novel biological creatures he has ever encountered when travelling around the world, such as, the protogenetic orchid observed in Amazon, the rufous-collared sparrow he ever came across in Spain, the white bears he say in the Arctic Pole and so on. Besides, he also introduces to Guokr community members all kinds of lovely animals and explains the miraculous constellation meteor shower. His vivid and interesting explanation full of wisdom gains support from other community members. In his discussion in the virtual public space of Guokr community, "Zi Yu" who possesses the authority of discourse also pays attention to exchange of thoughts of information and emotional interaction. His equal "dialogue" with the common users makes interpretation to the publicity of the network virtual space at the practical level.

4.2 Construction of "Interest-Related" Social and Civil Community

In his theoretical book "Human Emotions: A Sociological Theory", Jonathan H. Turner points out, emotion (including interest) originates from the framework of the social structure and the sociological theory should explain which emotion (including interest) is activated, the intensity level of the emotion activated (including interest), the directing object and what influences this kind of emotion (including interest) will bring to individuals and the social structure. (Note 7) This viewpoint of Jonathan H. Turner is of guidance significance to this paper in its research of the "publicity" of public sphere and network community of science communication. The contemporary society is in the face of transition from a traditional society to a modern society, which is not merely transition in terms of system and structure, but is also transition of the psychological structure of an individual. The tripping point in transition of individual psychological structure triggering transition of social contact in the network community of science communication is exactly the interest point that hides deeply in the heart of individuals of the communities. In the following, we are going to take as an example Guokr to analyze how, in the process of constructing the public sphere of science community, the communities of science community realize free cohesion based on "interest-related destiny" in the network virtual public space.

In order to strengthen cohesive force of the network communities, Guokr.com has set up "group-based" module. Establishment of group-based module aims to gather Guokr.com net friends and to form the culture of communities with common interest. "Group-based" modules are set up by users of Guokr community who generate their content. Guokr users also have the right to attract other users to take part in the discussion. The quantity, quality and degree of popularity of posts at the bottom of each group identify vitality and attraction of this group. Sponsors and participants of a group gradually define the scope and boundary of topics for discussion in the process of discussion so as to form and comply with culture of Guokr communities. Currently, what are relatively popular groups in Guokr.com include Greek low laughing points, foodie institute, challenge of procrastination, universal gravitation and so on. Therefore, the "group-based" module of Guokr.com forms different scales of scientific social circles based on different interests by virtue of classification of different groups within the community.

Based on the above statement made by Habermas in his theoretical works "Structural Transformation of the Public Sphere" that public sphere and life world are two closely connected concepts, it is necessary to apply abstruse and difficult scientific knowledge into daily living practice and routinize it in the process of constructing the public sphere of science communication. This aims to make "use science" and "play science" become common behaviors of members of scientific social contact network community. Then, the scientific

knowledge is matched with language full of wit and humor. In order to further intensify the motive of members of scientific social contact network community to probe into scientific knowledge, it is necessary to seek for "interest points" in practical application of science and in public discussion. For instance, all the following topics in the hot posts of the groups at the end of July 2014 are full of wisdom and interest and are close to daily life, such as, "Is the traditional method of temperature falling in a car reliable", "Are golden rice and yellow banana meaningful", "Is it a must to drink hot water in the hottest days in summer to excrete chill" and so on. These topics have been discussed with high enthusiasm in the Kuokr communities. There are also some other topics which are close to daily life, such as, "Will the system start its automatic alarm if one enters his password in an inverse order on an ATM", "What will the world be if there is no mosquito" and so on. Users of the Kuokr.com make spontaneous discussion on these issues and attempt to resolve these issues by means of looking up document, doing hands-on experiment and reasoning and proving. It is worth mentioning that communities members with different disciplinary backgrounds and different professional and practical experiences gather together freely in a virtual public space and, guided by problems, make fierce discussion on topics of common interest. They together resolve problems through collision of thoughts of information, experimental practice and logic inference.

Moreover, implication of "interest-related" is not merely restricted to aforementioned "interest" (namely, internal motive to probe into scientific knowledge and thirst for knowledge), but also, meanwhile, contains mutual tickling and "amusing" science in a sportive way, seeking for "interest points", and searching for the sense of belonging to the communities through collective onlooking of network community and carnival within a circle. For example, in April 2012, a cross-talk spread out on the internet about "dihydrogen monoxide". This cross-talk detailed a lot of "truths" about "dihydrogen monoxide" that were unbeknown before and warned the public to be noticed of dangers of "dihydrogen monoxide". These include, but not limited to, "it is the major ingredient of acid rain; it has facilitating effect on soil erosion; it boosts greenhouse effect; it is the cause for corrosion; too much intake of dihydrogen monoxide might lead to discomforts to different extents; if the skin gets contact with its solid form for long, it may result in serious damage of tissue; people addicted to dihydrogen monoxide will die without it for 168 hours", and so on. However, as a matter of fact, all these so-called dangers are nothing more than description of the functions of "dihydrogen monoxide" (namely, water) in sensational mood. Net friends of Guokr.com forwarded this cross-talk to the group of "Greek low laughing points" which attracted a large number of Guokr.com community users. Quite a lot of Guokr community users, one after another, left a message, such as, "Please forward it for those you care and let more know about it." Moreover, some users even sportively said, "I feel as if it is an omen of doomsday. Yes, it must be"; "It should mean one is drowned by saying that one die of too much intake of dihydrogen monoxide, and are there a hundred million people?" and so on. These sportive discussion on the above cross-talk by the Guokr community is the formation basis of "interest-related" scientific and social community. That is to say, the community search for "interest points" or "banter points" in hot topics based on interest, which displays the community carnival "landscape" of "amusing to death".

4.3 "Germination" of the Subject Consciousness Centered by "Reflectivity" and "Critical Spirit"

Habermas ever poses "It is better to describe public sphere as a contact network about content and viewpoints, namely, opinions. Therein, the flow of contact is screened and synthesized in an ad hoc way and, hence, becomes public views or opinions formed according to collection of particular topics. Just as the whole life world, public sphere also fulfills re-production by means of contact action. Of course, for this action, it is enough to grasp the natural language. It is suitable for the general understandability possessed by daily contract language." (Note 8) Habermas understands public sphere as a kind of social space that is formed in action of social contract. The bi-directional inter-subjectivity achieved owing to encounter in public space depends on recognition of contact freedom. Thus, public sphere provides the citizens with a space of contact between the nation and the civil society, while the citizens are entitled to fully express their own subjectivity in the process of equal contact at the buffer area of public sphere. In the public sphere of science communication, the public are able to obtain "independence" space in the process of active participation in science and technology affairs. Accordingly, their subjectivity gets liberated to a large extent. The public possess the subject consciousness with "reflective" and critical spirit and acquire the ability of independence and self-determination. For example, Guokr community users acquire self-subjectivity cognition by means of cracking and distinguishing all kinds of rumors in network community and in real life and obtain the ability of independence, self-determination and critical cognition. The special content area of Guokr.com sets up the module of "testing your 'rumor resistance' to help community members to realize self-cognition. Guokr users can draw randomly ten subjects to test their ability to crack pseudoscientific speeches in network community and in reali life. The network back-end gives a mark according

to the options chosen by community members and finally judges the grade of rumor resistance by community users. Rumor resistance includes three grades, namely, "drop-hammer vehicle grade" which is to make all rumors no place to hide, "impact brick grade" with sharp eyesight and "brick grade" which requires more efforts of the users. Setting of the module of "testing your 'rumor resistance'", to a large extent, activates critical subject consciousness of community users in distinguishing pseudoscientific speeches and helps enhance community users' ability of self-awakening, self-consciousness, self-judgment and self-determination in the public sphere of science communication. "Reflective" and critical subject consciousness "germinates" in social contact in the public space of science communication.

5. Crisis Encountered by "Publicity" of Network Community of Science Communication: Exclusiveness and Identity Landscape of Elite Communities

An integrated marketing project conducted by BMW in 2011 describes users of Guokr.com as such, "Audience of Guokr.com embrace urban young people with good educational background, scientific common sense and vocational distribution. Its active users include some middle-senior managers from science and technology enterprises who gain positive popularity and brand reputation in mass media and active blog circles and who are able to influence the group of opinion leaders. Off-site fans (such as, fans of its official micro-blog) of Guokr.com are mainly young people who yearn for science and technology and are passionate with life and who show profound interest and hold particular opinions in scientific creation and joy of life. These youngsters have positive participation enthusiasm and communicative force both in online and off-line activities organized by Guokr.com." (Note 9) The above description indicates that followers of Guokr.com conform to certain categorization characteristics, namely, higher educational level, having high authority of discourse in certain domain and so on. Just as Guokr.com, Songshuhui-Association of Science Communicators also exhibits similar categorization characteristics and gradually manifests the exclusive restriction of internal communication within the community group with higher level of educational background and vocational background. This is just as Bath, a Norwegian anthropologist, says in his theoretical works "Ethnic groups and boundaries" that, "A group restricts its 'boundary' to exclude others by emphasizing its particular cultural feature." A virtual group which, in itself, is established on the basis of information exchange and has no actual connection, is all the more so. Therefore, after a "label" of categorization defines the major characteristics of a group, the group will naturally generate exclusiveness, namely, "invisible restriction" to those without the characteristics of the group itself. Thus, it can be seen that social contact of users of Guokr.com and Songshuhui-Association of Science Communicators and social contact of its fans group (namely, followers of Guokr.com and Songshuhui-Association of Science Communicators), to a large extent, is only restricted within the group of scientific elites who have higher authority of discourse. Nonetheless, a large majority of and more ordinary people are excluded from the group of fans as they do not possess categorization characteristics, with lower educational qualification, inferior information influences and communicative forces and greater ages.

Another crisis encountered by "publicity" of community is the identity landscape of the community group. As mentioned earlier, the community groups of Guokr.com and Songshuhui-Association of Science Communicators are characterized by categorization and exclusiveness. Moreover, if the tendency of the characterized groups moves forward, it might become a symbolic mark of certain identity, and, furthermore, display identity landscape. It was ever reported by "JiangHuai Morning News" that, "'Participation in activities held by Songshuhui-Association of Science Communicators' has been a fashion for youngsters in Beijing and Shanghai." In the meantime, it was also reported that among users of this association, the number of people with a disciplinary background of humanities even exceeds the number of people with a background of science and engineering. What's more, quite a large amount of users label and connect themselves with such obviously urban petty bourgeoisie features as "travel", "film", "music" and even "independent film" and "independent music", etc. (Note 10) However, excessive emphasis on the identity characteristics of urban petty bourgeoisie and on the group characteristics of elite culture may result in presentation of the identity landscape of community groups. Just as Welz and Best define that "Landscape means a new people show a performance, while a large majority of appreciate the performance silently", presentation of the identity landscape of community groups also verifies what is stated by Ludwig Feuerbach in his works "The Essence of Christianity", namely, "symbol prevails over material object, transcript prevails over the original manuscript, representation prevails over reality and phenomenon prevails over nature". When presentation of the identity landscape of the urban petty bourgeoisie group and the elite community group becomes a symbolic sign without the aim of science communication with substantive significance, this, to a certain extent, may lead to exclusive social contact of the elite community group. Instead, the social contact is only restricted to exchange and communication of information within the elite community group. This will also, to certain extent, result in deficiency of the publicity of science

communication community.

6. Concluding Remarks

Scientific social contact media, represented by Guokr.com and Songshuhui-Association of Science Communicators offer a platform of exchange and communication of scientific information and knowledge for network community individuals in the process of science communication. Ranging from opinion leaders of network community of science communication to common network users, scientific social contact media have made it possible for network community individuals to actively take part in science and technology affairs and give full play to their subject consciousness, for the public to tolerate different opinions of the public sphere of science communication and reasonably and critically absorb scientific information as well as for self-construction of knowledge and information. With public sphere as the research perspective, this paper has made analysis and discussion on the "publicity" of network community of science communication and has also made analysis and elaboration on the crises it might encounter (namely, exclusiveness and identity landscape of the elite community group). It is a direction for the research and discussion in the future how to use the analytical method of social network to make quantitative analysis of network community contact of scientific communication.

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Political and Social Reflection of Post-Colonial Kazakhstan in Translations of American Literature
(on the Basis of the Works by Jusupbek Aimautuly and Jack London)

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Abstract

This article analyzes historical and political views in the translations of the Kazakh writer Jusupbek Aimautuly from Jack London's works. It was the first time when Jack London who is the representative of American literary was translated into the Kazakh language and this work analyzes its reaction on Kazakh literature. Jusupbek Aimautuly was determined as a wise and skillful writer and a good politician at the beginning of XX century according to his translations. There was investigated Jack London's unknown to him spiritual influence to the Kazakh people by quantitative and qualitative research methods.The translations described sadness, torment and unhappiness of the Kazakh people that was under the invasion policy and genocide of the Soviet Union. It was determined that these translations avoided censorship and tragedy of Kazakh steppe and could find their publicity. It was found out that Aimautuly could represent his thoughts, his purposes and wishes to his nation; he talked about preservation of the nation, importance of unity and power of knowledge through the translation. At the same time, he saved all the rules of translation theory and he showed his skills in order to represent Jack London's prowess to the mind of the Kazakh people.

Keywords: the national idea, Alashorda, repression, censorship, translation, postcolonial literature

1. Introduction

The beginning of the XX century was one of the most crucial stage in the history for the Kazakh people. Rightful heir of the Golden Horde Khanate in Central Asia, Saks generation by Herodotus records – the Kazakh people were under colony of the Soviet Union because of different historical events and it has known during more than hundred years. Kazakh and Russian relationship worsened over time because of different religion, language, traditions and customs consciousness of life. The pressure for the Kazakh people was the cause of unity intelligentsia and opposition to the policy of colonization and their strong desire for freedom. The Kazakh intelligentsia founded "Alashorda" party that aimed at the country's freedom in 1917. Alikhan Bokeikhanov who was descendant of Genghis Khan was a leader of "Alashorda" that fought hard for the Kazakh people's freedom. Because of invasion, humiliation and violence of the Soviet Union to the Kazakh people there appeared a threat for preservation the Kazakhs as a nation. Settling the best places by Russian farmers and the genocide against the Kazakhs were the cause of difficulties of political situation for representatives of Alashorda and the authorities of the Soviet Union (Kendirbaeva, 1999).

However, Russian power did not refuse from their actions such as strict rules and violence to Kazakhs. They grabbed the land of nomads and stole their cattle; as a result they created unprecedented hand-made famine in the Kazakh field. By the beginning of the 20th century economic and social problems caused by the Russian colonization of Kazakhstan had reached a critical point. People who were against Russia's sovereignty and law were deported and arrested. It was a cause to develop actions of underground policy connected with religion and language. Kazakh scholar of the history of Kazakhstan M.Koigeldi says: *"... the genocide in Kazakhstan led to hunger and aimless moving, of the Kazakh people. Kazakh steppe was full of sobbing mothers, crying children and smell of the death. All these were the result of the Bolsheviks' experiment in the Kazakh place"* (Koigeldiyev & Omarbekov, 1993).

During these difficult times, one of the important representative of the Kazakh intelligentsia who defended the

interests of the nation's, a member of the Alashorda Party (founded in 1917) writer, essayist, critic, founder of psychology in Kazakh and translator, Jusupbek Aimautuly created an invaluable legacy to posterity. He was the first who translated the American literature into the Kazakh language. He died for the independence of the Kazakhs. By translating world classical works, he wanted to avoid Russian censorship and to represent his views to his nation, being the best in translating and using such kind of techniques. Representative of Kazakh literature G.Musrepov said: *"I have not met such an educated, gifted, person as Jusupbek Aimautuly. I know Jusupbek as a great musician, scientist, a talented founder of the artistic criticism"* (Anyz Adam, 2014). Outstanding person of the Kazakh prose, writer Beimbet Mailin says *"I have never seen such a skillful writer as Jusupbek Aimautuly""* (Anyz Adam, 2014). When there was any conversation about Jusupbek Aimautuly, the whole Kazakh intelligentsia mentioned his knowledge and talent, hard work and love for the people, for his nation. Whatever he did, everything was for the nation. Jusupbek Aimautuly described the situation in the Kazakh steppe through his translations and he tried to show his thoughts about the Kazakh people. Aimautuly chose the high-quality works in order to reflect his opinion through wonderful translations. Jusupbek Aimautuly translated Jack London's "The strength of the strong" and "Unparalleled invasion" which were popular in the Russian translation.

The most important question of the research is why Jusupbek Aimautuly translated Jack London's stories? How did the works of the representative of American literature, Jack London, influenced in unknown way the Kazakh's spirit? What was the main purpose and idea of translations and how did he use them?

2. Research Methods

A variety of research methods were used in this article, which gave an objective picture of the historical and political conditions of Kazakhstan over 20-30 years in the 20th century. These methods elaborate on the main theme: translation of American works into the Kazakh language, and the government's attitude towards the intelligentsia of that time. The main results of the study were obtained through research on and analysis of rare materials from archival documents and manuscript collections. More than 200 archival documents were collected during expeditions to archives and libraries of Kazakhstan, Russia, and China. The main documents were analyzed in Russia in November 2013 in the State Library in Moscow, in the library of Minzu University in Beijing of China in October 2014, and in Kazakhstan's Semey archives. Rare manuscript collections were investigated in the National Library of Kazakhstan in Almaty. At the same time, some data was collected by conducting 5 interviews with experts of the Alash Research Institute. Along with biographical, historical, cultural, content and comparative analysis of the research methods, associated textual analyses were used. Having investigated more than 30 of Aimautuly's works, the impressive results of the research revealed more than 300 digital units (J. Aimautuly's Collection of Works, 2013).

3. Results and Discussion

3.1 The Historical and Political Context

It is impossible to describe the adversity of consequences of artificial hunger in Kazakhstan. There are a lot of stories about hunger by old people. Academicians have been gathering data and doing survey, but this topic is not fully studied today. As during the Soviet Union period it was prohibited, and now it is not question to discuss because of international peace rules. There are a lot of stories of old people who were deprived of their brothers and sisters during hunger. One of such story is described by X matron:

"We hugged our children, when we went to bed, because there were a lot of people who ate others. I was deprived of old father in such a way. Spring 1932... We were glad to go through winter. My father went for a walk. Spring was cold and snow did not melt… Neighbors said he was outside… I still don't know where he went to…" Consequences of hunger took away humanity of people.

The document below proves the situations of cannibalism.

Е. Секретно

Р.Г. 4 э.

36

Разослано:

1. т.ЯГОДА.
2. т.ПРОКОФЬЕВУ
3. т.АГРАНОВУ.
4. В дело.

П.п. ЗАМ.НАЧ.ГУРКМ - МАРКАРЬЯН.

СПЕЦСВОДКА.

ОПЕРАТИВНОГО ОТДЕЛА ГУРКМ при О.Г.П.У.

"О людоедстве и убийствах с целью людоедства".

"31" марта 1933 года.

За последние месяцы, в некоторых местностях советского Союза установлен ряд случаев людоедства, продажи человеческого мяса на рынках и убийств с этой целью.

Отмечаются следующие случаи:

КАЗАКСТАН.

В г.Аулиэ-Ата с 11 по 16 февраля с.г.задержаны: 1) на рынке женщина с частями человеческого тела в вареном виде. По заключению суд.мед.эксперта части тела от ребенка в возрасте 6-7 лет; 2) на Узбекском кладбище мужчина-казак с ребенком в изрубленном и сваренном виде.

Кроме того, в снегу около узбекского кладбища обнаружена убитая женщина-казачка 22-х лет,разрезанная на части (мясо на бедрах и руки отсутствовали).

Находящемуся под стражей в Каракалинской исправтрудколонии ШЕКИНОВУ, в качестве передачи, в камеру принесено мясо человека.

В г.Каракалинске в квартире у гр-на С[redacted] хранился труп неизвестной женщины.

Ведется расследование.

СЕВЕРНЫЙ КРАЙ.

В Плесецком районе, в исправительно-трудовой колонии 1.Ш с.г. был обнаружен убитым находящийся в колонии правонарушитель ИВАНОВ. У трупа вырезаны мягкие части тела,сердце, печенка, легкие, зажарены и с"едены.

Часть мяса найдена в сыром виде. Ведется расследование.

Арестовано 19 человек.

Note. From Alzhir – Akmola Camp of Wives of Traitors.

Send out:

1. Yagoda
2. Prokoveva
3. Agranova
4. In dosier

Deputy of Head of WPCA – Makaryan

SPECIAL SUMMARY

WPCA OPERATIVE BRANCH BY USPA

"About cannibalism and murders with the purpose of cannibalism"

31 March 1933

During the last month there were found out a set of incidents of cannibalisms, selling human's meat in the market and murders designed to it in some areas of the Soviet Union.

The following incidents were mentioned:

KAZAKHSTAN

The following people were arrested in Aulie-Ata city between 11-16 February:

1) the woman at the market with boiled human's parts. In the conclusion of medico-legal investigation parts of body belonged to a 6-7 years old child;

2) the Kazak man with chopped and boiled parts of a child in Uzbek cemetery.

Moreover, there was discovered a 22 years old Kazak woman, cut into parts (meat at the hips and hands were absent) in snow near Uzbek cemetery.

Human's meat was brought as a parcel to Shekenov who was in the prison of Karkaralinsk.

Mr.S… was keeping corpse of an unknown woman in his flat in Karkaralinsk city.

Investigation is conducted.

NORTH AREA

There was discovered killed prisoner Ivanov who was in convinct-labour colony in Pleseck region. Corpse does not have soft part of bodies, heart, liver, lungs were fried and eaten.

Some parts of meat was found in a raw state. Investigation is conducted.

19 people were arrested.

WPCA - Workers' and Peasants' Central Administration

USPA - United State Political Administration

Information above does not only show faith of individual person, it is a reflection of severities of the whole nation. Here is the numbers of the Kazakh tragedy:

Table 1. Quantity of Kazakhs in 1930-1933

	Years	Quantity of Kazakhs
1	1930	5 873 000
2	1931	5 114 000
3	1932	3 227 000
4	1933	2 493 500

Note. From the data of the Moscow archive, 1937 (Omarbek, 2012).

As we see from the table above, the number of Kazakhs in 1931 was 5 million 873 thousand people, in 1933 - 2 million 493 thousand. During several years 3 million of Kazakhs just disappeared. What happened to them? It is

still an important question of the Kazakh history and Kazakh faith which cannot restore its value. Truth of hunger has already discovered the nation's tragedy completely. In this way the problem should be noted.

3.2 Historical Truth

6 million of Jewish people died from fascism during 1939-1945; this story was announced as genocide by Nurnberg court and called Holocaust.

Because of consequences of the Soviet Union artificial hunger 3 million 941 thousand of Ukrainians died during 1932-1939. Order of appellate court of Kiev city announced "I. V. Stalin is guilty of organization of the genocide" in 2010, and this distress is called Holodomor.

The Kazakh nation lost its 3 million people because of consequences of the Soviet genocide during 1919-1922 and 1932-1933. However, terror of Kazakh nation still has not been examined and the black story of great calamity of our nation is not discussed. The consequences of genocide of the Soviet Union influenced the dramatic decrease of the Kazakh population. Tragedy of hunger is investigated in its level, but there is one of the most important problems in the Kazakh history which still cannot find its solution.

Sarah Cameron, Professor of the University of Maryland in the USA, said in the interview to the "Kazakh adebiyeti" newspaper: Hunger during 1930-33 was a terror for the whole society in Kazakhstan. However, countries outside do not know about this distress. Russia and Ukraine studied from scientific view the compulsory collectivization; they avoided the distress of difficult situation of hunger. Scientific works and monographs devoted to hunger and genocide do not speak about hunger in the Kazakh steppe, even if they mention information about it, it is just a little (Asharshylyk zhane Batys Zertteushilery).

Hunger and exile, censorship and repression were an enormous distress of history for the Kazakh nation. In this period the Kazakh intelligentsia Alashorda tried to use various methods and approaches. They tried to encourage the nation and worried about the future of the nation (Esenova, 2002). They tried to arouse nation's spirit. One of the most important people of Alashorda party is Jusupbek Aimautuly. He is a writer, publicist, founder of Kazakh psychology, critic and political figure. He was the first person who translated stories of American literature, exactly Jack London into the Kazakh language. He introduced classical masterpieces of Jack London, Rabindranath Tagore, Conrad Bercovici, Guy de Maupassant, Shakespeare, Gorkyi, Pushkin to Kazakh readers. Jusupbek Aimautuly translated Jack London's two stories "The Strength of the Strong", "The Unparalleled Invasion". "The Unparalleled Invasion" was published in the magazine "Zhana mektep" № 4-5 in 1926, "The Strength of the Strong" was introduced in the magazine "Leninshil zhas" № 6-7 in 1925. Many of his works were named after Tanashbai, Kyzylbas, Zhik, but these two stories that were translated from Jack London were named after his own name "Jusupbek", "Jusupbek Aimautuly". In that time these translations were published, although he was announced as a nationalist and English spy, and he was arrested and shot in 1931 in Moscow. Therefore, his successful works from the both view meaningful and artistic were prohibited till 1988, when he was discharged. Translations were unknown until the collection of full works was not published in 2009. There are a lot of information about his wonderful works of translation, but because of censorship the translated texts were on the shelves of archive with dust but now these works are free and available for readers. Jusupbek saved requirements and rules of translations in his works and used his skills in a perfect way. Therefore, his translations of Jack London came to readers with new thoughts and valuable ideas.

3.3 Censorship Trick

As it was mentioned before, the political situation of the time and the Kazakh intelligentsia was under pressure. If you go to the right – you will be shot, if you go to the - you will be deported, if you go straight – repression, prison (Balgamis, 2000). In these difficult times, the Kazakh intelligentsia united the efforts of the Kazakh people looking for new ways to awaken the spirit. A new way was translation with open truth to the people. If you will take any world classic translation of Alashorda people, every of them were with a spirit of Alash (Rottier, 2005).

According to the results of the research, the translations of Aimautuly adhere to the three basic principles:

1. The writing should be about people.
2. The work should contain social, cultural and spiritual values of the people.
3. The work should awake the spirit of the people, should be encouraging to fight for the aspirations for a better life.

Aimautuly's translations from J. London, R. Tagor, K. Berkovici, F. Dushen, Maupassant translations of a combination of political ideas would protect the interests of the population works.

Having used the content analysis method, the word meaning in the works of 10 quantitative indicators were defined in the works "The Strength of the Strong" by Jack London, and "Kushtilerdin kushi" (translation) by Jusupbek Aimautuly. In general, we can say that Aimautuly used alternative way of translation. However, during the study difference and fluctuation of meaning was a subject of a special attention. The content analysis showed that Jack London used some words about 100 times, Jusupbek Aimautuly used only 30 times. It means that the interpreter used alternative words in the context according to his interpretation. At the same time, depending on the application and the number of words we can see the focus on the ideas of the authors.

Table 2. Numerical indication of original and translated text

Words used in the works	**Numerical indication of words used in J. London's works**	**Numerical indications of words used in Aimautuly's works**
Law //заң	10	8
Men//people//crowd Ел//жұрт//халық	68-7-1	38-40
Council//кеңес	16	16
Afraid of//wind Қорқу, қорқыныш	9-1	3
Tribe//тайпа	22	0
We//Біз	104	39
House//үй	15	10
Place //ground//Жер	5	15
Hunger//starvation/ашаршылық	*6*	10
King//Патша	*4*	5
Total	**268**	**184**

While reading Jack London's and Jusupbek Aimautuly's works at first we cannot notice the difference. However, the meaning of each word and the subject line, compared with Aimautuly concentrate on some specific issues, and is determined by the description.

For example:

1. Aimautuly in his "The Strength of the Strong" translation did not use the word "tribe". Well, in Jack London's original version this word was used for 22 times. Why? Because, Jack London described real live of Indians who lived in tribal level, but Aimautuly was speaking about Indians parables to Kazakhs. But Kazakhs are not tribes; they are millions of people, with history and language, mentality and religion, with deep roots in the country .For this reason, Aimautuly who cover the translation of the name of the Indians in the illustration intends to describe the suffering of the Kazakh people of to be proved.
2. In Aimautuly's translation the word "Law" is less used than in Jack London's one. The main reason for this is the fact that the total population of the Kazakh was nomads before, therefore for the Kazakh people the word "law" would not have such a power like in America.

If London emphasized the importance of law, Aimautuly withdrew it from his translation. It is necessary to take into account the differences between the mentalities of the two countries. If you say to the citizen of America that he violates the law, he would afraid of it. But, for the life of the Kazakh steppe one should be literate. Moreover, Kazakh people learned to live according to the steppe rules. Common people did not understand what the power of law was and how to use it.

Another issue is that Aimautuly was shot in Butirka prison in Moscow on April 21, 1930. The accusation against him stated the following: "Jusupbek Aimautuly was a British spy and he did not give his cattle to the population who suffered from hunger". However, it has a special place in the Kazakh literature, forensic scientist who took part in the meetings of Aimautuly Beysenbay Kenzhebayev says: *in 1921-1922 in some parts of Kazakhstan Kostanay, Torgay, Aktobe regions there was famine. In other provinces, everyone gathered independently aid for*

person in need. So, in Semei, Pavlodar regions Jusupbek gathered aid. Received help (cattle, grain) he distributed to the people. After it there was a criminal proceeding…

*Court lasts for three days. On the third day Jusupbek said his last wish. He had written it before and recited it. All people in the hall were grateful. Jusupbek's last word was formed on the basis of the law of the Kazakh people and all traditions. He said: "Since ancient times the Kazakh people give loans, take loans back, give cattle and take it back. And nobody takes from each other any protocol, they do everything orally. This has become quite a habit. While distributing my help to people in need, I had all these habit in my mind. I followed this law. I didn't not take any paper from anyone, from nobody I helped. It was even inconvenient to ask for a paper from man who is dying from hunger. So, Jusupbek said to his defense" (*Kenzhebayev, 1989).

The life of Aimautuly ends by being shot for not taking papers. Aimautuly proved that for the Kazakh people receipt, paper is not so important than moral principles are not the surface of the paper, the paper has proven to live longer than the law. Maybe it is the reason of a rare usage of the word "law" in Aimautuly's translations.

3. Another example of this is the word hunger/famine. The word "hunger" is used in Jack London's composition only 6 times, in Aimautuly's translation - 10 times. How often was the usage of the word famine in the translation of the work in the second language? Why Aimautuly used the word famine more than it was in the original text. It is felt that in Aimautuly's translation he described not Indian famine, he described the famine in Kazakh steppe. Maybe Indians had the famine too, but in the translation of Aimautuly there was a picture of the Kazakh tragedy. If Jack London wrote that Indians had famine, Indians were hungry, Aimautuly wrote about the reason of the famine. He thought that was the fault of the government. When talking about famine, Aimautuly described it with a special emphasis on the word. Aimautuly translation of the incidence of hunger as a result of the famine that killed people party, said changes in the country's human nature illustrations. Therefore, in Aimautuly's translation the word famine repeated for many times.
4. The word "Afraid of" we meet in Jack London's text in the English language 10 times; Aimautuly used it only 3 times. It proves that every interpreter is responsible for each word. By using this word less as it possible, Aimautuly shows that the Kazakh people had not sense of worry.

Of course, all of the political and social situation in the society can't be achieved through the translation of the work of art. Because there are requirements of translation. However, the translation of Aimautov's works with his own ideas does not lose anything to create a great work.

The most important thing is that he didn't want to abuse the original author's texts. In addition, his work was about the problem of people, and it was a new thing to the Kazakh steppe.

3.4 The Security of the Nation

The colonial policy of national identity of Russia aimed at weakening of the Kazakh language, religion, literature, and culture, being dangerous to the nation. First, there was the revocation of the Kazakh language into Cyrillic alphabet, and Tatar mullahs were sent to Kazakhstan with a special mission to baptize the Kazakh steppe. The secular intelligentsia of the nation "enemies of the people" were deported or executed. As the evidence here are the words of Stalin in 1937: "We will kill not only all the enemies, but also their families." (Mlechin, 2005).

During the Kazakh history, when the political and social situation was under the pressure Jusupbek Aimautuly translates J. London's another story into Kazakh "The Unparalleled Invasion". It is about the army that has millions of people and can destroy all the countries. The main idea is that the strength not in the great number of army, but in the country's science. Paying special attention to this, Aimautuly, said that in the twenties century we must not be proud of power of our army, it is time of power of knowledge and science. Aimautuly stated that wining a country through killing common people is the violence. On this example, he wanted to say that notwithstanding the fact that there were millions of people with a huge army, China was destroyed, and he draws attention why Kazakhstan couldn't resist Russia. "What is the criticism of the twentieth century?" - he answers to the question. Jusupbek Aimautuly hinted that the Kazakh nation have no power with their sword on their hand before the armed Russia. If a Kazakh wants to remain a *Kazakh* he needs to focus on saving national traditions and customs, language and mentality and turn attention to the science. Being against the imperialism he came to conclusion that the spirit of the people is essential to overcome it, there should be love for the nation. In 1928 Aimautuly published his article "Ultty suyu" in the journal Abay, 2-nd edition. In this article he says: *"The nation I love and a lot of citizens who serve the people strong, talented, educated people,. Give respect to nationality, caring citizens of the country lags behind. Take for example Germany, Japan, England, Turkey, their children grow loving their nation. Becoming adults they spent their power to their nation. A country needs each*

of them…"

Aimautuly explained that being nationalist is not hating other, it is loving your own nation. Aimautuly got rid of the flock, for the survival of the Kazakh nation as every generation of young people to the infinite love of his country and not in the formal sense of patriotism science knowledge must be able to be inferior to the other countries. Kazakh's freedom, science and knowledge is what we can see in Aimautuly's ideas as a writer, wise politician. Entering the beginning of the 21 century today we are able to see what has become a tremendous force in the 20 century.

Taking China as an example that traditionally considers power as an important element, he talks about the terms in order the Kazakh land could have its place in the world.

Aimautuly in his own translation says: "*The Chinese people are not bad. They are hard-working assiduous people that love piece. They consider that war is unpleasant, it takes place because of need." Aimautuly describes China with peaceful words, the heart of anyone who know the value of peace in the country illustrates that there is no fighting. Behind this idea he wanted to say that even if you don't attack anyone, you can be attacked. Because the Kazakhs were never envious on other countries and they never boasted on their wealth. However, it depends on other countries' bad intentions. He mentioned that there are others who are interested in your country and your place even if you don't think about it. Aimautuly describes how other countries sent planes and spread disease in China killing millions of people*: Chinese army protected the borders of the whole China. China was ready to protect itself but it couldn't even hear the sound of the bullet and pistols. Chinese couldn't understand this secret. Suddenly one of the glass tubes from the plane in the sky fell destroying everything. A garden owner when saw one of the tubes in the water that wasn't broken brought it to the office. When officer broke the bottle down, several mosquito flied out. That is all. One and a half months later the streets of China were full of rotting bodies of dead people. People who died in China in this short period were described in the literature as follows: *"That was the huge campaign to China. Milliards of peoples were in trouble. Full of disease, having lost unity they had only strength to die. In 1976 in the autumn there was something like a hell in China. The virus was everywhere. There was no province where infection didn't appear. Hundreds of thousands of people were not buried. Millions of people were dying every day… So, China was destroyed this way"*. It is the picture of genocide with millions of died people, ordinary people who died as a result of the disease. Aimautuly illustrated this situation of people who suffered as a result of political games with great enthusiasm. It was close to him. The Kazakh people also faced such a tragedy because of starvation as a result of hunger, disease, genocide, the streets were also full with died people. A Kazakh reader who knows the history of Kazakhstan, the ideas of Alash, the consequences of the famine that was called "Great Famine" would feel and understand it.

Thus another question which Aimautuly shows: "When there was a chaos on the front, they came to the the threshold of Turkestan where German and Australian soldiers were…" Even in the original version of the text there mentioned that the borders of Turkestan should be the borders of Turkestan autonomy established in 1917. Turkestan autonomy was established with the purpose the people of Turkestan could have their own government. Aimautuly could also select the information that was relevant to Turkistan autonomy from the American literature. But won't it be food for thought if someday the Kazakh people would lose their history because of the censorship in the translations of the Kazakh literature there will be mentioned European soldiers standing on the region which borders with China?

3.5 Bibliography as a Mirror of Reality

Another interesting thing is that there are similarities in Jusupbek Aimautuly's and Jack London's lives. They are not just the writers of the two countries who promoted the common values of all humanity with the purpose of sharing ideas and wishes of individuals. Their unique writing styles and features are also compatible with each other,

Jack London from his early childhood had to work and his all the difficulties of life. The reason why he earned money was that he wanted to protect interests of the weak. And like a copy of his own life Aimautuly writes the novel "Kartkozha". The novel reflects the young child's life, compassion for the weak formed on difficulties Aimautov faced in his life. Kartkozha boy in the novel was like a prototype of young child Jusupbek Aimautuly. Two years old aimed to serve the same dream. The great writer London describes face of the people's psychological feeling in his works, either did Aimautuly. It is impossible to describe their love and respect for writing and literature. Jack London's had a short life but worked for 17-18 hours a day, Aimautuly had to move from one place to another under the pressure of censorship, established the foundation of the Kazakh prose and the Kazakh psychology science (Mazhitayeva et al., 2015). In order to show their love to literature we took

examples of their works.

4. Conclusion

At the beginning of the twentieth century American literature, Jack London's stories were recognized by the first translations for the Kazakh reader. However, these translations are not just a piece of art, they are a mirror of the spirit of the Kazakh nation. London's translations about Indian tribes which come over the ocean not only tell the story but awaked the Kazakh people and generated a sense of freedom . There were some reasons to choose "The Strength of the Strong" and "The Unparalleled Invasion".

1. Jack London was the author whose works were translated into Russian. His communist views were consistent with the ideology of the Russian Empire.
2. It was easier and less dangerous to translate J. London's works than to publish Aimautuly's own because of the censorship.
3. The most important thing was that Aimautuly's ideas were reflected in London's compositions. Aimautuly saw in London's works the Kazakh society's most difficult issues and solving of these problems. He tried to show the similarity of the Indians' and the Kazakh people's destiny.

Aimautuly's aim was to work to the future of the Kazakh nation. The main dream of Alash was the independence and development of the Kazakh nation. With this purpose they used all opportunities to save the Kazakh language and religion, history and customs of the soul. One of them was to reflect, show the nation's problems through the translations.

The works of Jack London had effect on the Kazakh spirit, however, the author doesn't know about contribution to the promotion of the idea of the Kazakh people's independence. J. London's ideas of the human and moral principles of equality took place in the heart of the Kazakh readers. Of course, it should be mentioned that it was done through the translations by Aimautuly. Thus, Aimautuly translations were affected by the following problems:

1. Aimautuly by translating Jack London's "The Strength of the Strong" wanted to draw attention of the Kazakh people that "a state's power in its unity". This work is still topical for the country didn't lose its relevance today.
2. Aimautuly through translations try to show the topics which were prohibited by the censorship. Aimautuly through translation of the London's stories about the fate of the Indians tries to reflect the destiny of the Kazakh people which faced the violence of the policy of Russia, the issues of the national security and consequences of the famine.
3. Jusupbek Aimautuly by translating London's "The Unparalleled Invasion" explained to the Kazakh people that the twentieth century is the century of science and education.

As an example he mentions China that believes in the power of the army, not in science. By criticizing imperialism, actions of powerful countries, he underlines the importance of knowledge

Thus, the American literature being on the other side of the ocean had its impact on the Kazakh people, through the strong understanding of the country and strengthening of the unity of the nation.

It is also necessary to note the contribution and the breakthrough in the implementation of human thought of one of members of Alashorda, the Kazakh classic writer, the first translator of the American literary classic works Jusupbek Aimautuly. Jusupbek Aimautuly was the master of writing whose great translations were done in compliance with the terms, and who wanted to reflect his ideas to people which had a great importance for them. It was his wisdom, it was his personality.

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Market Concentration, Market Share, and Profitability (Study at Indonesian Commercial Banking in the Period of 2001-2012)

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Abstract

The objective of this research is to examine the influence of market structure on Indonesian commercial banking performance by using concentration ratio and individual market share through deposits market channel and credits market channel. There were 101 banks chosen from 120 banks in a period of 2001-2012 as sampling of research by using purposive sampling. This research uses data panel that combines data cross section and data time series, therefore panel data regression is used in this research. The result of panel data analysis has allowed us to conclude that concentration ratio of deposits market has a significant and positive influence on ROA, meanwhile concentration ratio of credits market, individual market share of deposits, and individual market share of credits market have no significant effects on ROA.

Keywords: market structure, concentration ratio, market share, ROA, banking industry, performance

1. Introduction

In general, the condition of Indonesian banking during 2001-2012 showed a good achievement. The market dynamic is marked by the reduction of the number of banks which operated in Indonesia, from 145 banks (in 2001) to 120 banks (in 2012). However, the number of bank offices is increasing from 6.765 bank offices (in 2001) to 16.625 bank offices (in 2012).

The total assets, deposits, and credits of Indonesian banking shows the significant improvement. Even though Indonesian banking still can't distribute credits optimally (credits is still lower than deposits), but LDR tended to rise from 40% (2001) to 84% (2012). The increment of LDR means the banking achievement in mobilizing society's funds is increasing. This achievement in performing intermediation function in this economics system occurs because of the good assets liability management. This fact can be seen from the development of LAR (loan to assets ratio) is performing faster than DAR (deposits to assets ratio). The operational efficiency has also increased, it can be seen from the decreasing of CIR and the increasing of ROA.

This phenomenon shows the relationship between market structure, conduct, and performance. The relationship between market structure and performance has been widely studied by several researches, the most used variables are concentration ratio and individual market share as the proxy of market structure variables. In Germany, Yu and Neus (2005) used CR (concentration ratio) as the proxy of market structure to determine its influence on profitability. The research found that market concentration has a significant negative relationship with profitability. However, in 2007, Wong, Fong, and Wong found the different result in their research which stated concentration ratio is positively insignificant with profitability. Meanwhile, Jian and Jing (2008) found a significant positive effect of individual market share on profitability in their joint-stock Chinese commercial banking.

This gap of research occurs because of the differences of sampling and dependent or independent variables in their researchs. Therefore, this study hopefully will deliver a better result to find out the effect of market structure on performance in Indonesian banking industry.

2. Research Model and Hypothesis

In accordance to research objective, the inferencial analysis using two channels, which are deposits market channel and credits market channel. The influence of concentration ratio and market share from those chanels will be seen explicitly, this thing will be the novelty of the research because the previous researchs only used one channel. The banking characteristics is included as control variable because every individual bank has its own characteristic uniqueness.

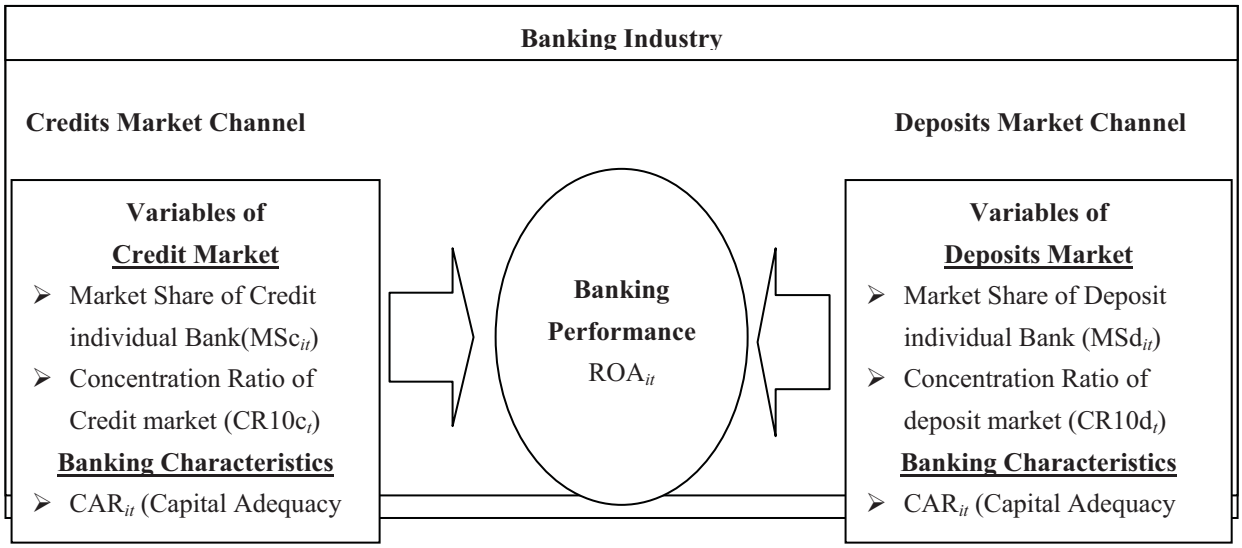

Figure 1. Research Model

2.1 Econometrics Model Equation of Deposits Market Channel

$$ROA_{it} = \alpha_0 + \alpha_1 CR10d_t + \alpha_2 MSd_{it} + \alpha_3 LDR_{it} + \alpha_4 CAR_{it} + \alpha_5 NPLg_{it} + e_{it}$$

2.2 Econometrics Model Equation of Credits Market Channel

$$ROA_{it} = \beta_0 + \beta_1 CR10c_t + \beta_2 MSc_{it} + \beta_3 LDR_{it} + \beta_4 CAR_{it} + \beta_5 NPLg_{it} + e_{it}$$

2.3 Hypothesis

Theoritically, the relationship between profitability with market share and market concentration has described in Structure-Conduct-Performance theory from Harvard Business School version, it is stated that structure, conduct, and performance are linieary related. In this study, performance is proxied by ROA, conduct is represented by market share, and structure is represented by market concentration. In banking industri, there are two market channels; deposits market channels and credit market channels. The two markets has a big role in banking profitability because a high deposits will makethe ability to distribute credits higher, therefore the net interest margin will also increase. The research of Smirlock (2010) showed that market concentration has no influence on ROA, meanwhile market share influences ROA in USA banking. This means USA banking refused the SCP hypothesis because the banking has operated efficiently. Meanwhile Batthi the research of Batthi (2010) showed that market concentration influences ROA, while the market share has no influence on ROA in Pakistani banking. This means Pakistani banking still adopts SCP hypothesis because the banking still operates collusively. Based on the literatures, the hypothesis of this study can be stated as follows:

H1: Concentration ratio of deposits market has positif impact on banking profitability

H2: Concentration ratio of credits market has has positif impact on banking profitability

H3: Individual market share of deposits market has has positif impact on banking profitability

H4: Individual market share of credits market has an has positif impact on banking profitability

3. Research Method and Analysis

3.1 Type of Research

This research is an empirical study at Indonesian commercial banking listed in Bank Indonesia in a period of 2001-2012.

3.2 Types and Sources of Data

The data used in this research is secondary data panel (time series and cross sectional) in the form of financial statements which includes all Indonesian commercial bank which listed in Bank Indonesia in the period of 2001-2012. The data are taken from Indonesian Banking Directory from 2003 to 2013.

3.3 Population and Sampling

This research population is Indonesian commercial banks in the period of 2001-2012. To be specific, the table of population and sampling is listed below.

Table 1. Population and Sampling

No.	**Sampling**	**Information**
1	Population	Indonesian commercial banks listed in Bank Indonesia in a period of 2001-2012.
2	Sampling Technique	Purposive sampling
3	Sample Selection Criterias	Indonesian commercial banks which had complete data in the period of 2001-2012.
		Indonesian commercial banks which operate in conventional banking system.
		The reported financial statements contain basic variables needed for research purposes.
Indonesian commercial banking listed in Bank Indonesia (2001-2012)		120
Less:		
Did not have complete data from 2001 to 2012		8
Islamic banking system		10
Did not have basic variables which are needed for research purposes		1
Total Sample		101

3.4 Variables

The dependent variable in this research is profitability which can be represented by Return of Assets (ROA). The independent variables in this research is market structure represented by concentration ratio (CR10) and market share ratio (MS). Concentration ratio is the combination of biggest market shares which will establish a concentration level in the market. In this research, the used variables of market concentration are concentration ratio of deposits (CR10d) and concentration ratio of credits (CR10c). The operational definition of market share is a value percentage of selling or purchases specific goods or services controlled by business to the relevant market in a particular calendar year. Here, the variable used is market share of deposits (MSd) and market share of credits (MSc).

The other variables are included as control variable, which are CAR, LDR, and NPL. Capital Adequacy Ratio (CAR) shows the ability of bank in solvability. CAR will determine the bank's capacity in meeting the time liabilities and other risks such as credit risk to protect the bank's depositors and other lenders. Loan to deposit ratio (LDR) will show the intermediation function of bank in dispensing credits from surplus unit. Non-performing loans (NPL) is the credits which turn to be default credits.

3.5 Data Analysis Technique

This study uses panel data regression, there is analysis data procedures of panel data regression with the objectives as follows:

a. To determine Pool Least Square (PLS) Model, Fixed Effect (FE) Model, and Random Effect (RE) Model.

b. To select the best model among PLS, FE, and RE.

c. To do a BLUE Test to the best model by using multicollinearity

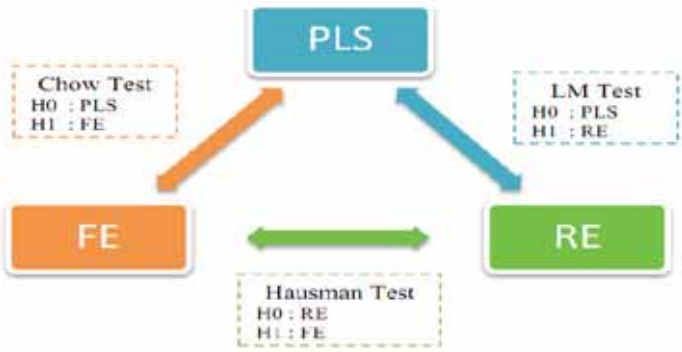

Figure 2. Selecting the best panel model

3.5.1 Multicollinearity

To find out the multicollinearity problem, this research uses VIF Test in STATA 10 as a detection tool. If the result shows that VIF > 10, it will mean that the variable still has multicollinearity.

3.5.2 Heteroscedasticity and Autocorrelation

Random effects model does not have to be tested again for heteroscedasticity and autocorrelation because STATA 10 has processed it within GLS-regression in the previous test. The step that should be done in this section is noticing the P probability in the random effects model and fit it with these hypothesizes stated below:

Ho: No Heteroscedasticity

H_1: Heteroscedacity

Ho: No Autocorrelation

H_1: Autocorrelation.

When P probability > alpha means Ho is rejected.

d. If the best model does not fulfill BLUE criteria, robustness standard error should be included into the test.

e. Interpretation of the best model or robust output.

3.5.3 Global Test (F-stat)

This test is to examine whether the chosen model can be used or not in research. If the result of Probability F-stat is less than alpha, then the model can be used.

3.5.4 T-test (T-stat)

This test is to examine whether each independent variables can significantly affect dependent variable or not. If Probability T-stat is less than alpha, the variable independent can significantly influence the dependent variable.

3.5.5 See the R^2 Value

In the output, R^2 shows how much all independent variables affect dependent variable. If the chosen model is PLS, see the R^2. If it is fixed effect model, see R^2 within. Meanwhile if the chosen model is random effect, see the R^2 overall.

According to Bhatti (2010) in his research of SCP in Pakistani banking, traditional SCP (Harvard Paradigm) will be shown by the significance of market concentration and insignificance of market share:

Credits market channel:

$$\alpha_1 > 0, \qquad \alpha_2 = 0$$

Deposits market channel:

$$\beta_1 > 0, \qquad \beta_2 = 0$$

Meanwhile, the efficiency of SCP hypothesis (Chicago Paradigm) will be shown by the insignificance of concentration ratio and significance of market share.

Credits market channel:

$$\alpha_1 = 0, \qquad a_2 < 0$$

Deposits market channel:

$$\beta_1 = 0, \qquad \beta_2 < 0$$

Thus a_1 or $\beta_1 > 0$; a_2 or $\beta_2 = 0$ supports the traditional hypothesis whereas a_1 or $\beta_1 = 0$, a_2 or $\beta_2 > 0$ supports the efficient structure. However, some events appear as an interesting case whereas:

Credits market channel:

$$\alpha_1 > 0, \qquad a_2 > 0$$

Deposits market channel:

$$\beta_1 > 0, \qquad \beta_2 > 0$$

This means both concentration ratio and market share are significant towards profitability. The bank can reach profit because of a good market structure and individual efforts.

4. Research Result and Discussion

4.1 Selecting the Best Model

The first step of this test is selecting the best model between PLS model and fixed effects model by doing Chow Test. After doing Chow Test, the next step is doing Langrange Multiplier (LM) Test which has the purpose to select the best model between PLS and random effects. Usually, the chosen models from those two tests would be fixed effects model and random effects model. Therefore, the next common test is by doing Hausman Test to choose the best model between fixed effect and random effect. The table stated below presents the selection process among PLS, fixed effect, and random effect to be the best model of panel regression.

Table 2. The selection process of panel regression model (deposits channel)

Models	Hypothesis	*Deposits Channel*	
		Result	Result
PLS vs FE (Chow Test)	H_o: PLS; H_1: FE	H_o is rejected	FE
PLS vs RE (LM Test)	H_o: PLS; H_1: FE	H_o is rejected	RE
FE vs RE (Hausman Test)	H_o: RE; H_1: FE	H_o is accepted	*RE*

Table 3. The selection process of panel regression model (credits channel)

Models	Hypothesis	*Credits Channel*	
		Result	Result
PLS vs FE (Chow Test)	H_o: PLS ; H_1: FE	H_o is rejected	FE
PLS vs RE (LM Test)	H_o: PLS; H_1: FE	H_o is rejected	RE
FE vs RE (Hausman Test)	H_o: RE ; H_1: FE	H_o is accepted	*RE*

The table presents selection process of choosing the best model of panel regression which happens to be random effect model both for deposits market channel and credits market channel. The next step is to find out whether the chosen model still has problems of multicollinearity, autocorrelation, and heteroscedastisity by doing BLUE test.

4.2 BLUE Test

BLUE Test will be the next test which has a purpose to detect multicollinearity, heteroscedascity, and autocorrelation problems in the models. However, according to Suwardi (2011) the random effect model does not have to be tested again for heteroscedasticity and autocorrelation because STATA 10 has processed it within GLS-regression in the previous test. Therefore, BLUE test will be done only for multicollinearity test. Table 4

presents the resume output of BLUE Test for random effect model.

Table 4. BLUE test of random effect model

Deposits Channel	Credits Channel
Result	Result
VIF Value 2.90. There is no multicollinearity	VIF Value 2.94. There is no multicollinearity

The value of the variance factor (VIF) of all variables is less than 10 for both deposits market channel and credits market channel, which means this model has no multicollinearity and does not need to be included to do robust standard error test.

4.3 Panel Regression Analysis

Table 5. Resume of research output

Independent Variable	*Deposits Channel* Dependent Variable: ROA	*Credit Channel* Dependent Variable: ROA
	Coefficient	Coefficient
Constanta	-1.3587	4.8135*
CR10d	0.0659*	
MSd	-0.1317	
CR10c		-0.0275
MSc		0.0296
CAR	-0.0005	-0.0006
LDR	-0.0009	-0.0018
NPLG	-0.0949*	-0.0896*
P-value Wald	0.0000	0.0000
R^2	0.0619	0.0579

*Significant at 1% error

4.4 Research Hypothesis Testing

Global Test. The random effect outputs obtained from STATA 10 are analyzed and assessed quantitatively. In deposits market channel, the output of random effect contains Prob < chi^2 at 0.000, it is less than alpha (0.05) which means the model can be used. The same result comes from credits market channel which has Prob < chi^2 at 0.000, it also less than alpha so that the model also can be used.

4.5 T-Test

This test has the purpose to see the significancy of each independent variables towards dependent variable. If Prob-t is less than alpha, it means the independent variable has a significant influence on dependent variable. The result of hypothesis testing in this study were as follows:

4.5.1 First Hypothesis Testing

Calculations with STATA 10 obtained that concentration ratio of deposits market channel has significance value at 0.002. This value is less than 0.05 which can be concluded that concentration ratio variable has a significance influence on ROA variable. Then the first hypothesis which stated that concentration ratio of deposits market channel has an influence on ROA is accepted.

4.5.2 Second Hypothesis Testing

Meanwhile in credits market channel, concentration ratioof deposits market channel has significance value at 0.301. This value is more than 0.05 which can be concluded that concentration ratio of credits market channel

variable has no significant influence on ROA variable. Then the second hypothesis which stated that concentration ratio of deposits market channel has an influence on ROA is rejected.

4.5.3 Third Hypothesis Testing

Calculations with STATA 10 obtained that concentration ratio of deposits market channel has significance value at 0.812. This value is more than 0.05 which can be concluded that individual market share of deposits market channel variable has no significance influence on ROA variable. Then the third hypothesis which stated that individual market share of deposits market channel has an influence on ROA is rejected.

4.5.4 Fourth Hypothesis Testing

Calculations with STATA 10 obtained that concentration ratio of deposits market channel significance value at 0.661. This value is more than 0.05 which can be concluded that individual market share of credits market channel variable has no significance influence on ROA variable. Then the fourth hypothesis which stated that individual market share of credits market channel has an influence on ROA is rejected.

4.5.5 R^2 Value

Based on STATA 10 output, the R^2 Overall in random effects model for deposits market channel is at 0.061 which means the independent variables and banking characteristics observed can explain dependent variable at 6.1% The other 93.9% is explained by other variables which is not included in this research. Meanwhile in credits market, the R^2 Overall in random effects model is at 0.057 which means the independent variables and banking characteristics observed can explain dependent variable at 5.7%. The other 94.7% is explained by other variables which is not concluded in this research. This small value is in accordance with a few of significance variables in this research.

4.6 Research Discussion

4.6.1 Concentration Ratio of Deposits Market Channel (CR10d) and Profitability (ROA)

Testing hypothesis of concentration ratio of deposits market channel obtained result that concentration ratio of deposits market channel has a positive significant relationship towards ROA in 95% level of confidence. It means that if concentration ratio of deposits market increases, ROA will also increase. The concentration ratio coefficient is 0.0659 which means if there is 1% increment of concentration ratio while the other variables are constant, ROA will increase at 0.0659. This condition is normal because the escalation of market concentration will make profitability higher, but if concentration ratio keeps increasing to monopoly market structure, this is not good for banking industry.

Based on data of Bank Indonesia, concentration ratio of deposits market decreased from 2001 to 2012 which means profitability also statistically decreased. Even though the relationship between concentration ratio of deposits and profitability is normal, but this condition is bad because the more top ten banks decrease their controls in banking industry, the more profitability of individual bank will decline. Raising the control of big banks in banking industry to increase profitability is also not a good choice.

4.6.2 Concentration Ratio of Credits Market Channel (CR10c) and Profitability (ROA)

Testing hypothesis of concentration ratio of credits market channel obtained result that concentration ratio of credits market channel has no significant effect on ROA in 95% level of confidence. However, concentration ratio of deposit has a negative effect even though it is not significant. It means that if concentration ratio of credits market increase, ROA oppositely will decrease but it is not significantly be influenced. This is not a normal condition because the normal situation happens where the escalation of concentration ratio will make profitability higher.

The insignificancy of credits concentration ratio occurs because the quality of earning assets is still low. The credits distributed by ten biggest banks to consumers does not return with some quality so that the interest income does not influence ROA. In fact, based on data of Bank Indonesia, concentration ratio of credits market fluctuated but mostly increased which statistically means profitability decreased from 2001 to 2012. This decline of profitability occured because of the high overhead cost which also appeared to increase. Even though the financial report shows that overhead cost still can be covered by net interest income which comes from a high credits price, but statistically the increment of net interest income is still not strong enough to increase profitability.

4.6.3 Individual Market Share of Deposits Market Channel (MSd) and Profitability (ROA)

Testing hypothesis of individual market share of deposits market channel obtained result that individual market

share of deposits market channel has no significanteffect on ROA in 95% level of confidence. However, individual market share of deposits has a negative effect even though it is not significant. It means that if individual market share of deposits market is higher, ROA will decrease but not significantly be influenced. This is not a normal condition whereas the escalation of individual market share will make profitability higher.

Individual market share shows the percentage of control of individual bank in banking industry. The good market share of deposits will show the conduct of banking in raising total deposits. However, the panel regression result shows that market share of deposits does not significantly influence ROA. Based on the data of Bank Indonesia, individual market share of deposits decreased from 2001 to 2012 which means profitability statistically increased in the same period even though it is not significant. From theory and the other researches, this insignificancy occurs because deposit products of individual banks still can not attract consumers to save their money in deposits market. The low individual market share of deposits market causes the low interest expense that should be paid and this will make the net interest income increases.

4.6.4 Individual Market Share of Credits Market Channel (MSc) and Profitability (ROA)

Testing hypothesis of individual market share of credits market channel obtained result that individual market share of credits market channel has no significant effect on ROA in 95% of level confidence. However, individual market share of credit has a positive effect even though it is not significant. It means that if individual market share of credits market is higher, ROA will also increase but not significantly be influenced. This is already a normal condition whereas the escalation of individual market share will make profitability higher, however credits market share still does not significantly impact ROA. A positive effect of credits market share indicates the cost efficiency and the fee based income is in a good condition. In other words, credits market share of banking industry is in a normal stage. Based on the data of Bank Indonesia, individual market share of credits is mostly increased from 2001 to 2012 which means profitability is also statistically increased. The main problem is the insignificancy effect of individual market share on ROA, this condition occurs because of the differentiation of credit products that still can't attract consumers to take loans from credits market. The loans distributed to consumers is usually for consuming needs, not for investment which should give an impact of earnings assets on banking.

4.6.5 Testing of Indonesian Banking Industry SCP

In deposits market channel, the result of significancy test of concentration ratio variable *(a_1)* significantly influences ROA meanwhile market share variable *(a_2)* does not significantly influence ROA.

$$\alpha_1 > 0, \qquad \alpha_2 = 0$$

This result means deposits market channel of Indonesian banking industry is still in the SCP traditional condition where the structure is the only one which influences profitability, not the efforts from internal factor like in SCP efficiency.

Meanwhile in credits market, the result of significancy test of concentration ratio variable *(β_1)* does not significantly influence ROA and market share variable *(β_2)* also does not significantly influence ROA.

$$\beta_1 = 0, \qquad \beta_2 = 0$$

This results of credits market is included as unidentified SCP because there is no such model criteria in SCP theory. The fact that concentration ratio and market share do not significantly influence ROA means Indonesian banking in credits market share is not in a normal condition.

4.6.6 Capital Adequacy Ratio (CAR) on Profitability (ROA)

Testing hypothesis of capital adequacy ratio (CAR) obtained result that CAR has a insignificant negative relationship towards ROA in confidence level of 95%. It means that if CAR increases, ROA will decrease but it is not significantly be influenced. Logically, this is normal because the concentrated money in CAR will make bank lost an opportunity to make innovation in expanding its business. The minimum of CAR is at 8%. However, there are too many banks which reserves CAR more than 8%. This condition is not always good, even though the solvability of banking is safe but the money which is allocated in CAR will be useless and bank can lost an opportunity in using its money to make other the development of its business which has a purpose to increase profitability.

4.6.7 Non-performing Loan (NPL) and Profitability (ROA)

NPL Gross has a significant negative relationship with ROA in confidence level of 95%. The coefficient of NPL Gross is -0.094, which means if there is any 1% additional of NPL Gross. ROA will decrease at -0.094. This result supports the normal condition whereas NPL Gross generally will affect negatively towards profitability.

The lower NPL Gross, the citizen tendency to give third party funds to banking industry will be higher because a low NPL shows a good performance in banking management and this will make citizen take a strong trust on banking industry to give their deposits. This condition normally will increase ROA.

4.6.8 Loan to Deposits Ratio (LDR) and Profitability (ROA)

LDR is the proxy of intermediation function of banking industry which means it is the main function. The result of this research shows that LDR is not significant on ROA with negative effect. If there is an increment of LDR, it will negatively affect ROA but not occuring a significant influence. A negative effect is an opposite expectation because the more loans distributed to defisit unit, the more banking will get interest income. In fact, the negative effect indicates that the more loans distributed to defisit unit, the more the risk for non-performing loan is higher. The data of Bank Indonesia shows the trend of LDR which increased from 2001 to 2012, which means ROA decreased for individual bank. This condition shows the principle of distributing credits is not implemented wellbecause the good condition is when loans sucessfully creates interest income and and has a significant effect on ROA. A good thing of this fact is this relationship is not significant.

5. Conclusion

From the research results of data analysis that had been done, it can be seen that the only significant variable of performance is concentration ratio of deposits while the other variables have no significant on performance. Based on these conclusions, it can be stated that Indonesian banking industry in deposits market still operates in traditional SCP. Meanwhile, credits market is in unidentified SCP condition because both concentration ratio and market share are not significant in ROA. The main variables of banking characteristics which significantly influence ROA is only earning assets shown by the significant negative effect of NPL towards ROA.

The fact that concentration ratio of deposits is significant towards profitability indicates that Indonesian commercial banking still rely on deposits market to make profit. If this continues happening, bank can make deposits price lower and the credits price will be higher. Bank Indonesia should make a restructure of market structure in Indonesian banking by focusing big banks to open new branches overseas to give some spaces for the small banks in increasing the deposits market of small banks. The big banks which open more branches domestically will only make small banks in bankruptcy or merger and competitiveness in banking industry will be lower. If this condition keeps continuing, there will be monopoly structure in Indonesian banking and the big banks can determine credits and products in their own willing. By opening other branches overseas, the big banks can expand their business internationally, meanwhile the small banks can make a lot size in Indonesia.

Bank naturally will be in a health competition if the market structure has changed into perfect competition by doing the restructure of market structure. The concentrated banks will not make a higher credits price, so that net interest income will be normal. Banks should be more creative in searching fee based income and controlling more overhead cost in order to keep the banking efficiency. Therefore, the role of banks as intermediation will be done completely. The business investment will open widely and the unemployment will decrease. In the end, economics democracy will be happening in Indonesia.

This fact that individual market share is negatively significant on ROA which means there is no efficiency cost in creating deposits product, this condition naturally will not impact ROA. To make individual market share of deposits market higher and significant on ROA, banks should increase the differentiation products of deposits market. However, the overhead cost should be efficient so that profit will not decrease. The individual market share of credits which is already positive but not significant towards ROA indicates that the overhead cost in creating credits product which already efficient even though it is still not impact ROA. Therefore, the steps could be taken is only increasing the market share of credits through differentiation of credits market products to gain more profit.

Assets quality as the main engine of individual banks needs to be maintained so that loan growth is not followed by the increment of NPL. To maintain the NPL, the banks should still strict in distributing credits to the consumers and the investors should be feasible, therefore interest income will be higher and ROA also will increase. In addition, the distribution of credits from deposits should still be increased by considering the principles of credits distribution because the risk in distributing credits is always exist. Then, excess of capital adequacy can be decreased to the minimum percentage according to regulation (8%) and it is better to allocate CAR to earnings assets so that the opportunity in receiving loan will be higher rather than storing the money in capital.

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Relationship between the Belief System and Emotional Well-Being of Single Mothers

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Abstract

This study aimed to identify the relationship between the belief system and emotional well-being of single mothers in Kluang, Johor. This study involved 58 respondents using the purposive sampling technique. Questionnaires were used to identify the emotional well-being and respondents' belief system. Data were analysed using Statistical Package for the Social Science (SPSS 19.0). Descriptive statistics in the form of percentage, mean, and inferential statistics, namely, 'Pearson r' correlation analysis was used to identify the relationship between single mothers' emotions and their belief system. Results of the study found the single mothers' emotional well-being to be moderate (M = 23:56, S.D = 6.62) and their belief system to be high (M = 37.55, S.D = 8.22). In addition, the study also showed a significant difference between the single mothers' age, reason for becoming single mothers, occupation, number of dependent children and family members, in relation to the single mothers' belief system and emotional well-being. However, there was no significant difference in the relationship between their level of education and belief system. The study also showed a moderate correlation between the two variables ($r = 0.665$, $p = 0.000$). Implications of the study are discussed and further research can be carried out on samples who have recently experienced a separation or divorce, to assess the short term and long term impact.

Keywords: emotional well-being, belief system, single mothers

1. Introduction

A single mother's emotional well-being is essential when facing numerous current issues and challenges. Task-overload, work related stress, poor social life, and arguments with ex-spouses are examples of problems faced by lone parents or single mothers (Kelly & Voydanoff, 1985; Richards, 1989; Richards & Schmiege, 1993). In addition, single or lone parents have multiple roles, and so face different pressures compared to other types of households, such as limited human resources, less emotional support, less assistance with household tasks and child care, less time available for social activities, and reduced participation in community life (Smith, 1980). As Kendig and Bianchi (2008) assert, single mothers experience a time deficit as a consequence of competing demands that limit the time they have available to care for their respective children.

In relation to statistical data of single mothers, Le and Miller (2013) reported that as of June 2005 the number of lone parent families with young children had increased to 463,000 in Australia, comprising 21 per cent of all families with young children (ABS, 2011). Meanwhile, the number of single mothers also increased to 32 per cent in the United States (Annie E. Casey Foundation, 2009). The number of single mothers is also increasing in the middle east, particularly in Iran, mainly due to the demise of a spouse (Khosravan, Salehi, Ahmadi, & Mansoorian, 2013). In fact, more than 80 per cent of Iranian female-headed households are run by single mothers whose husbands have died (Khosravan, Salehi, Ahmadi, & Mansoorian, 2013).

Becoming a single mother is stressful as these mothers have a high responsibility towards their children, with the stress experienced affecting their psychosocial and physical health, quality of life and economic standing (Hanson, Kaakinen, & Gedaly-Duff, 2005; Wilcox, Evenson, & Aragaki, 2003). Without a partner, it is difficult for single mothers to provide the time and attention that children receive in two-parent homes (Kendig & Bianchi,

2008). Single mothers also cite difficulties with child-rearing and report childcare as a major stressor of daily living (Wijnberg & Reding, 1999). In addition, about 44 per cent of single mothers smoked daily as a result of facing more stress due to economic situation, occupation and family issues, compared to mothers with spouses (Sperlich, Maina, & Noeres, 2013). As the number of single-mother increases, it is vital to better understand the parenting process unique to single mothers (Murry, Bynum, Brody, Willert, & Stephens, 2001).

Single mothers who are able to cope with their problems will have a high emotional well-being. A theoretical approach that is often associated with the emotional consequences of individuals is the Rational Emotive Behavioural Therapy (REBT), introduced by Albert Ellis in the mid 1950s. The ABC Model introduced in the REBT approach greatly helps an individual in understanding the causes of emotional disturbances (Ellis, 2002; Dryden, 1995). Ellis (2002) asserted that positive consequences of emotion and behaviours are often associated with beliefs. If a person's assessment on a negative event is rigid, absolutistic and dysfunctional, the emotional and behavioural consequences are likely to be defeating and destructive (Ellis, 2002; Dryden & Neenan, 2004). Alternatively, if a person's evaluative assessment about the event is preferential, flexible and constructive, the emotional and behavioural consequence (C) is likely to be self-helping and constructive (Ellis, 2002).

1.1 ABC Model

The ABC model, which is the main component in the REBT approach has been explained in great detail, particularly how emotional disturbance or stress experienced by individuals is due to their irrational belief system, rather than the negative events they experienced (Ellis, 1962; Ellis & Bernard, 1983; Ellis & Dryden, 1999). There are three main components in the ABC Model comprising activating events (A), belief system (B) and emotional and behavioral consequences (C).

Activating event (A) - (A) could be defined as activating events that occur in people's life (Walen et al., 1992). People believe it as the cause of their problems (David et al., 2005).

Beliefs (B) - Beliefs (B) represent an individual's view about events (Dryden, 1999). Ellis (2004) proposed that beliefs (B) mediate the impact of activating events (A) on emotions and behaviour (C). Beliefs can be held about oneself, others and/or life events. The REBT theory advocates that beliefs can either be rational and healthy or irrational and unhealthy (David et al., 2005; Dryden, 1999). Rational beliefs represent any thoughts which are flexible, logical, realistic, and will aid goal attainment. Contrary to rational beliefs, irrational beliefs represent any thoughts that are unrealistic, rigid, extreme, illogical, absolutistic demands toward self, others, or life and prevent peoples from attaining their goals. Irrational beliefs are one of the main long-term sources and factors that maintain the distress and, as a consequence, may lead to many anxiety and mood disorders (David, Szentagotai, Lupu, & Cosman, 2008).

Irrational beliefs will act as a mediator for the relationship between an event that will happen and reaction towards emotional disturbance and behaviour (Ellis, 1993). To explain in detail the irrational beliefs of an individual, Ellis (1962) initially classified 11 irrational beliefs causing emotional disturbances. However, subsequent studies have identified four categories of irrational beliefs, namely, 'demandingness', 'awfulizing', 'low frustration tolerance', and 'global evaluation' (Ellis & Dryden, 1997; Dryden & Ellis, 2003; DiGiuseppe et al., 2012). 'Demandingness' is viewed as a core belief in which a person ultimately will emphasize a situation as "must" or "must not" (Dryden & Neenan, 2004). For instances, *"I must be a good single mother all the time"*, and *"My children must respect me"*.

'Awfulizing' refers to an individual's belief that an event is so awful, that it becomes not acceptable (Ellis & Dryden, 1997). Typically, the characteristics of 'awfulizing' are expressed through an example such as, *"It would be awful if I cannot get what I want"*. A single mother who has 'low frustration tolerance' will not be able to endure the negative events or experience any happiness if what he/she wants does not materialise (Dryden & Neenan, 2004). The characteristics of this irrational belief could be expressed in a statement such as, *"I can't stand it when I cannot be accepted by others"*. Meanwhile, 'global evaluation' appears when individuals overgeneralize about others, themselves, and the world when their demands are not met (Walen, DiGiuseppe & Dryden, 1992). For example, this feeling could be manifested by saying "*I am worthless if I cannot be a good single mother"*.

Consequences (C) – Consequences (C) represent undesirable emotional consequences (ueC) and undesirable behavioral consequences (ubC). C is a result of people's beliefs or perceptions. Rational beliefs (RBs) lead to functional consequences, whereas irrational beliefs (IBs) lead to dysfunctional consequences (David, et al., 2005). For example, C can be expressed through the phrase *"I feel angry / anxious"* while ubC can be manifested by becoming withdrawn, yelling, or throwing things. Figure 1 illustrates an overview of the main components of the ABC Model.

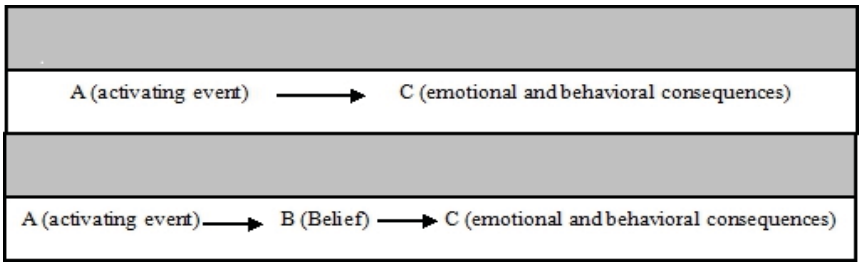

Figure 1. ABC Model (Adapted from Corey, 1986)

Most individuals assume that emotional disturbances and behaviors (C) originate from activating events (A) which may be external or internal (Ellis & Dryden, 1997). However, the therapeutic process of REBT encourages the clients to understand that their dysfunctional emotional and behavioral responses (C) are largely due to their irrational beliefs (B), not the activating event (A).

Khosravan, Salehi, Ahmadi and Mansoorian (2013) stated that society regards single mothers or widows to be of lesser value, compared to women with husbands. In fact, the former group of women may even be perceived negatively. This in turn leads to a growth in negative or irrational thinking in single mothers, such as the feeling of repulsiveness and worthlessness, which is then manifested in the form of low self-confidence (Khosravan, Salehi, Ahmadi, & Mansoorian, 2013). There is also a manifestation of other negative feelings among single mothers further worsened by lack of social sympathy. These negative thoughts and behaviours include 'loneliness and abandonment' and 'injustice and abuse', which entail a feeling of 'lack of trust' towards society. In addition, Joyce (2006) identified irrational parenting beliefs such as becoming too demanding displayed through absolutist and rigid beliefs that include 'should, ought, have to' statements. Irrational beliefs are also held by parents who cannot tolerate or bear an event or a set of circumstances that do not meet their expected standard for success (Joyce, 2006).

Starko (1991) examined the relationship between parents' irrational beliefs and stress for both mothers and fathers. The results indicated that a significant relationship exists between mothers' stress levels and irrational beliefs. This supports a previous research by Ackerman (1991) in which parents' irrational beliefs have been associated with negative emotional consequences. From the literature review, we can observe the importance of beliefs and how it is often associated with the emotional-well being of single mothers. However, there are no available local research that studies both beliefs and emotional well-being among single mothers in Malaysia. Therefore, this study was carried out to identify the relationship between the two variables.

Emotional well-being is ***important*** as it has a direct correlation with physical health, quality of life and personal achievements. Emotional well-being is the cornerstone to quality human capital, which is very much needed in the Malaysia context in attaining its aspirations to achieve a developed nation status by 2020. Significant changes in the socio cultural, socio-political, and socioeconomic environment in Malaysia today has transformed the pattern, life style and perspective of the community. These changes can be seen from the fundamental aspect of the family system itself. According to Azizi et al. (2009) and Rice (2001), families may be labelled into several types, namely, single-parent families, nuclear families, extended families, binuclear families which is formed when an initial family is split into two, communal families, and gay or lesbian families comprising adults of the same gender, and finally, cohabiting families. Thus, the definition for 'family' has become wider and not only synonymous with nuclear or basic family units (Azizi et al., 2009).

In Malaysia, the increasing divorce statistics has resulted in an increase of single mother families. In fact, data generated by the Population and Housing Census of Malaysia 2010, showed that 831,860 women, comprising 2.9 per cent of the total population of Malaysia, were either divorced or irrevocably separated. Thus it is highly likely that this group of the Malaysian community, is experiencing volatile changes in emotional well-being, which will have a major impact on families (Diyana et al., 2009), particularly in terms of emotional and mental well-being.

Thus, the emergence of the rapid growth of single parent families in Malaysia has resulted in an urgent need for assistance programmes focusing on them, as they need help in various aspects, particularly with regards to mental health. Challenges faced by single mothers as heads of their respective families and as the main breadwinners have placed immense pressure on the single mothers to accept and adapt to the current situation, particularly with respect to the expectations of society and economic demands (Diyana et al, 2009). This raises

financial implications, especially for single mothers who do not work or those with very limited opportunities to get employment in view of their low educational background in addition to the issue of child care if they were out working (Faizah & Hazirah, 2013). The matter is worsened by social stigma experienced by single mothers, creating further pressure.

Hence, the REBT approach holds that, individual's emotional and behavioural consequences originates from the individual's beliefs that include ideas or thought processes. In other words, the way people feel is largely influenced by how they think (Ellis & Bernard, 2006). The irrational belief system of single mothers had been studied by Azmawaty Mohamad Nor et al. (2012). According to Azmawaty Mohamad Nor et al. (2012), generally, the perception of divorce among single mothers in most societies tends to be one-sided because it has been associated with negative consequences. Hence, divorce is often known as a negative concept and often labelled as "nasty divorces" (Azmawaty Mohamad Nor et al., 2005). In order to assist single mothers, their perception of divorce from a positive viewpoint has to be promoted.

Therefore, this article focuses on the emotional well-being and belief system of single mothers. Discussions are based on findings of a study, which investigated the correlation between single mothers' emotional well-being and belief system. Findings of this study could either be used as counselling guidelines or referral for future research.

1.2 Definition

1.2.1 Emotional Well-Being

Emotion is a feeling, an expression, or a cognitive reaction to a situation, which reflects the perspective or values held by an individual or society. Emotions may also act as an important element in communication and may generate solidarity in the community. Emotions in general can be labelled as anger, sadness, joy, shame, fear and so on, which play a significant role in decision-making. Mohd Azhar Abdul Hamid (2004) noted that changes in emotions could occur when a person is reacting to changes in their biological systems, such as facial expressions, voice, heart rate and hormones.

The Malay language Dictionary (1994), defines emotions as a strong feeling like sadness and anger, which affects the soul. Meanwhile, according to Hornby (1995), the Advanced Learners Oxford Dictionary, emotions are strong feelings involving feelings such as love, joy, hatred, fear, jealousy, feelings of pleasure or irritation. For instance, Spielberger (1999) defines the emotion of anger as "a psychological state or condition of a person with a subjective feeling of anger which vary according to severity, from mild dislike or annoyance to extreme hate and raging anger."

Well-being is a holistic concept in achieving physical and mental health, resulting in quality individuals within a community (Myers, Sweeney, & Wittmer, 2005, p. 252). Emotional well-being is one of the dimensions that underlie the aspect of overall well-being as indicated by Anspaugh et al. (2010) and Hales (2005) as individuals' attitudes and beliefs about themselves and life. It encapsulates a positive and realistic self-concept, self-identity, belief system and awareness level of restraint.

Emotional well-being is the essence of mental health and has become a major issue and challenge in today's society. Nevertheless, emotional problems do not only affect an individual's mental well-being, but could also significantly affect an individual's physical health. Stress, depression and anxiety can contribute to endemic diseases such as digestive disorders, sleep disturbances, and lack of energy. Thus, the existence of physical problems on top of emotional problems would make treating the latter more challenging. This is in fact a global issue because a number of studies have identified depression to be one of the most dominant mental diseases among single mothers (Hatcher, 2008; Hilton & Kopera-Fyre, 2006; Peden, Reyens, Hall, & Grant, 2004).

Single mothers in Malaysia experience relatively similar emotional problems with their counterparts across the globe. Wan Halim Othman (1995) points out that single mothers, particularly those divorced or abandoned by their husbands often suffer from depression and mental stress. According to him, single mothers' negative perspective on marriage in addition to economic pressure, tend to cause these mothers to neglect their children or leave the children to be cared by the children's grandparents or close relatives. Such neglect is seen as an indicator of emotional instability and failure to manage stress well, resulting in single mothers fleeing rather than facing or 'fighting' the challenges they face. At that point in time, these single mothers perceived fleeing as the only way out for emotional and physical survival.

1.2.2 Belief System

The term 'belief system' is employed in various fields but has significant differences in meaning. Nevertheless, in general, the term may be used to describe life practices and beliefs that allow individuals to comprehend

issues occurring around them or within themselves (só-Doménech Nescolarde-Selva dan Nescolarde-Selva, 2013). Key elements affecting the belief system may be classified into either internal or external, with one of the main elements being religious beliefs (Serap & Ayse, 2013), which create resilience and control within an individual. Carter (1999) believes that resilience is closely associated with tradition and religious practices of a particular community, forming the values and principles of life that is expressed in the form of lifestyle.

Therefore, it is not surprising that an individual's belief system plays a significant role in every decision made in every aspect of life by the individual, particularly concerning family stability and responsibility (Wilcox, 2002). A positive belief system could increase the durability and resilience of single mothers in facing pressures in life, although single mothers with low income are more at risk due to economic factors (Brodsky, 2000). The belief system may also act as an effective coping system for single mothers, which is perceived to vary according to skills and willingness to face new challenges, taking advantage of available social networking or support system (Abd Hamid, Siti Rafiah, Salleh, & Sakinah, 2013)

According to Peterson, Hamme, dan Speer (2002), belief in one self (self-control) has a significant influence in efforts to achieve either individual or community success. It is this belief that needs to be strongly inherent in single mothers for them to break the vicious cycle of problems faced, as asserted by Broussard (2010) who studied the mental and physical well-being of low-income single mothers. Self-belief is the expectation of an individual that something will occur through any means or method, which is considered valid, underpinned by scientific, religious or any other beliefs. Based on these perspectives, the expectation will then be converted into knowledge (Harvey, 1996).

The importance of self-belief which underpins inherent strength is of utmost importance as it influences any effort undertaken in enhancing the single mother's quality of life as a whole. This is because the expectations of mothers, particularly those of single mothers', vary according to age and personality especially after reaching midlife. Past studies have linked single mothers' personality traits with their social role, which plays an important role in shaping their self-esteem as single mothers (Newton & Stewart, 2013). A study by Harvey, Frank, Gore and Batres (1998) which looked at the effects of self-esteem in relation to feelings of shame and guilt, found that these feelings of shame and guilt are the product of self-reflection caused by lack or violation of social norms or standards in a society. As Serap and Ayse (2013) assert, the main challenge for women in their effort to consolidate the family unit, is the lack of social recognition. Hence, single mothers' belief system should become an effective 'coping system' which is seen to change according to skills and readiness in facing new challenges, taking advantage of available social network or support system (Rafiah & Siti Sakinah, 2013).

A study conducted by Carter (1999) showed that fortitude is strongly associated with religious traditions and practices of a community. For some single mothers, religious beliefs and conviction are central in sustaining their daily life and fostering inner strength. This suggests that religion and faith play an important role in not only shaping the perception of single mothers, but also acting as a coping mechanism. Additionally, faith may also have a significant effect on life decisions made by single mothers, influencing family stability and responsibility towards children (Wilcox, 2002), all of which are in fact synonymous with the multicultural society and religion in Malaysia. Brodsky (2000) concurs with this view as he too is of the opinion that religious belief and faith are a source of strength, which contributes towards the resilience of low-income single mothers facing economic pressures.

Apart from religious values, a study by Wan Ibrahim Wan Ahmad and Zainab Ismail (2010) who studied the profiles of single mothers abandoned by their husbands found that economic impact and the responsibility of raising children, greatly influence the single mothers' self-belief. The pressure and expectations of the community, together with the said responsibility continue to put single mothers under duress.

It is thus obvious that a positive belief system is of utmost importance in assisting single mothers to face life pressure whether economic or family related, or in facing social stigma. Individuals under stressful situations will tend to seek sympathy from other individuals capable of providing emotional support and reducing anxiety (Hewstone, 2008). Hence, social and welfare services provided by various government agencies and NGOs should be able to provide single mothers with the opportunity to empower themselves with the necessary life skills (Haleman, 2004) like strong will power, which stem from a positive and rational belief system.

1.3 Objectives of Study

In particular, this study aims to identify the relationship between single mothers' belief system and their emotional well-being. It also intends to look at the correlation between single mothers' belief system and emotional well-being in relation to their respective age, causes for becoming single mothers, occupation, as well as the number of dependent children and family members.

2. Method

This study applies the quantitative approach because it specifically involves numerical and computable data. This is also a correlational study as it attempts to determine the existence and degree of relationship between the belief system as the independent variable with the single mothers' emotional well-being which is the dependent variable.

The selection process of the respondents was based on the purposive sampling method as the aim is to seek "…groups and individuals where…the processes being studied are most likely to occur." (Denzin & Lincoln, 1994, p. 202). This type of sampling has the potential of providing depth of understanding. Therefore, this study involved 58 single mothers registered with the Family Development Foundation in Kluang, Johor Darul Ta'zim.

In this study, the instrument used was the questionnaire because of its practicality and effectiveness (Bubbie, 2010). The questionnaire comprises three sections, namely, Part A which is related to demographic questions, Part B which focuses on the belief system, and Part C which is related to emotional well-being. The Cronbach's Alpha value for the belief-system and emotional well-being were 0.849 and 0.927 respectively. Validity of the questionnaire was also attained from three experts in the field, comprising of experts from Guidance and Counselling, Education Psychology, and the Evaluation and Measurement, which as a whole showed a value of 90.66.

3. Analysis of Data

Data were analysed using the Statistical Package for the Social Science (SPSS) version 16.0, in order to obtain the mean, percentage and frequency values. Meanwhile, a correlation analysis was used (inference) to examine the relationship between the respondents' belief system and their emotional well-being.

4. Findings and Discussion

4.1 Profile of Respondents

Table 1. Profile of single mothers

Profile	Frequency	Percentage
Age:		
21 - 30 years old	1	1.7
31 - 40 years old	2	3.4
41 - 50 years old	11	19.0
51 years old and above	44	75.9
Reason for becoming a single mother:		
Divorce	14	24.1
Death of Husband	42	72.4
Abandoned by Husband	1	1.7
Other Reasons	1	1.7
Education Level:		
No Education	5	8.6
UPSR (Primary Integrated Test)	13	22.4
PMR/SRP/LCE (Lower Secondary Assessment)	11	19.0
SPM/MCE (0 Level)	23	39.7
STPM/HSC (A Level)	1	1.7
Diploma	2	3.4
Others	3	5.2
Employment:		
Government Servant	2	3.4
Private Employee	6	10.3
Work from Home	6	10.3
Pensioner	15	25.9

No employment/Stay at home mom	24	41.4
Others	5	8.6
Dependent Child:		
Children not of school age	1	1.7
School going children	19	32.8
Children studying at the tertiary level	14	24.1
Unemployed Children	7	12.1
Others	16	27.6
Number of Dependents:		
1 - 3 persons	42	72.4
4 - 6 persons	15	25.9
7- 9 persons	1	1.7

From Table 1, in terms of the age profile, the data showed that 94.1 % of the respondents were above 40 years of age, with the remaining 5.1 % were below 40 years of age. The data is different from Mohd Ismail et al.'s (2006) where 70% of their single mother respondents were in the category of between 25 and 40 years old, while the remaining 40 % were 41 years old and above. In terms of the reason for becoming single mothers, the data showed that the highest reason was due to the death of a husband (72.4 %), followed by divorce (24.1), abandoned by husband (1.7%) and other reasons (1.7%). These findings are similar to the findings of Syarifah (2003) who found that majority of women become single mothers due to the death of their respective spouses.

In terms of education level, the findings showed that majority (39.7%) of the respondents have SPM qualifications which is equivalent to O level education. This was followed by UPSR or primary school level which comprised 22.4% of the respondents. Meanwhile, 19% of the respondents have PMR or lower secondary level education while 3.4% and 1.7 % have diploma and STPM (A Level) qualifications respectively. The finding also showed that 8.6 % of the respondents do not have any form of education while the remaining 5.2 % have other types of qualifications. In terms of employment, majority of the respondents were unemployed which comprised 41.4%, while the remaining 25.9 % were pensioners living on a stipend. Single mothers who work from home and private sector comprised 10.3 % respectively, while 3.4 % worked in the government sector and 8.6 % do odd jobs.

From the aspect of dependents, the findings indicated that majority of single mothers (32.8%) have to support school going children, 27.6% have to support unhealthy children, 24.1% have to support children studying at the tertiary level, 12.1 % have to support unemployed children and 1.7 % have to support children not of school going age. The data showed that single mothers have to bear a huge responsibility to support their children despite the majority of them falling in the lower socio economic status. This brings us to the number of dependents that single mothers have to support. The data showed that majority of the single mothers (72.4%) have to support at least 1 to 3 persons in the family, 25.9% have to support 5 to 7 persons, while 1.7% of single mothers have to support 7 to 9 persons.

4.2 Emotional Well-Being

Table 2 shows single mothers' belief system for each item. Although the overall findings of this study found that the emotional level of single mothers was average, with a mean value of 23.56 and standard deviation 6.62, there were a few items of concern. For instance, item 2 with the statement 'I feel lonely when my husband passed away/abandoned me', despite showing an average mean level, had 46.5 per cent of the participating single mothers agreeing with the statement. This suggests the desire of single mothers to share their problems as individuals who are stressed tend to look for sympathy from other individuals who can afford them emotional support and give them peace of mind as (Hewstone, 2008). Likewise for Item 3 with the statement 'I cannot contain my sadness when my children asked about their father' with 41.4 per cent of the single mothers agreeing.

Table 2. Emotional well-being items of single mothers

Item	Agree (%)	Disagree (%)	Mean	Level
1. I quickly become irritated when asked about personal problems.	22.4	77.6	1.9	Low
2. I feel lonely when my husband passed away/abandoned me.	46.5	53.5	2.7	Average
3. I cannot contain my sadness when my children asked about their father.	41.4	58.6	2.8	Average
4. I feel calm despite having to face numerous challenges.	65.5	34.5	3.4	Average
5. I'm bored with my current life.	27.5	72.5	2.1	Low
6. I'm not easily stressed despite being burdened by difficult challenges.	63.8	36.2	3.4	Average
7. I often brood when thinking of challenges faced.	25.8	74.2	2.3	Low
8. I do not believe that every problem can be solved well without my husband by my side.	20.6	79.4	2.3	Low
9. I feel very disappointed if I do not attain what I want in life.	24.2	75.8	2.6	Average
10. I easily blame myself for any untoward incidents occurring in life.	22.4	77.6	2.0	Low

4.3 Belief System

Table 3. Self belief items of single mothers

Item	Agree (%)	Disagree (%)	Mean	Level
1. I must always excel in life.	88.1	11.9	4.1	High
2. I would like to ensure that I do not fail in achieving any goals in life.	80.8	19.2	3.8	High
3. I accept what is happening in my life without the presence of my husband.	81.7	18.3	3.8	High
4. I should refrain from resolving any problems that I am facing.	23.4	76.6	2.7	Average
5. I view problems that occur as a challenge rather than a burden.	91.3	8.7	4.0	High
6. I should not have loss a person whom I love in my life.	47	53	3.0	Average
7. The hardship I am going through in life is God's punishment to me.	63.8	36.2	3.4	Average
8. When committing a mistake, I always tell myself "I'm not a perfect human being".	68.7	31.3	3.5	Average
9. My life need not necessarily be bad all the time.	76.6	23.4	3.6	Average
10. I think the world has become meaningless since the absence of my husband.	4.4	95.6	1.8	Low
11. I am not necessarily always right in presenting my views.	72.4	27.6	3.5	Average
12. The demise of (or being abandoned by) my husband has certainly made my life difficult.	33.3	66.7	2.2	Low

Overall, the results showed that the respondents' belief system is at a high level with a mean value of 37.55 and standard deviation 8.22 Table 3 shows item 1 with the statement "I must always excel in life", item 2 "I would

like to ensure that I do not fail in achieving any goals in life." item 3 "I accept what is happening in my life without the presence of my husband," 'and item 5, "I view problems that occur as a challenge rather than a burden" to have high mean values, suggesting that the single mothers surveyed were highly rational in nature. This assumption is further supported with the results of other items that showed the respondents' positive rationalization.

Nevertheless, the study found 33.3 per cent of the respondents to agree with the statement 'the demise of (or being abandoned by) my husband has certainly made my life difficult'. In addition, 47 per cent of the respondents agreed with the statement in item 6, namely, 'I should not have loss a person whom I love in my life', which suggests that these respondents lack a rational belief system as they are rejecting and questioning the will of God and their divine destiny. This finding implies that some respondents have an irrational belief system in trying to escape from dealing with the problems faced. This is consistent with a study conducted by Cairney et. al. (2003) which found single mothers formulating several strategies in dealing with challenges and pressures due to the absence of their respective spouses, which among others include avoidance strategy which involves not facing or solving the said problem.

Furthermore, this study also shows that 49 per cent of the respondents disagreed with the statement 'the hardship I am going through in life is God's punishment to me'. This finding contradicted the finding of another study, which found that trust or faith in religion is a source of strength for low-income mothers despite economic pressures.

4.4 Demographic Factors and Their Impact on the Belief System and Emotional Well-Being of Single Mothers

Table 4. ANOVA statistics showing the relation between demographic factors and belief system and emotional well-being of single mothers

Demographic Factors	Belief System			Emotional Wellbeing		
	df	F	Sig	df	F	Sig
Age	19	2.101	.035*	20	2.582	.009*
Reason for Becoming Single Mothers	19	4.603	.000*	20	6.604	.000*
Employment	19	2.155	.030*	20	1.943	.047*
Dependent Children	16	3.108	.007*	17	2.386	.022*
Total Dependents	17	2.040	.047*	18	2.642	.010*
Education Level	19	1.046	.447	20	3.174	.002*

* significant level 0.05 level $p < .05$

Table 4 shows the impact of demographic factors on the variables of belief system and emotional well-being of single mothers. Based on the data generated, a significant difference was shown arising from age factor, reasons for becoming single mothers, employment, dependent children and family members. These factors are synonymous with the ability to seek and obtain the necessary skills in enhancing the economic status of single mothers. Economic status in fact is the main indicator for problems faced by single mothers, particularly in Malaysia (Faizah, 2013). This finding is consistent with the disclosure of previous studies that show the effects of demographic factors involving poverty and high family dependents among single mothers to cause social polemic, with dire consequences to the psyche of single mothers and their respective children. This is of concern, as single mothers living in poverty are associated with the inability to provide their children with adequate sustenance and education (Roshanim, 2004). These single mothers are also prone to become involved in social ills and experience psychological problems (Faizah & Azian, 2013).

With regards to the single mothers' education level, it was found that this variable only influenced the single mothers' emotional well-being, with no effect on their belief system. Nevertheless, it should be noted that education could have a positive impact on other aspects such as health, work environment, and family (Diyana Ishak et al., 2009). Better economic standing in line with higher education level will inevitably affect self-esteem, particularly confidence, mindset and action (Cheesemen et al., 2011).

4.5 Relationship between Demographic Factors on the Belief System and Emotional Well-Being of Single Mothers

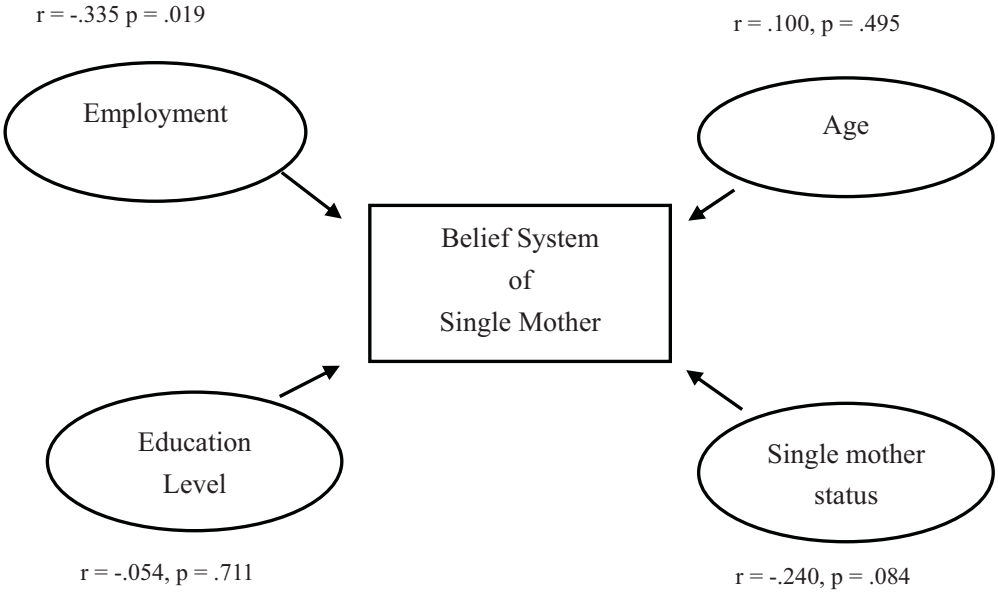

Figure 1. Correlation framework between demography and belief system

Based on Figure 1, correlation factors between the belief system of single mothers and demographic factors show that employment, single mother's status (reason for becoming a single mother), and education level have a negative relationship with correlation coefficient score of -.335, -.240, and -.054 respectively. Meanwhile only age shows a positive relationship with correlation coefficient score .100. This shows that employment, single mother status, and education level does not affect the belief system of single mother. Neither do age because although it has a positive relationship, it is weak and the value is not significant to show a strong relationship.

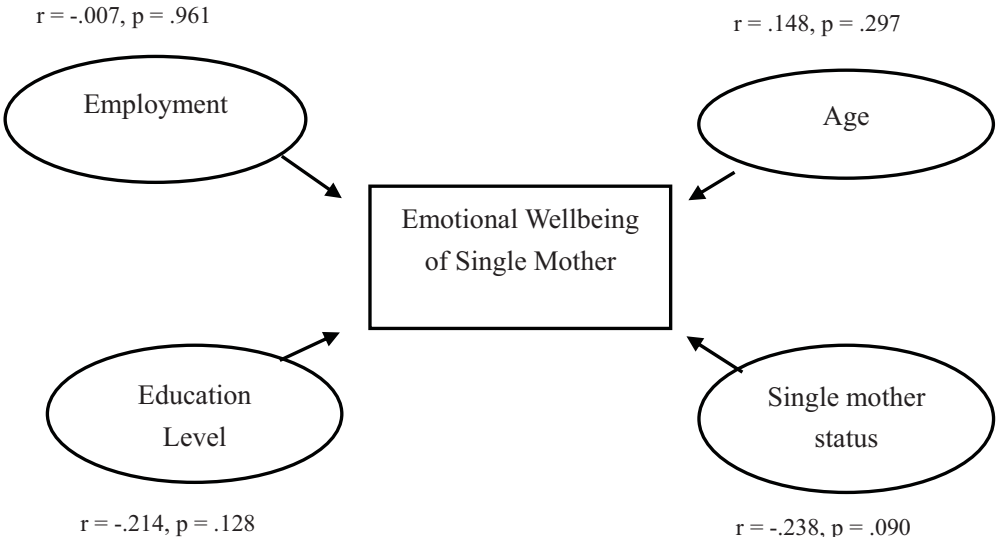

Figure 2. Correlation framework between demography and emotional wellbeing

On this figure, it follows the same trend as the previous variable. Only age shows a positive relationship with a correlation coefficient score of .148, while employment, single mother's status, and education level show a negative relationship with correlation coefficient score -.007, -.238, and -.214 respectively. This signifys that

there is no relationship between employment, single mother status, education level and even age to emotional wellbeing of single mother.

From the analysis done on the demographic factors and the variables on both figure, it can be said that demographic background of single mothers does not give a significant relationship towards the bellief system of single mothers. This is true on account that many single mothers faced stress and emotional disturbance from the dual role playing in the family (Kendig & Bianchi, 2008). The time deficit to take care of the children in addition to low emotional support from the community, contributed greatly to the well-being of single mothers (Smith, 1980). Therefore from the theory given, demographic factors is not an activating event to cause enough effect to the belief system and emotional well-being of single mothers. This result confirmed previous data that showed that most single mothers face issues and challenges with task overload (Kelly & Voydanoff, 1985; Richards, 1989; Richards & Schmiege, 1993), multiple roles, less assistance in household and child care, and also less time available for social activities (Smith, 1980).

4.6 Relationship between Belief System and Emotional Well-Being

Table 5. Correlation between belief system and emotional well being of single mothers

	Emotional Wellbeing	
	r	Sig
Belief System	.665**	.000

** Correlation is significant at the 0.01 level (2 tailed) P<0.01

Table 4 shows the correlation between the belief system and emotional well-being of single mothers. The relationship between emotional impact and the belief system was obtained through a correlation analysis. According to Rowntree (1981) and Azwani (2010), a particular relationship can be assessed through the $p < 0.05$ value. There is a strong relationship between emotions and the belief system, with an r value of 0.665 and p value of 0.000 (see Table 4) which is smaller than the set 0.05 significance level. This indicates that belief system has a relationship with the emotional well-being of single mothers in Kluang. The result was consistent with studies by Coleman & Karraker (1997) and Jones & Prinz (2005) in which higher parental efficacy or beliefs has been found to be related to lower depressive symptom scores and stress, and to higher enjoyment from the parenthood status. Among parents who experienced the same level of parental tension, those with a higher sense of parental efficacy reported better mental health (Kwok & Wong, 2000). Based on the REBT approach, as negative emotion is largely due to irrational beliefs, any changes to the irrational belief will lead to the reduction of emotional disturbances and increase the emotional well-being, which is a major purpose of REBT (Ellis & Bernard, 2006; Vernon, 2004).

According to the findings, the emotional well-being of single mothers surveyed in Kluang Johor is not at an alarming level. Nevertheless, this level may to some extent be due to factors of age and duration of becoming single mothers. The time duration may lead to the assumption that the respondents have become accustomed to the current situation or the trauma caused by the loss has been dulled over time. Additionally, support and assistance as well as sound economic resources have the ability to enhance the single mothers' emotional well-being. It was also found that a rational self belief system runs in tandem with a strong emotional well-being. The impact of the emotional well-being on the belief system is one of the key indicators in the efforts of the Malaysian government and other parties to enhance the productivity level of Malaysian citizens, making positive emotional well-being the thrust supporting national development.

5. Limitation of the Study

The findings of the study cannot be generalised to single mothers in Malaysia. It is likely that respondents of the study are already accustomed to their current situation, whereby the suffering, and emotional instability phase has ended. In addition, as the respondents were willing to participate in the study, there is a probability that single mothers who are really facing emotional problems and self-belief did not come forward as they tend to be defensive and untrusting. This gives rise to the question whether women who had recently become single mothers can control their emotions and still remain rational. However, the results showed that the level of emotional well-being among single mothers is moderate. This should be given due attention as the results of the study showed that there was a significant relationship between the single mothers' belief system and emotional well-being. Thus, further in-depth research should be carried out to identify what exactly could contribute to the

positive emotional well-being of single mothers. Further investigations are also needed to provide a different perspective and to consolidate existing findings.

As a whole, this study has looked at the relationship between the belief system of single mothers and their emotional well-being. Findings of this study suggest that support and assistance rendered are capable of positively affecting single mothers in the long run. Emotional well-being and a positive belief system can add significant value to self-satisfaction and overall productivity. Citizens who are highly rational and emotionally healthy are valuable human capital assets not only to the nation, but also to the religion.

6. Conclusion and Recommendations

In general, these findings indicate that the belief system of single mothers is positive, while the level of their emotional well-being is moderate. The data obtained may act as important information that can be used by relevant stakeholders like the Family Development Foundation and other NGOs to gain insights into the plight faced by single mothers. This would enable them to plan and implement strategies that could assist in addressing the problems afflicting single mothers to fully realize Vision 2020 towards a truly modern and advanced Malaysia. Fostering a resilient spirit among Malaysians who are able to shoulder the aspirations of the country is of paramount importance. Thus, assistance and collaboration from all stakeholders should be mobilised in further strengthening the belief system of single mothers towards achieving prosperity and positive well-being. If single mothers' irrational belief system were to be left unaddressed, without receiving adequate assistance and support, other negative effects such as suicide and involvement in prostitution might become prevalent among this group of women. Thus, single mothers plagued with problems, especially those living in poverty and experiencing irrational belief system should be provided due assistance.

A specific approach implemented through programs involving the participation and cooperation of all stakeholders should be pursued in assisting single mothers. Cooperation of the State government and volunteers whether government officials or from NGOs especially those championing the plight of single mothers, in addition to the attitude of the single mothers themselves, need to be mobilised and integrated. This is to enable issues and challenges faced by single mothers to be addressed in a more strategic and structured manner, thereby contributing towards enhancing single mothers' physical and emotional well-being.

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The Revenge Game: U.S Foreign Policy During Afghan-Soviet War and Afghan-Pakistan Falling Into Hell

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Abstract

The U.S Foreign policy during the Soviets encroachment of Afghanistan at the height of Cold War has been evaluated, as well as its negative effects in Afghanistan-Pakistan (Af-Pak). During 1979, Union of Soviet Socialist Republics (U.S.S.R) landed on Afghanistan in order to secure Warm Water Ports and Persian Gulf Oil. (This was called as the "Soviet Invasion of Afghanistan"). By having this situation, The U.S government established a mission in Afghanistan which consisted on two main purposes. One of them was to stand against the invasion of Afghanistan provoked by U.S.S.R. and the second one was to provide Afghan Mujahedeen Movements with some help and be prepared for the coming situation. So, the provision of the most dangerous weapons and the need of billions of dollars were made to these fundamentalist Afghan mujahedeen. Thus, they could protect themselves and fight against the U.S.S.R invasion. As a matter of fact, the Taliban groups were founded due to U.S policy. Nevertheless, the establishment of them has become the biggest general threat to global peace, particularly for Afghanistan and Pakistan. This research consists of three parts which are going to be developed in the order as follows: The internal milieu of Afghanistan and the intervention by U.S.S.R, The U.S policy interests and the outcomes of these policies, The Afghan and Pakistan consequences which were gotten by these policies. This Research is going to be a new source of knowledge for understanding the U.S foreign policy during this War and their negative effects on Afghanistan and Pakistan such as refugee's settlement and number of other problems. Although Americans just revenge from Soviets but this game also destroyed the Pakistan. Also as an explanation on the nowadays coming international terrorism and how the Afghan insurgents have become strong enough.

Keywords: Afghanistan, Soviet Invasion, Rebellions, U.S Policy, Hell

1. Afghanistan's Internal Milieu and U.S.S.R Intervention

After going through a Sour Revolution, People's Democratic Party of Afghanistan (PDPA, pro-Moscow) led by Taraki successfully mobilized a coup d'état in 1978. However, Taraki's reforms and advancements were not supported by Afghan people such as, components of the government, tribal leaders, intellectuals, and Islam itself according to study (Grau & Gress, 2002).

Although, from centuries, the Afghan history had seen the number of invaders from Persians to Greeks; Buddhism to Muslim kingdom; the Steppes to Afghan empires; Britain to experiment of modernism; and finally, Afghan Communists to Soviets invaders (Afghanistan, 2014). These all invaders established different cultures in Afghanistan, hence, the Afghan society divided into different groups such as ethnic, tribal, language and more.

As the Afghan society was divided in different groups, therefore, the social, political and economical transformation upon the Afghan society was not ready to be held due to internal issues. The Afghan government as an institution was not able to carry an agreement between them. That is the reason why many of them opted for neglected national, utter violence; and morals, Islamic traditions and customs (Kornienko, 1994). So the Afghan regime failed in its efforts.

Furthermore, The PDPA nationalities policy made by Amin and Taraki regime was especially focused on Pashtuns (Ghilzais). This situation did not please the minorities which were the non-Pashtuns. Soon after, a hidden war was able to take place in this conflict had been flanked by two factions of PDPA. "The opposition of

Parcham and the government itself" 'both in bureaucracy and administration' rejected this policy as well as the Pashtun identity.

Therefore, the foremost opposition's outbreak to the government came from the Hazaras, Noorstani and Tajik which were minorities of non-Pashtuns (Roy, 1990). Internally, the PDPA had been unsuccessful to run the country. Thus, they requested to U.S.S.R. for their support during 1979. Saikal Amin mentioned in his study that as the Afghan situation was going most terrible day by day so within nine months Afghan Government sends the twenty time request to Soviets for their help (Saikal, 2012).

During 1979, as the Afghanistan's political environment was beginning to deteriorate, initially, the U.S.S.R did not agree on direct intervention of their forces in Afghanistan. Leonid Brezhnev, leader of Soviet Union knew that the use of forces in Afghanistan would be a propaganda defeat and also it would will a perilous step for U.S.S.R due to moderate economy of Afghanistan. But the situation of the region became worst during last quarter of 1979 and Taraki (backed by Soviet) lost his power and the control of the country was going over in the hands of Islamic fundamentalism which was a big threat for U.S.S.R and they did not want to see Afghanistan as a fundamentalist country thus the U.S.S.R changed their minds (Woodrow, 2001). And U.S.S.R administration found the intervention as the only single way to see Afghanistan as buffer state (Garthoff, 1994). Finally, in the last week of December 1979 Soviets decided to invade the Afghanistan and thousands of their military troops entered into Afghanistan and flew into Bagram, Shindand and Kabul air basis and get the control (Galster, 2001).

2. U.S Objectives, Initiating Policy and Pakistan's Beginning Role

For the survival of capitalism the growth of economy plays a key role and the U.S. required the Third World resources to continue their dominance. Kennan as head of State Department affirmed in 1948, 'We have only 6.3 % of population but 50% of the world's wealth, so United Stated cannot fail to fulfill their objectives. The U.S actually needed in the near future to plan the relations that will allow the United States to keep its position of discrepancy (Kennan, 1948). But the Soviet Union comunist regime was a big threat to U.S objectives and its capitalism regime. The support of PDPA in Afghanistan (national liberation movements, socialism) had from U.S.S.R was also a big challenge for U.S. policy makers. The never-tackled situation between U.S and U.S.S.R was another critical situation after the end of the WW-II (Gray, 1990).

Once the invasion of Afghanistan occurred, a new and more ominous threat to American interests in the region became clear. So initially, American policies think tankers Brzezinski and Vance agreed on the outcome of the U.S.S.R incursion and the both policy makers founded themselves at strange with each other on thinking over the involvement with Afghan government backed by U.S.S.R (Brzezinski, 1983; Hammond, 1984). The consequence to the opinion's differences on the course of America's foreign policies towards Afghanistan between Vance and Brzezinski following Tarraki's gaining to control are better understood when thinking that the two official's of U.S were in common agreement of a been taking action in state before the leader of U.S.S.R backed took over the control. Brzezinski during his interview with Hammond (a writer) stated that what events happen in Afghanistan, we see and it will be better for us to 'Wait and See'. Hammond (1984) stated that Vance and Brzezinski both agreed on "Wait and See" policy.

Galster (1991) mentioned in his study that when U.S.S.R forces began the incursion on Afghanistan, policy makers of U.S understood that U.S.S.R forces were near the Persian Gulf. According to a commentary in U.S intelligence cited in 'Afghanistan: The Making of U.S Policy, 1973-1990' which displays this inception: 'The prime motivation that drive the U.S.S.R's move was to get its basic objectives within reach. Afghan's control would be a prime step to assess the dominations over the Asian Sub-Continent and Indian Ocean (Galster, 1991). In response, South West Asia and Persian Gulf were declared as the 3rd security zone area of West by the Carter administration (Brzezinski, 1980).

Brzezinski agitates that the U.S.S.R should take the benefits on its existence in the South Asian region in order to impact Iran or Pakistan to contemplate a prime warning for the U.S oil objectives. In 80's Brzezinski's memos had been sent to Carter's administration in which he outlined U.S objectives towards Afghanistan. Also Brzezinski's documents indicated the approaches to attain a secure structure to defend the prime objectives in the region. Even though the memos did not delineate explicitly those interests, they by themselves, however, indirectly indicated that the oil was the major economical matter and stability and solidity in the global oil market and he also indicated to maintain and continue of the security. More military support should be given to Persian Gulf region by both Allies and U.S (Brzezinski, 1980).

On January 4, 1980, during a address to the U.S nation on the Soviets invasion of Afghanistan, the President Carter stated that "*This is a callous violation of international law and the United Nations Charter. It is a deliberate effort of a powerful atheistic government to subjugate an independent Islamic people*," and further

focused on region importance and added that "*We must recognize the strategic importance of Afghanistan to stability and peace. A Soviet-occupied Afghanistan threatens both Iran and Pakistan and is a steppingstone to possible control over much of the world's oil supplies*" (Carter, 1980).

President announced a U.S policy to protect the Middle East oil from other nations which later called the "Carter Doctrine", in which the President affirmed to use every kind of sources 'even their own military power' to protect the regional oil (FRUS, 1977a). Finally, a cold war was start.

Hence, any threat to eastern oil should be prime effects on the business area of U.S. Any explanation in foreign policies of U.S that did not comprise economically objectives as the basic motive in eastern region is a fragile case as an indicator by America's help of unscrupulous and shady governments around the eastern region. Besides, U.S-Soviet Union cold war was not a new conflict but had already been looped with Vietnam War therefore the conflict of Soviet-Afghanistan was a gigantic chance for U.S to revenge the Soviet Union so that U.S reformed their policies as 'Hurt Them' and did not miss the chance. Also Gulf Oil and revenge to Soviets were the prime objectives for the U.S foreign policies towards cold war.

Without missing the big chance, Pakistani President Zia-Ul-Haq had certainly recognized the U.S foreign policy context. Right after his briefings to U.S officials during 1979, Zia's special focus was on U.S.S.R military invasion in Afghanistan, the warm water ports and the oil rich Persian Gulf. Furthermore, he tried to convince the U.S.A for financially support of the Afghanistan rebels. It was the beginning for Pakistan's role to get the U.S attention towards the third world countries. Besides, The U.S. policy makers and specially the CIA Director Casey had already decided to do anything for reaching their objectives. For instance, The CIA Director Casey stated that a war should be spread in order to generate a Vietnam War against the U.S.S.R (Kux, 2001).

These all interferences of U.S were not concealed from the Soviet Union. As per shown in Soviet documents that Kremlin was completely aware of America's internal interests and geopolitical objectives in Afghanistan and were increasing their attention towards region. A top secret memorandum in October the 29th, 1979 was an evidence for this contention in which circumstances and events pertaining to fall of Taraki's regime had been discussed. Amidst its appraisal, the reports showed how, 'Currently signs have been observed such as Afghanistan's new leadership intends to formulate a new balanced policy towards Western countries' (George Washington University, 2011).

The war of Afghanistan was different for the U.S as previously fought by them under the umbrella of anti-communism and this war was not the part of U.S security system before seventy eight (Garthoff, 1994). The U.S.S.R has used his own military team to intervene in Afghanistan. The U.S role in Afghan region enjoyed domestic support rare during the conflicts of Cold War. The executive and legislative departments were combined to resist the incursion of Soviet Union; it was propaganda to defeat for U.S.S.R that U.S politicians could ignore. The U.S.A was also internally united against U.S.S.R invasion because of the exclusive opportunity to inflict serve vandalism on U.S.S.R, gaining various measure of Vietnam's revenge. Charles Wilson (Texas Congressman) wanted to revenge the U.S.S.R for Vietnam. In an interview with CBS (T.V network), Wilson stated that he wanted to "hurt them" (Lohbeck, 1993).

U.S administrations not only opposing the Soviets through media statements but they also takes the hard decisions and provide the billions of dollars and worlds dangerious arms to Afghan insurgents movements againts the Soviets.

3. U.S Hard Decisions – Backing to Afghan Mujahedeen

It is credible, given America's initial response to U.S.S.R and as an outcome of U.S political unity in backing of opposing it, that the reaction should be alike. The contemporary epoch of anti-communism attempt to find the roll back the U.S.S.R domination and denouncing any conception that may spur and prompt further efforts to make sure that Afghan's rebellions should be financially backed, well armed and technologically advanced in Soviet-Afghan War.

Hence President Carter and his administration prepare their foreign policies against the Soviets actions in Afghanistan and had commenced meetings with Afghan Mujahedeen and immediately supported them financially (Galster, 1991). Further, on priority basis U.S administration ordered for medical support of Afghan freedom fighters and propaganda operation against the Soviets (Cogan, 1993). Also on December 25th, 1979 Carter promptly approved an extensive plan which guided Central Intelligence Agency (CIA) for provision of military supplies in addition to humanitarian support to Afghan rebellions (Kux, 2001).

Afghan Mujahedeen were provided delayed timing devices by CIA with intelligence of satellite mapping and demolition experts trained the Afghan resistances (Coll, 1992). U.S official Shultz called the Afghan's resistance

as “freedom fighter” and further added that you are not alone “we are also with you” (Emadi, 1999). The U.S also provided mortar’s targeting devices which were linked to Navy Satellite of U.S. and anti tank missiles. The U.S. helped the Pakistan establishing of the guerrilla warfare schools for Afghan rebellions (Coll, 1992). Snipers were also provided to Mujahedeen to assassinate the PDPA members and Soviet forces; various members of PDPA were assassinated by them (Galster, 1991). Vincent Cannistraro, CIA official gave a controversial statement regarding assassination in war that assassination is not actually a relevant question during war (Galster, 1991).

Gates affirmed that during 1979, CIA informed to Special Coordination Committee (SCC) that the Afghan Mujahedeen had spread their activities against PDPA and had got surprising success against Afghan government and afghan administration was very serious about his opposition and prime threat (Gates, 2006). In relating to covert aid to Afghan rebellions, Brzezinski also informed to his government that their covert aid is going to induce the U.S.S.R military intervention. During his interview to French reporter he stated that “we don’t push Soviet Union to withdrawal from Afghanistan but U.S intentionally increased the possibilities for doing this” (Brzezinski, 1998).

Vance (The Secretary of State) suggested to his administration to continue the non-lethal support to Mujahedeen in Afghanistan for best impact on Afghan government and Soviet Union (Vance, 1983).

Carter takes further hard decisions with embargoing grain sales to Soviets, prohibiting of Americans teams in Olympic Games in Moscow and banning the exporting of technology to Soviet Union. The President takes one step forward to warn the Soviets in his State of Union address and stated that U.S can use his own military power in case of any outside interference in Persian Gulf region (FRUS, 1977b). President withdrew the SALT II treaty from Congressional consideration, leading Brzezinski to claim that “*SALT lies buried in the sands of the Ogaden*” (FRUS, 1977c).

Same as President Carter, during the first half of the Reagan presidency, Cold War tensions between the America and U.S.S.R intensified. President Reagan takes the charge of presidency with deeply suspicious of the Soviets and called the Soviets as "an evil empire" (Digital History, 2012).

Soon after his presidency, President Reagan also takes tough decisions. During 1985 era, Reagan approved the National Security Decision Directive (NSDD)-166, titled “Expanded U.S Aid to Afghan Guerrillas,” which was the big covert policy for the financial support of Afghan insurgents movements against the Soviets (Coll, 2004). Under the NSDD-166 directive CIA was authorize to play a massive role in Afghanistan and provided the legal way to support the Afghan freedom fighters. Additionally, the President authorized to expand the defense budget from almost 170 billion to 230 billion dollars (Patterson, 2005). As the President Reagan was much involve in Afghan-Soviets war and their belief had grown that the Afghan freedom fighters could not only fight and die but they fight and should be win this war. Therefore, under the NSDD-166, they authorized extra 300 million U.S dollars for the fiscal year 1985 for hidden support of Afghan insurgent’s movements and this secret amount was drown from secret Defense Depart account. Even this secret amount was hidden from Congress (Washington Post, 1985, October 10).

Reagan ‘along with other things, also introduced the more dangerous weapons and ordered to provide the U.S.S.R military targets to Afghan insurgents within Afghanistan including more sensitive intelligence sharing, which changed the whole war scenario within days. According to Gates that during 1985, along with funneling of billions of dollars to CIA for Afghans, in addition, U.S administration provided the dangerous weapons –SA-7s, anti-aircraft cannons, and machine guns to destroy the Soviets air power. Gates added that during 1986-87, U.S administration improved the logistics base and U.S ability to bring clothes, foodstuff and more advanced weaponry for the Afghan freedom fighters (Gates, 2006).

Same as the other dangerous weapons, during 1985 an issue was discussed in Reagan administration for provision of Stinger Missiles to Afghan insurgents but CIA administration had opposed this point because these weapons obviously belongs to U.S. But dramatically CIA point was opposed and on December 6, 1985 during a breakfast meeting between U.S high ranking official and they again raised the point for provision of Stinger Missile. A couple of weeks later in January 1986, during Casey’s visit to Pakistan, he indicated to Pakistani President Zia-Ul-Haq likely U.S. approval of Stingers (Gates, 2006).

In the first half of 1986, the President Reagan and his administration finally gave the permission for approve and sending of Stinger Missile to Afghan freedom fighters. The pressure for sending of Stingers didn’t come only from Congress but Secretary of State George Schultz, Bill Casey and various other top ranking officials also pressed to U.S government for this step (Schultz, 1993; Galster, 2001).

The first shipments of Stingers were provided to Afghan insurgents during second half of 1986 and results seemed to be capable. An intelligence report mentioned that after the provision of Stinger, the U.S.S.R war tactics has been changed. The report further added that before the introduction of Stingers, the Soviets fly over heads of their targets but now quickly attacks and fly back immediately (Digital National Security Archive, 1988, March). U.S provided the Stranger Missiles to Mujahedeen which were also used against civilians and the U.S.S.R blamed Pakistan and U.S for theses causalities and asserted that the America is the prime key to spread the international terrorism (Hartman, 2002).

In Cold War of Afghanistan, it was not only U.S. which backed the Afghan resistances but Pakistan and Saudi Arabia also played a very crucial role. Throughout Afghan war Casey had been doing the job of the Director of Central Intelligence (DCI) and was the member of Committee on the Present Danger (CDP). Casey considered himself as the chief commander of war against U.S.S.R forces in Afghanistan. In Islamabad, the Headquarter of CIA became the global external of Langley (Lohbeck, 1993).

Pakistan played a prime role during CIA's financial supporting to Afghan resistance. Due to Inter-Services Intelligence's (ISI) extensive connections with Afghan rebellions, CIA preferred to ISI for supporting and helping Afghan rebellions. CIA funneled billions of dollars, matched with Saudi Arabia as dollar for dollar for resistance of conflict chest through the Pakistan ISI; A CIA Director Cogan's colleague summed up the relationship that U.S took the means to pay the conflict and gave to peoples who could also do so for reasons which U.S agreed (Cogan, 1993).

Director of Afghan's covert operation and member of ISI, Brigadier Yousaf delineating the strategy that, "we should keep and maintain the pots boiling at assured temperature and not allow them to boil over" (Yousaf et al., 1992). This parallel was an admonition and reprimands not to exceed the aiding to resistance in shape of armament program and incites a U.S.S.R reaction. To avoid a direct conflict with Soviet forces, the Afghan guerilla forces focused on soft targets and a technique of conflict introduced by ISI officials causing severe damages (Yousaf et al., 1992).

Saudi Arabia had also played key role to aiding the Afghan rebellions under the policies of U.S. Moreover, Saudi Arabia wanted the Whabbism (a part of religion) in Afghanistan; Gates memo showed that Saudi Arabia appealed to America's officials to support the Afghan's insurgents and they should also encourage Pakistan people for doing this (Gates, 2006). Both Saudi Arabia and CIA financially supported the Afghan resistances approximately 9 billion against the Soviet forces (Faltas & Paes, 2001). Funneling of this big amount made these insurgents very strong and U.S used them easily against US.S.R for their own purpose.

4. Foundation of Hell in Afghanistan

After provision of financial support and arms to Afghan resistance movements against the Soviet forces in Afghanistan, the U.S deemed it essential to ally itself with Saudi and Pakistani governments. These allies made sure that the U.S arms and money program would be used to grow the Islamic movements in Afghanistan. As the same, Cogan stated that relations between U.S and Afghan mujahedeen had to be momentary as 'the long range country's aims in which mujahedeen were finally would not be entirely compatible with Westerns aims (Cogan, 1993). In 1980s, expansionism of Soviet forces was yet considered the crucial threat to warm water ports and petroleum of region, when contemplating the risks of U.S.S.R threat against the moderately new Islamic fundamentalists threat, strangely, conflict against communism was still earliest and foremost in U.S. policy makers' minds. U.S. ignored the threat of Islamic fundamentalists and used them as rampart against revolution and communism in Afghanistan.

A CIA official stated on Peshawar Seven as slack arrangement and layout of insurgents opposing U.S.S.R: 'Afghan was all fierce, brutal, and fundamentalist and blood thirsty' (Kux, 2001). Pakistani ISI official stated that there were only two groups which were considered most fundamentalists during Soviet-Afghan war (Yousaf et al., 1992). Hizb-e-Islami group was the most extreme than other and headed by Hekmatyar so that ISI funneled the most aid to them. During 1979, the leader of Hizb-e-Islami also met with the CIA (McCoy, 2003). They built his power and stature in Afghanistan thanks to U.S weapons and money program. In the initial stages of cover aid, Saudis supported with $200 million to Hizb-e-Islami group (Hartman, 2002). The weapons and financial aid being funneled to Hizb-e-Islami group and leverage the other groups lacked; The U.S empowers Hizb-e-Islami despite the fact that the leader of Hizb-e-Islami was not a good man but was ignored by U.S and was later described by U.S official as very brutal and violent person (Burchill, 2001). Hekmatyar's group peoples threw acid on women who refused to wear the veil in 1970s era (McCoy, 2003). Also during 1980s, he attacked on school where boys and girls studying together (Fisk, 2001). U.S official Lifshultz also criticized the U.S for promoting and aiding to Hekmatyar as the Afghan leader. But everything overlooked by all stakeholders

and funneled the billions of dollars and worlds dangerous arms to them.

Hence, the ISI was permitted by CIA to produce the radicals to fight against the Soviet Union. It was steady with Pakistani intelligence objectives of change the Mujahedeen conflict to worldwide conflict by Muslim countries against the U.S.S.R. Thirty five thousand fundamentalists from forty countries joined the jihad of Afghanistan. Eventually, more than ten thousand Muslim fundamentalists were influenced by Afghan War (Rashid, 1999). Their presence in the region was non-controversial. Every fundamentalist was willing to fight to death against Soviet. According to a U.S official in Pakistan, "During Soviet–Afghan war, everyone was welcomed and participated in Afghan jihad with open armaments and also everyone can participate if they wanted to fight against anticommunist; it did not matter whether they were from Bahrain or Bosnia (Dahlburg, 1996).

When Reagan became the U.S. President; his top priority on his security policy was to establish closest relations with Pakistan. He also told to Pakistani officials: "we know there are some problem between us but there will be happened something changes" (Kux, 2001). During Reagan era, $300 million were proposed as aid package for Pakistan to 'get confidence and also provide support to U.S in the regional interests' (Kux, 2001). The Pakistani security agencies allocated financial aid and weapons to extreme fundamentalists among the Afghan resistance movements (Rashid, 1999). According to Lifschultz, 'as a foreign correspondent, ISI's funneled system was a prime reason to spread the warlordism (Hartman, 2002). Further this money was provided the various insurgents movements and were ignored all kinds of retaliations.

Osama Bin Laden also participated in Afghanistan war against the U.S.S.R. The U.S.S.R invasion obtains the reaction from Osama, 'I was enraged'. Bin Laden aiding to recruitment, training and transportation mostly to Arab nationals (Richelson & Evans, 2001, September 21). Bin Laden was patronized by Pakistani Intelligence Services. The experience of Bin Laden during Afghan war accentuated and emphasized his religious ideology, when U.S.S.R shell fell before him. His ties with U.S weapons and money solidify his control in Afghanistan. The threat in the person of Bin Laden were ignored and overlooked throughout the Afghan war. In the final stage, they become much strong and changed into Al-Qaida, which is now danger for globe.

Furthermore, there have been a variety of retaliatory responses to the U.S. involvement in Afghan region including the widening of radical activities outside the Afghan border. Fundamentalists with connections to numerous terrorist activities, including the Dharan truck bombing in 1996 which killed 19 U.S officials and destroyed a barracks, demolished the U.S. embassies during 1998 which killed hundreds in Tanzania and Kenya, and the historical attack of 9/11on World Trade Centre (WTC). Three out of four terrorists of Saudi Arabia bombing admitted to gaining training and weapons from Afghan war (Dahlburg, 1996). Two of terrorists Ramzi and Abouhamila, bombing on WTC in 1993 that injured thousand and killed six, both were fought during 1980 era in Afghan war (Dahlburg, 1996). Various scholars, historians, and related officials pointed out that hell in Afghanistan have been founded under the umbrella of U.S policies, for instance, MK Narayanan, an Indian official, observed fundamentalists organizations as the illegal and illicit offspring of the war of Afghanistan during 1980 era (Dahlburg, 1996). A U.S official stated, 'this is a psychotic example of chickens coming back to home to roost. You didn't plug millions of dollars into the account of anticommunism, admit contribution from the entire world, and overlooked the consequences and outcomes. But we did (Rashid, 1999). Due to U.S. foreign policies and U.S involvement in Afghanistan, this region has been destroyed and also world's biggest terrorist organization have been founded which is now the biggest threat for global peace and Afghanistan seems to be like a hell in the world map.

5. Hell Towards Pakistan

As the U.S foreign policies created various sanctuary troubles and threats for Afghanistan same as the Pakistan was also fell into hell because was front line actor in this Cold War between U.S and Soviets Union. Furthermore, America's policies affected Pakistan's national interests, economic, security, tourism, and international image and different tribulations for Pakistan such as Refugee's Dilemma, Armaments culture, Drug Trafficking in Pakistan.

5.1 Refugee's Dilemma

During Afghan-Soviet War, Pakistan played a primary role in emergence of Afghan mujahedeen and subsequent conflict against Soviet forces and supported the U.S. As the outcome of this conflict, Pakistan received 3 million Afghan refugees and arranged almost 386 camps for their living; approximately, everywhere from one to two million with some estimating that the exact number is even over than this. Pakistan is the largest host to 2.5 million refugees since 25 years in the world (Jeffrey, 2002). Seventy per cent of total Afghan refugees migrated to Pakistan's other areas and basic needs were provided to them, as Pakistan's internal situation was already not satisfied due to poverty so these refugees created many problems for Pakistan. Most of the refugees stayed in

Baluchistan region and most of them were Pakhtoons so Balochi elders were not pleased with them and expressed fear that continuous migration of Afghan refugees towards Baluchistan can disturb the balance between Pakhtoons and Balochi nations and might turned them into a minority. Therefore, a hesitation war was start. Beside, Khyber Pakhtoon Khawa (KPK), was already facing various problems, for instance, unemployment, poverty and other various problems. As a result, Peshawar (Capital of KPK) was full of Afghan refugees and most of them carried their arms, travelling aimlessly which caused different problems creating anxiety for administrations agencies. Also these migrants created the serious problems like Law and Order, economic, civic amenities, unemployment, disturbed demography and control over small business of the country particularly in Baluchistan and KPK.

5.2 Drug Trafficking and Pakistan's International Image

As the Iran's Islamic revolution in 1979 closed all routes of drug trafficking towards western region, on the same time, the Soviet-Afghan war gave a free hand to Afghan's peoples for going in and out into Pakistan thus provided the opportunities to Afghanis for drug trafficking. Furthermore, they shifted poppy and heroin in Pakistan, as a result, KPK and Afghanistan cultivators' production was approximately seventy per cent of global highest heroin and biggest supplier in the world (Yusafzai, 1986, January). This drug trafficking created a drug culture in Pakistan and destroyed the image of Pakistan at international level.

5.3 Armaments Culture

During the Afghan-U.S.S.R war, the "Armaments Culture" was grown in Pakistan. As the U.S funneled the billion of dollar in the form of financial aid and huge quantity of international weapons through ISI to the Afghan resistance movements but unfortunately in the same era these insurgents and other Afghan refugees migrated to Pakistan and took these different kinds of arms with them. Finally, this cold war created the opportunities for illegal arms business in Pakistan particularly in KPK, thus armaments culture took firm roots in Pakistan; in the region of KPK, near the Afghan border, there was a largest illegal arms market in the world (Hilali, 2002). Russian and Chinese AK-47, anti-aircraft weapons, anti tank weapons, and the Japanese made pistol are also available in Dara Adm Khail KPK (Kartha, 1997).

5.4 Destruction of Tourism

In the region of KPK and other areas of Pakistan (i.e. Chitral, Kaghan, Murree, Naran, Swat and Hazara), there are many beautiful and historic places. Every year millions of visitors come to Pakistan to visit of these areas. After the Afghan-Soviet War, as the 3 million Afghan refugees were migrated in Pakistan and these were also jobless and don't have any kind of opportunity therefore they began to loot and killing tourists. Eventually, these tourists were afraid to visit Pakistan and it was the greatest challenge for Pakistan both at the national and international level. According to "Around the World blog" the British government had advised their citizen to avoid the travel to Pakistan due to threat and sectarian violence (Around the World Blog, 2014, September 8).

5.5 Destabilizing of Pakistan's Culture

In the era of 1980s, the Khadmit-e-Aetlaat-e-Dawalati (KHAD, Afghan Intelligence Agency) used the socio culture for the purpose of destabilizing the Pakistani culture. Thousands of prostitutes from Russia and central Asia were sends to Baluchistan and PKP to corrupt the society morally and ethically (Zaheer, 1986). Hilali reported "cited in 'U.S-Pakistan relationship: Soviet invasion of Afghanistan,"; that influx approximately eight thousand prostitutes of different ethnic origins i.e. Uzbek, Afghani, Russian, Turkmen, and Ukrainian were entered in Pakistan (Hilali, 2005). These prostitutes and whores established their network in Pakistan particularly in Islamabad, Lahore, Karachi and Peshawar.

5.6 Afghan's Anarchism and Pakistan

U.S acquired its goals with the help of its allies and withdrew from Afghanistan without establishing a proper governance system in the region. Moreover, during Soviet-Afghan conflict, various resistance movements' leaders 'which were funneled by weapons and aided by billions of dollars from U.S, had tried to get control of different areas of Afghanistan, which created the civil war and anarchism in the region. This anarchism was a big threat for Pakistan. Furthermore, the Taliban were origins from former mujahidin movements which were supported and controlled by CIA and ISI and most of them were educated in Pakistani Madrasas during the Soviet-Afghan conflict era (Kamal, 1999).

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Collaborative Learning and Skills of Problem-based Learning: A Case of Nigerian Secondary Schools Chemistry Students

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Abstract

The role of chemistry in the development of any society cannot be overemphasized. Chemistry students are therefore expected to have improved learning and acquisition of problem solving skills to facilitate the expected development in modern society. Problem-based learning is a student-centered pedagogy which helps students develop problem solving skills and improved knowledge through collaborative and self-directed learning under teacher's guide. It is supported by Cognitive and Constructive psychologists. However the learning process in Nigeria does not produce students with the required skills and knowledge, because of traditional instructions by teachers, poor learning environment and inadequate learning facilities. The purpose of this study is to investigate the roles of teachers and students in development of collaborative learning and skills in Nigerian Secondary Schools. The study used a qualitative approach with explanatory design. Fifteen (15) chemistry students and a teacher were purposefully selected from one Senior Secondary School (16 years) as participants. The participants received 6 weeks of PBL lessons using a topic purification of water. The researchers collected data during the intervention process through observations field notes and interviews after the PBL lessons were conducted. The data were transcribed, triangulated and analyzed using content analysis. The results showed that the students have improved learning and acquisition of problem solving skills including communication, teamwork and high-order thinking skills due effective collaborative learning activities among them. It is therefore recommended that collaborative learning approach be introduced in Nigerian Secondary Schools.

Keywords: problem-based learning, collaborative learning, problem solving skills, secondary schools

1. Introduction

Problem-based learning (PBL) is a student-centered pedagogy where learning is through problem solving. The goals of PBL is to help students develop flexible knowledge, effective problem solving skills, intrinsic motivation, collaborative and self-directed learning (Barrows, 1996; Barrows & Tamblyn, 1980). PBL students work in groups; identify what they already know, think of what they need to know, what they should do, how and where to access new information and solve the problem. Students will generate hypotheses, identify learning issues, seek for sources of knowledge, evaluate information obtained, reflect, integrate new knowledge and synthesize solutions to problems. Teachers will facilitate learning by supporting, guiding students to focus on learning objectives, creating suitable learning environment and monitoring the learning process (Boud & Feletti, 1999; Tan & Arshad, 2011). PBL is an inductive process, a better alternative strategy in teaching either at secondary schools or higher educational institutions and a major focus for educational researchers in the 21st century (Surif, Ibrahim, & Mokhtar, 2013). Various studies revealed the effectiveness of PBL on many aspects of learning. Students learn on their own with very minimal interactions from the guides. It improves the meaningfulness of learning as it cut across disciplines (Savin-Baden, 2000; Palinscar, 1993). It makes student accountable to the learning process, creates connections between classrooms and everyday professional life at work places and acquire life-long learning and information management skills. Students participate fully in group learning activities, discussions, collaborations between groups, presentations of ideas and development of communication, higher-order thinking and team work skills. PBL promotes a friendly learning environment for

both teachers and students. It developed criticality of students to ask questions, look at solutions and come to a conclusion on a learning issue (Hmelo-Silver, 2004; Kolmos & Graaff, 2007; Tan & Arshad, 2014).

Collaborative learning entails students debating their ideas and viewpoints on the learning issues through presentations and interactions in groups. It gives them ability to appreciate a variety of other viewpoints so that they can work successfully with people from diverse backgrounds and different viewpoints. Collaborative learning gets students actively engaged in the learning process and places more responsibility of comprehension on them; their role is shifted to a more active approach rather than being lectured and getting information passively (Scot, 2008). It is commonly agreed that communication is essential for accomplishment in all professions. Most often the first impression of an individual is based on his or her ability to speak fluently and understandably. Therefore the speaking ability of students would be evaluated most in real-life situations because it plays a pivotal role in everyday life interactions (Scot, 2008; Zare & Othman, 2015).

Human resource development is necessary for economic survival in a knowledge based society. Today employees are expected to be well equipped with new 21stcentury skills such as entrepreneurship, creativity and innovativeness for problem solving (Aminu, 2007; Nwamno & Izuagba, 2010). As a result of increasing attention and a greater need for these skills in developing workforce, educational researchers have started to look into various techniques and methods that might improve learning and development of such skills in the class rooms. Consequently, the national policy on science and technical education requires graduates to possess both professional knowledge and skills that can help them perform adequately in their various fields of economic sub-sectors of national development (Federal Republic of Nigeria, 2000; Zare & Othman, 2015). Nigeria needs to adapt new student-centered learning strategies to produce students with greater achievements in knowledge and skills. Thus teachers should therefore facilitate improved learning and skills acquisitions among students through active learning strategies (Adeyemi, 1990; Nwamno & Izuagba, 2010). Pedagogical practices of the 21 century education are being practiced in most developed countries and for Nigeria to be developed in the year 2020, a change in pedagogical practice is necessary (Abbas & Arshad, 2014).

However, nowadays teaching and learning in Nigerian Secondary Schools does not produce student with the problem solving skills that are demanded from 21 century educational institutions (Ajaja, 2005; Abbas & Arshad, 2014). Expository methods of instruction are still widely practice where students are not free to ask questions because of the teachers' autocracy. Most teachers perceive their main roles as being sole dispenser of knowledge in the classroom. Teachers' inability to adapt student-centered learning strategies could be associated with poor learning environment, inadequate learning facilities, poor teachers' welfare and lack of teacher recognition compared to other professionals in the same civil service. (Das, 2009; Ibidapo-Obe, 2007). Consequently there were fewer interactions that can support productive learning and development of skills because passive learning does not promote conceptual understanding of scientific concepts (Abdullahi, 1982; Baharom & Palaniandy, 2013). This research therefore investigates how the necessary skills could be developed through collaborative learning in Nigerian Secondary Schools.

2. Research Objectives

The research aims to investigate collaborative learning and skills acquisition, and research questions are:

(i.)What are the roles of teachers and students in developing collaborative learning?

(ii.)What are the roles of teachers and students in developing problem solving skills?

3. Research Methodology

This research has a qualitative approach and explanatory design. Fifteen (15) chemistry students (16 years) divided into three groups and one teacher were purposefully selected from a Senior Secondary School in Yola, Adamawa state of Nigeria as participants. The participants went through PBL process using real-life problems (cholera, pipelines blockages and washing problems) with a study topic "purification of water". An intervention period of 6 weeks was carried out by the researchers. The researchers collected data during the learning process through observations field notes of the learning processes and interview using unstructured questions to a focus group of 5 students after the learning processes. The data were transcribed, triangulated and analyzed using content analysis.

4. Results and Discussions

The data collected were organized and coded into themes using content analysis as follows: Selecting relevant ideas, identifying repeated ideas, organizing the repeated ideas into themes and forming the narrative to describe the research questions. Research question (i), states:

(i.)What are the roles of teachers and students in developing collaborative learning?

4.1 Collaborative Learning

Collaborative learning of the PBL, encouraged students to work together in groups to facilitate learning by: Setting their learning goals, working together in groups to accomplish a task, sharing of knowledge by teaching each other, assessing their learning and that of their peers, teachers also assess individual student and group achievements, teachers provide content knowledge and build on student knowledge (Kolmos & Graaff, 2007; MacDonald & Isaacs, 2001). As mentioned earlier the first students' activity in collaborative learning process is setting their learning goals.

4.1.1 Students Set Their Learning Goals

(a) Observation field notes reports on students setting their learning goals

Learning goals forms the plan for learning activities; students therefore set their goals before the learning process begins using FILA chart. The columns for learning issues "what do we need to know" and the action plan "what do we do" of the chart forms the learning goals using two problems presented by the teachers to stimulate learning as shown in Table 1.

Table 1. Students set their learning goals using FILA chart

Facts	**Ideas**	**Learning issues / needs**	**Action plan.**
The information obtained from the problems	**What do we know?** Trying to understand the problem.	**What do we need to know?** The resources you should find to solve the problem.	**What do we do?** Learning activities to be conducted to bridge the learning gaps for problem solution.
Problem 1 A man is vomiting, having diarrhea and is dehydrated.	➢ The teacher introduced the problems and asked these facilitating questions. ➢ What do you know about the problem? ➢ How devastating is the problem? ➢ Does it affect adult or children? ➢ Students deliberated and concluded that: It is a medical problem known as cholera; it affects both adults and children but so devastating on children below 5years. There is need for solution.	➢ Teacher asked stimulating question: ➢ What do you need to know about the problem? ➢ The students discussed and resolved to have answer these research questions: ➢ What are the courses of cholera? ➢ What are other signs and symptoms of the cholera? ➢ How is cholera transmitted?	➢ Teacher facilitates student group discussions on the three research questions with the aim of solving the disease problem. ➢ How do you obtain pure water for drinking? ➢ How do you maintain improved environmental sanitation? ➢ How do you keep good personal hygiene?
Problem 2 Pipe lines, Tabs, Shower heads blockages and washing difficulties**.**	➢ The teacher introduced the problem and asked these facilitating questions. ➢ What do you know about the problem? ➢ The students critically discussed and concluded that: ➢ The problem is due to water pollution known as water hardness. It makes domestic activities difficult.	➢ The teacher asked to stimulate learning, what do you need to know about the problem? ➢ The students collaborated and set these study questions. ➢ What are the courses of these blockages and washing problems? ➢ How does the problem affect hold activities?	➢ The teacher encouraged students to share knowledge and discuss in groups on the study questions and proffer a solution on, how to soften hard water for better house hold activities.

(b) Student interview responses on how they set their learning goals from the chart are reflected below, each response is followed by the students' identity number made up of school name group number and student serial number in the group:

Researchers: How do you set your learning goals?

Students: *We set our group learning goals at the beginning of the process with help of our teacher. AMCS201.*

We plan our learning goal using *FILA chat what we already know, what we need to know and what do we do to solve problem AMCS305.*

We set our learning goals to guide our learning process…with the help of FILA chart.AMCS104.

4.1.2 Students Working Together in Groups to Accomplish Task

(a) Observation field notes reports on students working together in groups.
The students worked together as a team during collaborative learning process to achieve a common goal through teacher facilitated verbal learning interactions and activities according to groups as shown in Table 2.

Table 2. Students work together in groups to accomplish task through learning interactions and activities

Students learning process	Students group1	Students group2	Students group3
Teacher guided verbal learning interactions through statements and questions.	➢ Students individual and group presentations.	➢ Students' questions and answers interactions. ➢ Student-Teacher questions and answers interactions.	➢ Students explaining the processes of water purifications to peers. ➢ Students' small group discussions.
Teacher facilitated Learning activities through instructions and questions.	➢ Students compared pure water brands for purity. ➢ Students modeling of compounds (water)using balls and sticks. ➢ Students Classification of water samples into soft and hard water.	➢ Students fill in their work sheets in groups for assessment. ➢ Students observations of bacteria contaminated water samples that courses cholera. ➢ Students observation of hard water that courses problem 2	➢ Students group identification of Ca+2 and Mg+2 from a periodic table. ➢ Students filtering some contaminated sample of water using filtration set.

(b) Students interview responses on how they work together as a team are reflected below:
Researcher: How do you work together in your groups to accomplish task?

Students: *I take part in small group discussions with my peers to solve the problemsAMCS201. I present my individual ideas to the group.AMCS104.*

I answer both teachers and students questions in the groups.AMCS103.

We work together as a team through demonstration activities to solve the problem.AMCS304.

We work together as a group for learning through explanations of some learning processes in chemistry. AMCS 105.

4.1.3 Students Shared Knowledge by Teaching One Another in the Process of Collaborative Learning

(a) Observation field notes reports on students sharing knowledge in groups.

Students shared knowledge in their groups through questions and answers and explanations of their ideas to peers on some learning difficulties such as the multiple levels of chemical representations as shown in Table 3.

Table 3. Students sharing knowledge through questions / answers and explanations

Students questions	Students answers
➢ What is the name of the bacteria in water that courses cholera AMCS102?.	➢ These bacteria are called vibrio-cholerae AMCS101.
➢ How do the bacteria look like AMCS105?	➢ These bacteria cannot be seen with ordinary eyes but only with a microscope AMCS103.
➢ How does water become hard naturally AMCS103?.	➢ Water hardness comes from natural occurring calcium and magnesium salts which are dissolved from the rocks by rain water flows. Water is harder in limestone areas than those with insoluble rock such as granite. AMCS105.

➢ Do the bacteria that course cholera lives only in water?	➢ Based on my ideas the bacteria do not only live in water but also on some bad foods or fruits, and that house fly is a vector for transmitting it. Therefore we should also avoid bad foods and fruits and live in well sanitized environmentAMCS103.
➢ When does water becomes really hard?	➢ Water become hard if it contained dissolved calcium and magnesium salts up to 120-180 mg per liter AMCS205.
➢ How do we soften hard water?	➢ Hard water can be soften with the use of lime Ca $(OH)_2$ or soda ash Na_2CO_3. The calcium and magnesium ions are precipitated as calcium carbonate $CaCO_3$ and magnesium hydroxide Mg $(OH)_2$ as follows: AMCS104.
➢ I need explanations on micro level of chemical representation please	➢ Explanation of microscopic level of chemical representations: Water contains dissolved ions that cannot be seen with naked eye as follows: Cations : Na+, K^+,Mg^{2+},Ca^{2+}, Fe^{2+},$Mn^{2+}Al^{3+}$ and anions: Cl^-,F^-,I^-,Br^-,SO_4^-,CO^{3-},HCO^{3-},NO^{3-} and NO2- AMCS304. Similarly the lime dissociates in water to give calcium and hydroxyl ions as follows. AMCS302. $Ca(OH)_2 \rightarrow Ca^{2+} + 2OH^-$ … (Equation 1).
➢ Another explanation please on the macro level of chemical representations	➢ Explanation of macroscopic level of chemical representation: The calcium ions react with the bicarbonates in water to precipitate solid calcium carbonate, this reaction can be seen with ordinary eyes as follows: AMCS203. Ca2+ + 2HCO3- → CO3 + H2O + CO2….(Equation(2). The hydroxyl ions from the lime also react with magnesium ion to precipitate solid magnesium hydroxide as followsAMCS203. Mg2+ + 2OH- → Mg(OH) 2 …. (Equation 3).

Student sharing knowledge through teaching one another is an important process in collaborative learning because they understand better explanations from peers who they share common interest and experiences. Students can use their native language for better comprehension unlike the medium of instructions in schools which may be a second language. Students' freedom to ask questions and elicit explanations facilitates their critical thinking ability and improves learning.

(b) Students 'interview responses on sharing of knowledge in groups.

Researchers: How do you share knowledge in you group?

Students: *We shared knowledge by teaching one another in our group..AMCS304.*

I explain my share ideas with my peers who do not understand some learning difficulties in chemistry.AMCS103.

We share everything with peers during learning through questions and answers session.AMCS204.

Sharing the knowledge and ideas through questions and answers and explanations becomes part of our learning…AMCS202.

I shared knowledge with my peers.AMCS102.

4.1.4 Students Assessing Their Learning and That of Peers

(a) Observation field notes reports on student reflection and assessment of peers.

Assessment was carried out student worksheet and after filling the work sheets individually, the students interchanged their worksheets between groups for assessment. Every group discussed using the learning materials and teacher questions for clarification on the correct responses. Each student assesses and scores his or her peer.

(b) Students' interview responses on reflection and assessment of peers in group learning.

Researchers: How do you assess self and your peers in your group?

Students: *I assess my learning and evaluate the group members through the use of work sheet...AMCS201.*

We examine how much have we achieved from the set learning goals and how effective our learning strategies..AMCS302

We assess our learning and that of the peers using the work sheet exercise across groups...AMCS202.

We reflect and evaluate peers during learning because assessment is part of our learning process.AMCS101.

We measure our learning based on our plan objective or goalsAMCS205.

4.1.5 Teachers Assessing Individual Students and Groups Achievements

(a) Observation field notes report on teacher assessments of the students.

Teachers assessed individual students and groups using questions and answers session and individual students' assignment on filling of the work sheet. Table 4: shows teachers' questions and students' answers in the teacher assessment process of the PBL module lessons.

Table 4. Teacher assessment of individual and groups of students through questions and answers sessions

Teacher Questions	Students Answers
PBL module Problem 1	
➢ What is cholera? ➢ What are the symptoms of cholera? ➢ What are courses of cholera? ➢ How do you get pure water? ➢ How can you avoid contacting cholera? ➢ What are the processes of purifying public water?	➢ (Cholera is a disease condition commonly found in dirty environment. ➢ Symptoms of cholera includes: vomiting, diarrhea and dehydration. ➢ Cholera is course by intake of bacteria contaminated water and foods. ➢ We can pure water by disinfecting water. ➢ Cholera can be avoided taking pure water and safe foods. ➢ The processes of purifying public water include: Screening, sedimentation, precipitation, filtration, adsorption and disinfection.
PBL module problem 2	
➢ What is water? ➢ What are the physical properties of water? ➢ What is water hardness? ➢ What are the problems of water hardness? ➢ What are the processes of softening hard water? ➢ Why hard water does not course health problems ➢ Why ice as solid floats on water?	➢ Water is a chemical compound; it consists of two atoms of hydrogen bonded to one atom of oxygen. ➢ Water has molecular formula of H2O, molar mass of water: 18.015 g/mol, a density of 1000 kg/m^3, a melting point of 0 °C and a boiling point of 100 °C ➢ It is water that contains Ca^{2+} and Mg^{2+}. These ions engage in reactions that leave insoluble mineral deposits. These deposits make hard water unsuitable for many uses. ➢ Hard water can cause scale to form in kettles, around taps and shower heads, pipelines. Hard water also course washing problems. ➢ The process for softening hard water is known as the "lime-soda process" it is used to remove Ca^{2+} and Mg^{2+} from the water supply. The water is treated with a combination of $Ca(OH)_2$, and Na_2CO_3. Calcium precipitates as $CaCO_3$, and magnesium precipitates as $Mg(OH)_2$. This removed the scale-forming cations from the water supply. ➢ Hard water does not course health problems because calcium and magnesium ions and other minerals in hard waters are generally beneficial to health. ➢ Ice as solid floats on water because it is less dense than water, water and ice has a densities of 1000 kgm^{-3} and 917 kgm^{-3} respectively.

Teacher questions play an important role in collaborative learning process because they facilitate, encourage, assess and stimulate students learning using different questions.

(b) Students interview responses on teachers' assessments through questions and answers

Researchers: How are you assessed by your teacher individually and groups?

Students: *The teachers also assess my learning and group learning achievements through questions and answers with students..AMCS204.*

He sometimes gives individual and group assignments of filling the work sheet as assessment..AMCS103.

Teachers evaluate every student and also the whole group.AMCS203:

Teachers guide our learning with evaluations of individual students and the group using the worksheet and questions.AMCS304.

Assessment by the teachers is also part of our learning process in this approach.AMCS101.

4.1.6 Teachers Provide Content Knowledge and Build on Students' Prior Knowledge

(a) Observation field notes reports on teacher provision of content knowledge are as follows:

Teachers set the learning environment and ensured that students work together effectively to achieve the common goal. They introduced the PBL real-life problems and teach the students the social skills for effective collaboration. Teachers provide the content knowledge and instructions to students; build on their personal experiences, knowledge, strategies and link these to new knowledge during collaborative learning process. They guide students also to select more content learning materials and coach them to focus on learning objectives (Johnson, Johnson, & Edythe, 1991).

(b) Students interview responses on teacher provision of content knowledge reports as follows

Researchers: Does teacher provide content knowledge and use your prior knowledge and experience?

Students: Yes. *The teacher provide content knowledge by lecturing and continues from our prior knowledge and experiences.AMCS103.*

He taught us how to socialize in group learning to achieve common goal.AMCS104.

The teachers made some explanations on how we can solve the problem through effective collaboration.AMCS303.

The teachers explain the content knowledge by lecturing in the general class and they build on our experience and prior knowledge on the problem. AMCS105.

The result revealed that PBL module lessons facilitate students' collaborative learning activities and helped them acquire improved learning and skills. The students are encouraged to set their group learning goals, work together in small groups to accomplish a task, shared knowledge and experiences and assess their learning and that of peers during group discussions. Teachers also assess individual students and groups achievements, provide the content knowledge and build on students' prior knowledge. This result is supported by another research report that the groups' learning sessions facilitate sharing of ideas, positive interdependence and cordial relationship between teachers and students. PBL provides improved student learning and acquisition of skills. Students working in small groups tend to learn more and retain the knowledge longer. In collaborative learning: students set learning goals, share knowledge by teaching each other, freely ask questions and assess their learning outcome, and actively work together in group's task under the teacher's guide (Collazos, Guerrero & Pino, 2001; Soller & Lesgold, 2000).

Research question 2 states:

(ii.) What are roles of teacher and students in development of problem solving skills?

4.2 Development of Problem Solving Skills

4.2.1 Communication Skills

(a) Observation field notes on students development of communication skills.

Students were seen to participate fully in group learning activities through discussions within a group and collaborations between groups through presentations of ideas. They were fully engaged in interactive learning process; sharing knowledge, asking questions and responding to students and teachers questions and explanation to peers for clarity and understanding.

(b) Some students' interview responses also described their experiences in communication skills after PBL lessons.

Researcher: How PBL lessons improve your communication ability?

Students: The *group discussions in the PBL lessons improved my ability to speak confidently.AMCS201.*

I answer both teachers and students questions adequately in the general class..AMCS303. Sharing of knowledge by teaching one another in our group improves the way I speak. I can now correctly present my individual ideas to the group.. AMCS101.

I have learned to communicate in a better way with my friends even outside the school. My speaking ability becomes more developed because of my interactions in PBL…AMCS105.

I feel happy when I correctly address group of people. AMCS204.

The result shows development in students' communication abilities due to collaborative learning of the PBL module lessons. It is supported by a similar research report that collaborative learning process requires students

to work together in groups towards a common learning goal. The PBL groups' discussions sessions facilitates students sharing of knowledge by teaching each other, writing summaries of discussions for presentations and the presentations of individual and groups products or solutions. These activities improved student learning and acquisition of communication and teamwork skills (Davis, 2003; Slavin, 1987).

4.2.2 Team Work Skills

(a) Observation field notes reports on students' acquisition of teamwork skills.

Students were reported to be working together as a team to achieve a common learning goal through sharing of ideas, they become responsible for each other's learning and group achievement. They depended on each other to accomplish learning objectives.

(b) Students interview responses on teamwork.

Researcher: How PBL lessons develop your team work ability?

Students; *PBL module group discussions stimulate my creative thinking. I feel happy and active during PBL module team work..AMCS305.*

I learn the skill of working together to achieve common interest, it solve problem fasterAMCS101.

I tolerate my colleagues and respect their opinions in PBL module lessons group learning..AMCS201.

Findings from the research revealed that PBL module lessons facilitate students' development of team work skills through good working relationships and positive interdependence in their learning activities. They settled their differences amicably worked together to achieve a common objective of problem solving. Another research report by Johnson, Johnson and Edythe, (1991); Gabel, (1999) also acknowledged that PBL groups learning facilitate cordial relationship between students and teachers and encouraged students to work together towards a common learning goal. It improved student learning and acquisition of teamwork skills (Soller, Lesgold, Linton, & Goodman, 1999).

4.2.3 Higher-Order Thinking Skills

(a) Observation field notes reports on students' acquisition of higher-order thinking skills

Students were reported to be collaborating within and between groups for learning. They were fully engaged in activities such as analyses, evaluation and synthesis of information to find solutions to problems.

(b) Some student interview responses on PBL lessons described higher-order thinking skills

Researcher: How PBL lessons develop your higher-order thinking skills?

Students: Hummm.. *I acquired some scientific skills that involves evaluation, analysis and synthesis through PBL processs..AMCS305.*

I always evaluate my learning (reflection) and that of my peers during PBL group discussions….AMCS102.

I participated in the classifications and comparing of pure water brands based on quality or purity. I also took part in the modeling process of some compounds {water, H_2O;Carbon (iv) oxide, CO_2} using balls and sticks in the learning process..AMCS205.

Finding from the research shows that PBL lessons develops students' higher-order thinking skills through it hand-on-approach in small groups' activities. Usually students brain storm on the real-life problem to come out with an acceptable solution to it. Therefore they need to critically look and properly define the problem for better understanding, evaluate, analyze it before synthesizing a suitable solution to it. The finding is in conformity with an earlier research and reports (Ajaja, 2005; National Research Council, 1987; Otuka, 2007) that higher order thinking skills involved analysis, evaluation and synthesis; these skills can be applied in different situations other than the class rooms, thus required active teaching and learning strategies. PBL as a student-centered approach provide students with the needed problem solving skills.

5. Conclusion and Implication of the Study

The idea of introducing real-life problems to stimulate collaborative learning and the hands-on-approach of the PBL connect knowledge and practice. It also extended class room experiences to real life in the society and enhanced professionalism in workplaces. This research revealed that PBL module lessons have develop students' collaborative learning and skills acquisition. Hence teachers should facilitate collaborative learning activities and interactions that adequately engage students in the learning process. Therefore researchers recommended collaborative approach for teaching and learning chemistry in Nigerian Secondary Schools and other higher educational institutions.

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Intergenerational Bonding in Family and School Contexts: Which Does Impact More on Degree Aspiration of Students?

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Abstract

Among the factors which have trajectory roles on the academic attainment of students, intergenerational bonding is the foremost of them. Though intergenerational bonding has basically focused on parent-child relationship, contemporary studies further consider the teacher-student relationship as intergenerational bonding to identify its effect on the academic attainment of students. In this study, we first examine both types of bonding which are created by parent-child and teacher-student relationships and how these impact on the degree of aspiration of secondary school students. Then, we compare these effects to identify which factor affects more on the degree aspiration outcome of students. We use the data collected from 553 students of Grade IX from 12 secondary schools in Bangladesh. The effect size of parent-child bonding and teacher-student bonding are compared using standardized Beta (β) weights of these two variables. The results show that beyond the socioeconomic status, both parent-child bonding and teacher-student bonding significantly and positively impact on students' degree aspiration outcome. Furthermore, when we compared the effect size of these two variables, results show that parent-child bonding had more strength compared to teacher-student bonding to predict the degree aspiration outcome of students.

Keywords: academic outcome, educational aspiration, intergenerational bonding, relationship, family, cultural influence

1. Introduction

To identify the academic outcomes of students, intergenerational bonding typically has been studied in terms of parent-child relationship. We further argue that other types of intergenerational bonding are also affecting the academic achievement of students. For instance, in schools, adolescents regularly interact with their teachers who can serve as mentors, models of good behavior and sources of support for the students (Pianta, Steinberg, & Rollins, 1995). Our study focuses on intergenerational bonding, examining students' general feelings about their teachers which is based on the past research of Sanders and Jordan (2000) and Steinberg, Brown & Dornbusch (1996). Relationship is the initial source of bonding in which many factors underlie to sustain the links between the agents. Relationships have been extensively studied in many contexts such as schools and families to identify the educational benefits of students. In this respect, a number of literature demonstrates how the alienation of students contributes to their academic problems and conversely, how integration of students contributes to academic improvement. Interdisciplinary literature on adolescents' academic achievement suggests that students' affective tie with teachers promotes a favorable environment of learning and this communal learning environment transmits social capital from teachers to students (Birch & Ladd, 1998; Pianta et al., 1995). From the basis of this theory, we can expect that positive relationship between teachers and students serves as a protective force for students, which encourages them to continue schooling instead of being early dropouts from school. On the other hand, the lower risk of early school dropout increases the level of educational aspiration of students.

Coleman and Hofer (1987) observe that the structural elements of schools, sector (public and private) and class size, are relevant to form the interpersonal relationships between teachers and students. They found that the intimacy between teachers and students occur more in private schools compared to public schools causing an

improvement in the academic achievement of the students in the private schools.The attachment theory by Bowlby (1969) explains that students with positive relationships with their teachers consider their schools as more secure and they feel safer in schools. Meanwhile the Self-System theory emphasizes the importance of positive relationships between teachers and students (Harter, 2012; McCombs, 1986). Scholars argue that adolescents go to school to improve three basic psychological needs which are competence, autonomy and relatedness. Competence denotes the students' need to feel capable of their academic work. Autonomy refers to the ability to make decisions and relatedness implies the motivation of social connectedness to the teachers. Positive relationships with teachers can meet these needs for students.

Conventional sociological and psychological models demonstrate that a positive parent-child relationship promotes academic outcomes of students as do teacher-student bonding (Englund, Egeland, & Collins, 2008; Spera, 2005). Although both parent-child and teacher-student relationships, enhance students' academic outcome, the literature is not much evident on how these two bondings directly impact students' degree aspiration which aims to examine this study. Our other objective is to identify, between parent-child bonding, and teacher-student bonding which has more effect on students' degree aspiration outcome.

1.1 Teacher-Student Relationship and Academic Outcomes

Among agents which have trajectory roles in the academic attainment of students, teachers are the foremost at all levels of schooling. In this respect, the attachment theory (Ainsworth, 1982; Bowlby, 1969) posits that students feel safe and secure in schools when they have a positive relationship with their teachers which in turn enhances their academic skills because, when a positive relationship is formed between them, classrooms generally become a supportive space which improves students' academic engagement. In this secure environment, students learn about the appropriate behaviors which enable them to face academic challenges. Murray and Malmgren (2005) found that students from low-income schools benefit more from positive student-teacher relationships compared to students from high-income schools. Some studies have found that students positive relationship with teachers is important when students transit from elementary to middle schools and middle to high schools which is called schooling attainment (Alexander et al., 1997). In respect to Math skills, Midgley et al. (1989) found that students who have less positive relationship with their teachers have less skills in Maths and students who tend to work on being close to their teachers significantly increase their Math skills. Murray and Malmgren (2005) discovered that students with low family background but have high involvement with teachers, have a high GPA, compared to whose who have low involvement with teachers when positive relationship improves the motivation of students which in turn improves their academic outcomes. In fact, the reason for the positive relationship between teacher-student relationships and academic achievement is motivation. In this respect, motivational theorists suggest that students' perceptions regarding their relationship with their teachers motivate them for good performance (Ryan, Stiller, & Lynch, 1994; Wentzel, 2003). Students who perceive their relationship with teachers as positive are motivated to improve their academic achievement when positive relationship indicates supportive and caring environment for students. Muller, Katz and Dance (1999) argue that students' motivation is closely linked to teachers' expectations and further more, students shape their educational aspirations from the perception of their teachers' expectation. They also argue that students who have the perception that their teachers have higher expectations regarding their academic performance are motivated to meet their teachers' expectations. Wentzel (2003) observed that students in high-poverty typically have low academic self-esteem and self-efficacy. However, students who have high closeness with teachers, have high self-esteem and self-efficacy regardless of their family background status. Factors which effect on less bonding between teachers and students are highlighted next.

The research examines that male students typically have more conflict and are less close to their teachers compared to female students (Baker, 2006; Howes et al., 2000; Hughes, Cavell, & Wilson, 2001).

- Students with more externalizing problems such as aggression and anxiety show more conflict with teachers compared to their counterparts (Murray & Murray, 2004; O'Connor et al., 2012).
- Students who have problematic behavior at home or have conflict with family members also have less closeness with their teachers in schools (Birch & Ladd, 1998; Murray & Murray, 2004; O'Connor et al., 2012).
- Students who are less intelligent have a more negative relationship with their teachers compared to those who are more intelligent (Murray & Greenberg, 2001).
- Students who have no preschool experience feel shy to be close to their teachers (Rudasill et al., 2006).

1.2 Parent-Child Relationship and Academic Outcomes

Sociologists have underscored on the positive relationship between parents and children, especially in developing the academic attainment of students when a close relationship between parents and children indicates that parents are more likely to involve in their children's education. Brooks-Gunn & Markman (2005) demonstrate that communication between parents and children is positively associated with children's intellectual level and academic achievement. They also found a positive association between children's educational aspiration and their relationship with parents. Some researchers have found that there is a strong positive association between positive relationship between parents and children and school completion among youth who are at risk to drop out. Spera (2005) examined the data on the closeness and cohesion between parents and children, and observes that closeness strongly affects children's psychological development and their academic achievement. He also discovers that strong parent-child relationship is positively correlated to students' college enrollment because, students with a close relationship with their parents achieve higher grades and test scores. Dornbusch et al. (1987) argue that positive relationships between parents and children provide mental support and supportive family environment for children which further enhance educational outcomes for them. In fact, studies that investigate the link between parent-child relationship and academic attainment of children have found that strong relationships accelerate student enrollment from primary to secondary schools and from secondary to post secondary education.

1.3 Cultural Influence in Parent-Child Relationship

Relational dynamics are typically embedded within a cultural context. According to the Basic Relationship Theory (Hinde, 1997), various levels of human complexities such as interaction, relationship, individual, group, and socio-cultural structure have reciprocal influences on each other. Valsiner (2000) argues that culture orients humans in their social environment. The importance of culture in the context of the parent-child relationship is the concept of generation. Historical analysis (Alwin, 1996) demonstrates that cultural values change from one generation to another due to several socioeconomic evaluations and technological changes in which parents and child demonstrate different values in their respective childhood. Parents' influence children's values during childhood period, but this influence becomes less important in adulthood as children get contract with many in this period. Parents tend to transfer their values and practices that they gain from their generation in their parenting and consequently, intergenerational transmission for children comes with the values and practices of former generations. However, parents also tend to teach their children contemporary values and practices in developing their reciprocal relationships. In this respect, Kuc-zynski et al. (1997) develop a model to show how parental values, beliefs and practices transmit into children in their relational environment and culture.

2. Methods

2.1 Participants

This study is based on a survey carried out in one of the town zones of Pirgonj Upazila of Rangpur District in Bangladesh in February, 2014 using interviews with questionnaires. We randomly selected 12 secondary schools. We contacted students of Grade IX and received responses from 553 students.

2.2 Measurement of the Variables

2.2.1 Degree Aspiration

The dependent variable of this study is the degree aspiration of the secondary high school students, which was measured by the question, "What is the highest academic degree you would like to obtain in your lifetime (circle only one below)? 1 = less than high school graduation, 2 = high school education only, 3 = less than two years of college, vocational or business school, 4 = two or more years of college including two-year degree, 5 = Bachelor's degree, 6 = Master's degree or equivalent and 7 = PhD, MD or other professional degree.

2.2.2 Parent-bonding

We measured parent-child bonding following the questionnaire by Ruth et al. (2010) on closeness dimension consisting of five items: (a) How close do you feel for your mother/father?, (b) How much do you think she/he cares about you?, (c) How much do you agree/disagree that your mother/father is warm and loving toward you?, (d) How much do you agree/disagree that when you do something wrong that is important, your mother/father talks about it with you and helps you understand why it is wrong?, (e) How much do you agree/disagree that you are satisfied with the way your mother/father and you communicate with each other? All items were coded on a scale from 0 to 4 in which higher scores indicating greater closeness. We created an index of parental-bonding by adding the scores of all five items for each participant, which ranged from 5 to 20. The parent-bonding scale was found to have acceptable internal consistency with an alpha of .86.

2.2.3 Teacher-bonding

We measured teacher-student bonding following the technique by Crosnoe et al. (2004) in which students were asked three items about their teachers: (a) How much do you get in trouble with teachers?, (b) Do you feel that teachers care about you?, and (c) How do you believe that teachers treat students fairly in school? Responses ranged from 1 to 5 (almost every day to never for the first item, never to very much for the second item and strongly disagree to strongly agree for the third item). We created an index of teacher-bonding by adding the scores of all three items for each participant, which ranged from 3 to 15. The teacher-bonding scale was found to have acceptable internal consistency with an alpha of .81.

2.2.4 Control Variables

We controlled the three foremost affecting variables on students' educational aspiration which are: (a) sample parental education, and (b) students' academic achievements which were assessed from their average grades of the last exam and (c) number of dropout peers.

2.3 Analytic Strategy

A series of multiple linear regression analyses were performed to measure the influence of parent-child bonding and teacher-student bonding on the dependent variable of degree aspiration. We measured the standardized coefficients of our studied variables. Therefore, to compare the effect size of parent-child bonding and teacher-student bonding, we considered the Beta (β) weight of these two variables. In this case, Beta which has more value was considered as the more effective variable on educational aspiration in general.

3. Results

Table 1. Multiple linear regression analyses

Variables	Model 1		Model 2		Model3	
Dependent variable = Degree aspiration	β (SE)		β (SE)		β (SE)	
Constant	11.56***	(3.31)	9.28***	(2.68)	6.37***	(2.11)
Academic achievement	.77***	(.31)	.62***	(.29)	.46***	(.18)
Parental education	.62***	(.22)	.55**	(.20)	.33**	(.17)
Number of dropout peers	-.73**	(.32)	-.61**	(.18)	-.31*	(.11)
Parental-bonding			.84***	(.25)	.76***	(.21)
Teacher-bonding					.53***	(.20)
R^2	.26		.38		.44	

P* <.05, P** <.01, P*** <.001

Results in Model 3 demonstrate that academic achievement has a critical beneficial outcome on the degree aspiration of students (β = .46, P < .001). It implies, if academic achievement becomes higher, the level of degree aspirations also significantly becomes higher. Correspondingly, the coefficient of parental education (β = .33, P < .001) implies that if parental level of education increases, students' level of degree aspiration significantly increases. The number of having dropout friends shows the converse result (β = - .31, P < .05) which indicates that if students have more friends who have school dropout status, then their aspiration level decreases. However, after controlling these variables we can observe that parental-bonding with children significantly and positively impacts on students' degree aspiration (β = .76, P < .001). This result indicates that if parental-bonding with children becomes greater, the level of degree aspiration of students also becomes higher. Similarly, teacher-bonding with students also has a significant positive impact on students' degree aspiration (β = .53, P < .001). This result implies that if teacher-bonding with students is increased, students' level of degree aspiration increases. Furthermore, we observe that the standardized coefficient of parent-bonding is bigger than the standardized coefficient of teacher-bonding. Therefore, though both parent-bonding and teacher-bonding significantly and positively impact on degree aspiration, parent-bonding has a more straight effect on degree aspiration of students compared to the effect of teacher-bonding.

4. Discussion

Results of this study show that parent-child bonding has more impact on students degree aspiration compared to

teacher-student bonding. There are many causes for this massive influence of parent-bonding with children in educational attainment. Parent-bonding may help to improve the cognitive development of children (Pedersen, Anderson & Kain, 1980) which enhances their educational expectations. Children who have close relationships with parents, typically have parents who have higher involvement in their children's education. Children with more parental care are more likely able to handle the unfamiliar situations and be more curious to learn the facts (Pruett, 1997). In fact, children who have close bonds with parents, have strong ability to overcome toggle troubled and stressful situations. Children with close bonding with parents typically become more competent, curious and willing to explore the surroundings with consequently better performance in their academic life. In respect to the benefit of close-relationships between parents and children, scholars have found that children with more close relationship experience less depression in their academic life (Dubowitz et al., 2001), have a less negative attitude toward negative emotionality and psychological distress (Easterbrooks & Goldberg, 1990), have higher level of self satisfaction and fewer level of anxiety (Flouri, 2005). Children with close relationships with parents also have superior problem solving power, adaptive skills and appropriate manner in self-efficacy, internalizing and externalizing behaviors, and less acting out in school (King, 2006). Children who feel close to their parents tend to show less antisocial behavior, hyperactivity and bullying behavior. To identify the benefits of a close relationship between parents and children, Horn and Sylvester (2002) and Kelly (2000) demonstrate that children who live without their fathers, are more likely to have problems performing in school such as getting lower scores on academic performance, poor intellectual ability and even peer week study. These children are more likely to have higher behavioral problems at schools such as less attention in class, disobedience, poor school attendance, being expelled and less likely to graduate high schools which consequently cause them less likely to enroll in college. They are more likely to choose deviant peers which may have a negative impact on their academic attainment and engaging them in deviant behavior and school crime. The authors also have found that parental closeness with children has a negative correlation with children getting drugs through friends. Ellis et al. (2003) have found that female adolescents who live without parents are more likely to experience early pregnancy before completing their school and consequently, they are more likely to become early dropouts from schools. DeLuccie (1996) and Russell (1982) found that children who have close relations with parents have more self-confidence and feel more encouraged to be involved in their academic activities. In fact, the family is the primary agent of value socialization and construction for children, which enhances the adaptive power of children to perform in complex circumstances. Positive parent-child relationships, create positive academic motivation for children. Children typically tend to be motivated from the beginning and a positive bonding with parents can also improve children's school related learning and challenges. Attachment theory demonstrates that children develop motivational or behavioral control systems that foster the shape and maintenance of a parent-child attachment bond (Cassidy, 1999).

5. Conclusion

Although parent-child bonding has a greater effect on students' degree aspiration outcome compared to teacher-student bonding, the quality of parent-child bonding sometimes depends on the quality of the parents. In this regard, highly qualified parents are likely to have quality relationships with their children. In other words, parents who have higher education and or with higher occupational status typically tend to build close relationship with their teachers as educated parents can better understand the psycho-emotional complexities of their children. Teacher-student bonding also has a significant impact on students' degree aspiration outcome. Hence, students with risk to develop positive teacher-student relationships, meet challenges to better perform in schools which discourages them from not continuing schooling. Hence, teachers need to make special efforts to support problematic students. However, teachers may vary in their ability to develop close relationships with students and in this case, some socio-emotional factors of teachers such as individual personality and feelings toward students, play an important role. Finally, to better understand the underlying factors of parents-bonding and teachers-bonding, it requires which particular factors influence to create closer relationships between them and which can be sourced for the future research. Furthermore, this study has been conducted by using a small sampling area. The techniques of this study can be directions for future studies to explore the aspiration issue by using wider sampling regions.

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Inspiration and Insinuation Influences on Human Thinking and Behavior: A Psychoanalytical, Psychodynamic, and Cognitive Phenomenon

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Abstract

Is insinuation one of the most influential phenomena in the early and continuous development of human behavior? Yes. Does previous scientific study give ample of time to understand unconsciousness and its manifestation from this point of view? No. As we have demonstrated in the following pages, insinuation does hold a high view in the divine scriptures as an opposite to inspiration. The scientific views on unconsciousness theory further ascertained its influence on human activities. A number of scientists however, denounced this clear evidence due to lack of laboratory prove of inspiration-cum-insinuation effects rather termed unconsciousness. In this essay, through dedicated analysis using both induction and deduction methods we showed that their theories failed to study unconsciousness from a holistic perspective. It only focused on those that have psychological and psychopathological problems in exclusion of reasonable human beings, thus, contained numerous errors that even contradicted their scientific findings. Following in-depth and dedicated analysis, we showed the influences of unseen phenomena that are beyond human control from Islamic philosophy viewpoints affirming earlier biblical claims of insinuation influences. We concluded by mentioning some of the physical evidences justified by the Islamic scripture "Qur'an" and some of the implications of these findings for certain aspects of the contemporary "inspiration and insinuation debates".

Keywords: psychoanalysis, human memory, inspiration and insinuation, cognitive phenomenon, behavior

1. Introduction

In moving beyond Freud's legacy on human memory we can start to clarify conceptual profusion, not to say confusion, of the terms by adopting 'minimal' or restricted definitions in the first instance. Thus, human memory is basically defined or taken as a system controlled by sexual affections. And this idea manifest on the directions of researches on current psychopathology, neurosciences, cognitive sciences, and other related fields. Its expression would be either viewed as negative or positive, sound or unsound scientific viewpoints. It would be generally appealing to an average human being that Freud's idea had posed questions that time and circumstances will resolve. Number of scholars or writers willing or unwillingly have invested enormous energy to proof Freud's ideologies right or wrong.

From the above premises, we may then proceed, as a first step, to generally state that, there are three ideologies emerged from Frued's idea of memory. The first are group of scholars that subscribed to Freud's idea popularly known as Freudians. The second group of scholars is those known as psychodynamics and the last group is well known as cognitivists. Another classification is to group the theoreticians into psychoanalytic such as Brill, Frenkel-Brunswik etc. and non-Psychoanalytic theoreticians such as Adler etc. Between these two groups are numerous specializations such as clinical and nonclinical psychoanalysts, neuropsychologists, behavioral scientists etc.

There exist, a broad cross-cultural inter-relatedness among the above stated professionals. This conclusion is based on common trait which is significant in their existing surveyed literatures. Their efforts are devoted to understanding of human personality which has significant correlation with human development and growth. At a very least, most studies conclude that sound and correct information is the backbone for human development and

growth. The information and its usage however, differ among these professionals. For the sake of brevity, through brief and conscience, we state the focuses of each group.

2. Methods

The researchers have adopted dedicated theoretical analysis through inductive and deductive qualitative method. With this procedure we arrived at a memory model that is thinking and behavioral model. The rest of the research is arranged as follows: human memory from professional views, followed by issues in personality development etc.

3. Human Memory: Professionals' Perspectives

A typical phrasing of the professionals' views is that psychoanalysis in this context is generalized regardless of different existing views of classical or modern psychoanalysis on personality studies. An implicit assumption is that psychoanalysis, by adequate understanding human reasoning process and controlling it generally can provide higher stability and as well growth and development rate.

Thus, the total Freudians are of the opinions that personality is largely motivated by sexual affections. Precisely, total Freudian theorists believed in conscious and unconscious processes, conflict and defenses, and the centrality of the sexual drives in the development of personality neurosis through three stages of human life i.e. infant, adolescent, and adulthood (Freud, 1910; Jahoda, 1977; Fonagy, 2000; Blatt & Levy, 2003). Yet there is a counterargument that, put crudely, psychodynamic issues such as conscious and unconscious processes, conflicting forces are part of human life within the mind but do not necessarily depend on the idea of sexuality (Adler, 1929, 1939; Horney, 1950; Sullivan, 1953; Fromm, 1947, 1962; Jung, 1971; Powers et al., 2015).

Before we can conclude on how strong the relationship between human memory, consciousness and unconsciousness as well inspiration and insinuation, we need to examine the actual, extensive and endless intellectual debates in precise manner. Interestingly, one major shared ground is that personality can be influenced by internal or external phenomena. The internal phenomena can be evoked and controlled or spontaneous and beyond the control of the subject. Technically, personality (human behaviors) is either consciously where the agent (person) intentionally/knowingly executes the action and has power to direct its activities. Perhaps, it happened without and beyond the control of the agent (person) which is technically known as unconscious activities.

Similarly, external forces or phenomena do stimulate actions that can consciously or unconsciously affect the agent. Thus, further theorists such as Agnes Petocz stated that Freudians' and others' theory of internal phenomena is biologically determined and as such, unconscious associative formation which provide raw materials from which true symbols arise. In other words, Freudians' models can be identified through symbols (i.e. the agent's actions). It is justified to conclude that conscious or unconscious external activities as stated by Adler (1929, 1939) Horney (1950) Sullivan (1953) Fromm (1947, 1962) and Jung (1971) such as life experiences (social forces) like achievement, social motivation, striving for superiority etc. are determined according to the symbol, which emancipate from the agent and are the real personality. Bodas et al. (2015) research on effects of negative television contents on Israelis, the results showed that televised traumatic content and negative perception of broadcasts are directly associated increase of anxiety and psychopathology issues.

3.1 Personality Development: Critical Issues

Leaving aside the point of different narrations of personality development (obviously its "respect/accord" is essential to human existence) the gist of the argument is clear. Likewise, broad survey finds that "sexuality deprivation" is insignificance in human growth and development (Jung, 1971). Certainly, all these measurements are fairly crude and cannot sustain firm conclusions. There are also personality studies pointing to the opposite direction that there are a number of uncounted phenomena. Particularly, during clinical observations, which lead to object relation and attachment theories. This was as result of patients with haunted fears of dangers of intimate relationship with others and other mystical issues (i.e. external phenomena like unseen events). However, the classical psychoanalysts have regarded this as irrelevant and maintained that this action is result of actual deprivations from early childhood (psychic). With their consents to the relatedness and attachment theories, investigators have identified two fundamental dimensions of relatedness and self-definition as central for understanding of personality organization and personality development.

In general, we can conclude that personality development can either be positive or negative. Researchers such as Blatt and Levy (on positive side) further conceptualized personality development as based on two fundamental parallel developments. The first is the development of the capacity to establish increasingly mature and mutually satisfying interpersonal relationship. The second is self-definitional line which is the development of a

consolidated, realistic, essentially positive, differentiated, and integrated self-identity. Other researchers' studies have revealed the negative effects of personality development by relatedness and self-definition. Relatedness side effects for example, are avoidance and insecure, anxious-resistance, dependent depression, seeking comfort. Likewise, the negative side effect can lead to resistance, avoidance, self-critical, and depression. Thus, it suffices at this junction to state that relatedness and self-definition theories of personality development have similar implications as psychopathology.

Regardless of the differences in the literature, there are numbers of common understanding among researchers. Their common grounds are that human personality is biological, natural, and an evolution, which spread through three stages of life (i.e. from infant, to adolescent, and adulthood). Defect in an infant up bringing such as lack of proper care from the caregivers surely will lead to some psychopathological related problems and would definitely have greater impacts in later personality development. In the same line, over pampering or over intimacy with caregivers also would lead to insecure and related psychopathological development. This is strong evidence that there are external influences like environment and context in personality development which researchers such as Steinberg and Avenevoli (2000) have scientifically proved. It is rational to state that there are good and bad sides of personality and both are motivated by seen and unseen phenomena and circumstances.

Interestingly, these rational efforts have totally ignored the religious propositions on influence of seen and unseen phenomena and circumstances in personality development. Often they termed it to be mystical. While the scientists claimed to have discovered this knowledge, religious institutions and individuals such as Willcox (1895) Clark (1972) Holmes (1981) Canale (1994) have proven the originality of Biblical content based on unseen influences on the mind of the relators. Willcox (1895) postulates that inspiration, which influenced the Bible, is beyond ordinary secularists' definition and understanding of inspiration. Willcox further states that God's deeds are two-sided one against the other such as good vs bad (for scientific claims of good and bad see Steinberg and Avenevoli's (2000) study on the role of context on development of psychopathology). Notwithstanding, some of the rationalists such as Thrash and Elliot (2003) supported the ideas of the theologians on inspiration as a psychological construct. Thus, if a subject is inspired good, sound personality would suffice, and insinuation is an opposite of doing well, which manifest in behaviors that are societal discomforts.

4. Personality Development: Islamic Debates

As evident in the previous sections, numerous researches and excellent intellectual debates were available on psychoanalytic and cognitive sciences as well as Biblical theology. Although, majority of the scientists rejected the theological arguments on inspiration or personality development but at least the theologians' efforts were recognized academically. Despite the Qur'anic status on personality development from unseen and seen influences (kindly see Al-Hashimi, 1996; Osmani, 2011; Salim & Abdullah, 2014), there are limited or few traces of attempt to explore the Qur'anic views on psychological phenomena by the scientists. Similarly, Prophet Muhammad {peace be upon him} have enumerated the significant of these two behavioral phenomena even if they are going to reject it as they disputed the Biblical theology views. Therefore, this study explores the role, sources and influences of inspiration and insinuation in personality development and their impacts on society. Thus, we produce below a personality framework based on the Qur'anic and Sunnatic definition of personality. For example the Qur'an States:

> The human personality witnesses and Him Who perfected it. And inspired it with knowledge of what is wrong for it and what is right for it: Indeed successful will be the one who purifies it, and indeed failure will be the one who corrupts it! (Al-Shams: 7-10)

Figure 1 below shows the above verse has a wider implication in human's personality development because it emphasizes on the souls as the genesis of personality. The Qur'an conditions that development of personality rest on its continuous and constant purifications. Purification is in the physical and spiritual context. Spiritual purification serves as cousin for mental developments. Physical development, however, relies on mental development. These analyses can be proven by scientific researches on functions of "hormones" in human development. Similarly, people with deficient personality such as imbeciles were reported to have improper structure of hormones and other vital mental stimulating organs in their body (kindly see Pamela Smith 2005). This further justifies the Qur'anic classification of two types of human personalities. The Qur'an demands Saying:

> And give not unto the foolish your property which Allah has made a means of support for you, but feed them therein, and speak to them words of kindness and justice (Al-Nisa': 5)

Scientific definition of the foolish in the Qur'anic context is a person who cannot manage their affairs in a reasonable way. The foolish is believed to have some sorts of mental problem or something affecting his/her

psychological structure. The Prophet {s.a.w} was reported to have said"

> For every action there is a period of enthusiasm / activity, and for every period of enthusiasm / activity there is a period of rest / inactivity. So he whose period of rest / inactivity is in accordance with my Sunnah then he is rightly guided, but he whose period of rest / inactivity accords with other than this, then he is destroyed

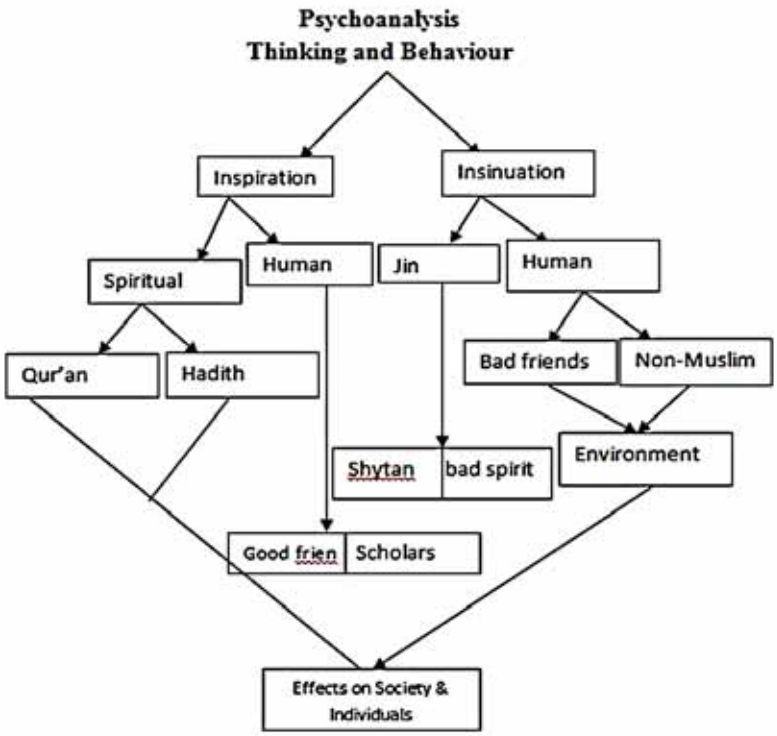

Figure 1. Islamic personality development framework

In this essay, we argue that inconsistencies and inadequateness in the literature on personality development and behavioral influences and consequences result in part from a lack of incompleteness of the theories. In other words, each theory viewed this phenomenon from narrow perspectives. In particular, we believed that extant study has failed either, theoretically or methodologically, to disentangle two different roles of unseen (unconscious) phenomena such as the roles which inspiration and insinuation play in personality development at all stages of development (i.e. infant, adolescent, and adulthood). Although, theoretical and empirical study of personality development points to the study of roles of consciousness and unconsciousness on characteristic and behavioral developments, no known theories have adequately unified the conscious and unconscious elements and the role of each of these processes or have included a comprehensive discussion of them. Instead, numbers of existing theories insinuate single or partial factors as being responsible for personality development. Furthermore, due to the cross-sectional, correlational, and retrospective nature of the scientific studies, it is not possible or it is extremely difficult to discern the total or specific factors generally acceptable that can be from the causes that serve to maintain, deteriorate, or exacerbate a particular style of personality.

Accordingly, it is the case that some theories show relatively cover of wider contents (albeit modest) such as the Freudians' view on sexuality role on personality. Likewise, Thrash & Elliot (2003) on inspiration as a psychological construct and Steinberg & Avenevolit (2000), Chefetz, (2015) on role of context on psychopathology, it is not clear whether for example sexual arousal of an infant who is yet to realize his existence is an inspiration or insinuation phenomenon. The constant failure of researchers (scientists) in their theories and models to recognize the religious, either Biblical or Qur'anic, viewpoints on personality development and behavioral development has contributed to the muddied and unimpressive state of their literatures.

We offer here series of observations and hypothesis about the significance of inspiration and insinuation on conscious and unconscious phenomena. We use the term inspiration and insinuation broadly in the context of

Islamic philosophy and referring to the good and bad side of human characters/behaviors in personality development as prevalent in the society. Our argument is that inspiration and insinuation are the mechanism that powered individuals' personality and they can be controlled if properly managed in accordance to Qur'anic and Sunnatic (Prophet's traditions) prescriptions. In particular, we hypothesize that the role of Qur'anic and Sunnatic personality models would be enough in preventing and curing of psychopathological issues. This is because most disturbing part of societal relationship is the psychopathology aspect of personality.

Before turning to the central argument advanced in this essay, a few introductory comments are of demand. First, due to the space limitation of the essay, we excluded extensive review of literature and provided only an overview with exemplary citations for provoking alternative research questions and direction. Second, we use the term psychoanalysis and psychodynamic, psychopathology, and cognitive science in their broadest form (theoretical and clinical). While we recognize that there are differences between these wide professions, our intent is to formulate some general propositions about roles of inspiration and insinuation on human psychic that apply across these professions. Third, given our interest in inspiration and insinuation influences, we focus on those forms of psychopathology and non-psychopathology that are presumed to have a substantial contribution, such as studies under the broad headings- internal and external unconsciousness. We do not focus on genetically inherited issues.

Finally, we recognize that the distinctions we draw from inspiration-insinuation and biology are to some extent non-empirical. The individual's natural system is not fixed with fastener (i.e. something that cannot be change), however, it is genetically oriented that can be influenced in response to inspirational or insinuation phenomena. By the same sense, the individual's inspiration and insinuation is not wholly an objective reality that is completely independent of the person, because inspiration and insinuation according to Islamic ideology is perceived, selected, and modified by the individual. Nevertheless, it is important to distinguish between internal and external inspiration as well as internal and external insinuation. This is because they are believed to influence biological issues.

5. Trends in "Inspiration" and "Insinuation" in Eliciting Personality

While scientific traditions of learning and scholarship have arguably been presented, in the past, as exclusivist and confined to small circles of scientists and their empirical certainties, religious entities -individuals and institutions- contributions on scientific proofs have been viewed as mystical phenomena. However, well-known theologians, for example M. A. Willcox, Fernando L. Canale, Gordon Clark, Michael W. Holmes have shown, however, that inspiration is a sort or source of knowledge that is not unfamiliar with the 'transmission' of messages from the God to the receiver and that most Prophets were communicated to through this means particularly the revelation of the Bible. Scientifically, at least, Todd M. Thrash and Andrew J. Elliot (2003) also theorized that inspiration is a sort of psychological construct or better, the inspiration and insinuation of human as being part of evolution where group behavior and role and origin of spirituality evident in Freud's theory. Even the British historian, Thomas Carlyle, (1841) recognized inspiration as one of the major traits of great men (hero) personality. In addition to this, Eckmann's accounted personal experience of unconscious development of great men personality without knowing how and when she imbibed such as an act.

For the sake of brevity, it is crystal that from religious viewpoint human were chosen to convey the holy Words (i.e. God's messages) through inspiration. In other word, inspiration is a means of communication by God to humans. One shortcoming of the theologians' literature was that inspiration was limited to Biblical viewpoints and in proof of the inherence of the Bible as Words and Book of God (Thrash & Elliot, 2003). However, from the scientific and historian perspective, inspiration was viewed as an inheritance or even genetic (Thrash & Elliot, 2003). Notwithstanding, it is obvious that inspiration is a vital core of personality and behavioral developments. Furthermore, those that are inspired mostly are modest. In essence, inspiration related to good (see Dahl & Stengel, 1978; Thrash & Elliot's, 2003; and Steinberg & Avenevoli's, 2000). While the literature was very supportive in proving the influence of inspiration, its contrast (i.e. if one is not inspired, the opposite will surely suffice) "insinuation" had been given little or never been giving adequate attention such as those given to conscious and unconscious phenomena personality and personality and behavioral developments.

The results of inspiration have been identified as positive and societal acceptable personality development in human (Davitz, 1969; Dahl & Stengel, 1978; Watson et al., 1988; Thrash & Elliot, 2003). However, the results of psychopathology have never been associated with insinuation. This is partly because most psychopathological researches are strictly scientific, particularly clinical observations and clinical data from patients treated. Currently, United Nations' (UN) reported that in every 40seconds, someone in the world commits suicide. The same report on psychopathology indicate that 1-4 children suffer madness that lead to suicide with Sweden

having highest rate of suicide among young people. The report also indicated that happiness, unhappiness, richness, or poverty is not necessarily sources of psychopathology or suicide. Accordingly, the World Health Organization (WHO) estimated 6Trillions U.S. dollars as costs of mental health by 2030. This estimation was based on the WHO's report that 1million mental diseases lead to death yearly. In addition, happiness report showed 20% of adolescents between ages 15-19 reported to have suffered depression in 2013. Compounding the problems, the reports pointed out that by 2020 depression would be leading cause of disability. At this junction, these reports begged for some questions: Is it all the psychopathological behavior or acts are due to deficiencies in health? Or genetically heredity? Or do younger people in depression hold higher responsibilities than their parents or the adults? Thanks to the UN's reports, it is obvious that other unforeseen or unconscious events such as insinuation might perhaps have something to do with such acts or personality in general. Thus, the next sections would deal with inspiration and insinuation in detail according to Islamic philosophy with justification from existing literatures.

6. Inspiration and Insinuation in Islamic Philosophy

When traditional psychoanalysts, psychodynamics, and cognitivists considered inspiration as ordinary intelligent (see Willcox, 1895) and its opposite as psychopathology (Blatt & Levy, 2003), they totally ignored other interpretation such as the spiritual interpretation and termed it as mystical (Bowlby, 1969). In the same thought, insinuation has never been considered as a phenomenon.

Islamic behavioral science ('Ilmu al-Sulouk) on the contrary is based on heart management. Thus, human heart is the center of human activities and serves all purposes of psychoanalysis, psychodynamic, and cognitive sciences. The Qur'an recognizes the heart as the center where good and bad arises "Surely Allah does not blind the eyes but blindfold the hearts in the chests" (Qur'an 22: 46). In this verse, it is evident that real seeing begins from the heart and that it is the capacity to "comprehend" or "understand". Comprehension is the center paradigm of personality. The word "reasonable human" "reasonable personality" though may be subjective and has been defined, and standardized through literature of psychoanalysis, psychodynamics, psychopathology, and cognitive science over decades. This will be dealt with in next section. Recently neuroanatomical findings indicate that the heart is center of human functions. They further showed that the heart has much neuron than human brain and as such, the brain cannot function in isolation of the heart. Hence, the Qur'an says "[…] that which whispers in the hearts of the mankind** from the spirit and the mankind" (Qur'an 114: 6).

Recalling the arguments of the conventional behavioral sciences in general, the Freudians believed conditions such as sex and aggressions are fundamental human instincts from which other motives emerged. To be fair to the Freudian, adequate analysis would justify this conclusion. Human beings' sexual urge can be reasonable or acceptable (i.e. in line with societal norms) or unreasonable sex. Reasonable (excluding religious laws) sexual activities can be with someone's lawfully married wife or with non-married (in modern term girlfriend, consensual sex or others in as much is not under pressure or forceful). In other words, sexual activities must be between man (male) and woman (female) on the one hand. On the other hand, unreasonable or unacceptable sexual activities are same sex e.g. gays and lesbians' copulation. In other words, a sexual desire toward someone who has same features has been described as psychopathological problem. Similarly, aggressions can be positive or negative. A positive aggression often has been behind most of worldly achievements. The aggression of the Prophets such as Jesus to eradicate the Jewish usurious dealing is a good aggression to institute equality in among the people. Thus, one of the leadership traits is pro-activeness. Contrarily, aggression as described by the Freudian is that which lead to social problems like killings, fighting and other violence activities to one's life or others etc.

The psychodynamics over ruled sexuality as sources of human activities but agreed that human being do engage in unconscious activities i.e. that they cannot imagine the motivation for it such as suicide, lesbians and gays sexual drives. This includes forceful sexual activities such as rape etc. In another interpretation, conflicting forces within the mind can lead to vices such as murder (when psychopath mistaken human for animal and when a man assumes he is woman and thus, must have sex with another man), logical errors, and category errors of various types. Aggression can accompany either case. Likewise, these behaviors or personalities are social vices regardless whether they were perpetrated aggressively or gently. There is no society that declares, "Binge drinking", that led to marital conflict (where the husband battered his wife and children after drunk), murder, disorders, depressions, suicide, or breakage as reasonable or a standard personality. It might even lead to civil commotion.

Furthermore, the cognitive and other behavioral scientists such as social cognitive believed that personality measure is based on affect and cognitive-affect interactions. In simple terms, humans are rationale naturally and

are somehow influenced by the structure of the environment they exist. In other words, activation of cognition is capable of knowledge or conscious, which influence level of behavior or personality. Thus, outcome of personality is introverts, liberal etc. Their ideas excluded natural phenomena and the other devilish nature of human being. It is intrigued however, that the cognitive scientists agreed on external influences on behaviors and personalities. The debates continue and arguments erased arguments between the psychoanalysts, psychodynamics psychopathologists, and cognitive scientists.

Critical observation of the above arguments shows that efforts to study human behavior and personality transformed from Freudian ideology of sexual influences but unconsciously executed, followed by those that believed that conscious and unconscious influences are behind human personality and those that regarded biological problems influences and lastly those that concluded that environments and other things influence personality and behavior. In our personal perspectives, all the scholarships worth accreditation but their limitations are due to lack of perfection, inefficiency, and incompleteness of human intellectual capacity in addressing issues in a holistic ways. Each of these groups addressed a single issue out of many issues of human behavior and personality and discussed it according to their personal comprehensions and clinical observations. The Freudians' view of sexuality is fundamental to all vices. Similarly, the psychodynamics idea of conscious and unconscious influences is excellent. Likewise, the cognitive scientists' idea of external influences on building of human personality is to some extent right scholarship. Our conclusions are based on Islamic behavioral science arguments. At this junction, it is important to point out that the Western or conventional discourse of personality or behavioral sciences began around 19th-20th centuries i.e. over 200years ago. On the contrary, Islamic behavioral science had been enshrined in Islamic philosophy over 1400 years.

One of the popular traditions of the Prophet {peace and blessings be upon him} hints on human personality at birth. This tradition was reported through numerous chains. It affirmed that human beings are generally born on the right part i.e. total submission and obedient to Allah's wills. The tradition read thus: Abu Hurairah narrated that, the Prophet {peace and blessings be upon him} said: there is no one delivered to this world except on this righteousness. However, his parent might turn him to a Jew or Christian as the donkey is licked to shape ….[…] (Muslim/4806). This tradition justifies the claims that human behaviors can also be influenced by other factors than biological illnesses.

Thus, the human personality or behavioral standard or deficiency begins from the heart. The deficiency or standard can be instigated from biological viewpoints or external influences (conscious and unconscious) such as societal influences. Figure 2 explicitly shows symbiotic relationship. Furthermore, the influences on this heart are of two types according to a tradition of the Prophet {peace and blessings be upon him} that read thus, "Surely, al-Malak (The Angel) has al-Lammat (influence) and the Shaitan (Satan) has al-Lammat (influence). The influences of the Angel encourage in doing good and give glad tidings i.e. positive influences and the Shaitan (Satan) influences encourage in doing evil and disregards or contempt on truth" i.e. negative influences. This Prophetic tradition originally stated as follows:

> On the authority of Ibn Mas'ud {may Allah be pleased with him} who said: the Prophet said: surely the Satan has influence over the sons of Adam and the Angel has influence: however, the influence of the Satan is seeking refuge with evil doing and lying with the truth. Nevertheless, influence of the Angel seeking refuge with good deeds, and witness the truth. He who witness any of this "Angel influence" he/she should know he is with Allah. Nonetheless, he who witnessed the other side should seek refuge against Satan. Then he recites "The Satan promises you with poverty and ordering you to commit fornication….." (Related by al-Tirmidhi as strange and good)

Al-Lammat al-Malak" (The Angel's influences) is interpreted as "inspiration" and "al-Lammat al-Shaytan" (the Satan's influences) as "insinuation". In another tradition reported:

> On the authority of Abu Hurayrah (may Allah be please with him), the believer is a mirror for the believer, and the believer is the brother of the believer. He safeguards his property for him and defends him from behind.

The Qur'anic verse and these hadith (prophetic traditions) can be well understood through the figure below:

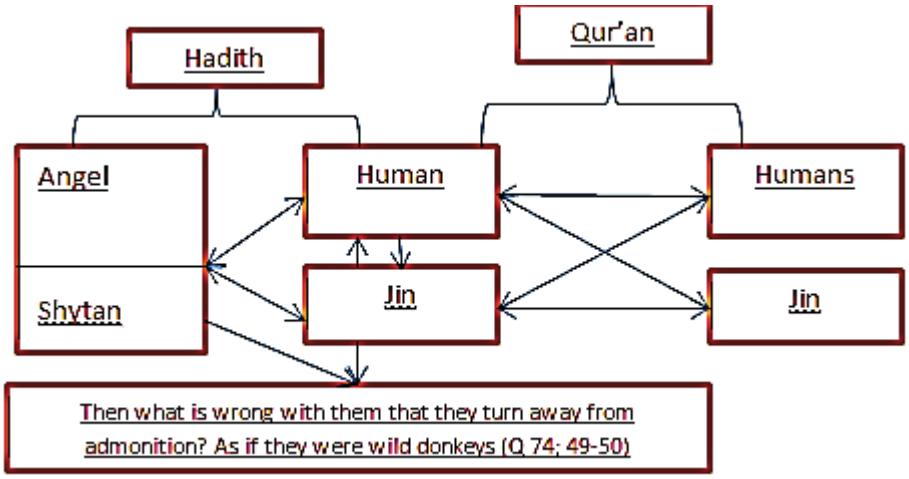

Figure 2. Insinuation of seen and unseen phenomena

The Qur'an further indicates "The Shaytan (Satan) threatens you with poverty and orders you to commit *Fahisha* (evil deeds, stealing, extortion, exploitation, illegal sexual intercourse, sins etc.) […]" (Qur'an 2: 268). For example, rapists are unconsciously influenced to develop a desire for women beyond their scope either by the rejection or other social class deficiencies to forcefully engage their victims in an unwanted sex. If the victim resist it might lead to her death. Thus, Freud's claims of sexuality as genesis of psychopathology surfaced but neglected the social class influences where a crime is committed because the perpetrator desires to belong to a certain social context as propounded by Steinberg and Avenevolit. It was concluded that Shaytan derives best of humans by threats of loss or scarcity of worldly and material benefits that are limited in utilities, scope and life span. Axiomatically, (among believers and atheists) death is an end to all enjoyments and agonies of worldly materials. Yet, humans are threatened by deficiency in things that are not perpetual as death. The end is fighting among individuals, states, robbery, cheating, exploitations, slavery and other forms of infringing harms on other earth's inhabitant particularly fellow human beings in order to satisfy one's canal desires. Fear of poverty is partly influenced by concern of what people in the environment or community might say about one's life achievements. In another word, individuals fear of being relegated or classified as poor in their communities. These mostly lead human beings to go extra length or by any means to become recognized in their families and communities such as Israeli striving to gain Palestinians' recognitions and acceptance of Jewish State by killing millions of innocent human beings.

In another tradition narrated in the interpretation of the Qur'anic verse, which says: "Those that distance themselves from major sins and filthiest (illegal sexual intercourse) except the small faults" through various chains such as Abi Hurairah and Ibn Abbas that said "the small faults is al-Zina (filth). In the same light, another tradition pointed out "the first group of *al-Lammat* is *al-Fawahish* (unauthorized kissing, romance, illegal sexual intercourse, extortions and exploitations etc.). The second part of Qur'an 2: 268 says "Allah promises you Forgiveness, Bounty, Allah is All-Sufficient for His creatures' needs, All-Knower". The interpretation of "Bounty" in this verse expressed and extended over all humans' betterments.

The diffusion of above expressions to personality or behavioral issues is based on exclusion of health or biological deficiencies. For example, one who is threatened by poverty is easily be tempted to steal or cheat (by either arm or fraudulent activities). In Freud's argument, aggression is the result of such a threat. In psychodynamic expression, one can unconsciously take wrong action to eliminate the threat violently or by other means. From cognitive scientists' view of poverty, environment would determine the kind of personality a person could be or behavior pattern of such a person. In reality poverty is evident, however, someone can resolve poverty without resulting to violent, stealing, fraudulent activities etc. This is why the Qur'an indicates that the Satan's insinuation is colorful "Tazyin" (ornament or decorate) i.e. the Satan designed his works in a fashionable manner that is pleasing and appealing to human heart. For instance, having sex with different people (having new taste daily) is a pleasure that is pleasing to both man and woman and stealing or frauds are shortcuts to becoming rich or acquiring properties. Then the Satan whispers this to the heart as an advice (which is negative) such as rape the girl, kill the person, steal their property etc. and unconsciously the subject act on this advice. Immediately the act has been committed, most of the time, the person would definitely realize the error from his

side. Exemption to this general expression is those with pathological problems such as mental diseases or other neurological problems.

The insinuation act stated above is said to be manifested through the environment and other elements in the environment such as friends, technology etc. The Qur'an specifically states "the Shayatin (Satans) of human and that of jinn advices themselves […]" (Qur'an 72: 6). Therefore, human being is always being accompanied by both conscious and unconscious accomplices. Behavior or personality would always been defined according to these accomplices with exemption of people with mental or neuropsychological disorders. The Qur'an and Prophet's traditions have taken care of their positions.

6.1 Internal and External Unconsciousness

Unlike consciousness which happened in the framework of knowledge of the cause and effect, unconsciousness however, is activities that happened and occur without the individuals' knowledge of the cause and effect. In the shadow of this premise, unconscious acts are like gambling where loss and/or gain outcome is unknown but share equal probability/chance. Thus, unconscious activities bring about good "benefit" or bad "loss". Motivations of unconscious acts are internal or external. The internal unconscious stimulators can be known phenomena such as psychopathological or neuropsychological issues or unexplainable phenomena. The perpetrators of the unconscious acts have no capacity to control or manage the situation they found themselves. In essence, the situation or circumstance manipulate their unawareness to manifest itself.

The most important to our current discussion is the negative unexplained phenomena which are regarded as vices. These vices are of two types as described by the Qur'an "the Shayatin (Satans) of human and that of jinn advices themselves […]". Shayatin (Satans) in this verse were generally classified into humans and the spirits. This verse was further supported by the tradition "hadith Mawquf" cited earlier i.e. "Surely, al-Malak (The Angel) has al-Lammat (influence) and the Shaitan (Satan) has al-Lammat (influence). The influences of the Angel encourage in doing good and give glad tidings i.e. positive influences and the Shaitan (Satan) influences encourage in doing evil and disregards or contempt on truth" i.e. negative influences.

Recent conclusions of the psychodynamics such as Adler, Jung Horney, Fromm, and Sullivian further grounded the first part of the Qur'anic verse that "human" in their term "social forces" which includes human influences are the genesis of personality. In the context of the Qur'an, human influences can be positive or negative. If the environment or society is occupied by ethically (such as abstinence from human sacrifices) mannered inhabitants, which is technically known as "norms", definitely personality of those in that community would be reasonable and beneficial attitudes manifested through their behaviors that are positive influences on the one hand. On the hand, a community occupied by unethical vices that are considered evil or devilish in all forms such as alcoholic consumptions (according to the Qur'an verse stated earlier), human sacrifices etc. the personality would be shaped according to the dominant characteristics that are negative influences. Thus, the Qur'anic verse had disposed this concept over 1400 centuries ago before the contemporary psychodynamic (human effect) concepts of cause and effect to human behavior.

The true life positive human influence or social influences on personality development was demonstrated in one of the American's juvenile prison "Camp Kilpatric". The influence of the head coach "Sean Porter" on the rehabilitation of the kids involved. If Porter was a devilish individual, the inmates would have been further destroyed than one can imagine. The testimony of "Jason Lamb" on his personal transformation from a social destroyer to normal human being was an amazing account. Therefore, behavioral development is based on the influences of social activities that one was exposed. These include both acceptable and unacceptable social activities.

We argue that psychodynamic views ignored the other side of life which is evident in social relationships. The acclaimed mystical "according the scientists" parts of social relations would have been given some considerable attentions. This is where the Qur'anic verse emphasizes "Jinn" (Santan) influences on personality development. Hartmann et al. (1946) agreed that cognitive development is based on motivational forces such as human influences (social forces) that harnessed and employed by structures of thought automatically powered. In a simple statement, unconsciousness is powerful machinery in human personality development. Automaticity of thought followed by action where individuals have no control of its outcome cannot be overriden in cognitive discuss. Thus, unconscious actions that resulted in social vices such as a gun triggered unknowingly or murdering of innocent community member could be triggered by unexplainable phenomena. In fact, Hartmann et al. (1946) claimed that impacts of automaticity of thought process on cognitive development and adaptation is a familiar discourse among contemporary psychologists.

Again in the Camp Kilpatric account, most of the inmates claimed they could not account for the influences that

drove their devilish and destructive attitudes and behavior. The real life account such as stealing, killing, rape etc. of the teenagers at the camp testifies that actions emancipated from "unknown sources" which is above their control. However, among things that are likely to compound their predicaments are the three processes of cognitive development that is, input, process, and output. Badi & Olorogun (2012; 2013) have empirically demonstrated impact of each of this process in behavioral compositions using Muslims as a case study. Earlier, Bowlby (1969) had discussed input, process, and output as stages of life experiences. Positive input would results in positive process and eventually positive and inspirational output would suffice. On the contrary, negative input would flow on negative/erroneous process and finally lead to different kinds of social destructions. Various models of measuring aspects of cognitive sciences have been developed over time (see Gigerenzer 1992).

6.2 Legal and Provisions: Individual and Population Approach

The medical provisions for all psychopathological problems are largely based on individual approach. Individuals are considered having different experiences that necessitate different medical or psychological treatments. Similar cases are treated in isolation of the public. The psychologists approach are limited and based on the case presented to them. Hence, provisions of curing psychopathological issues are clinically limited. The population nevertheless, is not without pathological problems that are less or beyond clinical treatments. In order to address the enormous level of various pathological issues at population levels, the governments impose limits on their citizens. These limitations are designed according to the aims and objectives of the state as designed by the same human beings with at least one or more pathological problems. Whether their pathological problems are evident or non-noticeable, the impositions of jail terms and other deterrence systems are eminent which are mostly politically motivated and implemented. To favor a group of people over others is a psychopathological problem such as the preferability of the first world over the third world nations and inhabitants at international level. Locally, the Cast system of the Hindus religion is a class of psychopathology acclaimed under religious dictates.

In the case of inequalities at the international levels, no psychological clinical and theoretical have ever considered such an act as pathological problems. Similarly, the Hindus Cast system at least among the Hinds has never been seen as pathological problem. In contrast, the Nigerian customary law of awarding paternity to the bride price provider was recognized as "repugnant policy (Note 1)" and was termed under the English common law as unreasonable, naturally unjust, unequitable and outright unacceptable. To those that practiced the repugnant policy, it was reasonable (Onuoha, 2008). These scenarios are clinically incurable. Even wrong policies i.e. politically motivated policies of individuals and states have never being diagnosed clinically, nonetheless, theoretically addressed by another fairly induced psychopath through claimed research findings or otherwise (kindly see Ahonen et al., 2014 about hidden context and invisible power on diversity). The vicious circle of pathological problems continues indicating that humans are limited in all forms including setting of standard of behavior. Conclusively, all human attempts to deal with psychopathological problems lead to invention of another state of pathological problems to be solved by the generations to come (see Michel Foucault's 1961 translated by "Richard Howard 1964" Madness and Civilization on how Europeans dealt with Middle Ages psychopathological problems).

The Qur'an however, provides last long solutions to both individuals and population psychopathological problems. As stated by Ahonen et al. (2014) that was a result of human beings natural power relation internalized by individuals, as well as those that guide the behavior of population "biopolitics". In our words, it means that human beings are naturally inclined to be excessive or inaccurate in all their dealings. The Qur'an provides consequences for individuals' actions and collective repercussions for a community inaccuracy. These provisions liberates humans from domination of individuals with specific aims and objectives such as human's developed laws and regulations and as well as standards of life. This is evident in several verses in the Qur'an such as

> And to Allah belongs all that is in the heavens and all that is in the earth, that He may requite those who do evil with that which they have done (i.e. punish them in Hell), and reward those who do good, with what is best (Paradise)** Those who avoid great sins (See the Qur'an 6: 152-153) and Al-Fawahish (illegal sex intercourse and others) except the small faults,- verily, your Lord is of Vast Forgiveness. He knows you well when He created you from the earth (Adam), and when you were Fetuses in your mother's wombs. So ascribe not purity to yourselves. He knows best him who fears Allah and keeps his duty to Him (the pious) (Qur'an 53: 32-33).

The verses above well express the autonomy of The Creator over all that humans claimed to have possessed or acquired. Expressly, He never judge only by actions rather in conjunction to the inner and both conscious and

unconscious aspects which is highly determined by submission to His dictates. Allah promised to requite the evil doers i.e. those deliberately perpetrate great sins i.e. "Major Sins" which Qur'an has stated clearly in earlier Chapter. Similarly, He shall reward those who do well "good" and follows His parts. However, on both sides the law is relaxes "except small faults". This phrase indicates that human beings are never being free of committing sins or wronging one another unconsciously through insinuation which is beyond their control. For Allah's retributions are on those who knowingly acted in contrary to the standard that governs the world (by revelations "Qur'an or "Bible" or Taorah). Furthermore, Allah confirms that He knows humans more than they understand themselves. Therefore, no man should praise her/him of purity because the inner part of humans is the essence of livelihood. The Qur'an further expresses in another verse

> If you human beings abstains from "Major Sins" that you were restricted from, We shall erase your shortcomings "those that you committed through insinuation" and We shall abode you in dignity (Qur'an 4: 31).

The verse above states clearly condition of overlooking humans' shortcomings. Abstaining from Major Sins necessitate the forgiveness of the minor sins. In addition to that is the reward of abode in dignified manner. These two Qur'anic injunctions are enough to reshape characters and behavior of humans towards their Creator and amongst themselves.

7. Conclusion

The accounts in this essay indicated at least theoretical effect of unconscious activities that are beyond human control from both religious and conventional perspectives. The conventional literature has dealt with almost all that related to psychopathology save insinuation effects was given limited attention or totally ignored. There are consensuses among the believers such Muslims, Christians and Jewish as well as other religions that humans are limited in all ramifications and can be insinuate to commit acts that are not intended. Likewise, the religious Texts such Qur'an, Bible, Taorah are there to mediate human excessiveness in their dealings amongst themselves and their Creator. In this essay however, basic attempt was to ground theory on insinuation which had attracted rejections from scientific viewpoints. Nonetheless, the discussions mainly justified the presence and effects of insinuation on human behavioral development from Islamic philosophy viewpoints. We recommend an empirical study or application of this theory in future research.

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Note

Note 1. This scenario was all about how humans failed to view things in the same direction. Therefore, special intervention must be provided which create status for population when dealing with one another. Such a need is the role of revealed book such as the Qur'an has provides. For more on reasonableness of thinking and unconscious actions of Africa traditions particularly Nigeria see Reginald Akujobi Onuoha "*Discriminatory Property Inheritance Under Customary Law in Nigeria: NGOs to the Rescue*, The International Journal of Not-for-Profit Law, Volume 10, Issue 2, 2008. http://www.icnl.org/research/journal/vol10iss2/art_4.htm

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English as Medium of Instruction for Subject Courses in Tertiary Education: Lessons Learned from Thai Undergraduate Students

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Abstract

This is a classroom action research project conducted in an undergraduate course using English as a medium of instruction. The objectives were to identify good approaches to developing students' capacity to understand English and to promote a positive attitude towards the English language. Two cycles of action with various instructional approaches were administered. By the end of the action research cycles, 80% of the students showed a positive opinion towards learning with English. During the sessions, 20% of the students needed help regularly. The cooperative learning model was found to be one of the more effective leaning activities, stimulating students to develop their learning and relieve their tensions in using a foreign language. The reflections from students revealed that the learning approaches employed in this study helped students to develop both their English comprehension in the written material and a positive attitude towards learning in English.

Keywords: English as medium of instruction, teaching subject courses, tertiary education

1. Background

There has been great demand for the development of English communication and its use as a comprehensive classroom language throughout the Asia Pacific region including Thailand, where English is considered to be the dominant foreign language. However, the level of English language competence among Thai people, even university students, is still very poor. This may be because there is very little use of English in the education environment. Students are required to study English during their compulsory education for at least six years. At a tertiary level there are at least 12 credits required for every student. However, based on the English Proficiency Index of 2013, Thailand ranked 55thout of 60 countries in English competence. And in 2014 Thailand only showed slight improvement. Thailand ranked 48 out of 65 countries; still in the bottom ranks (Education First, 2014; Education First, 2015). This shows that the English level of Thai students remain low. In general, Thai students do not see any need to pay much attention to their English instruction. Thai students begin their English class at 7 years old and continue studying about three to four hours a week through their 12 grades (16 years old).The pedagogy used is mainly text and explanation with Thai teachers. Very few schools had foreign teachers. But, during the past five years, the government has launched a policy to promote the English ability of Thai students so they can be effective citizens when Thailand fully joins the ASEAN (the Association of Southeast Asian Nations) community in the year 2015.

To be in line with the government policy, every educational institution promotes English development projects. Khon Kaen University also tries to prepare the students in English for communication by providing an English environment for students to experience and to motivate them to learn the language. Every faculty should have at least one subject per semester that uses English as a tool of instruction.

The aim of this study was to identify an optimal approach to helping undergraduate students to improve their English skills by learning a subject with English as a medium of instruction. The desired outcome from the instructional approaches tested was a positive attitude towards the English language. This was made more difficult since the students had differing levels of English abilities and they were not highly motivated to learning in English.

2. Literature Review

2.1 Instructional Approaches

Biggs (1990) pointed out that students usually began with the intention either to focus on the actual words used

by the author or to focus on the author's meaning (the *concept* addressed in the text). The former was said to be a surface approach and the latter a deep approach. Biggs also suggested two important components in a student's relationship to academic learning. They are the student's motives for learning and the strategies for going about learning. One learning approach that has been used in teaching includes partners in learning; it is believed that working together as pair or group would provide opportunities for students to coach one another as they develop learning skills. This cooperative learning will generally provide more motivation than do individual approaches. The members of the group learn from each other. Cooperative learning also increases self-esteem for students. The students feel that they are respected and cared for by the others. The students with higher achievement also learn to share and interact with their friends. (Joyce, Weil, & Showers, 1992).

As for reading English comprehension, Survey, Read, Recite, Review, and Reflect (SQ4R), an approach for English teaching technique, proposed by Huitt (2006); later altered by Slavin (2006) to Preview, Read, Recite, Review, and Reflect (PQ4R) is recommended for one of the effective methods.

The PQ4R steps can be summarized as:

I. *Pre-Reading:*

a. Preview (P) - this step helps students to skim the text.

b. Question (Q) - the students try to propose questions from what they read. The teacher has to be a facilitator for the students.

II. *While-reading*:

a. Read (R_1) -the students read in details in order to find the answers from the questions developed in Ib.

b. Recite (R_2) - the students describe and form concepts from the text they read.

III. *Post-reading:*

a. Review (R_3) -the students skim the text for the main concepts again.

b. Reflect (R_4) -the students reflect on their understanding by connecting the present information to their prior knowledge or to present their understanding in some other form.

When planning the instruction, the instructor needs to focus on the goals of her teaching. Ralph Tyler's "Planning Backward" was presented in Tomlinson & Mc Tighe (2006) in three main stages.

> *"Stage I: identify desired results what should student know, understand and be able to do? Understanding? … What essential questions will be explored?*
>
> *Stage II: Determine acceptable evidence. How will we know whether students have achieved the desired results?*
>
> *Stage III: Plan learning, experience and instruction. What enabling knowledge and skills will students need to perform effectively and achieve desired results?" pp. 27-28*

2.2 Research in English as a Medium of Instruction in Asia

English as a medium of instruction has been implemented in various countries in addition to the Asia and Pacific region. Killickaya (2000) surveyed the attitudes of 100 instructors towards the use of English in universities in Turkey. It was found that the instructors who used English and Turkish as medium of instruction were concerned about, among other things: learning resources provided in Turkish and English; the proficiency level of the students; and student participation. The instructors also reported that differing needs of individual students should be taken into consideration. Some studies, such as Kirkpatrick (2011), reported that a move towards increasing the use of English as medium of instruction at the university level had been launched in China in2001. He noted that the leader of China expressed his view that English would help China to be able to exchange ideas with the rest of the world. In Japan, internationalization has been seen as an opportunity to share their cultural values to the rest of the world. Implementation of these methods were also found in countries where English is an official second or foreign language.

Wong (2010) conducted longitudinal action research to investigate the effectiveness of using English as the sole medium of instruction in English classes. The study was administered in Hong Kong University. The study found that the more English the student spoke in class, the more confident they became with it. However, regarding the class in which Cantonese was allowed, Wong noted that…

> *"First-language sometimes helps better understanding, especially teacher needed to clarify some complicated concepts". It is also "time-consuming to using English to explain a simple vocabulary which*

in fact can be done within a second of Cantonese …"p. 126

Some studies pointed out that second language learner were more successful academically when they first developed the concepts and learning in their native language (Krashen & Biber, 1988; Willing 1985 cited in Wong, 2010, p. 120).MacWhinney (cited in Dixon et al., 2012) proposed a unified model of L1 and L2 acquisition and concluded that…

"*L2 learners acquire new mappings of sound to meaning based on the L1 system.*

As learners' L2 proficiency increases, the dependence of L2 decreases" p. 35

Chang (2010) evaluated the implementation of English as the medium of instruction for content course for undergraduate students. It was found that the students did not think that they had a high level of comprehension in their lectures. But the students were of the opinion that English instruction helped them improve their English language proficiency. In the neighboring country of Vietnam, Manh (2012) studied the usage of English as a medium of instruction at a higher education institution. Manh reported that by 2015 about 20% of universities in Vietnam would begin using English as a medium of instruction in certain subjects. The goal is to produce a future labor force with qualified professional knowledge and foreign-language competence to meet the requirements of the current era. Kagwesage (2012) investigated students' thoughts on the current use of English as the sole medium of instruction in Rwandan higher education. She reported that the students face different challenges and difficulties in using English in their academic activities, since students were provided an English medium while their English proficiency did not match the demands of their academic work. She also pointed out that collaboration and peer support should be encouraged in order to enhance processes of learning.

3. Research Procedures

The research design was an action research based on Kemmis & McTaggart (1982). The benefits of action research design include: 1) the outcomes can be used for learning and teaching development; 2) the findings are used as a guideline for enhancing students' capacity and to provide information for further development for learning and teaching effectiveness; and 3) the design provides the researcher with the time to review their ongoing lessons and make adjustments based on input receive from the students and the empirical measurements. Thus, the students have real input in the lesson plan development.

The target group was a class of 63 third-year undergraduate students majoring in Public Administration who enrolled in the "Education Management in Local Government" course in the College of Local Administration in Khon Kaen University, Thailand. These students had studied four compulsory English courses during their previous semesters. The last course was "English for Public Administration." The students' grades from that course were used as a baseline to create the learning groups. Their English ability level ranged from low to high (19 students scored about 55% and 11 students scored about 75-85% respectively). All the rest of the students were at medium level (60-70%).

Using English as a medium of instruction in the course was aimed at developing reading capacity and motivating students to focus more on English. In order to establish a pleasant learning environment, the students were assigned to twelve groups of five or six students. In each group there was at least one high- and one low-performance student. This way, every group consisted of students of different abilities.

A backward planning design following the three stages presented in Tomlinson and McTighe (2006) was selected to carry out the classroom activities. In stage three of the design template learning plan, the combination of a learning model modified from the CRIC (Co-operative Integrated reading and Composition) and the PQ4R (Preview, Question, Read, Recite, Review and Reflect) by Huitt (2006) and Slavin (2006) was used as one of a guideline approaches for organizing leaning activities

The instructional design was conducted for six weeks under the procedure of action research within three-hour sessions. The empirical measurements were derived from observation, discussion, reflection, class assignments and presentation. The information obtained was used to analyze the learning and teaching activities and make adjustments to the subsequent sessions. The feedback and reflection also provided guidelines for students and teacher improvement. The student assignments, presentation and reflections were recorded and analyzed for instructional modification and for the research report.

Intervention procedures based on backward planning design started the session by identifying the desired results with guideline questions such as:

"What should students know, understand, and be able to do?"

"What essential questions should be answered?"

The second stage is to determine an acceptable range of answers based on the preliminary questions, so the researcher had to consider the assessment criteria in advance. The third stage is planning learning experience and instruction. The goal of this stage is to make the learning and teaching effective and productive for students. The teaching approaches used in this study were a combination of cooperative learning and the PQ4R technique. With this combination, the low-performance students could learn from their peers and did not have to struggle in their study alone.

The first session was primarily using the first language, Thai, for instruction. The class began with course syllabus explanation which informed the class about rules, tasks, work assignments and expected outcomes. Students were assigned to a group and a handout with English text was provided. The students were asked to reflect on their learning experiences and record their thoughts in their notebooks.

4. Outcome

The Classroom Action research outcome can be presented as follow:

The first cycle: This cycle included one session of three hours.

The students' reflections after the first session were that they became tense when they saw the handout, which was the extract from the English text book. The PQ4R technique did not materialize as planned. The teacher had to adjust the method of teaching by having the whole class reading out loud then she asked students to look for the difficult words on the Internet. The teacher also had to help translate phrases and explain the meaning to students. The students had a hard time summarizing the concept in English.

The second cycle: This cycle included two sessions of three hours each.

The reflections from the class after the first cycle provided information for the teacher to adjust the second cycle by providing list of difficult words with the meaning. As for the step of asking and answering questions, the researcher had to change the approach to allow students to present their answers in the form of a mind map or diagram instead of writing sentences.

In session two of the cycle two, the learning activities were the same as the first session of this cycle. It was observed that the students were more relaxed than in the previous two sessions. This was confirmed in the reflections from the class that showed that 80 percent of the students felt more relaxed and enjoyed the class, whereas 20 percent still felt a degree of tension. The adjustments made for the two sessions in the second cycle included modifying the handout and making some connections to the students' previous knowledge. The students were happy with the adjustments of the learning activities, especially when they could conclude their understanding through a mind map or diagram.

> *"Writing long paragraph in English is very difficult. But when we can conclude our concepts by mind map or diagram, we think we can do it better."(Feedback from the students)*

5. Lessons Learned

This action research had a strong point in its lesson planning where the researcher/teacher planned her teaching and learning activities carefully in order to reach the desired outcome. However, the implementation of the PQ4R technique seemed not to be as effective in this study. It was observed that when the students had to learn the subject with English text, they had to adjust to accommodate two tasks: the content of the subject and difficult words and structure. In PQ4R procedure, students were supposed to reflect on what they had read and spoken. However, with the limitations of their English skills, they could not adequately perform this task. When the task was adjusted to other forms of reflective review of what they had read and presented with a mind map or diagram, the students performed well. Another point is that the use of Backward Instructional Planning Design requires students to act more than teachers do. In every session, the students had to present their assignment in front of the class or perform their tasks in groups. The students were familiar with listening from a lecture and reading the PowerPoint, but this teaching experience encouraged students to think and evaluate for themselves in terms of what they had learned, understood or not understood. The research design also provided a channel for them to reflect based on the PQ4R model. At the same time, Thai language, which is the student's first language, was allowed. The previous research pointed out that the students would be more successful academically when they develop concepts and learn in their native language. This means that the first language helps better understanding Wong (2010). This was evident in the present study, where it was observed that the students had to mix the L1 with English all the time.

> *"When we are in the group we have to discuss in Thai, it helps us to understand clearer."*
>
> *"We feel that we can read English and understand concepts when key vocabulary was provided."*

(Reflections from the students)

In order to provide a pleasant learning environment and encourage students to try to use English, the imperfect English was also accepted.

In the sessions, the teacher asked each group of students to propose questions from the text. The teacher collected all the questions and put them in the correct form. All the modified questions were shown on the board. The students in the group that proposed the question took turns reading their questions, one group at a time, and asked students from different groups to answer. Every student in the class had to pay attention and considered if the answer was correct.

It was found that the various approaches were needed in order to cope with the problems of teaching the class with different English abilities students. The classroom action research opened the opportunity for the teacher to modified and adjust the instructional approaches to accommodate the learning situation all the period of the course.

So at the end of the six week learning the student felt their own improvement even not remarkable great but they improved their English learning motivation. The reflection showed that 37 percent of students said that they were happy with the class. They learn more English. They could understand what they read, could make correct pronunciation and would keep on studying English. Thirty percent of them said that they feel confidence in reading English aloud. Reflection from high English ability students were below:

> *"If we have to study subject course in English, we really need help with vocabulary for getting better understanding."*
>
> *"We feel that we have learned more vocabulary and can cope with the paragraph in text. The mind map and diagram presentation was good guideline for our presentation, when we have to present in front of the class."*

It can be concluded that the use of English as a medium of instruction in a subject course can develop students' English comprehension and lead to a positive attitude toward learning in English. This may be because while implementing the instruction with the lesson planning and the combination of instructional model, the researcher based her instructional approach on the consideration of time on task, content coverage, academic successes and effective feedback, which were the four elements of effective instruction pointed out by Kindervatter, Wilen &Ishler (1988). However, the reflections showed that five percent of the students said that they felt far behind their peers.

> *"We feel very tense when we see the handout in English. We received help from friends but still we found that it was very difficult for us. Anyway we will try even we are so far behind."(Reflection from 5% low ability students)*

The above reflection agrees with Kagwesage (2012), who reported that the students who were taught with English as medium of instruction in academic courses faced different challenges and difficulties in using English in academic activities, so the collaboration and peer support could be used in order to enhance the processes of learning. In the present study, the English ability of most of students (80%) did not match the demands of the academic work. The group activities and peer support were the main approaches to alleviating some of this problem. It was also observed that the lowest five percent was even in the very tough situation. Chang (2010) also found that the students reflected that they did not have very high comprehension in their lectures. However, in this present study, lecture was not the main avenue of instruction. The students worked in groups with the handout and follow-up activities, so they could grasp the concept via the Thai language with their friends' help.

It should be pointed out that English level of students in the class may be the main issue that should be developed prior to using English as a medium of instruction. In this study the researcher was well aware of the different English abilities of the learners. However, due to the large class size and the course content, the teaching methods could not be managed much differently.

6. Conclusion and Suggestion

The classroom action research was conducted with a class of 63 undergraduate students. English was used a medium of instruction in a subject course. The instruction was based on backward planning design and, in the last stage of each lesson plan; the PQ4R teaching model was used in to stimulate students to practice active learning. After the first cycle of the action research, the learning activities were modified to accommodate the students' needs and English abilities. By the end of the second cycle, it was found that 80% of students showed a positive attitude towards learning in English. The cooperative learning model, which was used as a tool for the

preceding learning activities, provided strong support for a good learning environment for the diverse English learning abilities in the class. In summary, when English as medium of instruction was implemented, well-planned instructional approaches and varied instructional models were keys to success. The lessons learned for future class development are: 1) In a lesson plan, the teaching technique for English learning should be taken into consideration; 2) Various approaches of instructional models, such as cooperative learning, PQ4R and lesson planning based on backward planning, were good tools for the learning effectiveness; and 3) There should be special assignments to help the students with low English competency. This may be because the researchers overlooked the teaching techniques for foreign language teaching which should have been implemented, along with other techniques such as songs and games, which would have reduced the pressure for the low performance students.

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Community-Based Tourism: A Strategy for Sustainable Tourism Development of Patong Beach, Phuket Island, Thailand

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Abstract

This study proposes community-based tourism as a strategy for sustainable tourism development of Patong Beach. Direct observation, questionnaire and interview are research instruments. A result of analyzing 120 questionnaires of local people which displayed a negative impact including economic impact which was very high ($\bar{x}$ = 4.53), social impact ($\bar{x}$ = 4.28)and environmental impact ($\bar{x}$ = 4.42) which were high so the total mean score was high ($\bar{x}$ = 4.41). The Community-Based Tourism was adapted for solution all negative impacts which were mentioned earlier. The sreategies are namely 1. Political development strategy: (1.1) Enabling the participation of local people, (1.2) Giving the power of the community over the outside and (1.3) Ensuring rights in natural resource management. 2. Environmental development strategy: (2.1) Studying the carrying capacity of the area, (2.2) Managing waste disposal and (2.3) Raising awareness of the need for conservation.3. Social development strategy: (3.1) Raising the quality of life, (3.2) Promoting community pride, (3.3) Dividing roles fairly between women/men, elder/youth and (3.4) Building community management organizations. 4. Cultural development strategy: (4.1) Encouraging respect for different cultures, (4.2) Fostering cultural exchange and (4.3) Embedding development in local culture and 5. Economic development strategy: (5.1) Raising funds for community development, (5.2) Creating jobs in tourism and (5.3) Raising the income of local people.

Keywords: community-based tourism, sustainable tourism, strategic management, people's participation

1. Introduction

1.1 Introduce the Problem

Overdecades, turism has experienced continued growth and deepening diversification to become one of the fastest growing economics sectors in the world (UNWTO, 2015). The largest income earner for the country, the tourism industry is enormously significant for Thailand. Income from this sector increased continually from 14,880.58 million US dollars in 2009 to the highest record of 39,282.32 million US dollars in 2013, with the average annual business expansion of about 7.58 percent. The highest gain came from European countries amounting to 48,373.57 million US dollars (37.22 percent of the total income), followed by East Asia, ASEAN, America, Oceania, South Asia, the Middle East and Africa, respectively (Department of Tourism, 2014).

Patong Beach is popular and famous among the Thai and foreigners as well as it is the one of the most beautiful beaches in the world certified by many international awards conferred to Phuket. It is attractive for relaxing, swimming, water recreations and water activities such as snorkeling, wind-surfing, scooter, boat-skiing, fishing and diving. In the past, tourism management and the local administration were limited by regulations and laws which did not relate to the area. Decentralization was granted to the local government by the central government, but the budget that the local government received is still not enough to solve the problems or develop itself. While Patong Beach has developed rapidly, the problems were generated continuously. This affected tourism of Patong beach in many dimensions.

1.2 Explore Importance of the Problem

Research of Jittima Kaewtae (Kaewtae, 2005) whose research topic is "Acceptance of News, Expectation and satisfaction of Thai Tourists toward Patong Beach, Phuket Province" found that the main reason in visiting

Patong beach were the attractive environment of Patong beach. While, research of Panisa Meechinda (Panisa Meechinda, 2012) whose topic is “Thai and Foreign Tourists' Loyalty toward Tourism Destination in Chiang Mai and Phuket Province” found that in Phuket, the results indicated that domestic tourists are mostly female (62%). Their motivation in traveling is to seek novelty and status. The most influential attributes of destination are scenery. In contrast, international tourists are mostly male (60%) and 47 % of them comes from Europe. Their motivation in traveling is to seek novelty and status. The most influential attributes of destination are scenery.

Moreover, research of Nanthana Rophandung (Rophandung, 2012) investigated in the topic “Factor of Influence toward Tourist’s Decision of Traveling in Patong beach, Phuket province” found that the important factor which influences tourist’s decision in traveling in Patong beach is tourism attractions especially, the beautiful of the beaches and valuable expenditures. The most favorite item of tourists in Patong is the cleanliness and the beautifulness of the beach. Mostly, tourists are satisfied to travel to Patong beach and will return to Patong beach in the future. In conclusion, the most important factors which influence the tourist’s decision are especially beauty and cleanliness of the beach, satisfaction of traveling, valuable expenditures and many activities.

In addition, research of Maythawin Polnyotee and Suwattana Thadaniti (Maythawin & Suwattana, 2014) whose research topic is “The Servey of factors Influencing Sustainable Tourism at Patong Beach, Phuket Island, Thailand” found that many factors affect sustainable tourism at Patong Beach are declining due to garbage accumulation in the area, waste water and landslide. In terms of the accessibility, traffic jams are occurring and the traffic signs are depreciating. At the same time, the tourism information accessibility is not up to date. Moreover, facilities such as parking, toilets, and rest areas are occupied by sellers and entrepreneurs, leaving tourists unimpressed. Finally, security, tourism leads to several crimes including drugs, prostitution, and problems of foreign workers and foreign entrepreneurs.

Issues surrounding the sustainable tourism development in Patong Beach are of three types. The first type is environmental problem: Originating from the service industry, the problems of garbage, emission, waste water, dust, lack of green zones and lack of rules at the beach front contribute significantly to the deterioration of the environment. Besides, there also exist risk of natural disasters such as tsunami and landslides. The second type of issue is socio-cultural problem; there are numerous socio-cultural problems, which include lack of tourists’ safety, taking advantage of tourists, lack of local people’s involvement, lack of education, poverty, poor public health, and problems of traffic, while the local community becomes increasingly commercialized. The third type of issue is economic problems. They include reliance on foreign workers, high competition for employment between local people and foreign workers, high budget expenses to solve problems, imbalance of tourism revenue and income distribution between local people and foreigner investors and insufficient budget to solve problems.

As mentioned above, there exist several problems which have affected development of Patong Beach as a world-class tourist destination. Thus, it is very important and timely to investigate this issue and devise strategies as a key success factor for its sustainable tourism development so that it grows as a popular destination among Thai as well as international tourists.

1.3 Objective of Study

This study propose community –based tourism as a strategy for sustainable tourism development of Patong Beach, Phuket Island, Thailand

1.4 Relevant Literature

1.4.1 Community-Based Tourism

Community- based tourism (CBT) is tourism which residents manage their resources in community as the tourism supply and provide it to tourist. The residents earn income as land managers, entrepreneurs, service and produce providers, and employees. At least part of the tourist income is set aside for projects which provide benefits to the community as a whole. For the host community to use tourism as a strategy for community development; it should apply a "holistic" view to analysis and understand the community situation. It will help host community maximize the capacity of CBT to act as an effective and sustainable community development strategy. The five principle aspects are (1) economic; income from local production, diversified local economy and self-reliance (2) social; people-centered development, social justice, satisfying quality of life and active community organizations (3) political; community participation, development in response to the community needs and democratization (4) cultural; formal and informal education, local culture passed on to the next generation and cultural preservation and (5) environmental; natural resource management rights, environmental responsibility and natural resource conservation (Mintzberg, 2009). In conclusion, community-based tourism

enables the tourist to discover local habitats and wildlife, and celebrates and respects traditional cultures, rituals and wisdom. The community will be aware of the commercial and social value placed on their natural and cultural heritage through tourism, and this will foster community based conservation of these resources.

1.4.2 Sustainable Tourism

Sustainable tourism is a tourism which is an achieving growth in a manner that does not deplete the natural and built environment and preserve the cultural, history, heritage, and arts of the local community (Edgell, 2006). Moreover, it means achieving a particular combination of numbers and types of visitors, the cumulative effect of whose activities at a given destination, together with the actions of servicing businesses, can continue into the foreseeable future without damaging the quality of the environment on which the activities are based (Middleton, 1998). In addition, sustainable tourism is tourism which people can participate and gain benefit from such as income or even facilities in community which are developed from tourism activities. Not only will the resources and local people get benefit from sustainable tourism, but also the private sector. In terms of tourists, sustainable tourism is an instrument to make them realize about the importance of resources, when they are satisfied with tourism, at the same time they might not destroy tourism resources because they will keep in their mind that the resources belong to them. Nevertheless, sustainable tourism effort should be realized with effective, which should not be left behind to the next generations to solve it because they like the present generation will use the resources without solving the problems from the former generation as the concept of sustainable development.

1.4.3 Strategic Management

Strategic management is a continuous process that appraises the business and industries in which the organization is involved, appraises its competitors and fixes goals to meet the present and future competitor's and then reassesses each strategy. In term of process of sustainable tourism strategy, it consists of (1) an analysis of the status-quo (2) methods for collecting this information (3) strategic development and (4) action plan (Marbef.org, 2012). In conclusion, the strategic management is the process of management which the responsible person uses to manage tourism in the area for being sustainable tourism destination with 4 steps, which are environment scanning, strategy formulation, strategy implementation and strategy evaluation.

1.4.4 People's Participation

Participation is the result of an overall agreement between members of a group whose intention and direction for changing are enough to generating a new project. The National Village and Urban Community Fund Office, the Office of Institute of Rajabhat Council and the Office of the Higher Education Commission (2002) specified participation as that people or community can participate in decision on local development policy and participate in benefit distribution as well as participate in any projects evaluation control of their local. Furthermore, Wanruks Mingmaneenakin (1988) summarized that people participation is an active and full participation of stakeholders in every step of community development project, especially participation in power, decision and responsibility. Participation assures that stakeholders meet their demand and get benefit equally which were related with the Ladder of citizen participation concept of Sherry Arnstein who has been writing in 1969 about citizen involvement in planning processes in the United States, described a "ladder of citizen participation" that showed participation ranging from high to low. The ladder is a guide to seeing who has power when important decisions are being made. It has survived for so long because people continue to confront processes that refuse to consider anything beyond the bottom rungs (1969). In conclusion, participation means that people are closely involved in the economic, social and cultural and political processes that affect their lives. People may in some cases have a complete and direct control over these processes – in other cases the control may be partial or indirect. People have constant access to decision making and power. Participation in this sense is an essential element of human development. It generally refers to people's involvement in particular projects or programs. But today, participation means an overall development strategy focusing on the central role that people should play in all spheres of life. Human development involves widening their choice and greater participation enables people to gain for themselves, access to a much broader range of opportunities.

2. Methodology

2.1 Data Collection

2.1.1 The Survey

The survey was done at the initial stage of the data collection to get an overview of the contexts.

2.1.2 Observations

(1) Participatory observation such as visiting tourist attractions, joining the festival to be familiar with the tourist

activities and places such as Songkran festival, Patong carnival, etc.

(2) Non-participatory observation was an activity which the researcher did not take part in, such as community's daily life and selling activities.

2.1.3 Questionnaire

The questionnaire was used to collect the data from the local people. The details covered all objectives and contents of the study.

2.1.4 In-depth Interview

In-depth interviews were carried out formally and informally to elicit perspectives and perceptions of stakeholders in detail, concerning the research objectives and contexts.

2.2 Key Performance and Sample Sizes

2.2.1 Key Performance

The key performances in this study consisted of stakeholders namely; 1 local agency (Patong city or Patong Municipality), 4 entrepreneurs (accommodation, travel agent, entertainment and souvenir-shop business).

2.2.2 Sample Sizes

Local people were selected by purposive sampling. There were 120 local peoples. The purposive sampling or judgment sampling was the method of selection which based on the discretion or decision of the researcher. It is related to the objectives of the research and it could reflect the representatives of sampling.

2.3 Instruments

2.3.1 In-depth Interview

It was conducted with the entrepreneurs and local agencies who were encouraged to express their opinions and role in tourism, the interviews consisted topics of existing tourism policy, tourism management and conservation, carrying capacity, participation and tourism impacts.

2.3.2 The Questionnaire

It was designed to explore the perspective and participation of local people in sustainable tourism development for Patong beach which consisted topic namely; tourism impacts, carrying capacity, local and national tourism policy and people participation in 4 dimensions (planning, management and operation, benefit distribution, evaluation and monitoring). To order that, the researcher used Likert scale to evaluate the respondents

2.4 Data Analysis

2.4.1 An Analysis of Qualitative Data

The data from interviews, observations and the literature review were organized and classified to discover the diversity of phenomena within the area. It was categorized in term of phenomena, similarities, and differences with support of reason manifest through informants. They were synthesized and displayed descriptively according to the conceptual framework. This analysis was concerned with concluding, defining, and analyzing between tourism and the area concerned. It also included the interpretations of the research finding according to the research objectives, theoretical framework, and concepts in order to explain and analyze the finding more effectively.

2.4.2 An Analysis of Quantitative Data

The data was analyzed to obtain statistical frequency, percentage, mean and standard deviation. It was coded on to the SPSS for Window program. The results from the SPSS for Window were presented in tables with descriptive explanations for the figures. Finally, it was analyzed for their relationships and interpretations according to the research objects and conceptual framework of the investigation.

3. Results

3.1 The Background of Local People Respondents

According to 120 questionnaires, it was found that 70.80% of local people are female and 29.20% of local people is male. The age of local people is mostly between 31-40 years (45.00%). The education of local people is mostly bachelor degree (54.17%). The occupation of local people is mostly private staff (60.00%). The monthly income of local people is mostly between 10,001-20,000 baht (52.50%). Their background is illustrated in Table 1 below.

Table 1. The background of local people respondents

Input data		Number	Percentage
Sex	Male	35	29.20
	Female	85	70.80
Age (years)	≦20	3	2.50
	21 – 30	49	40.80
	31 – 40	54	45.00
	41 – 50	14	11.70
	51 – 60	0	0
	≥ 61	0	0
Education	Primary School	9	7.50
	Junior High School	17	14.20
	Senior High School	26	21.70
	University	65	54.20
Salary	≦10,000	17	14.20
	10,001-20,000	63	52.50
	20,001-30,000	26	21.70
	30,001-40,000	11	9.20
	40,001-50,000	3	2.50
	≧50,001	*0*	*0*

3.2 Factors Influencing Its Sustainable Tourism Development

The factors influencing sustainable tourism at Patong beach were presented as a result of analyzing 120 questionnaire of local people respondents which displayed a negative impact including negative economic impact which was very high ($\bar{x}$ = 4.53), negative social impact which was high ($\bar{x}$ = 4.28) and negative environmental impact which was high ($\bar{x}$ = 4.42) so the total mean score was high ($\bar{x}$ = 4.41). They were related with the perspective of all interviewees with negative impacts such as garbage problem, waste water, air pollution, crime, and insecurity of life and belonging. Therefore, the local agency should recognize these problems and find out ways to solve these problems. If the local agency ignores these problems, the tourism at Patong beach could decline and risk unsustainable tourism. Moreover, the factor influencing sustainable tourism was moderate of local participation ($\bar{x}$ = 2.78). It was related with perspectives of all association by interviewing that they have low participation in all activities which affected to sustainable tourism development at Patong Beach. The impacts are illustrated in Table 2 below.

Table 2. The attitude of local people respondents on tourism impact

Issue	$\bar{x}$	SD	*Level*
Positive Social Impact	3.38	0.99	*Moderate*
Positive Environmental Impact	2.80	1.04	*Moderate*
Positive Economic Impact	3.84	0.91	*High*
Negative Social Impact	4.28	1.08	*High*
Negative Environmental Impact	4.42	0.88	*High*
Negative Economic Impact	4.53	0.83	*Highest*
People Participation	2.78	1.03	*Moderate*
Total	3.72	0.97	*High*

In conclusion, tourism management at Patong Beach has not been efficient and that it affects the local people. Thus, the high level of negative impact is the factors that affect sustainable tourism at Patong Beach. Therefore, stakeholders should initiate action for sustainable development of tourism at Patong Beach.

3.3 Strategy for Sustainable Tourism Development of Patong Beach

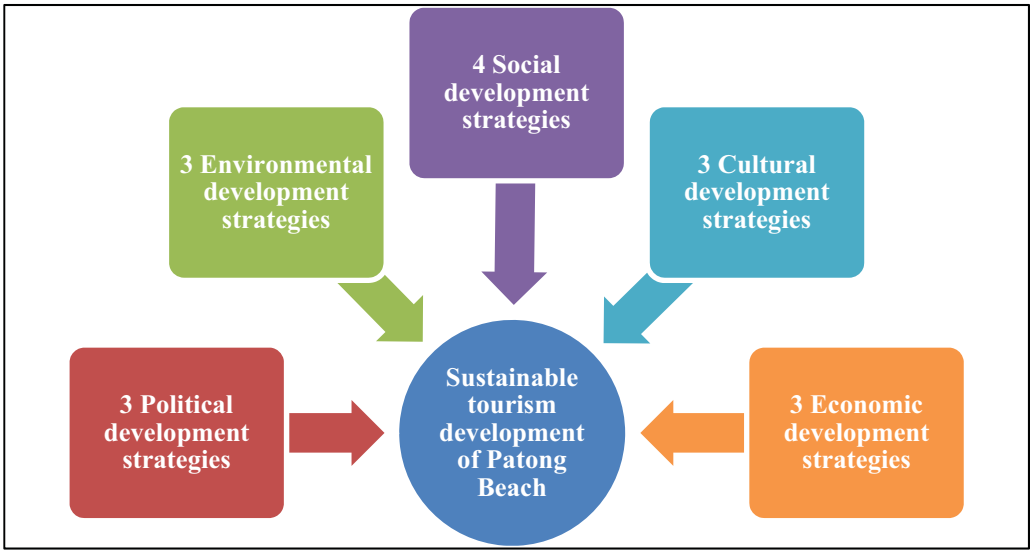

Figure 1. The Strategy for sustainable tourism development of Patong Beach
Adapted from Community-Based Tourism Handbook (Mintzberg, 2009)

As shown on Figure 1, the strategy by adaptation of community-based tourism is launched to sustain and develop tourism in the community as one step to become a sustainable world-class tourist destination. This can be done by doing the following:

1. Political development strategy; local agency should **(1.1) enable the participation of local people** by strengthen local institutions to enhance local people's participation and promote local people as the representatives of whole residents actively involved in local government. Local agencies empowers **(1.2) the power of the community over the outside** by campaigning to promote the benefit of tourism development which is provision by providing communities with information and awareness before they make a decision to whether participate or not. Local agency **(1.3) ensure rights in natural resource management by** enhancing community strengthens itself and empowers local people to manage their resources.

2. Environmental development strategy: All stakeholders should **(2.1) study the carrying capacity of the area** which aims to determine the potential of tourists and residents' resources utilizing in the area**.** Moreover, **(2.2) they should manage waste disposal** together by reducing the amount of waste they produce being the best way to help the environment. Moreover, reusable items process can make waste possible to create new products out of the materials from the old ones to recycle. At the same time, all participants **(2.3) raise awareness of the need for conservation by** educating in support of campaigns to achieve specific conservation outcomes, educate to enhance visitor experiences, work with schools in smaller communities on interactive programs designed to enhance specific conservation outcomes.

3. Social development strategy: All participants **(3.1) raise the quality of life;** support events, activities and festivals concerning with a healthy, lifestyle, wellbeing, mindfulness and exercise in the public area, create the protection of any crime such as CCTV installation to cover all areas provide rescue staff efficiency, promote public safety campaign, encourage road and transport safety education in school, workplaces and community along with the transport regulation enforcement and provide public parks and green zones for community's activity. They should **(3.2) promote community pride** by expanding it through projects and community action to promote a cleaner, healthier, safer, more beautiful Patong beach in all aspects.They should **(3.3) divide roles fairly between women/men, elder/youth** by fostering horizontal linkages between different organizations and actors involved in human settlements development: politicians, activists, professionals, employers, tourists and

beneficiaries, maintain vertical linkages between the various levels of political power, specify interests and concerns with women, elder and youth have particular approaches towards managing their environments. Moreover, they should **(3.4) build community management organizations** such as creating a strong sense of community amongst a specific group of individuals, working from proven templates to develop their community through the community development process (they are proactive, not reactive) and so on.

4. Cultural development strategy: they should **(4.1) encourage respect for different cultures** by learning to accept and respect other cultures which is an important step that opens mind to the world and everyone's unique differences such as develop an open mind by Studying religion, taking a look at history, trying some new cuisines and talking to people**.** They also should **(4.2) foster cultural exchange** by fostering community appreciation and participation in cultural exchange, develop and extend the opportunities for stakeholders to engage in initiatives that promote cultural diversity in the municipality, support cultural expression that is original and pertinent to the residents of the municipality, provide opportunities for cross-cultural collaboration that build a shared sense of community identity**.** They should **(4.3) embed development in local culture** by utilising local traditions and culture as the basis for marketing tourism industries, invest in culture-based development and formulate culture-based investment policy.

5. Economic development strategy: Local agencies and all participants should **(5.1) raise funds for community development** by making community brand awareness and communication available to people through fundraising activities such as events, sponsored events, collections, raffles, supporter database, local clubs and societies and school fundraising. Local agencies should **(5.2) create jobs in tourism** by developing tourism policies for creating local products and local jobs as follows: developing policies that harness benefits from tourism to empower communities as volunteers or staffs, protecting natural resources, promoting social cohesion and cultural identity, and ensuring that tourism policies are based on the broad participation of local communities and that they promote local employment and local ownership over the natural resources that make those areas valuable touristic destinations. Local communities and stakeholders should be included in tourism initiatives from planning to implementation to ensure fair and sustainable economic returns and also support the creation of tourism-oriented micro, small and medium-sized enterprises (M/SMEs), among others, by facilitating access to finance through credit and loans for local entrepreneurs, particularly for the poor and other disadvantaged groups. Specific support to tourism cooperatives should be provided which promote economic advantages through the pooling of resources, knowledge and skills, sharing of risks and benefits, while enhancing community ownership and autonomy, encourage and provide incentives for major tourist businesses to make basic infrastructure, including water and power utilities, available to the communities in which they are operating. Local transport services should be integrated such as personal taxis, rather than offering separate and expensive hotel-run shuttles and services. Utilizing and developing a local transport industry directly generates employment and income. Local employment should be supported through the development of job outreach programs that raise awareness among the local population about job prospects in tourism and assist local residents with finding and retaining jobs in tourism and related sectors. The environmental impact of major tourism developments should be evaluated and monitored and local labor used to protect and maintain the environment. Moreover, they should **(5.3) raise the income of local people** by stimulating the creation of new jobs and income opportunities in rural areas such as non-agricultural and other non-primary production activities, provide appropriate land-use frameworks in order to support the establishment of agricultural activities and both agricultural and non-agricultural services related to sustainable rural development.

4. Discussion

Patong Beach has plenty of tourist attractions. Tourists all over the world who come to Thailand do not miss traveling to Patong Beach. These tourist spots are not the only reasons why people travel here. Other factors such as accommodation, facility and security/safety also have an impact on the influx of tourists to the place. This research proposed development strategy for sustainable tourism of Patong Beach, Phuket Island, Thailand in 4 elements of tourism namely: tourist attractions, accessibility, facility and security/safety, which environment, social and economic problem solutions are included in each element. Finally, a strategy for development of sustainable tourism at Patong Beach will be useful to retain, sustain, preserve and conserve existing resources for the next generation the sustainable tourism development way.

Future research should focus on the impact of tourism in Patong beach in three dimensions, namely environmental, social and economic. Moreover, understanding its context and background before finding strategies is necessary in order to ensure their effectiveness. The present research found that there is a serious lack of people's participation and understanding of the principle of community-based tourism development and management. Therefore, future research should focus on how to encourage stakeholders' participation in tourism

development and management in Patong beach, and also on how to ensure equitable distribution of the benefits among them. The suggestions of tourism development at Patong beach are as follows;

1. Promote and support local residents and entrepreneurs to participate in environment conservation, social preservation and economic development by giving them a chance to participate in designing local plans and policies with respect to sustainable tourism development.

2. Revise and update all the present laws, regulations and penalties. This is a contradiction.

Enforce the ministry regulations of the environmental protected area 2010 in terms of Allocation of protected area in Phuket province(ONEP, 2010) for managing Patong beach in sustainable tourism development. Moreover, the law submitted concerning tourism should require the Tourism Authority of Thailand (TAT) participation as being an advisor of tourism planning and law. Tourism academics can be encouraged to participate at this stage.

3. Community-based tourism (CBT) should be utilized as a tool of sustainable tourism development which focuses on all aspects including importance of politics which is being as the tool of participation in local administration. The other aspects concern the environment, which all stakeholders have to protect and conserve together, social aspect which is all stakeholders in this area have to protect them from any harm and develop it for their livelihood. In terms of cultural aspect which is include tangible and intangible items for preserving its unique local cultures for the next generation, and economic aspect, involving revenue to benefit stakeholders' participation.

4. Organized fund for local tourism. The fund can be set up from the government's annual budget distribution as well as donations from the community, entrepreneurs, local organizations and local agencies.

5. Campaign for environmental conservation in the area through all media i.e. television, radio, newspapers, magazines, website, leaflets and guidebooks in Thai and English as well as other languages. It would increase the awareness of all people including local people and tourist to conserve tourism resources together. Moreover, local agencies should encourage women, elder and youth to participate in local management equality.

The following are specific recommendations as areas of investigation for further research drawn from this study;

1. Drawing qualitative tourists as a new market for retaining its status as a world-class tourist destination in the long run.
2. Development of tourism marketing mix based on sustainable tourism development.
3. Encouragement for people's participation in tourism management by utilizing Community Based Tourism (CBT) concepts.
4. Promotion of local culture through diversification of tourism attractions.
5. Prevention of natural disasters, to earn tourists' trust in tourism at Patong beach
6. Development of safety zone and protect lives and belongings of tourists and also residents.
7. Development of world-class tourism based on professionalism.
8. Popularization of tourist attractions and events to promote world-class tourism.
9. Conservation of tangible and intangible attractions through minimizing negative impacts of tourism.

In addition, further research should be done through quantitative and qualitative research to increase effective results. Moreover, tourism research should be integrated with other sciences because it is at present a disciplinary knowledge.

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Strengthening Competitiveness of Multinationals through Relocation of Production to Asia

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Abstract

This article asks whether a strategic opportunity exists for a company producing products with the label 'Made in Germany' to relocate production to Asia while retaining German engineering. This article focuses on the prevailing market situations of several multinational corporations based in Germany, which are encountering growing competition from Asia due to disadvantages in product price, delivery costs and transportation time that are related to a non-adapted and non-future oriented sourcing concept. Through an empirical research study, respondents from Asia were asked about their willingness to accept the price of a 'Made in Germany' product, the importance of price, their opinion about delivery issues, and their acceptance of local production in Asia. Total responses of N = 636 (100.0%) were collected, including n = 108 (17.0%) responses from Asia. The results are addressed to strategic management for German companies that can gain competitiveness through a relocation of production to Asia while considering long-term requirements. The results of the study suggest that the fundamental strategy of pairing German engineering with local production in Asia is worth pursuing in which the market conditions of tomorrow are considered.

Keywords: business strategy, competitiveness, made in Germany, operations management, procurement strategy, plant location, sourcing

1. Introduction

In today's globalized world, corporations require a progressive consideration to strengthening competitiveness. This article is based on the prevailing situation of several German multinational corporations that need to gain competitiveness following a broad handling of markets. Due to the limited growth potential in European markets, the focus has turned to emerging markets. According to a study by Oltmanns (2013), Western companies expect to achieve 70% of their future profits in these emerging markets. Especially the growth potential in the Asian region is of interest. Compared to developed markets, Asian emerging markets display divergent consumer behavior, different market conditions and different financial power. International exporting corporations from Germany manufacture products under the classification 'Made in Germany', and German engineering quality is seen as an important success factor (Ahlert, Backhaus, Berentzen, & Tegtmeier, 2007).

This research investigates an adapted sourcing concept for German multinationals that face growing competition in which disadvantages in product price, delivery time and transportation costs have been revealed. Therefore, the strategy of having a production site located in Germany can be seen as disadvantageous due to production cost factors (i.e., labor costs or facility costs) and distance to markets (i.e., transportation or taxation) (KPMG, 2014). Brunke, van Dongen, and Downey (2013) report that, especially in emerging markets, consumers prefer cheap and simple products. However, Ahlert et al. (2007) report that international customers have appreciated products being manufactured at German production sites and connect a certain level of quality with this origin. Therefore, the concept to pair the German quality identification with a local production can have great potentials to multinationals. Herewith, companies face a number of challenges in finding the right strategy, which should at least reflect customer needs and conditions. Thus, it is necessary to analyze both the potential market in Asia and customer needs in order to gauge to what extent production relocation into Asian markets is accepted, and to what extent there is a need to retain German engineering.

This research investigates existing negative aspects faced by several German multinationals in price and delivery in international markets, which are related to their prevailing sourcing concepts. The aim of this research is to present a customers' perspective to guide current sourcing strategies into an adapted concept to relocated the

production to Asia. The emphasis of this research is placed on aspects of price for products classified as 'Made in Germany', particularly the importance of price as an influence on customers' buying decisions, transportation time, and delivery and importation costs. Furthermore, to reshape manufacturing to meet emerging market conditions, we consider the acceptance of local production and customers' expectations of lower prices when local production is accepted. This article is based on a comprehensive literature review following the main topics of consumer behavior, the classification of 'Made in Germany', competitive advantages, acceptance criteria to generate advantages through local production and the implementation by means of operations management. In order to enable the application of the results to long-term strategic decisions, customers' opinions and expectations represent a major focus. Through an empirical research study with a total response of N = 636 (100.0%), respondents from Asia n = 108 (17.0%) were asked about their willingness to accept the price of a 'Made in Germany' product, the importance of price, their opinion about delivery issues, and their acceptance of local production in Asia. The goal of this article is linked to a long-term profitability strategy with regard to production relocation that addresses decision managers with fundamental data about customers' acceptance and expectations.

2. Literature Review and Hypotheses

2.1 Globalization and Effects

In recent times, the concept of globalization has influenced economic and political debate more than any other factor. The term 'globalization' is rarely defined or unilaterally reduced to certain positive or negative economic impacts (Clegg & Grey, 1996). Technological and cultural developments are accompanied by the deregulation of capital and product markets and by international trade liberalization, respecting the framework of the World Trade Organization (WTO). Levitt (1983) describes the deregulation of markets as a convergence of markets. This makes it easier to realize business advantages and enables activities through large-scale production in countries where the greatest economic benefits can be achieved. As a result, companies' cross-border activities grow systematically. Globalization was triggered in particular by revolutionary inventions in the field of microelectronics, optoelectronics and telecommunications (Albert, 1996; Dunning, 1997; Giddens, 1996; Schneider, 1996). These inventions led to a dramatic reduction in costs and enabled global communication. At the same time, improvements in the field of transportation hugely increased the worldwide mobility of people and goods. Modern transportation technologies greatly decrease the subjective and emotional distance between countries and positively affect how the term 'globalization' is characterized. From a company's political point of view, globalization primarily increases opportunities and risks. Furthermore, globalization causes an intensification and spatial expansion of competition, customers and suppliers, which massively increases the cost and pressure to perform effectively. Thus, through the effective implementation of economies of scale and economies of scope, beneficial results can be achieved. In particular, the convergence of technological, economic and legal conditions facilitates the global standardization of products and promotes the development of global brands. Globalization affects not only large companies, but increasingly small and medium-sized companies, too. Following Prahalad and Hamel (1994), a growing number of micro multinationals are integrated in international networks through strategic alliances and other forms of cooperative organizations. They are able to increase their world market share through specialization and flexibility advantages to compete against large companies or nationally oriented companies (Naisbitt, 1994).

Nowadays, globalization has new rules and presents diverse circumstances for multinational corporations. The governments of emerging countries tend to display limited willingness to open industries to multinationals, because they find it risky to do so. According to Bremmer (2014), they rather try to protect local interests. Furthermore, governments build exchange reserves to raise exports, redefine national security according to global topics, which become more political issues, and create diverse business environments that provide advantages to local corporations. This 'rise of state capitalism' shifts the characteristics of globalization in a new era and represents a break with the past. Governments thus control markets through politically loyal, public-sector companies (Bremmer, 2014). This is why multinationals face local competition that receives governmental support. Multinationals have to consider the strategic effects of state capitalism, and ask whether the industry sector is strategically important to the government of the target market and the domestic market. Following Bremmer (2014), multinationals will find opportunities in this new era of globalization; however, permanent strategic adaptation is still mandatory.

According to Abonyi and Van Slyke (2010), the main challenges of globalization are linked to finance and production. The globalization of production allows international businesses to reconstruct structures, relations, and performance, and to generate revenue. Globalization, following Dicken (2011), is the reconstruction of international production, investment and trade. It thus offers opportunities and modifies the competitive

environment. Following Bremmer (2014), with regard to the empowering of government, Abonyi and Van Slyke (2010) highlight four drivers of the globalization of production from a governmental point of view. The first is policy liberalization, which reduces constraints in investments, importation and exportation. The second is technological change, controlled via investments and regulations. The third is capital mobility, which enables foreign direct investment to take advantage of local differences and production costs. The fourth is the demand for competition, which forms products with lower costs, better quality, faster delivery, and diversity. Within a globalized production context, multinationals aim to generate benefits through an established global value chain that includes geographically scattered production networks. It is a matter for debate, however, whether a global sourcing concept is able to gain competitiveness without local manufacturing (Abonyi & Van Slyke, 2010).

2.2 Strategies and Positioning of Multinationals

Porter (1985) develops two fundamental questions in his research about competitive possibilities. The first is the attractiveness of the business area and the second is the relative position of the company within the business area. Strengths and weaknesses combined with the activity scope lead to three possible generic strategies: focus, cost leadership, and differentiation. The aim of the generic strategy 'focus' is to gain competitiveness, i.e., concentrating on an individual aspect of a product within a dedicated segment and market. This strategy works perfectly when competitors follow different segments or strategies. Porter (1985) specifies several ways to achieve objectives of cost leadership, for instance, economies of scale. Grant (2001) specifies economies of scale, economies of scope, economies of experience, managing cost cutting, residual and operational effects, and an appropriate value chain. To become a cost leader and to enhance the competitiveness level within the dedicated industry sector, companies need to understand the possibilities and opportunities of cost advantages. Differentiation within the generic strategies creates different attributes compared to the competition. Companies achieve success for their product within their market by choosing the right generic strategy (Porter, 1985). It can be difficult to follow more than one generic strategy at the same time. With regard to this research study, differentiation strategies and cost strategies offer possibilities to collaborate under certain circumstances, especially when competitors are not clear about their strategy. However, a company has to understand its own company-specific value chain to actively use generic strategies to gain competitiveness.

Strategic positioning, following Porter (1980), is separated in broad markets and narrow markets. The strategic advantages of a corporation that follows a broad market target can be characterized as uniqueness through differentiation or through cost leadership. Within larger organizations a combination of strategies is often used to integrate different business units into a common strategy. Following Zook and Allen (2003), profitable growth can be achieved when a corporation overcomes the limitations of its core businesses. Growth opportunities are possible through penetration along the external value chain, establishing new products or services, or through entering new markets or regions. Successfully implemented strategies in corporations often simultaneously mix different strategies for business units, products or services, in addition to the core business (Ginter, 2013).

Focusing on strategic management, multinational companies can achieve competitive advantages by optimizing their international activities and thoroughly considering all global activities. Thus, companies are confronted with two opposite requirements: the simultaneous exploitation of the benefits of local adaptation following differentiation advantages and the benefits of global integration following unification or standardization advantages (Welge & Holtbrügge, 2006). According to Welge and Holtbrügge (2006), a transnational strategy is the ideal strategy for multinational companies, which combines the advantages of localization and differentiation with the advantages of globalization and standardization. The central objective of the transnational strategy is to simultaneously exploit economies of scale, economies of scope and national differences. This is also called a dual or opportunistic strategy (Meffert, 1986) or a multifocal strategy (Scholl, 1989). An identified benefit of this strategy is the realization of price differences and company-specific advantages with resource management. The transnational strategy represents an ideal alternative. Implementing it enables multinational companies to exploit competitive advantages.

2.3 Sourcing and Operations Management

Following the categorization of Wannenwetsch (2010) regarding sourcing strategies, numerous relations between purchaser and distributor can be developed as part of successful long-term sourcing strategies. Which of them is the best option for the company and product depends on the sourcing material and on the competitiveness level. However, all of them have different potentialities and present different opportunities. With regard to the negative product aspects of price, transportation cost and delivery time, the crucial factors are the categorization of lower costs in terms of price and higher flexibility, as well as the aim of to produce better and cheaper to meet future market requirements in emerging markets. The characteristics of globalization today do not necessarily require a

production site established in the target markets, as Abonyi and Van Slyke (2010) argue. A global sourcing strategy allows worldwide acquisition of products. With the internationalization of acquisition, a wider scope of sourcing is possible. It is essential to choose the right suppliers with a focus only on the purchasing price, but also on the capacity (Wannenwetsch, 2010). However, comparing the most effective sourcing methods relating to the research topic, local production offers a future-sourcing concept to multinational companies of German origin under prevailing disadvantages, and proactively combats the problem statement. According to Wannenwetsch (2010) are the advantages of local sourcing:

- Local mentality (i.e., adaptation to local market conditions)
- Lower transportation costs
- No importation taxes
- Possibility of high quality
- Possible better price conditions (i.e., labor costs)
- Flexibility in changes
- Suppliers close to the production

The disadvantages of local sourcing according to Wannenwetsch (2010) are:

- Mostly high price
- Customer trust is changeable
- Lower foreign quality standards
- Less international know-how

Local sourcing offers great possibilities and also provides companies with the opportunity to use several suppliers. The achievement of a local sourcing concept can have the possibility to transform disadvantages into advantages. Local sourcing facilitates lower transportation time and costs, importation taxes are inapplicable, local mentality and language can be considered, and high quality and better pricing conditions are possible. For a multinational company, local sourcing from the local subsidiary point of view is linked to the purchase or production of products locally to respond to specific market requirements that offers a better price level due to local price standards.

Although the literature suggests that opportunities exist in several dimensions to improve competitiveness to counter product disadvantages in price, delivery time and delivery costs, it is still important to consider strategic implementation. Based on successful implementation, operations strategy aims to generate customer values. Following Slack and Lewis (2008), the term 'operations' refers to the management of resources and processes to deliver and manufacture products. Within the operations strategy, four dimensions should be considered. These are the corporate strategy, market requirements (i.e., quality, costs, or flexibility), operational experience and operations resources (i.e., capacity, technology, or sourcing networks). The management of resources and processes, which simplistically transform input into output, can grant success to survive in competition and is furthermore able to satisfy customers' needs. According to Slack and Lewis (2008), this is possible with four strategic objectives:

1. Cost reduction due to an efficient input-output transformation;
2. Increase profit due to customer satisfaction delivered through quality, flexibility and reliability;
3. Investment reduction due to a higher innovation grade and efficient use of existing capabilities;
4. Efficient use of capabilities to generate a solid fundament of future innovation.

Operations strategy concentrates on environmental changes to compete successfully. In order to meet future challenges and requirements, there is a further interest in implementing operations resources and processes appropriately in order to generate advantages. Behind all business opportunities are different markets that require different resources. Therefore, any kind of business opportunity represents a compromise between markets and resources. However, operations strategy should correspond both to operations resources, to build capabilities, and market requirements, to satisfy markets. Overall, according to Slack and Lewis (2008), operations strategy has the commonly used performance objectives quality, time, dependency, flexibility, and cost. According to Slack and Lewis (2008), cost is the most important performance objective, because the lower the costs of production, the lower the selling price can be. Lowering costs is important for competitiveness, but also enables higher earnings. According to Nordstrom and Ridderstrale (2000), in their simple explanation of customers'

wants, a product should be cheaper, better and faster delivered than others. However, Slack and Lewis's (2008) five dimensions are competitive factors and commonly describe things customers' recognize. Transferring these performance objectives to the problem statement, the operations strategy confirms possibilities to compete within the changing market environment when a successful adaptation has been considered. According to Boyer, Swink, and Rosenzweig (2005) in their review of the literature on operations strategy, a consideration of behavioral elements can be beneficial for a future-oriented production concept. Thus, customers' level of acceptance, opinions and expectations can help to correctly set the sourcing strategy.

Nowadays, markets are broadly fragmented and targeted marketing is difficult. Product innovations and product life cycles also spin faster. According to S. Brown, Bessant, and Lamming (2013), there are several terms that describe the modern era of production, which is a combination of size, diversity, quality and innovation. These are mass customization (Pine, 1992), flexible specialization (Piore & Sabel, 1984), lean production (Roos, 1990), agile manufacturing (Kidd, 1993), and strategic operations (Hill, 2004). However, it is observable that the manufacturing situation is changing to meet current customer and market demands. Therefore, manufacturers face divergent requirements that not only consider economies of scale, but progressively smaller economies. With the focus on relocating production as part of procurement strategies, the location of production is, according to S. Brown et al. (2013), an important aspect linked to the strategic capacities. The problem with manufacturing is that capability and performance have declined in several industries. Therefore, the service aspect becomes more important to companies with sourcing intentions. However, services cannot veil low manufacturing quality. With regard to the changing manufacturing situation, operations management has a broad range of functions across the complete range of supplier and distributer networks. According to S. Brown et al. (2013), understanding the principles enables manufacturers to compete effectively.

To compete effectively, corporations need to develop and deliver customer value. In principle, the more values top price, the more benefits a product provides. The goal of operations strategy is therefore to add value to a product. This is possible, for instance, through cost reduction, faster service, additional information, or customization in accordance with customers' needs. However, these goals are threatened by global effects, new technologies, and simultaneous competition. According to Davis, Aquilano, and Chase (2002), the global village is seeing lower trade barriers, overarching connectivity, rapid transactions, lower transportation costs, and the rise of newly industrialized countries (Naisbitt & Aburdene, 1990). To further distinguish a product from competition, future trends use environmentally-friendly products and processes, as well as information (Davis et al., 2002). Managerial implementation of operations strategy in the cores of corporations meets some challenges in terms of competition. It enables companies to enhance competitiveness, continue technological improvements, develop efficiency, reduce costs, and prepare for the future. Operations strategy is rightly integral to business strategy (Reid & Sanders, 2009); manufacturing is, according to Skinner (1969), the missing element in corporate strategy.

2.4 Origin Identification

The Country-of-Origin effect (COO) is nowadays a frequently used concept in research examining consumer behavior in international markets (Amine, Chao, & Arnold, 2005). The aim of the term 'Made in' is to transfer information about a product's geographical origin (Jaffe & Nebenzahl, 2001). The COO effect is in this way country-specific, but it can also have a wider scope in indicating regions, e.g., Asia or Europe (Bilkey & Nes, 1982). The definition of the COO effect is a positive or negative impact on consumers' behavior resulting from the country of origin (Elliott & Cameron, 1994). The preferences and behavior of consumers offer many possibilities for studies into the relevance of the COO effect, which demonstrate that quality is equated with the country of origin (White & Cundiff, 1978), and is thus an essential purchasing factor (Johansson, Douglas, & Nonaka, 1985). Consequently, the COO effect for a product and its production site influences clients' purchasing decisions and acts as a seal of quality and a factor in risk reduction (Cordell, 1992). These are extrinsic factors, like price or warranty, and are distinct from intrinsic factors such as weight, taste or design (Ahmed, Johnson, Ling, Fang, & Hui, 2002). Following Thorelli, Lim, and Ye (1989), clients use intrinsic factors for their decisions in cases where extrinsic factors are imperfect or difficult to estimate. That is why the COO perception is an alternative when quality and performance are lacking in a product. Clients are not used to valuing products from other countries correctly (Parameswaran & Pisharodi, 1994). The research of Verlegh and Steenkamp (1999) shows that the COO effect is not limited to evaluating products and quality, but is rather more complex and may be used for determining symbolic and emotional relevance.

Customers hold certain attitudes about brands and products from different countries (Gurhan-Canli & Maheswaran, 2000). However, COO perceptions directly or indirectly affect their decision-making. In terms of marketing, COO perception must be considered from the foreign as well as the domestic perspective (Kotler &

Keller, 2006). However, a company must use COO perception effectively in cases where the origin of a product has negative connotations for customers. Furthermore, the perception of quality is linked to the product's specification (Ashill & Shinha, 2004; Jaffe & Nebenzahl, 2001). This means that specific country of origin identifications positively or even negatively differs from product group to product group. This is why the quality image of Germany with reference to the automotive sector, for instance, is much better than it is for the fashion sector. Thus, not all studies and results can be combined into a generalized statement, because normally studies are focused on a specific product group. The COO effect and its influence on the decision to purchase a preferred product are strongly confirmed by the literature. But there are also critical reviews to consider. Johansson et al. (1985) suggest that the COO effect exists, but has much less influence than expected. They also argue that the COO effect has more influence on product specifications than the product in general. The overrating of the COO effect is a result of the well-known 'single-cue' valuation, in which a respondent has to evaluate a product only with regard to its origin. The empirical study by Verlegh and Steenkamp (1999) proves that the country-of-origin effect with 'single-cue' valuation is much stronger than with 'multi-cue' valuation. In a 'multi-cue' valuation, the information is not limited to the origin of a product, and more details, e.g., price or warranty, will be communicated (Chao, Wührer, & Werani, 2005). Similar results were achieved by Thorelli et al. (1989), who researched the relations between extrinsic COO factors, warranty and business image. However, 'multi-cue' valuations achieve a variety of results relating to the importance of COO (Jaffe & Nebenzahl, 2001). To summarize the multiplicity of studies and their results, the COO effect has a considerable effect on product evaluation (Ahlert et al., 2007).

Especially, the indication of a product's origin with 'Made in Germany' becomes an important issue for German corporations. Consumers, when they are in the process of deciding to purchase a product, automatically start to construct reasons to justify their particular choice to others and to themselves (Shafir, Simonson, & Tversky, 1993; Simonson & Nowlis, 2000). The term 'Made in' is an identification of a product's manufacturing origin, which essentially influences the client's perception of quality (Schooler, 1965). The term 'Made in Germany' has been used in various industries for a long time as a synonym for high quality and reliability (IHK, 2013). With regard to the COO effect, products engineered and produced in Germany still have an excellent reputation around the globe (Ahlert et al., 2007).

In addition to the country-of-origin identification is the foreign branding effect. Choosing an appropriate name for a product is crucial for its success (Aaker, 1995; Keller, Heckler, & Houston, 1998). This strategy can be applied not only for the transmission of the positive properties of a country to boost the image of a product, but also for using a specific image to establish attitudes. This is why companies use foreign branding of a product proactively, in the hope that the name will define certain qualities or attitudes (Melnyk, Klein, & Völckner, 2009). Today, customers are more and more often faced with brand names that are suggestively products from a developed country. The reason for this can be twofold. First, the production site might have moved from a developed country to an emerging country with the aim of minimizing production costs. Second, emerging countries, i.e., India or China, might have started producing domestic brands with the aim of international selling (Brown & Hagel III, 2005). Consequently, understanding customers' reaction to the relation between developing countries and foreign brandings is always important for marketing.

With foreign-sounding brand names, positive and beneficial associations can be transferred, affecting the perception and assessment of a product, and achieving a higher acceptance and perception of quality of the product. However, foreign-branding strategies also result in negative effects. Where the name is only of borrowed origin, the danger is that consumers will recognize that the country-of-manufacture is not the same as the suggested country-of-origin, which can also affect consumer behavior. Consumers can thus feel cheated by the brand provider (Klein & Völckner, 2012). The risk that consumers will discover the real origin of a product is significant. In conclusion, a product name that is foreign-sounding should be chosen when the country's image within the product category is beneficial, but negative aspects need to be considered as well. Overall, foreign branding and origin identification of a product are beneficial in advertising features that positively influence customers' buying behavior. The 'Made in Germany' classification has a well-established reputation. With regard to relocating production to meet specific market and customer requirements, a concept to retain crucial characteristics such as engineering enables corporations to maintain the perception of quality and reliability whilst being able to respond more appropriately to target-market conditions. Thus, value propositions can be delivered and competitiveness improved.

2.5 Customer and Market Change

As regards customers' buying behavior, we can see that a clear understanding of the customer and identification of their needs and wants is essential. It is difficult to determine the exact reasons behind customers' buying

decisions and preferences, which are sometimes guided by emotional influences; however, in principle, seeking to understand and respect customers helps achieve long-term business success. According to Dru (2002), companies can achieve success through adopting a clear vision that transmits an adequate sense of direction using advertising, product innovation, or other marketing tools. Kotler and Keller (2012) suggest that the marketplace is not what it used to be. The marketplace of today is influenced by societal forces that create new forms of consumer behavior, as well as new challenges, possibilities and opportunities.

Today's technology is shifting society from an industrial age to an information age. The industrial age was linked to mass production and consumption. More accurate production levels characterize the information age with better-targeted communications and pricing, mostly through using digital networks. In the information age, customers are now able to seek and evaluate products or services according to their needs. Offering a customization of a product combines customized marketing with customized production. In this way, customization-oriented companies do not need to collect customer information, but can respond with a customized product (Anderson & Narus, 1995). However, the information age requires a rethinking of marketing and a rethinking of product attributes to meet customers' needs and wants. According to Rust, Moorman, and Bhalla (2010), corporations need to reorganize their strategy to compete successfully, shifting product customization according to customer relations. Creating value propositions in times of increasing international competition becomes more important for corporations that face pressure on costs. According to Anderson, Narus, and van Rossum (2006), each value proposition should be measurable, sustainable, and distinctive. Thus, customer-value propositions contribute significantly to performance and strategy.

In principle, globalization offers better and different types of transportation, production and communication. This creates a more extensive environment for companies to start foreign business activities, at least offering consumers the possibility to buy products and services from global markets. This is why corporations on the international stage face changing market requirements and growing competition, which requires an improvement in their operational efficiency along the value chain. This is necessary for slow-growing countries, as well as for emerging countries. Therefore, adaptation to customers' product needs should be considered, taking products' specific disadvantages into account in order to compete successfully. The study results of Knapp, Günther, and Rinn (2013) confirm that the growth of emerging markets will continue, but at a lower rate than expected. In order to adapt to customers' buying behavior in slow-growth markets efficiently, the above authors suggest companies need to adjust products' attributes to what customers' really need, and set the right price. On the other hand, Kotler and Keller (2012) state that, from a marketing point of view, it might be unwise to give customers just what they want. Knapp, Günther and Rinn (2013) found that only 38% of respondent companies offered products meeting customers' expectations. Therefore, product adaptation to customers' buying and manufacturing preferences can probably identify hidden growth opportunities. Considering customers' attitudes in slow-growth markets to enable products to be developed that meet customers' needs at an acceptable price (Knapp et al., 2013).

2.6 Hypotheses

Nowadays, almost all products are subject to fast-changing industry. New technologies and an intensification of quality require continuous product developments. Fulfilling the latest technology and quality standards requires a high amount of investment for product development and manufacturing, which in turn increases product costs. A high price for a product 'Made in Germany' generally reflects the highest quality level (IHK, 2013). From that assumption arises the question of whether the price for products 'Made in Germany' is acceptable. Based on German corporations' attitudes and due to the well-established quality identification of 'Made in Germany', the first hypothesis (H1) is: *The price of products classified as 'Made in Germany' is acceptable.* It is expected that Asian respondents accept the price of products classified 'Made in Germany'.

In order to analyze the importance of price from a customer point of view, we can ask whether price influences purchasing decisions. Based on to the fact of customer and market changes and different requirements, the second hypothesis (H2) is: *The importance of price influences the purchasing decision.* It is expected that respondents from Asia rate the importance of price as above average in their purchasing decisions.

With regard to the above-stated negative factors related to price, delivery time and costs, it is not clear whether customers share the same opinion. The third question addresses whether delivery time and cost have a negative influence on purchasing decision. Therefore, the third hypothesis (H3) is: *Delivery time and costs are disadvantageous and thus influence purchasing decision negatively.* Due to the fact that the delivery time to markets is seen as presenting a disadvantage to German corporations in competition, it is expected that Asian responses agree with the majority. Delivery costs and importation taxes will also be seen as disadvantageous.

Globalization and the shift to emerging markets has led most German corporations to launch or to intend to launch production sites abroad in order to achieve better strategic results and gain opportunities. This is mostly related to global change and companies trying to spread their activities simultaneously in different markets, close or far from their origin. Furthermore, the literature review argues that an adapted local sourcing concept while respecting emerging market conditions can offer positive characteristics to strengthen competitiveness for multinationals. Unfortunately, it is not clear whether customers from Asia will accept local production that retains German engineering. We therefore ask whether customers will accept a local production site. The fourth hypothesis (H4) is: *Customers accept local production sites while retaining German engineering.* It is expected that a majority of minimum 90.0% accept the conception of German engineering paired with local production.

Due to several statements that customers' seek for cheap product, the additional question arises of whether customers expect a lower price for products that are produced locally. The fifth hypothesis (H5) is: *For customers who accept local production while retaining German engineering, the importance of a lower price increases.* It is expected that the majority of Asian respondents to expect a lower price.

3. Methodology and Research Design

The central question in this study is how German multinationals can strengthen competitiveness through relocation of production to Asia while considering values of their origin, and respecting market and customer behavior. The emerging Asian region is a low-price market and producing locally presents an interesting opportunity in terms of price, transportation time and delivery costs. This study is based on a comprehensive literature review and an empirical research study. It is crucial to ask for clients' opinions in order to correctly address the decision management with regard to the strategic opportunity of local production while keeping German attributes.

This research study is designed according to the paradigm of positivism, which tends to be concerned with the testing of hypotheses by using a large sample size (Kumar, 2014). It also produces results with high reliability, thus making generalizations possible (Collis & Hussey, 2009). The primary data were collected via face-to-face survey at the MEDCIA exhibition in Germany in November 2013. According to Krejcie and Morgan (1970), sample size requires N = 382 (100.0 %) positive responses out of all respondent origins. The question design requires pre-selection based on the origins of respondents, because only the opinions and expectations of international visitors to the fair are of interest. Consequently, German native responses are sorted out. The primary data collection considers the origin of respondents, separated into North America, Central and South America, Western and Central Europe, Eastern Europe and Russia, Middle East and Gulf Countries, Africa, Australia and Asia. With regard to this article, the major focus lies on the Asian region.

4. Results

This research survey was conducted at the Düsseldorf MEDICA exhibition in Germany in November 2013, which is one of the world's biggest fairs for healthcare-related products. The medical device industry has a very high standard in quality and technology where products 'Made in Germany' enjoys great reputation around the globe. Because of reference attitudes of the medical device industry, the results are therefore transferable to other industries. However, this empirical study is not limited to medical products (Note 1) and respondents were specifically asked for their opinions and expectations about non-medical products. The study is limited to international visitors to the fair. German responses are not included in the data. Only the Asian responses are of interest in this article. Due to the fact that Asian customers and market behavior are differentiated, customers' expectations and opinions constitute a major focus in this study.

Based on former MEDICA visitor data from 2011 and 2012, it was to be expected that a majority of the responses would come from Europe. Total responses of N = 636 (100.0%) as illustrated in Figure 1 were collected, including n = 108 (17.0%) responses from Asia, representing the second largest group of respondents in this study.

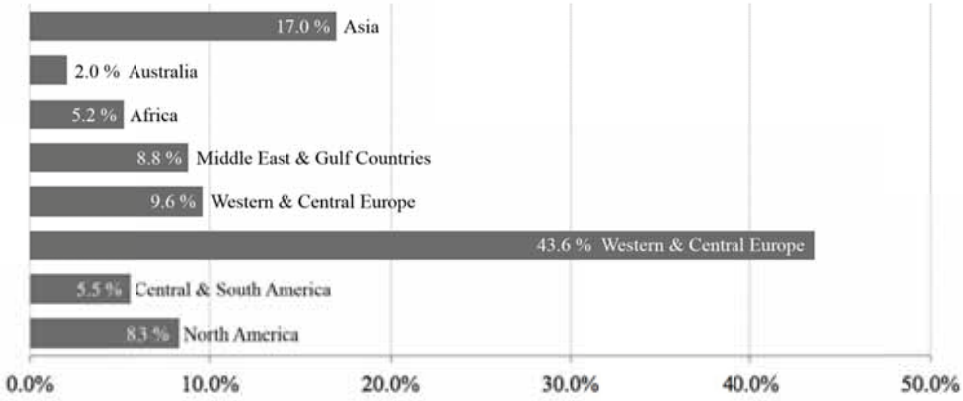

Figure 1. Respondents' origins

The median of Asian responses is 54 and the median of the overall responses 318. With regard to the previously defined hypotheses, the results for specific questions consistently illustrate the responses from Asia in relation to the overall responses.

- Acceptance of price for products 'Made in Germany'

According to Table 1, following the first hypothesis (H1), the price of products 'Made in Germany' for Asian respondents is n = 62 (57.4%) out of a total of N = 108 (100.0%), not acceptable. Comparing the overall responses with the Asian responses, n = 323 (50.8%) out of a total of N = 636 (100.0%), the acceptance rate of the price among Asian respondents is with a deviation of 6.6% more negative.

Table 1. Acceptance price level following hypothesis 1

Q1: Is the price for products MADE IN GERMANY acceptable to you?	No. of respondents			
	ASIA		TOTAL	
Yes	46	(42.6)	313	(49.2)
No	62	(57.4)	323	(50.8)
Total	108	(100.0)	636	(100.0)

Note. Figures in parenthesis are percentages.

Not only for the Asian responses, the collected primary data show that the price for products classified as 'Made in Germany' is with an average of 50.8% not acceptable. With a majority of 57.4%, respondents from Asia do not accept the price. It was expected that Asian responses would significantly accept the price of products 'Made in Germany'. The response is not significant, because the p-value is >0.05. Comparing Asia with the overall responses, there is a larger negative tendency for Asian markets detectable. This result shows that 'Made in Germany' products tend to be seen as having a high price. This could mean that quality, technology, or even delivery aspects that cause a high price of products militate against a product meeting emerging-market requirements. A majority of customers around the globe rate the high price of products from Germany as a negative aspect; the price is therefore disadvantageous for competitiveness.

- Importance of price for purchasing decision

As to the importance of price to respondents' purchasing decisions, Asians rate 'important' with n = 57 (52.8%) and 'very important' with n = 37 (34.3%), as presented in Table 2, following the second hypothesis (H2). With a sum of n = 94 (87.1%) out of a total of N = 108 (100.0 %), the responses present a clear message that the price is indeed important to the purchasing decision. Comparing the overall responses of 'important' with n = 379 (59.6%) and 'very important' with n = 182 (28.6%), which are in sum n = 561 (88.2%), the tendency is similar to the responses from Asia.

Table 2. Importance of price following hypothesis 2

Q2: How important is the price for your buying decision?	No. of respondents			
	ASIA		TOTAL	
Very important	37	(34.3)	182	(28.6)
Important	57	(52.8)	379	(59.6)
Neither important nor unimportant	10	(9.3)	55	(8.6)
Unimportant	3	(2.8)	18	(2.8)
Very unimportant	1	(0.9)	2	(0.3)
Total	108	(100.0)	636	(100.0)

Note. Figures in parenthesis are percentages.

The mean value of Asian responses is 21.6 and the median 10; the mean value of the overall responses is 127.2 and the median 55. The response from both groups fulfills the expectation that the price would influence customers' purchasing decision more than average. However, Asian respondents rate the importance with a difference of 1.1% as less important than the average. In the Asian responses to the question about the importance of price (Q2) and the question about the price of products 'Made in Germany' (Q1), there is no difference between the groups detectable, because the p-value is >0.05. The mean value for those responses that accept the price is 4.02, and for those who do not 4.27. However, the importance of price is evident for the Asian responses as well as the overall responses.

Once again, the result shows that price level is disadvantageous for products classified as 'Made in Germany'. Overall, high price obstructs success in competition and shows a tendency for product attributes not to meet customers' and even market requirements. The finding of Knapp, Günther and Rinn (2013) showing that only 38% of corporations offer products that meet customers' expectations is symptomatic of wider failures.

- Disadvantage delivery time

According to Table 3, following the third hypothesis (H3), the delivery time from Germany to the Asian region is with n = 65 (60.2 %) out of a total N = 108 (100.0 %) not seen as disadvantageous by a small majority of respondents. The results from the Asian respondents are almost similar to the overall response, with n = 405 (63.7%) out of N = 636 (100.0%).

Table 3. Aspect delivery time following hypothesis 3

Q3: Do you rate the DELIVERY TIME from Germany as a negative aspect?	No. of respondents			
	ASIA		TOTAL	
Yes	43	(39.8)	231	(36.3)
No	65	(60.2)	405	(63.7)
Total	108	(100.0)	636	(100.0)

Note. Figures in parenthesis are percentages.

It was expected that a majority of Asian respondents would rate the delivery time as disadvantageous and therefore confirm the loss of competition due to delivery time to markets. The results therefore contradict the expectation. For the Asian responses there is no relationship between the delivery time (Q3) and the price of products 'Made in Germany' (Q1), because the p-value is >0.05.

- Disadvantage delivery costs and importation taxes

According to Table 4, with regard to the third hypothesis (H3), with n = 58 (53.7%) out of N = 108 (100.0%), the majority consider delivery costs and importation taxes as disadvantageous. The results of the Asian respondents are contrary to the overall responses, with n = 271 (42.6%) out of N = 636 (100.0%).

Table 4. Aspect delivery costs following hypothesis 3

Q4: Do you think the DELIVERY COSTS and IMPORTATION TAXES are disadvantageous?	No. of respondents			
	ASIA		TOTAL	
Yes	58	(53.7)	271	(42.6)
No	50	(46.3)	365	(57.4)
Total	108	(100.0)	636	(100.0)

Note: Figures in parenthesis are percentages.

It was expected that responses with regard to the disadvantages of delivery costs and importation taxes (Q4) would be comparable with those related to delivery time (Q3). These results also contradict the expectation. Furthermore, Asian respondents see no significant relationship between delivery costs and importation taxes (Q4) and the price of products 'Made in Germany' (Q1), because the p-value is >0.05. However, there is significance in the relationship between delivery costs and importation taxes (Q4) and delivery time (Q3), because the p-value is <0.05.

Figure 2 illustrates the negative aspect of delivery time (Q3) in relation to the disadvantages of delivery costs and importation taxes (Q4) from Asian responses N = 108 with the overall responses N = 636.

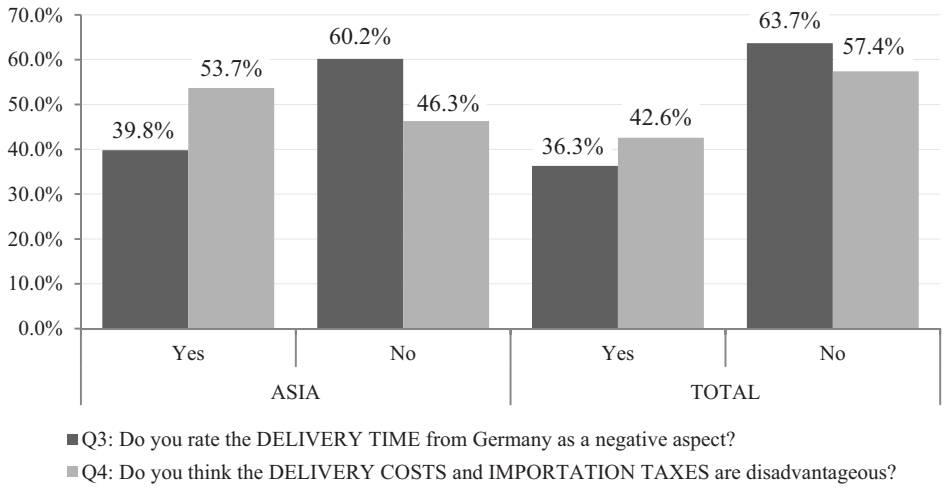

Figure 2. Delivery time and delivery costs - relation between Asian and overall responses

According to those results, the delivery time (Q3) is not seen as a disadvantage by a majority of Asian respondents. However, the delivery costs and importation taxes (Q4) are seen as a more negative aspect. Both delivery time and delivery costs and importation taxes are rated differently than expected. The result shows that customers from Asia are able to deal with long transportation time for products coming from Germany. This could mean that these customers appreciate the product attributes of products classified as 'Made in Germany', such that they feel these products are worth waiting for, perhaps because comparable products are not available locally or because customers seek aspects that help them improve their image. Furthermore, corporations with target markets in Asia face barriers to importing goods. This aspect is transferable to governmental-control issues with local market conditions, and supports Bremmer (2014) in his observations on changing globalization characteristics.

- Acceptance of local production

The result of question 5 (Q5) as illustrated in Table 5 shows that a local production of products under German engineering standards in Asia is with n = 101 (93.5 %) out of N = 108 (100.0 %) accepted by a large majority. This result shows similarity with the overall responses, n = 574 (90.3 %) out of N = 636 (100.0 %). The median

is for Asian responses 54 and for the overall responses 318.

Table 5. Acceptance of local production following hypothesis 4

Q5: Would you accept a product engineered in Germany, but locally produced?	No. of respondents			
	ASIA		TOTAL	
Yes	101	(93.5)	574	(90.3)
No	7	(6.5)	62	(9.7)
Total	108	(100.0)	636	(100.0)

Note. Figures in parenthesis are percentages.

As the positive answers demonstrate, Asian respondents as well as all other respondents, appreciate the concept of German engineering paired with local production. It was expected that Asian responses would show an acceptance of local production with a majority of minimum 90.0%. According to the chi-square distribution table the p-value is <0.05; therefore, the results from the Asian respondents are significant.

With regard to the COO effect, the normative mechanism determines the influence of social and personal values on a client's decision (Verlegh & Steenkamp, 1999). Thus, clients prefer local products to support the economy (Klein, Ettenson, & Morris, 1998). Furthermore, customers may bear in mind that products meet local requirements when locally produced. Customers' may also expect better pricing due to local production cost factors while keeping the positive attributes of German engineering to prevent a loss in technology and quality.

- Importance of a lower price when locally produced

According to Table 6, following the fifth hypothesis (H5), a lower price is rated 'important' with n = 40 (37.0%) and 'very important' with n = 39 (36.1%). In sum, 73.1% of respondents show a tendency towards perceiving importance. The median is 20 for Asian respondents and 143 for the overall responses.

Table 6. Importance of price with local production following hypothesis 5

Q6: How important is a lower price for you when products are locally produced?	No. of respondents			
	ASIA		TOTAL	
Very important	39	(36.1)	206	(32.4)
Important	40	(37.0)	251	(39.5)
Neither important nor unimportant	20	(18.5)	143	(22.5)
Unimportant	6	(5.6)	27	(4.2)
Very unimportant	3	(2.8)	9	(1.4)
Total	108	(100.0)	636	(100.0)

Note. Figures in parentheses are percentages.

The Asian responses show no difference between the groups of acceptance of local production (Q5) and the importance of a lower price (Q6), because the p-value is >0.05. The mean for those who accept a local production (Q5) is 4.02, for those who do not it is 3.43. There is no difference between the price of products 'Made in Germany' (Q1) and the importance of a lower price (Q6), because the p-value is >0.05.

The result shows a tendency for customers to expect lower pricing for products that are produced locally in their markets.

5. Scientific Implications and Limitations

The purpose of this study was to investigate disadvantages that multinationals from Germany face in growing international competition. Disadvantages in product price, delivery time and transportation costs have been revealed. Therefore, the strategy of having a production site located in Germany can be seen as disadvantageous due to production cost factors and distance to markets. Comparing findings against the literature, the results are mostly in line. A majority of 57.4% of Asian respondents consider the price of products classified as 'Made in Germany' to be too high. Price is important for customers' purchasing decisions. The delivery time from

Germany to Asian markets is not seen as disadvantageous by 60.2%, but delivery costs and importation taxes are seen by 53.7% to have a negative impact on the success of German products. The results support the hypothesis that significant acceptance would be found for production relocation to Asia while retaining German engineering. Lower price tends to be seen as important for products produced in local Asian markets. Overall, the analysis of responses from Asia revealed little divergence from the overall responses. The results confirm that products classified as 'Made in Germany' suffer disadvantages on the world market due to product price, delivery costs and transport time. The results are not all significant, but show that products tend to encounter competitive disadvantages. This study therefore suggests that corporations facing growing competition in international markets can gain competitiveness through production relocation to Asia.

The recommendations of this study address brand marketing, product management, as well as strategic management related to future sourcing plans. This research study provides essential inputs for improving competitiveness at different levels.

The participants in focus in this survey are limited to international visitors to the MEDICA fair who have been asked for non-medical products. Furthermore, German respondents' are not of interest and have been sorted out before the survey started. Unfortunately, the opinions of respondents throughout this survey may be different for other industries. However, the results conducted within the medical device industry are due to its high standards and requirements for technology and quality transferable to other industries.

6. Conclusions

This article has examined the relationship between German corporations, which are losing competitiveness despite of the 'Made in Germany' hallmark, and the acceptance of local production relocated to Asia while retaining German engineering and attributes. In relation to sourcing and manufacturing, the positive attributes of 'Made in Germany', those of quality, technology and reliability, are great selling arguments for competing against others and delivering real value to customers. Furthermore, it offers competitive advantages through adjusting product characteristics to meet local requirements paired with local manufacturing.

Based on these results, a worthwhile future research topic would be how multinational companies can implement a strategy that considers local production in Asia while retaining German engineering.

For German corporations, this study points out opportunities to gain competitiveness by meeting the market conditions in their target markets in Asia; for Asian corporations, we have revealed opportunities to open local production sites adhering to German engineering. The results show also, that prevailing sourcing strategies of German multinationals may be wrong and therefore require an adaptation due to future market and customer realities. In conclusion, retaining German engineering while relocating production to Asia can be worth pursuing to gain competitiveness, and can accommodate the market conditions of tomorrow.

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Note

Note 1. ISO 13485:2003: International standard for design and manufacturing medical products

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Teachers' Learning and Innovation Skills Development: Challenge and Changing Based on Professional Learning Community

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Abstract

This study was aims to investigate the effects of teacher development program based on Professional Learning Community (PLC) on teachers' learning and innovation skills. The sample group for implementing the program was 10 Thai language teachers in grade 3. The instruments consisted of the observation form, and the performance assessment form. Mean and standard deviation were used to describe the data. The results of this study found that the sample group was conduct the learning and innovation skills at highest level and the innovation of sample groups were the innovation to promote learning and innovation skills at highest level, mean 4.90 and standard deviation 0.02.

Keywords: learning and innovation skills, professional learning community, teacher development

1. Introduction

In each year, teachers receive develops rather more, but the content unclear that useful, because the training mostly develops knowledge, lack developing the skills, thus they lack the skills on instruction; therefore they used media and innovation in teaching less. Thus affects the learner lack the important basic skills to learning and living in complex society (Office of the Educational Council, 2010a). Teacher development must develop to have ability and skills on the job and the development must non-impact on schoolings' time (Office of the Educational Council, 2010b).

The Learning and Innovation Skills are the set of skills that consisted creativity and innovation, critical thinking and problem solving, communication and collaboration, which are critical skills in 21st century (Partnership for 21st Century Skills, 2009). Because who have these skills, they will the expertise in thinking, uses reasoning and effective decision to solving complex problem, uses clearly communication both speaking and writing in communication elaborate stories and collaborated with the other creatively. Apply ideas and imagination to create innovation and uses it creatively, which are the attributes of people in 21st century that society need very much, therefore professional development by training 21st century skills for every teachers, to them change the assessment and instruction it is important (Panit, 2012).

The PLC creation based on PLC approach is a method to help teacher change the role from instructor as facilitator in learning, to help the learner learning by doing for living in 21st century age, because PLC is a tool for the teachers incorporate be community, collaborate create innovation, the experience sharing, to the classroom action research on the powerful, research design, data collection, data analysis and synthesis the research results be a new knowledge, that link to social context and the real life of learner (Panit, 2012). The PLC is a methodology that principal, staff, and teacher, collaborative problem solving and develop the instruction for learner achieve the educational goals (Hord, 2010). Owing to, PLC approach believe that individual people can't do in everything, thus collaboration to problem solving and develop the learner, the teacher must develop knowledge and skills by collaborative learning, sharing knowledge in schooling problem solving, through conversation and listening the ideas of others intently (Dufour & Dufour, 2012). Factor affecting the PLC is principal's support, monitoring, and encourage participation in decision of teacher (Vescio et al., 2008; Chou, 2011). The PLC participation of teacher in same class level, taught the same subject,

collaborative learning will contribute to enhance the professional (Graham, 2007; Rentfro, 2007). Learning from the experts and collaborating with colleague to share best practice and After Action Review (AAR) regularly are important strategies for instruction and assessment (Chou, 2011; Williams et al., 2012).

This research describes and analyzes the professional development of a group of Thai in-service elementary teachers, involved in a professional learning community initiated by the researchers. It was first based on the methodological principles of Professional Learning Community (PLC) (Lieberman, 1995; Rentfro, 2007) and then it followed the educational trends of professional learning communities in which teachers collaboratively conducted research within their local community (Snow-Gerono, 2005; Vescio et al., 2008; Chou, 2011). The aim of this study is investigate the effects of teacher development program based on Professional Learning Community (PLC) on teachers' learning and innovation skills, and how a teachers' learning community can contribute to teachers' development.

2. Method

2.1 Participants and Procedures

The study described in this article is part of a teacher development program based on professional learning community. The samples selection used the strategy of purposive sampling to selected participants from ten schools in Nakhon Phanom primary Educational Service Area Office 2, Nakhon Phanom Province, Thailand. Ten Thai language teachers in grade 3(same grade level) who showed interest and voluntary join this program and approval was obtained from the school principal.

This study used the action research which research's cycle includes planning, acting, observing, and reflecting as shown in Figure 1. The action research is characterized as sequenced stage of research design (Kemmis & Mc Taggart, 1988). The participants were received learning to created schoolings' innovation through three main activities involved workshop (twenty five hours), classroom action research (sixty hours) and symposiums (six hours). In activities, they had to collaborative learning, charring best practices, and reflecting observed result by using After Action Review (AAR). Ten indicators of behaviors includes the skills of reasoning abilities, analyzing and evaluating ways, decision making and judgment, problems solving, using creation techniques, work creatively with others, creative and implement innovations, oral communication, written communication, and collaborate with others, its ten indicators for used in ten items of the observation form and performance assessment form.

2.2 Measures

The concepts in this study were behaviors' observing and performance assessment participants' practice; instruments consisted of the observation form and performance assessment form. The measurements were used rating scale from 1 to 5 scales (Likert-type scale) and rubric score five levels (very low, low, medium, high and highest). The measurement had 10 items used assess in 3 sides consisted, critical thinking and problem solving skills (4 items), creativity and innovation skills (3 items) and communication and collaboration skills (3 items).

2.3 Data Analysis

Mean and Standard deviation were used to analyze data from observation and performance assessment of participants, data analysis by using the computer program and data presentation by using table and descriptive.

3. Results

The participants' behavior as presented as shown in Figure 2 and the participants' performance assessment presented as shown in Table 1. This study investigated Learning and Innovation Skills of teachers whom participants in 3 sides were as critical thinking and problem solving skills, creativity and innovation skills and communication and collaboration skills. The results of this study found that: the participants have Learning and Innovation Skills in highest level, such as critical thinking and problem solving skills, they have reasoning ability with accurate information to support, use evidences and examples for explanation at consistent, create the choice to work and describes the results clearly, judgmental based on analytical and assessing the evidence, use argument by cited the evidence, solve the problem systematically by defining the problem, collect data, analyze issues, plan and implemented solutions, assess the impact that occurs, create the standard on a solution, and can evaluate operational. The creativity and innovation skills, they can share ideas and findings, decision-making better, have curiosity, enthusiasm in the solution, a flexibility and openness to new experiences, adaptation well, likes complex working, have self-confidence, engagement with the work assigned. And the communication and collaboration skills, they able to speak clearly on its objectives have knowledge as well and match the audience, and know how to create an atmosphere of speech, can write with the correct language in a variety of formats for communication purposes, can adapt well to the group, appreciative of collaboration and shared responsibility for

the outcome of the group. And they can design Innovation focused on enhancing Learning and Innovation Skills of learners, which appear in the activities of innovation that they use to solve students' reading.

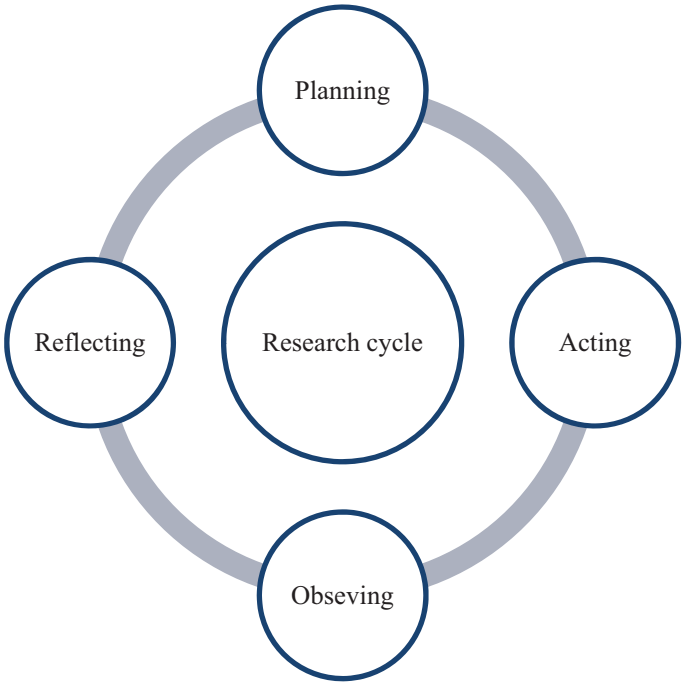
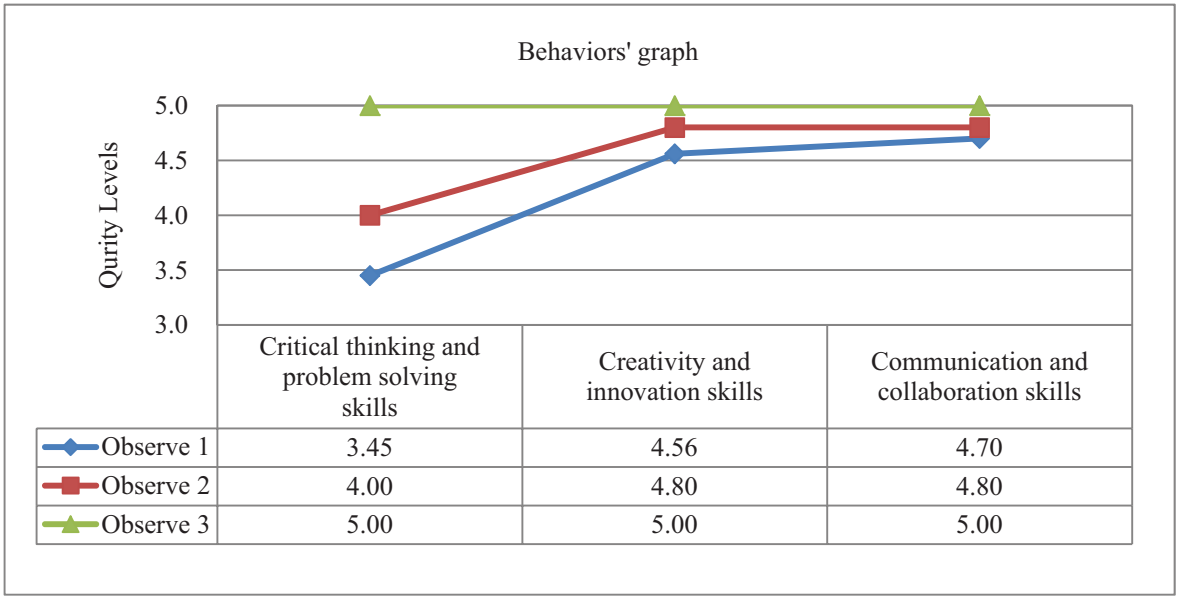


Figure1. Research cycle



	Critical thinking and problem solving skills	Creativity and innovation skills	Communication and collaboration skills
Observe 1	3.45	4.56	4.70
Observe 2	4.00	4.80	4.80
Observe 3	5.00	5.00	5.00

Figure 2. Behaviors' Graph

Note. 0.01 - 1.50 = Very low level, 1.51 – 2.50 = Low level, 2.51 - 3.50 = Medium level, 3.51 – 4.50 = High level, 4.51 – 5.00 = Highest level

Table 1. Mean and Standard deviation, schoolings' innovation assessment

Persons	Assessment catalogue (N=10)			$\overline{X}$	S.D.	Explanations
	Critical thinking and problem solving skills	Creativity and innovation skills	Communication and collaborative skills			
1	4.83	4.77	4.73	4.78	0.05	Highest
2	4.88	4.90	4.93	4.90	0.03	Highest
3	4.95	4.90	4.97	4.94	0.04	Highest
4	4.85	4.93	4.93	4.90	0.05	Highest
5	4.95	4.97	4.97	4.96	0.01	Highest
6	4.90	4.90	5.00	4.93	0.06	Highest
7	4.88	4.93	5.00	4.93	0.06	Highest
8	4.85	4.87	4.93	4.88	0.04	Highest
9	4.88	4.87	4.93	4.89	0.03	Highest
10	4.90	4.90	4.93	4.91	0.02	Highest
		Total		4.90	0.02	Highest

Note. 0.01 - 1.50 = Very low level, 1.51 – 2.50 = Low level, 2.51 - 3.50 = Medium level, 3.51 – 4.50 = High level, 4.51 – 5.00 = Highest level

4. Conclusions, Discussions and Recommendation

The perception towards the implementation of the Teacher Development Program based on Professional Learning Community, can promote teachers' learning and Innovation Skills, they can use the critical thinking and problem

solving skills, the creativity and innovation skills, and the communication and collaboration skills in highest level, and they can create innovation as activities to promote the students use the critical thinking and problem solving skills, the creativity and innovation skills, and the communication and collaboration skills, at the highest level too. Because the PLC approach focused on collaborative problem solving and the learning process emphasize develop students to achieve educational goals defined on the systematically, with the agreement of the members, the collaborative to learn and supportive among members (Hod, 2010). It is a collaboration to learn among professionals, under an atmosphere of trust, mutually share their knowledge to solve problems of student learning, through a discussion and suggestions including hearing ideas to AAR sincerity (Dufour, 2112). So that, the teacher development will be effective, must should be use the PLC approach to design the activities, because it provides the same profession that similar problems come together learning creation knowledge and skills and do not hinder in the routine.

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Causes for Deforestation in Indonesia: Corruption and Palm Tree Plantation

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Abstract

Indonesian biodiversity is threatened by massive deforestation. In this research paper, claims that deforestation in Indonesia is caused by corruption and supported by crude palm oil production is verified using time series analysis. Using Engel Granger cointegration test, three time series of data, specifically corruption perception index, rate of deforestation and price of crude palm oil are inspected for a long-run relationship. Test statistics suggests that there is no long-run relationship among these variables. Authors provide several explanations for this result. For example, corruption in Indonesia, as measured by CPI is still very high. This may mean that forest cover loss is possible even though there is a positive change in corruption level. According to the results, crude palm oil price has also no effect upon forest cover loss. This is likely due to very low shut-down price of crude palm oil for which production is still economical.

1. Introduction

It is estimated that that corruption in the forestry sector reached over Rp 273 trillion in 2011 in Indonesia. (Jakarta Globe 2013) Corruption by government officials linked to natural resource extraction is leading to billions of dollars in state losses annually in Indonesia (Jakarta Globe 2013). One of the most pressing environmental issues possibly related to corruption in Indonesia is deforestation. Deforested land is transformed usually to palm tree plantations. Therefore, it is necessary to examine a relationship between deforestation and palm trees plantation, respectively corruption.

1.1 Deforestation in Indonesia

Deforestation in Indonesia not only possess a significant threat to local biosphere through biodiversity reduction but also influences global climate. Tropical deforestation from developing countries, including Indonesia, contributes to emissions of greenhouse gases. (Margono et al., 2014) This is mainly carbon dioxide, the main cause of global warming. Primary forest clearing also leads to the loss of biodiversity due to the destruction of unique tropical forest habitats. (Margono et al., 2014)

Present understanding of forest change within Indonesia is unclear. A report from the United Nations Food and Agricultural Organization (UNFAO) claims that the rate of deforestation in Indonesia is approximately 0.31 million hectates per year from 2000 to 2005. Same report claims that from 2005 to 2010 roughly 0.69 millions of hectares were lost. A report from the Indonesian Ministry of Forestry provides an estimate of approximately 0.4 million hectares lost between 2009 and 2011. These estimates vary significantly and therefore a study has been conducted that uses spatial as well as temporal data of digital imaginary to show actual deforestation dynamic. A study done by Reference shows that Indonesia is a country with the highest rate of increasing forest covers loss from 2000 to 2012. (Margono et al., 2014) Deforestation is also cited by (Vidal, 2015) where two areas of the Indonesian islands of Sumatera and Kalimantan (the Indonesian part of the island of Borneo) are used as an example to show fastest forest cover losses in the humid tropics. This has according to (Vidal, 2015) implications for carbon dynamics, biodiversity conservation, and local livelihoods.

1.2 Palm Trees Plantations in Indonesia and Deforestation

Agricultural commodities, particularly energy one have gained a lot of significance in international trade (Svatos et al., 2013; Svatos & Smutka, 2012). There is an increase in aggregate global demand for palm oil. This increase

is obvious especially in the last several years. (World Watch, 2015) Palm oil is the most common, globally produced palm. Its yield belongs to one of the highest when compare to other crops. Regarding the costs of production and refining, palm oil belongs to the least expensive oils. (World Watch, 2015). Production areas devoted to palm oil belong currently to the most significant contributors of rain forest destruction in Indonesia. According to UNEP (2015), there is a possibility that no later than 2032, most rainforest in Indonesia would be irreversibly degraded. If we examine the speed and volume of deforestation in the last six years, this prediction may seem to be overly optimistic, as oil palm plantations and biodiesel refineries are getting more and more popular. Newest estimates even conclude that only 2 percent of rain forest can be preserved by 2022 with even less forest being saved in the lowlands of Indonesia. (UNEP, 2015)

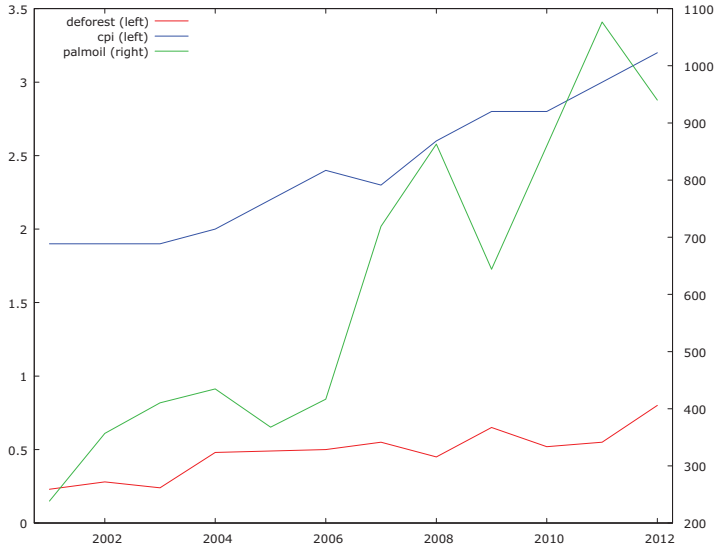
1.3 Corruption in Indonesia

Corruption linked to the forestry, plantation industries and mining leads potentially to billions of dollars in state budget losses each year in Indonesia. Natural resources are in such a way never-ending income for corrupt officials (Jakarta Globe, 2013). In this case, we are talking about systematic corruption which is created regardless who is the corrupted person. This is the number one cause of corruption in the environmental sector (Winbourne, 2002). Another cause is relatively a lot of rights issued to government representatives, lack of accountability for these representatives and also little possibility to adhere to transparency in their decisions. Private interest of such public officials in revenues that can be obtained from environmental resources is much stronger than public interests in environment. (Winbourne, 2002) Government controlled sectors in Indonesia are especially energy, road, railway and port projects. (Jakarta Globe, 2013) Total volume of corruption can be manifested by an example of Indonesian reforestation fund that lacks more than $5.2 billion that was supposedly lost in 1993 to 1997 due to bad management and fraudulent behavior, according to an audit by Ernst and Young. (E360.yale.edu 2015)

According to E360.yale.edu (2015), deforestation binge has been abetted by rampant and systemic corruption in the Indonesian government, military, and forestry sector (E360.yale.edu 2015)

2. Analysis of Deforestation Due to Palm Trees and Corruption

According to (Koyuncu & Yilmaz, 2009) corruption contributes to deforestation. Koyuncu and Yilmaz (2009) found a statistically significant strong positive relation between corruption and deforestation for different periods across different countries (Koyuncu & Yilmaz, 2009). Authors in this paper re-examine this relationship in Indonesia by utilizing time series approach of cointegration. In order to quantify corruption, a corruption perception index is used. This is based upon an assumption that a ranking of countries according to the extent corruption exist can be made. The corruption perception index was created in 1995 by Transparency International. It ranks almost 200 countries on a scale of zero to 10, with zero indicating high levels of corruption and 10 indicating low levels (Koyuncu & Yilmaz, 2009)



Source: own compilation

Figure 1. Deforestation, corruption perception index and crude palm oil price

At the same time, a second variable is added that shows influence of palm tree plantations upon deforestation. Assumption is made that as the price of crude palm oil goes up, and there is more incentive to deforest more land in Indonesia. All three variables are depicted in Figure 1. The figure shows deforestation, corruption perception index (CPI) and crude palm oil price in Indonesia between 2001 and 2012.

Data in Figure 1 show that all three time series trend upwards. This is positive in terms of CPI but quite negative in terms of forest cover loss. Price of crude oil also slopes upward which may mean that producing palm trees may be more prosperous.

2.1 Testing for Unit Root

As previously mentioned, it is obvious from the Figure 1 that all three time series are trending. This is a useful piece of information for further analysis. The entire process starts with testing individual series for existence of unit root. A null hypothesis H_o: Level series contains a unit root is tested against an alternative hypothesis H_a: Level series does not contain a unit root. This is done using Augmented Dickey-Fuller test with the contant and trend due to trending data. All time series are tested and results are presented in the following Tables 1,2 and 3. Due to relatively short time series, a lag was selected to 2.

Table 1. Augmented Dickey Fuller Test for Deforestation in Indonesia with constant and trend

Model definition: (1-L)y = b0 + b1*t + (a-1)*y(-1) + ... + e
1st-order autocorrelation coeff. for e: -0.231
lagged differences: F(2, 4) = 0.498 [0.6410]
estimated value of (a - 1): -1.50846
test statistic: tau_ct(1) = -1.95282
asymptotic p-value 0.6264

The test results presented in Table 1 show that the time series needs to be differenced one to make it stationary. The same procedure is done for the other two variables of corruption perception index and crude palm oil. Results are presented in Table 2 and Table 3 respectively.

Table 2. Augmented Dickey Fuller Test for Corruption Perception Index in Indonesia with constant and trend

Model definition: (1-L)y = b0 + b1*t + (a-1)*y(-1) + ... + e
1st-order autocorrelation coefficient for e: -0.372
lagged differences: F(2, 4) = 3.396 [0.1374]
estimated value of (a - 1): -2.14412
test statistic: tau_ct(1) = -3.40771
asymptotic p-value 0.05028

Table 3. Augmented Dickey Fuller Test for Crude Palm Oil Price with constant and trend

Model definition: (1-L)y = b0 + b1*t + (a-1)*y(-1) + ... + e
1st-order autocorrelation coefficient for e: -0.136
lagged differences: F(2, 4) = 2.052 [0.2436]
estimated value of (a - 1): -1.44904
test statistic: tau_ct(1) = -1.59503
asymptotic p-value 0.7954

2.2 Cointegration Test

Tests presented above show that all time series have a unit root of order I(1). Now, a test for cointegration can be

conducted using Engel-Granger methodology. This is used according to original Engle and Granger (1987) article where a cointegration test is proposed. This test is made up of several sections. First, estimation of a cointegration regression is done using ordinary least squares. This involves capturing the residual error terms. Consequently a unit root test for these error terms is conducted. In order to proceed with the test, authors in their paper suggest testing the null hypothesis that the error term has a unit root against the alternative that it has a root less than unity. Since error terms are themselves estimates, new critical values have to be used. In this case, the corrected MacKinnon critical values are used for further estimation. (Empiwifo.uni-freiburg.de, 2015)

For the analysis of cointegration a regression is set so that

$y_t = \beta_1 + \beta_2 x1_t + \beta_3 x2_t + e_t$

where y_t is deforestation, $x1_t$ is corruption and $x2_t$ is price of crude palm oil. The test results are presented in the Table 4 of this paper.

Table 4. Cointegrating regression- OLS, using observations 2001-2012 (T = 12)

Dependent variable: deforest	Coefficient	Standard error	t-ratio	probability value
constant	-0.404088	0.207970	-1.943	0.0839 *
cpi	0.417674	0.129552	3.224	0.0104 **
palmoil	-0.000207925	0.000215823	-0.9634	0.3605
Mean dependent variable	0.478333	S.D. dependent var	0.166287	
Sum squared residual	0.077178	S.E. of regression	0.092603	
R-squared	0.746265	Adjusted R-squared	0.689879	
Log-likelihood	13.25204	Akaike criterion	-20.50407	
Schwarz criterion	-19.04935	Hannan-Quinn	-21.04266	
rho	-0.099565	Durbin-Watson	1.981004	
Step 2: testing for a unit root in uhat				
Augmented Dickey-Fuller test for uhat				
including one lag of (1-L)uhat				
(max was 2, criterion modified AIC)				
sample size 10				
unit-root null hypothesis: a = 1				
model definition: (1-L)y = (a-1)*y(-1) + ... + e				
1st-order autocorrelation coeff. for e: -0.056				
estimated value of (a - 1): -1.10109				
test statistic: tau_c(3) = -2.20657				

The test shows that the p-value is large so we cannot reject the null hypothesis that the series have a unit root, i.e. they are not cointegrated. This means that corruption as represented by the corruption perception index and price of crude palm oil does not have a long-run relationship with deforestation in Indonesia. There may be several reasons for this result. Authors assume that one of the reasons may be that CPI does not capture well the type of corruption behavior that enables deforestation. Other reason may be that corruption in Indonesia is still very high and even though some improvements are evident from the data, it still enables uncontrolled deforestation. The reason why crude palm oil price has no impact upon deforestation may be explained by economic feasibility of palm oil production that is large enough even with a relatively lower price of crude palm oil.

3. Conclusions

Deforestation in Indonesia is a large problem that needs to be solved. Authors in this paper try to justify claims that deforestation in Indonesia is caused by corruption and that it is supported by crude palm oil production that

has spread over the deforested area. Using cointegration approach three time series of data, specifically corruption perception index, rate of deforestation and price of crude palm oil are used to find a long-run relationship. Test results show that there is no long-run relationship among these variables. Authors acknowledge that . there may be several reasons for this result. Firstly, corruption in Indonesia, as measured by CPI is still very high. This may mean that uncontrolled deforestation is still enabled. Similarly, analysis shows that crude palm oil price has no impact upon deforestation. This is probably to very low shut-down price of crude palm oil which production is economical even at lower price levels.

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Ijtihad in Quranic Exegesis

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Abstract

The ijtihadi method of Quranic exegesis is one of the popular and proper methods of interpretation of religious texts. It is superior to the methods of subjective opinion (*tafsīr bi al-ra'y*) and narrative exegesis, and possesses many positive features and applications. These features, which are results of the evolution and comprehensiveness of ijtihadi exegesis as well as the multidisciplinary approach, have led to favourable reception of this method among Muslim exegetes. With a focus on the exegesis by Shaykh Ṭūsī, founder of the ijtihadi approach, exegetes have developed necessary conditions for using the method. These include jurisprudential, ethical, academic, and, most importantly in this approach, rational conditions. Muslim exegetes have provided valid reasons for ijtihadi tafsir including Quranic, narrative, and conventional rationales as well as the argument for the necessity of ijtihadi tafsir and the fact that it was an early method utilised by exegetes. Each of these rationales differ in their manner of presentation. However, all exegetes are unanimous that ijtihadi tafsir is permissible.

Keywords: Ijtihadi tafsir, Quran, reason, permissibility of ijtihadi tafsir

1. Introduction

With the gradual revelation of the Quran, Muḥammad, the Prophet of Islam, undertook the task of interpreting its verses (Qur'ān 16:44, 62:2). After a while, interpretation of Quranic verses became a matter of interest for Muslims, who became enthusiastic about comprehension of the Quran (Ṭabarī, 1992, vol. 1, p. 27). A variety of viewpoints and interpretations emerged among Companions of the Prophet of Islam, who were at the forefront of these endeavours (Suyūṭī, 2001, vol. 2, p. 466; Bābā'ī, 2010, vol. 1, pp. 113-116). Though in the period of the Companions and Followers, tafsir was sourced in narratives and reason (ʻAlawī-Mihr, 2010, pp. 70-127), a comprehensive and independent method of exegesis developed over a period of three centuries from the revelation of the Quran. Narrative tafsir of the Quran emerged with Muḥammad ibn Jarīr Ṭabarī's tafsir, *Jāmiʻ al-Bayān ʻan Ta'wīl Āy al-Qur'ān*. (Chirāghī, 2001)

In its early form ijtihadi tafsir finds its roots in the era of the Prophet of Islam and his Companions and Followers. Approximately two centuries later, in the 5th/11th century when scientific development seriously began in the Muslim world, it emerged in a new comprehensive form that was necessitated by prevailing circumstances. Other methods of tafsir, namely narrative and subjective opinion, shortly became marginalised, and ijtihadi exegesis achieved growing acceptance among Muslim exegetes.

The present study seeks to examine the ijtihadi approach to interpretation of the Quran. It takes a descriptive and analytic approach to answering the following questions.

What is ijtihadi exegesis and what are its conditions?

What is the history of its emergence and development?

What rationales have Muslim exegetes and advocates of ijtihadi tafsir provided for its permissibility?

2. Terminological Meaning of Ijtihadi Tafsir

The term ijtihād means to use one's entire capacity to achieve an aim (ibn Manẓūr, 1993, vol. 3, p. 133; Muṣṭafawī, 2009, vol. 2, p. 149). In exegesis, ijtihad is to endeavour to comprehend and clarify the meanings and intentions of Quranic verses on the basis of valid evidence (Bābā'ī, 2010, vol. 2, p. 108). Reason is the most

important type of evidence in ijtihad since it is the criterion for evaluation of all other evidence. For this reason, ijtihadi exegesis is also labelled rational exegesis. (Riḍā'ī Iṣfahānī, 2007, vol. 2, p. 154; Maʿrifat, 2007, vol. 2, p. 224)

For authorship of an ijtihadi exegesis, the exegete must observe a specific set of conditions. Such an author must consider valid evidence for interpretation of verses in order to prevent mistakes. What are the conditions that guide exegetes toward correct interpretation?

3. Conditions for Ijtihadi Exegesis

In a general sense, conditions for ijtihadi exegesis can be categorized into three groups.

3.1 Religious and Ethical Conditions

Some Muslim thinkers believe that the exegete must adhere to a series of religious requirements, including correct belief, avoidance of impulsive behaviour (*hawā* and *hawas*), sincerity and good intentions, piety (*taqwā*), and virtuous conduct (Suhayl, 2008, p. 99). In addition, some mention the necessity of benedictory (*mawhibatī*) knowledge, which they define as knowledge given directly by God for the recipient to implement. In other words, they maintain that exegetes must act upon their knowledge. (Rāghib Iṣfahānī, 1984, p. 95)

3.2 Academic Conditions

Academic conditions have a fundamental role in ijtihadi exegesis. Exegetes are able to author exegeses only if they are well versed in the specialised sciences of Islamic hermeneutics, including but not limited to Arabic areas of study such as philology (*lughat*), grammar (*naḥw*), morphology (*ṣarf*), and rhetoric; Quranic areas of study such as circumstances of revelation, and the concepts of abrogating (*nāsikh*) and abrogated (*mansūkh*), ambiguous (*mujmal*) and clarifying (*mubayyan*), absolute (*muṭlaq*) and conditional (*muqayyad*), general (*ʿām*) and specific (*khāṣ*), etc.; Islamic jurisprudence; and the words and deeds of Muḥammad and his Companions. (Ibid; Suhayl, 2008, p. 99)

3.3 Rational Conditions

Naturally, exegetes can only successfully utilise specialised knowledge to carry out ijtihadi exegesis if they are capable of ijtihad. In other words, the exegete must draw on reason to examine various pieces of evidence in order to interpret Quranic verses. Three principles must be observed for this. First is consideration of all rational and narrative evidence relevant to the verse. Second is use of only definitive rational arguments as rational evidence to preclude use of fallacies in exegesis. Third is refraining from imposing false opinions upon the Quran. (Riḍā'ī Iṣfahānī, 2007, vol. 2, p. 170; Maʿrifat, 2007, vol. 2, p. 225; Kamālī Dizfūlī, 1976, p. 270)

Ijtihadi exegesis is at a point between two extremes, i.e. subjective opinion and narrative exegesis. Therefore, it is considered the most complete and comprehensive method of Quranic interpretation (ʿAmīd Zanjānī, 2001, p. 331). It is more comprehensive than narrative exegesis, which is only based on Islamic narratives for exegesis, and less prone to subjective opinion, wherein the exegete only utilises personal beliefs and reasoning for interpretation without referring to other types of evidence such as Islamic narratives and other related Quranic verses.

When were the capabilities and applications of ijtihadi exegesis as well as its advantages over exegesis based on narrative and subjective opinion discovered?

4. Emergence of Ijtihadi Tafsir

Many scholars maintain that ijtihadi exegesis goes back to the time of Muḥammad, the Prophet of Islam, and his Companions and Followers (Maʿrifat, 2007, vol. 2, p. 224; ʿAmīd Zanjānī, 2001, p. 331; Riḍā'ī Iṣfahānī, 2007, vol. 2, p. 144). However, there is no doubt that ijtihadi exegesis flourished in the 5th/11th century, contemporaneously with the authorship of *al-Tibyān fī tafsīr al-Qur'ān* by Muḥammad ibn Ḥasan Ṭūsī or Shaykh Ṭūsī (d. 460/1068), a prominent Shia scholar and jurisprudent (Ṭūsī, 1982, vol. 1, p. 1). At its inception, ijtihadi exegesis was thematic, and exegetes only implemented exegetical subtypes to the extent of their skill and knowledge such as in interpretation of jurisprudential verses (*āyāt al-aḥkām*) and other types of jurisprudential exegesis. However, in the 5th/11th century, cultural conditions in the Islamic world paved the way for the development of Islamic sciences such that it was named a golden period in the history of Islam. Naturally, the sciences of tafsir evolved as well (Makkī, 2005, pp. 308-309; ʿAqīqī Bakhshāyishī, 1994, pp. 12-13, 23) such that ijtihadi exegesis, which was in its early stages until the 5th/11th century, became a comprehensive method. Proponents of this method utilised a wide range of exegetical techniques (e.g. intra-textual, narrative, and literary) and approaches (e.g. kalamic, philosophical, and social) alongside each other. (Mu'addab, 2008, p. 293)

The connection between the cultural development of the Islamic world and the transformation in the ijtihadi

method of exegesis was that, with the change in the conditions of the age, thematically limited exegesis could no longer respond to the needs of Muslim thinkers. This need moved Shaykh Ṭūsī to author a comprehensive work of ijtihadi exegesis (Ṭūsī, 1982, vol. 1, p. 1; ʿAlawī-Mihr, 2010, p. 222). Thus, the practical implementation of the originator of comprehensive ijtihadi exegesis, Shaykh Ṭūsī, was later used to define the previously discussed criteria and conditions for this type of exegesis. In his work, which treated all chapters of the Quran, this Shia scholar and jurisprudent considered differences in recitation, philology, conditions of revelation, and opinions of other exegetes and also made use of Arabic poems and other literature. He also utilised rational argumentation when examining exegetic topics. (ʿAlawī-Mihr, 2010, p. 220)

It must be noted that the evolution of ijtihadi exegesis as well as its advantages in comparison with subjective opinion and narrative exegesis eventually led to the popularity of the method among both Shia and Sunni scholars such that many exegetical works after *al-Tibyān fī tafsīr al-Qurʾān* implemented ijtihadi exegesis. The most important ijtihadi exegeses include *Majmaʿ al-bayān li-ʿulūm al-Qurʾān* by Faḍl ibn Ḥasan Ṭabrisī (d. 548/1153), *al-Mīzān fī tafsīr al-Qurʾān* by Muḥammad Ḥusayn Ṭabāṭabāʾī (d. 1402/1981), *Mafātīḥ al-ghayb* by Fakhr Rāzī (d. 606/1210), and *Rūḥ al-Maʿānī fī Tafsīr al-Qurʾān al-ʿAẓīm* by Maḥmūd Ālūsī (d. 1270/1854), the first two being Shia exegeses and the latter two Sunni.

A question that arises here is what rationales and evidence did ijtihadi exegetes rely on when validating this method.

5. Permissibility of Ijtihadi Tafsir

The permissibility, or lack thereof, of ijtihadi exegesis has been a controversial issue among Muslim exegetes over the centuries. Most exegetes have provided reasons for the permissibility of this type of exegesis (Najjārzādigān, 2010, vol. 1, p. 18). These reasons can be divided into five categories.

5.1 Quranic Rationales

Quranic rationales are derived from the content of Quranic verses. These verses differ in terms of content and method of argumentation and thus can be divided into the following categories.

5.1.1 Verses that Call to Contemplation and Reasoning

Tadabbur (contemplation) of Quranic verses includes tafsir since in its absolute sense, it is defined as thought and obtainment of the truth (Zabīdī, 1993, vol. 6, p. 389). This sense is in line with tafsir as contemplation of the Quran for understanding of its meaning and truths. (Bābāʾī, 2010, vol. 2, p. 121)

This type of verse calls people to contemplate the Quran in various ways. For example, verse 29 of chapter Ṣād encourages thus: [It is] a blessed Book that We have sent down to you, so that they may contemplate its signs, and that those who possess intellect may take admonition. In verse 24 of chapter Muḥammad, the Quran strongly rebukes those who are remiss in understanding of Quranic verses: Do they not contemplate the Quran, or are there locks on the hearts?

These verses express that the Quran can be understood, and thus interpreted, through contemplation and thought. Otherwise, God the Wise would not instruct contemplation.

5.1.2 Verses of Challenge

In some verses the Quran openly challenges its opponents (Qurʾān 2:23, 10:38, 17:88). It calls them to either admit the truth of the Quran or produce verses similar to this holy book. It is clear that such a challenge can only be valid if the Quranic verses are comprehensible. A challenge for people to reproduce something that they cannot comprehend is not credible. (ʿAmīd Zanjānī, 2001, p. 336)

5.1.3 Verses that Reveal Attributes of the Quran

Some Quranic verses express various attributes of the Quran, naming it a book of guidance, a book of healing, a source for resolution of hostility (Qurʾān 41:44, 10:57, 4:59), etc. How could the Quran address the needs of humans in these areas if it were incomprehensible and tafsir was not possible?

The verse that classifies Quranic verses into *muḥkam* and *mutashābih* (Qurʾān 3:7) suggests that at least some of the verses, i.e. the *muḥkam* verses, are comprehensible and interpretable.

5.2 Narrative Rationales

Many narratives indicate that ijtihadi tafsir is permissible. These narratives involve a variety of topics including the following.

5.2.1 Narratives Recognising the Authoritativeness of Reason

As previously indicated, reason is the fundamental element of ijtihadi tafsir, albeit reason of the kind that can issue judgements on the basis of a series of rational arguments. In line with the Quran, Islamic narratives emphasise the importance of employing rationality, naming it 'the inner authority' (Kulaynī, 1986, vol. 1, p. 16). Since reason is the inner authority, whenever it comprehends something and issues a conclusive judgement, the judgement is binding and must be followed. Otherwise, its authoritativeness would be meaningless. (Riḍā'ī Iṣfahānī, 2006, vol. 2, p. 156)

5.2.2 Narratives Requiring Comparison with the Quran

These narratives state that in cases of conflict between narratives, the Quran is the criterion for acceptance or rejection of the narratives (Kulaynī, 1986, vol. 1, p. 69; ʿAyyāshī, 2001, vol. 1, p. 8; Muttaqī Hindī, 1981, vol. 1, p. 197). In effect, the narratives that match the Quran may be accepted and all others are invalid. (ʿAmīd Zanjānī, 2001, p. 340)

Clearly, the Quran cannot act as the criterion for Islamic narratives unless it is interpreted and understood. This clear order to weigh narratives against the Quran leaves no doubt that the Quran must be interpreted.

5.2.3 Narratives that Discuss the Manner in Which the Quran Must Be Utilised

Some Islamic narratives explain how the Quran must be used (Ṣadūq, 1958, vol. 1, p. 290). For example, Muḥammad, the Prophet of Islam, has stated that the Quran has various facets and that the best facet must be considered (Muttaqī Hindī, 1981, vol. 1, p. 551). Doubtless, using the Quran with respect to the best aspect requires understanding and tafsir of the Quran.

5.2.4 Narratives Describing the Quran

Some Islamic narratives discuss virtues and attributes of the Quran that are only justifiable if the Quran is comprehensible. Some of these narratives emphasise the necessity of consulting the Quran as a central element in comprehension of religion **(**Kulaynī, 1986, vol. 2, p. 599**).** According to some Islamic narratives, the Quran is God's *ḥujja* (authority/proof) upon the earth (Majlisī, 1983, vol. 23, p. 107). As it is God's proof or authority, it must be understandable, otherwise it cannot retain its authority. (Shākir, 2003, p. 80)

Other narratives describe the virtues of the Quran and demonstrate its true status. Some of these characteristics are as follows: It is an Imam and leader, a brilliant light, the straight path, a source of goodness for all people in the past, present, and future, and a healer of hearts; additionally, it has a beautiful appearance and profound substance with endless wonders and lasting innovations. (Muttaqī Hindī, 1981, vol. 1, p. 515; ʿAyyāshī, 2001, vol. 1, p. 3; Majlisī, 1983, vol. 2, p. 284; Baḥrānī, 1995, vol. 2, p. 207; Irbilī, 1962, vol. 1, p. 572)

These characteristics demonstrate the necessity of utilising the Quran as the most comprehensive programme for human happiness.

5.2.5 Narratives that Permit Jurisprudential Exegesis

Some Islamic narratives permit experts to perform jurisprudential exegesis. For example, Muḥammad, the Prophet of Islam, said the following prayer on behalf of his Companion, Ibn ʿAbbās: 'O Lord! Make him an expert in religion and give him knowledge of ta'wīl (esoteric exegesis)' (Ḥākim Nīshābūrī, 1990, vol. 3, p. 615). Doubtless, in order to understand religion, the meaning and tafsir of the Quran and its commandments must be understood. If tafsir were limited to reporting narratives, the Prophet's prayer on behalf of Ibn ʿAbbās would have been baseless.

5.3 The Rational Method

A fundamental among rational people for understanding the content of any book is to resolve ambiguities through special methods and thus clarify the meaning of the text and purpose of the author. For example, if the ambiguity of the text is due to a certain word, scholars endeavour to find out the meaning of the word by how it is utilised in other texts and also by the use of specialised dictionaries. This method is an element in ijtihad or scientific endeavour, and has long been a favoured and acceptable method. The Quran has not devised a new method for comprehension of its verses, but rather follows the rational method. If not, the Quran should have explicitly declared this in order to prevent application of this method. (Bābā'ī, 2010, vol. 2, p. 125)

5.4 Necessity of Ijtihadi Exegesis

In the view of Muslims, Muḥammad, the Prophet of Islam, was the final prophet of God, and prophethood ended with him. Therefore, prophethood must be replaced with something that can make up for this fundamental vacuum in religion. History has proven that the guidance of humans in every time period requires the presence of

a leader, a role that was filled by prophets. Therefore, Muḥammad presented a miraculous book to the world that is able to lead people and act as a reference for solving worldly problems and attaining happiness in this world and the next (Khū'ī, 1974, p. 65; Zarqānī, 2004, vol. 2, p. 7). This book, the Quran, contains a comprehensive programme that manifests new aspects with the gradual progress of humankind. (Qur'ān 68:52; Ṣadūq, 1958, vol. 2, p. 87)

It is therefore important to understand the Quran. Having said this, it must be emphasised that comprehension of this holy book necessitates tafsir. In other words, the Quran can only be utilised properly if its correct tafsir is attainable. Considering the efficacy and popularity of ijtihadi tafsir compared to other methods of exegesis, it can be considered the best and most accurate exegetical method. The following are some reasons for the necessity of ijtihadi tafsir for comprehension of the Quran.

5.4.1 Unfamiliarity with Arabic and Quranic Words and Syntax

Since the Quran has been revealed in Arabic, a prerequisite for understanding it is knowledge of the Arabic language, specifically word and sentence structure and literary devices such as metaphors and similes. Though the Quran utilises words common among Arabs at the time it was revealed, in many cases, speakers of a language are not aware of all the meanings of words in their native tongue and therefore, it is necessary to perform research on the words in such texts (Rajabī, 2008, pp. 25-26). Quranic and historical investigation reveals that even at the time of revelation, some of the words in the Quran were unfamiliar for its early audience (Suyūṭī, 1984, vol. 3, p. 7). In such cases, understanding of Quranic verses requires exegetic endeavour toward awareness of Arabic literature and comprehension of the words used in the verses.

5.4.2 Necessity of Knowledge about Religious Decrees

Some Muslim exegetes believe that ijtihadi exegesis is necessary. The Quran includes legal and juristic decrees, the learning of which is obligatory for Muslim scholars. The only way to learn religious decrees is ijtihad of Quranic verses and relevant Islamic narratives.

5.4.3 Long Interval from the Era of Revelation

Fourteen centuries have passed from the time when the Quran was revealed. For at least two reasons, this interval makes the use of ijtihadi tafsir necessary. First, there have been many changes since the era of revelation which may cause problems in understanding the meaning of words and sentences that were used at that time. Second, with the emergence of new needs in every period, new questions may arise that are not clearly answered in the Quran. Deducing the answers to these questions from the allusive statements of the Quran necessitates a special source of scientific endeavour. In effect, only through ijtihadi tafsir may we respond to these questions. (Rajabī, 2008, p. 28)

5.4.4 Characteristics of the Quran

The Quran has undertaken the happiness of human beings in both worlds (Qur'ān 16:30, 41) and thus possesses distinct attributes that reveal the necessity of ijtihadi tafsir. These characteristics are of three types. First, in its manner of expression, the Quran utilises the maximum capacity of words and sentences in order to form profound meaning. Thus, this book has provided all knowledge necessary for human happiness in a relatively small number of words and phrases. Therefore, comprehension of some verses requires further meticulousness and precision.

The second characteristic is that the Quran discusses truths about the immaterial world. These truths are presented in the form of words that have been created for understanding worldly affairs. Some such words include angel, heaven, and hell (Qur'ān 16:2, 2:82, 3:12). This has led to difficulty in comprehension of God's intentions, requiring special intellectual endeavour, in other words, ijtihadi tafsir.

The third characteristic of the Quran is its special style. The Quran does not discuss the entirety of a topic in one place. Instead, it may discuss an issue diffusely throughout the text. One example of this is the story of the children of Israel to which numerous verses have been dedicated (Qur'ān 2:40, 3:49, 5:12, 110, and others). Thus, the ultimate view of the Quran about each topic can only be known when all relevant verses are gathered in one place for exegesis in a collective manner. (Rajabī, 2008, p. 27)

5.4.5 Shortcoming of Narrative Exegesis

There is no doubt that narrative exegesis cannot free us of the need for ijtihadi tafsir since at the very least exegetic Islamic narratives are not extant for all Quranic verses. Furthermore, many of these narratives are not credible (Riḍā'ī Iṣfahānī, 2006, vol. 2, p. 157). Therefore, without ijtihadi exegesis, comprehension of many Quranic verses would not be possible. Such an outcome would be incompatible with the purpose of the Quran's

revelation, which is use of the Quran by the people for guidance. (Qurʾān 32:3, 38:29, 10:57.)

5.5 The Method of Early Exegetes

Examination of the sayings and methods of early Muslim commentators of the Quran, including the Prophet Muḥammad, his Companions and Followers, demonstrates that ijtihadi tafsir has a long history. The Prophet of Islam continually emphasised rationalism in tafsir of the Quran (Muttaqī Hindī, 1981, vol. 1, p. 551). Moreover, examination of the methods of the Companions and Followers shows that they also carried out ijtihadi tafsir. Even though they paid great attention to exegetical narratives, they set contemplation and ijtihad as the basis for Quranic understanding. Whenever they encountered a verse without a relevant exegetical narrative, they utilised ijtihad to understand its purpose (ʿAmīd Zanjānī, 2000, p. 331; Kamālī Dizfūlī, 1976, p. 279; Riḍāʾī Iṣfahānī, 2006, vol. 2, p. 145; Maʿrifat, 2006, vol. 2, p. 224). On this basis, the history of ijtihadi tafsir may be considered to be as long as the entire Islamic period. Without a doubt, such a history is an important factor in permissibility of ijtihadi tafsir.

6. Conclusion

This article shows that ijtihadi exegesis is a valid method of Quranic interpretation. This method dates back to the era of Quranic revelation when ijtihadi interpretation was performed in a limited, thematic manner. With the passage of time and evolution of Islamic sciences, the method developed into a comprehensive form of ijtihadi exegesis. The comprehensiveness of the method laid the foundations for its adoption and popularity among Muslim exegetes. Eventually, the superiority and efficacy of the ijtihadi method compared with other methods became evident. Accordingly, Muslim exegetes who sought to correctly apply the comprehensive method of ijtihadi exegesis extracted exegetical criteria from the work of Shaykh Ṭūsī, describing the requisite conditions for achieving correct ijtihadi exegesis and providing a variety of rationales for the permissibility of the method. It is important to note that according to Muslim exegetes, the majority of the rationales for permissibility were derived from the popular sources of Muslims, i.e. the Quran, Islamic narratives, and reason.

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A Delphi Study to Determine Innovation Orientation Survey Items for Undergraduates in Malaysian Public University

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Abstract

This research aims to produce innovation orientation survey items for quantitative research use in the context of undergraduates in Malaysia. The hypothesized model of innovation orientation consists of creativity, innovation motivation, entrepreneurial orientation and entrepreneurial self-efficacy constructs. These five constructs was established employing comprehensive literature reviews. 24 items was adapted and three rounds of Delphi study were conducted to validate them. Participants were 20 Malaysian higher education institutions' academicians. The initial 24 items to measure the five constructs went through refinement and contextualization to conceive innovation orientation for undergraduates' survey. Consensus achieved after three rounds of Delphi study. The qualitative comments written by the participants was collected, coded and changes made were translated into the 24 items until the quantitative result for all items received moderate and high level of agreement.

Keywords: higher education, Delphi, innovation orientation, Malaysian undergraduates

1. Introduction

There is a need to have a generic and appropriate innovation orientation items measure for undergraduates in Malaysia. However, items for innovation orientation in higher education institutions context is currently not present. Most of the innovation orientation item-measure available was designed for businessman and entrepreneur. To directly adapt innovation orientation that is readily available to be employed into undergraduates setting may leads to inaccurate findings. This is because the item measures for innovation orientation in business are conceived for application in company and profit-making. Therefore this knowledge gap is present. Based on literature, there are many researches on innovation in education, but inconsistent definition for innovation orientation makes it difficult for researcher to replicate and further the research. This research seeks to conceptualize the items for innovation orientation questionnaire in Malaysian higher education setting. Based on Skulmoski et al. (2007) Delphi method is a well suited research method when there is incomplete knowledge about a problem or phenomena. Conceptualization of items for undergraduates' innovation orientation is the central phenomenon of research.

In business management and organizational research, innovation orientation is defined as the organization's strategic direction towards being innovative (Manu & Sriram, 1996). Innovation orientation is depicted by exercising innovativeness, demonstration of their openness to innovation (Zaltman & Duncan, 1977; Berthon et al., 1999) and demonstration of the capacity to innovate (Burns & Stalker, 1977). Amabile (2012) and Athuahene-Gima and Ko (2001) defined innovation orientation as a strategic direction and positivity towards risk. Siguaw et al. (2006) endorse that innovation orientation involves understandings and beliefs about innovation, such as innovation is a continuous and radical change, innovation happens by adoption of new methods, thus new knowledge is requisite for growth, sustainability, to be ahead of competitors and markets. For Siguaw et al. (2006), innovation orientation is the real source of competitive advantage and it shapes, guides, orients and coordinates ones' competencies that yield innovations and subsequent performance.

The dissimilarities between innovation orientation terminologies in real-business and in education or school are evident. This is true especially in term of students' limitation on accessibility to innovation resources. For

example, eligibility for loan, financial aids, experience limitation due to the level of maturity and those alike. These are the threats to measurement instrument internal validity. Therefore, innovation orientation item measures findings in this Delphi study are useful for researchers in higher education. This research produces a set of innovation orientation quantitative survey items. The survey item is useful for baseline study on nurturing innovation orientation among the undergraduate students in Malaysian university.

In order to understand undergraduates' innovation orientation, this research identified five factors that stimulate undergraduates' innovation unfolding. These five factors are undergraduates' perception on their: innovation orientation, entrepreneurial orientation, creativity, innovation motivation and entrepreneurial self-efficacy. These were derived from theories. These factors were further conceptualized into the context of undergraduates in Malaysian university by the researchers and validated through Delphi study. The overarching theoretical framework that binds these factors is based on the Theory of Componential Creativity and Innovation (Amabile, 2012), and Social Cognitive Theory of Self-Regulation (Bandura, 1999).

1.1 Theoretical Framework

1.1.1 Theory of Componential Creativity and Innovation

The Theory of Componential Creativity and Innovation (Amabile, 2012) was derived from interview study of personal qualities to model creativity and innovation in organizations by Amabile and Gryskiewicz (1987), and developed from experimental research of the Model of Creativity and Innovation (Amabile, 1983). According to the theory, innovation is built on creative ideas as the basic elements. Individual's innovation is the successful implementation of creative ideas. The term implementations that encompass elements of developing ideas and putting them to use clearly depict that creativity is an important factor to unfold innovation behaviour. Creativity is a skill that constitutes the individual's raw materials for innovation productivity. Herein lays the factor of innovation performance. Creativity gives a sustainable competitive advantage to an individual since it is a strategic resource, flexible, rare and imperfectly substitutable (Im & Workman, 2004).

Opportunity identification is also a driving force in innovation process. It is also dependent on the individual's ability to recognize potential or hidden entrepreneurial opportunities. Therefore, entrepreneurial orientation is a psychological factor that influences innovation behavior improves individual innovation performance and is also a strategic resource. Entrepreneurial orientation is one's strategic direction and willingness to turn ideas into money-making potential, either economic or social value.

Assuming that an individual is creative and entrepreneurial, an individual will not innovate if motivation relevant to innovation is lacking. Relevant motivation includes types of favorable drives to pursue and explore creativity. Therefore, the component of creativity and innovation in individuals should also include innovation motivation. No amount of creative skill can compensate for the lack of appropriate motivation to perform an activity. Task motivation determines the extent creativity will be engaged in the innovation performance.

The third component of innovation and creativity performance is the individual's perception of his or her capability to meet the standards of the task. One's perceptions appear to be dependent on social and environmental factor, this is self-efficacy. Self-efficacy is a psychological factor that is extrinsic to innovation work, as it controls one's intention to engage or disengage in innovation behavior. Self-efficacy has demonstrated negative impact on rewards and recognition. Motivational factor that compels an individual toward competence and satisfaction is also influenced by feelings of self-efficacy.

1.1.2 Social Cognitive Theory of Self-Regulation

According to the Social Cognitive Theory, individual innovation behavior is regulated by their socio-structural influence. Socio-structural influences operate through cognitive construction and regulation of human behavior in the service of diverse purposes (Bussey & Bandura, 1999, p. 13). Self-efficacy is defined as an individual's cognitive estimate of his or her capabilities to mobilize motivation, cognitive resources, and courses of action needed to exercise control over events in their lives (Wood & Bandura, 1989). One important effect of self-efficacy is on the choice of behavior settings. Individuals tend to choose situations in which they anticipate high personal control and avoid situations in which they anticipate low control (Bandura, 1982). They assess their personal capabilities against the requirements of the innovation behavior and to prepare for and behave innovatively in situations they feel more competent and efficacious.

People with high self-efficacy have more interest in the task, are more willing to expend their effort, and show more persistence in the face of obstacles and setbacks. As a result, they perform more effectively. On the contrary, people with low self-efficacy show no interest in the task, are reluctant to expend their efforts, and easily give-up. Hence, the conceptual model of the research proposed that entrepreneurial self-efficacy has a

regulator effect on the relationship between factors. Entrepreneurial self-efficacy is hypothesizing as mediators on innovation motivation, entrepreneurial orientation, and creativity exertion into innovation orientation in the case of undergraduates' innovation orientation model in Malaysia.

2. Method

The aspect of contextual validity of the survey instrument is crucial. In this research, measurement instrument for innovation orientation and its items were adapted from the business context. Therefore, contextualization of the instrument into undergraduates' context was validated through consensus. Delphi survey technique was employed to build consensus and thus confirm the instrument's content validity.

2.1 Participant and Procedure

Twenty lecturers who are experts in various fields in Malaysian higher education institutions were participated throughout the three rounds of the Delphi study. Fifteen to twenty 15 to 20 participants are usually the optimal number (Ludwig, 1997). There is monolithic reliability value of group responses when the number of participants increases with coefficient of reliability nearing 0.9 for groups of 13 persons (Dalkey et al., 1972). Table 1 shows the relationship between error reductions to size of participants.

Table 1. Relationship between error reductions to size of participants

Size of participant	Error reduction	Significant Change
1-5	1.20 to 0.70	0.50
5-9	0.70 to 0.58	0.12
9-13	0.58 to 0.54	0.04
13-17	0.54 to 0.50	0.04
17-21	0.50 to 0.48	0.02
21-25	0.48 to 0.46	0.02
25-29	0.46 to 0.44	0.02

Source: Boonon (1979)

2.2 Constructs and Measured Variables

The survey questionnaire consisted of five constructs or factors that measure undergraduates' innovation orientation, entrepreneurial orientation, entrepreneurial self-efficacy, creativity, and innovation motivation. These factors' operational definitions delimit its measured variables. The operational definition for each construct links the theoretical concept to the empirical part of this research. They are more than one measured item that represents each construct. The items for each construct are guided by their operational definitions as follows.

2.2.1 Innovation Orientation

Innovation orientation variable is measured by four items adapted from Kuratko, Montagno and Hornsby (1990). Innovation orientation is operationally defined as one's perceived tendency to implement ideas into practice and manifested by four items: (1) interest to initiate new ideas, (2) committed to learn and accumulate knowledge, (3) courage to pursue one's own unique interest, and (4) producing new things to benefit others.

2.2.2 Entrepreneurial Orientation

Entrepreneurial orientation variable is defined as a person's perceived willingness to turn ideas into money-making potential (either economic value or social value) (Antoncic & Hisrich, 2003; Lumpkin & Dess, 1996). Entrepreneurial orientation is measured by five items adapted from Bolton and Lane (2012): (1) ability to recognize new opportunity, (2) incline to think ahead of trend, (3) sensitive to the demand and needs of the community, (4) wanting to put up ideas into business, and (5) willing to put effort to gain knowledge and skill to run a business.

2.2.3 Creativity

Creativity variable is defined as ones' perceived ability to generate ideas. The construct is measured by four items adapted from creativity dimensions developed by Amabile (1996): (1) actively seek to learn new and interesting things, (2) interested in exploring new ideas, (3) Like to do things differently, and (4) Like to focus

and dwell on the positives in other people idea.

2.2.4 Entrepreneurial Self-Efficacy

Entrepreneurial self-efficacy is defined as one's perceived self-confidence in their performance in entrepreneurship. Entrepreneurial self-efficacy construct is measured by six items adapted from Chen, Greene and Crick (1998): (1) coping with unexpected challenges, (2) ability to create opportunity, (3) ability to define core purpose, (4) ability to develop human resource, (5) ability to create innovative environment, and (6) ability to imitate investor relationship.

2.2.5 Innovation Motivation

Innovation motivation is defined as one's perceived drive towards innovation. Innovation motivation construct is measured by five items adapted from by Sauermann and Cohen (2007). Perceived innovation motivation are measured by (1) the drive to commercialize my own product, (2) the drive to contribute to the society, (3) the drive to increased my financial independence, (4) the drive to heighten the level of responsibility, and (5) to benefit human kind.

In total there are 24 measured items were adapted and composed into a Delphi survey questionnaire. Each items used a five-point Likert scale: (1) Strongly disagree, (2) Disagree, (3) Neither Disagree nor Agree, (4) Agree and (5) Strongly Agree. Scores given by the panels are quantitative expression on whether they agreed with the statements. A blank column was provided by the side of each statement for comments. In the subsequent rounds, the quantitative scores and comments were complied. The Delphi results from the initial survey were placed next to each item. This is to allow the participants to re-evaluate their earlier comments and scores for each item with respect to the collective quantitative and qualitative results.

2.3 Data Analysis

2.3.1 Delphi Survey Technique

Delphi survey technique was employed in this research to get a consensus from a group of academics in Malaysia regarding the measured variables' contextual validity. Delphi survey technique is a combination of quantitative and qualitative method (Dalkey & Helmer, 1963). It systematically combines opinion and assessment by experts towards achieving a mutual agreement as well as consensus (Linstone & Turoff, 1975). It is an alternative to communication among participants (Adler & Ziglio, 1996; Skulmoski et al., 2007). Another advantage of Delphi procedure is that the participants are allowed to express their opinions freely, without undue social pressure to conform to other panel members in the group. Through a series of iteration, participants were allowed to refine their views and comments on other panels' suggestion.

The optimum number of repetition of Delphi procedure determines the rigorousness of the findings. Altschuld (1993) suggested three rounds (repetition of procedure) are sufficient for stability of information. Therefore, in this study three rounds of Delphi procedure were conducted. The convergent input of respondents for Delphi procedure was assessed using median and partial quartile deviation as suggested by Holden (1992), and Rowe and Wright (1999). (Refer Table 2)

Table 2. Determination of consensus

Level of consensus	Partial quartile deviation value, x
High	$x \leq 0.5$
Moderate	$1.00 \geq x > 0.5$
Low	$x > 1.00$

3. Result

3.1 Delphi Round One

Panels' responses toward each item in the questionnaire for round one was analyzed to determine the median, percentile and quartile deviations. Table 3 shows 12 items possess a quartile deviation value of less or equal to 0.500; therefore all 12 items achieved high consensus. Eight items achieved moderate consensus, determined by the quartile deviation value of greater than 0.500 but less or equal to 1.000. Four items possessed quartile deviation value greater than 1.000; implying low consensus or no consensus.

Table 3. Level of consensus on items in Delphi round 1

Partial quartile deviation	No. of items	Level of consensus
0.000	6	High
0.125	None	
0.250	4	
0.375	1	
0.500	1	
0.625	None	Moderate
0.750	7	
0.875	None	
1.000	1	
1.500	4	Low
Total	24	

Prior to distribution of Delphi Round Two modifications were made on the five items based on the panel's comment. The panel suggested the items to be contextualised into higher education setting in Malaysia. Based on the experts' feedback, risk-taking attributes and risk tolerance in the context of undergraduate students at the university is viewed differently from the context of business. The item related to this comment is 'I can cope with the failures'. It is commented by one of the reviewers that the statement is too ambitious to be achieved by the students. It was suggested that the statement be changed to 'I can cope with unexpected problems'.

The panel also viewed that the ability of undergraduates to come up with a new product or services is far-fetch hope for undergraduate students in Malaysian higher education. One of the item which is related to this comment is 'I can develop a breakthrough product which is ready penetrate global market opportunity'. A general comment made by the reviewers is that the statement is too ambitious and only extraordinary entrepreneur can achieve this level. It is suggested that the term 'breakthrough' term should be replaced by the word 'new' so that it become less difficult to be achieved by undergraduate student. The revised item is 'I can develop a new product which is ready to penetrate global market opportunity'.

The statement 'I engage in innovation for enhancing the life quality' also received comment by the reviewers. The concept of 'life quality' in the item 'I engage in innovation for enhancing the quality' was considered too wide. The word 'human' was suggested to be included, hence the change to 'I engage in innovation for enhancing the human life quality'.

It was also argued by the reviewers that the statement 'I am able to create a business gap for new opportunity' is too idealistic to be inspired by the students and whether students have the capacity to create a business gap. The alternative suggested was 'I am able to find a business gap for new opportunity' with the word 'find' used instead of 'create' so that it is achievable from the perspective of the students.

The word 'nation' in the statement 'I want to improve my nation through innovation' was considered too much to expect from the students as it covers a bigger population. Thus, it is recommended that the word be replaced by 'society' since 'society' is closer to the student and it can it interpreted as just the local community where the student lives. Thus, the statement becomes 'I want to improve the society through my innovation'. Table 4 summarizes the comments given by the Delphi study panel in Round One.

Table 4. Summary of comments and revised item after Delphi Round One

Original item	Comments	Revised item for Round Two
I want to improve my **nation** through innovation. (Partial deviation, x=1.000)	The word 'nation' was considered too much to expect from the students as it covers a bigger population. Thus, it is recommended that the word be replaced by 'society' since 'society' is closer to the student and it can it interpreted as just the local community where the student lives.	I want to improve the **society** through my innovation.

I engage in innovation for enhancing the **life quality**. (Partial deviation, *x*=1.500)	The concept of 'life quality' was considered too wide. The word 'human' was suggested to be included.	I engage in innovation for enhancing the **human life quality**.
I can **cope with failures**. (Partial deviation, *x*=1.500)	Risk-taking attributes and risk tolerance in the context of undergraduate students at the university is viewed differently from the context of business. The statement 'I can cope with failures' is too ambitious to be achieved by the students.	I can **cope with unexpected problems**.
I am able to **create** a business gap for new opportunity. Partial deviation, *x*=1.500	The statement 'I am able to create a business gap for new opportunity' is too idealistic to be inspired by the students and whether students have the capacity to create a business gap. 'I am able to find a business gap for new opportunity' with the word 'find' used instead of 'create' so that it is achievable from the perspective of the students.	I am able to **find** a business gap for new opportunity.
I can develop a **breakthrough** product which is ready to penetrate global market opportunity. Partial deviation, *x*=1.500	The statement is too ambitious and only extraordinary entrepreneur can achieve this level.	I can develop **new** product which is ready to penetrate global market opportunity.

3.2 Delphi Round Two

Table 5 shows the median, percentile and quartile deviation for round two. A total of 12 items possessed quartile deviation of less or equal to 0.500; indicating high consensus. Nine items achieved moderate consensus, with a quartile deviation value greater than 0.500 but less or equal to 1.000. Three items possessed quartile deviation value greater than 1.000; indicating low consensus or no consensus. The comments in Delphi Round Two were considered and refinement of item statements in the questionnaire was made prior to distribution of Delphi round three.

Table 5. Level of consensus on items in Delphi round 2

Partial quartile deviation	No. of items	Level of consensus
0.000	6	High
0.125	None	
0.250	4	
0.375	1	
0.500	1	
0.625	None	Moderate
0.750	7	
0.875	None	
1.000	2	
1.500	3	Low
Total	24	

The result from the Round Two Delphi Study showed some improvements in terms of level of consensus achieved plus the value of partial quartile deviation. Nevertheless, based on the comments given by the reviewers, some modifications were made to several items to make the items more relevant for students at higher education institutions. The main concern highlighted by the panels is the difficulty level of the items. The reviewers felt that the items could be toned down so that the traits stated are achievable by the students in higher education institutions. Although modifications have been done based on the comments given at the Round One Delphi Study, the results of Round Two Delphi Study showed that those items were still considered problematic in terms of appropriateness in the context of higher education scenario.

The statement 'I can cope with unexpected problems', was considered to be quite negative, 'Challenge' was the preferred word to show the positive quality of a student as an entrepreneur. The statement 'I can develop a new product which is ready to penetrate global market opportunity' was modified to be more practical as the students are just at the beginning phase of joining the business world. The students are still at the learning process therefore, 'global' was suggested to be excluded.

For the item 'I engage in innovation for enhancing the human life quality', 'human life quality' was changed to 'the benefit of human kind'. 'The benefit of human kind' was considered a straightforward phrase, which can be easily understood by university students. The item 'I am able to find a business gap for new opportunity', was modified to exclude 'find a business' gap since it is considered too much for university students as they are not experienced enough to analyze the gap in real world business. Finally, the word 'improve' in the statement 'I want to improve the society through my innovation' was replaced with 'contribute' so that the statement will not be too optimistic. According to one of the reviewers, 'improve' seems to be quite pushy, 'contribute' is considered to be more diplomatic and a softer trait to be exhibited by novice innovator or entrepreneur such as university students. Table 6 summarizes the comments and revised statements in Delphi Round Two.

Table 6. Summary of comments and revised item after Delphi Round Two

Item in Round Two	Comments	Revised item for Round Three
I want to **improve** the society through my innovation. Partial deviation, x=1.000	The word 'improve' in the statement 'I want to improve the society through my innovation' was replaced with 'contribute' so that the statement will not be too optimistic. The word 'improve' seems to be quite pushy, 'contribute' is considered to be more diplomatic and a softer trait to be exhibited by novice innovator or entrepreneur such as university students.	I want to **contribute** to the society through my innovation.
I engage in innovation for **enhancing** the human **life quality**. Partial deviation, x=1.000	'Human life quality' was changed to 'the benefit of human kind'. 'The benefit of human kind' was considered a straightforward phrase, which can be easily understood by university students.	I engage in innovation for the **benefit** of **human kind**.
I can cope with unexpected **problems**. Partial deviation, x=1.500	The statement 'I can cope with unexpected problems', was considered to be quite negative, 'Challenge' was the preferred word to show the positive quality of a student as an entrepreneur.	I can cope with unexpected **challenges**.
I am able to **find a business gap** for new opportunity. Partial deviation, x=1.500	The item 'I am able to find a business gap for new opportunity', was modified to exclude 'find a business' gap since it is considered too much for university students as they are not experienced enough to analyze the gap in real world business.	I am able to **recognise** new opportunity.
I can develop a new product **which is ready to penetrate global** market opportunity. Partial deviation, x=1.500	The statement 'I can develop a new product which is ready to penetrate global market opportunity' was modified to be more practical as the students are just at the beginning phase of joining the business world. The students are still at the learning process therefore, 'global' was suggested to be excluded.	I can develop new product **and** market opportunity.

3.3 Delphi Round Three

Table 7 showed the results for Delphi round three with 14 items having quartile deviation value less or equal to 0.500; indicating high consensus. Ten items achieved moderate consensus, determined by the quartile deviation value greater than 0.500 but less or equal to 1.000. No item obtained a quartile deviation value of greater than 1.000; indicating low consensus or no consensus. All items achieved high and moderate consensus implicating the panels are satisfied with the items in the questionnaire. Through the Delphi procedure consensus, contextual validity of the 24 items was achieved confirmed by the twenty-panel members.

Table 7. Level of consensus on items in Delphi round 3

Partial quartile deviation	No. of items	Level of consensus
0.000	6	
0.125	None	
0.250	6	High
0.375	1	
0.500	1	
0.625	None	
0.750	7	Moderate
0.875	None	
1.000	3	
1.500	0	Low
Total	24	

The contextual validity of the instrument is established i.e. the instrument conforms to its conceptual definition and each constructs' measured variables are unidimensional. The instrument is contextually suitable to be deployed in the context of undergraduates in Malaysia. Table 8 summarizes the items.

Table 8. List of items

No.	Item	Level of consensus
1	I am interested in exploring new ideas.	High
2	I like to do things differently.	High
3	I like to think ahead of trend.	High
4	I am committed to learn and accumulate new knowledge and new technology.	High
5	I actively seek to learn new and interesting things.	High
6	I am interested to initiate new ideas.	High
7	I am sensitive to the demand and needs of the community.	Moderate
8	I associate new things suitability with its value to benefit others.	Moderate
9	I have the courage to pursue my unique interest.	Moderate
10	I like to focus and dwell on the positives in other people ideas.	Moderate
11	I want to contribute to the society through my innovation.	Moderate
12	I engage in innovation for the benefit of human kind.	Moderate
13	I want to commercialise my own product.	Moderate
14	Innovation heightens my level of responsibility.	Moderate
15	I will put effort to gain knowledge and skill to run a business.	Moderate
16	My degree of increased independence motivates me to innovate.	Moderate
17	I can build an innovative environment.	Moderate
18	I want to put my ideas into business venture.	Moderate
19	I can imitate investor relationship.	Moderate
20	I can develop critical human resources.	Moderate
21	I have the ability to define my core purpose.	Moderate
22	I can cope with unexpected challenges.	Moderate
23	I am able to recognise new opportunity.	Moderate
24	I can develop new product and market opportunity.	Moderate

4. Discussion and Conclusion

The way this Delphi survey measure innovation orientation, entrepreneurial orientation, innovation motivation, creativity and entrepreneurial self-efficacy is more of deductive approach. This research simultaneously created a new set of survey instrument for measuring undergraduates' innovation orientation in Malaysia. The measurement items connect how undergraduates perceived innovation orientation and its factors. Prior to Delphi process the researchers make a preliminary literature review to define the items for establishing a set of items to start the consensus process. Conceptualization of constructs took abstract definition and produced measured

items that linked to the constructs. Agreements on each of the twenty four items that represent their constructs also signify how innovation orientation can be enabled among undergraduates in Malaysia. In the Delphi survey, the aspect of item clarity and explicit meaning develops sound explanations for a construct. A single construct has several definitions, and the Delphi panel may disagree over the definitions thus consensus among experts is required (Neuman, 2011, pp.201).

One of the strength of Delphi method is the operationalization course deviates from rigid process because as the study continues, participants can revisit each of their own comments and other participants' comments. This gives them the chance to learn more about the issues based on the interests of other participants. It is an interactive process and participants can explore options, and may rethink about their own comments. Minimum requirements for agreement was made based on computation of all median value, percentile value and quartile deviation value for each item in Delphi questionnaire. In this research, to reach consensus effectively the refinement of items' statements focus on improving four items that received low agreement and one item that received marginally moderate agreement.

Delphi technique was used due to its advantage for overcoming unfair and impasse strong emotions dispute during the consensus process. The process begins with theoretical frameworks and definition of each constructs. Then, a group of academics was selected to seek consensus on the set of 24-item measures of innovation orientation survey. The academics who participated in the Delphi study represent a different constituency within public university in Malaysia. The selecting criteria for a participant are their availability to work within the budgeted time plan and work experience in higher education.

On the other hand, Delphi technique was employed to improve reliability of the survey instrument particularly on clarity of constructs' conceptualization. Sound-quality measures develop credibility of a research finding. Reliability of an instrument can be increased when each measure indicates unidimensionality, meaning that they indicate only one concept. However, if only one measured item used to measure a construct it will lead to bad or imperfect measurement (Neuman, 2011). Therefore, the use of multiple items for a construct increases reliability. In this research innovation orientation has four items, entrepreneurial orientation has five items, creativity has four items, entrepreneurial self-efficacy has six items, and innovation motivation has five items. As a conclusion, multiple items are more stable than single item measure and captured the essence of the construct.

This research is not without limitation. The limitations of this research are the lacks of ability to read nonverbal cues because researchers infer conclusion based on the written response system. The researchers need to be discrete in investigation and comprehend each participant's comments. The triangulation process of participants' comments is quite time-consuming for the researchers. In short, most of the limitation of the study is due to the inability of the researcher to employ consensus techniques that are available in face-to-face settings.

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Political Thoughts and Socio-cultural Nationalism Ideologies of Nurcholish Madjid on Strengthening Democracy, Civil Societies and Civic Virtues in Indonesia

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Abstract

This article is about the thoughts and ideologies of Nurcholish Madjid (Cak Nur), as one of modern thinkers on Islam, democracy and nationalism in Indonesia. The paper analyzes Cak Nur's views on how to integrate the three in building a modern Indonesia which is peaceful and conducive for all religions and races. The author chose to study Nurcholish Madjid because he is considered to be one of the contemprary Islamic scholars on the Archipelago who has showed love for his religion, democracy and of course for his nation.

Keywords: politics, nationalism, nurcholish madjid, democracy, civil society and Indonesia

1. Introduction

Looking at Indonesia's politics, the existence and position of Nurcholish Madjid (a.k.a Cak Nur) is becoming of great significance. For instance, Abdurrahman Wahid (a.k.a Gus Dur) at one point noted and also predicted that at one time 'Cak Nur' could be considered as an authority of democratic Islam in the country (Darmawan, 2007, p. 137). According to Thaha (2005: 317) in his thesis submitted to Universitas Indonesia, he reveals that Madjid's political thoughts and ideologies are discussed widely by both 'professional politicians and political academics' across the country. There are 10 (ten) typologies derived from Madjid's thinking; i.e., indigenous, neo-modernist, cultural-substantive, formalistic, cultural, political morality balance, reformation or reconstruction of theology, modern thinkers, and religious democrats.

As a modern Islamic thinker, Madjid is one of the Islamic and democratic intellectuals in Indonesia. According to one of his own statements, Madjid describes himself as "*a glass-half-empty*" or at times "*a glass-half-full*". In other words, half of his thoughts contain "*neo-modernism*" and the other half contains "*neo-traditionalism*". This means Nurcholish Madjid is a neo-modernist as well as a neo-traditionalist. This has also been proved by a statement of one of Madjid's critics' who commonly categorizes him as a "neo-modernist" thinker.

To emphasize the importance and how crucial the legacy of classical Islamics is in the development of 'modern Islam', Madjid often quotes the experience of the modern Turks. He says that looking are two scenarios one ofthe era of the Young Turk and Kemal Ataturk who sacrificed Islamic legacies for the sake of modernity, which has resulted at times, modern Turks being categorized as "liberalists" and "westernized", with other experiences i.e. that of the Japanese, who conducted modernization since the Meiji era of reform, but these still held strongly on their traditional values. Hence, Cak Nur is of the opinion that, if the Muslims choose to advance in modernization and modernity, they need to learn from Japanese, and not the Turks. It is believed that though reformations among the Turks started earlier before the meiji restorations in Japan, the later were more successful, since they were more organized.

In the context of Islamic traditionalism, Cak Nur highly appreciates shari'ah, especially Islamic jurisprudence (*fiqh*) as a product of ijtihad which involves recontextualization from time to time. In other words, he is neither against shari'ah nor Islamic jurisprudence. However, he is conscious of the importance of recontextualizing syari'ah or jurisprudence in regard to the modern needs. One of his approaches has been the advocacy of

revisiting the methods which lead to redeveloping of shari'ah or Islamic jurisprudence, namely *usul fiqh*. On this point, Cak Nur appeals to the contemporary Muslim scholars and thinkers to revisit *usul fiqh* principles, if they are to be applied in the contemporary period.

In the development context and in regard to Indonesia and the Islamic world today, Cak Nur's thinking is relevant to Islamic Civilization. His thoughts on the integration of Islamic principles in Indonesian's modernization is of relevance moreso with challenges intensifying day by day., between Islam on one hand and Indonesia on the other, especially during this post Soeharto period. In other words, we are currently, facing the challenge to choose between Islam on one hand and modernity on the other and of course nationalism on the one hand. The integration of these three entities is not easy; not only because it requires a sound understanding of them, but because of the ever changing situation of religion, society, and politics. This is the biggest challenge faced by those who wish to continue with Cak Nur's agenda of reformation. Syu'bah Asa (2005: 101), a senior journalist of Tempo Magazine, states that it will be difficult to find another person who is proud of his religion as Nurcholish Madjid, who views Islam as civilization, compassion, and beauty that touches not only the Muslims, but also all human kind, in the spirit of pluralism as taught in the Al-Qur'an.

2. Research Method

2.1 Approach and Type of the Research

An approach is a reference, pattern, and framework that contains criteria and norms. Vernon Van Dyke, cited by Sapriya (2007: 130) stresses that: "An approach consists of criteria of selectiing—criteria employed in selecting the problems or questions to consider and in selecting the data to bring to bear, it consists of standards governing the inclusion of questions and data" (Dyke, 1965: 114). Based on that view, the researcher employs qualitative approach as a reference, pattern, and framework for this dissertation, based on the generalized empiric of social, political, and cultural realities in the field. The researcher comprehensively and comparatively describes and analyzes the social realities. The researcher also critically describes and analyzes phenomenal and historical aspects of realities to create an ideographic generalization. Bogdan and Taylor (1973), cited by Mungin (2001: 31), stated that qualitative approach in a research is a research procedure that produces descriptive data, observable utterances or writings and behaviors of the subject. In line with their opinion, Denzin and Lincoln (1994: 2), in Sapriya, stated that:

> *Qualitative research is multi-methods in focus, involving an interpretative, naturalistic approach to its subjects matter. This means that qualitative researchers study things in their natural setting, attempting to make sense of them or interpret phenomena in terms of meanings brought to them. Qualitative research involves the studied use and collection of variety of empirical materials–case studies, personal experience, introspective, life stories, interviews, observational, historical, interactions, and visual texts—that describe routine and problematic moments with meanings in individuals' lives".*

Furthermore, John Creswell, in Sapriya (2007: 132) notes that: *"Qualitative research is an inquiry process of understanding based on distinct methodological traditions of inquiry that explore a social or human problem. The researcher builds a complex, holistic picture, analysis words, report detailed views of informant and conducts the study in a natural setting."* Meanwhile, Lincoln and Guba (1985: 98), in Sapriya (2007: 131) thinks that qualitative approach becomes the main thing in naturalistic paradigm not because this paradigm is anti-quantitative, but because the qualitative approach wants people as a research instrument. In other words, Lincoln and Guma state that *". . .the human as an instrument is inclined towards methods that are extensions of normal human activities: looking, listening, speaking, reading and the like".*

Based on the views above, it can be concluded that a qualitative approach in a research that directly points to the setting and individuals in any given setting. The subject in qualitative research may be an organization, institution, or individuals, meaning that it is not limited to a separate variable or a hypothesis, but viewed as part of a given sample or object of study. Therefore, the subject in this research is an individual, as the main actor of the socio-cultural dynamics in Indonesia (in this case Nurcholish Madjid).

The author studies the life of Nurcholish Madjid as an Indonesian Islamic neo-modernist intellectual, looking at his interactions from the social, political, and cultural perspectives plus his relevance to Indonesia's political developments (how his views have helped to build a strong democracy, in the country's process of development and consolidating Islam). This is interpreted in line of a religious paradigm and its relations with contemporary political issues like democracy, human rights, civil society, and political ethicity in Indonesia and the international world views.

The movements of the two national teachers (Cak Nur and Gus Dur) in their capacities and positions as citizens,

are related with their interactions and their intellectual struggles in translating, interpreting, contextualizing, and actualizing Islamic norms and teachings with the realities of modern life and the socio-cultural conditions of Indonesia. Therefore, through qualitative approach in this dissertation, the researcher will examine the movement of a figure and can comprehensively see how the figure develops his own definitions of the world with his various thoughts, works, and behaviors (Furchan & Maimun, 1998: 16). Furthermore, through qualitative approach, the researcher can find what the figure feels, thinks, and says in his interactions with his socio-political environment or community. Later this can as well as help examine certain groups or communities that might be the followers of the figure, previously unknown and unthought-of.

2.2 Research Subject

The subject of this research is the Indonesian neo-modernist Islamic intellectual figure, Nurcholish Madjid, particularly the movements and the dynamics of his intellectual life and interactions with the surrounding socio-political realities. The scope of this research, in terms of time dimension, begins from the period of 1970s (the period of beginning of New Order) until the year of Nurcholish Madjid's demise. It is particularly related with the political ideas or thoughts and civil socio-cultural movements in which he was actively involved in, plus the institutions he built.

Furthermore, this research also analyzes the effects caused by the thoughts and activities of the two citizens who became the leaders of the cultural movement and their followers in keeping and continuing the idealized thoughts of the two leading figures of Islamic thought reformation movement in Indonesia. The research will analyze the current situation in its relation with political, civil, and national life in the context of the Islamic position on politics of the country, as well as civil society's position in the development of democracy in Indonesia.

2.3 Stages of the Research

The stages in this dissertation of intellectual history research are as follows; the selection of topic, the collection of sources (*heuristic*), the verification of sources (critiques of sources' validity), the interpretation (analysis and synthesis), and the writing (historiography). The steps of the research are: 1) deciding an important problem in the field of the study; 2) choosing a figure; 3) identifying the merit, success, and virtue of the figure; 4) determining the focus of the study; 5) determining the instruments of the study; 6) conducting the study; 7) checking the validity of the data, analyzing data, and writing the results of the study; 8) drawing conclusions. To determine the validity of the findings of the field observation, the researcher will check the data using the steps from Moleong (2008: 326-335).

2.4 Data Collecting Technique

The procedure for collecting data in this research are conducted in three stages (Moleong, 1990: 10): 1) the orientation stage; 2) the exploration stage; and 3) the focus study stage. This research uses two techniques of data collection, from the three data collecting techniques known in a *life story*; i.e. the documentation review technique and the documentary technique. The documentation review technique is used to collect the works of the studied figure. The documentation review as a data collecting technique utilizes the existing documents as the sources of data (Usman and Setiadi, 1998: 73). Meanwhile, the documentary technique is defined as a way to collect data through the written legacy, particularly archives of files and including books of opinions, theories, theorems or laws, and others pertaining to the studied problem (Nawawi, 1995: 153). In this context, the researcher will be able to collect all documented data relevant with the focus of the research.

3. Literature Review

3.1 Biography of Nurcholish Madjid as Neo-Modernist Moslem Intellectual

Cak Nur comes from a family of Islamic students and modern Islamic political activist of Masyumi Party. Cak Nur was born at the time of turmoil and political struggle against colonialism in Indonesia. The struggle were the Indonesian people were aiming to realize Indonesia's independency of the Dutch and Japanese colonials. Cak Nur was born on 17 March 1939 A.D. or 26 Muharram 1358 of Hijriah (Islamic calendar) in the Mojoanyar Hamlet, Mojotengah Village, Bareng Subdistrict, Jombang Regency, East Java Province. The city of Jombang is named from an acronym of Javanese words of *ijo* (green) and *abang* (red). *Ijo* or green represents the religious groups (Islamic students' groups) while *abang* or red represents the nationalistic identity of Javanese groups. Both groups of people live harmoniously in Jombang, and the two elements of social groups are represented in the background colors of Jombang Regional Government insignia.

The village where Cak Nur was born has a special religious dynamism because the people in the village have put education, particularly Islamic education, at the primary position of the villagers' hierarchy of needs. Moreover,

Jombang, in a macro level, is a region with a potential to produce great figures (personalities) of this country. The majority of Jombang citizens have the culture of Islamic students, with the Islamic tradition of *ahlussunnah wal jama'ah* discipline and strong implementation of *Sufism path*. This automatically became an integral part of influence on Cak Nur and naturally formed the basic of his Islamic study tradition. His father was K.H. Abdul Madjid, an Islamic scholar and Islamic political figure who had close relations with one of the country's great Islamic scholars, K.H. Hasyim Asy'ari, the founder and leader of Indonesia's biggest and oldest Islamic Boarding School, the Tebuireng Jombang Islamic Boarding School.

Cak Nur obtained religious education from his family, then later had public education from a *Sekolah Rakyat* (SR; an elementary school in Indonesia) and Islamic education from *Madrasah Ibtidaiyah* (Islamic elementary school) al-Wathoniyah in Mojoanyar Jombang. Cak Nur got his junior high school level of education from *Pesantren Darul 'Ulum* in Rejoso, Jombang, founded by K.H. Tamim Irsyad and K.H. Cholil. He continued his study to *Pondok Pesantren Modern Darussalam Gontor,* Ponorogo, founded by the three sons of Kyai Santoso Anom Besari; K.H. Ahmad Sahal. K.H. Zainuddin Fananie, and K.H. Imam Zarkasy, more commonly known as *Trimurti*.

After finishing his study in Gontor Islamic School, Cak Nur went to Jakarta to continue his studies and obtained a bachelor's degree in 1968 at *Institut Agama Islam Negeri* (IAIN/ National Islamic Institute) Syarif Hidayatullah Jakarta—which later changed its name into *Universitas Islam Negeri* (National Islamic University) Syarif Hidayatullah Jakarta in 2002. He majored in Arabic Language and Literature of the Faculty of *Adab*. To obtain the bachelor's degree, Cak Nur wrote a paper entitled: "*Al-Qur'ân 'Arabiyyun Lughatan wa-'Alamiyyun Ma'nan* meaning Al- Quran: Arabic in Words, Universal in Meaning (Thaha, 2005: 16-74; Rachman , 2008: 3-4).

Besides focusing on Islamic study in IAIN Jakarta, during his years as a student and to a few years after, Cak Nur often went to Masjid Agung Al Azhar Jakarta to observe his Friday Prayers and to listen to the preachings delivered by Buya Hamka, a great Islamic scholar and the pioneer of modern Sufism in Indonesia. Through Hamka, Cak Nur was introduced to the ideas of Ibn Taimiyah which then later became the research subject of his doctoral dissertation atUniversity of Chicago, Illinois, U.S.A entitled *"Ibn Taymiyya on Kalam and Falsafa: A Problem of Reason and Revelation in Islam"* (Thaha, 2005: 16-74; Rachman , 2008: 3-4).

However Cak Nur's study of Islam was not continued at any Middle East universities like Al Azhar University of Egypt, Ummul Quro' University of Arab Saudi, or other universities in the Arabic countries, Instead, he continued his study at University of Chicago, Illinois, the United States of America. In this university, Cak Nur met a Pakistani Islamic Studies professor, Fazlur Rahman. In this university, besides his Islamic philosophy and Islamic thoughts, Cak Nur was able to study politics. Hence, in his intellectual journey, Cak Nur's ideas and views were not merely concerned with religious matters *ansich*; they are also related with political matters wrapped in Islamic framework and foundations as the main perspective. Therefore, on one hand, Cak Nur developed from his initial contact and relationship with traditional Islamic culture and tradition through the Islamic Boarding Schools he attended in his childhood, and on the other hand, he also developed relationships with modern and global Islamic culture through the Islamic Boarding School Gontor, IAIN Ciputat, and the University of Illinois in Chicago. His exposure to the two big traditions created a new pattern and tradition in himself, particularly in thinking, behaving, and acting on Islam in a modern world; a pattern and tradition which causes experts like Greg Berton, An Kull, Azyumardi Azra, Fachri Ali, and Bahtiar Effendy to call him an Indonesian Moslem intellectual with neo-modernist discipline.

After obtaining his doctorate degree (PhD) and returning to Indonesia in 1985, a lot of Cak Nur's friends urged him to spread his Islamic ideas and political thoughts to Indonesian people in a wider scope. He then built the *Yayasan Wakaf Paramadina*. It's from this Cak Nur's position in various discourses, movements of Islamic thought and political transformation that made him stronger and phenomenal as seen in histhoughts that contributed greatly in Indonesia's Islamic thoughts, while attempting to realize a relevant, accommodative, and contextual Islam appropriate with the dynamic era and culture of Indonesia. In 35 years, Cak Nur was able to spread inclusive Islamic thoughts and progressive political ideas, while holding onto the perennial Islamic studies tradition—classic Islamic studies traditions—using modern social science to articulate Islam in the modern reality of Indonesia. This attracted dozens of students from leading universities in the United States of America, Europe, and Australia to write dissertations research on Cak Nur's thoughts from different perspectives.

After Soeharto fell from his 32-years regime, the New Order regime, Cak Nur participated in promoting democratization of Indonesia by, among others, becoming the Head of Voters' Enrichment Committee (KPP) for the General Election of 1999, which was the first general election in the Reformation Era. This new era to realize

democracy in Indonesia was one of the efforts byCak Nur's and other national figures' political thoughts and civic socio-cultural movement.

Howerer, a lot of people misunderstand his concepts, ideas, and discourses because they failed to comprehend the complexity of his multi-faceted thoughts. This resulted into some people –the elite and religious figures, deliberately misinterpreting his thoughts. They did not not only misunderstand what he intended to say, they also put his thoughts out of context, and deliberately twisted and manipulate certain aspects of Cak Nur's thinking. Among the figures who criticized his ideas and thoughts are H. M. Rasyidi, Abdul Qadir Zaelani, Daud Rasyid, Hartono Ahmad Jaiz, Adian Husaini. They concluded that the ideas and thoughts put forward by Cak Nur are incorrect, loaded with liberal ideologies, and loaded with Western values in interpreting and articulating Islamic teachings in social and national life.

Cak Nur viewed Islam as a religion that is *compatible* with modernity and adaptive with the context of Indonesia. Therefore, modern Islam that Cak Nur constructs is different from the modern Islam developed by the "classic modernists" who are in awe of modernity that they are uprooted from the classic Islamic tradition (*al-turats al-Islamiyyah*). Meanwhile, in Cak Nur's opinion, it was actually the exact opposite. Cak Nur stressed the importance of classic Islamic legacy to develop a "modern Islam." This was the main character of the Islamic movement in "neo-modernism" discipline. In the latter context, Cak Nur often quoted the experience of the modern Turks, since the era of the Young Turk and Kemal Ataturk who sacrificed Islamic legacies for the sake of modernity, which they understood and actualized as "liberalization" and "westernization". Cak Nur often compared the Turks' experience with Japan, who conducted modernization since the Meiji Reformation era while still holding onto its traditional legacy. In Cak Nur's opinion, if the Moslems strive to advance in their modernization and modernity, they need to learn from the Japanese, not the Turks.

From this point of view, classifying Cak Nur as one of the "neo-modernist" thinkers has a strong foundation. However, "neo-modernism" is just one side of his whole thought. Therefore, it is a mistake to consider Cak Nur only from the "neo-modernism" side, while ignoring other aspects of his thoughts. In his analysis on Cak Nur's thoughts or in his direct interactions with Cak Nur in various occasions, particularly in *Yayasan Wakaf Paramadina*; which conducts Islamic study with a new model in which Islam is studied using social science, empirical, and historical perspectives and paradigms; Azra finds several important aspects of Cak Nur's thoughts. In line with his emphasis on Islamic tradition legacy, Cak Nur put great emphasis on the aspect of thought that Seyyed Hossein Nasr calls Islamic traditionalism. With this framework, Azra paints Cak Nur as a thinker that strongly stressed the classic Islamic tradition which is the focal point of the Islamic study tradition developing from the early age of Islam to the modern age.

In the context of this Islamic traditionalism, Cak Nur highly appreciated *syari'ah*, particularly *fiqh*, as a product of *ijtihad* that involves contextualization from time to time. Cak Nur barely ever gives sharp criticism against *syari'ah* and *fiqh*. However, he realizes the importantance of contextualizing *syari'ah* and *fiqh* with the modern needs, particularly those pertaining to the issues of citizenship and relationship between Islam and national politics. The way to do this is to go back to the methodology of developing *syari'ah* or *fiqh*, the *ushul fiqh*. He highly recommended the Moslem scholars and contemporary thinkers to reread the principles of *ushul fiqh* to be implemented in the development of contemporary *fiqh* to satisfy the various demands of each time or era.

Cak Nur also displayed the same on Islamic traditionalism in his great appreciation of *tasawuf.* He wasvery critical on any forms of excessive *tasawuf* and *tarekat*, which belong to the category of heresy, falsehood, and superstitions. The things which were clearly far from his opinions concerning the strict values of *tauhid* (One God), as he formulated in *Nilai-NIlai Dasar Perjuangan* (The Foundation Values of Efforts) of HMI (Indonesia Students' Organization), which then became *Nilai Identitas Kader* (Cadres' Identity Values) of HMI, the biggest student organization in Indonesia. It is soon clear that he did not deny or reject *tasawuf* blindly. Unlike other modernist thinkers, and probably other "neo-modernists", who tend to reject *tasawuf* and *tarekat*, Cak Nur understands and practices *tasawuf*, both in thoughts and in daily life.

According to Azra, in the tradition of religious practices in the world of *tasawuf*, Cak Nur wasnever a member, let alone a *khalifah* or *mursyiddari* (leader), of particular *tarekat* (Islamic school of thoughts). However, this does not mean that he accepted *tasawuf* without *tarekat*. In this framework, Azra categorized Cak Nur as a follower of "neo-Sufism" *tasawuf*, founded by his professor, Fazlur Rahman, in Chicago University. Cak Nur's "neo-Sufism"was individual and personal, not practiced through certain *tarekat*. Based on this, one can easily understand why Cak Nur, in various occasions, showed his high appreciation on Buya Hamka's *Tasawuf Modern* (Modern *Tasawuf*) which is also a form of comprehension and implementation of *tasawuf* individually without any *tarekat*. Therefore, his implementation of *tasawuf* was also influenced by Hamka's *tasawuf*.

Based on that mind framework and attitude of Nurcholish Madjid, Azra categorized Nurcholish Madjid as "neo-traditionalist" thinker. This was reflected in fact that, as Azra mentioned about Nurcholish Madjid, whenboth of them spoke in a seminar, the latter responded by saying that his thoughts can be considered as "a glass-half-empty" or "a glass-half-full"; half of it can be considered to contain "*neo-modernism*" and the other half containing "*neo-traditionalism*". With this metaphor, Cak Nur offered some kind of 'guidance' and direction concerning how to interpret his thoughts and practices in daily life. Therefore, he implicitly urged that his thoughts should be viewed more comprehensively and holistically.

The researcher agrees with Azra that the appreciation of Nurcholish Madjid's revolutionary thoughts and ideas should begin with the correct understanding of the complexity of Cak Nur's concepts, ideas, discourses, and practices. This is because without such framework, it will be hard to fairly discuss Cak Nur's legacy of thoughts and unfinished ideas of reformation. In the context of the development and reality of Indonesia and Islamic world today, Cak Nur's thinking is still relevant. His thoughts on the integration of Islamic-Indonesian-modernity matters get more relevant with the intensifying tug-of-war between Islam on one hand, used as the ideological and normative foundation of the nation, and the idea of pluralism and multicultural Indonesia on the other. This as the idea pushing for use of PANCASILA as the foundation of the nation in the post-Soeharto era.

The same thing also happens between Islam on one hand and modernity on the other. The integration of the three entities is not easy; not only because it requires a sound understanding of the three, but also because of the ever changing situations in aspects of religion, social, and politics. This is the challenge for those striving to continue Cak Nur's agenda of reformation. Cak Nur died on Monday, 29 August 2005, because of liver cyrosis illness. He was buried in *Taman Makam Pahlawan Kalibata* (National Heroes Graveyard) which is a form of appreciation from the nation towards civilians for their great contribution in developing and strengthening democracy, civil society, and developing civil-citizenship values.

4. Findings and Discussion

4.1 Main Themes of Nurcholish Madjid's Thoughts in His Intellectual Works

Generally, the works of Cak Nur's are papers prepared for academic discussions, dialogues, and reflections, mainly during the activities of Religion Study Group (KKA) held by the activity unit in *Yayasan Wakaf Paramadina*. Aside from those, there his works in the books his thoughts written in various columns and occasions, e.g. newspaper articles, magazine column, and transcription of preachers, dialogues, and interviews in several media platforms. The following are some of Cak Nur's intellectual works that can be used as the materials for mapping the typology and tendency of his ideas and thoughts: 1) the book *Islam Kemodernan dan Keindonesiaan*, Bandung: Mizan, 1987; 2) the book *Islam, Doktrin dan Peradaban: Sebuah Telaah Kritis tentang Masalah Keimanan, Kemanusiaan, dan Kemoderenan*, Jakarta: Paramadina, 1992; 3) the book *Pintu-pintu Menuju Tuhan,* Jakarta: Paramadina, 1994; 4) the book *Cita-Cita Politik Islam Era Reformasi*, Jakarta: Paramadina, 1999; 5) the book *Islam Agama Peradaban: Membangun Makna dan Relevansi Doktrin Islam dalam Sejarah,* Jakarta: Paramadina, 1995; 6) the book *Tradisi Islam: Peran dan Fungsinya dalam Pembangunan di Indonesia*, Jakarta: Paramadina, 1997; 7) the book *Masyarakat Religius,* Jakarta: Paramadina, 1997; 8) the book *Perjalanan Religius Umrah & Haji*, edited by Muhammad Wahyudi Nafis (Jakarta: Paramadina, 1997); 9) the book *Dialog Keterbukaan: Artikulasi Nilai Islam dalam Wacana Sosial Politik Kontemporer*, edited by Edy A. Affendi (Jakarta: Paramadina, 1998); 10) the book *Pesan-pesan Takwa: Kumpulan Khutbah Jum'at di Paramadina*, editor: Asrori S. Karni (Jakarta: Paramadina, 2000); 11) the book *Atas Nama Pengalaman Beragama dan Berbangsa di Masa Transisi: Kumpulan Dialog Jum'at di Paramadina* (Jakarta: Paramadina, 2002); 12) the book *Puasa Titian Menuju Rayyan*, edited by Sufyanto and Luluk Rofiqoh (Yogyakarta: Pustaka Pelajar, 2000); 13) the book *Kaki Langit Peradaban Islam*, edited by Ahmad Gaus AF (Jakarta: Paramadina, 1997); 14) the book Khazanah Intelektual Islam, Jakarta: Bulan Bintang, 1984; 15) the book *The Issue of Modernization among Muslims in Indonesia from a Participant Point of View;* 16) the book *What is Modern Indonesian Culture;* 17) the book *Islam in the Contemporary World;* 18) and the book *Islam in Indonesia : Challenges and Opportunities*.

Cak Nur's thoughts were not limited to issues pertaining to Islam, but also covered thoughts concerning modern Indonesia. He wrote abook entitled *Indonesia Kita (2003)*, containing platform of reformation needed to repair and improve the socio-economic and political condition of Indonesia. He is also a pioneer in expressing various issues of political reformation, such as the ideas of loyal opposition, civil society, democracy, and Pancasila as the common national platform on the values of religion, pluralism, and human rights. The contribution of ideas from him were not only related with Moslems in Indonesia, but also with the whole nation. Therefore, the main

themes of his thoughts were Islam, modernity nationality, and Indonesia, under the supporting themes of reformation of thoughts, secularism, and pluralism.

Based on that, he believed in the importance of developing a *hanif* Islam, which is a tolerant, moderate, and open Islam; a universal Islam oriented on humanity and civilization. Releting this to current problems after 11 September 2011, where there are global discussions concerning the emergence of fundamentalism and radicalism of Islam, Nurcholish Madjid provides the solution of *hanif* Islam, highlighting the importance of cooperation and solidarity among religions. He believed that each religion can contribute its religious ethics on the global problems. Based on this belief, one of the most important issues Nurcholish Madjid always expressed in various occasions is pluralism, which is still a controversial issue in Indonesia today.

The various works and themes he focused upon make Cak Nur an intellectual whose expertise exceeds a professor of a particular discipline, almost like an encyclopedic intellectual. It is proven by a great work of Budhy Munawar Rahman entitled "*Ensiklopedi Nurcholish Madjid*" which consists of four volumes. The book displays the myriad and the range of knowledge of Cak Nur, particularly concerning Islam and modern world. During his life, Cak Nur's works always become a reference for students, academics, scholars, ambassadors, and even presidents and president candidates.

4.2 Political Thoughts of Nurcholish Madjid Concerning Islam and Democratic-Nation, Islam and Indonesian-Pancasila, Islam and Human Rights, Islam and Civil Society, and Islam and Civic Virtues and Ethics

As people develop, a lot of thinkers, both Moslem and non-Moslem thinkers, entertain the thoughts concerning a good system of nation. In the context of Indonesia, the emergence of Nurcholish Madjid's ideas is an interesting subject of study. This Moslem scholar emerged with his bright ideas concerning Islam as interpreted through the reformation of Islamic thinking movement. His thoughts concerning religious understanding in its relations with politics, social, and cultural issues, like pluralism, are often discussed. Based on this, it is not exaggerating to say that Nurcholish Madjid is inclusive, neo-modernists, moderate, and tolerant Moslem thinker. In this dissertation, Cak Nur's thoughts on democracy, Pancasila, human rights, civil society, and political ethics will be sufficiently discussed.

According to Cak Nur, there is a relationship between religious values, i.e. fairness and openness, with democracy. In his book, *Islam Doktrin dan Peradaban*, Cak Nur states "It is clear that the principles of fairness and openness are interrelated since both of them are religiously consistent with the dimension of humanity. Now, the relationship between those values and democracy; i.e. the organization of life structures based on humanity or public wishes, will also be clear' (Madjid, 1992: 118). To support his argument, Nurcholish Madjid described and compared faith which brings about the absoluteness of God, with tyranny, as an undemocratic system which is the opposite of faith. In this case, Nurcholish Madjid assumed that:

"If faith brought the consequence of absoluteness of God, the Only God, there is nothing more opposing in principle but making something other than God as an absolute, including other humans. Therefore, . . ., tyranny is an opposite of faith, and a faithful man will naturally assume the duty to destroy tyranny, as had been the duties of God's prophets. Included in this tyranny is the one developed in the name of religion, as can be found in the theocratic life system practiced in Western culture (for example, the Holy Roman Empire in the Middle Age)."

Therefore, to avoid tyranny, Nurcholish Madjid says that a human being is required to solve the problems among them through discussion. Nurcholish Madjid notes:

"On the contrary, the belief in God requires all problems among humans to be solved through discussions, which is a reciprocal process among the participants with similar rights and duties. The description of society of faithful people as a society of discussion is very impressive for the first Moslems, so that there is a surah in Al Qur'an containing that description, the Syûrâ or Discussion surah."

Based on the quotes, it is clear that religion, in this case, its beliefs, go hand in hand with democracy. According to Nurcholish Madjid, although some people view Islamic values and democratic values are contradictory, there is conformity between Islam and democracy. He bases his understanding on the values of democracy that conform to the values of Islam as stated in Al Quran surah 1: 6, "Show us the righteous path." According to him, Islam considers human as a fundamentally positive and optimistic creature, while at the same time, human has potential limitations. Al Qur'an and Sunnah provide guidance for human in general terms. Both do not explain how to implement the guidance, particularly concerning the mechanism and structures of political life. Therefore, for detailed and practical matters, Islam provides wide space for humans to develop and utilize their reasoning and rationality through *ijtihad*.

Etymologically, *ijtihad* means earnestly utilized one's power, both physically and mentally. *Ijtihad*, according to Al-Ghazali is only used for difficult situations. Ibnu Abd Al-Syukur defined *ijtihad* as "the utilization of one's power to find a conclusion of *syara'* laws to the level of *zhanni'* so that one feels he cannot do more than that." Al-Badawi, the expert of *ushul fiqh* from the discipline of *syafiiyah* defines *ijtihad* as "the utilization of one's full power in order to define the laws of *syara'*." Zein and Zahrah defines *ijtihad* as "Optimally utilizing one's power to define the laws of *syara'* and to implement them."

The field to implement *ijtihad* is the uncertain problems (*zhanni'*) in their relations with Al-Quran and Hadits (Zein, 2003:245-250; Zahrah, 2011: 567-570). *Ijtihad* will generate various ideas and formulas needed in a life of a Moslem in terms of responding to various strategic issues in the national life, including the issues of democracy, Pancasila, human rights, and civil society. Due to the limitation of human power, *ijtihad* as an effort can be conducted individually, although ideally it should be done collectively, particularly concerning public matters, while praying to God to guide humans to "the righteous path" (Abdillah, 1999: 83).

Nurcholish Madjid also based his opinions on the practices of *al-Khulafa' al-Rasyidun*. Quoting Robert N Bellah, he stated that during the periods of al-Khulafa' al-Rasyidun leadership, Islam displayed a form of modern political life, in the sense that there was universal political participation of the people, the leadership recruitment system is based on personal talent and expertise, not based on special status obtained from kinship. This was considered as a very modern idea for that time, and the failure of which can be explained by the change into the Umayyah monarchy system. Just like egalitarian and participative society, he was also of the view that the classic Islam periods, as shown by the Prophet's leadership and the wise Caliphs (al-Khulafa' al-Rasyidun), are the embodiment of a fair, open, and democratic society, as explained in the modern concept of society and politics (Madjid, 1999, pp. 114-115).

The thoughts of Nurcholish Madjid concerning democracy are born from the fact that he supports the democratization of Indonesia. He was one of the Moslem thinkers that managed to find the conformity between the values of Islam and democracy. In his book, *Pintu-Pintu Menuju Tuhan*, he criticized the implementation of democracy in Indonesia in which people who talk loudly about democracy whose it wrongly to to trick the people and become dictators. Nurcholish Madjid states:

"After half a century of independence, talking about democracy in our country is like visiting an antique house, . . ., the antique democracy in Indonesia is not the basic ideas; it is the controversy. In the history surrounding the proclamation [of Indonesia's independence], we find that the issue of democracy had been a hot topic of debate among the founders of the Republic. We knew their slogans: "council," "representative," "people," "board," "musyawarah," etc. There are also more contemporary slogans: "delegation of authority,' "rule of law," "majority rule and minority right," and many more. We knew them all. However, we cannot honestly say that we truly understand their meanings, let alone describe exactly how each of those claiming democracy behaves" (Madjid, 1995: 256).

Furthermore, he went ahead to give an example how Bung Karno, with his rhetoric ability, to defend democracy but he fell with an accusation of being a dictator because he allowed the people to make him into a holy individual (Madjid, 1995, p. 257). For Nurcholish Madjid, democracy is a political system that has to be developed. Political stability can only be achieved by the implementation of democratic authority. "The character of a stable democratic authority, is that it has a high chances to keep on being democratic and a low chances of experiencing social violence disruption, both openly and discreetly (Madjid, 1999, p. 5). The continuance of a system, order, legitimate power, and effectiveness are the signs of stabilization of democracy. He does not deny that democracy is hard enough to implement in a plural society. This is because the political consensus or social uniformity is an important factor for the stabilization of democracy. "Each form of valid and strong political structure, particularly democracy, requires shared bonds in the form of basic loyalty, a more touching commitment, a warmness in people's heart, among others, instead of merely a series of procedures" (Madjid, 1999, p. 7).

According to him, a consensus in politics does have a risk because democracy becomes unhealthy with too many consensus. Therefore, a stable democracy requires a natural balance between consensus and disparity, or even conflict. However, the conflict has to be aimed to a learning process for solving difficulty problems (Madjid, 1999: 12). In balancing the consensus and conflict, a capable leader is required, with the political will of the leader also playing a role. Leaders not only lead people but also learn from them. It might happen that a leader acts to "flatter" people. However, it should be avoided at all costs. The good will of the leader has to be realized in real action, like in formulating the action, the leader has to accommodate people's freedom of speech in a dialog to realize a shared commitment and responsibility (Madjid, 1999: 14-15).

On the case of pluralism in Indonesia, he believed that Islam can guarantee the continuation of democracy. It is inseparable from the inclusive characteristic of Islam, which requires a system that benefits all parties. In its history, Islam practiced values like the principles of religious tolerance and freedom of having religion, the principle of appreciation of other groups' cultural legacy, appreciation of personal rights, and positive attitude towards science (Madjid, 1999, pp. 54-55). According to Nurcholis Madjid, democracy allows the existence of open rules in a game of politics, which will in turn allow the political system of Indonesia to implement an open monitoring system on government actions and abuse of powers. The monitoring element is important because in the attempt to realize the constitutions, there will certainly be conflict of interests (Madjid, 1999, p. 70).

However much, democracy flourishes in the process of Indonesian's daily life, there is a gap between the Indonesian society condition and the democratic aspirations, therefore, the process of democratization should always be promoted. In that sense, a society can be called democratic if the democratic values are always developed. The values include the appreciation of human rights, the freedom of speech, the freedom of having company, and the order and fairness of law, and the fair opportunities for all (Madjid, 1999, p. 71). In his opinion, Nurcholish Madjid aimed at showing that democracy is a dynamic category. Democracy becomes identical with the process of democratization. This makes even the most democratic country become undemocratic if it stops pursuing and promoting the values of democracy. In the context of Indonesia, the achievement of a better quality of democracy can only be realized if there are attempts to make the democratic values concrete (Madjid, 1999, pp. 101-103).

Nurcholish Madjid states that democracy needs a strong opposition. As to him, democracy without strong opposition, without balance of political power, will become limp, like a car with a flat tire. He developed the idea of the importance of balance from a teaching in Islam, that God creates the earth with the concept of balance; that if God did not create balancer (equalizer) between people, the strong will destroy the weak. Hence, the implementation of this religious value in politics creates the concept of opposition—an idea that is totally not interesting for the New Order Regime. However he consistently put forward this idea. In 1992, in a seminar in Jakarta, he voiced it again. He noted that the opposition is important and that the political parties (PPP and PDIP) are the main actors. This opinionwas declined by the Army Commander, Try Sutrisno, and the Domestic Minister, Rudini. This was also the same with even the leaders of PDIP and PPP, whom he calls as opposition, they also strongly declined the idea (Gaus, 1992, p. 260).

A healthy democracy, according to Nurcholish Madjid, requires *check and balance*. There has to be the power that monitors and the power that balances. He leans on the philosophical value that people cannot be correct all the time, therefore a system to remind each other of what is right and what is wrong has to be established. He further states that in a society, there should be a mechanism to change ideas, or in a more sophisticated form, "a freedom of speech, freedom of education, freedom of press, etc" (Gaus, 1992, pp. 260-261).

Nurcholish Madjid puts democracy as a principle, system, or rule of the game in politics, as well as a way of life, therefore, closely relating democracy with civil society. According to him, democracy shows one of its faces in the general election. However, it should not stop there. Democracy should "live" among the people. Such people are the ones called the civil society, which constituents the many companies, alliances, and federations that join together to be the shield between the nation and its people (Gaus, 1992, pp. 144-145).

In reality, civil society is more than a mixture of various associations. It requires the quality of civility, without which the social environment will only consist of factions and secret societies that fight each other. Civility involves tolerance, willingness to accept various personalities, differences, and to accept that a problem might be unsolvable (Gaus, 1992, pp. 147-148). According to Nurcholish Madjid, although civil society can function as an opposition to government, the government must keep doing its function as the hand of the law, policy makers, and as the power to put society in order. This is because the civil society is not a government and cannot perform these functions (Gaus, 1992, pp. 149-150). In his concept concerning democracy as a form of principle and rule of the game, Nurcholish Madjid shows a sound opinion, where he argues that democracy as a political system relevant for Indonesia should be supported and fought for.

In his thoughts concerning democracy and civil society, he provided a perspective for realizing democracy beside the general election. In the context of Indonesia, he seemed to suggest that the nation doing its functions by fighting certain groups is a relevant thing. This is supported by reasoning that, without control from the nation, the groups in civil society will act and oppose the government as they please. This opinion is inseparable from his understanding of Islam because his premise is based in the belief that democracy is not contrary to Islamic values.

4.3 The Effect of Nurcholish Madjid's Civic Socio-Cultural Movement in Empowering Democracy, Civil Society and Civil Virtues in Indonesia

The effects created by the civic socio-cultural movement in developing and empowering democracy and civil society in Indonesia is significant and critical. It is proven by the success of civic socio-cultural movement, which together with students' movement dethroned the authoritarian regime of New Order in 1998. The existence of such socio-cultural movement, turned Indonesiaed from the era of democracy with authoritarian power into the era of transition democracy, to enter the era of reformation. In 1999, Indonesia entered the era of reformation, in which all elements of the nation were made free to voice their opinion and political affiliation, as shown by the formulation of so many political parties.

In the context of developing and empowering democracy and civil society, the contribution of Nurcholish Madjid's thoughts and socio-cultural movement is evident. History records show his role in the process of democratization, which resulted in the fall of New Order authoritarian regime and the coming of reformation era. He even planned to join the convention of president candidate from the Golkar party. Although he did not join the political game, the platform he developed, i.e. the ten platform of change, was used by the president candidate then, Susilo Bambang Yudhoyono, who was elected to be the president of Indonesia in 2004.

The concept of Civil Society of Nurcholish Madjid is in line with the concept of society that was developed by the Prophet Muhammad in Madina, as described by Mahmud Muhammad Thaha—a thinker and fighter in Sudan that died during the Numeri regime in 1985. As civil society is a part of the ways to gain a noble life, this is also in line with what Islam teaches its followers.

According to Mahmud, there are two ways one has to go through to achieve a noble life (Thaha, 2003, p. 187). First, it can be achieved through the good or humane society (civil society), i.e. the civilized society, is one level above the cultured society; which is based on the religious morality awareness; or at least on the morality and legal awareness. Secondly, it can be achieved through scientific (academic) education which can get one to optimize his individual efforts, so that he can free his natural talent of the legacy of fear.

To realize the civil society, Ustadz Mahmud notes that it should be based on three equalizations (Thaha, 2003, pp. 187-188): first, the economic equalization (*al-musâwah al-iqtishâdiyyah)*, which is called socialism in modern society, in the sense that all men have a right upon the earth's product; second, the political equalization *(al-musâwah al-siyâsiyyah)*, which is called democracy in modern society, in the sense that all men have rights based on their daily obligations; and the third, the social equalization *(al-musâwah al-ijtimâ'iyyah)*, which in certain boundaries is a result of the two previous equalizations.

The clear signs of this are the eradication of classes, differences based on skin color, beliefs, ethnicity, and gender. Among the individuals there should not be any differences based on any considerations. One human being has no superiority over the others, save that based on reason and morality, striving for justice, providing good advice for citizens, both secretly *(bi-al-sirr)* and explicitly *(bi-al-'alâniyyah)*, and the spirit to serve the greater good.

The social equalization aims to eradicate classes, in the sense of eliminating the gap between the elitists (*mustakbirin*) or the rich (*aghniya'*) with the proletar *(mustadl'afin/dlu'afa', fuqara' wa-al-masakin)*, eradicating the differences between the cities and villages, by providing the equal opportunities to go through the process of civilization *(al-madaniyyah)* and cultural development *(al-hadlârah),* so that the marriage between individuals in the society (collectivity) becomes a common thing. These are the measurements used in determining to what extent the social equalization has been achieved (Thaha, 2003, p. 193).

Nurcholish Madjid's opinion concerning the civil society is in line with the opinion of Amien Rais that the term refers to a form of society founded by the Prophet Muhammad when he moved to Yatsrib—later which later became Madina. In Nurcholish Madjid's explanation, the word Madina was used by the Prophet as an indication that in the new place an orderly and law-abiding society will be developed and realized (Madjid, 1999, p. 72). Nurcholish Madjid and Amien Rais played an important role in empowering civil society for democracy, for instance in fighting authoritarianism of Indonesia prior to Soeharto's rule in 1966 (Azra, 2010, p. 3).

Nurcholish Madjid, besides other Indonesia's Moslem intellectuals (like Ahmad Syafii Ma'arif, Jalaluddin Rakmat, Amien Rais, M. Dawam Rahardjo, and M. Taher Azhary), seemed to accept the elements of democracy introduced by Hook, Schumpeter, Schmitter and Karl; i.e. the power of majority, the voice of people (political participation), and the free and responsible election (Abdillah, 1999, p. 92). However, a main problem emerges when comparing the Islamic democracy and Western democracy. The problem is that the will of people under the secular, liberal democracy, can be implemented fully, while in Islam democracy, the will of the people can only

be implemented as long as it does not violate the rules of the God (Abdillah, 1999, p. 92). Concerning this, Nurcholish Madjid believed that it is true that there are God's rules in Al-Qur'an and Sunnah that should be obeyed and cannot be altered by the will of the people; however, the same concept applies in Western democracy, for example in the USA. He stated that in the USA there is the Declaration of Independence which should be referred to as the highest source and foundation of law, which cannot be altered by the will of the people (Abdillah, 1999, pp. 93-94).

As stated by Masykuri Abdillah, the Moslem intellectuals in Indonesia, including Nurcholish Madjid, accepted and even supported democracy in terms of political realism that is merely in the practical sense of contemporary use. However, in the philosophical sense, they still agree that the supremacy of God's rule (*syariah*) is the basic standard, a source of highest power. Therefore, Abdurrahman Wahid's concept of democracy seems different when compared with Nurcholish Madjid's concept of democracy.

Cak Nur's style as well as model of implementation of the ideas and concepts of democracy and civil society are stricter because they are supported by Western theories and Islamic literatures. In fact, Cak Nur's works concerning democracy and civil society always contain references and footnotes. Cak Nur's model of democracy and civil society can only be understood by certain groups, particularly the upper-middle class, and academicians. Meanwhile the concept of democracy and civil society of Gus Dur's is easier to comprehend by all people.

The transformation has been supported by the huge number of young intellectuals emerging from the Islamic Boarding School environment, and manage to get opportunities to get modern education, especially from Western institutions. The concrete example is Nurcholish Madjid. Hidayat says that the emergence of three Islamic students from Jombang, i.e. Nurcholish Madjid, Abdurrahman Wahid, and Emha Ainun Najib, who have been so productive developing the discourses of Islam, politic, and culture, has brought the image of Islamic students as a power to be considered by academicians and cultural society in Indonesia (Hidayat in Suhanda, 2010, p. 4).

As stated by Abdillah (1999: 23), generally, their support for democracy is based on two reasons: first, the values of democracy are in line with the values of Islam in the social life, particularly the principle of discussion (*musyawarah*) (QS. Ali Imran [3]: 159, dan QS. [42]: 38); second, the system of democracy is the appropriate way to deliver the aspirations of Islam, because Moslems in Indonesia are the majority, this puts it in line with the concept of majority rule in democracy. Viewed from the theory of contemporary Islamic political thoughts concerning the relationship between religion (Islam) and the nation (politics), the thoughts of Nurcholish Madjid and Abdurrahman Wahid concerning democracy and civil society clearly belong to this paradigm.

As described in Chapter II, concerning the relationship between Islam and the nation or politics *(al-dîn wa-al-dawlah atau al-dîn wa-al-siyâsah)*, there are three categories of relationship between religion and politics, as stated in the classification of Sjadzali and Syamsuddin: *First*, the conservative/traditionalist group who thinks that Islam is a perfect religion to manage human life, including the national life. Therefore there is no reason to separate the two. Among the figures of this group are Rasyid Ridha and Al-Maududi; *Secondly*, the modernist group, who thinks that Islam does not have a detailed system of nation. However it contains the values of ethics of national life. The prominent figure of this group is M. Husein Haikal; *Thirdly*, the secular group who thinks that Islam has nothing to do with the nation because according to this group, Muhammad never lead or built a nation. The prominent figures of this group are 'Ali 'Abd al-Raziq and Thaha Husein.

In the context of these three groups or paradigms, both of the figures (Nurcholish Madjid and Abdurrahman) can be categorizes into the second group, i.e. the modernist group, who thinks that Islam does not have detailed system of a nation but contains the ethical values of national life, including democracy (the system of *syûrâ* or *musyâwarah* or discussion) (Kurzman, 1998, pp. 29-36). However, for the current context, Abdillah states that the supporters of the modernist group and traditionalist group tend to be categorized as the neo-modernist or revivalist group. Revivalist group is a group of people who defends the revival of Islam in its earliest form when it led the civilization of the world. Although some thoughts of the revivalist group in Indonesia are inspired by Islamic fundamentalism, the revivalist in Indonesia still accepts Pancasila as the foundation of the country. Currently, there is no visible difference between these various thoughts, particularly among the Indonesia's Moslem intellectuals. Nobody is exclusively nationalist or modernists due to the strong interaction among the groups (Abdillah, 1999, pp. 12-13).

What Cak Nur's thought of during his life has profoundly impacted on the development of Islamic values and Indonesia as a whole. Cak Nur is not only a Moslem thinker, he is also a caring Indonesian who shows his real and practical effort in developing the civility of citizens with the civic socio-cultural movement. The effort he conducted through looking and finding the solutions for various problems of the country, including discussions

about the relationship between Islam and the nation. Therefore, the term of "National teacher" is suitable for Cak Nur. After his demise, Cak Nur left a legacy of his thoughts and good reputation.

Cak Nur can be used to provide examples of people like Aristotle or Socrates who are still remembered although they had been dead for more than 2500 years. In this context, the thoughts and the civic socio-cultural movement of Cak Nur's will always inspire the next generations in developing Islam as a peaceful religion. The empowerment of personal quality of civility of the citizens is still a big problem for Indonesian. In many of their works, the ideas of people like Aristotle and Socrates can be said moving through time and are still relevant. Therefore, Cak Nur's ideas might not be for today's generation, but for the next generation. In other words, the product of their thoughts skips through many generations.

The important points of Cak Nur's thoughts, according to Budhy Munawar-Rachman, can be viewed with in the categories proposed by Charles Kurzman, who stated that there are six most controversial issues in the Islamic world nowadays: the issues of theocracy, democracy, gender or feminism, pluralism, freedom of thought, and how to accept the ideas of advancement. Of the six issues, Cak Nur's ideas encompass all frameworks. His ideas and movements differentiated between religious matters and national matters. Their included "*pribumisasi* (localizing)," pluralism, religious inclusiveness, substantive Islam, humanism, freedom of thoughts, and making Pancasila into a final foundation of the nation. Pancasila is a common platform for the various religions in Indonesia. All religions can share their values, which can be transcended to be accessed by anyone. In the context of Islam, he tried to use the thought of universalism of Islam as a religion, which can be made as an inspiration for any religious person in Indonesia, or even the world.

At the level of individuals, the individual's ethics can get wider and become public ethics and political ethics, something fundamental in national life. Cak Nur does not recommend the strict doctrinal aspect in understanding Islam, particularly concerning the issue of *mu'amalah*. Here, Cak Nur and Gus Dur differentiate between the formalistic-symbolic pluralism with the substantial pluralism. Cak Nur and Gus Dur oppose the excessive symbolism in practicing religion, much as they do not negate the importance of symbols either, becausewithout symbols, people are not able to reach the divine. However, Cak Nur is concerned about the stronger formalism of religion in national life, moreover with the emergence of religious radicalism and fundamentalism. Therefore, the Islamic understanding and practice should be realized in the form of religious behavior of *hanifi'atus samhah,* a practice of being tolerant towards differences. The pluralism in Indonesia, as Cak Nur always states, is the *rahmatan lil 'alamiin* Islam; i.e. Islam for everyone, which opposes all forms of formalism, fundamentalism, and radicalism.

5. Conclusion

Nowadays, there are still many Moslems who want to show the monotonous face of Islamic politics to oppose other political powers, particularly Western powers who are taken as supporters of Christians and Jews. They believe that Jews and Christians will not accept the existence of Moslems as it happened in the beginning of the Islamic history and stated in Al-Qur'an (QS 2 Al-Baqarah: 120). On the contrary, Cak Nur believes that the verse is delivered in particular for the Prophet Muhammad in Madina when he faced the militant groups of Jews and Christians. The main motivation of Jews' treachery towards the Charter of Madina was not religious; it was politically motivated; and the Prophet's move against them was not based on the religious reasons but on the political considerations.

Cak Nur didnot want to display the monotonous Islamic politics and see the Charter of Madina as a justification for the manifestation of inclusive Islamic politics, i.e. the Islamic politics that emphasizes the substantial values of universal Islam, like fairness, justice, equality, freedom, and *syura'* (democracy). He was highly critical of the formal form and political symbols of Islam which are frequently implemented to abuse the substance of Islamic values itself. He further believed that the universal values of Islam are in line with the values of human rights in the 1948 Declaration of Human Rights, so that he does not view Western countries as enemies, but as friends. However, this alone leaves the need to develop the concept of human rights from the Islamic environment to fight against the process of secularization as happens in the Western culture.

The civil sociocultural movement of Cak Nur's describes him as a visionary, committed, and caring citizen who cares about the problems of citizenship. Hence, being visionary is taken as one the realization of Cak Nur's real role. He Cak Nur basically put the values of Islam as *shâlih likulli zamân wa makân* (Islam that is relevant for every place and every time). What Cak Nur developed was Islam with in its universal values, in order to show that what are prominent and great in the current views, and the genius inventions of modern humanity, are not strange things in Islam. He showed that the issues related with the development of science, democracy, civil society, and other citizenship issues had well been the focus of classic Islam scholars in the middle age.

The critiques of the neo-modernist group towards the modernist group are like the critiques of the neo-revivalist group toward the old modernist group such as Muhammad Abduh, Muhammad Iqbal, et cetera. It is as if they want to say that what is good for the Western countries is Islam. In fact, that is also conducted by the neo-modernists like Fazlur Rahman, the teacher of Cak Nur, who attempts to relate all those phenomena with the Quranic foundation and strong Islamic tradition. He looked at history and reality, but he always saw that the positive reality supports the greatness of Islam; for instance, in the claim that Islam has always been respecting pluralism. The historical facts he quotes came from Western experts like Bernard Lewis, and Bertrand Russel. He also quotes Cyril Galsse who wrote *The New Encyclopedia of Islam.*

Cak Nur quotes Cyril who states that at that age (the 7th century), for the first time, a verse (Al-Qur'an) underlined the virtues of other religions, the first form of inclusivism. Cak Nur can be considered a theology, whose job was to create theological visions, but sometimes they are not historical. It means that a lot of real problems are not directly expressed. He always wanted to leave the problematic things in the past of Islam and move from a visionary al-Qur'an. According to the researcher, the system of democracy is not a final system; it always changes according to the demand of society's development. Therefore, the researcher argues that democracy cannot fully realize the goal of social welfare for all Indonesian, as stated in Pancasila, if democracy is implemented only in formalistic ways. Democracy has to be implemented, not only to satisfy its procedural dimension, but also to satisfy its substantial dimension. One of the elements of democracy, i.e. the general election, cannot create fairness and equality among the citizens of Indonesia and the realization of justice in the sense of the acts that represent balance or proportional measure.

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Beneficial Ownership: To What Extent It Complies with *Shari'ah*?

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Abstract

This paper is a preliminary research on studying the application of beneficial ownership in Islamic financial products. It aims at investigating the meaning of beneficial ownership and its recognition in the *Shari'ah* perspective. This paper starts with identifying the meaning of *milkiyyah* (ownership) and its characteristics in the Islamic law and followed by the discussion on beneficial ownership from legal perspective. The study emphasizes on the historical and theoretical aspects of beneficial ownership. It then critically elucidates the meaning of beneficial ownership and its use in commercial transaction as to ascertain whether its use is in compliance with the requirements of ownership in *Shari'ah*. Analysis is done via the method of *takyif fiqhi* (*fiqh* characterisation) on the use of beneficial ownership. Some *Shari'ah* issues would be examined carefully by comparing the views of classical jurists and then supported by modern jurists. Finally, the study suggests that the beneficial ownership should be considered as real ownership since it is exclusively used in registration and legal documentation because *Shari'ah* has allowed the transfer of ownership based on a sole basis of contract.

Keywords: beneficial ownership, *milkiyyah*, Islamic finance, contract, law

1. Introduction

The Islamic finance market has witnessed tremendous growth during the last few years. It is believed that *Shari'ah*-compliant assets worldwide reached approximately $1.4 trillion at the end of 2011 and are likely to continue growing in the coming years (Standard and Poor's Ratings Services, 2012). This immense growth in recent years has been driven by the needs of individuals, governments and corporations for better alternatives to conventional finance.

The government of Malaysia has vigorously promoted the growth of Islamic finance for its local markets (Ariff & Rosly, 2011; Balala, 2011). However, the process requires effort and attention when structuring financial products and services. The techniques and processes employed to develop these products must comply with *Shari'ah* principles and concepts. The principles presented within the spectrum of *Shari'ah* are not only directly demonstrated through their transactions but in the extent of its comprehending the *Maqasid al-Shari'ah*.

It has been a long-standing criticism that Islamic financial products resemble conventional financial ones (Ayub, 2007; Beck et al., 2010; Dusuki & Abdullah, 2011). One of the criticisms relating to *Shari'ah* that have been hotly debated is the recognition of beneficial ownership in financial structuring and mechanics. This has been argued as a violation of the concept of ownership as envisaged in *Shari'ah*, which in turns, contradicts the *Maqasid al-Shari'ah* (Al-Amine, 2011).

This issue has become apparent because Islamic finance is also required to observe similar regulatory and legal frameworks applied to conventional finance. This poses a challenge to Islamic finance to operate within the *Shari'ah* framework. This paper elucidates the meaning of beneficial ownership in Islamic finance within the purview of the *Shari'ah* framework. In order to this, it will address the question to what extent the beneficial ownership is claimed to be in conformity with the *Shari'ah* requirements of ownership? The paper begins with an explanation of the concept of ownership from the *Shari'ah* perspective. It is followed by an analysis of the meaning of beneficial ownership as intended in the Common Law, and its use in commercial transactions. Subsequently, this paper discusses *takyif fiqhi* (*fiqh* characterisation) in relation to beneficial ownership.

Henceforth, an analysis is made on certain *Shari'ah* issues that may arise from the use of beneficial ownership.

2. Ownership in Shari'ah: An Overview

Ownership, etymologically, is known in Arabic as *milkiyyah* (ملكية) or *milk* (ملك), which signifies holding a thing and the ability of exploiting it (Fairuzabadi, 1953). Ibn Manzur (1956) mentions that the terms *malk*, *mulk* and *milk* refer to the state of containing a thing, and the ability to dominate and dispose of. Sometimes the word *milk* is used to connote the property itself, which is owned and controlled by a person (Al-Muslih, 1988).

Technically, it can be defined based on different ways of understanding, i.e. (i) ownership can be understood as a legal nature of something that has a consequent effects, (ii) ownership can also be seen as a relationship between an owner and the owned property, and (iii) ownership can be defined by looking at its legal effects on the owned property. Table 1 below illustrates the differences of the technical meanings of ownership (*milkiyyah*) as articulated by jurists in the Islamic *fiqh* literature.

Table 1. Technical meaning of ownership from *Shari'ah* perspective

Scholars	As legal nature (*haqiqah shari'yyah*)	As legal relationship (*alaqah shar'iyyah*)	By looking at its legal effect (*ala asas dhikr mawdu'ihi*)
Hanafis			
Ibn al-Humam			√ (*qudrah ala al-tasarruf*)
Ibn Nujaym			√ (*qudrah ala al-tasarruf*)
Sadr al-Shari'ah		√ (*ittisal shari'iyy*)	
Malikis			
Al-Qarafi	√ (*hukm shar'iyy*)		
Ibn al-Shat			√ (*tamakkun al-intifa'*)
Shafi'is			
Al-Subki	√ (*hukm shar'iyy*)		
Abu Shuja'		√ (*ikhtisas*)	
Hanbalis			
Ibn Taymiyyah			√ (*qudrah ala al-tasarruf*)

According to the Hanafis, ownership is "*a legal ability (or authority) given originally/primarily to a person that allows him or her to dispose of a property except if there is a legal impediment*" (Ibn al-Humam, n.d & Ibn Nujaym, 1968). Some Hanafis (Sadr al-Shari'ah, n. d.: v. 2, p. 196) define it as "*a legal relationship between a person and a thing which gives him an absolute freedom to dispose of it to the exclusion of everyone else*". Al-Qarafi (1998: v. 3, p. 208), a prominent scholar of Malikis views it as "*a legal ruling (i.e. authority) over an asset or usufruct given to someone that allows him to benefit the owned item and to accept compensation of it as well*".

Al-Subki (1991: v. 1, p. 76) opines that ownership is something immaterial (*amr ma'nawiyy*), where he defines it as "*a legal ruling over an asset or usufruct given to someone that allows him to benefit from it and to accept compensation of it as well*". Some Shafi'is such as Abu Shuja' has defined it as '*ikhtisas*' or a legal exclusivity over a useable item (Al-Muslih, 1988). An eminent scholar of Hanbalis, Ibn Taymiyyah (2002) defines it as "*a legal ability justifying the right of disposal of the asset*".

From the above, one could suggest that under the *Shari'ah* law, the ownership basically refers to four important attributes:

i. A legal and exclusive relationship between a person and a thing (Note 1). Such thing could be a tangible asset ($a^c yan$) or intangible asset ($manafi^c$).
ii. The main purpose of its exclusivity is vesting the owner to process the use of the owned thing and to dispose of.
iii. The ability of using and disposing of the owned thing could be hindered by legal impediment.
iv. The ability of using and disposing of could be given primarily (*ibtida'*) or secondarily through agency (*wakalah*).

Hence, the ownership, as generally accepted, is an exclusive relationship between the owned object and its

owners, which gives the owner the right to deal with what he owns in any way that is not legally forbidden.

3. Beneficial Ownership from the Common Law Perspective

Historically, the origins of the concept of beneficial ownership can be traced back to the English law specifically the English Trust Law from the 12th to 13th century. This was recognized by many researchers such as Cervantes (2009) and, Weeghel (1998). They observed that the term is perceived as an opposite of the concept of legal ownership. In point of fact, it arises from the principle of equity as opposed to the Common law (Brown, 2003; George, 1999).

Brown (2003), for example, while examining the concept of beneficial ownership in the Income Tax Act of Canadian Law, suggests that the terms beneficial owner, beneficial ownership and beneficially owned are developed from the law of equity. This is true because the history of trust in the UK was developed from the principle of equity which brings about the concept of equitable remedies (Note 2), defenses and causes of action. Brown (2009) continues to say that originally, the common law adopted the view that ownership was indivisible. However, equity allows the division of ownership into legal ownership and beneficial ownership.

Equity is a system of law that has its root in the English law and applied in the Malaysian law. According to Black (1968: 198) equity denotes '*the spirit and the habit of fairness, justness and right dealing which would regulate the intercourse of men with men*'. It is derived from the Latin term *Acquitas* (equality). When law causes hardship and injustice, equity comes to assist the law to reach as near as possible natural or ideal justice. In other words, common law is a set of law that is commonly used and recognized in a society, while equity is used when there is a lacuna in the common law. The law of equity has brought the words "beneficial owner", "entitlement", or "interest(s)", implying the notions of a fiduciary obligation.

In the history of a legal system, equity is a body of rules governed by the Court of Chancery (Note 3) prior to the existence of Judicature Act 1873 (Martin, 2001). It was initially presided over by Lord of Chancellor and soon afterwards by the Court of Chancery, which was different from the Court of Common Law. Equity was believed to be more harmonious as opposed to the Common law in providing fairness and justice by ensuring its rules were in compliant with current needs of a particular society (MLJ, 1990). Historically, before the arrival of Normandic to England in year 1066, the law was governed by the customary practice. During that time, the King had full authority in administering law matters. The most significant implication of the arrival of Normans was the introduction of the Common law system. The King's Court (*Curia Regis*) (Note 4) was established to hear cases that brought in based on the principles of the Common law.

Nonetheless, the administration of the law was still labelled as weak and rigid. This was due to several defects of the common law. For instance, an injured party could only sue at the Common law if his complaint came within the scope of an existing writ (Note 5). The scope was very narrow, and subsequently some people were not be able to take legal actions in obtaining their rights (Rashid & Hingun, 1999). In other words, justice was not achieved due to such defects. In such situations, it was a practice of aggrieved citizens to make an appeal or petition to the King for assistance. Since the petitions had increased, the King passed on them to the *Curia Regis* and a committee was set up to hear the petitions. The hearings were chaired by the Chancellor. By the 15th century, the Chancellor began to hear petitions on his own and after that the Court of Chancery was established and became an institution independent of the King. The law that used by the Court was called equity.

Originally, the term beneficial ownership can be found in the agreement of land's sale in the Common law countries. Kryzhanovskaya (2012) points out that it was used to distinguish between two legal owners, namely the beneficial legal owner and the non-beneficial legal owner. It seems that both were legal owners where the former was the one who can benefit from it, while the latter did not. In the legal tradition of the common law, the function of ownership was divisible into different people. From this, the terms nominee, legal owner and beneficial owner arose. In line with this, the concept of beneficial ownership was applied in the law of equity where reference is made to equitable or beneficial ownership as opposed to legal ownership.

Generally, the meaning of legal ownership is akin to the meaning of trustee in trust law. According to the English law's tradition, a trustee is the legal owner of the trust property. However, when beneficial ownership is applied outside of the scope of trust law, then an accurate interpretation becomes problematic in the common law countries such as Malaysia. (Note 6)

It is very important to note here that beneficial owner generally has the most ownership's attributes, but he does not have the legal title. Hence, what is the purpose of not giving a legal title to beneficial owner? This study addresses this issue and examines whether the use of beneficial ownership is in line with the *maqasid al-Shari'ah* in the Islamic commercial contracts (*uqud al-muamalat al-Islamiyyah*). Therefore, a *takyif fiqhi* or

fiqh characterisation of using beneficial ownership concept is used in this article. In this regards, it is very pertinent to examine the existence of beneficial ownership in commercial transactions before making a *takyif fiqhi* upon the concept.

4. Beneficial Ownership in Commercial Transactions

Generally, commercial transactions in Malaysia are governed by the English law and not by the Islamic law. Even though Islam is considered a religion of state in the Federal Constitution, it does not consider Islamic law within the meaning of the word law. In other words, the intention in making Islam as the official religion of the Federation is primarily for ritual and ceremonial purposes. However, this does not mean that Islamic law is completely discarded as the Federal Constitution provides that certain aspects of Islamic law are applicable to persons professing to the religion of Islam.

According to the Federal Constitution, it appears that the position of Islamic law does not cover any Islamic commercial transactions. The power to legislate on matters pertaining to Islamic law lies with the State Legislatures subject to the Federal law. Matters concerning commerce and trades including banking and finance are placed under the Federal List and not under the State List.

Therefore, there have been disputes between Islamic law as practised in Islamic finance and English law. A lot of works, meetings, discussions and seminars have been organized in developing *Shari'ah*-compatible law to support its implementation and, documentation, and settle disputes. For example, Bank Negara has set up a Law Harmonisation Committee to address several concerns of the disputes in Islamic finance that occur between Islamic law and English law (Law Harmonization Committee Report 2013). However, there are still areas that need to be tackled. Since the governing law in Islamic commercial transaction is English law, then the law must also be made *Shari'ah*-compatible.

According to the Report made by the Law Harmonisation Committee, beneficial ownership is defined as "*a person who enjoys the benefits of land ownership even though the land title is in another's name*". The definition indicates that beneficial ownership is mainly related to land matters. There are 5 main issues that have been identified as relevant to Islamic finance (Note 7). One of them is the issue of recognition of beneficial ownership. The Committee has produced some recommendation with regard to the issue. More specifically, the Committee has recommended to expand the concept of trust caveat under section 332 and 333 National Land Code (NLC) as an alternative instrument to reflect beneficial ownership as it is able to serve as a notice to the world that the caveator has an interest in the land.

However, from the Shari'ah perspective, more importantly is that the utilisation of the concept of beneficial ownership should be analysed first. As such, this would be conducted via the method of *takyif fiqhi* or *fiqh* characterisation. In doing so, one should distinguish between movable property and immovable property (Note 8). Any commercial transactions dealing with both types of properties are governed by a number of different acts. (Note 9) Hence, this paper shall analyse beneficial ownership according to both types of property.

4.1 Movable Property

According to Black's Law Dictionary, Edition 9th, movable property can be defined as "property that can be moved or displaced, such as personal goods; a tangible or intangible thing in which an interest constitutes personal property; specifically anything that is not attached to land as to be regarded as a part of it as determined by local law". Under the definition of "Islamic leasing business", IFSA 2013 provides that movable property includes any plant, machinery, equipment or other chattel attached or to be attached to the earth or fastened or to be fastened, permanently or otherwise, to anything attached to the earth. In a simple meaning as stated in the Interpretation Acts 1948 and 1967, it means all property other than immovable property.

In Malaysia, there are two main legal acts governing any commercial transactions of movable property, namely Sale of Goods Act 1957 (SOGA) and Contracts Act 1950 (CA). It is worth to note that SOGA does not govern immovable property where SOGA has defined goods as every kind of movable property other than actionable claims and money; and includes stock and shares, growing crops, grass and things attached to or forming part of the land which are agreed to be severed before sale or under the contract of sale (Note 10).

Under the SOGA, S. 4 (1), a contract of sale of goods is defined as a contract whereby the seller transfers the property in goods to the buyer for a price. This means that transfer of ownership is the very objective of the sale contract. The ownership of the goods is transferred to the buyer for consideration. For example, Ahmad agrees to transfer the ownership of his car to Bakar. Thus, Bakar has to pay RM 10000 for a price of the car. This is a simple sale contract through which the ownership passes to the buyer. However, the issue that arises is when the ownership is passed from the seller to the buyer? Is there any transfer of title (i.e registered ownership) or

registration of the ownership?

Generally, in the Common law as stated by Childs (1914), the ownership of specific goods in a deliverable state is passed to the buyer when the contract is made, provided the contract is not conditional; and this results in the ownership even though the price has not been paid nor the goods delivered. The same principle has been clearly mentioned in the SOGA where Sec. 21 provides: "*Where there is unconditional contract for the sale of specific goods in a deliverable state the property in the goods passes to the buyer when the contract is made, and it is immaterial whether the time of payment of the price, or the time of delivery of the goods or both, is postponed*". For example, a buyer agrees to buy goods on credit. The property in goods passes immediately to the buyer when the contract of sale is made, even though the payment is postponed.

Similarly, according to SOGA, Sec. 19 (1), in the sale of the specific goods or ascertained goods, the property in goods is transferred to the buyer when the parties intended to it to be transferred. Sec. 19 (2) clarifies that the intention of the parties could be determined by conduct or circumstances.

It is important to mention that in movable property transaction, there is no need for registration except in the case of sale of vehicle because it involves the specific act, i.e. the Road Transport Act 1987. It clearly defines registered owner as the person registered as the owner of a motor vehicle. Sec. 7 (1) states that no person shall possess or use a motor vehicle unless that vehicle is registered in accordance with this part. Furthermore, if the contract is hire-purchase, then it relates to the Hire-Purchase Act 1967 (HPA) (Rusni Hassan et al., 2012).

As for other than vehicle, there is no registration of ownership needed. Thus, a question arises how to recognize the ownership of a property in a commercial transaction. In practice (Note 11), typically there are certain documents involved in a transaction of movable property. These documents are typically used to ensure to whom the ownership of the property goes. Two documents are mainly used, namely, Delivery Order (D/O) and Invoice. Both are issued by the owner that intends to sell his/her property. Once the buyer has signed the acceptance of the D/O, it means that the title of the purchased property is passed on to the buyer although the transaction is by credit. In the case of sale by credit, the ownership is considered transferred, but the buyer assumes the indebtedness of the payment. However, some transactions are made conditionally by inserting terms and conditions. For example, the transfer of legal ownership shall be made upon the full payment of the price or upon the settlement date. In this situation, the purchaser is normally considered a beneficial owner of the property.

It can be said that under the Malaysian law system, any commercial transaction that involves movable property, there are two main legal acts governing the transaction, i.e. Contracts Act and Sale of Goods Act. Whilst the former provides general provisions on designing a contract including sale, the latter is a specific act for a sale contract of movable property. As for the transfer of ownership, in practice, there is no registration of the ownership required (unless in the transaction of selling and buying vehicle). However, beneficial ownership could be exist in the situation where the sale contract is made by credit and there is a specific term in the agreement providing the transfer of ownership shall be made upon the settlement of the full price. In this circumstance, the ownership of the purchaser can be claimed as a beneficial ownership (Note 12). Equally, when the delivery of the goods is being postponed, the ownership is still regarded as transferred. The purchaser can be considered the beneficial owner from the legal perspective.

4.2 Immovable Property

Immovable property is legally known as real property or realty which is defined by Childs (1914) as *land or things therein, or annexed therein, the space above the soil and certain interests in any or all of these*. Typically, this property cannot be moved such as land, building, house and anything attached to land (Awang, 1994).

In Malaysia, there are three main special legal provisions that govern any commercial transaction relating to the land, namely, National Land Code 1965 (NLC), Contracts Act 1950 (CA) and Law of Equity. It is worth noting that NLC is based on the Torrens System, which is a registration system. However, Sabah and Sarawak are still using the system derived from the English law of England known as Law of Conveyance. (Note 13)

The implication of the difference between Peninsular and East Malaysia can be best seen in the effect of transfer of ownership. Under the NLC, the transfer of ownership of land would be completely done via registration at the Land Office. As for Sabah and Sarawak, it can be proven by a memorandum of transfer and not by registration. Essentially, NLC emphasises the aspect of land's registration of title in Malaysia. This is clearly stated in S. 89 (a) NLC:

> ***89. Conclusiveness of register documents of title***
>
> *Every register document of title duly registered under this Chapter shall, subject to the provisions of this Act, be conclusive evidence-*

> *(a) that title to the land described therein is vested in the person or body for the time being named therein as proprietor;*

This special law also introduces the concept of indefeasibility of title, which lies in the registration and conclusive evidence can be drawn from it. It is stated in Sec 340 (1) of NLC:

> *The title or interest of any person or body for the time being registered as proprietor of any land, or in whose name any lease, charge or easement is for the time being registered, shall, subject to the following provisions of this section, be indefeasible*

This is central to the system of registration of dealings under the Torrens System (Note 14). The question arises whether beneficial ownership can be recognised as complete ownership under the NLC as it only recognises registration system. In other words, it can be said that NLC does not recognise the concept of beneficial ownership.

For example, one has bought a piece of land and paid the full price, but the title of the land still remains under the name of the seller. This is because registration of the title typically would take time to be complete. In this situation, one may ask whether NLC recognises the purchaser as the real owner of the land although the title of the land is still yet to be registered under his name. What is the legal provision that can be used in order to determine the ownership of the purchaser over the land?

In this regard, the answer lies in the use of law of equity because NLC does not recognise the concept of beneficial ownership. However, equity may be applied to NLC especially when it comes to the commercial law. When the legal title has not been transferred to the new owner (i.e. the purchaser of the land), then what is the status of the beneficial owner from the legal perspective? In this situation, the concept of bare trust is applicable. George (1999), in his book, claims that bare trust can be regarded as a remedial device and an applicable concept in the land law in Malaysia.

The concept of bare trust is built on the rules of equity. Bare trust comes into existence once a valid contract for sale is concluded without delivery of possession and/or transfer of title in the formal sense. Thus, the vendor becomes in equity a trustee for the purchaser and holds the estate as long as the title is not passed on the purchaser (Rashid & Hingun, 1999). To conclude, when a purchaser performs whatever is necessary to affect the transfer of ownership (paid the full price/did instrument of transfer), he is then the beneficial owner, while the seller becomes a bare trustee till the title has been registered.

5. *Takyif fiqhi* of Beneficial Ownership in Commercial Transaction

From the discussion above it can be said that beneficial ownership in commercial transaction is applicable in movable property as well as immovable property. Both are governed by different legal acts as mentioned above. Before analysing the *fiqh* characterisation (*takyif fiqhi*) on the concept of beneficial ownership in commercial transaction, an explanation on the principle of transfer of ownership in Islamic law of sale contract (*aqd al-bay'*) is very noteworthy.

In Islamic law, every sale contract will involve transfer of ownership. This idea is unanimously agreed and shared by Islamic scholars of all *madhahib* as stated by al-Kasani (Note 15) (1986), Ulayyash (Note 16) (1989), al-Nawawi (Note 17) (2002) and Ibn Qudamah (Note 18) (1985). It should be noted that Islamic law does not distinguish the sale of both movable and immovable property. Both have to comply with the rules of *aqd al-bay'* (sale contract) as dictated by *Shari'ah*. Al-Nawawi (2001), a noted scholar of Shafi'is, confirms that the property of the object of sale, whether it is movable or immovable, is passed on as soon as the contract of sale has been concluded. In other words, the ownership is immediately transferred upon *ijab* (offer) and *qabul* (acceptance). Hence, both seller and buyer must perform their contractual obligations where the former shall deliver the object of sale, while the latter must pay the price of the object.

However, it is important for a buyer to take possession (*qabd*) of the object of sale. The *qabd* is central to the sale contract since it is prohibited for a person to sell what he does not possess (Lahsasna, 2014) where it can be in the form of actual or constructive possessions. It is also important to determine the liability of the underlying asset due to damage and loss. As long as the object of sale in possession of the seller, the risk of loss is his responsibility. Al-Nawawi (1991) asserts on this crucial rule and explains:

> للقبض حكمان . أحدهما : انتقال الضمان إلى المشتري . فالمبيع قبل القبض من ضمان البائع ، ومعناه أنه لو تلف انفسخ العقد وسقط الثمن

Meaning: "There are two rulings triggered by *qabd* (possession); the first one is the passing of *daman* (liability) to the buyer. The object of sale falls under the liability of seller before possession takes place. This implies that if the object is destroyed, the contract will be revoked and the price is dropped".

In fact, the offer and acceptance (*ijab* and *qabul*) can be expressed verbally or by other means that convey the consent of the contracting parties. It is not necessary to be documented and written unless for the purpose of registration and security. However documenting the contract is considered a recommended act in Shari'ah.

Thus, an analysis on *takyif fiqhi* of beneficial ownership in both movable and immovable property will be based on this Shari'ah principle, i.e. the transfer of ownership is affected by the *ijab* and *qabul*. The discussion on the *takyif fiqhi* is as follows:

5.1 Takyif fiqhi of Beneficial Ownership in Movable Property

Movable property in Islam is known as *mal manqul*. It is a property that can be moved from one place to another and it can be destroyed. Normally, movable property will perish after being consumed (Awang, 1994). In term of *takyif fiqh* of the use of beneficial ownership for movable property, it should be highlighted that there is no expression and statement of beneficial ownership in both main governing laws, i.e. SOGA and CA. Both laws only focus on the contract or agreement itself. Generally, the ownership is considered transferred upon the making of the sale contract, which is an offer and acceptance. This can be inferred from Sec. 21 SOGA where it clearly states: *"... the good passes to the buyer when the contract is made*". This statement is consistent with the Shari'ah law. In fact, in the Common law, a contract law permits the transfer of property ownership on the sole basis of an offer and acceptance. This principle of transfer of property ownership in the Common law is derived from the Islamic law. This idea is best understood from the comprehensive seminal work conducted by Makdisi (1998) when he proposes that the origins of the Common law may be found in Islamic law.

However, in practice, sometimes the price is postponed or the contract is made by credit. In this situation, the transfer of ownership is considered to have occurred, but it creates indebtedness upon the buyer. With regard to the ownership transfer, sometimes the contract is being stipulated with certain conditions such as a condition of the settlement of the full price. From the legal perspective, if the contract is conditional upon the settlement of the full price, then it can be said that the contract only gives rise to beneficial ownership. (Note 19) After the full price is paid, legal ownership shall be transferred to the buyer.

According to *Shari'ah* law as discussed earlier, the ownership is deemed transferred when the contract is made. Therefore, if the payment of the price is deferred, the ownership should be fully transferred. In addition the beneficial owner/buyer is restricted from the disposal of the asset to a third party. The question arises when the contract only gives rise to beneficial ownership. Therefore, it is important to critically evaluate the substance of beneficial ownership through the method of *takyif fiqhi.*

Based on the analysis over the Shari'ah texts, there are four inter-related concepts, i.e. *rahn, khiyar naqd, bay al-wafa'* and *shurut taqyidiyyah*. The comparative discussion of these concepts will be divided into three parts for the *khiyar naqd* and *bay' al-wafa'* is elaborated together for their similarity.

5.1.1 Analysis of the *rahn* Concept

As mentioned earlier, giving the beneficial ownership instead of legal ownership somehow indicates that the sold good has been pledged by the purchaser to secure the full payment. This type of transaction can be equated to the contract of *rahn* (pledge). The question that could be raised here is whether the ownership of the pledge is transferred or not. What are the legal effects of a contract of sale, when the sold good has been pledged?

According to the Shari'ah texts, in *rahn*, the owner,i.e the pledger cannot sell the pledge except with the permission of the pledgee because the seller has a right over the property. Besides that, the Shafi'is and Hanbalis maintain that the ownership of the pledged property and its benefit belong to the pledger (buyer). Accordingly, the pledgee cannot benefit from the pledged property (Abozaid & Saleem, 2013; Al-Zuhayli, 2002). It is not permissible to pledge other's property without his permission.

According to the *maqasid* point of view, the delivery and receipt of pledged property should not be viewed in a ritualistic manner. Essentially, the main objective of pledged property is to provide insurance to the pledgee, who is thus empowered to extract the debt owed to him from the pledged property. In this regard, al-Zuhayli (2002) views that contemporary civil legal provisions to establish a legal mortgage of some property by announcing it and documenting it with legal authorities accomplish similar effect of the contract of *rahn*.

Thus, the modern use of beneficial and legal ownerships in legal documentation may replace the type of receipt required in classical jurisprudence, if the purpose of using this modern term as an insurance against a debt. Furthermore, the legal owner is considered a trustee, and this can be equated to the original ruling of pledgee in classical fiqh.

In the discussion of *bay al-taqsit* (sale contract via instalment), the sixth session of the Islamic Fiqh Academy of

OIC has resolved:

لا يحق للبائع الاحتفاظ بملكية المبيع بعد البيع، ولكن يجوز للبائع أن يشترط على المشتري رهن المبيع عنده لضمان حقه في استيفاء الأقساط المؤجلة.

Meaning: "There is no right for a seller to maintain the ownership of the good after the contract of sale is made, but it is allowed for him to stipulate a condition on the buyer to pledge the good with him to secure his right in claiming the deferred price".

5.1.2 Analysis of the *khiyar al-naqd* and *bay wafa'* Concept

Since there is a similarity and overlapping relationship between *khiyar al-naqd* and *bay al-wafa'*, this analysis on the *khiyar naqd* will be done together with *bay al-wafa'*. According to some scholars, *khiyar naqd* is considered a kind of stipulation made by the contracting parties in a sale contract (Abidin, 1966; Al-Zuhayli, 2002). *Khiyar al-naqd* is approved by Abu Hanifah and his two disciples (Muhammad and Abu Yusuf) on the ground of *istihsan* (juristic preference) for fulfilling the needs of public (Al-Zuhayli, 2002).

The two forms of *khiyar al-naqd* are as follows:

The first form: A seller says to a buyer, "I sold to you this item on the condition that if the payment is not being made up to a certain period, then the sale contract will be void". This is similar to the concept of *khiyar al-shart*.

The second form: A buyer says to the seller, I bought this item from you at a certain price on the condition that the contract will be void, if you pay back the full price within a certain time period". This form of *khiyar al-naqd* is similar to the *bay al-wafa'*. Therefore, some Hanafis classify *bay al-wafa'* to be under the *khiyar al-naqd*.

The issue in question is what are the effects of this stipulation on the sale contract from the perspective of ownership in the Islamic law? The Hanafis scholars have discussed this sale extensively. There are three general positions on this matter. Despite their differences, they agree on its permissibility due to people's need (Abozaid & Saleem, 2013). Some Hanafis view that in *bay al-wafa'*, the buyer will become the owner of the item and can use the property as well as benefit from it until the seller repurchases it for the same price.

Some of the Hanafis, however, argue that this contracts is a voidable (*fasid*) sale, thus both the seller and buyer may cancel it, while some have contended that it is not a sale, rather a mortgage. As such, there is no transfer of ownership of the property to the buyer-cum-lender. Accordingly, the buyer cannot use and benefit from it unless he reveives permission from its owner.

Meanwhile, a third position suggests that bay' *al-wafa'* is a contract by itself; having shared features of both sale (*bay'*) and mortgage (*rahn*). As stated by Ibn Abidin (1966), al-Zayla'i confirms that the preferred fatwa in Hanafi's school of thought is that *bay' al-wafa'* is a valid sale because some of its effects and rulings are present such as the permissibility of benefiting the sold object. The only restriction is that the buyer cannot sell it to a third party.

In other words, the sale has effectively transferred the "beneficial ownership" of the property to the buyer, though the "legal ownership" of the property remains with the seller. This view is reflected in Articles 118 of the *Majallah al-Ahkam al-Adliyyah*. Interestingly, this later view on the true character of *bay al-wafa'* resembles the popular type of modern Islamic securities issuance, i.e. *Sukuk ijarah*. In *Sukuk ijarah*, the issuer will first sell its asset to the investors, and receives the cash money. Then, the investors lease the asset back to the issuer and at the same time, promises to buy back the asset from the investors. In practice, the first sale contract will only transfer the beneficial ownership. Therefore, the investors cannot sell the asset to third parties.

5.1.3 Analysis of the Al-Shurut Al-Taqyidiyyah

In *Shari'ah*, if the purchaser who is the beneficial owner can utilise his/her property in the sense that he/she may dispose of the good, the beneficial ownership is deemed as good as true ownership. The right to sell is one of the *muqatadayat al-bay'* (implications of sale contract). If the purchaser is not able to resell his purchased property, then this is considered a restriction on ownership. Whether or not *Shari'ah* acknowledges this restriction, one must look into the details as discussed by *fuqaha'* under the issue of *taqyid al-milkiyyah* (restriction on ownership) or *al-shurut al-taqyidiyyah*.

Literature discussion conveys that the issue of restriction of disposal of the owned asset is debated by the classical Shari'ah scholars. This issue is peculiar in the contract of transfer of ownership such as sale contract. Generally, the views of the scholars in this issue can be summarized into three major opinions (Al-Abbadi 1974):

The first view: A majority of *fuqaha'* believes that it is completely prohibited to stipulate a condition to restrict from the disposal of the purchased asset. This view relies upon the narration that the Prophet (pbuh) has

prohibited a sale with a condition (Al-Buhuti, 2003; Al-Nawawi, 2001; Ibn Qudamah, 1985). Furthermore, stipulating a restrictive condition is not in line with the *muqtada al-aqd* (the original implication of the contract).

The second view: The view of some Malikis (Ibn Juzayy, n.d.) and one opinion attributed to Ahmad which was favoured by Ibn Taymiyyah (1995) is that it is permissible to stipulate a condition of restriction of disposal provided that it is a minor restriction. This view is based on the *qiyas* (analogy) by equating this stipulated condition with the permissibility of exempting certain benefits of a purchased good by an agreed condition as clearly shown in the hadith Jabir (Note 20). Ibn Taymiyyah (1995), a prominent Hanbali scholar, explains in his fatawa:

وجماع ذلك أن الملك يستفاد به تصرفات متنوعة، فكما جاز بالإجماع استثناء بعض المبيع، وجوز أحمد وغيره استثناء بعض منافعه، جوز أيضا استثناء بعض التصرفات

Meaning: "The gist of such is that the ownership essentially grants various kind of disposition. Since there is a consensus that it is permissible to stipulate an exemption of certain goods and as Ahmad and others have allowed stipulating an exemption of certain benefit of goods, then he has also allowed excluding certain disposal acts.

Moreover, minor restriction should not be considered harmful or causing damages to the purchaser since it is not a total interdiction. However, this restriction could be beneficial for him especially when there is a harmful consequence if the condition is absent.

The third view: Ibn Shubrumah is of the view that it is permissible to stipulate all types of *shurut* (conditions). Hence, it is allowed to complete restrict the purchaser from disposing of the asset (Al-Karkhi, 1989). This is a liberal approach where it also relies on the hadith of Jabir and some hadiths that permit stipulating *shurut* such as the hadith: "Muslims are bound by their stipulations".

Perhaps, it can be said that there is a generally accepted principle in Shari'ah allowing a person to be an owner of a property, but without the right to dispose of it via sale or gift. This principle is well-known in the *waqf*. According to the Malikis, the property of *waqf* is owned by the *waqif* (founder), but he is not allowed to dispose of this property via sale or gift (al-Dalw 2009).

From the abovementioned, it can be said that the original ruling of the ownership should not impose any restrictions on the owner. However, according to the second view, the purchaser can be restricted from disposing the purchased good provided that the restriction is not excessively imposed on him. Nevertheless, permitting the total restriction would be consistent with the view of Ibn Shubrumah. Perhaps, Ibn Shubrumah did not intend that the parties in the contract may freely stipulate such a condition. At least, his view should be construed as an opinion that can be practiced when the *maslahah* requires such a condition. In other words, the motivating factor for such restriction should be legally valid and legitimate from the Shari'ah perspective. The *maslahah* for creating such a condition could be solely for the benefit of the contracting parties or third party.

Interestingly, this view could also be understood from the statement attributed to Ibn Taymiyyah (1995):

فإذا كان الملك يتنوع أنواعا وفيه من الإطلاق والتقييد ما وصفته وما لم أصفه : لم يمتنع أن يكون ثبوت ذلك مفوضا إلى الإنسان يثبت منه ما رأى فيه مصلحة له ويمتنع من إثبات ما لا مصلحة له فيه . والشارع لا يحظر على الإنسان إلا ما فيه فساد راجح أو محض . فإذا لم يكن فيه فساد أو كان فساده مغمورا بالمصلحة لم يحظره أبدا

Meaning: "If the ownership can be diversified according to its types such as absolute and restricted ownership as what I have mentioned and what I haven't mentioned, then it is not prohibited that creating such a condition is the right of a person, whereby he can stipulate it whenever he sees a *maslahah* for that thus, it is prohibited to create such when the *maslahah* is not there. The Shari'ah does not prohibit a person to do something except things that have excessive or pure *fasad* (harm). If there is no harm or the harm is overwhelmed by the *maslahah*, then the Shari'ah law will never prohibit it.

5.2 Takyif fiqhi of Beneficial Ownership in Immovable Property

Immovable property in *Shari'ah* is known as *mal aqar*, which can be defined as every property that cannot be moved from one place to another such as land and building (Badran 1973, Awang 1994). It is worth to note that there is no difference between sale of movable property and immovable property except in the form of *qabd* (possession). Thus, the earlier discussion is also applicable for immovable property.

In terms of *qabd*, it can be defined as *hiyazah* (controlling) and *tamakkun* (having the power or ability) (*al-Mawsu'ah al-fiqhiyyah*, 1994). In general, the jurists have categorised *qabd* into two forms: *qabd haqiqi* (actual/physical possession) and *qabd hukmi* (constructive possession). Furthermore, they have differentiated between the ways of *qabd* for movable property and immovable property.

Basically, the scholars have unanimously agreed that the *qabd* for movable property is effective when the buyer receives or takes the goods with his hand upon paying the price especially for the small goods such as watch and clothes. This is called in fiqh as *tanawul bi al-yad* (taking by hand). Al-Sharbini (1997) states:

وإن كان المنقول خفيفًا، فقبضه بتناوله باليد

Meaning: "If the movable property is light, then its possession is done via taking by hand". The same intent has been shared by al-Buhuti (2003) where he views:

ويحصل القبض فيما يتناول، كالجواهر والأثمان بتناوله، إذ العرف فيه ذلك

Meaning: "The possession would be achieved for things that can be taken by hand such as gems and money as a customary practice".

As for immovable property, the *qabd* should be done through *takhliyyah wa tamkin* (i.e. granting the purchaser access to the goods without any hindrance and restrictions). They only differ in regard to the certain conditions. The *takhliyyah wa tamkin* is usually exemplified by giving a key (in the case of house). Al-Sharbini (1997) says when clarifying the *qabd* of immovable property:

وقبض غير منقول من أرض وشجر ونحو ذلك بالتخلية لمشتر، بأن يمكنه منه البائع ويسلمه المفتاح

Meaning: "And the possession of immovable property such as land, trees and the like would be done through *takhliyyah*, i.e. granting the purchaser access to the goods by giving the key".

Giving a key is only an example for taking possession in the past. The way of qabd actually should be determined by the *urf* (the custom). Therefore, the scholars have classified *qabd* under the legal maxim:

كل اسم ليس له حد في اللغة، ولا في الشرع، فالمرجع فيه إلى العرف

Meaning: "Every name which is not defined literally or technically in Shari'ah will be dependent upon the *urf* (custom)"(Ibn Taymiyyah, 1995).

It is for this reason that possession of things has differed in accordance with the nature of things and differences among people with respect to things (AAOIFI, 2008).

In analysing the *takyif fiqhi* of beneficial ownership in immovable property, it is very important to look into the scope of transactions as provided in the law. There are three main laws that govern the immovable property in Malaysia, i.e. National Land Code 1965 (NLC), Contract Acts 1950 (CA) and Equity.

NLC only concerns with two things in any transactions with respect to the land, the use of instruments; the registration of those registrations in accordance with the Sec 292 of NLC. NLC does not concern itself with the significance of the contract, but it is actually governed by the Contract Act.

Historically, the practice of registration of land ownership in Islam was essentially for the purpose of taxation (Awang 1994). In Islam, registration is not a compulsory. Instead, it is a highly recommended act in order to secure the ownership of a person. However, registration can be considered crucial in the modern time, especially when a very large sums of money is involved. It is more effective in providing evidence of each party's rights and obligations. Hence, it could be changed from being a recommended act to a mandatory one based on *maslahah* due to the changing attitudes of mankind. It can prevent and resolve future disputes that may arise from any transactions.

As discussed earlier, legal ownership in immovable property means a registered ownership (Note 21). However, if the contract has been executed between a seller and buyer, ownership is deemed transferred though the legal title still remains under the seller's name. The buyer is considered a beneficial ownership based on the law of Equity. Nevertheless it is recommended for the buyer to register his name to protect his right over the property.

Thus beneficial ownership is recognized as a true ownership in Shari'ah. If the beneficial owner is restricted from certain rights over his property, then the three *takyif fiqhi* as stated in movable property are applicable to immovable property as well.

From the above mentioned, it could be concluded that the transfer of ownership in Islam immediately occurs once the offer and acceptance have been signed. Moreover, this principle is also shared by the Common law, which actually inherited it from the Islamic law. Historically, the emergence of the beneficial ownership was because of the transaction involving a transfer of ownership of immovable property (*mal aqar*) whereby the property (i.e. the land) became a trust in the hand of a transferee. In current practice, however, the beneficial ownership is used in the transaction of selling and buying a land when the title has not yet been registered under the new owner (i.e. purchaser). In line with the concept of bare trust, although the original owner (i.e. seller) still holds a legal title of the alienated land, he is only regarded as a trustee. This suggests that the beneficial owner is

the real owner. From the legal perspective, it is called beneficial owner because the registration of the title is not being done while the contract is already settled and signed. The trust in the concept of bare trust is actually a constructive trust.

Therefore, since beneficial ownership is could be real ownership, then its use in financial products should be scrutinised carefully. Legal implications of *milkiyyah* as required in Shari'ah must be reflected in the beneficial ownership. Hence, in general, the beneficial ownership is used only for the purpose of registration, but its application in Islamic financial product must be evaluated based on a case by case basis.

6. Conclusion

Based on the above discussion, it can be said that the emergence of the beneficial ownership is because of the transaction involving a transfer of ownership of immovable property (*mal aqar*) whereby the property (i.e. the land) becomes a trust in the hand of a transferee. It also relates to the historical development of equitable principle in law, and specifically what is embodied in the trust law. Thus, originally, the term "beneficial owner" was used in the context of sale of land. Nevertheless, the scope of its use has been widely implemented which includes movable property.

In the context of finance including Islamic finance, the term "beneficial ownership" is not only exists in dealing with land, rather it also involves sales of commodities and vehicles. In the land matters, beneficial ownership comes into the picture when the real owner is still in the process of registering the ownership in the land office. However, in the case of Islamic finance, it is still ambiguous and vague. Thus, it needs to be re-evaluated in order to identify whether it fulfils the characteristics of *milikyyah* as required by *Shari'ah*. In addition, the application of beneficial ownership in the Islamic finance should be critically analysed based on a case by case basis, simply because contracts underlying the Islamic financial products differ from one to another.

Hence, in general, it can be said that beneficial ownership could be recognised as real ownership provided that it fulfils the required characteristics of *milkiyyah* in Shari'ah because *Shari'ah* has allowed the transfer of ownership based on a sole basis of contract. This view can be considered as more harmonious provided that all the documentation and agreement of the contract made are in accordance with the *Shari'ah* rulings.

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Notes

Note 1. Exclusivity refers to the right of the owner to exclude others from posting claims to similar use rights on specific property. This is what has been termed by scholars as "*ikhtisas hajiz*" (al-Qudsi, al-Khafif & al-Zarqa).

Note 2. According to Wikipedia, "equitable remedies are judicial remedies developed by courts of equity from about the time of Henry VII to provide more flexible responses to changing social conditions than was possible in precedent-based common law".(see more details in http://en.wikipedia.org/wiki/Equitable_remedy). The remedies are considered as the remarkable contributions of equity because it is the '*add on*' of the legal remedies. They aim at enforcing rights and their common features are discretionary depending on the inadequacy of common law remedies (Rashid & Hingun, 1999).

Note 3. Chancery is synonymous and interchangeable with equity (Black, 1968).

Note 4. ***Curia regis*** is a Latin term meaning "royal council" or 'king's court". It was the name given to councils of advisors and administrators who served early French kings as well as to those serving Norman and later kings of England (Wikipedia, 2014). It was also known as Aula Regis from which all the Courts of Justice have emanated (Osborn, 1927).

Note 5. Writ is "a document in the King's name and under the seal of the Crown, a Court or an officer of the Crown, commanding the person to whom it is addressed to do or forbear from doing some act". An original writ was anciently the mode of commencing every action at Common law (Osborn, 1927).

Note 6. There used to be difference between common law and equity. Common law was regarded as technical and rigid but equity was not. Equity was the moral element, the 'moral curtain' of the law. Equity followed the law. Today, the two concepts could be considered fused and the latter has been accused of being rigid as the

former (see. Andrew Grubb (1983), Review of J. D. Heydon, and R. P. Austin 'Cases and Materials on Equity and Trusts' The Cambridge Law Journal, 42, pp. 159-161).

Note 7. This issue has been raised by *Jabatan Ketua Pengarah Tanah dan Galian* (JKPTG) in the Consultation Paper (CP) on Review of the National Land Code 1965 where it covers 4 parts with 21 issues and 31 questions.

Note 8. Basically, according to the English law, property was classified into real property (realty) and personal property (personalty). Real property, theoretically, and in most cases actually, is immovable and permanent; while personal property, on the other hand, theoretically, and in most cases actually, is movable and temporary (Childs, 1914).

Note 9. Interview with Mr. Aminurasyed bin Mahpop, Faculty of Law, UKM on 3rd Sept 2014.

Note 10. The followings are excluded from being goods under the SOGA, namely land, actionable claims and money.

Note 11. Interview and discussion with Mr. Aminurasyed bin Mahpop, Faculty of Law, UKM on 3rd Sept 2014.

Note 12. Interview with Nik Mohd Radhia, an advocate and solicitor at Messr ALDA SHUKRI KHAIRI & ASSOCIATES on Sept 17, 2014.

Note 13. Interview and discussion with Mr. Aminurasyed bin Mahpop, Faculty of Law, UKM on 3rd Sept 2014

Note 14. This can be seen from then case Teh Bee v K Marithamuthu [1977] 2 MLJ 7. In this case, Ali Ag. CJ (Malaya) has decided that registration is everything under the Torrens System and it was regarded as a conclusive evidence in land matters.

Note 15. He mentions that sale contract is a contract of exchange, i.e. transfer of ownership for another's transfer of ownership and delivery for another delivery (عقد معاوضة تمليك بتمليك وتسليم بتسليم) . See al-Kasani, *Bada'i al-sana'i*, vol 11. p. 198.

Note 16. Ulayyash notes that the reason for including the phrase "without consideration" in the definition of hibah because to exclude sale contract since it is a contract of transfer of ownership with consideration. See Ulayyash, *Minah al-jalil sharh mukhtasar al-khalil*, vol. 17, p. 93.

Note 17. al-Nawawi defines sale contract as the exchange of property for another property or the like for transferring ownership (al-Nawawi, *al-Majmuk*, vol. 9, p. 149).

Note 18. Ibn Qudamah defines sale contract as the exchange of property for another property for taking ownership (تملكا) and transferring ownership (تمليكا). (Ibn Qudamah, *al-Mughni*, vol. 6, p. 5).

Note 19. In Islamic finance, this is usually being practiced such as in treasury products involving selling and buying commodities. Thus, in legal documentations of such products, under the title transfer, there will be a condition states: "*the beneficial ownership of the Commodity shall be deemed to have been transferred to you upon acceptance of this Seller's Offer .....On the Settlement Date, we shall transfer legal title of the Commodity to you and this will reflected in the Commodity Account*.

Note 20. Jabir bin Abdullah narrated that he was once travelling on his camel which had become so slow that he intended to get rid of. The Prophet passed by (after Jabir told him the story), and poked the camel with his stick, and asked Jabir to ride it again. The camel was much faster that it had ever been before. The Messenger of Allah then said to Jabir, "Sell it to me for one *uqiyah* (ounce) of gold." Jabir said, "No". He again said, "Sell it to me for one *uqiyah* of gold". Jabir says, "I sold it for one *uqiyah* and stipulated that I should ride it to my house". When we reached (Madinah) I took that camel to the Prophet and he gave me its price. I returned home but he sent for me (and when I went to him) he said, "Do you think I asked you to reduce the price to take your camel? Take your camel and your money it is all yours". Agreed upon and this is Muslim's version.

Note 21. According to the Public Ruling published by Inland Revenue Board of Malaysia or LHDN, legal owner is defined clearly as the person whose name is registered or documented as proof of ownership. For land asset, legal owner is the person whose name is on the land grant.

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Rise and Fall of Development: How does Hadith Views on Economic System?

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Abstract

As many as 40% of the population that categorized poor people in the world on which their income less than 2 US dollar per day is the result of the existing applied economics theories and they have failed to obtain sustainability and stability condition. The economic theory that is now developed mainly use positivism approach where normative assessment dispensed. This paper attempts to re-open the history back into the 6th century, where the Prophet Muhammad (pbuh) tried to develop the economy of the state using concept taken from the hadith (prophetic tradition). This concept is the very roots of the improving Islamic economics theory nowadays that comes up to be the best alternative concept to replace upon the fail conventional theories. Qualitative approach through document analysis of relevance references as well as historical approach use to observe the economic development in the eye of hadith.

Keywords: economic, development, hadith, Zakat, justice

1. The Fallen of Economic Theories

Current conventional economics theory has dominated modern economic thought and has become a discipline that is very advanced and sophisticated. It is inevitable that conventional economics theories have gone through along development process or more than a century and have contributed greatly to the progress of human life materially, especially after World War II. But in its development, conventional economics has failed retain their idealism. Ideal conditions that the assumptions used in conventional economic theory never reached. Even in the last half century, the conventional economy continued to show weakness. The failure of the capitalist economy could no longer be covered up; the capitalist system is indeed already succeeded in creating a modern society such as today, unfortunately the number of people who were able to raise only a small part not entirely. Still, as many as 40% of the population in the world are categorized within come less than 2 USD per day.

The New Economics Foundation (NEF), a research institute based in the UK, states about the relationship between growth in income per capita with the proportion or share of the growth enjoyed by the poor. They discovered and proved that in the 1980s, for every increase of 100 US incomes per capita of the world, the poor only enjoyed US 2.2, or about 2.2percent. Thus 97.8 percent enjoyed by the rich. Later in the period1990to 2001, any increase in income per capita of$ 100US, the percentage of which is enjoyed by the poor only 60cents, or about 0.6 percent. While the rest, namely 99.4 percent, enjoyed by the rich (Woodward & Simms, 2006).

One of the factors that led to the destruction of capitalism is the greediness of the rich. For example, if you have 1million ringgit, because in the modern economic system there is interest, then what would you choose, open a second shop or stored it to the bank? Most of people will put it in the bank for a reason at maturity level it will earn interest. You do not need to work, do not sweat and you get the money easily. But the question is if all the money goes to bank then who will produce goods? Eventually goods and services became less in the market, and if goods become scarce then prices will rise. If the price is high then it can only afford by of those who have more wealth.

The economic theory that is now developed mainly use positivism approach. Positivism is a philosophy that believes the true knowledge is based on the actual physical experience while normative assessment dispensed. Even human values do not be allowed in scientific activities, which only scientific operations might exist. Normative statements merely provide guidance where talking about how the world should be and does into

account because sometimes a normative statement is strongly influenced by factors that are not rational factors such as culture and religion.

Why these theories have met dead ends? This is the evidence of a very limited human being because God gives science a bit, but we felt completely out so that the ultimate truth is restricted to the area of empirical, rational, and perceived experiences and sensible. Turns out it was wrong, we forget that this world contain seven loaded with some of existence that are unseen and cannot be solved by logic. Economic concept, the concept of monetary, financial concept, business concepts, concepts of management and accounting in fact contain faults and weaknesses. As a result we get into the trap of our own beliefs which has led to the creation of instability situation, crisis, economic and financial turbulence as well as the financial economic system that we experienced today repeatedly and it is getting worse.

2. Outcomes of Economic Development in Conventional Thinking

Galbraith (2007) in his book *The New Industrial State* stated that the consumption of goods has been the greatest source of pleasure and as benchmarks of the highest human achievement. As the results such are hedonism behavior, materialism and consumerism hit almost all aspects of society. Thus, the excessive increasing desire is only to fulfill the needs of individuals both in the form of material and gratification of desires itself. This can be said as a result of the phenomenon of modern capitalism. High economic growth according to the concept of the capitalist economic system needs to be re-examined. In fact, improvement of the well-being does not followed by the distribution of welfare. These conditions resulted in a widening gap of socio-economic between the rich and the poor.

According to Mishan (1967) in his book *The Cost of Economic Growth*, there are signs of increasing symptom anomalies such as stress, depression, frustration, loss of confidence, alienation between parents and children, divorce and anarchic actions. Tension spreads everywhere more than harmony, injustice become more obvious than justice. In addition, it turned out that the phenomenon of the increase in the volume of goods and services cannot contribute to human happiness. The ultimate happiness lies in the peace of mind, which is not merely only a function of the material but also spiritual state. Unfair income distribution makes people continue to suffer and unhappy. People are never satisfied and never willing to fulfill responsibilities to others. As a result, the level of social solidarity and moral have weakened and degraded.

Bell (2008) expressed on the modern capitalist system that there is a combination of three main forces, such greedy bourgeois, democratic political community and individualistic spirit, have failed to answer all the problems above. Even what the Marxism ideology has offered was not able to provide solution, because the real causes of human problems is not a class struggle, but moral degradation. No doubt, that Marxism played an important role in underestimating the moral aspect, together with its role in encouraging consumerism tendencies. Though, system of Marxism also has failed to solve almost all the problems faced by capitalism.

Moreover, according to Possumah, et al. (2012) the notion of economic development is very spacious and it is getting more accurate with pursuing in time. And among widely accepted indicators of economic development could explain as below:

2.1 Real National Income as an Index of Development

The national income as an index of economic development according to development Economist; Simon Kuznets, Meier and Baldwin. The country's total output of final goods and services refer to the term "Real National Income" rather than in monetary terms. But this indicator has certain inherent problems such as changes in growth of population and value of money. For example, if rate of population growth is higher than the rate of increase in real national income, economic development retards instead of advancement.

2.2 Increase in Per Capita Real Income

The use of rates of growth in per capita GNP was another index of economic development. Prior to the 1970's development was assessed on the basis of per capita income. Therefore development strategies have focused on rapid industrialization at the cost of rural development and agriculture. In this case, the problems of unemployment and inequality of income are given only secondary importance. And similarly, improvement in literacy rate, health condition and housing, these social indicators were given only casual importance. Thus, some countries witnessed falling standard of masses' living of irrespective of increasing in per capita income. In addition, many rich people instead of sharing the fruits of development with the poor people.

2.3 The Modern Views on Economic Development

In terms of elimination of poverty or reduction, inequality and unemployment along with increase in GNP was

redefined during 1970‘s economic development. The common-slogan announced as *Redistribution from Growth*. Even the World Bank, which used to emphasize economic growth as a goal of development during 80’s, shifted its emphasis to a better quality of life. A development economist, Todaro (1977) wrote development must therefore be conceived of as a multi-dimensional process involving major changes in social.

Hence, from these indicators, the objectives of economic development may be measured and its successful will be achieved if: (i) Expand the range of economic and social choices, or to free oneself from human misery, ignorance, and servitude (ii) Increasing of the availability and widen basic needs of the people such as food, shelter, health and protection. (iii). Raising standard of living, which means raising income, providing more jobs, better education, and greater attention to cultural and humanistic values.

3. Economic Development on Islamic Economic Views

Islamic economics is fundamentally different from other economic system in terms of form, style and purpose in which meet human needs in the world and the hereafter (*al-falah*) where this system is based on the Qur'an and Hadith. Thus, the presence of Islamic economics wanted to show a better economic system than the system of capitalist-socialist who wanted to provide a way out of suffering due to the economic system which has been very detrimental to the community, especially to the poor.

Possumah, et al. (2012) stated that characteristically, Islamic concept of economic development is comprehensive and integrated development which includes the development of the moral, spiritual and material. Aspects of moral, spiritual, material, social and economy cannot be separated in order to achieve socio-economic development in Islam. Economic development become a goals oriented activity and values towards improvement the well-being of human life in all its dimensions. The concept of economic development is enlarged to become a comprehensive concept. In the light of these, three main goals of development policy have been identified: (a) Human resource development (b) Expansion of efficient and useful production and (c) Improvement in quality of life. The main criterion on which economic development as an experience of human civilization *“has to be judged ultimately”* is *“in terms of what it does to the lives of human beings”* (Sen, 1988). Furthermore, Possumah et al. (2012) offers more detail that the objective of economic development in Islam is to achieve *al-falah* in the world and in the hereafter. This concept means that each standards quality of life shall be accompanied with the intent or purpose to have the pleasure of Allah. As submitted by members of Islamic economist, therefor the outcomes of economic development in the framework of Islam are as follows:

3.1 Human Resources Development

In this case, other than moral and spiritual strength, development must take into account the proper attitudes and aspirations, character and personality development, education and training that raises the skills needed for a variety of activities to promote knowledge and research, as well as the evolutionary mechanisms responsible for participation and creative by ordinary people in the critical development activities, in decision-making at all levels and ultimately in sharing the fruits of development itself. Priority should be given in the development of educational, spiritual orientation and structure development of new relationships based on cooperation, partnership and participation.

3.2 Quality of Life Improvement

Efforts of economic development should be directed to improve the actual of living standards of all people and to achieve moral welfare, economic and social. To achieve these points, the priority should be given to the following matters: (i). Creating employment opportunities and adjustments in terms of structure, technology, investment, regional, and education. (ii). Building a social security system that secures effective basic necessities of life for all those who are unable to engage in employment or the efforts to earn money, and they are who eligible for assistance through community, for example, charity institutions, grants, gifts, charity, etc.

3.3 Equality Development

It means the harmonious and balanced development between regions and between sectors of society and the economy. Economic decentralization and the development of appropriate for all parts and sectors are required to achieve justice and maximum progress.

3.4 Sustainable Development

From an Islamic point of view (Patmawati et al., 2011) defining sustainable economic development as development that meets the needs of the present without compromising the ability of future generations to meet their own needs is not holistic, as it only focuses on the material needs in sustainable development, there are three important aspects that should be sustained: (i) Maintaining the long-term rate of economic growth, (ii)

Achieving inter-generational equity in the use of natural resources, (iii) Restricting as far as possible, the increase in pollution to maintain the quality of the environment.

4. Economic Development on Prophetic Tradition (Hadith)

Islamic economics is based on the Qur'an and Hadith that makes it different from other economic system where aspects of moral, spiritual, material, social and economy taken into account. The religious meaning of hadith is a statement, action or approval attributed to the Prophet Muhammad (pbuh). Therefore, hadith can be divided into three categories based upon their content: a statement of the Prophet, an action of the Prophet, and the Prophet's approval of an action done by other than him. Prophetic economic model presupposes the economic system introduced by Islam through the Prophet Muhammad (pbuh). It involves a wide range of concepts and practices, *"in all phases and activities of life, in matters, material as well as spiritual"* (Hamidullah, 1989). It also includes political, social and economic aspects of life, among others (Qutb, 1978).

While in Mecca the Prophet was only a religious leader but did not like when he was in Medina. In a short period of time, he became a strong leader of a small community and kept growing in number over time. Medina has grown rapidly in the ten years following of his leadership. The city developed rapidly compared to other regions around Arabia, where at first.

The following are some of concepts and policies of the Prophet Muhammad (pbuh) on how the prophet teaches us how to build the economic system:

4.1 The Economy Is Should Be a Way of Ibadatullah

Substantively, the Mighty of Allah sends the teaching of Islam to the Prophet Muhammad (pbuh) is divided into three terms, namely faith, *sharia* and morality. Islam governs human behavior both relation with God (*worship*) and relation with other human (*muamalah*). Economic activity as a form of relationship among humans is not part of the faith, worship and morality, but rather an integral part of *muamalah*. Thus, Economics based on *sharia* (Islamic Economics) is an economy that is based on *tauheed* (monotheism). Nevertheless, economic issues cannot be separated entirely from the aspect of faith, worship, and morals.

Worship in Islam is a comprehensive definition that includes almost everything in all individual's activities. Throughout *sura al-Nisa*: 134, Allah says *"Who so desires the reward of the world, then with Allah is the reward both of the world and of the Hereafter. And Allah is Hearing, Seeing*." Abu Hurairah reported which narrated by al-Bukhari, al-Tirmidhi and Ahmad that the Prophet Muhammad (pbuh) said, *"And what is most likely to send people to Paradise? Has being conscious of Allah and good manners."* In other hadith, narrated by al-Darimi and al-Tirmidhi, Abu Said related that the Prophet said: *"The truthful and trustworthy businessman will be in the company of Prophets, saints and martyrs on the Day of Judgment."* And many more verses in the Quran and saying or acts of Prophet Muhammad (pbuh) illustrated that economic activity in general is part of the worship of human to Allah to achieved success both in this world and in the hereafter.

4.2 The Economy Not Merely about Property or Profit

In the Islamic perspective, human welfare is not merely dependent on wealth maximization, but it takes a balanced satisfaction of material and spiritual needs of human. From Abu Huraira stated which narrated by al-Bukhari that the Prophet Muhammad (pbuh) said**:** *"When someone is made rich but he does not pay Zakat for his wealth, then on the Day of Judgment his money will be turned into a poisonous snake with two black spots on its head. It will coil around his neck and bite his cheeks and say: 'I am your wealth, I am your treasure'.*

Beyond property or profit factor there are other things more important that Muslim should concern. The Prophet Muhammad (pbuh) has stressed the importance of honesty in most of his sermons, saying: *"Remember, there is no faith in him who is not trustworthy; there is no place for him in religion that cares not for his pledged word or promise."* Again, condemning those who cheat in business Prophet Mohammad (pbuh) has said: *"He who cheats is not of us. Deceitfulness and fraud are things that lead one to Hell."* Once Prophet Muhammad (pbuh) came upon a heap of corn in the market of Medina and thrust his hand onto it. His fingers felt damp. On being asked, the trader replied that rain had fallen upon it. The Prophet (pbuh) replied, *"Why did you not then keep (the wet portion of) it above the dry corn, so that men may see it? He, who deceives, is not one of us."* Thus traders who deceive by showing to customers a false sample or by concealing from them the defects of the product they are selling are not true Muslims in the judgment of Allah and, they are going to end up in hell. In relation to this, there is one hadith which narrated by Muslim, The Prophet (pbuh) said: "*Remember, he who will obtain the property of another by swearing a false oath will appear as a leper before Allah (on the Day of Judgment)*."

Hence, summarizing Islamic perspectives on property and profit such as follow:

- An absolute owner of everything that is in the earth is Allah. Ownership by humans is relative, limited to carrying out the mandate to manage and utilize in accordance with its provisions as indicated by Qur'an, *sura al-Hadid* (the Iron) verse 7. In a Hadith narrated by Abu Daud, the Prophet said: *"Someone on the Last Day will surely asked about four things: his age for what is spent, their bodies for what is used, where his property is obtained and for what is used, as well as his knowledge of what is used."*
- Status of property owned by humans are as follows:
  - Property as a trust (deposit) of Allah
  - Property as tests of faith
  - Wealth as stock of worship, namely for implementing commands and perform transactions, and between people, through charity, donation, and alms as indicated by Qur'an, *sura al-Tawbah* (the Repentance) verse 41.
- Property ownership can be done through the efforts of (charity) or working (*Ma'isyah*) is halal and in accordance with the rules as indicated by Qur'an, *sura al-Baqarah* (the Cow) verse 267. The Prophet Muhammad explained which narrated by al-Tabarani that *"Finding halal income is mandatory after another obligation"*. Furthermore, in other hadith which narrated by Ahmad, the Prophet added: *"Allah truly loves His servants who work. Anyone who works hard for a living and their family equals with the mujahidin in Allah's way."*
- Prohibited taking illicit business, such as through the activities of *riba* (Qur'an, 2:273-281), gambling, buying and selling *haram* goods (Qur'an, 5:90-91), stealing rob (Qur'an, 5:38), cheating in measures and weights (Qur'an: 83:1-6), in ways that vanity and harm (Qur'an, 2:188), and through bribery.

4.3 The Importance of Zakat Institution

The material of wealth as means and not an end which become Muslim's sole preoccupation in Islamic views. In relation to this, Amr Ibn al-As reported which narrated by al-Bukhari that the Prophet Muhammad (pbuh) said**:** *"What a blessing wealth is in the possession of a righteous man."* Again, Abdallah Ibn Habib on the authority of his paternal uncle which narrated by al-Bukhari that the Prophet said**:** *"There is nothing wrong with wealth for those who are conscious of God, Almighty and Majestic is He."*

In Islamic economics, strategic and instrumental values greatly affect the economic behavior of human and community and economic development in general is z*akat.* It was also as the main source of the state in the classical period of Islam and Islamic countries in general. From a practical point of view, every Muslim who meets the requirements for paying *zakat* should be collected from them and absolutely this is the part of duty of an Islamic state. Karim (2002) states that Muhammad (pbuh) was the first of state's leader who introduce a brand new concept on state financial sector where all proceeds must first be collected and distributed in accordance with the needs of the country based on the principle of trust, and the collected yields did not belong to individual but state. Where these treasures collection was called *Baitul Maal* (home of property or state treasurer). Moreover, Possumah, et al. (2012) stated that *Baitul Maal* has existed since in the era of the Prophet even though had not well established. *Baitul Maal* institution independently formed as an economic institution in the era of Umar ibn Khattab suggested by Walid ibn Hisyam, an expert in Islamic jurisprudence. Since then, *Baitul Maal* had become a vital institution in Islamic countries. Further, *Baitul Maal* has handled a variety of matters ranging from withdrawal z*akat* (also tax), *ghanimah, infaq, shadaqah* to construct public facilities such as roads, bridges, hire armies and as well as social or other public interests. Compare with today, *Baitul Maal* can be said functioning as the Ministry of Finance, Directorate General of Taxes, Ministry of Social Affairs, and Ministry of Public Works and so on.

4.4 Wealth Should Be Circulated within the Community

In the Qur'an, *sura al-Naml* (the Ant) verse 60, the wealth is referred to as God's bounty (*fadl*). God, as the Creator and Sustainer of the universe, is the real Owner of all things, including all the things which man possesses and uses, Allah said: *"Who has created the heavens and the earth and sends down rain for you from the sky? With it we caused to grow orchards full of loveliness; it is not in your power to make trees grow in them."*

The wealth should be produced, distributed, acquired and spent in a way which is pleasing to God since Him is the true Owner of all things and Muslims are merely His trustees. The acquisition of wealth is not to be squandered for meaningless or wasteful purposes, nor wealth is an end in itself, and all above should not to used

in order to gain power over other people through exploitation or control of the means of livelihood. The Qur'an and Hadith explain it very clear that an act of disobedience to God is any form of gain which results in some injustice or harm to others. On the other hand, to purity of faith Qur'an says that the most pleasing thing in the sight of God were kindness and charity, forbearance and forgiveness, and doing well to others.

However, wealth is a test for Muslims and a source of temptation both with respect to the ways in which Muslim acquire and spend it. Abu Barazah al-Aslami reported which narrated by al-Tirmidhi that the Prophet Muhammad (pbuh) said: *"On the Day of Resurrection, no human being will be released from God's presence until he has been asked where he obtained his wealth and how he put it to use."* In other captured hadith, from Aisha narrates that the Prophet Muhammad (pbuh) used to pray, saying *"O God, I seek Your protection from the evil of the temptation posed by both wealth and poverty."*

Hence, in three principles Islam delineates a framework for individual pursuit and management of wealth embodied, such as: (i) Circulation of wealth and prohibition of hoarding it. (ii) Spending of wealth in terms of priority, since Islam places primary importance on spending on Muslim, and giving this higher priority than spending on charity. The Prophet Muhammad (pbuh) said: *"The best charity is that which is spent out of sufficiency. Begin with those for whose material support you are responsible".* (iii) Moderation. The miserliness and excessiveness were the two extremes that Qur'an warns of both in spending and management of wealth. And it calls for a path of moderation. Therefore Qur'an (25: 6-7) states in praise of those *"Who, whenever they spend on others, are neither wasteful nor misers but [remember that] there is always a just mean between those [two extremes]*".

4.5 Economy Is Representative of Justice

One of the economic values which based on *Tauheed*, according to Saefudin as cited in Muhammad (2000) is justice. The word justice is mentioned more than 1,000 times shows how this basic value weighs much honored in Islam, both of which related to the social, political and economic. Hence to spread justice among people is the ultimate goal of the economic system in Islam, so that not a single person remains destitute among the people. In *sura al-Nahl* (the Bee) verse 90, Allah said: *"Surely Allah enjoins the doing of justice and the doing of good (to others)."* Furthermore, the Prophet Muhammad (pbuh) had mentioned about justice in many circumstances which was noted by his companion and scholars. Abdullah ibn Amr reported which narrated by Muslim, the Prophet (pbuh) said: "*Verily, those who were fair will be in the presence of Allah upon pulpits of light, near the right hand of the Merciful, the Exalted, and both of His sides are right (being equal in honor); those who practiced justice in their rulings and with their families and in all that they did."*

From this hadith, we can conclude that the people who practice justice in all their matters will be given a special, exalted status on the Day of Judgment. In the other way, oppression is the violation of the rights of people. Islam has forbidden any forms of oppression great and small. Abu Dhar described which narrated by Muslim, the Prophet (pbuh) said: *"Allah the Exalted said: O my servants, I have forbidden oppression for myself and have made it forbidden among you, so do not oppress one another."*

In wider view of justice, among the most important issues that Islam concern a lot is a fair distribution of wealth in society. Qur'an (59:7) emphatically said, *"To treasure it not circulate among the rich among you",* and in *sura al-Ma'arij* (the Ascending Stairways) verse 24: *"Among their property rights are poor, both beggars and people who do not beg".* Even affirm by the Prophet Muhammad (pbuh) in term of this the unfortunate and the poor. The Prophet once said which narrated by al-Bukhari and Muslim: *"The parable of those who believe in love, as a body, if one member of the body is sick, the other members of the body also feel the pain".* This hadith explains further of the verse from the Qur'an, *surah al-Ma'un*: 1-3, *"Did you see who reject religion? They are the ones who let the orphans, and they also do not feed member of the poor."*

To sum up, enforcement of social and economic justice guided by a sense of fraternity (brotherhood), loving (*mahabbah*), and cooperation (*takaful*) also help each other (*ta'awun*), either between the rich and the poor and between government and the people.

5. Conclusion

No one deny nowadays that conventional economics theories have contributed greatly to the progress of human life materially through along development process for more than a century. But it has failed to retain their idealism. Even in the last half century, the conventional economy continued to show weakness. Back to the 6th century, Islam through the Prophet Muhammad (pbuh) provides an economic concept based on the Qur'an and Hadith that fundamentally control the way of human life and the role of government as well to achieve comprehensive development not only in economic sector but also spiritual, politic and social aspects.

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Leisure Facilitators and Recreation Specialization for Female Participants in Running Events

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Abstract

The purpose of this study was to identify the relationship between leisure facilitators and recreation specialization for female participants in running events. To achieve the goal of this study, 330 surveys were collected from female participants living in the Seoul area selected through a convenience sampling method. After examining the correlation between leisure facilitators and recreation specialization, the relationship between the two variables was assessed through multiple linear regression analysis.

First, for socio-demographic variables pertaining to females who participated in running events, significant differences were found between frequency of participating in running events, participants' running duration, running exercise participation time, and frequency of running exercise participation as sub-factors of leisure facilitators. Second, for socio-demographic variables pertaining to females who participated in running events, significant differences were revealed between income, frequency of participating in running events, participants' running duration, running exercise participation time, and frequency of running exercise participation as sub-factors of recreation specialization. Last, regarding sub-factors of leisure facilitators for females participating in running events, intrapersonal constraints, interpersonal constraints, and structural constraints had positive effects on past experience as an economic investment in recreation specialization. Intrapersonal constraints and structural constraints had positive effects on centrality-to-lifestyle for recreation specialization factors.

Keywords: female participants, leisure facilitators, recreation specialization, running event

1. Introduction

In the past, companies sold products. Nowadays, modern society sells experiences. When Nike held the "Nike human race" in 2008, the target market was young runners aged between 25 and 35 years. The event gained the attention of young runners immediately, as the host organization provided running background, running equipment, and a shorter running distance of 10 km compared to the original 42.195 km. Given this trend, young runners were quickly immersed into the 10 km running event. Beginning this way, Nike, New Balance, Adidas, Puma, and other brands competitively hosted running events with different themes, and registration sold out quickly in all cases. Specifically, when Nike held the "NIKE WE RUN" event in different cities, starting in Prague, Czech Republic, in August 2013, 26 countries hosted running events, culminating at the event in Jakarta, Indonesia, in December 2013, which attracted 350,000 participants (OSEN 2013.11 17).

In Korea, the event was held every year under the name "WE RUN SEOUL" and "SHE RUN," in which only females could participate. Running events differ from marathons, and host organizations provide training runs to promote these events as running club activities. Following the concept of "sportainment", these training runs serve as experiential sport events.

People participate in events such as running events for various reasons. Running events are a form of participatory sport in which various people can participate without special equipment. Currently, this is considered a type of leisure activity, as runners no longer participate in the event on their own, but as part of a group. Past marathons were events wherein participants could improve their health and where "human victory"

was possible after completing the full marathon. In modern society, running is not just training, but also enjoyment and a venue for developing human networks. This movement created a new paradigm for the running era, shifting from the old version of running—a marathon in this case—to a new one—enjoyment.

Specifically, in today's leisure culture, females attempt to gain confidence and stay at the forefront of trends while paying attention to concepts of internalized beauty and youthfulness alongside health and relaxation during their leisure time. A running event for females is more like a festival, a place to play, and a healthier exercise that presents a greater variety of leisure activities. In addition, running events are a means of self-management through overcoming self-limitations, allowing females to differentiate themselves from other participants through clothing, shoes, and accessories. Running as a leisure activity demonstrates the leisure consumption culture (Kwon & Cheon, 2013). Furthermore, a company hosts the event while focusing on running and not on a marathon, thereby increasing the number of participants, especially young female runners aged between 20 and 30 years who are broadly exposed to the consumer market. This represents an interesting case that allows comparisons between the study of Park (2001), who found that females in their 20s have low fulfillment or do not actively promote their health, and other studies that targeted mostly males aged between 40 and 50 years participating in running events or marathons.

Females also participate in running events, because these events are hosted by well-known companies and differ from mundane running events. Thus, these events display their own characteristics. A company-hosted running event demonstrates one characteristic of our modern commercialized public culture, and extendable leisure time increases the possibility that participants enjoy the leisure experience as a product (Park & Joo, 2006).

Studies on leisure facilitators and recreation specialization provide the basis for analyses of those who flow into the leisure realm. Therefore, this study seeks to examine the relationship between leisure facilitators and recreation specialization in the context of female participants in running events. The study uncovers what motivates females to participate in running events and related social and emotional factors behind their continued participation. Furthermore, basic data pertaining to participants in running events is generated by asking questions pertaining to continuous participation. The research model for the relationship between leisure facilitators and recreation specialization is depicted in Figure 1.

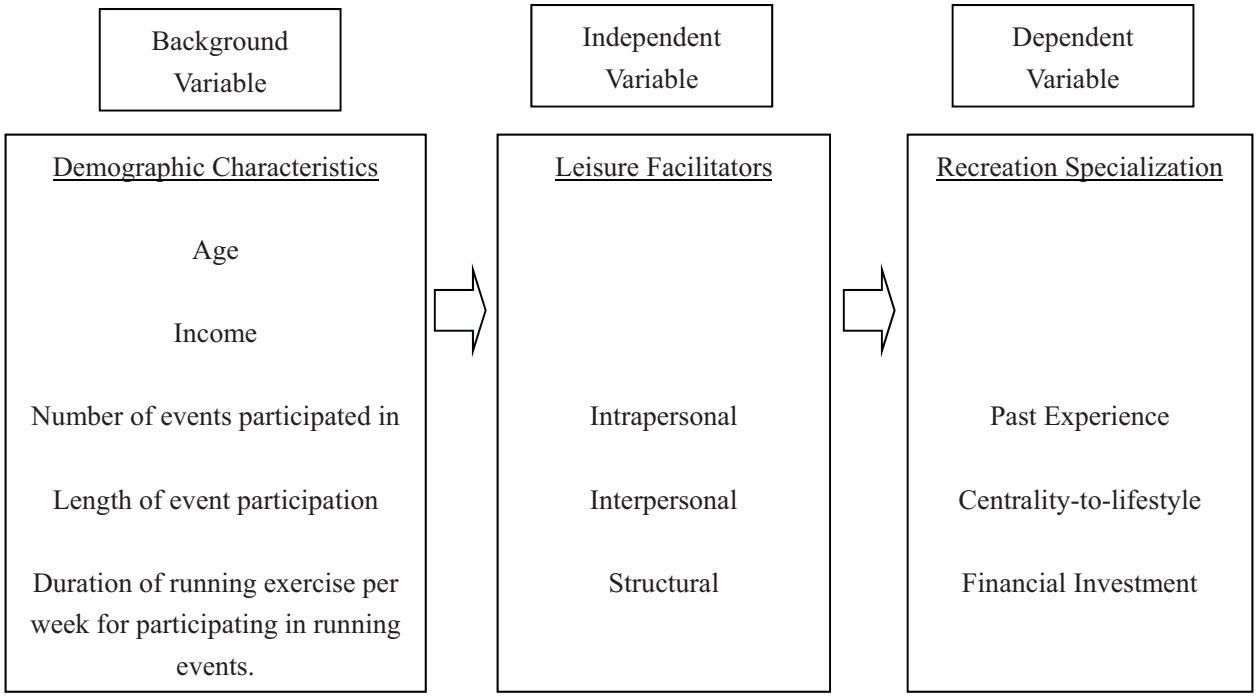

Figure 1. Model of the relationship between leisure facilitators and recreation specialization

2. Literature Review

Leisure facilitators were originally studied under the criticism of leisure constraints, and defined as factors providing leisure preferences that facilitate and encourage a leisure activity, which is conceptualized as

complementary to leisure constraints. Everyone is interested in leisure; thus, the theory of leisure constraints alone cannot fully explain the phenomenon of non-participation in leisure activities, because the theory focuses essentially on constraints. The theory of leisure facilitators criticize the limitations of the theory of leisure constraints, aiming to provide a better understanding through three aspects, namely intrapersonal facilitators, interpersonal facilitators, and structural facilitators. To properly understand leisure participation, Raymore (2002) contends that one must grasp the theory of leisure facilitators and factors pertaining to leisure constraints, and then try to comprehend how they affect participation and produce leisure experiences. While leisure constraints and leisure facilitators mean different things, both theories assume coexistence on the same continuum. The concept of "facilitating factors" extends theoretical continuity from the already established "constraining factors." In other words, eliminating constraint factors is directly connected to leisure facilitators, and lack of facilitator factors means leisure constraints. Simply, this mutual relationship can be interpreted as different viewpoints on observing one leisure situation. However, Raymore did not conclude his explanation of the relationship between leisure constraints and leisure facilitators as absolute, noting the need for further empirical research to scientifically clarify the relationship between constraining and facilitating factors.

As the passion for participating in leisure activities supports facilitators, one overcomes time and financial constraints and becomes more enthusiastic, which fuels the desire to specialize in an activity. This is known as a "serious leisure participant" (Stebbins, 2001), whose tendency to specialize is defined as "recreation specialization" by Bryan (1977). Bryan later defined recreation specialization more specifically as "a series of behavior changes from general to specific reflected by the equipment and skills used in sports or leisure activities" on "a continuum ranging from being general to becoming professional." This indicates that people specializing in a recreation activity cannot be satisfied through simple participation, but need a deeper involvement in these activities. Enthusiastic participation in a leisure activity alters behavior patterns according to various factors such as interest, level of flow, skills, and knowledge (Lee Mun Jin & Hwang Sun Hwan, 2013).

Oh and Ditton (2008) defined recreation specialization as a consecutive process of changes in the developmental stages of a leisure activity participant, from beginner to advanced (professional) levels. Broadly, this is an important topic in leisure studies.

Advanced research on the relationship between leisure facilitators and recreation specialization, for example by Song (2010), who analyzed professional interviews on a fishing channel, explains the process of recreation specialization in terms of the concepts of leisure constraints and leisure facilitators. Leisure facilitators explain the process of recreation specialization, and can be important in examining the accelerated recreation specialization process from beginner- to professional-level participants. Kang, Lee, and Kim (2013) identified a relationship between leisure facilitators and recreation specialization in winter sports participants, finding positive effects for both factors. Studies on leisure facilitators and recreation specialization provide the basis for analyses of those who flow into the leisure realm.

3. Materials and Method

3.1 Subject of the Study

To examine the relationship between leisure facilitators and recreation specialization for female participants in running events, female adults who planned to participate in an event in 2014 were delineated as the study population. A convenience, non-random sampling method was used to select participants. In total, 345 questionnaires were distributed, and of these, 15 were eliminated based on a lack of information and low validity. Thus, data in 330 questionnaires were analyzed.

3.2 Research Procedure

The primary research method adopted in this study was the questionnaire method (survey). Table 1 outlines characteristics of the questionnaire. Questionnaire items included 5 questions pertaining to demographic characteristics, 12 focusing on leisure facilitators, and 10 on leisure specialization.

"The leisure facilitator scale" used in this study was modified from Raymore's (2002) original leisure facilitator scale, which was created and modified by Song Young Min and Lee Hoon (2006) for a leisure facilitator analysis of a five-day school system for youth. Similar to the leisure constraint configuration, 12 leisure facilitator questions were constructed, including intrapersonal, interpersonal, and structural items. The recreation specialization scale used in this study was modified from McFarlane (1994) and Hwang Sun Hwan and Lee Mun Jin (2009), and translated and modified for use in Korea. Specifically, the questions focused on three factors, with ten questions pertaining to intrapersonal, interpersonal, and structural facilitators. Questionnaires were measured on a five-point Likert scale ranging from "Strongly disagree" (1) to "Strongly agree" (5).

Table 1. Questionnaire characteristics

Configuration Index	Content	Number of Questions	total
Demographic Characteristics	Age, Income, Number of events participated in, Length of participation, Duration of running exercise per week for participating in running events, Frequency of running exercise per week for participation in running events	6	6
Leisure Facilitators	Intrapersonal	4	12
	Interpersonal	3	
	Structural	5	
Recreation Specialization	Past Experience	5	10
	Centrality-to-lifestyle	3	
	Financial Investment	2	
Total			27

3.3 Validity and Reliability Tests

The validity and reliability of the study were verified through an expert discussion on the questionnaire items. To assess the questionnaire's content validity, 130 questionnaires were distributed. Of these, 8 were eliminated because of a lack of information; thus, 122 were used in the preliminary research. Despite that the test value in this study was verified in earlier work, it was re-verified to ensure a better result.

Regarding construct validity and to verify questionnaire reliability, an exploratory factor analysis and reliability analysis were conducted. With principal factor analysis for factor extraction, the varimax rotation method of orthogonal rotation was employed. The standard of the common factor in each factor extraction method was based on an eigenvalue of 1.0 or more, while selected items had factor values of .5 and more. To verify the reliability of the study, Cronbach's α coefficient was used, and to determine if internal consistency was acceptable, Bartlett's Kaiser-Meyer-Olkin (KMO) standard fit test was employed. Generally, KMO values exceeding 0.5 indicate suitable validity, while in the Bartlett case, significance levels of P values less than .05 signify suitable factor analysis. Tables 2 and 3 provide the results of the analyses.

Table 2. Results of the validity test: leisure facilitators

	Structural	Interpersonal	Intrapersonal
8. A 5-day work system supports my leisure activities.	**.901**	-.004	.037
9. There are enough running events in which to participate in the community.	**.849**	.109	.162
11. I have enough time to enjoy running.	**.844**	.069	.084
10. Companies host enough running events and programs.	**.829**	.170	.243
5. I have partners with whom to participate in running events.	.092	**.927**	.092
7. I have family members with whom to participate in leisure activities that involve running exercise or event.	.080	**.921**	.081
6. I have a person to guide my running.	.098	**.912**	.077
2. I have the confidence to participate in running events.	.087	.033	**.900**
1. I decide on my own to participate in running events.	.161	.060	**.884**
3. I am active in terms of characteristics.	.161	.157	**.840**
Eigenvalue	3.017	2.613	2.410
% of Variance	30.175	26.132	24.104
Cumulative %	30.175	56.307	80.411
Cronbach's α	.893	.919	.867

Kaiser-Mayer-Olkin Measure = .765; Bartlett's Test = 780.592, df = 45, Sig = .000

Table 3. Results of the validity test: recreation specialization

	Past Experience	Centrality-to-lifestyle	Financial Investment
2. I am high frequency of participating in running events.	**.878**	.163	.028
3. I am highly interested in running events.	**.856**	.090	.186
5. I have the ability to run well.	**.832**	.210	.030
4. I try hard to increase my ability to run.	**.799**	.150	.288
8. I read many publications on running.	.137	**.923**	.079
7. I research many materials related to running events.	.247	**.890**	.182
6. Running is my primary leisure activity.	.144	**.865**	.241
10. It is valuable to invest in equipment related to running.	.157	.179	**.903**
9. I invest a lot in buying running equipment.	.146	.199	**.899**
Eigenvalue	2.981	2.565	1.839
% of Variance	33.121	28.496	20.435
Cumulative %	33.121	61.617	82.052
Cronbach's α	.888	.916	.860

Kaiser-Mayer-Olkin Measure = .803; Bartlett's Test = 695.352, df = 36, Sig = .000

3.4 Data Process

The study was conducted over a period of four months, from November 2013 to March 2014, during the training of runners aiming to participate in a running event in Seoul. Participants were asked to answer questions through a self-administration method. Of 345 questionnaires, 15 were eliminated because of a lack of responses and/or inaccurate information. The remaining 330 questionnaires were used in the statistical analysis, which was conducted using SPSS version 21.0. The analysis method was as follows. First, to assess the validity of the study, an exploratory factor analysis and confirmatory factor analysis were conducted. Second, for the general features of the study, a frequency analysis was carried out. Third, to examine the differences between leisure facilitators and recreation specialization based on demographic characteristics, the t-test, a one-way analysis of variance, and the Scheffe method were employed as post-verification tests. Fourth, a correlation analysis was conducted for factor correlation. Last, the relationship between leisure facilitators and recreation specialization was analyzed through multiple regression analysis.

4. Results

4.1 Profiles of Respondents

Among 345 respondents, 83.6% were in their 20s. Seventy-three percent of respondents earn less than 2,000,000 won (US$ 2,000) of income. More than half (59.4%) of respondents had more than two times of participation experience in running events. A great part of respondents (94.8%) had less than 3 years of event participation. About duration of running exercise per week for participating in running events, 84.8% of participants responded less than 3 hours. Nearly two-thirds (65.8%) of people exercise one time per week for participating in running events. Table 4 summarizes the general characteristics of the study subjects.

Table 4. General characteristics of the subjects of the study

Characteristics	Classification	Frequency (participants)	Component Ratio (%)
Age	20s	276	83.6
	More than 30 years	54	16.4
Income ($1= 1000 won)	Less than 1,000,000 won	104	31.5
	Less than 2,000,000 won	140	42.4
	Under 3,000,000 won	69	20.9
	More than 3,000,000 won	17	5.2
Number of events participated in	1	134	40.6
	2	75	22.7

	3	56	17.0
	4 times and more	65	19.7
Length of event participation	1 year	192	58.2
	2 years	77	23.3
	3 years	44	13.3
	4 years and more	17	5.2
Duration of running exercise per week for participating in running events	1 hour and less	141	42.7
	2 hours and less	95	28.8
	Less than 3 hours	44	13.3
	3 hours and more	50	15.2
Frequency of running exercise per week for participating in running events	1	21.7	65.8
	2	63	19.1
	3	35	10.6
	More than 4	15	4.5

4.2 Relationship between Leisure Facilitators and Recreation Specialization of Female Participants in Running Events

To examine the relationship between leisure facilitators and recreation specialization of female participants in running events, Pearson's product-moment correlation was employed. It was found that most correlation coefficients for factors were .05, indicating significance. The correlation analysis results are presented in Table 5.

Table 5. Results of correlation analysis

	1	2	3	4	5	6
1. Intrapersonal	1					
2. Interpersonal	.216***	1				
3. Structural	.411***	.432***	1			
4. Past Experience	.571***	.343***	.547***	1		
5. Centrality-to-lifestyle	.439***	.252***	.518***	.701***	1	
6. Financial Investment	.385***	.313***	.467***	.620***	.682***	1

*p<.05 **p<.01 ***p<.001

4.3 Effect of Leisure Facilitators on Recreation Specialization of Female Participants in Running Events

To determine the relationship between leisure facilitators and recreation specialization of female participants in running events, a correlation analysis was conducted, which revealed the positive effect of leisure facilitators of female participants in running events on recreation specialization. The results of leisure facilitators' mean value was 3.57 and recreation specialization's mean value was 3.00. The value of coefficient of correlation was .622(p<.001), which indicates significant relationship between leisure facilitators and recreation specialization. The value of R^2 was .385, which means it explains 38.5% of total variation. The value of F was 207.259, which appeared to be statistically significant (p<.001). These results are presented in Table 6.

Table 6. Results of the effect of leisure facilitators on recreation specialization of female participants in running events

Independent variables	Dependent variables	β	SE	Beta	t-value	R^2	F-value
(Invariable factor)	Recreation	.095	.205		.465	.385	207.259***
Leisure Facilitators	Specialization	.814	.057	.622	14.396***		

***p<.001

4.4 Effect of Leisure Facilitators on Past Experience of Recreation Specialization

The result of analysis on effect of leisure facilitators on past experience of recreation specialization is as follow. The value of R^2 was .448, which means it explains 44.8% of total variation. The value of F was 89.975, which appeared to be statistically significant. All the sub-factors of leisure facilitator revealed a significant and positive effect on intrapersonal constraints (β=.411), interpersonal constraints (β=.112), and structural constraints (β=.330) of past experience (p<.001, p<.05). Table 7 summarizes results of effect of leisure facilitators on past experience of recreation specialization.

Table. 7. Result of the effect of leisure facilitators on past experience of recreation specialization

Independent variables	Dependent variables	β	SE	Beta	t-value	R^2	F-value
(Invariable factor)	Past Experience	-.249	.219		-1.136	.448	89.973***
Intrapersonal		.489	.054	.411	9.137***		
Interpersonal		.101	.041	.112	2.452*		
Structural		.357	.053	.330	6.766***		

*p<.05 ,***p<.001

4.5 Effect of Leisure Facilitators on Centrality-To-Lifestyle of Recreation Specialization

The result of analysis on effect of leisure facilitators on centrality-to-lifestyle of recreation specialization is as follow. The value of R^2 was .323, which means it explains 32.3% of total variation. The value of F was 53.39, which appeared to be statistically significant. One of the sub-factors of leisure facilitator revealed a significant and positive effect on intrapersonal constraints (β=.271) and structural constraints (β=.397) of centrality-to-lifestyle (p<.001). However, interpersonal constraints were not statistically significant. Table 8 summarizes results of effect of leisure facilitators on centrality-to-lifestyle of recreation specialization.

Table. 8 Result of the effect of leisure facilitators on centrality-to-lifestyle of recreation specialization

Independent variables	Dependent variables	β	SE	Beta	t-value	R^2	F-value
(Invariable factor)	Centrality-to-lifestyle	-.055	.246		-.223	.323	53.39**
Intrapersonal		.327	.060	.271	5.436***		
Interpersonal		.021	.046	.022	.443		
Structural		.436	.059	.397	7.357***		

***p<.001

4.6 Effect of Leisure Facilitators on Financial Investment of Recreation Specialization

The result of analysis on effect of leisure facilitators on investment of recreation specialization is as follow. The value of R^2 was .269, which means it explains 26.9% of total variation. The value of F was 41.403, which appeared to be statistically significant. All the sub-factors of leisure facilitator revealed a significant and positive effect on intrapersonal constraints (β=.226), interpersonal constraints (β=.126), and structural constraints (β=.320) of past experience (p<.001, p<.05). Table 9 summarizes results of effect of leisure facilitators on financial investment of recreation specialization.

Table.9 Result of the Effect of Leisure Facilitators on Financial Investment of Recreation Specialization.

Independent variables	Dependent variables	β	SE	Beta	t-value	R^2	F-value
(Invariable factor)	Financial Investment	-.185	.303		-.609	.269	41.403***
Intrapersonal		.323	.074	.226	4.373***		
Interpersonal		.137	.057	.126	2.406*		
Structural		.416	.073	.320	5.705***		

*p<.05 ,***p<.001

5. Discussion

The purpose of this study was to define the relationship between leisure facilitators and recreation specialization among female participants in a running event. It has become commonplace for leisure participants to participate in commercialized events in consuming areas or spaces. The young generation living in modern society grew up in a play-based culture, which can be defined from a socio-cultural perspective as a social reaction towards culture and desire. Play-based culture is closely related to social traditions and systems at the particular time the type of playing occurs, and it transforms according to variable social statuses, which is why it is part of culture (Yang & Lee, 2008).

The analysis of the relationship between leisure facilitators and recreation specialization among female participants in running events revealed significant results.

First, leisure facilitators positively affect past experience of recreation specialization. This indicates that the process of recreation specialization can be developed uniquely through the distinct characteristics of society and culture, which is how social/cultural factors such as running events can facilitate the process of recreation specialization. Specifically, all sub-factors of leisure facilitators and past experiences of participating in running events can cause flow experience. This outcome is considered as continuous participation in running events and becoming specialization in the activity. Wu, Scott, and Yang (2013)'s study partially supported this result. They examined the effect of recreation specialization to flow experiences along with online game addiction. The study's results showed that specialized players of these online games were more likely to experience flow and exhibit game addiction than inexperienced players. In addition, Stebbins (1992) maintained that increasing participation frequency is an important causative factor in raising specialization level.

Second, intrapersonal and structural factor of leisure facilitators have a positive effect on centrality-to-lifestyle of recreation specialization. Song (2010) emphasized contemplating the importance of storytelling in the recreation specialization process, maintaining that people's recreation specialization process is not uniform but comprises various processes for individuals with their own stories. Therefore, a facilitator such as a running event with a creative story is capable of affecting the recreation specialization process. Running activities are sport events that require individuals to constantly overcome physical and mental limitations. This characteristic leads the participants to participate in daily physical activity events based on different individual's motivation for their goals (Hwang & Lee, 2009). This is also in accordance with research that showed the necessity of sports activities by demonstrating how participation and being motivated to engage in sports activities play a major role in improving quality of life. Furthermore, in a study on participation in sports activities, participation in leisure activities, and activity satisfaction, Riddick (1985) revealed that sports participation as a leisure activity provides humans with various types of satisfaction. For example, participants in running events gain health maintenance benefits and self-realization through self-development, confidence, fulfillment, and mental strength, which ultimately contribute to improving quality of life. In modern society, the social status and rights of women are increasing, and female participation in sports activities plays an important role in character-building activities through self-realization, sense of accomplishment, and increased confidence. Specifically, voluntary and active activities such as participation in running events present an opportunity to relieve stress and engage in recreation for a better quality of life. However, there is no direct effect between interpersonal constraints of leisure facilitator and centrality-to-lifestyle of recreation specialization because running mainly requires endlessly conquering oneself and it can be done by oneself at any moment. In other words, although young runners enjoy running together, each individual participate in running for their own goals and satisfaction. This result and interpretation is supported by Cikszentmihalyi (1995)'s research result; people who participate in daily sports life are individually participating in it with the motivation to achieve their own goals.

Third, all factors of leisure facilitators have an influence on financial investment of recreation specialization. Scott and Shafer (2001)'s study mentioned that the will to concentrate on gaining knowledge and skills pertaining to leisure, regardless of the time or cost invested, could improve the level of the leisure activity and emphasize the positive functions of leisure. In addition, Raymore (2002) noted that a person's leisure participation is a result of interaction between leisure facilitators and intrapersonal, interpersonal, and structural constraints. Leisure facilitators of female participants in running events appeared to be form through internal enjoyment/satisfaction factors, being conscious of other people around them, and structural factors given by enjoyment of events. As mentioned earlier, recreation specialization requires a certain time investment in participating in a leisure activity. In female participants, leisure facilitators triggered by continued participation in running events provide experience in various interests, flow levels, skills, and knowledge. In addition, participation facilitators transform recreation specialization into an economic investment with various sources. Particularly, considering that they are female participants, the motivation behind their participation in such

events allows an exhibition in leisure, where they can stand out through outfits and in the SNS (Social Network Service) world. This factor caused a higher level of investment by female participants.

6. Conclusion and Recommendations for Further Research

The results of this study are now summarized to examine the relationship between leisure facilitators and recreation specialization based on 330 female participants in a running event.

First, in the relationship between leisure facilitators and recreation specialization, the sub-factors of leisure facilitators—intrapersonal, interpersonal, and structural facilitators—demonstrated positive effects on past experience in recreation specialization. Second, intrapersonal and structural facilitators as sub-factors of leisure facilitators showed positive effects on centrality-to-lifestyle of recreation specialization, while interpersonal facilitators showed a negative effect. Third, intrapersonal, interpersonal, and structural facilitators all had positive effects on financial investment in recreation specialization. This shows that leisure facilitators have become a reason for specialization, increasing fun, satisfaction, and flow. However, the academic world needs more specific studies in order to make leisure event activities more specialize and more sustainable.

Recommendations for future studies are as follows. First, the leisure facilitators factor of this study was premised on a negative view for the effect of leisure constraints, which could be concluded as complementary concepts of leisure constraints. Therefore, if future study co-analyzes both leisure facilitators and leisure constraints, the results would be meaningful. Second, qualitative inquiries into the process of leisure facilitators and an analytic explanation are possible. Third, if future study provided theories on the relationship between leisure facilitators and recreation specialization by using the concept of 'serious leisure' and related correlation analysis with a diverse range of leisure activity participants, the results will help with the academic development of the leisure and recreation areas.

Ethical Consideration

The authors addressed ethical issues including plagiarism, informed consent, misconduct, data fabrication and/or falsification, double publication and/or submission, and redundancy.

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Riding the Country, Buying the Brand: How Country-of-Origin Image Drives the Purchase Behavior of Big Motorcycle in Indonesia

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Abstract

This paper examines the role of country-of-origin image (COO image) values in the process of purchase decision making of big motorcycle consumers in Indonesia. Referring to the COO image values such as Authenticity, Differentiation, Quality Standard and Expertise, as well as the elements of purchase decision making process such as Need Recognition, Information Search, Evaluation of Alternatives, Purchase Decision and Post Purchase Decision, researchers conducted in-depth interviews to five Triumph big motorcycle consumers. The results show that the authenticity of the British-made product is the main consideration of consumers both in searching for information and in recognizing the need of big motorcycles. The competitive advantages of product that make it different from other products is the consideration in evaluating the brands, while product quality has the role in stimulating the purchase decision and post purchase actions, in which also strengthened by the perception towards the British-expertise in producing big motorcycles. This research is very beneficial to big motorcycle brands in understanding the mindset of Indonesian consumers.

Keywords: Country-of-Origin (COO) image, brand values, purchase behavior, big motorcycle, Indonesian consumers

1. Introduction

Brand has long become a global commodity that spreads in so many countries. In addition to expanding the market, increasing the consumption choices variability, moving the capital machine with some new business energies, popularizing the corporate identity, brand also bring a nation identity. In this international market context, the excellence of country of origin of a brand sometimes becomes an added value to its brand. Country of origin shows the origin or location where a product is produced; it often means that the product is not a domestic product. It is supported by a number of researches done to see the consumer reaction to foreign products, and mostly related to quality of the product. The label *"Made in"* has become a representation attribute which delivers the message about where a product is produced, or where a brand is born or created. It also becomes a consideration for the consumer in the process of assessment of a brand or product.

The research of Nagashima (1977) showed that consumers have their own image in their mind about specification category of certain product. For example, Japan has been known as a country that produces automobile technology, while Belgian known as the most popular country that produces chocolate in all over the world. At this point, the consumer created their perception of a product based on the image of a country where the product is produced. When we act as a consumer, are we going to choose a cellphone with an unfamiliar brand from Belgian? It is a sure thing that a number of doubts will attack our mind with several uncertain prejudices about the quality of the product, because we see the background where the product is derived.

Studies conducted by Ayyildiz (2007) shows that the image of a country will affect consumer loyalty. The image of a country created by the consumer satisfaction on quality of product or service that provided by a brand. When the satisfaction is created, consumer will see the background where the brand is derived. The consumer perception of a country also created by their personal experience of a certain brand that they have consumed before. According to Sauer (1991), actually there is no certain definition about what is country image, it is known by the generalization and perception about a country based on the evaluation of a person to a product or

brand which derived from certain country. The image of a country refers to consumer perception to product from a certain country; it is based on their main perception about the production result, also the strengths and the weaknesses of the marketing in a certain country (Roth & Romeo, 1992).

It is no wonder that some of brands include their country's name as their identity that shows the quality standards of the country that have been perceived good by consumer, and it also shows the expertise of a country, for example *Swiss Army* watch brand, *American Standard* for bathroom fixtures, and fashion brand *American Apparel.* Those brands always use their country's name as the attribute in their brand name. The use of the country's name where a brand is derived is a strategy called Country-of-Origin (COO), that shows the added values of a brand that supported by the eminence of a country where a brand is derived. By looking at the name of the brands, the consumer will instantly have a brief overview or information about where the brand is derived. Subsequently, consumer will have a brief overview about the relationship between the brand quality and its country of origin.

The closer examples to this research topic are some shoe brands from England that always use the brand knowledge attributes about their country of origin by adding the sentence *"Made in England"* or *"England Established"* or even by applying Union Jack*,* their country flag in their logo, such as Barker England, Juju Jellies Shoes, Dasco Shoe Care, Grenson, and some other brands.

A similar thing is done by a big motorcycle brand from England, Triumph Motorcycles. Triumph Motorcycles is a company which produces classic and sport motorcycle established in 1902. Until today, the name and the product dominate the market of the large motorcycles in England, and becomes the brand of choice in some quarters over countries like US and Japan. This brand also use their country of origin as attribute in their logo, official website, and also in any events held by them.

Before officially entering Indonesia with the name Triumph Motorcycles Indonesia, this classic motorcycle company has expanded their market in 54 countries in all over the world. Triumph Motorcycles, company based in England has their own market share that differs from its competitor, Harley Davidson, a classic motorcycle company from US. This characteristic difference also makes the consumer assessment process become different. According to managing director PT Triumph Motorcycles Indonesia, Paulus B. Suranto, Triumph's positioning is Emotional Bike, which means Triumph is not only a motorcycle that can be used for traveling from one place to another, but also gives the feeling to consumer about the pleasure of riding with confidence and pride. The tag line says "what we stand for and deliver, real riding obsession" which means that Triumph targeted the urban sport, adventurer, and icon segment. Triumph Motorcycle's target audience is people who have been the huge fan of big motorcycle and have passion in adventure and also have their own style.

Every product which derived from England always has its own image to consumer. It is because England has been perceived as a classic country with its historical story and become an important thing in world civilization. In addition, England also has so many famous classic icons; one of them is The Beatles. It is also supported by several brands which engaged in the automotive field, mode, and technology from England, such as Burberry, Topshop, Topman, and Mini Cooper that have different characteristics of the product image from its competitor. These brands are more emphasizing their classic impression in every product as well as the advertising efforts. Based on the characteristic of its country of origin, the authors would like to analyze further about the value of country of origin owned by the big motorcycle company Triumph Motorcycles and how it drives the purchase behavior.

2. Literature Review

2.1 Country-of-Origin (COO) Image Values

Consumer evaluation to a product is not only based on intrinsic cues of a product (for example is the quality and table of content) but also the extrinsic cues (for example is brand and packaging). Among these extrinsic cues, the perception about the country of origin often taken into consumer's consideration in their decision making when it comes to purchase decision (Agarwal & Kamakura, 1999).

The research about COO has been underway since 1965. COO concept was first explained by Nagashima back in 1960, while the research about COO Effect was first conducted by Schooler in 1965. Some researchers have similar belief about the definition of COO*,* for example from Badri et al. (1995) belief that COO effect as *"made in"* effect. COO is a cue in a product that affects consumer evaluation in identifying the country of origin of a product (Thakor & Pacheco, 1997). While Ahmed, Johnson and Boon (2004) clearly define COO as the country where a product is produced or established that identified as label *"made in"* or *"established in"*. Czinkota and Ronkainen said that COO is an effect that arise in consumer's perception that affected by location where a

product is produced.

Some terms are born from the concept of COO, such as the term of Country of Design, Country of Manufacture, Country of Assembly, and Country of Part. All of these terms show that some global and transnational companies are no longer operate the whole production series in their countries. The series of production processes are conducted by other countries, but still refers to the country of origin. For example, a product is designed in Japan, and then assembled in Indonesia, but the components are derived from China.

If Country-of-Origin (COO) is defined as a country where a product is produced (Pappu et al., 2006), or according to Han and Terpstra (1988) and Yassin et al. (2007) who defined COO as the country of origin of a company or country where a brand is derived, so Country-of-Manufacture *(*COM) means a country where a product is produced or assembled (Okechuku & Onyemah, 1999, in Wong et al., 2008; Chao, 1998, in Essoussi & Merunka, 2006). While Country-of-Design (COD) defined as a country where a product is designed and usually become where a brand is generally associated (Chao, 1993, in Insch & McBride, 2004). Meanwhile, Country-of-Assembly (COA) is defined as a country where most of the assembly of the final product is done (Chao, 1993, in Insch & McBride, 2004), and Country-of-Part (COP) is defined as a country where most of the materials or components are derived or as a country who provides the component of a product (Tse & Lee, 1993, in Insch & McBride, 2004). According to Hsieh et al. (2004) in Demirbag & Glaister (2010), basically, the country image in marketing perspective can be defined into three levels; overall country image, aggregate product country image, and specific product country image.

Overall country image refers to the loyalty, idea, and impression as a whole package of a certain country as a consumer result to their perception about the strengths and weaknesses of a certain country. Aggregate product country image refers to the whole cognitive feeling which associated with a product from a certain country or the impression to the whole product quality which derived from certain country. For example, the general view of the consumers such as Japanese products are manufactured by using sophisticated technology, Chinese products are cheaper, and the products made in Germany have a high durability. Meanwhile, specific product country image is defined as the whole cognitive feeling which associated with the product specification in a certain country. For example is the general view of the consumers who appreciate French-made cosmetics, dairy products from Netherlands, and electronic goods from Japan.

The study *'Made in'* which developed by The Future Brand*,* one of the agency in marketing communication field that located in United Kingdom, indicated that a strong COO can be defined through their performance in four key areas; *Authenticity,* related to unique product or service with unique standards that can be linked to the history of its country of origin or the components of its country such as culture, native people, or even the geographical situation of a country. Meanwhile, *Differentiation* emphasizing its own distinguishing features of a product that is not owned by competitor's products through distinctive hallmark approach based on culture and heritage that is owned by the country of origin. *Quality Standards* shows the commitment on security, expertise, production processes and transparency in every single matter related to a product that will be marketed, and *Expertise* is identified as a product with title “Best” in its category, or become the featured product of several competitors.

When it combined, the strength of these four dimensions can be a powerful stimulus of differentiation and authenticity of the product or service. When a brand associated with a country which have unique values, different messages, and have experts who produce products with high standards, then the consumer might consider it as their first choice. When a brand combined these four dimensions as well, good things that can be expected by a brand is that they can enjoy the better introduction of their product (better awareness), a good reputation, and they can order a higher resale value and has much better performance than brand competitors who do not have a quite interesting COO background story.

2.2 Purchase Decision Behavior

Purchase decision is actually just a part of the much bigger purchasing processes, started with the recognition of the consumer needs through how consumer feel after making the purchase. Marketers want to get involved during the purchase decision processes (Kotler & Amstrong, 2010: 177). Clearly, purchasing process actually started long before the purchasing act itself. Other factors can be affected by the marketers and can be hinted to marketers about how to develop products, distribution price, and promotion. Kotler (2000) says that the consumers are experiencing the five stages: needs recognition, information search, evaluation of alternatives, purchase decision, and post purchase behavior. It is clear that purchasing process begins long before the actual purchase happens and has long term impact after the purchasing. The detail explanation about the stages can be described as follows.

Need recognition. Purchasing processes started when the buyer recognize the problem or the needs. These needs can be triggered by internal or external stimuli. Internal stimuli comes from a normal person's need, such as hunger, thirst, or sex that increased to a certain level and turned into an urge or impulse, while external stimuli comes from the environment, for example is when people going through a bakery and the smells of the bread stimulates their hunger. Consumer will decide to buy something when they believe that the product they are going to buy can solve the problem or fulfill their needs, or even more profitable than the amount of money that they have spent.

Information search. Consumers who triggered about their needs tend to look more information about a brand or product that can fulfilled their needs. Lighter information search situation can be determined by focusing on the consumer attention to a product. At this stage, people are just more sensitive to product information. At the next level, people began to search the information actively: searching the information materials, call their friends, and visit the stores to learn about certain product. Through this information search, consumer learns about the competing brands as well as the features they have. The information sources of consumer can be classified into four groups: 1) private sources such as family, friends, neighbors, and colleagues, 2) commercial sources such as advertising, distributors, dealers, packaging, and exhibitions, 3) common sources such as mass media and consumer organizations, and 4) the sources of experience: ever handled, tested, and consumed the products.

Evaluation of alternatives. There are some decision evaluation processes and the newest models that look at the consumer evaluation processes as cognitive process-oriented. These models assume that the consumer creates their assessment about a product in such a consciously and rationally situation. Some basic concepts will help us to understand the consumer evaluation processes. First, consumers are trying to fulfill their needs. Second, consumers are looking for certain benefit from product solutions. Third, consumers are considering at each product as a set of attributes with different capabilities in delivering the benefits that used to satisfy the needs.

Purchase decision. In the evaluation stage, consumer creates preference to number of choices of some brands. Consumer also creates their buying purposes for the most preferred brands based on some factors such as the expected price according to their income and the expected benefits from a product. When consumers are going to act, some unexpected factors may arise and change their buying purposes.

Post purchase behavior. Consumer satisfaction or dissatisfaction to a product will affect the behavior of the next customers. If consumers feel satisfied, they will show higher possibility to buy the product all over again. But, if consumers feel less satisfied to a product, it will reduces the intensity towards the purchase of the product, and they might complain to the company, asking for compensation, or even spread the news about their discontent experience to a product.

3. Method

To evaluate and examine the values of COO image of Triumph motorcycles and its roles in the purchase decision of consumers, this research interviewed five Triumph users who owned Triumph motorcycles at least for 2 years, with qualitative case study approach. According to Patton (2001), qualitative research that uses data collection method by interviewing key informants, then the number of samples to be interviewed is approximately 5 (five) people. All informants in this research are the community members of Triumph motorcycle users. The advantages of this homogeneous sampling are able to reduce variation, simplify analysis, and facilitate group or community interviewing. To respect the privacy of informants, all names of informants purposely are disguised.

Meanwhile, discussion guide was constructed by elaborating the dimensions of COO image and purchase decision making process in the context of foreign brand of big motorcycles in Indonesia, while 18 open questions with probing were posed to informants. To get more insights, researchers also observed directly to the Triumph motorcycle show room and the community events. Insights from the launching party event which held on 17 September 2014 used as triangulated data, as well as data from digital observation both on the official websites of the object and of the competitors. Researchers also conducted interview with marketing manager of Triumph Indonesia to confirm some information gathered.

4. Results and Discussion

4.1 Authenticity for Need Recognition

The value of authenticity which owned by Triumph Motorcycles is a form of reflection of the image of the England as the country of origin where the brand of this big motorcycle is derived. England has its own image that different from other countries. England is known as a country that has an element of elegant, luxury, supported by the preservation of its heritage that makes cultural heritage become a precious treasure, and also closely associated with the fashion industry and stated as a modern country. The value of authenticity of the

country of origin which is reflected in the brand can be the impulse to consumer in *Need Recognition* stage where consumers still find out about their needs **(1)**. It is like a statement from one of Triumph's consumers:

> *UK is fashion, UK is heritage, UK is trendsetter. Those are perceptions that always popped out in people's mind when they know about UK and its root* (Rizky, interview 5 June 2015).

The statement shows that England is closely related to the upper class image. The image of England is also reflected in the Triumph motorcycle product itself. Triumph Motorcycles has different variants of the various motor class categories. But, there is one category of motorcycle that is excellent in Indonesia because lots of big motorcycle consumers in Indonesia have high interest and enthusiasm in this category, and the category is Modern Classic. Modern Classic is a Triumph's motorcycle category that has three different kinds of product type, such as Thruxton, Bonneville, and Bonneville T100.

These three kind of Triumph's motorcycle products have the dashing look of big classic motorcycle with good quality product adapted with the changing times. One of the consumers assumed that the three types of Modern Classic motorcycles category is really reflects the England. The sophisticated product display, elegant but still have the dashing look of big motorcycle, create the first impression of the consumers. In a question of consumer perception about: Is the image of country of origin reflected in the brand Triumph Motorcylcles, one of Triumph's consumers named Yoga clearly say that:

> *For me, it depends on the motorcycle itself, where the most of it is the riding position. Just like this, it is comfortable to ride. And also from the model and the design. It is clearly reflects the England based motorcycle, not too imperious, but remain as big motorcycle* (Yoga, interview 9 June 2015).

The consumer interest towards Triumph big motorcyle on motorcycle products that reflect the country of origin of where it derived indicates that the value of authenticity of the country of origin which is owned by Triumph appeared to have a role in consumer purchasing decision. Consumers who see the external appereance and physical form of Triumph's motorcycle products are getting to know and find out about their needs.

In addition, the authenticity also shown in the elemen of the brand. Triumph Motorcycels is a big motorcycle brand from England who succesfully market and develop their products in more than 10 countries in all around the world. From the research and further observation that have been conducted, researchers found that the value of authenticity in the form of reflection of the country of origin which is owned by Triumph Motorcycle are communicated through some elements of the brand itself, such as: the logo, the attributes in the Triumph Motorcycle 2014 Launching Party Event, and also the advertising.

Another authenticity values shown in the community of Triumph's rider. Triumph Motorcycle must have strategy that is used to develop and increase the sales in the big motorcycle market in Indonesia. Indra, as Marketing Manager of Triumph Motorcycles Indonesia, said that one of the strategies they used is community communication. They create a good communication with the community of Triumph's lover in order to maintain the consumer convenience within the community.

Today, in Indonesia, there have been two large comunities of Triumph's riders and lovers. One of them is Troupe Brut Rides. The Troupe Brut Rides comunity clearly shows the country of the origin of Triumph motorcycle. It can be seen from the style of the community member and also their high-class image from each member. This was explained by one of Troupe Brut Rides members:

> *For me, people who really know about big motorcycle and they choose Triumph as their motorcycle, it means that those people are keen with style. I choose Triumph because when i ride Triumph, i can feel the pride. And also the conversation between Triumph's riders are way better than the conversation between Harley Davidson's riders. It is just different. As you have known before that England is different from America. And i try to maintain that image in this Troupe, because personally, i am proud and i don't want this sophisticated image become an arrogant image just like most motor clubs that exist* (Doni, interview 3 July 2015).

It is no wonder that in recognition stage, the potential consumers tend to look at the community environment first before the choose the product. The value of COO*;* the authenticity of the country of origin which is reflected in the circle of Triumph's riders and lovers community creates a perception about how the Triumph's rider itself and it creates the representation of Triumph's brand image. This representation then becomes the stimuli for the consumers to find out about what they truly need and can the brand be predicted to satisfy their needs (Suharyanti, 2011).

4.2 Authenticity for Information Search

At the stage of information search, consumer will be at a stage where they begin to look for information to

satisfy their curiosity about a product or a brand that they have predicted will satisfy their needs (Kotler: 2000). Triumph motorcycle consumers will look for the deeper information and use their effort to get all of the knowledges and informations about the Triumph motorcycle that they admired.

It is because Triumph motorcycle products included in the category of products that require high involvement in accordance with Triumph motorcycle product criteria that has a price range over three hundreds million rupiah. At the information stage, the purchase decision making processes shows the high level of complexity of Triumph's consumer buying behavior (known as Complex Buying Behavior). This consumers buying behavior complexity can be solved with the help of the role of COO values*;* the authenticity of the country of origin which turned out to be an attraction and consideration for Triumph motorcycle consumers in stabilizing step to make a purchase decision.

The first authenticity in information search shown in the official website of Triumph Motorcycles **(2)**. The consumers of Triumph Motorcycles are consumers with SES A and A+ background where the consumers from this class can be classified in smart consumer group, which means a group of consumers that can attempt theirselves to dig the information about a brand or product they wants. At the stage of information digging in the purchase decision making process, it is found that Triumph Motorcycles consumers dig their own information about Triumph Motorcycles through the cyberspace. It is explained by the consumer named Yoga, who claimed that he dig the information through the cyberspace.

> *Before I have this motorcycle, I always dig the information about this brand from the website, and I already find out about the prices, specifications, even the accessories that fit with this Triumph motorcycle. I'm a lot more browsing the information about the history of its brand, its factory in Hinckley, any variation of its products, and as a result I know a lot of information about Triumph. Yes, it is because I dig it through the cyberspace* (Beno, interview 30 June 2015).

Any information that contained in the website that are either implicitly or explicitly can be a stimuli or even dismiss the consumers desire to look for further information, and it depends on the information that contained in the website. The more attractive and informative website of a certain brand would make consumers interested and decided to continue extracting the information or even further to the next stage in the purchase decision making processes.

The authenticity of COO that contained in the official website of Triumph Motorcycles can be seen with the use of artistic value of layout and display that contained on the website creates an elegant impression that reflect the image of Triumph Motorcycles itself. The value of authenticity that contained on the official website of Triumph Motorcycles communicated with the layout that fits with the characteristic of the products, such as the use of black as well as the use of the British flag emblem that forms an impression of "cool" for consumers who see it. It appears that any form of authenticity display the COO that shown on the official website turned to have a role in the information search about the brand and it can be a stimuli for the consumers at the *Information Search* stage in the purchase decision making processes of Triumph consumers.

Another authenticity is in the official sales dealer of Triumph Motorcycles. In an effort to sell products, Triumph Motorcycles Indonesia distributes their motorcyle products to two big motorcycles dealers that located in Jakarta. The official dealer of Triumph in Indonesia is PT Gerai Motor Terpadu. There is also common importer dealer called Troupe Industries. Both of these Triumph motorcycle dealers become a place where consumers can continue digging further information. The informations that provided by the dealer are the further informations about the brand and products of Triumph motorcycle provided by sales and marketing staff, people who provided the deeper informations about brand and products of Triumph motorcycle for the potential buyers. In addition, consumers can directly feel the experience of riding their desired motorcycle product through test drive program.

> *I got a lot of information about Triumph motorcycle through the cyberspace. I feel curious and want to try the product, and then I go to Troupe* (Rizky, interview 5 June 2015).

The confession of one of the Triumph consumers above is a proof that consumers seeking and digging the information by coming directly to the dealer. It shows that consumers make the dealer as one of their information provider in attempt to pass the *Information Search* stage in the purchase decision making processes.

4.3 Evaluating the Brand Differentiation

Evaluation of Alternative is one of the stages in the consumer purchase decision making processes where consumers do a comparison between some brands whose product can satisfy their needs. The comparison conducted carefully in accordance with the value of the product. Based on the type of product category, Triumph Motorcycles is not only a brand that can satisfy people's needs, but also a product that give certain value to a

people who own it, because Triumph is a prestigious product with high value.

At the *Evaluation of Alternatives* stage, the value of the COO becomes the distinctive characteristic owned by Triumph Motorcycles that used to be the stimuli for the consumers to do the comparison between Triumph and the competitors. The distinctive characteristic which is owned by Triumph Motorcycles is divided in two areas, the quality of machine performance and Triumph's product display, and also the brand image that created in consumer's eyes.

One of the advantages owned by Triumph Motorcycles in consumer's eyes is the quality of the machine and the product performance of Triumph motorcycle itself. Triumph Motorcycles Indonesia said that the quality of Triumph's machine performance has been through 72 hours handling test in Triumph Motorcycles factory in Hinckley, England, before the products are dropped in the market. In addition the quality of the machine performance, the body of Triumph motorcycle products also becomes one of the advantages owned by Triumph Motorcycles and become the distinguishing characteristic with competitors in consumer's eyes. It is clearly explained by Triumph's consumer.

> *The advantages is in the quality of the machine, it is not too easy to heat, and the body is not too big, and also the vibration of the motorcycle is not as hard as Harley Davidson which makes this motorcycle more comfortable to ride* (Doni, interview 3 July 2015).

Another statement about the body of the motorcycle also explained by Eja as follows:

> *I love the classic design owned by this motorcycle rather than big sized motorcycle owned by that "neighbor" brand* (Eja, interview 12 June 2015).

In addition to the quality and body performance, the brand image also becomes the consumer's consideration in the *Evaluation of Alternatives* stage. It is clearly shown in the statement explained by one of Triumph's consumer who previously was one of the consumers of Triumph competitor about how Triumph motorcycles have the added value compare to the competitors.

> *For me, the image of Triumph is shown in the personality of the motorcycle itself. The average motorcycles made in England have the same riding position. It is comfortable to ride. The design and the model of the motorcycle also reflected that it is made in England, not too imperious, but remain as big motorcycle* (Yoga, interview 9 June 2015).

From the statements that explained by both informants above, it can be concluded that the specialty of country of origin where Triumph Motorcycles is derived which is from England, become the distinctive characteristic that can be used as the comparison with the competitors **(3)**, and also have the role as the stimuli for consumers to do the *Evaluation of Alternatives* in their purchase decision making processes.

4.4 Quality that Drives Purchase and Post Purchase Actions

Quality standard is a necessity which is owned by a brand. It is in the form of an attempt to show the commitment on security, expertise, production processes and transparency regarding all matters related to a product to be marketed.

There is a question about what is causing the consumers ultimately decided to make a purchase of Triumph motorcycle products. From this question, the consumers responded that the *Quality Standard* is one of the reasons that make consumers make a purchase decision to a product **(4)**. As said by Rizky, a consumer of Triumph motorcycle as follows:

> *First, the services completeness and motorcycle spare parts are easy. Second, the solidarity of the community is great. We can share and also enlarge the connection. Third, is the quality of the motorcycle itself, it is easy to ride and I can use it to travel in a long distances* (Rizky, interview 5 June 2015).

These advantages make the consumers take an action to be the loyal customers of Triumph big motorcycles on *Post Purchase Decision* stages **(5)**. Consumers feel that the quality standard which is owned by the product does not disappoint and the consumer expectation of the products has been paid off. The fact that the quality product is just the same as promised by the brand makes the consumers feel satisfied and decided to become loyal consumers of Triumph Motorcycles.

It is concluded from the statement of one of the consumers of Triumph Motorcycles who purchase the product with the stimuli from the quality product, as follows:

> *Yes, my expectation has been paid off when I owned Triumph motorcycle. The quality of the motorcycle is balanced with the style. It looks dashing but also cool. I feel satisfied with the simple characteristic owned by*

this motorcycle; it is smooth and easy to ride (Yoga, interview 9 June 2015).

Indra, the Marketing Manager of Triumph Motorcycles Indonesia also said that so far the consumer's enthusiasm is in a positive way, it can be seen from consumer's participation as members in big motorcycle community and the participation of the community member in every touring event, and other events.

4.5 'Made in England' Is a Guarantee

The country of origin of a brand can make the brand image as a brand with a product that expert in its category. For example, pizza is a special food from Italy. The country image of Italy is famous for its delicious pizza, with the delicacy of the pizza makes pizza brand or products that derived from Italy have more value and can be regarded as expert in the product category of pizza.

This 'law' is also applicable on the big motorcycle products. In this case, the value of country of origin which is owned by Triumph Motorcycles makes Triumph as the expert in the big motorcycles category that emphasizes the aspects of style, gentlemen ride, and the elegance that is not owned by other big motorcycle products. This consumer reliance in the expertise of the brand can enhance the stimuli for the consumers to take post purchase action **(6)** and become the loyal customers of Triumph Motorcycles. From a loyalty, there will be love, which in the long term can lead to deep feeling to a brand, and as hierarchically it represents the culmination of customer loyalty (Wijaya, 2012). It is as explained by one of the consumers.

I like it because the brand is from England, which gives me a pride in terms of lifestyle and fashion. It increases my confidence and makes me feel so handsome. I like it also because it has consistency about the classic design that makes itself timeless (Eja, interview 12 June 2015).

From this consumer's statement, it seems that the consumers feel the satisfaction with a product based on the value of country of origin of Triumph Motorcycles. It explained that the country of origin appears to have the stimuli for the consumers not only to the purchase decision, but until further action; become loyal customers and even more become lovers of Triumph as the big motorcycle brand. If it is illustrated, the role of Country of Origin's value in the consumers purchasing decision process of big motorcycle Triumph can be seen in the Figure 1 below.

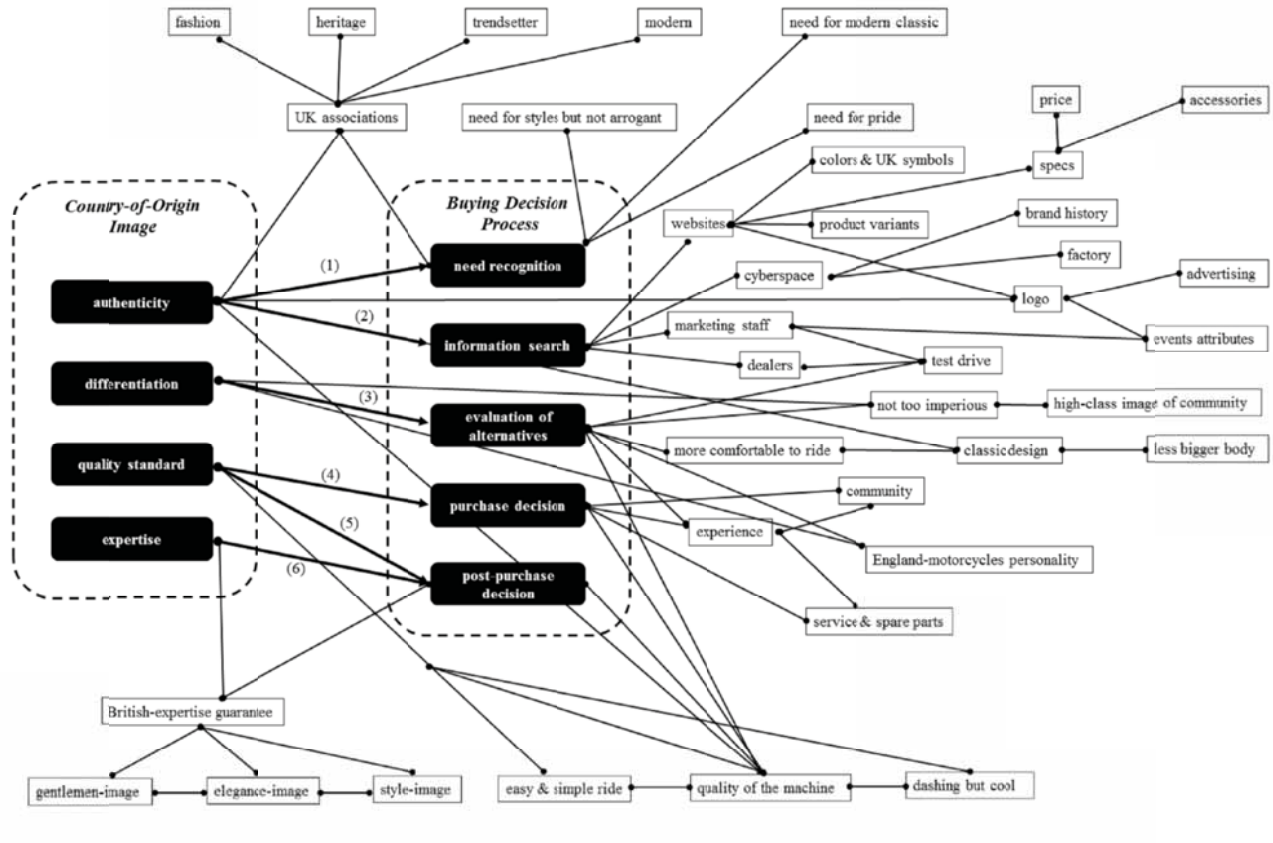

Figure 1. The connections between COO images and purchase behavior of big motorcycles in Indonesia

5. Conclusion

From this research found that the indicator of *Authenticity* is an indicator that has the prominent role to consumers in the early stages, *Need Recognition* and *Information Search* in consumers purchase decision making processes towards big motorcycles Triumph as the form of the COO value. It reflects the brand and product based on the image of England that appears in consumers mind, such as the brand element (logo and advertising) to the Triumph's motorcycle product display itself. Meanwhile, the indicator of *Differentiation* has the role in the *Evaluation of Alternatives* stages as a form of distinctive characteristic that differentiate Triumph Motorcycles with competitors such as quality of the product and brand image which is created in the consumers mind. It becomes the stimuli for consumers in comparing Triumph with other big motorcycle brands.

In addition*, Quality Standard* is the indicator that has the prominent role as the stimuli for the consumers in the two final stages: *Purchase Decision* and *Post Purchase Decision.* It is concluded from the consumer's statements who said that one of the reason why they take the purchase decision is the quality standard which is owned by Triumph, and the consumers satisfaction are created because the quality is still maintained as well, so the consumers decided to become loyal to Triumph Motorcycles.

While the *Expertise* indicator is the indicator which has the role in the last stages of purchase decision making process, *Post Purchase Decision.* Triumph Motorcycles is perceived as the brand from the country with expertise in big motorcycles category that emphasizes the aspects of style, gentlemen ride and the elegance that is not owned by other big motorcycle products. This perception then stimulates consumers to be loyal to Triumph Motorcycles as well.

The informants have been through the decision making processes by the complex way (complex decision). It is based on the product category of Triumph which is a prestigious product with high value that can fulfill and satisfy the consumer's psychological needs that required high involvement. Stage by stage in purchase decision making process was passed by the consumers with the stimuli of COO that eventually able to make the consumers take the decision on purchasing Triumph's big motorcycle product, or even love the product.

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Triangle Relationships among Ownership Structure, Dividend Policy and Firm Performance: *An Empirical Study in Vietnamese Companies*

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Abstract

This paper studies the triangle relationships among ownership structure, dividend policy and firm performance by investigating 34 Vietnamese companies in Construction and Construction Material industries which are listed on Hanoi Stock Exchange, Ho Chi Minh Stock Exchange, and UPCOM Stock Exchange over the period from 2011-2013. The paper studies ownership concentration, dividend payout ratio, and two measures of firm performance, namely Price to Earnings (P/E) ratio and Return on Asset (ROA). Pooled Ordinary Least Squares Model and Fixed Effect Model were used to examine three relationships between: (i) ownership concentration and dividend policy, (ii) dividend policy and firm performance, and (iii) ownership concentration and firm performance. Ownership concentration is found to increase the level of dividend payout. Dividends are positively correlated with both P/E ratio and ROA. Finally, ownership concentration is found to have negative impacts on P/E ratio but no significant impacts on ROA.

Keywords: dividend policy, firm performance, ownership concentration, ownership structure, P/E, ROA, Vietnam

1. Introduction

In the light of financial management perspective, maximizing shareholders' wealth is an appropriate objective a business firm should aim for in order to maximise the company's value. The company's value is represented by the market price of company's shares. Both managers and investors need to focus on the goal of maximizing the company's wealth, which benefits both stockholders and corporate insiders.

This goal can be achieved by optimizing three core financial decisions: investment, financing, and dividend. Among these financial decisions, not only is dividend payout policy one of the key decisions of the managers but it only creates value for and thus captures the attention of the shareholders. Dividend decision deals with the payment of dividend or distribution of profits to the shareholders in a certain period. The determinants of dividend-distributing decision and the amount of dividends are mainly based on the company's profits or surplus cash and its future growth potential. When a firm has much cash in surplus, after taking into account the need for business re-investment, it is expected to pay out a fraction or all of those surplus cash as dividends. In Vietnam, companies pay much attention in distributing values to shareholders. In a research of Bich V. and Yen D. (2014), it is found out that 68.75 to 88.64 percent of 176 listed companies paid cash dividends in the period from 2008 to 2012. The level of dividend payout was also high: the average dividend yield was 16.4 percent and dividend per share reached 5.81 percent of earning per share. The impacts of dividend policy on ownership structure and company's performance have been a central subject of various studies. However, the results still remain controversial among those studies (Kumar, 2003; Ramli, 2010; Al-Malkawi, 2007; Thomsen, 2004).

Ownership structure of firms, reflecting how equity ownership is distributed among shareholders, is a topic of major importance because it might impact managers' incentives, thereby affecting firm performance. One crucial subject in corporate governance is the impacts of large owners holding significant amount of shares. Large shareholders (block-holders) may play a valuable role in reducing the agency problems between shareholders and managers, but recent studies have paid much attention to another conflict-of-interest problem between block-holders and minority shareholders. Block-holders may prefer management authority and low dividends because they might be able to extract private benefits from controlling firms, while minority shareholders prefer high dividends. However, the results are debatable with negative, positive and insignificant relationship between

ownership structure and firm performance (McConnel & Servaes, 1990; Kumar, 2003; Thomsen, 2004).

In Vietnam, ownership structure can be observed with high level of ownership concentration. The ownership of Vietnamese firms, like other Asian firms such as Malaysian firms, is significantly concentrated by large institutional founders or state-owned enterprises. This fact, along with the small numbers of Vietnamese studies investigating the relationship between ownership structure and company's performance, motivates the author to carry out this paper.

However, compared to previous studies, this paper will approach a new method: besides investigating the direct relationship between ownership concentration and firm performance, an indirect approach will also be employed by examining the effects of ownership concentration on dividend policy and the effects of dividend policy on firm performance. The author hopes that the comparison of the two approaches will yield more reliable findings for the paper.

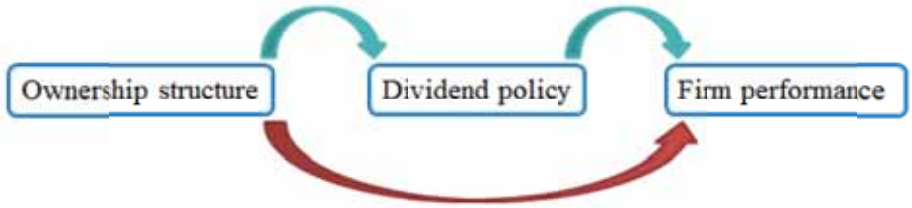

Figure 1. Research approaches

The sample data set includes 34 Vietnamese companies in Construction and Construction Material industries, which are listed on Hanoi Stock Exchange (HNX), Ho Chi Minh Stock Exchange (HOSE), and UPCOM Stock Exchange (UPCOM). These two industries are selected for analysis since they are closely related in a similar economic context. This is also because of the author's attempt to widen the data range in order to yield more reliable results. The study period is from 2011 to 2013. Ordinary Least Squares (OLS) and Fixed Effect Model (FEM) are used in five regression models as following:

Table 1. Five regression models of the paper

Model	Dependent variable	Independent variable
Model 1	Dividend payout ratio	Ownership concentration
Model 2	P/E	Dividend payout ratio
Model 3	ROA	Dividend payout ratio
Model 4	P/E	Ownership concentration
Model 5	ROA	Ownership concentration

This paper is organised as follow: Section 2 presents literature review and hypothesis development. Section 3 develops the methodology including theoretical models. Section 4 presents and analyses the data results. Section 5 presents some conclusions.

2. Literature Review and Hypothesis Development

2.1 The Effects of Ownership Structure on Dividend Policy

Ramli (2010) investigated the impact of the largest shareholder on corporate dividend policy by investigating listed companies in the 2002-2006 period in Malaysia, where ownership structure is concentrated and large shareholders are in control. The study finds that the largest shareholder owns around 40 percent of the company paid-up capital. Analysis has been carried out with the view that companies' dividend policy may be used to expropriate wealth from minority shareholders. Tobit regression results suggest that companies with higher ownership concentration will pay higher dividend. Dividend payout is also larger when there is a presence of a substantial second largest shareholder in the company.

Thanatawee (2013) studied the potential link between ownership structure and dividend payout by examining 421 non-financial companies in Thailand from 2002 to 2010. The findings show that ownership concentration

has positive impacts on both the decision to pay dividend and the amount of payment. Moreover, firms with high institutional (individual) ownership are more likely to distribute dividends and tend to distribute higher dividends. This is explained by agency theories which suggest that controlling individual shareholders expropriate minority shareholders by restricting dividend payment while major institutional shareholders could influence managers' decision to increase dividends.

In case of Jordan – an emerging market, Al-Malkawi (2005) indicated that ownership dispersion has no impact on either the decision to distribute dividends or the amount of dividend payout. Another research in Jordan of Al-Nawaiseh (2013) also studied the impact of ownership dispersion, as measured by the natural log of the number of stockholders, on the size of dividends. It is also found that there is no significant relationship between ownership dispersion and dividend policy in both Tobit analysis and Ordinary Least Squares model.

In Vietnam, however, the number of paperwork dealing with the relationship between dividend policy and ownership structure is quite modest. A study of Bich V. and Yen D. (2014) suggests that state ownership has a significance relationship with the level of dividend payout. State-owned enterprises (SOEs) tend to distribute more dividends than non-SOEs, because non-SOEs are externally funded, thus they have to retain more profits to invest in further growth.

2.2 The Effects of Dividend Policy on Firm Performance

According to Thomsen (2004), dividend policy has negative impacts on firm performance. The author indicates that high dividend payment today means there will be less to distribute in the future. Because firm performance is measured as the discounted cash flow to shareholders in the future, this will have a negative impact on firm performance.

The opinion of negative effects of dividend policy on firm performance is also suggested by Asquith and Mullins (1983) who pointed out that the reason is due to other costs associated with dividend payment. The companies have to pay administrative costs for dividend distribution as well as transactional costs associated with new equity issuance. The reason is that pay-out of dividends needs to be funded by new equity with given investment policy and capital structure.

On the other hand, positive relationship between dividend policy and company's performance has also been suggested by many scholars. Shareholders traditionally would prefer cash dividends. Dividend payment can help improve firm performance in the way that it is a communication method to shareholders, delivering valuable information such as increasing dividends indicating improved corporate performance and managers' commitment to maximise shareholders' value.

Nissim and Ziv (2001) suggest a positive relationship between current dividend changes and future earnings changes – one measure of profitability. The authors value profitability in terms of either future earnings or future abnormal earnings. Future abnormal earnings equal the difference between total earnings and normal earnings, and normal earnings are referred to as the shareholders' required return on the basis of the cost and level of invested equity capital. Specifically, they indicate that when using a regression model that controls for the expected changes in earnings, changes in dividend have positive impacts on changes in future earnings.

Thafani and Abdullah (2014) finds that profitability, as measured by ROA and ROE, increases with the dividend. The results suggest that firms increasing dividend payment to shareholders will experience an improvement in their profitability, whereas firms reducing the payment will face with a reduction in their profitability. Furthermore, the study emphasises that dividend payout policy is a major factor influencing the magnitude of firm profitability. Specifically, it is pointed out that increasing in dividend policy shows the improvement in firm profitability.

2.3 The Effects of Ownership Structure on Firm Performance

A study of Thomsen (2004) found that while in the United States and United Kingdom ownership concentration has a positive relationship with company's performance (as calculated by the ratio of equity's market value and total debt's book value over assets' book value), in Europe the relationship is negative. The negative relationship in European firms is non-linear: block-holder ownership at 60 percent or below negatively impacts firm performance, but when it rises further, it improves company's performance. The negative impacts may reflect possible expropriation of block-holders, but when ownership is concentrated in the hands of some block-holders, the positive impacts may reveal that the block-holders internalise more of the consequences of their actions.

Wahla et al. (2012) found that managerial ownership and firm performance (measured by Tobin's Q) are negatively correlated, while the relationship between ownership concentration and firm performance is insignificant. The negative impact of insider ownership is explained that high fraction of shares owned by

corporate insiders may trigger agency problems in Pakistani, which ultimately affects firm performance.

Wu and Cui (2002) studied the relationship between ownership concentration and firm performance, as measured by both accounting profits and market value. It is found that ownership concentration has significant and positive impacts on firm profits, as measured by return on assets (ROA) and return on equity (ROE). However, in terms of market value as measured by price-earnings ratio (P/E) and market price to book value ratio (M/B), the relationship is significantly negative.

Neghabi and Mahmoodnia (2015) also found a negative relationship between ownership concentration and market-based performance when investigating manufacturing and trading firms in Iran. This finding is explained by agency theory that large shareholders often use their voting power to control some firm activities for their self-interests in the expense of minority shareholders and may be not really ready for transacting stocks to maintain their control.

However, Khoshkhoo et al. (2013) indicates an opposite result that there is a positive relationship between ownership concentration and market-based firm performance, as calculated by stock return and P/E ratio. As such, the authors conclude that ownership concentration improves corporate performance. It is explained that ownership dispersion leads to agency problem between shareholders and managers because the shareholders will have less control over firm managerial decisions. Therefore, high level of ownership concentration will help decrease agency costs, enabling the shareholders to supervise managers' performance.

3. Methodology

3.1 Data Collection

This study will construct a panel data from a list of 34 Vietnamese companies in Construction and Construction Material industries in the 2011-2013 period. This data set is built from 132 Vietnamese companies listed on HNX, HOSE and UPCOM, including 81 companies in Construction industry and 51 companies in Construction Material industry. Companies that did not paid cash dividends for at least two consecutive years will be dropped out to rule out the possibility that the shorter time span for some companies would influence the results. Also companies with unavailability data of ownership structure will also be eliminated from the data set. Overall, the final data set in this study includes 34 companies in a time span of three years, meaning there are approximately 102 observations.

Data of this study is extracted from firms' annual reports, financial statements and other public financial data sources such as www.vietstock.vn, www.stockbiz.vn and www.cophieu68.com.

3.2 Model Specification and Determination of the Most Appropriate Regression Model

There are five models to examine the potential relationships between ownership structure and dividend policy, dividend policy and firm performance, and ownership structure and firm performance. The determination of the most appropriate model to be applied, whether it is pooled Ordinary Least Squares (OLS), Fixed Effect Model (FEM) or Random Effect Model (REM), will also be discussed.

3.2.1 Model 1 – Testing the Effects of Ownership Structure on Dividend Policy

To investigate the impacts of managerial ownership and ownership concentration on dividend policy, this study will analyze a model with dependent variable being dividend payout ratio, and independent variables including: (i) the fractional shares owned by the first largest shareholders ($FIRST_{ti}$) and (ii) a dummy variable ($DUMSEC_{ti}$) taken the value of 1 if the second largest shareholding is equal or over 5 percent, 0 if otherwise (following Ramli, 2010).

Following Al- Gharaibeh et al. (2013), in order to control for the other possible determinants of dividend policy not captured by the ownership variables, the author also includes some control variables ($CONTROL_{ti}$) including earnings per share (EPS_{ti}), firm size ($SIZE_{ti}$), leverage ratio (LEV_{ti}), and market to book value ($MTBV_{ti}$).

Thus, the first model to be analyzed in this paper is:

$$Log(D_{ti}) = \alpha + \beta_1 * log(FIRST_{ti}) + B_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$$

Detail of the dependent and independent variables in the model is shown in Table 2:

Table 2. Dependent and independent variables of Model 1

DEPENDENT VARIABLE	
❖ D_{ti}	: Dividend per share at time t.
INDEPENDENT VARIABLES	
❖ $FIRST_{ti}$	: The proportional of shares owned by the first largest shareholders.
❖ $DUMSEC_{ti}$	: A dummy variable taken the value of 1 if the second largest shareholding is equal or more than 5 percent, 0 if otherwise
CONTROL VARIABLES (or $CONTROL_{ti}$ in the above equation)	
❖ EPS_{ti}	: Earning per share of firm i at time t.
❖ $SIZE_{ti}$	: Natural log of total assets.
❖ LEV_{ti}	: Ratio of the book value of total debt to total equity.
❖ $MTBV_{ti}$	: Future growth opportunities measured as the ratio of market to book value of equity.

- **Control variables:**

➢ EPS_{ti} is the ratio of net profits over the total number of ordinary shares outstanding. The higher the EPS, the higher the possibility that firms are generating huge cash from operation and likely to distribute the surplus cash as dividends to shareholders.

➢ $SIZE_{ti}$: Larger firms may have more resources and financial capability in surplus to pay out cash to the shareholders. Smith and Watts (1992) state that firms owning more assets tend to pay more dividends. The firms' size in this paper is measured as the natural log of total assets: $SIZE_{ti}$ = ln (Total $Assets_{ti}$).

➢ LEV_{ti}: It is predicted by the recent studies that the financial leverage has negative effects on dividend payout (Jensen 1986 and Stulz 1990). It is suggested that financial leverage can help monitor managers' behavior, thus reducing the agency problem and the need to pay out dividends.

➢ $MTBV_{ti}$: Amidu and Abor (2006) state that with greater anticipated growth potential, a company will pay fewer dividends because it is preferable to retain a greater amount of cash for investment in growth rather than using external funds which is associated with paying transaction costs.

The hypothesis is:

Hypothesis 1: Ownership concentration has positive effects on dividend policy.

Regarding the regression model to be applied, the author use Redundant Fixed Effect – Likelihood Ratio to choose between OLS and FEM with the null hypothesis being OLS is the appropriate model. As p-value is 0.099 which is higher than the significant level of 5 percent, the null hypothesis is not rejected; thus, OLS is appropriate for Model 1.

3.2.2 Model 2A & 2B – Testing the Effects of Dividend Policy on Firm Performance

Following Khoshkhoo et al. (2013), P/E ratio (P_E_{ti}) will be chosen as dependent variable as one of the most important market based criteria for evaluating corporate performance. Also following Kumar (2003) and Thomsen (2004), another indicator for firm's accounting based performance, ROA_{ti}, will also be chosen as dependent variable in another model. Independent variable is dividend payout ratio (D_{ti}). In order to control for the other possible determinants of firm performance not captured by the ownership variables, the author also includes some firm characteristics as control variables including size ($SIZE_{ti}$), leverage ratio (LEV_{ti}), asset turnover ratio ($ASTURN_{ti}$) and growth in sales ($SALESGR_{ti}$). The control variables used in the study have been selected with reference to those employed in earlier studies. Thus, this study will construct the following equations:

$$\textbf{Model 2A: } P_E_{ti} = \alpha + \beta_1 * D_{ti} + \beta_2 * CONTROL_{ti} + \mu_{ti}$$

$$\textbf{Model 2B: } ROA_{ti} = \alpha + \beta_1 * D_{ti} + \beta_2 * CONTROL_{ti} + \mu_{ti}$$

Detail of the dependent and independent variables in the model is explained in Table 3:

Table 3. Dependent and independent variables of Model 2A and 2B

DEPENDENT VARIABLES	
❖ P_E_{ti}	: P/E ratio at time t of firm i.
❖ ROA_{ti}	: The ratio of return on assets calculated as net income divided by total assets.
INDEPENDENT VARIABLES	
❖ D_{ti}	: Dividend per share at time t.
CONTROL VARIABLES (or $CONTROL_{ti}$ in the above equation)	
❖ $SIZE_{ti}$	: Natural log of total assets.
❖ LEV_{ti}	: Ratio of the book value of total debt to total equity.
❖ $ASTURN_{ti}$	: Ratio of sales/assets of the firm i.
❖ $SALESGR_{ti}$	: Changes of sales revenue from the year t-1 to t.

- **Control variables:**
  - $SIZE_{ti}$: The effects of firm size's on firm performance suggested in the previous studies are ambiguous. Larger companies cannot operate as efficiently as smaller ones because top managers cannot control over certain operational activities (Sarkar and Sarkar 2000). On the other hand, large firms can be more efficient as they are likely to take advantage of the economies of scale.
  - LEV_{ti}: Leverage measures financial risk because a company will have to pay interest even when it does not make profit, and failure to do so will result in bankruptcy. Thus, a company with high leverage ratio may be valued low for those investors who do not prefer risky investments. On the other hand, borrowing can actually have positive impacts on profitability as it is a cheaper way than using internal sources to fund good projects.
  - $ASTURN_{ti}$: This ratio is expected to have positive relationship with ROA because higher turnover means that assets are used efficiently to generate high profitability.
  - $SALESGR_{ti}$: Higher sales revenue over the years often goes along with higher profitability if the firms can control the increase in total costs.

The hypotheses are:

Hypothesis 2: Dividend policy has positive effects on P/E.

Hypothesis 3: Dividend policy has positive effects on ROA.

For Model 2A, regarding the regression model to be applied, the author use Redundant Fixed Effect – Likelihood Ratio to choose between OLS and FEM. As p-value is 0.0011, FEM is chosen. To determine whether FEM and REM is more appropriate, the author will use Hausman test with the null hypothesis being REF is appropriate. As the result shows a p-value which is 0.0016 than significance level of 5 percent, the null hypothesis is rejected, meaning FEM is more appropriate. This result is consistent with Al- Gharaibeh (2013) who suggests that fixed effects estimations are more appropriate than random effects estimations after applying Hausman test.

For Model 2B, the author use Redundant Fixed Effect – Likelihood Ratio to choose the most appropriate regression model between OLS and FEM. The result shows that FEM is more suitable than OLS as null hypothesis is rejected at p-value of 0.000. FEM is also found to be more appropriate than REM when applying Hausman test at p-value of 0.0444.

Therefore, both Models 2A and 2B will be set up with FEM to test the effects of dividend payout on firm performance.

3.2.3 Model 3A & 3B – Testing the Effects of Ownership Structure on Firm Performance

Following Kumar (2003) and Thomsen (2004), this study will construct the following equations:

$$\textbf{Model 3A: } P_E_{ti} = \alpha + \beta_1 * FIRST_{ti} + \beta_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$$

$$\textbf{Model 3B: } ROA_{ti} = \alpha + \beta_1 * FIRST_{ti} + \beta_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$$

Detail of the dependent and independent variables in the model is explained in Table 4:

Table 4. Dependent and independent variables of Model 3A and 3B

DEPENDENT VARIABLES	
❖ P_E_{ti}	: P/E ratio at time t of firm i.
❖ ROA_{ti}	: The ratio of return on assets calculated as net income divided by total assets.
INDEPENDENT VARIABLES	
❖ $FIRST_{ti}$	: The proportional of shares owned by the first largest shareholders.
❖ $DUMSEC_{ti}$	: A dummy variable taken the value of 1 if the second largest shareholding is equal or more than 5percent, 0 if otherwise
CONTROL VARIABLES (or $CONTROL_{ti}$ in the above equation)	
❖ $SIZE_{ti}$	: Natural log of total assets.
❖ LEV_{ti}	: Ratio of the book value of total debt to total equity.
❖ $ASTURN_{ti}$	: Ratio of sales/assets of the firm i.
❖ $SALESGR_{ti}$	: Changes of sales revenue from the year t-1 to t.

The hypotheses are:

Hypothesis 4: Ownership concentration has negative effects on P/E.

Hypothesis 5: Ownership concentration has negative effects on ROA.

For Model 3A, regarding the regression model to be applied, the author use Redundant Fixed Effect – Likelihood Ratio to choose between OLS and FEM. As p-value is 0.7335, much higher than the significant level of 5 percent, the null hypothesis is not rejected; thus, for Model 3A, OLS is the more appropriate than FEM and REM.

For Model 3B, FEM is shown to be more appropriate than OLS and REM as p-values in both Redundant Fixed Effect – Likelihood Ratio and Hausman Test are below 5 percent of significant level.

Thus, Model 3A will be constructed using OLS and Model 3B will be constructed using FEM.

4. Data Analysis

4.1 Descriptive Analysis

Table 5 shows the distribution of the sample companies' ownership structure, while Table 6 summarizes the financial characteristics of those companies.

Table 5. Ownership structure of 34 Vietnamese listed companies in Construction and Construction Material industries in the 2011-2013 period

Variable	Observation	Mean	Median	Max	Min	Standard Deviation
FIRST	102	0.3983	0.5100	0.6070	0.1455	0.1569
DUMSEC	84	0.6950	1	0	0	0.4651

Regarding ownership structure, not all companies in Vietnam declare the data of the second largest shareholders, which is shown by the lower number of observations in the table 4.4. Among the companies studied in this paper, ownership concentration is high because the first largest shareholder (*FIRST*) on average holds 39.83 percent of the company's total equity with a median of 51 percent. The higher median indicates that the number of companies with significant first largest shareholding overwhelm the data set. The highest and smallest fraction of equity held by the first largest shareholder equals 60.70 and 14.55 percent. Among those Vietnamese listed companies in Construction and Construction Material industries studied in this paper, the majority has the first largest shareholders being stated-owned enterprises. The remaining companies have securities and investment companies as their first largest shareholders. Thus, first largest shareholding could also be considered as state ownership to some extent. As compared to other countries, the level of level of ownership concentration in Vietnam is not higher than Malaysian companies having mean (median) of first largest shareholding being 40.21 (40.41) percent as indicated by Ramli (2010).

About the second largest shareholding (DUMSEC), 69 percent of those companies declaring the data have the second largest shareholding above 5 percent, which is much higher than that in Malaysia. This illustrates the high level of ownership concentration among selected companies as shareholding above 5 percent is considered as large or significant.

The descriptive analysis of some financial characteristics of companies in the data set is shown in Table 6:

Table 6. Firm's characteristics of 34 Vietnamese listed companies in Construction and Construction Material industries in the 2011-2013 period

Variable	Observation	Mean	Median	Max	Min	Standard Deviation
DIV	98	0.1427	0.1400	0.4300	0.0100	0.0693
P/E	102	6.7388	4.73	30.24	1.16	5.9017
ROA	102	0.0436	0.0332	0.1678	0.0015	0.0377
EPS	102	2486.483	2048	7890	163	1660.499
SIZE	102	13.3582	13.6143	15.8970	10.6455	1.2963
LEV	102	2.9884	2.6744	10.2838	0.0790	2.2867
MTBV	102	0.5803	0.5100	1.7800	0.1800	0.2859
ASTURN	102	0.9753	0.8650	2.8	0.04	0.5757
SALESGR	102	0.1199	0.0739	1.9795	-0.5385	0.3656

There are only 98 observations of *DIV* because some companies decided not to pay dividends in one of the years during the period. On average dividend payout in Vietnamese companies in Construction and Construction Material companies from 2011 to 2013 equals to 14.27 percent and the median equals 14 percent (equivalent to 1,400 VND/share). The largest dividend payout is as high as 43 percent, but the lowest dividend payout is only 1 percent, showing the significant difference in dividend payout policy among companies.

P/E as an indicator of market based firm performance has a mean (median) of 6.7388 (4.73) and maximum (minimum) value of 30.24 (1.16), indicating the deviation in market performance of sample firms despite being in closely related industries. Another indicator, *ROA*, shows wider variation in accounting based performance of sample firms. ROA ranges from 0.15 to 16.78 percent with mean (median) of 4.36 (3.32) percent. The lower median indicates that there are more firms in the range of low ROA.

EPS of companies in Construction and Construction Material industries is quite high with mean (median) at 2486.483 (2048) VND/per share. The companies investigated in this study do not vary much in terms of *SIZE* as measured by natural log of total assets, which ranges from VND 15.8970 to 10.6455 million. Firm size has mean (median) of VND 13.3582 (13.6143) million.

However, the other ratios indicate much variation in the performance of sample firms. Leverage (*LEV*), as calculated by the ratio of total debt over total equity, is high with mean (median) of 298.84 (267.44) percent, which shows that companies in those industries utilise a large number of external funds for their operation. *MTBV*, as equivalent to P/B, is quite high with an average (median) of 58.03 (51.00) percent, suggesting that firms having good potential for growth. Regarding operation efficiency, sample companies has asset turnover rate (*ASTURN*) of 0.9753 on average, which is good for companies in Construction and Construction Material industries which are usually asset-intensive. Finally, average sales growth rate (*SALESGR*) of those firms is also impressive at 11.99 percent with median of 7.39 percent. However, there are some companies with exceptionally high growth potential of 197.95 percent, but at the same time some of the companies performed adversely with negative sales growth (-53.85 percent).

4.2 Empirical Results

4.2.1 Model 1 - Testing the Effects of Ownership Structure on Dividend Policy

The empirical results of Model 1 are summarised in Table 7:

Table 7. Empirical results of Model 1

$Log(D_{ti}) = \alpha + \beta_1 * log(FIRST_{ti}) + B_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$

Dependent variable	LOG(DIV)		
Independent variables	Coefficient	P-value	Relationship
LOG(FIRST)	0.301924	0.0253	Significant
DUMSEC	-0.067557	0.5523	
EPS	0.000232	0.0000	Significant
SIZE	-0.082367	0.0798	
LEV	0.007370	0.7944	
MTBV	0.447745	0.0093	Significant
R-squared		0.554019	
Prob (F-statistic)		0.002405	

Overall, the model is of significance because p-value is much lower than 5 percent.

There is found to be a significant and positive relationship between ownership concentration, as represented by the first largest shareholding (*FIRST*), and dividend policy at p-value of 0.0253. This finding supports Hypothesis 2 and is consistent with Ramli (2010). This indicates that the dividend policy may be utilised to solve agency problem between large and minority shareholders. The agency problem is very likely to arise in companies with high ownership concentration because minority shareholders have great fear that large shareholders may use their power to decrease dividend payout and retain earnings to create private benefits. This action conflicts with the interests of minority investors who may prefer high dividends as returns for their investments. Moreover, the high level of ownership concentrated in one largest shareholder may raise the concern of expropriation. High level of dividend payout can be a signal for block-holders' unwillingness to exploit company's assets. Regarding the effect of the second largest shareholder, the model does not show significant relationship between *DUMSEC* and dividend policy.

Among the control variables, *EPS* and *MTBV* exhibit significant and positive association with dividend policy at significance level of 1 percent. This is in line with expectation of this study that higher EPS will increase dividend payout, but it is contradict with the author's expectation and findings of Amidu and Abor (2006) that higher MTBV means greater opportunity for growth and thus the companies will retain more cash for investment rather than paying out as dividends. Different from that theoretical premise, Vietnamese companies in the data set distribute high cash dividends despite having great growth potential with average sales growth rate of 11.99 percent as shown in the descriptive analysis. In this regard, it can be concluded that those companies use a part of their internal funds for dividend payout in order to distribute value to existing shareholders and attract other investors. High dividend payout can be a signal for the commitment to shareholder value creation and company's great profitability. It might be possible that those companies use both internal and external funds (i.e. borrowing, as proven by the high level of leverage) for their operation.

Finally, there is no evidence found in the model indicating significant relationships between *SIZE* and *leverage* and dividend policy.

4.2.2 Model 2A & 2B - Testing the Effects of Dividend Policy on Firm Performance

Firstly, the empirical results of Model 2A are summarised in Table 8:

Table 8. Empirical results of Model 2A

$P_E_{ti} = \alpha + \beta_1 * D_{ti} + \beta_2 * CONTROL_{ti} + \mu_{ti}$

Dependent variable	P/E ratio (P_E)		
Independent variables	Coefficient	P-value	Relationship
DIV	41.14654	0.0007	Significant
SIZE	-9.606668	0.1327	

LEV	2.569768	0.1238
ASTURN	3.169272	0.4484
SALESGR	-0.497554	0.7849
R-squared		0.592523
Prob (F-statistic)		0.000000

Overall, the model is of significance because p-value is much lower than 5 percent.

Dividend payout ratio (*DIV*) is found to help improve P/E, which supports Hypothesis 3 of the paper. This finding is opposite with some researches arguing that cash dividends will decrease firm performance because if pay-out at time t is high, there will less to pay out in future periods. This may have a negative effect on firm performance, which is theoretically the discounted expected present value of future dividends. However, researchers such as Lintner (1956), Gordon (1959), Ross (1977) and Bhattacharya (1979) conclude that dividend payments can deliver valuable information to investors, thereby having positive influence on firm performance. High dividends signal that the firm is particularly successful or that its managers are particularly committed to maximizing shareholders' value. Moreover, in this paper when examining the link between dividend policy and P/E ratio in conjunction with the effects from ownership structure, a positive relationship can be suggested. Companies in the data set have high level of ownership concentration (with an average of 39.83 percent), which may trigger agency problem between large shareholders and minority shareholders. In this case, it is suggested by Thomsen (2004) that if stock prices are set at the margin by minority investors, lower dividends and higher retained earnings could lead to lower firm performance since minority investors would correctly expect some level of self-dealing by controlling owners of firms with high retained earnings. In this regard, in companies with high ownership concentration, higher dividends may be better and help increase how much firms are valued by investors.

Results show that the effects of other control variables (*SIZE*, *leverage*, *asset turnover rate* and *sales growth*) on P/E ratio are insignificant. This result is unexpected and may be due to the wide variation in data as a result of the inefficiency of Vietnamese market.

Secondly, the empirical results of Model 2B are summarised in the Table 9:

Table 9. Empirical results of Model 2B

$ROA_{ti} = \alpha + \beta_1 * D_{ti} + \beta_2 * CONTROL_{ti} + \mu_{ti}$

Dependent variable		ROA	
Independent variables	Coefficient	P-value	Relationship
DIV	0.309262	0.0000	Significant
SIZE	-0.019220	0.2460	
LEV	0.002928	0.4969	
ASTURN	0.029281	0.0088	Significant
SALESGR	-0.002639	0.5786	
R-squared		0.931065	
Prob (F-statistic)		0.000000	

Overall, the model is of significance because p-value is much lower than 5 percent. Furthermore, the R squared of 93.106 percent reveals the high accuracy of the model in which over 93 percent of variation of ROA is captured by changes of predictor variables. Therefore, Model 2B is very reliable in explaining the relationship between dividend policy on firm performance.

Similar to Model 2A, *DIV* in Model 2B also shows positive and significant impacts on ROA. This result is in line with Nissim and Ziv (2001) and Thafani and Abdullah (2014). Lie (2005) argued that firms that increase payout have excess financial flexibility and exhibit positive concurrent income shocks and decreases in income volatility. He stated that firms that increase payout have lower past volatility of operating income than other

firms. This can be explained by the fact that managers increase the firm's payout when they believe that the probability of sustaining the current level of income is high. Firms that decrease dividends on the other hand, have higher past volatility than other firms, and this volatility is on the rise.

Although no significant relationship between *firm size*, *leverage* and *sales growth* and firm performance is found due to the variation of data, *asset turnover rate* exhibits a significant positive connection with ROA.

4.2.3 Model 3A & 3B – Testing the Effects of Ownership Structure on Firm Performance

Firstly, the empirical results of Model 3A are summarised in the Table 10:

Table 10. Empirical results of Model 3A

$P_E_{ti} = \alpha + \beta_1 * FIRST_{ti} + \beta_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$

Dependent variable	P/E ratio (P_E)		
Independent variables	Coefficient	P-value	Relationship
FIRST	-15.93082	0.0019	Significant
DUMSEC	1.971742	0.1880	
SIZE	-0.279832	0.6899	
LEV	0.605651	0.0962	
ASTURN	-0.101003	0.9431	
SALESGR	1.037636	0.5514	
R-squared		0.167927	
Prob (F-statistic)		0.027934	

Overall, the model is of significance because p-value is lower than 5 percent.

Ownership concentration, as measured by the first largest shareholding, also has a negative relationship with firm market value at p-value of 0.0019, which is in line with Neghabi and Mahmoodnia (2015). As a significant shareholding is concentrated in the hands of block-holders, minority shareholders may have relatively low power to influence firm-controlling decisions. Moreover, it is probable that certain investors are afraid that large owners can carry out activities for their own interests in the expense of minority shareholders. Large owners may be not really ready for transacting stocks in order to maintain their control in the company. Therefore, those companies with high ownership concentration may be valued lower by the investors.

In terms of effects of the second largest shareholder, there is no statistical evidence that the presence of the second largest shareholders owning above 5 percent (*DUMSEC*) of Vietnamese companies have significant influence on companies' market performance. Although the result shows a positive influence of the second largest shareholder on firm performance, this result is statistically insignificant with p-value of 0.1880.

Other factors including the *second largest shareholding*, *firm size*, *leverage*, *asset turnover rate* and *sales growth rate* show no significant effect on firm performance.

The empirical results of Model 3B are summarised in the Table 11:

Table 11. Empirical results of Model 3B

$ROA_{ti} = \alpha + \beta_1 * FIRST_{ti} + \beta_2 * DUMSEC_{ti} + \beta_3 * CONTROL_{ti} + \mu_{ti}$

Dependent variable	ROA		
Independent variables	Coefficient	P-value	Relationship
FIRST	0.029225	0.7337	
DUMSEC	-0.002244	0.8143	
SIZE	-0.055597	0.0648	
LEV	0.005066	0.4510	

ASTURN	0.059481	0.0010	Significant
SALESGR	-0.002759	0.6546	
R-squared		0.913356	
Prob (F-statistic)		0.000000	

Overall, the model is of significance because p-value is much lower than 5 percent. Moreover with high R-squared, independent variables in the model can explain 91.335 percent of ROA's fluctuation.

However, no significant evidence is found to show the relationship between *ownership structure* and ROA. All determinants of ROA except *asset turnover rate* indicate no clear connection with firm performance. These unexpected findings may be due to wide variation in financial data of sample companies.

5. Conclusions

Overall, the paper yields three significant conclusions: (i) firms with the presence of ownership concentration tend to increase their dividend payout; (ii) dividends are found to increase both market based and accounting based indicators of firm performance, as measured by P/E and ROA ratios; and (iii) ownership concentration decreases firm performance as measured by P/E ratio. These conclusions are summarised in the figure 2:

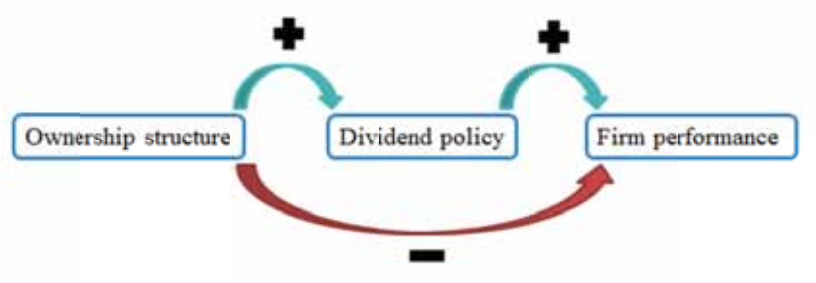

Figure 2. Conclusions of the paper

There are opposite results of the two approaches: the direct approach suggests a positive relationship between ownership structure and firm performance; however, the indirect approach shows that ownership structure can have positive effects on firm performance by increasing dividends. These unexpected results may be due to the small data sample of the paper, which suggests a direction for further research with larger data, and also the inefficient market with great data variation of Vietnam. However, these results are consistent with Juhandi, Sudarma, Aisjah and Rofiaty (2013) who also utilize both direct and indirect approaches. It is found out that institutional ownership worsens company's value; however, institutional ownership tends to increase dividends and dividends improve company's value.

Moreover, empirical analysis also indicates that EPS and MTBV have negative impacts on the magnitude of dividend payment. The final result is that asset turnover rate can help improve firm performance as measured by ROA.

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The Myth of Formalistic Aesthetics-Shostakovich's Early Vocal Cycle and Principles of Formal Beauty

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Abstract

As one of the most "mysterious" and "complex" composer in 20th century, Shostakovich's creative ideas hidden and suggested in the complicated musical appearance have always been indulged in elaborating. In the present paper, rhythm, pitch and dynamics act as the entry point to be dissected for Shostakovich's early vocal cycle. I will prove that the musical aesthetics idea of Shostakovich's early creation according to music analytics data. The results showed that his early vocal cycle was significantly affected by the aesthetics of formalism. Several aesthetic principles, such as symmetry, golden section, unity of variety, have been used very frequently in his works. Due to that the formal beauty of music can be highly emphasized, the "formal beauty as the pure beauty" concept comes clear.

Keywords: Shostakovich, early vocal cycle, formalistic aesthetics, principles of formal beauty

1. Introduction

In Russia (Soviet Union) modern music history, Shostakovich is undoubtedly the most shining star. His life was full of legend, being popular during his youth and getting an unprecedented recognition. During the immediate cultural purges, he was encountered with harsh criticism and heavy blow and was dubbed the "enemy of the people"; however, he was highly evaluated after death by the government, who called him "he is the great composer of era, the communist party's loyal child, a prominent artists, social and political figures, citizens and so on", and defined him as "devoted his whole life to Soviet music, socialism humanitarian and reconstruction ideal internationalism..." (Rossbury, 1999). Some people think that he was a faithful child of the Soviet Union and the Stalin government's own artist, always has a pure heart to the motherland; Others think that he was not satisfied with the Soviet union government and was a Stalin's opponents of the regime, he used music to express the silent protest and cry; others think that he is a simple artist full of compassion, and is the victim of the Stalin government's strict rule. No one has ever experienced such dramatic vicissitudes like him in life, nor has anyone ever received so many different comments. People were interested in "metaphor" hidden in his work in addition to the analysis of his composition techniques, habits and launched a fierce discussion around the "metaphor". This trend continued into the new century.

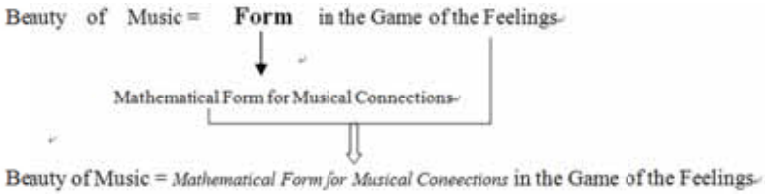
During the recent years, in the world of western music, studies of Shostakovich have mainly focused on either the technique analysis of his specific works (especially the instrumental music works in which symphony and string quintet predominate) or the exploration of the political metaphor and significance in his creation under the social environment and cultural atmosphere of that time. (McCreless, 2010; Mikkonen, 2010; Digonskaya, 2010) There is also one review which takes Shostakovich's vocal music works as the research object, focusing on the relationship between music and poetry (Bullock, 2010). 24 dissertations related to Shostakovich are identified by a systematic search in CNKI and a manual query in various musical journals founded in the new century from 2000 to 2014 in China, 23 dissertations focus on the creation and performance technique of Shostakovich's instrumental music works (Liu, 2002; Wang, 2007). Another one discusses the aesthetic thoughts in his works, but still based on his instrumental music works (Mi, 2008). There are about 130 articles related to the discussion of Shostakovich published in the same period. Some are pure creation technique studies (Zhao, 2007; Wu, 2009), some others are to do with the performance technique studies based on the analysis of the works (Li, 2000), still more compare Shostakovich's works with those of other composers which have the similar themes (Hu, 2012), and there are also few non-technique analysis studies exploring composer's creation history (Liu, 2001; Mao,

2006). Overall, the most recent researches of Shostakovich still concentrated on the creation and performance technique of his instrumental music works. But in fact, vocal music works also play an important role in Shostakovich's creation field. In the combination of poetry and music, Shostakovich inherits the idea of formal aesthetics. He is good at expressing the "form factor" of "pure beauty", and inserting the principle of formal beauty such as symmetry, gold section etc. to his vocal music works implicitly or frankly. This paper which takes the technique analysis as a starting point, is based on Shostakovich's early vocal cycle *"Six Japanese Poems"*, and will explore Shostakovich's vocal music works and the principles of formal beauty behind his works in the aesthetic sense.

Based on style evolution, Shostakovich's music career started with *"the first symphony"* in 1925 and ended with *"Sonata in C major viola"* in 1975, falls into several periods, in 1927-1936 of which called exploring experiments and modernism was the early period. As strictly trained representative figure of "academic", Shostakovich adhered to tonal music creation, but did not exclude western new music creation techniques. During this period, composers showed strong interest in music of the western expressionism. Influenced by which western avant-garde music always attaches great importance to the structure of the influence of traditional, Shostakovich specialized in creative works on how to build and display the formal beauty of the multi-level and multi-dimensional exploration, and had some certain innovative techniques. *"The Six Japanese Poems"* is the only vocal cycle creation in this period, obvious effect of the form design, symmetry, golden section, unity of variety and uniformity principle of formal beauty in the small volume of works which can be seen everywhere. Shostakovich used specific music language to maintain the traditional form of classical aesthetics, and tried to embody pure "free beauty" -that is, formal beauty, formalistic aesthetic idea in the text turns out more and more clearly.

2. Form and Formal Beauty

The formal concept is a historical category. It's not originally created by modern thinkers but "by one of the basic concepts which appeared early in the history of aesthetics, and has been in use ever since" (Zhao, 2008). The formal beauty which closely related with "it refers to the beauty of the external shape, sound, colour and its composite structure. The Ancient Greek School of Pythagoras first proposed the 'beauty in form'. It believes that beauty in things is the proportion between parts of symmetry…The principles of formal beauty is the reasonable configuration of form factors between the symmetry and balance, contrast, proportion, rhythm, guest host, stagger, actual situation changes, etc" (Zhu, 2010). In formalistic aesthetics, formal beauty is the only form of purposiveness without purpose, is the pure beauty. A trace back of the development of Western art form theory, it can be easily found that recognition of formal beauty and importance began early in the Pythagorean School. After carding and development of Plato, Aristotle and others, its established, irreplaceable position in the system of Kant's philosophy has come into being. In one of the three critiques of Kant-*The Critique of Judgement*, the chapter of "analysis of the beauty", Kant thinks that aesthetic only relates to the form of the object, "beauty really should only relates to form" (Kant, 2008), we appreciate its form rather than content when we appreciate the object. When we do judge of a free beauty, the judgment of taste is pure. This means that in Kant's philosophy system, only the formal beauty is the true and pure beauty. When the formalist represented by Kant discussing different artistic forms of beauty, they still put form in the first place. They took the beauty of music form in the game of the feelings, and understand the "form" as a mathematical form for musical connections.



According to this logic, proponents of formalism aesthetic think that the real appreciating object is not sound but the pure form composed of different interval, rhythm, musical form, tonality and melody.

The concept of the "form of beauty is pure beauty" is widely accepted in the field of music aesthetics. Schiller holds that "it's the form by which music express beauty" (Rick, 1986). Moreover, Negri (Note 1) declared that music have no content but form. These ideas gradually evolved into "self-discipline" theory in the late nineteenth Century, and were further developed, extended and cleared in the magnum opus "the beauty of music" of Austrian music critic Edward Hans Rick. The core points of this book are these, "the content music is the forms of musical movement", "we put the beauty of music in the form (Note 2) of music" (Rick, 1986) played formalistic aesthetics to the extreme.

Form is the inherent, inevitable requirement of music, without form, music will not be music. The function and meaning in the form of music have been controversial. It's believed that the form of music is the essence of music or the ontology of music, but some scholars disagree with this point or even be completely against to it. However, even the latter cannot ignore the aesthetic and artistic value of the musical form, or the form and the beauty of music itself there have direct relationships. The performance of the form in music is all the basic elements of the relationship between the levels and the three-dimensional layout. It's well known to all that music is a strict organism, composed of a variety of elements. In addition to our familiar pitch, rhythm, which can play a structural role in music, or which can participate in the structural design of music, can become the basic elements of music. Timbre, tempo, dynamics make up the structure of music and play an important role in the final formation of works, therefore, they together with pitch, rhythm, become the basic elements of music. The different superposition of various basic elements constitute various organizational means, for example, harmony, melody, musical form and polyphony. If different pitch, duration, dynamics mixed and piled up disorderly, it can only be noise but music, and it cannot bring the feeling of beauty. To make music with aesthetic, it is necessary to overlay the elements mentioned above through symmetry, contrast, proportion, unity of variety and other aesthetic principles. From this point of view, any parameters -- rhythm (beat), pitch (interval), dynamics, tempo can be proportional analysis from the structure angle, further discuss its embodiment a sense of order and the principles of formal beauty. So, the research objects of this paper are pitch (interval), rhythm (beat) and the dynamics and other basic elements of music in Shostakovich's early vocal cycle *"Six Japanese Poems",* to explore the principles of formal beauty embodied in their respective levels, single levels, or superposition.

On research methods, Hanslick said that there was a driving force of all fields of knowledge in our times, which required understanding of things as objective as possible. It is also inevitably involved the study of beauty. Method must be used close to natural science, at least trying to contact the thing itself, seeking the objective truth of things in the back of the myriads of changes impression. We should use the essential analysis method of natural science to study the beauty of the music. We can only use the objective method to objective understanding of music. This paper attempts to quantify the basic elements of *"Six Japanese Poems"* with the music and mathematical methods, displaying the explicit or hidden formal beauty in it. And we conclude that the work highlights the symmetry, golden section and unity of variety. Here discussed one by one.

3. Symmetry

Symmetry is one of the important rules of formal beauty. Symmetrical phenomenon can be seen everywhere in life, such as the physiological structure of the human body and leaves context generation in nature. The so-called symmetric, refers to something similar, similar factors around the central axis of a regular permutation…It has the characteristics of quiet, stable and can foil the center with a form of self-sufficiency. If we let point O as the center of symmetry and point A-A ' as mutual symmetric point, then it will get two formulas: OA=OA'=1/2*AA' and AA' =2OA=2OA'. So, 1:2 (2:1) and 1:1 both are the mathematical abstraction and the substantial induction of symmetry.

In music works, the principle of symmetry exists everywhere. The ternary form, symmetrical chord, retrograde or reflection in the technique of music, and so on, all reflect the principles of symmetry. The sequence, modulation, "reflection" and "retrograde reflection" structure formed on lengthways or crosswise also belongs to the symmetry in the broadest sense of the term.

As to the range, it is necessary to notice that the "axis of symmetry" in concept is a node in a narrow sense as well as a "domain" in its broad sense. For example, in music, the axis of symmetry could be a note, a phrase, or even a period. As to the properties, "axis of symmetry" can be any objective existence. In music, axis of symmetry may be a single note, or a relationship between two or two notes (interval or tone-cluster), also a rhythm (beat). Next, we will analyze the symmetric structure one by one in the text.

The pitch layout of the first song *Любовь (Love)*, is a typical symmetrical structure. This is a multi-meter work which includes 54 bars. There are 30 bars which use 4/ 4 / meter, 11 bars 3/ 4, 5 bars 6/ 4, 5 bars 5/ 4, 2 bars 7/ 4, and 1 bar 2/ 4. All the bars together make 228 beats. The top note ^{b}b2 appears in the 113th beat, lasts 4 beats, and end at the 116th beat in the whole song. So, taking ^{b}b2 as the boundary, the total number of beats both are 112. The work shows the symmetrical layout with ^{b}b2 as its center, as shown below:

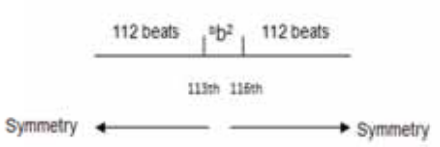


Figure 1.

The dynamics of this song is symmetrical distribution in addition to the pitch. The dynamic marks of vocal part appear 5 times, respectively as p (last 7 bars), pp (last 5 bars), p (last 6 bars), pp (last 29 bars), p (last 4 bars). In order to distinguish, we put the first occurrence of p called p^1, the second occurrence of p called p^2, and so on. It shows a perfect symmetrical distribution with p^2 as the center.

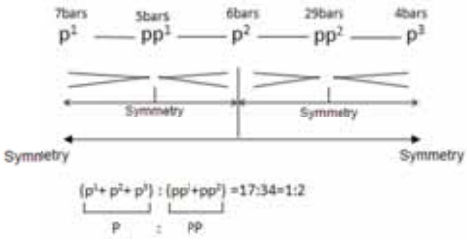


Figure 2.

If all p's are collectively known as P, all pp are collectively known as PP, then there are a total of 17P bars and 34 PP bars. So it is got a equation of: $(p^1+ p^2+ p^3)$: (pp^1+pp^2) =17:34=1:2, which is a symmetrically divided proportional relation.

In addition, there is a total 4 times dynamics distribution of cresc which appear in the 10th, 20th, 26th and 39th bar respectively. The vocal part is as a whole which include a total of 52 bars after removing the prelude and postlude. As shown in Figure 3, the 26th bar is the center of the entire work. It is formed a 1: 1 symmetrical layout bounded by the 26th bar. These bars in different music paragraph separately located in the symmetry points or also were called golden point (and this will be expounded later in this paper).

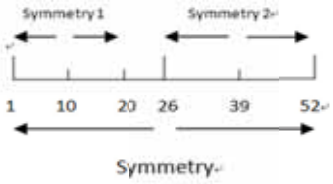


Figure 3.

Therefore, in the first work, whether in pitch or in dynamics, the symmetry principle always exists and interweaves a double entry structural form which symmetry "inset" symmetry. Composers revealed the symmetry principle of formalistic aesthetics consummately by accurate calculations.

The symmetry of the second song, *Перед самоубийством (Before suicide)*, still reflected in the distribution of dynamics. Dynamic marks appears in this work six times according to the order, respectively are mf，f，ff，p，pp, f, ff. We can mark forte with F, piano with P. Then, we can clearly see the following layout:

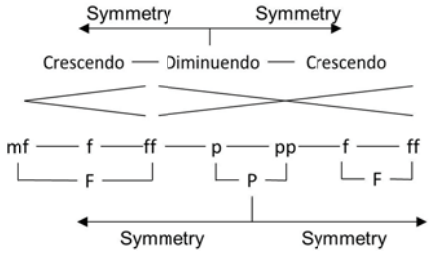


Figure 4.

We can see from the figure above, the work showed obvious symmetry frame whether from the movement of dynamics (Crescendo- Diminuendo- Crescendo) or the fixed layout (F-P-F).

The symmetry of the third song *Нескромный взгляд (Wild glance),* is reflected from pitch dimensions. Vocal of this song have total 30 bars. The top note in the whole song, a^2, appears in the 15th bar in which divided two parts averagely.

Figure 5.

The dynamics distribution of the forth song, *В первый и последний раз (The first and the last time)*, is a whole symmetry from a macro level. The dynamaic mark appeared five times in this song, respectively are p, pp, p, pp and p. Consistent with the research methods in *Любовь (Love)*, we are still titled dynamic markswith serial number according to the order. Obviously, this is still a symmetrical layout centered with p^2. Furthermore, the top note of this work, a^2, just appeared in the dynamics area to identify and enhance its core position. At the same time, the dynamics in a small environment is also symmetrical structure, thus forming a mulriple symmetry composed of small environment and big environment.

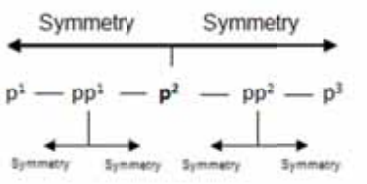


Figure 6.

As same as the third song, the fifth song *Безнадежная любовь (Hopeless Love),* is also reflected from pitch dimensions. The whole song has a total of 34bars which showed a frame of 3 bars prelude, 26 bars vocal parts and 5 bars postlude. Although the top note in this song is g^2, it emerged just as passing tone because of its rhythm and language accent. The real top note should be $^{\#}f^2$ ($^{b}g^2$) which appeared in the 13th bar of vocal part. After a simple calculation, we known that a work composed of 26 vocal bars was divided into two equal parts by this top note in. Symmetrical form controls the overall again.

Figure 7.

The dynamics of this piece is also showing a symmetrical layout. The dynamic marks have an appearance of three times. The simple structure of p-ppp-p formed an obvious and perfect symmetry centered with ppp.

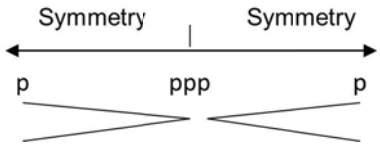


Figure 8.

4. The Golden Section

The golden section (including Feibolaqi number of columns), also called the golden rule，is "a line segment L divided into two parts, so that the part of that divided by the whole length is equal to the rest part divided by the part of it, X:L= (L-X):X. Since the ratio of it" (Ci Hai, 1979). Due to the increase of N unlimited, the ratio of its front and rear entries infinitely close to the infinite 0.618 and the number of columns in each number is also seen as an effective part of the golden ratio. The golden section was once regarded as the formal beauty of the golden rule, the most representative of formal beauty, and was widely applied by artist to the formal beauty. Back to period of ancient Greece and Rome Palace and the church is conceived and designed by this proportion and beginning to be widely applied in painting, architecture and sculpture for hundreds of years. As a strong performer formal beauty, aesthetic concept of spatial art was applied to the field of music by Shostakovich extensive using in this early vocal cycle.

The golden section principles first appeared in song *Любовь (Love)* through the way of dynamics layout in this vocal cycle. As previously mentioned, this song's dynamics layout not only reflects the symmetry principle, but also embodies the principle of the golden section. The "cresc" marks, located in different positions (10th, 20th, 26th, 39th bar), serve as symmetry point, golden point, or both the symmetry point and golden point in different paragraphs. For example, the 10th and 20th bar not only symmetry point but also golden point. This work in more than fifty bars accurately presents formal beauty of symmetry and golden by different levels of three golden section and three symmetrical proportional ways.

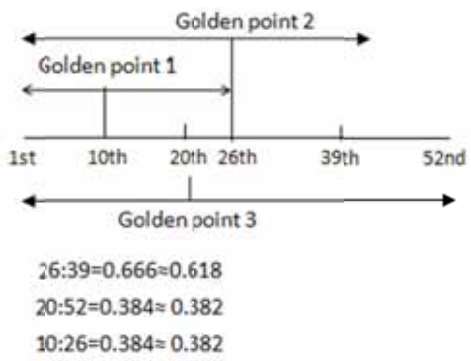


Figure 9.

The golden section of the second song *Перед самоубийством (Before suicide)*, is reflected by pitch dimensions. As a multi-meter work, it has a total of 31 bars. The top note $^{b}a^{2}$, emerged in the 12th bar, it is a golden section point which was artificially calculated and carefully arranged. In a work with 4/4 meter as basics, the 8th and 9th bars were divided into the pattern of 1/4+3/4 (See Example 1 below). The aim is to show the principle of golden section in formal beauty.

Example 1.

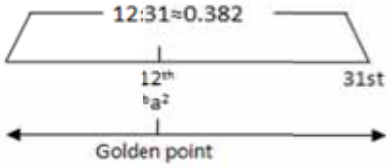


Figure 10.

As we mentioned before, the macro layout of six dynamic marks in the second song *Перед самоубийством (Before suicide)*, shows the symmetrical structure of F-P-F. However, there has been a set of interesting data in the duration of each dynamics. The first emerge of F lasts 19 bars, P lasts 6 bars and F lasts 6 bars again. Certainly, dynamics goes in the inflection point after 19 bars. The 19, it is just a golden section point where dynamics of P entered gracefully.

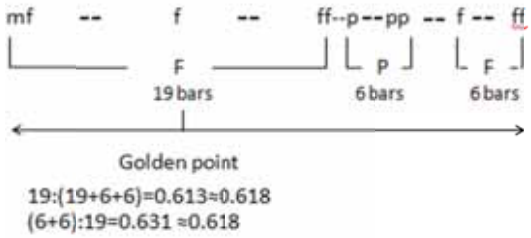


Figure 11.

The golden section of the third song *Нескромный взгляд (Wild glance)*, reflected in rhythm. This song without prelude, the first Piano solo emerged in the 14th bar, so we have reason to think about the 14th bar as a special bar which divided vocal of the whole song into two parts: 1st-13th bar and 15th-32nd bar. There are 49 beats in the first part and 79 beats in the second part. The beat ratio of two parts showed the golden section.

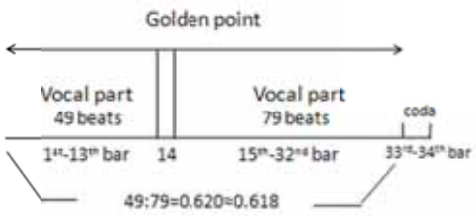


Figure 12.

The golden section of the forth song *В первый и последний раз (The first and the last time)*, is achieved by distributing dual dimension pitch and interval. This work have 67 bars, which including 4 bars prelude, 2 bars postlude and 61 bars vocal part. The top note of this song appeared in a very interesting node, the 38th bar. In addition to the top note occurred in the bar, the biggest leap (octave) also appeared in this bar. So, we have reason to believe that the composer give a special attention in this bar in order to emphasize the status of the "core point". The "core point" is just in the golden section point of the vocal part. The golden section cut this song into two parts esthetically.

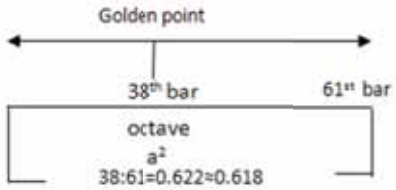


Figure 13.

In addition, this work also reflects the principles of the golden section in terms of the dynamics of construction. Beside the second song presents symmetrical layout of the dynamics of macro economic principles embodied precision node outside the golden principle is exactly the same creative approach, dynamics of detail of this piece reflects the precise golden. It is still used in the foregoing induction methods, mainly based on the order of appearance of the efforts crowned serial number. Obviously this is a central point p^2 symmetrical layout, and the top note a^2 also just appeared in the dynamics area, to further define and deepen its core position. If we retain only pure vocal parts, it showed a segmented golden section among p "jurisdiction". We can use the following figure to show that the relationship between the nodes:

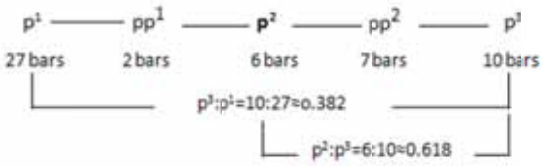


Figure 14.

The pitch layout in the 6th song *Смерть (Death)*, reflected golden section with two division mode of bar and beat. The song has 40 bars, the top note f^2 appeared the last beat of the 15th bar and extended to the 16th bar.

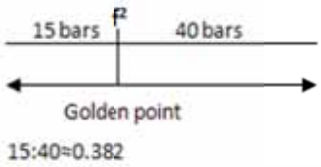


Figure 15.

The way to beat for the division: the vocal part has 82 beats, in which f^2 emerged in the 31st beat and lasted 3 beats.

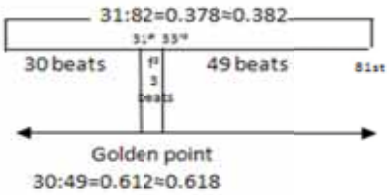


Figure 16.

5. Unity of Variety and Principles of Uniformity

Unity of variety, "composed of harmonious and integral regular pattern in the rich change. It is also the one of beauty regular pattern....It is the specific performance of the law of the unity and opposites in people's aesthetic activities and the creation of beauty, conform to the law of the world constitute and the people's aesthetic psychology" (Zhu, 2010). From the entry interpretation, we find those two key words, change and neat, let unity and variety having some self-evident "blood relationship". Based on this, this paper gives a parallel analysis according to the embodiment of two regular patterns.

The 6th century BC, the ancient Greek Pythagoreans first proposed the view of "Unity in variety is beautiful", the argument is set to music. They believe that music leads variety (notes) to unity (work), the uncoordinated to coordinate (harmony in traditional tonal music), it's the unity of opposite factors. From this macroscopic perspective, almost all of the music works reflects the principle of unity. However, the specific ways and means of this principle is innumerable. It may reflected in the rhythm (meter, beat) layout, also may reflected in the dynamics structure. In this paper to explore, it is a material level of unity of variety and principles of uniformity.

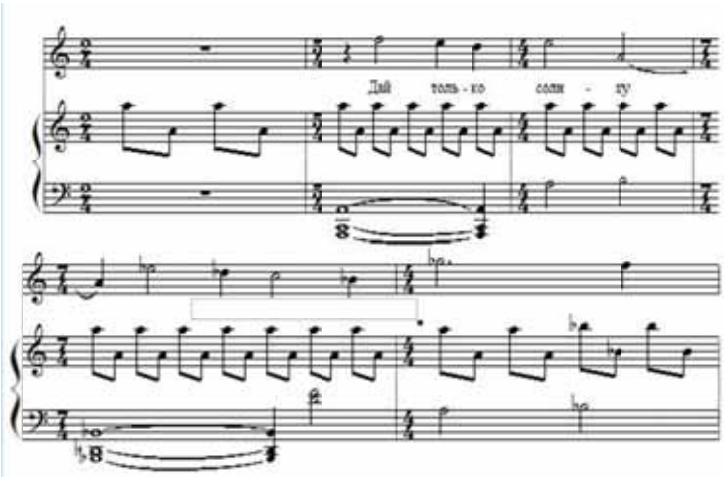
In general, the meter of music is relatively uniform and the rhythm is diversity. Shostakovich used the opposite approach in this work, but still well reflects a principle of unity and diversity. In the first three works, the rhythm is relatively simple, but the meter is extremely changeable. In the first song *Любовь (Love)* with 54 bars, the composer used 29 times meter alternation. Among 1-7th bar, there have been 7 times meter rotation of 2/4 – 5/4 – 4/4 – 7/4 – 4/4 – 5/4 – 4/4 with different meter in every bar. The same phenomenon also appears in other works: *Перед самоубийством (Before suicide)* have 31 bars with 15 times meter changes and *Нескромный взгляд (Wild Glance)* have 33 bars also with 15 times meter changes (as shown in Table 1). From single meter to compound meter and regular meter to irregular meter, although the meter in this work is diverse, it takes quarter note as the basic unit. The diversity of meter in single bar has been unified in the dimension of measurement unit.

The last three works of this cycle, *В первый и последний раз (The first and the last time), Безнадежная любовь (Hopeless love), Смерть (Death)*, used standard single meter. The same merter is consistent from beginning to end and reflects the Principles of Uniformity.

Table 1.

Song name	Bars	Times of Meter Change	Principle
Любовь (Love)	54	29	unity of variety
Перед самоубийством (Before suicide)	31	15	unity of variety
Нескромный взгляд (Wild glance)	34	15	unity of variety
В первый и последний раз (The first and the last time)	67	no	uniformity
Безнадежная любовь (Hopeless love)	34	no	uniformity
Смерть (Death)	40	no	uniformity

Moreover, a variety of formal beauty unified principle is also reflected in other places. For example *Любовь (Love)*, no matter what kind of meters correspond, the rythm of piano part used the continuous quaver from start to finish throughout neat rhythm. (see Example 2) However, the rhythm of vocal part is relatively complex and diverse. Changes in voice rhythm and unified accompaniment rhythm formed a diverse and unified whole.



Example 2.

Moreover, the dynamics distribution of p-pp-p-pp-p showed a style of A-B-A-B-A besides symmetry in local area in the first *Любовь (Love)* and the forth *В первый и последний раз (The first and the last time)* mentioned above. It is similar to the "Rondo" circulatory structure. This is another expression of the principle of unity in diversity.

6. Conclusion

Leibniz, the philosopher in the age of Bach, said that music is the arithmetic counted by soul imperceptibly. Both symmetric and golden section, nothing can be done without mathematical operation. This operation may be either conscious, or subconsciously only. Whether conscious or not, the digital proportional hidden in music and formal beauty are undeniable. Now, we show the formal beauty rule reflected in the only vocal music divertimento of the composer's early creation by analyzing and counting (as shown in Table 2).

Table 2.

Song Name	Pitch and Interval	Dynamics	Rhythm (Meter)
Любовь (Love)	Symmetry	Symmetry, Golden section, Unity of Variety	Unity of Variety, Uniformity
Перед самоубийством (Before suicide)	Golden section	Symmetry, Golden section	Unity of Variety
Нескромный взгляд (Wild glance)	Symmetry	/	Unity of Variety, Golden section
В первый и последний раз (The first and the last time)	Golden section	Symmetry, Golden section, Unity of Variety	Uniformity
Безнадежная любовь (Hopeless love)	Symmetry	Symmetry	Uniformity
Смерть (Death)	Golden section	/	Uniformity

From the table above, we know that young Shostakovich followed the principle of symmetry, golden section, unity of variety, uniformity through the technique of pitch (interval), dynamics and rhythm (meter) and showed pure and independent musical formal beauty in *"Six Japanese Poems"* It successfully achieved a step from concept to text and constructed myth of formal beauty.

Acknowledgements

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Notes

Note 1. Hans Georg Nageli, 1773-1836, Swiss musician and composer.

Note 2. Form here refers not only to the arrangement of musical notes, shape and the external rhythm and layout of strength but also the artistic ontology that owns a self-existent sensuous life as finally differed as the external and internal forms. The present paper purports to emphasize the external.

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Do Strategic Leadership and Self Efficacy Among School Leaders Make a Difference?

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Abstract

The main purpose of the study is to investigate if there is any significant relationship between Strategic Leadership Characteristics of Maldivian school leaders and their Leadership Self-efficacy. The study employed a survey approach and the data were collected using an adapted seven point Likert scale survey questionnaire. Data were collected from 23 schools in the capital city Male', Republic of Maldives. A total of 200 school leaders (45 males and 155 females) participated in the study. The data were analyzed using descriptive statistics, Pearson product-moment correlation and Structural Equation Modeling. The findings of the study revealed that the school leaders in Male' possessed all nine characteristics of strategic leadership. It also indicated that school leaders' in Male' have quite a bit of control in their roles as school leaders, revealing a high perception level of self-efficacy. Moreover, the results of the correlation analysis and examination of path analysis indicated that there was statistically significant and positive relationship between Strategic Leadership Characteristics of Maldivian school leaders and their Leadership Self-efficacy. The present study provides a starting-point for further exploring the strategic leadership qualities and self-efficacy of school leaders which are vital to bring a positive reform in schools. This study highlights that executing strategic leadership is essential to deal with both the need for sustainable change. It further indicates that both self-efficacy and strategic leadership are important to school leaders' as they affect performance of the leaders through different mechanisms.

Keywords: strategic leadership, leadership self-efficacy, Maldives, school leaders, structural equation modeling

1. Introduction and Background

The prime emphasis of the school leaders in many countries in the last two decades were school effectiveness (B. J. Davies & B. Davies, 2009) and school improvement (Hairuddin, 2011). In regard to this, the quality school improvement programs have found to be very pertinent for schools to accomplish their excellent education level (Hairuddin, 2011). The positive impacts and the changes that will be imparted from these programs are significant to both the school and at the classroom levels. One of the essential mechanisms that possibly can bring school reform is strategic leadership practices of school leaders (B. J. Davies & B. Davies, 2009; Eacott, 2008, 2013). Several studies have clearly revealed that a purposeful leadership, teacher collaboration and a central focus on learning outcomes are the factors that support quality school change (Fullan, 1993). In this era of significant school reforms, efforts to improve schools initially looking at the spearhead change efforts at the school level because Tschannen-Moran and Gareis, (2004) argued that good principals are the cornerstones of good schools. The principal and the senior management teams are seen as the key agent at the school level, initiating change by raising the level of expectations for both teachers and students. What principals do is a direct consequence of what and how they think (Sergiovanni, 2001; Leithwood, Jantzi, & Steinbach, 1995; McCormick, 2001) and hence, this is where leadership self-efficacy is able to play its role.

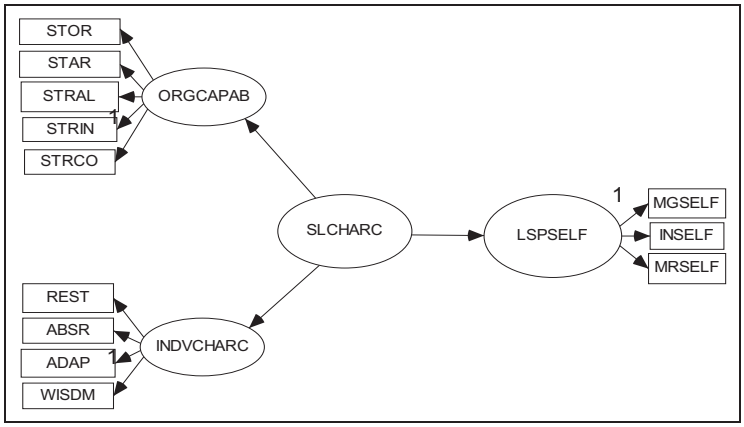
1.1 Astounding Issues

School improvement reform efforts to improve student achievement have flooded the educational community and as a consequence call for effective leadership (Mazzeo, 2003). One of the astounding and challenging issues faced by the schools and educational authorities is preserving 'quality leaders' and filling up the leadership positions with effective leaders' (Eacott, 2010). According to a statement by the former deputy Minister of Education, Maldives, Abdulla Zareer, the major issue faced by the schools in Maldives is the necessity to hire at least 20% foreign experts every year to lead the schools. This is to fill up the vacant seats left by local school

leaders who resigned due to increasing and demanding responsibilities. This is very disappointing situation and needs to be addressed amicably. Every year the Ministry of Education needs to allocate a huge amount of budget to hire those quality leaders from neighboring countries to fill up the management positions in schools but this does not guarantee the highest rate of return from this investment. According to a daily newspaper report "Haveeru" regarding the Cambridge 2011 exams results, the former Minister of Education, Shifa Mohamed emphasized that the quality of education crucially depends on good leadership and quality of teachers. Therefore, possessing the strategic leadership characteristics is important as it facilitates and drives the strategic cycle of strategically focused schools (Davies, 2004, 2006; B. J. Davies & B. Davies, 2004, 2006, 2009; Eacott, 2008). There are also very little about the efficacy beliefs of leaders, in particular (Chemers, Watson & May, 2000; Tschannen-Moran & Gareis, 2005). There is a dearth of studies that account for relationship between the strategic practices among school leaders and their self-efficacy specifically focusing on school outcome in Asian context. The strategic leadership study has been found to be mostly researched in the developed countries such as USA and most of the studies that have been carried out are based on qualitative compared to quantitative approach.

1.2 Research Framework, Objectives, Research Questions and Hypotheses

The conceptual framework of the study originated from B. J. Davies and B. Davies (2004) nine-point model (as illustrated in Figure 1) of strategic leadership. It is a combination of five organizational capabilities (ORGACAPAB) and four individual characteristics (INDVCHAR) of strategic leadership characteristics. The term used for the concepts of strategic leadership such as "what strategic leaders do" and "characteristics that strategic leaders display" has been changed and then was elaborated further again by B. J Davies and B. Davies (2009). The five ORGCAPAB that the strategic leaders perform includes strategic orientation (STOR), strategic translation (STAR), strategic alignment (STRAL), strategic intervention (STRIN) and strategic competence (STRCO). The four INDVCHAR that strategic leaders display are: Dissatisfaction and Restlessness with the present (REST); absorptive capacity (ABSR); adaptive capacity (ADAP); and wisdom (WISDM). This study has identified two main variables mainly Strategic Leadership Characteristics (SLCHARC) as an exogenous variable and Leaders' Self-Efficacy Characteristics (LSPSELF) as an endogenous variable. Figure 1 exhibits the conceptual cum hypothesized model in examining the relationship between SLCHARC and LSPSELF. The exogenous variable, SLCHARC, consists of two sub-domains particularly ORGCAPAB (comprised STOR, STAR, STRAL, STRIN, and STRCO) and INDVCHARC (comprised REST, ABSR, ADAP and WISDM). The endogenous variable, LSPSELF, consists of three sub-domains such as Management Leadership Efficacy (MGSELF), Instructional Leadership Efficacy (INSELF) and Moral Leadership efficacy (MRSELF). This study explores self-efficacy perceptions on leaders own behavior based on Bandura's Social cognitive theory. Figure 1 summarizes the conceptual framework of the study.



Source: Adapted from Hairuddin, 2011, (p. 85), B.J. Davies and B. Davies 2004, (p. 31), and B.J. Davies and B. Davies 2009, (p. 5)

Figure 1. The Conceptual Framework (and Hypothesized Model) of the Study

By referring to Table 1, the study develops four objectives, four corresponding research questions and four research hypotheses based on the conceptual framework of the study above:

Table 1. The research objectives, research questions and corresponding research hypotheses of the study

Research Objectives	Research Questions
1. To examine if all (five) organizational capabilities characteristics (ORGCAPAB) of strategic leadership are possessed by the school leaders in the Maldives.	1. Are all (five) organizational capabilities characteristics (ORGCAPAB) of strategic leadership possessed by the school leaders in Maldives?
Hypothesis 1: The school leaders of Maldives possess all (five) organizational capabilities characteristics (ORGCAPAB) of strategic leadership.	
2. To examine if all (four) individual characteristics (INDVCHARC) of strategic leadership are possessed by the school leaders in the Maldives.	2. Are all (four) individual characteristics (INDVCHARC) of strategic leadership possessed by the school leaders in Maldives?
Hypothesis 2: The school leaders of Maldives possess all (four) individual characteristics (INDVCHARC) of strategic leadership.	
3. To examine if all Maldivian school leaders possess (all three) the self-efficacy characteristics.	3. To what extent do Maldivian school leaders possess (all three) the self-efficacy characteristics?
Hypothesis 3: The Maldivian school leaders possess all (three) self-efficacy characteristics.	
4. To explore whether there is a direct and significant relationship between the Maldivian school leaders' strategic leadership characteristics (SLCHARC) and their self-efficacy (LSPSELF).	4. Is there a direct and significant relationship between the Maldivian school leaders' strategic leadership characteristics (SLCHARC) and their self-efficacy (LSPSELF)?
Hypothesis 4: There is a direct and significant relationship between Maldivian school leaders' strategic leadership characteristics (SLCHARC) and their self-efficacy characteristics (LSPSELF).	

1.3 Theoretical Basis of Strategic Leadership Characteristics (SLCHARC)

Although the word strategy has originated from military aspect ("*strategos*" in Greek and "*stratagime*" in French), strategy could be considered part of a speech or idiom borrowed from business and economics (Eacott, 2011). As an educational administration concept, the term strategy first began to emerge in the literature in the 1980s (Eacott, 2011). Moreover, Davies (2004) declares a shift in thinking about strategy in education from the historically conservative perspective of seeing strategy as a management function to that of a leadership process.

B. J. Davies and B. Davies (2004, 2009) asserted that strategic leadership is a vital component in effective development of schools. They further asserted that strategic leadership is not a new classification of leadership but rather it is considered as the strategic element within the broader leadership paradigm. Initially the definition of strategy encompasses five concepts. The first concept is the idea of direction-setting which was articulated by Garratt (2003) while Mintzberg (2003) defined strategic thinking as seeing ahead, behind, above, below, beside, beyond and significantly seeing it through. B.J. Davies and B. Davies (2004) observed that leadership mainly involves inspiring and supporting others towards the achievement of a vision for the school which is based on clear personal and professional values. Building on this generic definition of leadership, B.J. Davies and B. Davies (2004, 2006, 2009) develop a nine-point model of strategic leadership as highlighted previously. In defining strategy the preceding paragraphs mention the theoretical dimension of strategy based on the model of B.J. Davies as he is one of the most widely acclaimed scholars when strategic leadership in education is concerned (B. J. Davies & B. Davies, 2006, 2009).

1.4 Importance of SLCHARC to Schools

As B.J. Davies and B. Davies (2009) describe that strategically focused schools are those that use strategic approaches and strategic processes in addition to having strategic leadership. Davies (2004) asserted that a strategically-focused school is one that is educationally effective in the short term but has a clear framework and processes to translate core moral purpose and vision into excellent and sustainable educational goals.

Quong and Walker (2010) discussed the importance of strategic leadership that could be essential in fostering school improvements such as the strategic leaders' future orientation and future strategy. In addition, Davies and Ellison (2003), and Eacott (2010) supported the point by reiterating that strategic intent is a powerful concept that is essential for schools to make strategic perspective into a rapidly changing and turbulent environment. Furthermore, Eacott (2010) affirmed that the strategy will surely matter the future direction of the school.

Besides the above principle, the school leaders supposed to be more evidence based and research minded (Quong & Walker, 2010; Hairuddin, 2011). According to Hargreaves (1999) and Hargreaves and Fink (2005) it is about

examining evidence of learning in order to ensure that every learner is achieving improved outcomes. The leaders are supposed to put an extra effort to examine the research findings in order to find out 'what works', to source ideas, to search research possibilities for ways to achieve improved student outcomes (Hargreaves, 1999).

Strategic leaders are supposed to have good partnership skills so that they can work cooperatively with students, parents, school leaders and other staff. Being partners in leadership is aligned with the concept of parallel leadership (Crowther, Kaagan, Ferguson & Hann, 2002), which is a way of describing leading teachers working in parallel with administrative leaders to materialize their school's successes and enhance their achievements. Good partnership allows confronting issues and articulating a different perspective from the prevailing dominant thinking (Quong & Walker, 2010). Therefore strategic partnership opens the opportunity to the strategic leaders in protecting their teachers from undue pressure such as that from education officials and parents. It also helps to avoid the culture of scapegoat (Hairuddin, 2011).

Lastly, Ramsey (2003) affirmed that the strategic leaders recognize the importance of ethical behaviors and act accordingly, whereas leaders who are egotistic, openly ambitious for personal reasons, autocratic, dishonest are not likely to be successful school leaders. The Strategic leaders regularly find themselves struggling with ethical dilemmas and frequently confront issues of accountability. The strategic leaders lay-off their self-interest to one side and try to maintain an ethical and socially just stance although it is not easy (Quong &Walker, 2010).

1.5 Theoretical Basis of Leadership Self-Efficacy (LSPSELF)

Within the field of educational research, self-efficacy has primarily been studied in four different areas: student self-efficacy (Bandura, 1970, 1977; Schunk, 1991, 1994) teacher self-efficacy (S. Skaalvik & E. Skaalvik, 2010), collective teacher efficacy (Bandura, 1970, 1977; Goddard et al., 2000; S. Skaalvik & E. Skaalvik, 2011) as cited in Federici and Skaalvik, (2011) and also recently principal self-efficacy (Tschannen-Moran & Gareis, 2004; Tschannen-Moran & Gareis, 2005). Research on principal self-efficacy is scarce and researchers have conceptualized the concept differently or measured different aspects of it (Federici & Skaalvik, 2011).

Social cognitive theory by Bandura (1986) is the foundation of self-efficacy research and is defined as: "beliefs in one's capabilities to organize and execute courses of action required to produce given attainments" (as cited in Bell, 2011, p. 6). Here, self-efficacy becomes visible when several levels of educational system have been enclosed within self-efficacy research, although less attention has been given to investigating school leaders' self-efficacy (Federici & Skaalvik, 2011). Furthermore, self-efficacy influences the initiation, intensity, and persistence of behavior. Individuals with high self-efficacy are found to be trying more challenging tasks, exerting more effort toward accomplishing them, and are more tenacious in their efforts as they encounter obstacles (Bandura, 1970, 1977; Bandura, 1986; Gist & Mitchell, 1992).

The roots of self-efficacy are self-reference thoughts, an indicator of the relationship between knowledge and action. "Efficacy involves a generative capability in which cognitive, social, and behavioral sub skills must be organized into integrated courses of action to serve innumerable purposes" (Bandura, 1986, p. 390). Self-efficacy is linked to achievement in a wide variety of areas and is related to how well any individual feels that he can complete certain tasks. Measures of self-efficacy tend to be task specific (Bandura, 1970, 1977). An individual's perception of their own self-efficacy is a strong predictor of successful performance (Bandura, 1970, 1977). For this particular study leadership self-efficacy is assumed to be positively related to strategic leadership because self-efficacy determines the leaders' effort and persistence in relation to a specific task as well as to the aspirations and goals they set (Gist & Mitchell, 1992; Bandura, 1986).

1.6 Previous Studies on Strategic Leadership Characteristics (SLCHARC) and Leadership Self-efficacy (LSPSELF)

Through a scrutiny of basic Meta-analysis of 20 published recent articles and dissertations, obviously there were limited number of studies that specifically tried to explore the relationship between strategic leadership practices of school leaders and their self-efficacy. Most studies on strategic leadership found to be in non-education areas such as health services and business (Guzman, 2007; Edmonstone, 2011). Only a minute number attempted to study the strategic leadership focusing on school effectiveness such as B.J. Davies and B. Davies (2006), Eacott (2010) and Hairuddin (2011). In addition, the study of strategic leadership is mostly conducted in the developed countries such as Europe, UK and US (B. J. Davies & B. Davies, 2006; Guzman, 2007; Brazer, Rich & Ross, 2010; Johnson, 2010; Ghobadian & O'Regan, 2011; Edmonstone, 2011) with only a single study attempted in the Asian continent (Hairuddin, 2011) and no studies found in the Republic of Maldives.

Most of the strategic leadership studies opted for qualitative (Brazer, Rich, & Ross, 2010; Johnson, 2010; Ghobadian & O'Regan, 2011; Edmonstone, 2011; B. J. Davies & B. Davies, 2006; Guzman, 2007) compared to

inadequate number using mathematical models such as Hairuddin (2011) and Eacott (2010). From the previous studies on self-efficacy, the majority of the researchers argued that leadership efficacy is exclusively pertaining to leading change in organizations (Moak, 2010; Paglis, 2010; Bell, 2011). With reference to these scholars efficacy was found to be a key variable in better understanding effects in most organizations.

According to McCormick as cited by Moak, (2010), leadership self-efficacy is likely the key cognitive variable regulating leaders functioning in a dynamic environment. "Every major review of the leadership literature lists self-confidence as an essential characteristic for effective leadership." (p. 23). However, he alleged that we know very little about the efficacy beliefs of leaders, in particular (Chemers, Watson, & May, 2000; Tschannen-Moran & Gareis, 2005). Thus exemplifies a gap in the leadership literature that is important to address. In addition to what McCormick has highlighted, many other authors also claimed that it is too narrowly focused (Moak, 2010; Paglis, 2010; Bell, 2011) and therefore it provides an essential rationale to carry out this particular study.

2. Methodology

2.1 Research Design

As directed by Parahoo (2006), this study is subjected to quantitative method as it ensures high levels of reliability, validity and generalizability of the gathered data (Matveev, 2002; Soltani et al., 2006; Hairuddin, 2011). A quantitative research is a formal, objective, systematic process in which numerical data are used to obtain information about the world (Burns & Grove, 2003). Furthermore, this method allows each subject to be identically studied, and there is little room for human bias to create problems with the data. Another justification in favoring the survey method for this study is that quantitative data is more precise, able to test the hypotheses and the researcher is able to remain objectively separated from the subject matter (Smith, 1983). In addition it also allowed the researcher to take the opportunity to make statistically significant conclusions about a population by studying a representative sample of the population (Gay, 1987).

2.2 Population and Sampling

Table 2. Statistics of schools involved in the study

NO.	SCHOOL	NO. OF SLS
1	Iskandharu School	18
2	Jamaluddin School	23
3	Thaajuddin School	14
4	Kalaafaanu School	16
5	Imaduddin School	23
6	Aminiya School	23
7	Majeediyya School	23
8	Dharumavantha School	23
9	Hiriyaa School	14
10	Muhyiddin School	14
11	Ghaazee School	12
12	C.H.S.E (Higher Secondary)	21
13	Al Madharusathul Arabiyyathul Islaamiyya	15
14	Madhrasathul Ameer Ahmed	15
15	Madhrasathul Ahmadhiyya	12
16	Galolhu Madharusa	12
17	Maafannu Madharusa	12
18	Ghiyasuddin International School	18
19	Billabong High EPS International School	15
20	Lale Youth International School	16
21	Madhrasathul Falaah	8
22	Hulhu Male' Pre School	8
23	Sheik Abul Rahman Pre School	8
	Total	363

Source: Ministry of Education, Maldives.

Kinnear and Taylor (1996) defined population as the aggregate of the elements defined prior to the selection of the sample. The population for this study was the school leaders that comprised senior management members of all schools in the capital city of the Maldives, Male'. The schools in the capital city were chosen due to the time and high costs constraints that prevented collecting data from the small islands dispersed throughout the nation. The sampling units were the schools chosen for the study while the sampling elements were all school leaders comprising the senior management teams such as senior assistants/deputy heads of administration, co-curricular, head of subject departments, leading teachers and session supervisors. The sampling frame for this study was all 23 schools and their senior management members in the capital city Male', Maldives as specified in Table 2. According to the Maldives Census Bureau (2010), the country has total of 87 schools including both on atolls and the capital city. The capital city Male' comprises twenty three schools including both public and private, with a total of 363 School Leaders (SLS) as given in Table 2. The minimum recommended sample size of this study is 187 when calculated using sample size calculator with the margin of error of ± 5 percent and the confidence interval of 95 percent.

For this exploration, a combination of purposive with quota sampling procedure under non-probability sampling was opted to select a sample of 270 SLS from 23 schools in Male'. This sampling procedure was employed because in quota sampling even though it is non-probability sampling method, it is a sampling method that can be used to generalize the samples to infer the entire population (McMillan, 2001; McMillan & Schumacher, 2006) whereas by using only the purposive method it cannot make generalization to represent the population (McMillan, 2001).

2.3 Instrumentation

Table 3. The characteristics, details, constructs and the sources of the questionnaire for the study

Section	Characteristics	Details/Items	Number of Constructs	Sources
A	Demographic	Category of school, Post, Gender, Age, Job/service experience, Religion, Nationality		
B	Strategic leadership characteristics (SLCHARC)	Strategic Orientation (STOR) (4) Strategic Translation (STAR) (4) Strategic Alignment (STRAL) (3) Strategic Intervention (STRIN) (3) Strategic Competence STRCO (4) Restlessness (REST) (3) Absorptive (ABSR) (3) Adaptive (ADAP) (3) Wisdom (WISDM) (5)	9	Davies (2004) Hairuddin Mohd. Ali (2007) Eacott (2008)
C	Leadership self-efficacy (LSPSELF)	Management Efficacy (MGSELF) (6) Instructional efficacy (INSELF) (6) Moral efficacy (MRSELF) (6)	3	Bandura's (1997) Dimmock & Hattie (1996) Goddard et al. (2000) Tschannen-Moran & Gareis (2004) McCollum et al. (2005)
	Total	57 items	12 constructs	

The quality of research depends on the quality of the data collection tools (Jenifer, 2011). The SLCHARC were measured using an adapted instrument of Hairuddin (2011). The questionnaire that comprised 32 items, used seven-point Likert scale (1 = rarely, 4 =occasionally and 7 = almost always). The SLCHARC comprised two sub-domains particularly ORGCAPAB (STOR, STRIN, STRAL, STAR and STRCO) and INDVCHARC (REST; ABSR; ADAP; and WISDM). This questionnaire which was originally in Malay language was translated into

English by using a back-translation process of the survey questionnaire which confirmed the original translation (Brislin, Loner, & Thorndike, 1973; Brislin, 2000). To measure the LSPSELF an adapted instrument of Tschannen-Moran and Gareis (2004), principal sense of efficacy scale was used. It was originally a nine-point Likert scale (1 = none at all, 3 = very little, 5 = some degree, 7 = quite a bit, and 9 = a great deal) examining three constructs (MGSELF, INSELF and MRSELF) and having a total of eighteen items. The structure of the instrument used for this particular study comprises three sections as in Table 3. Section A covers the demographic questions (category of school, present post, age, gender, job/service experience, religion and nationality). Section B with 32 multiple-items measuring the SLCHARC and Section C with 18 multiple-items measuring the LSPSELF respectively.

Basic face validity (Churchill & McLaughlin, 2001; McMillan & Schumacher, 2006) was conducted together with the reliability of the instrument suggested by Bourque and Clark (1992) and Hairuddin (2011). The survey items were mailed to experts in the field of educational management and leadership in Maldives and their suggestions were used to modify the statements prior to carrying out the actual survey. For Tschannen-Moran and Gareis (2004), principal sense of efficacy scale, construct validity was established through a factor analysis of the original 50 survey items. The scale's Cronbach's Alpha yielded values ranging from .81 to .93 (Tschannen-Moran & Gareis, 2004). Following a session of testing the instrument among 40 Senior Management Team Members from selected schools in Male', the Cronbach's Alphas of all twelve constructs in this study indicated the absence of problems with the responses to the survey instrument; the values range between 0.72 and 0.91 (STOR=0.81, STAR=0.87, STRAL=0.83, STRIN=0.72, STRCO=0.85, REST =.90, ABSR=0.80, ADAP=0.86, WISDM=0.91, MGSELF=0.87, INSELF=0.88 and MRSELF=0.77). Thus, George and Mallery (2003) suggest that the items of the instrument were valid and reliable enough to be used for the main study.

2.4 Data Analysis Method and Statistical Techniques

Initially the study employed the basic descriptive statistics such as standard deviations and mean. McMillan and Schumacher (2006) assert that the use of descriptive statistics is the most fundamental way to summarize data and to interpret the results of quantitative research. It also employed correlation technique and Structural Equation Modeling (SEM) for each of the variables for a better understanding of the data. In addressing Research Question 4, Pearson product-moment correlation coefficient (Pallant, 2007, p. 126) and examining the path for the structural model were carried out.

3. Results and Discussions

3.1 Demographic Characteristics of the Respondents

Out of 270 questionnaires administered in the capital city Male, only 200 school leaders successfully completed and returned their questionnaires with a response rate of 74.1%. As exhibited in Table 4, according to gender, about 45 (22.5%) and 155 (77.5%) were males and females respectively. As for the category of the school, majority of them (174 accounted for 87%) were from the government schools and the rest, 26 (13%) were from private schools. According to the post, seven respondents (3.5%) were school principals, 28 deputy principals (14%), the majority, 104 (52%) were school leading teachers followed by seven respondents (3.5%) working as morning session heads. Six respondents (3%) were working as afternoon session heads, 39 respondents (19.5%) as head of divisions, only one respondent (0.5%) was a head of committee and the remaining eight (4%) were from other leading positions in the schools.

As for age range, there were four respondents (2%) between 20-25 years, 23 respondents (11.5%) between 26-30 years, 57 respondents (28.5%) between 31-35 years and the majority 116 respondents (58%) were over 35 years of age. In terms of teaching experience, 102 respondents (51%) accounted for at least 5-10 years teaching experience, 40 respondents (20%) possess 11-15 years experience, 18 respondents (9%) accumulated for 16-20 years experience, while 18 respondents (9%) possess than years experience and only 22 respondents (11%) have less than 5 years of teaching experience. With regard to the experience in management and administration, 96 respondents (48%) have at least 5-10 years experience, followed by 61 of them (30.5%) who have less than 5 years of experience, 36 of them (18%) with 11-15 years experience, only four of them (2%) have 16-20 years experience and the rest (1.5%) have more than 21 years of experience as school administrators. As for the religion category, majority of them (178 accounted for 89%) practice the religion of Islam. Lastly, majority of the respondents are local Maldivians (173 or 86.5%) and the rest (27 or 13.5%) reported being expatriates from other neighboring countries.

Table 4. The demographic characteristic of the respondents

Demographic characteristics	Category	Frequencies	Percentage
Gender	Male	45	22.5
	Female	155	77.5
Category of school	Government	174	87
	Private	26	13
Present post	School principal	7	3.5
	Deputy principal	28	14
	Leading teacher	104	52
	Head teacher (morning)	7	3.5
	Head teacher (afternoon)	6	3
	Head of Division	39	19.5
	Head of Committee	1	0.5
	others	8	4
Age	20-25	4	2
	26-30	23	11.5
	31-35	57	28.5
	35+	116	58
Job/service experience Teaching & Learning	<5 years	22	11
	5-10 years	102	51
	11-15 years	40	20
	16-20 years	18	9
	21+ years	18	9
Job/service experience Management & Administration	<5 years	61	30.5
	5-10 years	96	48
	11-15 years	36	18
	16-20 years	4	2
	21+ years	3	1.5
Religion	Islam	178	89
	Hinduism	9	4.5
	Buddhism	1	0.5
	Christianity	11	5.5
	Others	1	0.5
Nationality	Maldivian	173	86.5
	Expatriate	27	13.5

3.2 Respondent's Perception on ORGCAPAB of SLCHARC

Table 5 shows the general perception of respondents on ORGCAPAB and thus addressing Research Question 1. *"Strategic Orientatio*n" (STOR) showed an overall mean score of 5.52 (SD=1.02), which is the second lowest. Collectively the findings of the study confirmed that leaders do orientate their staff with the organization strategies. This result is consistent with a similar study carried out by Hairuddin (2011) on National Primary School (NPS) heads in Malaysia and also confirms with Davies (2004), B. J Davies and B. Davies (2004) model of strategic leadership. Procuring the STOR among Maldivian school leaders will make them able to achieve the main target of the Ministry of Education, to transform their schools as excellent and effective schools. Leaders

will be able to orient their organizational strategies with their staff and work accordingly and follow the educational policy of Ministry of Education. *"Strategic Translation"* (STAR) shows the overall mean score of 5.65 (SD=0.97) and reveals that more than half of the respondents 58.5 % of school leaders highly agreed that they always look for new strategies to overcome their weaknesses in the daily implementations of their staff duties. This result concluded that school leaders in the Republic of Maldives think about the function of strategy and have the ability to translate the moral purpose and vision into reality.

"Strategic Alignment" (STRAL) has a mean score 5.73 (SD= 0.94) which was the second highest among all five dimensions observed. Davies (2004), B.J. Davies and B. Davies (2004) described, "Align people and organizations" as one of the dominant ORGCAPAB dimensions. Furthermore, the importance of aligning the people is recognized by Grundy (1998) and Gratton (2000). With the presence of STRAL characteristics among Maldivian school leaders', will enable them to change the mindset as well as the behavior of their subordinates through strategic conversation, strategic participation and strategic motivation and hence building personal and organizational capability (B.J. Davies & B. Davies, 2009; Prahalad & Hamel, 1990; Stalk *et al*., 1992). In addition, Kaplan and Norton (2004) viewed "ability to translate strategy into action" as an essential factor for the success of the strategy management implementation. In the context of Maldives, the results confirmed that the school leaders of Male' the capital city do possess STRAL. This result affirms with the similar study carried out by Hairuddin, (2011) on NPS heads in Malaysia.

"Strategic Intervention" or STRIN produced an overall mean score 5.36 (SD=1.05) and reveals that the school leaders had almost an equal agreement between medium (48%) and high (49.5%) opinion of making smart judgments on the developmental strategic plans of organization. Davies (2004), B.J Davies and B. Davies (2004) identified "determine effective strategic intervention points" as one of the underlying indicators for ORGCAPAB. This result however, is not consistent with the finding by Hairuddin (2011).

"*Strategic Competence"* (STRCO*)* has the highest mean score 5.85 (SD=0.91) representing that most of the school leaders showed the ability to develop strategic competencies. This is an indication that majority of the school leaders in Male' acquired the ability of identifying different strategies in order to improve student learning. Furthermore, Hairuddin (2011) asserted that this is an essential element which is very much in need of the current schools and organizations to avoid the culture of "scapegoat" and to focus on team problem solving so that collectively leaders and other staff can interpret data for student achievement. However, this finding is not consistent with a similar study conducted by Hairuddin (2011) on NPS heads in Malaysia.

Moreover, the findings of the present study confirmed the presence of some underline motives among the Maldivian school leaders. The Ministry of Education, Maldives enforces the schools to complete at least five to ten professional development programs focused on school leaders in sustaining their positions. School leaders and senior teachers are required to attend stipulated frequencies of professional development sessions and they are evaluated through appraisal forms from the relevant bodies. According to these school heads the training sessions are very effective and this probably one of the underlining reasons for which congruencies of the research findings among the Maldivian school leaders existed. The prime conclusion is that, the Maldivian School leaders possessed all five ORGCAPAB of SLCHARC based on the two prongs approaches particularly the descriptive statistics and Confirmatory Factor Analysis (CFA).

3.3 Respondent's Perception on INDVCHARC of SLCHARC

Table 5 presents the means, standard deviations and Cronbach's Alphas for the four dimensions of INDVCHARC and thus addressing Research Question 2. "*Restlessness"* (REST) showed an overall mean score of 5.93 (SD= 0.96), which is the second highest mean score among four INDVCHARC dimensions. As for "*Absorptive capacity*" (ABSR) more than half of the respondents (59.5%) highly agreed the opinion of emphasizing new information in the course of enhancing the excellence of the organization. "*Adaptive Capacity*" (ADAP) showed the highest overall mean score (6.00, SD= 0.91) among the four INDVCHARC. According to the results, the ADAP characteristics of strategic leadership was possessed by Maldivian school leaders in the capital city Male' and was the most dominant compared to the other three individual characteristics. Furthermore, the overall mean score (5.80, SD= 0.91) of *Wisdom* (WISDM) was observed similar with the mean score of the ABSR.

This study has proven that REST was one of the prevalent dimensions among the four *INDVCHARC* among Maldivian school leaders'. Davies (2004), B.J Davies and B. Davies (2004) also described this characteristic dimension as one of the important INDVCHARC of strategic leadership that the school leaders' need to acquire because "vision without action is merely a dream and while vision with action can change the world" (Barker, 1992). This finding was consistent with the similar study carried by Hairuddin, (2011) on NPS heads in Malaysia

and found this characteristic dominant among NPS heads. With the presence of this imperative characteristic among Maldivian school leaders, it will surely enable the leaders to face the challenges of managing the current issues. This could be one of the driving forces behind strategic leadership style that would definitely help them to perform in different ways in the future (Davies, 2006). As for WISDM, the finding confirmed that the school leaders possessed this important and vital characteristic.

3.4 Respondent's Perception on LSPSELF

Table 5 presents the means, standard deviations and Cronbach's Alphas for the three dimensions of LSPSELF and thus addressing Research Question 3. Following the analysis of all LSPSELF dimension constructs, INSELF has scored the highest mean 5.80 (SD=0.77) followed by MGSELF mean score 5.77 (SD=0.79) and MRSELF mean score 5.68 (SD=0.85). The overall mean score for the LSPSELF was 5.75 (SD=0.73). Overall, LSPSELF survey results indicated that the Maldivian school leaders particularly in the capital city, Male' feel they have quite a bit of control in their roles as school leaders, revealing a high perception level of self-efficacy. The results give a clue that the school leaders in Maldives also confront the difficulty of meeting the time demands. Most of the school leaders were not able to spare enough time in employing the media to promote their schools as they are burdened with routine schedules in their daily tasks. Although, the result of the present study was inconsistent with Moak (2010), some of the findings are analogous. For instance, in the present study, MGSELF section dealing with issues of handling time demands and coping with stress also garnered lower mean scores. The MRSELF section was discovered with much lower mean scores. However Moak (2010) found that MGSELF mean score was much lower in his finding but MRSELF was considered most prevalent among the three categories of leadership efficacy.

Table 5.The General Perception of Respondents on ORGCAPAB, INDVCHARC and LSPSELF

Organizational Capability Dimensions (ORGCAPAB)	Mean	SD	Cronbach's Alpha
Strategic Orientation (STOR)	5.52	1.02	0.81
Strategic Translation (STAR)	5.65	0.97	0.86
Strategic Alignment (STRAL)	5.73	0.94	0.63
Strategic Intervention (STRIN)	5.36	1.05	0.83
Strategic Competence (STRCO)	5.85	0.91	0.86
Total average	**5.62**	**0.83**	
Individual Characteristic Dimensions (INDVCHARC)	Mean	SD	Cronbach's Alpha
Restlessness (REST)	5.93	0.96	0.87
Absorptive capacity (ABSR)	5.80	0.91	0.79
Adaptive Capacity (ADAP)	6.00	0.91	0.82
Wisdom (WISDM)	5.80	0.91	0.90
Total average	**5.88**	**0.83**	
Leaders' Sense of Efficacy Dimensions (LSPSELF)	Mean	SD	Cronbach's Alpha
Management efficacy (MGSELF)	5.77	0.79	0.85
Instructional Efficacy (INSELF)	5.80	0.77	0.82
Moral Efficacy (MRSELF)	5.68	0.85	0.81
Total average	**5.75**	**0.73**	

n=200

To conclude and confirm what has been discussed previously, this study also employed SEM techniques particularly the employment of CFA for all three latent variables that were hypothesized to be correlated in this study. As exhibited in Figure 2, all three latent variables were correlated in the process of examining their CFA. Analysis of Moment Structures (AMOS) Version 16 computer software was employed in the process. As exhibited, it seemed that the model fit the data quite well with the goodness of fit indices:

CMIN/DF=1.768(≤5.0); GFI=0.928 (0.90≥); AGFI=0.890 (0.90≥); CFI=0.980 (0.90≥); RMSEA=0.062 (≤0.08); *P*-Value=0.001 (≤0.05). Hence, it was concluded that Research Questions 1, 2 and 3 had been fully addressed while all three hypotheses (Hypotheses 1, 2 and 3) had been proved supported by the CFA results of the study.

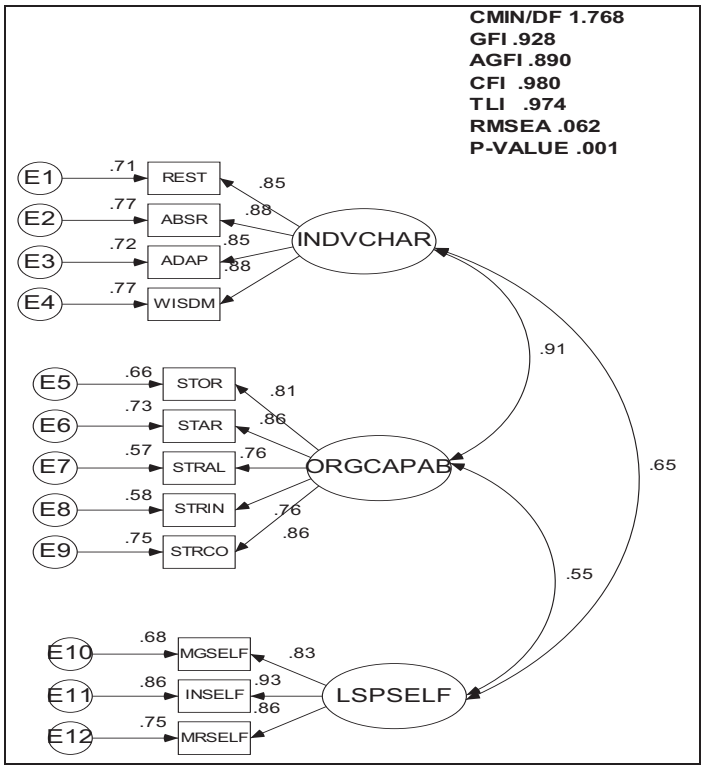


Figure 2. Confirmatory Factor Analysis for SLCHARC and LSPSELF Constructs

3.5 Relationship between SLCHARC and LSPSELF

This section explains the relationship between the SLCHARC and LSPSELF from school leaders' perceptions thus providing the answers for Research Question 4. According to the results portrayed in Table 6, the SLCHARC are positively and significantly related to LSPSELF, r = .561, n = 200 and p<0.01. Both SLCHARC and LSPSELF showed an equal mean score of 5.75 with standard deviations of 0.80 and 0.73 respectively. The strength of the relationship between SLCHARC and LSPSELF was considered large (r= .561), suggesting a strong relationship between SLCHARC and LSPSELF.

Table 6. Pearson Product-Moment Correlation between SLCHARC and LSPSELF

	Strategic leadership (SLCHARC)	Self-efficacy (LSPSELF)	Mean	Std. Deviation
Strategic leadership (SLCHARC)			5.75	0.80
Self-efficacy (LSPSELF)	.561**		5.75	0.73

(n=200)

The study further investigated the initial findings using full-fledged SEM by through AMOS Version 16. The computer was instructed to estimate the relationships between three latent variables of the study (Figure 1) as stated in the hypothesized model (Loehlin, 1992; Arbuckle & Wothke, 2006). Maximum likelihood was used in

the process of estimation. Some key goodness of fit indices were identified and to be used in the process of specification, identification and estimation of the relationships between all three latent variables (Hair *et al*, 2006). Subsequently, by examining the generated SEM model (Figure 3), it was obvious that the measurement models of all three latent variables (ORGCAPAB, INDVCHARC and LSPSELF) were specified as shown by their respective individual high standardized loadings. Besides that, by examining the relationship between SLCHARC and LSPSELF, it was obvious that the relationship was direct and significant (with standardized regression weight 0.71) with the goodness of fit indices: CMIN/DF=1.693; GFI=0.933; TLI=0.976; CFI=0.983; RMSEA=0.059 and *P*-Value=0.002. To conclude, Research Question 4 was fully addressed and simultaneously Hypotheses 4 was supported.

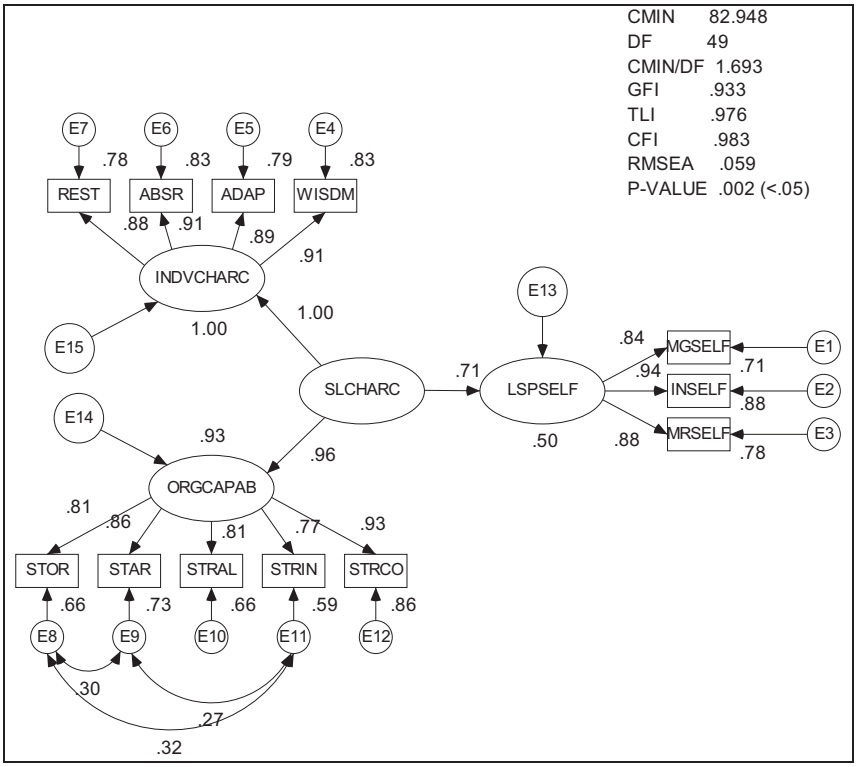


Figure 3. Full Fledge Generated SEM Results of the Relationship between SLCHARC and LSPSELF

At least two studies, LSPSELF has been shown to predict cognitions as well as emotions and behavior. Federici and Skaalvik (2011) also found a positive relationship between self-efficacy and work engagement of school principals. Moreover, a study carried out in UK by Leithwood and Jantzi (2008) and Leithwood *et. al.* (2007) found that school leaders' collective efficacy was an important link between district conditions and both the conditions found in schools and their effects on student achievement. Hence, it was undoubted to say that effective SLCHARC can be exhibited effectively if the leaders' acquire positive efficacy beliefs which will surely enable them to bring a positive reform in schools. By discovering a statistically significant positive relationship between the SLCHARC and LSPSELF of Maldivian school leaders, this study provided an indication for the school authorities that self-efficacy must remain at the forefront for improving the leadership quality such as strategic leadership. Thus, this positive link between SLCHARC and LSPSELF is vital for school leaders to enhance the current education system in Maldives.

The implications from the present study could be in three fold. First, it has demonstrated that the school leaders in the capital city of Maldives possessed all nine dimension of SLCHARC although some characteristics are more prevalent than others. Second, the study provided a clear understanding of the perceived sense of self-efficacy of school leaders and how this positive efficacy can contribute to effective leaderships. The findings have revealed that majority of the school heads have a bit of control in their roles as school leaders, revealing a high perception level of self-efficacy. It also revealed that from the three subgroups of the Principal Sense of Efficacy Scale, INSELF was the most dominant among Maldivian school leaders. Lastly, the study has

confirmed that there is a positive relationship between strategic leadership and self-efficacy which can significantly contribute to important personal and organizational outcomes as job search success. Strategic leadership qualities with positive efficacy beliefs can surely move an organization from its current reality to a desired future destination.

4. Recommendation for Future Work

The present study explored an area which has not been studied and hence is a complete novel for the context of Maldives. It has provided significant insights regarding the SLCHARC and LSPSELF of school leaders which are deemed fundamental for school excellence. Future observational studies may well include content analysis of their speeches and interviews to provide more information in the area. In addition, instead of self-assessing by leaders themselves, other staff members could be requested to evaluate their leaders and then the results could be compared with the data from the content analysis of their speeches and interviews to confirm with the findings. The roles of the school leaders are found too bulky and to recognize which specific actions of them most influential in improving student achievement is a challenging task. Therefore, a future study could be carried out using Davies's nine points model of strategic leadership to explore which dimension out of the nine dimensions of strategic leadership has greater impact particularly on student achievement. Moreover, a future study could be carried out comparing strategic leadership behavior with other effective leadership behaviors and hence find out which of these leadership behaviors yielded more positive results in schools.

5. Conclusion

School effectiveness and school improvement is the main aspiration of the schools and the Ministry of Education. To achieve this goal, the Ministry cooperates communally with schools to exploit various strategies such as developing effective educational policies, revising the school curriculums, recruiting quality leaders, allocating competency teachers, improving the quality of instruction, tailoring professional development programs and conducting different intervention programs for teachers and students. However, these efforts arouse lot of challenges where one of the most critical challenges facing Ministry of Education and the schools of Republic of Maldives is identifying and preparing a new generation of school leaders who are flexible, collaborative, able to learn and adapt to changing circumstances, and willing to continue their learning journey to becoming better strategic thinkers and doers. Therefore, the schools and the educational authorities are required to put extra efforts to analyze their current leadership behaviors and peruse the issues that confront the leaders in their journey towards effective schools.

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Laws and Policies on Sustainable Development of China's Small Hydropower

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Abstract

China boasts fairly plentiful water energy in its rural areas, ranking No. 1 in the world. China has made great social, economic and ecological achievements in small hydropower (SHP) development. But SHP development in the rural areas is still confronting unavoidable realistic contradictions: the absence of nationwide laws and compensation institutions and the ambiguity in supervision responsibility. The paper proposes pertinent countermeasures against major problems in laws and policies for China's SHP development.

Keywords: small hydropower, rural water energy resource, property rights, laws

1. Introduction

Property rights theories opened up a field of research in relation to institutions, actors' strategies and (social or political) processes of resource management. Thus, institutional economics considers property and use rights as key steering factors. Coase (1960) assumes that the internalization of external effects can only be achieved through individual bargaining with the precise definition of use and property rights. Bromley (1991) stressed that "it is essential to understand that property is not an object such as land, but rather is a right to a benefit stream that is only as secure as the duty of all others to respect the conditions that protect that stream."

Property rights (PR) to natural resources with similar characteristics are referred to as a property-rights regime or system. The classification of these regimes is based on different criteria which include title to property, the organization of exclusion, access control and decision-making processes within the regime. Bromley (1992) formulated the distinction between four classical types of regimes: no property, common property, state property and private property. There is no theoretical or empirical justification for the belief that the private property system per se is better than the other PR systems when it comes to the prevention of the overuse of resources; free access is the only regime that is unanimously condemned in this respect.

In accordance with the Constitution and relevant laws of China, in addition to land, most natural resources are state-owned in China, and the country has the ownership of them. In accordance with the Water Law currently in effect, water resources are owned by the state, and the exploitation right for state-owned water resources must be obtained through competitive means. The key and origin of ushering market competition into water energy development is the establishment of water energy exploitation and utilization right in accordance with laws. As the owner of water resources, the state can conduct both positive rights including possession, utilization, profiting and disposal, and negative rights, i.e. eliminating all illicit infringements. In practice, the state authorizes the rights of water resources exploitation and utilization management to ministries of the Central Government and local governments. However, due to the variations in benefits of the Central Government and its representatives at all levels, and the opportunistic conducts of these representatives, severe government failure takes place in the authorization process.

In order to analysis on the restrictions to China's small hydropower (SHP) development, the paper described an analysis framework as follows from the institutional perspective (See Figure 1). In Section I, the paper introduces the achievements of China's SHP and challenges the industry is confronting. In Section II, laws and defects on hydropower resources development and use in rural areas are analyzed. In Section III, institutional

problems in the management and supervision of rural hydropower resources are demonstrated. Section IV describes the policy defects on the Feed-in Tariff (FIT) of SHP. Section V elaborates the countermeasures on the sustainable development of China's hydropower. And, the last part made the conclusions.

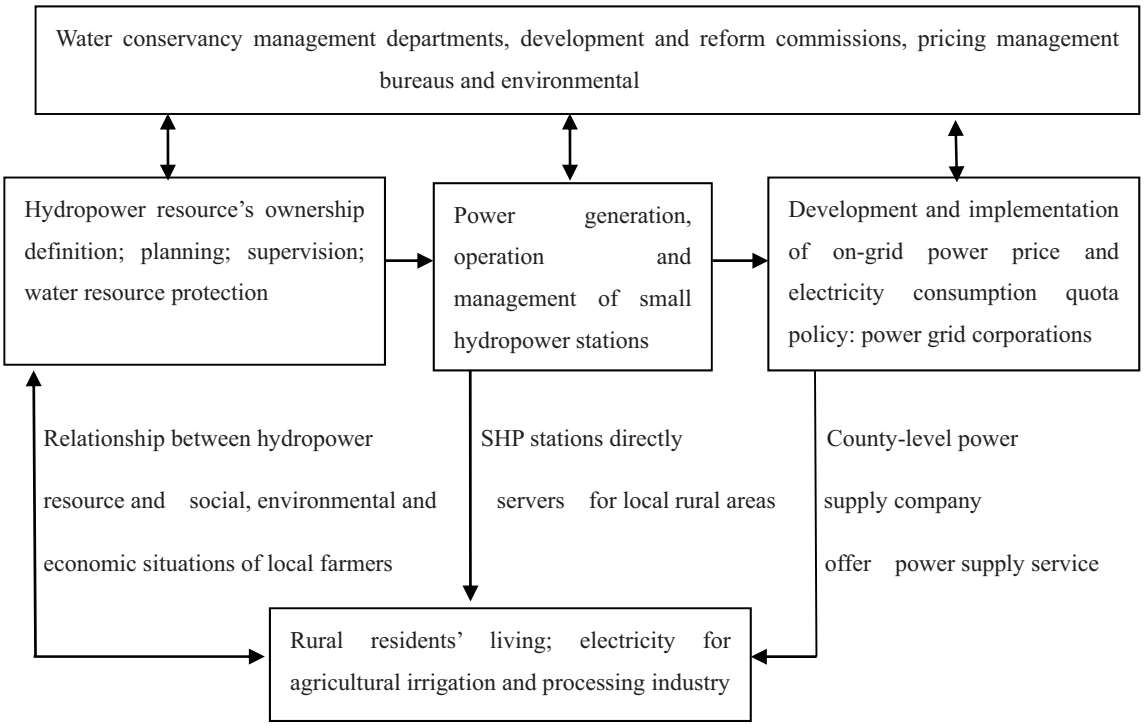

Figure 1. Small hydropower (SHP) development framework in China

2. Achievements and Challenges of China's SHP

China's SHP resources are affluent, which can be developed to the amount of 128 million kW with current technology, ranking first in the world. A total of 1,578 of nationwide 2,300-plus counties have set up SHP stations (Chen, 2009). Most SHP stations are distributed in the poverty-stricken mountainous areas in Western China. By the end of 2010, the exploitable SHP resource gross in Western China is 79.529 million kW, accounting for 62.1% of total exploitable hydropower resources in rural China.

At the initial period, SHP stations, with installed capacity of 50,000 kW or below and consisting of hydropower stations themselves and supporting grids, were mainly built and managed by local governments (counties, towns, townships) and farmers to serve for rural and countywide social and economic development.

In early 1980s, Chinese government proposed to boost electrification mainly powered by SHP in rural areas with affluent water resources. The State Council decided to build 600 primary rural hydropower electrification counties in three steps, i.e., the 7th (1985-1990), 8th (1990-1995) and 9th (1991-1995) five-year plan periods. By the end of 2000, a total of 653 primary rural hydropower electrification counties had been set up. These counties had doubled the GDPs, financial revenues, rural per capita net income and electricity consumption within five years and redoubled within ten years. SHP has become a powerful support to the economy development of poverty-stricken rural areas and counties, an important source of local financial income and an effective channel for farmers to become rich. After20-year hard work, the total installed capacity of SHP had increased 16.50 million kW and reached 23.5 million kW at the end of 1999. The annual average installed capacity put into operation hit 820 MW, nearly satisfying the local power demands. SHP kindles the rural areas of China.

Since 2000, Chinese government has paid more attention to the function of SHP stations in rural economy and society, and stressed on great efforts in SHP, rural electrification and the program of Substituting SHP for Fuel. With the large-scale renovation of rural hydropower grid and the strategic restructure of rural hydropower assets, SHP entered the stage of mass production, promoting the water energy resource management and planning.

Legal exploitation and supervision of SHP received greater concern. Continuous progress of economic institution

reform and inflow of social funds to SHP brought enormous changes to the development situation of SHP.

Upon the access into the 21st century, the CPC Central Committee and the State Council strengthened policy support to rural electrification, which is believed an important condition for agricultural and rural modernization. During the 10th Five-year Plan period (2001-2005), a total of 409 rural hydropower electrification counties, 80% of them in former revolutionary base regions, regions inhabited by ethnic groups, border regions and poverty-stricken regions, were completed. And nearly 10,000 middle and small rivers were harnessed. The five-year-long electrification completed 115.1billion investment, increased 10.6million kW rural hydropower installed capacity, realized per capita annual electricity consumption of 64kWh, up 76.65% than that in 2000 and 10 percentage points higher than the national average growth. The annual average GDP growth of 409 counties achieved 15%, 1.7 times of the national average. To meet the economic and social development demand in rural areas, the rural hydropower electrification for 400 counties at a higher standard was initiated in 2006. Over the past three years, the project proceeded smoothly and saw completed investment accumulation of 12.5 billion RMB, 397 completed projects and newly installed capacity of 1260MW.

With the policy incentives and electrification county construction, hydropower developed dramatically. By the end of 2011, a total of 45,000 hydropower stations had been set up with total installed capacity of 62000MW, an increase of 38，500 MW comparing to that in 2000 with annual increase above 3500MW. In 2011, SHP stations generated 200 billion kWh, accounting for 30% of China's hydropower.

Between 1978 and 2011, the annual installed capacity growth of SHP is 30%, and of power industry is 11%. The development of SHP and support grid offers power access to 1/3 counties in China and 300 million rural population. Hydropower lightens the whole rural areas of China.

Though small hydropower has big installed capacity, the number of SHP stations are much larger and they are more widely distributed (see Table 1).

Table 1. SHP potential in each province (region or municipality) in China

Province/Area	Exploitable capacity(MW)	Annual electricity production (GWh)	Share in China (%)
North China	2909	9799.99	1.8
Beijing	186	421	0.1
Tianjin	5	20	0.0
Hebei	1206	3848.81	0.7
Shanxi	853	3380.95	0.6
Inner Mongolia	658	2129.23	0.4
Northeast China	5550	15,259.43	2.9
Liaoning	667	1889.03	0.4
Jilin	1662	5646.75	1.1
HeiLongjiang	3221	7723.65	1.4
East China	18,839	61,991.88	11.6
Shandong	64	158.6	0.0
Jiangsu	58	173	0.0
Zhejiang	4625	12,035.85	2.2
Anhui	1371	3952.84	0.7
Fujian	8492	30,955.31	5.8
Jiangxi	4229	14,716.28	2.8
Mid-south China	27,057	10,0851.9	18.8
Henan	875	31,09.41	0.6
Hunan	8001	30,410.49	5.7
Hubei	5455	19,680.82	3.7
Guangdong	6901	23,715.26	4.4
Guangxi	5193	21,667.2	4.0
Hainan	632	2268.73	0.4

South West China	56,740	271,442.65	0.7
Yunnan	16,330	76,906.73	14.4
Guizhou	7335	25,605.99	4.8
Sichuan	20,698	108,312.7	20.2
Chongqing	3330	13,216.61	2.5
Tibet	9047	47,400.59	8.9
North west China	16,937	75,699.04	14.1
Shannxi	3116	12,432.12	2.3
Gansu	3960	19,283.02	3.6
Qinghai	2341	10,727.27	2.0
Ningxia	13	36	0.0
Xinjiang	7507	33,220.63	6.2
Total	128,032	53,5044.9	100

As green energy producers, important rural infrastructures and public facilities, SHP stations have realized enormous achievements in releasing local power supply pressure, accelerating rural electrification, eliminating poverty in rural areas, improving livelihood and protecting ecological environment and played an important role in promoting the economic and social development of poverty-stricken areas in rural China. However, SHP development in China is confronting some sharp contradictions.

Lack of a complete drainage area plan for a long time, the swarming hydropower development projects caused problems such as the river cutoff, shortage of drinking water and irrigation water (see Figure 2).

Figure 2. Dried bed of a stream just downstream of the diversion weir of a SHP

Source: Authors' own contribution.

Due to the rapid development of SHP stations in a large scale, some ecological environment problems become increasing serious, mainly in the following aspects:

First, the water flow cutoff. This problem mainly exists in some diversion-type hydropower stations. During the

dry season, the diversion-type hydropower station is prone to cause the river cutoff and regional low water or high fluctuation of water flow in the lower reaches of the river. Such problems have adverse impact to the ecological system, irrigation, shipping and ecological environment of the upper and lower reaches of the river. The water diversion project across several drainage areas can cause changes of the water flow of the rivers and the hydrological system and impact the production and life water supply and the ecological system on both banks of the rivers.

Second, impact to the biological diversity. Because of construction of the hydropower station, the water quality, water flow and temperature will change and have adverse impact to the protection of fishes and rare animals and plants.

Third, impact to the water quality. Such problem mainly exists in the reservoir-type hydropower stations near the urban areas. After the completion of the reservoir, the water will become deep and the flow rate will slow down. Consequently, the municipal sewage cannot be discharged in time and lead to decline of the water quality of the reservoir.

Fourth, regional vegetation damage and water and soil erosion. During construction of the hydropower station, the disordered waste slag and temporary facilities, in addition to the land occupied by the project, will cause the land waste. At the same time, taking soil will impact the slope and surface soil, damage the vegetation and cause the water and soil erosion, even block the waterway.

3. Laws and Defects on Hydropower Resources Exploitation and Utilization in Rural Areas

Utilizing water energy to generate power is one of the important modes to develop water resources. In order to emphasize the power generation function of water resources, water resources for generating power is often called hydropower resources in management. Currently, the state-level legislation on hydropower resource's exploitation and utilization rights has not been established, except for some principles. The *Water Law of China* is enacted for the purposes of "rationally developing，utilizing， conserving and protecting water resources， preventing and controlling water disasters，bringing about sustainable utilization of water resources， and meeting the need of national economic and social development." The *Water Law* stipulates "water resources are owned by the State" and "institutions for water intake permit and charged use", fundamentally offering possibility and necessity for hydropower resource exploitation and utilization. The *Water Law* has a special chapter on Hydropower Exploitation and Utilization, which defines principles and institutions for hydropower exploitation and utilization and doesn't establish hydropower exploitation and utilization right. The *Renewable Energy Law* defines hydropower is a clean renewable energy, stresses "the state encourages economic subjects of various ownership take part in the exploitation and utilization of renewable energy, and protect the legal benefits of renewable energy." But no specific regulations were made on the development and use right of water energy.

Some regions with affluent water energy have started effective legislation and practice on water energy resource exploitation and utilization. The *Management Statutes on Water Energy Resource Exploitation and Utilization* developed by Zhejiang and Fujian provinces define "the exploitation of water energy resources should obtain the exploitation and utilization right in accordance with the law, and the exploitation and utilization right for water energy resources should follow the principles of openness, equity and justness, apply the methods of bidding and auction to obtain with payment." Also, the approval, alteration and withdrawal of the exploitation and utilization right for water energy resources are elaborated in the documents.

Water energy, stored in rivers and lakes, is a limited natural resource. SHP is a product of water energy exploitation and utilization through project construction. Water energy development and utilization right is a water-related right established through special administrative permit in order to reasonably develop and utilize water energy resources and realize sustainable utilization. It is a specially approved property right. Only those qualifying development and utilization conditions can apply for hydropower projects. Currently, the paid water energy transfer is carried out in ten provinces. Those intend to exploit and utilize water energy are required to obtain the right through bidding, auction and quotation first. However, existing local statutes only offer fundamental regulations to qualifications and conditions of water energy developers and lack of detailed and concrete regulations.

The state's water energy resources are the object of exploitation and utilization. The exploitation and utilization of water energy consist of diversion and discharge. The water resource developers do not intend to occupy the water itself for a long term. Their occupation is just for the convenience of building facilities and power generation. So, water source or water itself should not be deemed as the object of water energy exploitation and utilization. The exploitation and utilization of water energy resources depend on the water's potential energy and utilize the functional value of water, which are different with the occupation and consumption of water for

household and industrial uses. The exploitation and utilization of water energy resources, without occupation of the object, is not complete exclusive. It can coexist with water supply, irrigation, sightseeing, navigation and other functions.

Absence of Laws for Exploitation and Utilization of Water Energy Resources in China's Rural Areas

The exploitation and utilization of water energy resources in China's rural areas are confronting legislative problems as follows. First, the vacancy of overall and professional legislation. The establishment, obtaining, performance, transfer, alteration, loss and termination of the right for exploitation and utilization of water energy resources, actually a property right, should only be defined through laws. But, the state-level special legislative regulations on the right for exploitation and utilization of water energy resources are still absent, resulting in the rather incompleteness of standards, conditions and procedures for the work. Local legal documents promulgated by some provinces, autonomous regions and municipalities, such as *Hunan Water Energy Resource Exploitation and Utilization Statute* and *Jilin Water Energy Resource Exploitation and Utilization Statute*, mainly focus on their local actual situation and economic development and fail to meet the demands of standardization and adjustment to the nationwide rural water energy exploitation and utilization. Second, the concept of sustainable development is not deeply carried forward in related legislation. The legislation to water energy resource exploitation and utilization focuses more on boosting local economy through exploiting water energy, lacks of consideration on benefits of migrants and environmental protection, and neglects the basic standpoint of promoting the coordinated development of ecology, society and economy.

The exploitation and utilization of water energy resources in China's rural areas are confronting some problems in practices. First, the free use of water energy leads to severe waste of the important natural resource and public wealth. In recent years, the development and investment of China's SHP resources had great changes. Private capital replaced national capital in SHP development while the concept and institution for paid use of the resource were not established. Thus, grab of rivers and resources frequently happened in rural areas. At the end of 1996, 17.3% of rural SHP stations were state-owned ones, 80.8% were collective-owned ones, and 1.9% private or stockholding ones. By the end of 2009, 9% were institutionally owned, 8% state solely-owned, 55% state controlled, 11% collective controlled and 67% private or stockholding ones (Cheng Xia Lei 2009). Concerning water energy exploitation practice, some private developers don't exploit water energy after obtaining the exploitation and utilization right. Instead, they wait for a good price to sell the right for profit, which not only keeps developers with investment intention and strength away from water energy exploitation but also causes the idleness and waste of water energy resources. Second, the absence of ownership management system. Due to the absence of nationwide rural water energy exploitation and management institution, the governments have no definite regulations on the acquisition modes, acquisition conditions, acquisition procedures, contents, term, alteration and transfer of water energy resource exploitation and utilization right. With the marketization of water energy resource exploitation, the absence of this institution often leads to contradictions and interest disputes related with rural water energy resource exploitation and utilization right. Third, protection of environment and other public benefits are neglected in rural water energy resource exploitation. Some private operators of SHP stations, only seeking for economic benefit, would neither protect the ecological environment nor compensate the local farmer's land loss. Thus, the exploitation and utilization of rural water energy resource development and utilization often conflicts with the functions of irrigation, water supply and tourism and hinders the sustainable development of SHP in rural areas.

4. Vague Institutions for Rural Water Energy Resource Management and SHP Exploitation Supervision

Rural water energy resource management mainly covers two aspects. The first aspect is the basic work with resource investigation and evaluation as the core contents. The rural water energy resource development plan shall be jointly developed by water-related administrative authorities (water conservation department/bureau) with corresponding river management jurisdiction and the local development and reform committee of the same level, then demonstrated by relevant departments and experts, and reported to local government for approval. Upon the approval, the energy resource development plan should be stringently carried out. The water administrative authorities shall make regular inspections and evaluation to the performance of the plan. The second aspect is the governmental supervision to the exploitation and utilization of rural water energy resource. Over a long time, hydropower resource management is deemed as the same with and replaced by the hydroelectric management. For example, the Ministry of Water Resources is responsible for guiding the hydroelectric work and organizing the hydropower electrification in rural areas. The National Development and Reform Commission is responsible for the management of petroleum, natural gas, electric power and other energy resources. In actual practice, the concepts of hydropower resource and water resource are not unified. Water resource does not include hydropower resource, which excludes hydropower resource management from

water resource management.

The Law of Renewable Energy of the People's Republic of China promulgated in 2005 includes hydropower energy into renewable energy and defines the exploitation and use of renewable energy to be managed by energy authorities. But, management responsibilities to hydropower resources are not elaborated.

The legal ambiguity to hydropower resource and its management leads to the inexplicit job division and management responsibilities among governmental developments, which directly causes the delay or lack of hydropower resource planning, ownership management and a series of environmental and social problems.

Before 1998, the construction of SHP stations was under the administration of the provincial planning commission which was responsible for the project approval and the provincial water resources and electric power department which was responsible for the technical instruction. In March 1998, it was decided to cancel the Ministry of Electric Power at the 1st plenary meeting of the 9th NPC and transfer the administrative functions to the rural electric power department of the State Economic and Trade Commission. The rural electric power department is responsible for the administrative law enforcement, administrative and industrial management of the rural electric power industry and steering the rural electrification and countryside grid development and planning. The hydropower development function was transferred to the former State Economic and Trade Commission. In fact, the approval function of the former State Economic and Trade Commission and the State Planning Commission was poorly defined. In 2003, the State Economic and Trade Commission was integrated in the National Development and Reform Commission and the Water Resources Department gradually faded out of the management of hydropower stations. The approval right was limited to the National Development and Reform Commission under the management of the Energy Division.

The absence of supervision on the hydropower station construction and hydropower market from 2003 to 2006 also caused the management vacuum of the water resources. Especially in the project approval stage, there was no regulation institution in place governing the development permit and use right transfer. There were also many other problems such as poorly defined functions and responsibilities of different levels and among different departments, disordered permit issuance authorization and unauthorized approval of local governments. The facts show that the absence of regulation on the SHP stations led to serious results. In 2004, it was found that more than 3,000 SHP stations were developed without the project approval, project design, construction approval and regulation, and 47% of them were constructed without project approval, 71% of them without design. These problems led to serious safety challenges. In the same year, the dams of two SHP stations with the total installed capacity of more than 500kW failed and killed 27 people.

5. Policy Defects of SHP FIT

For a long term, SHP feed-in tariff (FIT) is generally low. In 2011, SHP FIT averaged at 0.28 RMB/kWh, while thermal power FIT at 0.36 RMB/kWh, nuclear power FIT at 0.50 RMB/kWh, wind power FIT at about 0.55 RMB/kWh and benchmark price for solar power at 1.09 RMB/kWh. It seemed that SHP stations was lower than prices of power generated with renewable energy sources as well as nuclear power and thermal power FIT. Low FIT restricts the development of SHP stations so that they are incapable of following the state policy for encouraging the development of renewable energy sources.

The pricing and dispatching policies made by the government have not been completely carried out. In 2007, the State Council and the State Electricity Regulatory Commission made the policy to give priority to allocation of hydroelectric power, put all hydroelectric power on grid and FIT on the same grid at the same level. However, the power grid companies didn't completely follow the policy. On the one hand, SHP stations didn't enjoy the priority mentioned above, and the policy on the same price on the same grid was not actually put into practice; on the other hand, the power grid companies didn't build and renovate power grid facilities for generating power with renewable energy sources, resulting in waste of power and water resources. Take Fujian province for example. At the end of 2011, thermal power FIT was 0.4448 RMB/kWh, while the average SHP FIT was 0.2748 RMB/kWh, with a difference of about 0.17 RMB/kWh; due to low price, SHP stations in Fujian province suffered a total loss of more than five billion RMB, excluding the loss caused by abandoning water resources on purpose.

The preferential policy on maintaining the added-value tax rate for SHP enterprises at 6% (The tax rate was 17% prior to 1994) was not put into practice, according to investigation of the National Development and Reform Commission and the Ministry of Water Resources of the People's Republic of China（NDRC 2010）. In Hubei province, about one third of SHP enterprises paid 6% added-value tax, while one third paid 8 to 10% and one third paid 17%. To some extent, the non-fulfillment of the supporting policy impacted the sustainable development of the SHP enterprises.

6. Policies on Sustainable Development of China's SHP

The analysis to major contradictions in SHP development indicates that the way to guarantee sustainable development of China's SHP is to establish correct and efficient legal institutions and policies.

Rural water energy resource is a public resource. It is quite complicated to define the ownership due to the high information cost. External factors for the rural water energy resource development easily cause the failure of marketization. An effective way to reduce marketization failure is that the government enacts efficient laws, institutions and supporting compensation policies to balance interests of stakeholders. The countermeasures are elaborated as follows.

To establish laws, plans and institutions for the water energy resource exploitation and utilization in China's rural areas.

The primary task in establishing laws and institutions for the water energy resource exploitation and utilization in China's rural areas is to define water energy resource managment responsibilities at the state level. In state-level legislation, water energy resource management shall be included in the unified water resource management; rural water energy resource management departments and their responsibilites shall be defined to form a nationwide water energy resource management system with unified managment and hierachical responsibilities. The nationwide water energy resource management system shall be responsible for water intake, water discharge, water supply, power generation, flood prevention, irrigation and other issues to realize the unified planning, dispatch, operation, supervision and treatment of waer resources. Based on comprehensive resource investigation and evaluation, the rural water energy resource exploitment plan shall define the functions, modes, scale and procedures of water energy exploitment for small and medium rivers. The plan shall be formulated by the water administrative authorities which are mainly responsible for water energy resource's basic investigation, key information collection, and scientific formulation of water energy exploitment plan for small and medium rivers to offer basis for rural water energy's scientific management.

The dispatching and acquisition policies for SHP. SHP's market share and objectives shall be defined and quantified in formulating its development policies. Percentage of SHP in total power generation shall be defined through the country's renewable energy development plan to ensure SHP be distributed and completely purchased with priority.

Tax policies for SHP. Currently, the 6% value-added tax rate enacted by the country in 1994 is performed for SHP. But it is difficult to implement the policy in practice for quite a few enterprises across the country. The method to improve current tax policies is to pay back the extra tax beyond the 6% rate immediately or afterwards to guarantee a real tax reduction, and establish a nationwide compensation institution for rural water energy resource exploitation and utilization.

SHP exploitation in China produces external effects in two aspects. On one hand, social and ecological benefits are not presented in rural water energy resource development, and benefits of SHP developers are not compensated. On the other hand, the loss caused by soil erosion, flooded farmland, river damming and water resource waste are not compensated. Thus, it is fairly necessary to establish a reasonable compensation institution for rural water energy resource exploitation and utilization. Other provinces and cities may borrow the successful experience of Zhejiang and Fujian in carrying out the compensation institution.

The compensation institution for rural water energy resource exploitation and utilization consists of subjects, objects, means and objectives of the compensation. The compensation subjects are the goverment and developers for the SHP. The compensation objects include the local government, farmers in the reservoir area, ecological protection and builders. The compensation means mainly include policy, fund, real goods and project compensation. The compensation institution is illustrated as the model in Figure 3 based on different ecological influences of rural water energy resource exploitation and utilization.

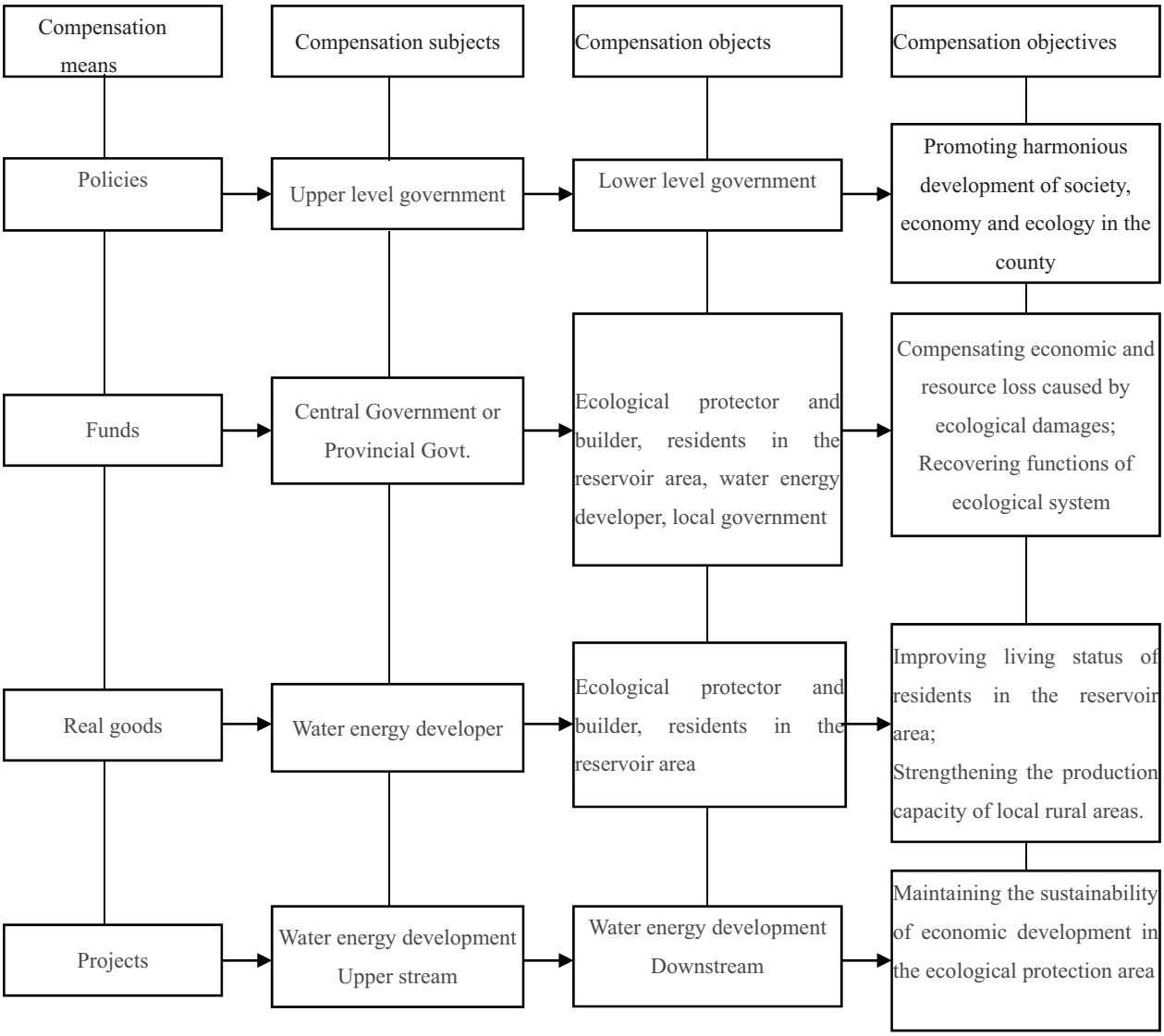

Figure 3. Framework of the compensation institution for rural water energy resource exploitation and utilization

Policy compensation refers to the upper government offers right and opportunity compensation to the local government. The local government may utilize priority and previleges in policy-making within the authorized jurisdiction to develop relevant regional policies based on resource, popultion, economy and environment status. The policies may focus on regional ecological recovery and protection to promote water resource protection and sustainable development of regional economy. For instance, in consideration of the great contribution of Chun'an County, Zhejiang to the construction of Xin'anjiang SHP Station, the Central Government offered loan to Chun'an County to build the 32MW Fengshuling Hydropower Station in 1997 as a compensative project. Chun'an County will have the ownership to the station upon its completion. The profit of the station will be used in reservoir construction and migrant resettlment.

Fund compensation refers to the Central Government, provincial government, water energey developers and beneficiaries will contribute funds to treat and recovery the ecological damages caused by water energy resource development. Fund compensation should be the major means for ecological compensation in water energy resource exploitation. In China, governmental funds play a dominant role in building the ecological compensation mechanism. The Central Government directly or indirectly offers fund support to ecological protectors and builders, residents in reservoir area, key ecological protection area in the basin, rural water energy resource development and protection areas and local governments to release fund shortage, compensate economic and resource loss caused by ecological changes, recover the basin's ecological development ability and improve the ecological system's functions. Currently, fund compensations often include financial payment

transfer, subsidies, tax rebate and exemption, tax reimbursement and interest discount. Financial payment transfer and subsidies are often performed in practice.

When the reservoir for Dongxi Hydropower Station in Wuyishan City, Fujian was completed and put into operation in 1996, an agreement with local villagers for compensating them 316,400kg grain based on the price of that year was reached. By 2008, a total of 320,000 yuan had paid to the villagers for compensation. The Hydropower Station paid 300 million yuan to support migrant resettlement and reservoir area's development.

Real goods compensation refers to water energy resource developers and governments offer material, labor force and land compensation to the production and living elements of ecological protectors and builders, residents in reservoir area and migrants for improving their living status and production capabilities and recovering eclogical protection and construction capabilities. For example, the Beijin SHP Station in Jian'ou, Fujian built docks and bridges to facilitate the traffic of the villages living in the upstream Xudun Town. Some water facilities and channels were also built and repaired to improve agricultural infrastructures when building the reservoir area. Rock protection walls and ramps with total length of 2.3 km and total investment of 2.6 million yuan were built along the national highway, the banks of the downstream river, the downstream and bank ramp of the tail water. The project guarantees the safety of the reservoir area and downstream watercourse.

Project compensation refers to the compensation subjects' coordination of projects in the upperstream and downstream of the water energy exploitation area to realize ecological compensation. Since the completion of the Xin'anjiang SHP Station in Zhejiang, the local Chun'an County government has gradually strengthened the protection to the water resource of the Qiandao Lake, closed and shut down more than 30 industrial enterprises which produced pollution and paid tens of million tax to the local government each year. In the past ten years, Chun'an County had made direct investment above 1.5 billion yuan in the ecological protection of the Qiandao Lake. The latest data indicate that the water in Xin'anjiang Reservoir qualifies Classification I Water Quality Standard. In 2011, Chun'an County received ecological compensation of 54.82 million yuan.

7. Conclusions

China has made eye-catching achievement in SHP development. However, so far, the national law and compensation institutions for rural water energy exploitation and utilization are still a vacancy; the institutions on rural water energy resource management and SHP exploitation supervision are ambiguous; and some incentives to SHP development are not carried out. The practical way for the sustainable development of China's SHP is to establish correct and efficient laws and policies for the exploitation and utilization of rural water energy resources.

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Patterns on the Embroidered Textiles Unearthed from the Silk Road I: Animal Pattern

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Abstract

Based on the archaeological evidences from the Silk Road, this paper reviews animal pattern on the embroidered textiles of the Han and Tang dynasties (2ndC BC- 9thC AD). The evidences show that animal pattern is widely found on the embroidered textiles unearthed from the graveyards or ancient sites along the Silk Road and particularly rich in variety. Generally, animals on the embroideries from the Silk Road can be categorized into animals of the real world and animals of the imaginary world. The first group consists of a range of real animals, including birds and butterflies which are usually flying in the sky or among the flowers, herbivorous animals like horses, antelopes, deer (especially reindeers) and yaks and carnivorous animals like tigers which are regular seen on the grasslands and aquatic animals like fish and turtles. The second group includes imaginary animals which play an important role in Chinese mythology like phoenixes, dragons and suanni etc. and significant legendary creature in Central Asian mythology like griffins. Besides, historical documents provide more information about animal pattern adopted by embroidered textiles than we have seen on archaeological evidences.

Keywords: animal pattern, embroidery, the Silk Road

As a common motif, although not as common as plant pattern, animal pattern is widely found on the embroidered textiles from Shanpula, Niya, Zhaguluke, Astana in Xinjiang province, the Mogao Grottoes in Gansu province, Dulan or neighboring areas in Qinghai province, Famen Temple in Shaanxi province and Noin-Ula in Mongolia. It is particularly rich in variety.

1. Animals of the Real World

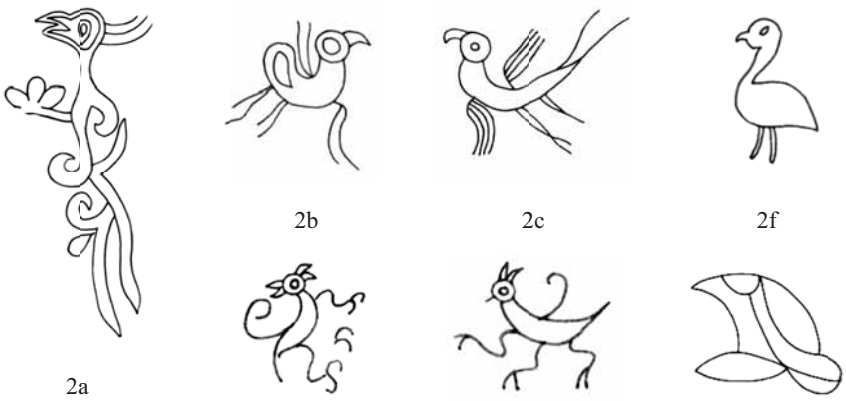
(1) Birds

Most of the embroidered birds can't be identified. However, they are nearly always closely connected to flowers. From the embroidered textiles of the late Western Han dynasty (late 1stC BC-early 1stC AD) found in Noin-Ula to the embroidered textiles of the Han and Jin dynasties (2ndC BC-early 4thC AD) found at Niya and Astana, then to the embroidered textiles of the Tang dynasty (early 7thC-9thC) unearthed from the Famen Temple and the Mogao Grottoes, it is obvious that in most cases, birds appear together with flowers. In the Tang dynasty, birds and flowers became a stylized pattern - sometimes birds are enclosed in flowers, sometimes birds are flying in between sprays and sometimes they are holding sprays. Birds on the embroidered textiles from Noin-Ula are executed in satin stitch with wool threads. They are in a naturalistic style, for example, the birds in Figure 1 are large in size, with hooked claws, long tails and outspread wings. Birds on the embroidered textiles from Xinjiang and Gansu are mostly executed in chain stitch with silk threads. Differ from those on textiles found in Noin-Ula, they are usually simple in style. The embroidered borders on a piece of underwear found at Niya show a cute bird: bearing three feathers on head, with sharp beaks, big eyes, outspread claws, curly bodies and wings and long tails (Figure 2a). An embroidered vest unearthed from Astana bears another cute bird: small in size, with round heads, sharp beaks and crescent-shaped bodies (Figure 2b, 2c, 2d and 2e). Some birds are even simpler, for example, the birds on an embroidered border from Wuwei (Figure 2d) and the bird enclosed in flowers on an embroidered piece from Qinghai now in the China National Silk Museum collection (Figure 2g). Birds on the embroidered textiles found at the Mogao Grottoes are mainly executed in satin stitch with silk threads in different colors, sometimes they are even embroidered with gold threads (Zhao, 2007, p. 229), which matches

the description of *cujinxiu*in the poems of the Tang dynasty. They are generally in a naturalistic style, especially when they serve as the leading pattern.

1a 1b

Figure 1. Birds on the embroidered textiles found in Noin-Ula



2a 2b 2c 2f 2d 2e 2g

Figure 2. Birds on the embroidered textiles found in Xinjiang, Gansu and Qinghai

(2) Butterflies

As a pattern, butterfly appears as late as the Tang dynasty, especially during the period of the late Tang to Five Dynasties (9thC-10thC). It usually combines with flowers and flying birds to create the scene of a spring day. They are several examples of embroidered butterflies. A sutra wrapper found in the underground repository of the Famen Temple shows a simple butterfly, in between two beautiful phoenixes, being executed in satin and couching stitches with colored silk threads and gold threads (Wang, 2001, p. 122, pl. 17, fig. 3); a piece from Cave 17 also shows a simple butterfly but it is more colorful than the previous one (Zhao, 2007, p. 224); a piece in the collection of China National Silk Museum bears vivid flowers and butterflies, both of which are in a naturalistic style (China National Silk Museum & State History Museum in Moscow, 2007, pp. 96-97).

(3) Horses

Horse appears on an embroidered wool fragment from Noin-Ula. Originally, there have been three men and three horses. The horse on the left side turns it head and glances back, with reins, and there is a medallion enclosing a simple quartrefoil at the top end of a foreleg. The horse in the middle shows its head and forelegs, also with reins. The horse in the right side has lost its body; the bowed neck and opened mouth suggest that it is grazing (Rudenko, 1969). The pattern on this piece is in a naturalistic style and executed with strongly twisted wool threads on a wool textile, all of which are quite different from embroideries found in Central China, therefore, it is probably a product from the West. Horse has not yet been found on embroideries from Central China, however, in historical documents it does appear. For example, in *Xin Tang shu* [New Book of Tang History] it is recorded that some honor guard members in formal occasions at imperial court wear red vest embroidered with wild horses (Song & Ouyang, 1975, p. 481).

(4) Antelopes

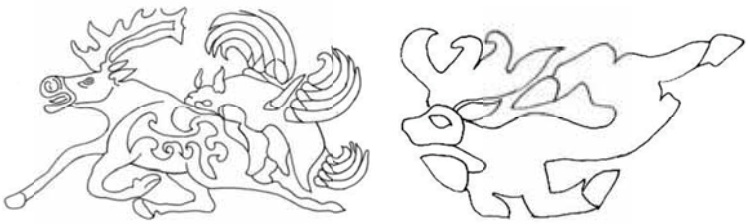
Antelope appears on the embroidered borders of a garment from Shanpula. Running reindeers and antelopes are

alternately filled in an S-shaped frame. The antelopes are large in scale, with a long sharp curving horn on head and an upturned hind hoof at back. There are two long strips still can't be identified, one is on one forehoof, the other is below the belly (Figure 3). One antelope has volute-shaped pattern decorated at the joints on the body (Yu, 2010, pp. 169-171). Antelope is also favored by other textiles from Shanpula, for example, on a wool tapestry we see an antelope, with similar head but not as large as those on the embroidered piece (Xinjiang Cultural Relics Administration Bureau et al, 1999, p. 45, fig. 0068). Antelope with an upturned hind hoof also appears on a saddle pad found at Pazyryk Cemetery in Russia, it is griped by a monster with reindeer body and eagle hooked beaks (probably griffin) (Королькова, 2006, p. 109). On the body of the host of Pazyryk Cemetery there is another similar antelope, showing totally upturned hind half body (Ma, 2005, p. 169). The pattern of antelope on textiles from Shanpula indicates the influence from the culture of the grasslands in the North.

Figure 3. Antelope on the embroidered textiles found in Shanpula

(5) Deer

Reindeer is found on the embroideries from Noin-Ula and Shanpula. An embroidered carpet from Noin-Ula shows two kinds of animal pattern, one of which shows an eagle-like animal (probably griffin) biting a reindeer. The reindeer is easy to be identified, being large in scale, with four hooves and long branch-shaped antlers (Figure 4a). Pattern of this sort can be considered as a beast-style pattern and has a relationship with the culture of Skythia and Siberia. Running reindeers have also been found on the embroidered borders of a garment from Shanpula but in a more abstract style, showing a slightly pointed head, large branch-shaped antlers and an upturned hind hoof (Figure 4b). A grazing reindeer appears on an embroidered bracer from the same graveyard, also being larger in size (Yu, 2010, pp. 169-171). Reindeer pattern on the embroideries from Shanpula shows an influence from the culture of the grasslands in the North. Reindeer is also common to see on the tapestry from Shanpula, indicating the popularity of this pattern in this area (Museum of Xinjiang Uygur Autonomous Region & Xinjiang Institute of Archaeology, 2001, pp. 211-212, figs. 406-1 and 407-1). Sika deer (cervus nippon) usually appears in Central China therefore it is found on the embroideries from the South. An exquisite piece from Cave 17 at the Mogao Grottoes in Dunhuang shows a running female sika deer, being small in size, with a short tail, showing pots on body and with no antler (Zhao, 2007, p. 224). On another fragmented piece remains a head of male sika deer, showing beautiful towering antlers (Zhao, 2007, p. 223). Deer on the previous two pieces are in a naturalistic style, which is typical during the period from Tang to Five Dynasties (early 7thC-10thC). In addition, sika deer is also found in the murals of Dunhuang (Duan, 2002, vol. 8, fig. 228).



4a 4b

Figure 4. Reindeers and griffin on the embroidered textiles found in Noin-Ula and Shanpula

(6) Yaks

Yak is found on an embroidered carpet from Noin-Ula which we have discussed above. There are two kinds of

animal pattern on this carpet, one shows an eagle-like animal (probably griffin) biting a reindeer and the other shows a monster similar to horse but with several eagle heads (also probably griffin) biting a yak. The yak is extraordinary large in size, with four strong hooves and two sharp horns. It is struggling, baring its teeth and perking up its tail (Figure 5). This carpet should have been a product created by the Huns (Ma, 2005, p. 57).

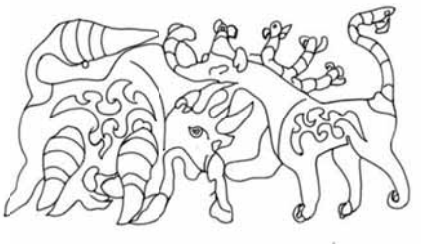
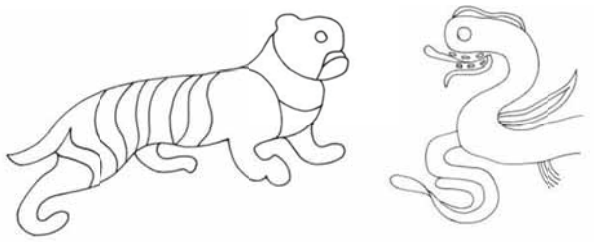


Figure 5. Yak and griffin on an embroidered carpet from Noin-Ula

(7) Tigers

Tiger is a large carnivore in Asia. Tiger is not common to see on embroideries, we have only got a few examples. An embroidered quilt (now in tatters) from Noin-Ula shows a heart-shaped cloud and on the upper left side of the cloud there is a tiger (Figure 6a), which is just opposite to the dragon depicted in Figure 8a. It is a typical pattern of tiger, having a bouncing walk, showing round head, short tail, strong legs and tiger stripes on the body (Лубо-Лесниченко, 1961, pl. XLIV). Another piece from Noin-Ula bears a quite different tiger, showing a rectangular tiger body (probably indicating tiger skin), with two heads respectively at the top and bottom. The heads are rather similar to lions, with canine teeth, long whiskers and standing ears or horns. There are feet below heads and each has three claws (Umehara, 1960, fig. 48). An embroidered vest from Astana shows a snake-shaped tiger, with S-shaped body, round head, long tongue and wings (Figure 6b) (Kuang, 2013, p. 269, no. 81). It is similar to the tiger on a bronze mirror from Niya (Zhao & Yu, 2000, p. 90). An embroidered piece of the Northern Dynasties (late 3rdC-late 5thC) collected by Chris Hall also shows a pattern of tiger, which is similar to that in Figure6a but the tiger is up rearing on its hind legs (Arthur M. Sackler Museum of Art and Archeology, PKU & China National Silk Museum, 2009, p. 17). Embroidered tiger is also described in the poems of the Tang dynasty, for example in a poem written by Li He it is described the pattern of tiger embroidered with gold threads on fur (Peng, 1986, vol. 393, p. 981).



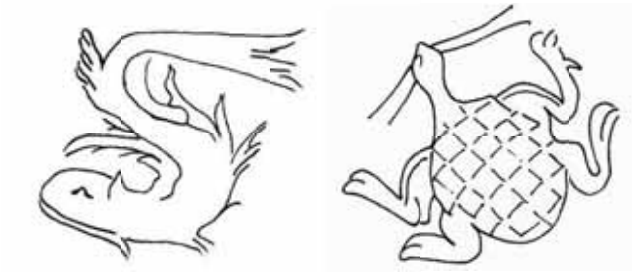
6a 6b

Figure 6. Tigers on the embroidered textiles found in Noin-Ula and Astana

(8) Fish and turtles

Fish appears on two wool embroidered hangings from Noin-Ula. In a lozenge frame consisting of florets and vines fish and turtles (on one piece) or birds (on the other piece) are alternately filled. The fish have big head, S-shaped body and obvious fins (Figure 7a), being similar to the fish on the painted pottery of an early period found in Gansu (Zhang, 2002, p. 10). The turtle each has a small and pointed head, four long antennas, a round shell decorated with diamonds and four outspread feet (Figure 7b). Fish and turtles on these two pieces are in a naturalistic style and executed in satin stitch with wool threads on wool textiles, therefore they should not have been produced in Central China but in the West. However, fish and turtle do appear on other relics from Central China, for example, on the top of a pottery kitchen range found in the Mausoleum of Western Han Emperor Liu

Qi (188 BC-141 BC) there are a fish and a turtle (Shaanxi Provincial Institute of Archaeology, 2001, p. 90). And in the Tang dynasty, a lady embroidered a poem in the shape of a turtle and dedicated it to the Emperor to beg to let her husband come back from the battlefield (Peng, 1986, vol. 799, p. 1961).



7a 7b

Figure 7. Fish and turtle on the embroidered textiles found in Noin-Ula

2. Animals of the Imaginary World

(1) Phoenixes, *wuseniao* (five-colored birds) and double-headed birds

Bird on embroidered textiles is usually hard to be identified except phoenix and *wuseniao*. A square cloth from the underground repository of Famen Temple originally has a roundel comprising two whirling phoenixes in the centre and four flying phoenixes on the four corners. The phoenixes on the corners have long tails and beautiful feathers, with wings outspread, heads toward the centre and beaks holding leaves (Wang, 2001, p. 122, pl. 17, Figure 3). Another example is from the Mogao Grottoes, the fragment only shows two outspread wings and a long tail of a phoenix (Zhao, 2010, p. 224).

Phoenix should have been favored by embroidered textiles in the Tang dynasty. In the poems of this period, phoenix frequently appears, for example, in a poem *Colored Phoenix* written by Zhao Gu it described that two flying phoenixes are embroidered on a curtain (Peng, 1986, vol. 27, p. 103), and in a poem *Swallow* written by Teng Bai it described that a beauty is embroidering a phoenix with a gold needle (Peng, 1986, vol. 731, p. 1833). According to some poems, embroidered phoenix often appear together with a bird known as *xichi* or a parrot (probably created by another technique), for example in a poem written by Zhang Bi it described that a cushion made of *samite* woven with red *xichi* and a robe made of gauze embroidered with phoenix (Peng, 1986, vol. 898, p. 2185) and in a poem written by Weng Tingjun it described that a beauty in a dress with an embroidered phoenix on her breast is holding a gold parrot in her hand (Peng, 1986, vol. 891, p. 2166). Phoenix is also executed with gold threads, which has been described in the poems written by Shen Yazhi (Peng, 1986, vol. 493, p. 1245), Situ Kong (Peng, 1986, vol. 633, p. 1598) and Wen Tingjun (Peng, 1986, vol. 891, p. 2166).

The birds on an embroidered piece unearthed from Northwestern China or neighboring areas dated back to the Tang dynasty in the collection of the Abegg Foundation have been identified as *wuseniao* (Zhao, 1999, p. 115). They are embroidered with threads in five colors - white, yellow, red, blue and green, which are very traditional in China. *Jin*-silk with *wuseniao* is recorded in the documents from Dunhuang and has been proved by a piece found at Dulan in Qinghai province. The bird on *jin*-silk from Dunlan is quite similar to those on this embroidery, showing round body, small crest, short tail, strong claws and long curly feathers at wings. Birds of this sort show a typical influence from Central Asia, especially the one on *jin*-silk from Dulan. It is enclosed in a wreath of petals, standing on a pearl pedestal and holding a pearl ribbon in its beaks (Zhao, 1999, p. 114). Similar birds are also found on *jin*-silk in Cleveland Museum of Art and Cathedral of Aachen collections (Zhao, 1999, p. 116).

Double-headed birds are also found on the embroidered textiles unearthed from Zhagunluke and Astana (Zhao, 2005, p. 165, fig. 3-3-18; Li, 2006, pp. 94-95), but it is quite different from double-headed eagles in the West.

(2) Dragons

Dragon plays an important role in Chinese myth. In ancient Chinese documents, dragon is described as a scaly beast which can be long or short, big or small. According to the records we only get a hazy idea about dragon. Dragon also appears on embroidered textiles unearthed from the Silk Road, from which we can have a better understanding of this mythical creature. On an embroidered quilt (now in tatters) found in Noin-Ula there originally are two walking dragons: one in the middle of the quilt, being filled in a heart-shaped cloud, with

wings and scales (Figure 8a); the other is at the right corner of the quilt, showing long jaws and with whiskers on the upturned upper jaw, being covered with scales and with wings at the middle of the body (Лубо-Лесниченко, 1961, pl. LI). According to historical documents, walking dragons are known as *yinglong*. An embroidered vest of the Sixteen Kingdoms (4thC-early 5thC) period from Astana shows a much simpler dragon, being short, with two long jaws including an upturned upper jaw, a long tongue and four legs with claws. There is a curly line stretching from the back of the dragon, probably indicating wings (Figures. 8b and 8c). Dragons on another vest from the same graveyard are more close to the traditional dragon in Central China. They are long and similar to snake but have four legs, also with long and upturned jaws and curly things stretching from their backs (Figures. 8d and 8e). One has branch-shaped horns on its head (Figure 8e) (Kuang, 2013, p. 269, no. 81). On an wool embroidery from Shanpula we see another fantastic animal: its head is similar to phoenix, with hooked beaks and four feathers on the top; its body looks like snake, being decorated with a geometrical pattern (probably indicating leaves) which is common on the wool tapestry from Shanpula (Figure 8f) (Museum of Xinjiang Uygur Autonomous Region & Xinjiang Institute of Archaeology, 2001, pp. 219-220, figs. 414-415). The pattern on the textiles found in Shanpula has a close relation to the art of Central China. It is quite similar to the pattern of dragon on a lacquer work of the Chu State (Chen, 1996, fig. 94), and an animal with similar phoenix head on the tapestry from Shanpula has been identified as dragon (Museum of Xinjiang Uygur Autonomous Region & Xinjiang Institute of Archaeology, 2001, p. 214, fig. 409), therefore this animal may also represent dragon. Generally, dragon during this period can be categorized into two groups, one looks like a walking beast, showing a short body with a dragon head; the other looks like snake, showing a long S-shaped body but with four legs (Zhang, 2004, pp. 121-122).

Dragon also appears on the embroidered silks from the Mogao Grottoes in Dunhuang. We get two examples from Cave 17. A group of simple gauze fragments show dragon executed with gold threads on a purple ground, however, they are much in tatters and it is hard to reconstruct the original pattern (Zhao, 2007, p. 231). A light red gauze fragment embroidered with flowers still survives a dragon's tail on one corner (Zhao, 2007, p. 223). An embroidery collected by Chris Hall of the Northern Dynasties (Arthur M. Sackler Museum of Art and Archeology, PKU & China National Silk Museum, 2009, p. 17) and a piece from Astana of the Sixteen Kingdoms also show dragons which probably can be considered as beast-like dragons (Zhao, 2005, p. 173, fig. 3-4-17).

Embroidered dragon also appears in historical documents, it is often used on official robes, for example, in *Xin Tang shu*, an important document of the Tang dynasty, it is recorded that a special official named *ci* was dressed in a robe embroidered with yellow dragons (Song & Ouyang, 1975, p. 481). According to the poem of the Tang dynasty and documents from Dunhuang, embroidered dragon pattern is also used for curtain (Peng, 1986, vol. 735, p. 1838) or Buddhist canopy (documents from Dunhuang S.1774, S.1642 and P.3432).

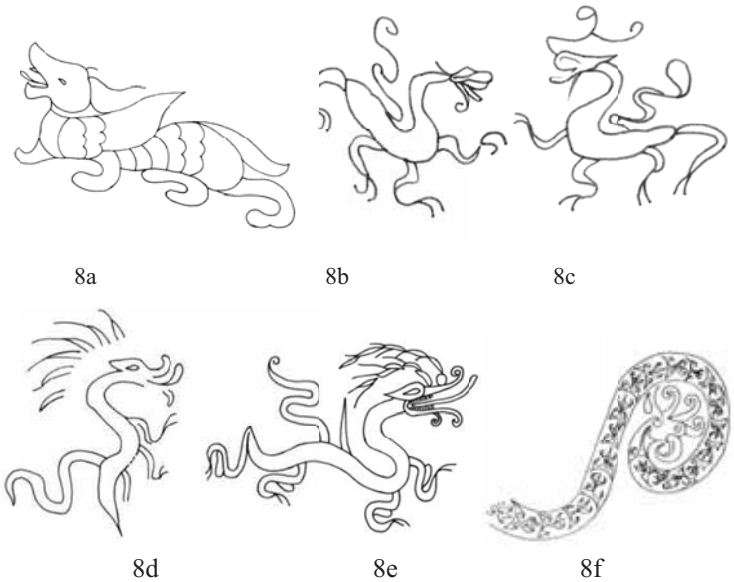
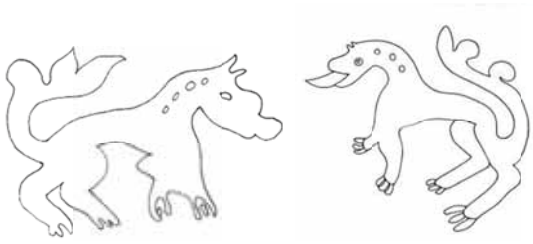


Figure 8. Dragons on the embroidered textiles found in Noin-Ula and Astana

(3) *Suanni*

In Chinese fairy tales, *suanni* refers to one of the nine children of dragon, which is a beast similar to lion and fond of smoke and fire. In most cases, this beast is seated. On a garment worn by a color-painted Bodhisattva statue found in Dunhuang there are a pair of animals, being face to face, seated, and similar to lion, with ears and upturned flame-shaped tails. This animal is identified as *suanni* (Chang, 2001, p. 46, fig. 48). Similar animals appear on two stamps collected by Stein from Xinjiang, also being seated and with flame-shaped tails (Stein, 1921, pl. V). On the upper part of an embroidered bow bag from Dulan or neighboring areas dating to the Northern Wei Dynasty (late 3rdC-early 5thC) now in the collection of China National Silk Museum there are a pair of animals, being face to face, looking like dogs, with long tongues, paws but flame-shaped tails (Figures 9a and 9b). Over the two animals there are clouds. Almost identical animal appears on a dress worn by a maid in the mural in Xu Xianxiu's tomb dating back to the Northern Qi Dynasty (550 AD-577 AD). In a linked pearl roundel enclosed a pair of animals, also being face to face, similar to dog and with flame-shaped tails. Over the heads of the two animals there are two clouds of smoke and something similar to a petal in between the two animals (Taiyuan Institute of Archaeology, 2005, p. 33, fig. 19). This pattern is exactly similar to that on the embroidery. It is possible that animals on the embroidery and in the mural both represent *suanni*, although they are not similar to lion but flame-shaped tail is a significant mark and in addition both of them have clouds of smoke over their heads, which can be considered as another hint.



9a 9b

Figure 9. *Suanni* on the embroidered textiles found in Qinghai

(4) Griffins

Previously we have discussed a beast-style pattern. On a carpet from Noin-Ula there are two strange animals. One looks like an eagle, with eagle hooked beaks and upright ears, spreading its wings and tail (Figure 4a). It is biting a reindeer. The other looks like a horse or a large-scaled dog, with several eagle heads (each with a pair of upright ears) decorated at the ends of the mane and the upright tail (Figure 5). It is attacking a yak with a paw. A wool piece from the same graveyard shows an animal resembling a lion but with wings and horns (Umehara, 1960, fig.50③). These three animals may all represent griffin. In Central Asian mythology, griffin is legendary creature which is known for guarding treasure and priceless possessions. Eagle heads with upright ears are considered as griffin's head. Griffin can trace its history back to ancient Greek, generally it consists of two groups, one looks like eagle and one looks like lion, but as it was introduced into the Siberian steppes by Scythians many variants were created, for example, beasts look like reindeer, horse or wolf but decorated with eagle heads.

3. Other Embroidered Animal Patterns in Historical Records

Animal pattern adopted by embroidered textiles in historical records is more than we have seen on archaeological evidences. About birds, except for phoenixes and five-colored birds there are mandarin ducks, peacocks, geese, orioles, *xichi*, partridges, *luan* birds, *di* birds and etc.; about beasts, besides dragons, tigers and horses there are *kirin* and *pixie*. Here are some examples from historical records:

(1) Mandarin ducks

In China, mandarin duck is considered as a symbol of a happy marriage and it is very popular in the Tang dynasty. In the poems of Tang, there are many descriptions about mandarin ducks executed by embroidering on clothing, for instance, a gauze shirt (Peng, 1986, vol. 328, p. 810; vol. 896, p. 2180), another gauze skirt (Peng, 1986, vol. 506, p. 1280) and a dancing dress (Peng, 1986, vol. 894, p. 2174). Except for clothing, embroidered mandarin ducks also decorate household items, especially quilts (Peng, 1986, vol. 892, p. 2170) and bed - curtains (Peng, 1986, vol. 666, p. 1675; vol. 894, p. 2176).

(2) Peacocks

Peacock should have been a common pattern for embroidery in the Tang dynasty. It is recorded that fans embroidered with peacocks were used in formal occasions at imperial court during Kaiyuan period (713-741) (Liu, 1975, p. 1866) and peacocks executed with gold threads in couching stitch on a belt and a gauze shirt are described in a poem written by Huangpu Song (Peng, 1986, vol. 369, p. 920) and a poem written by Du Fu (Peng, 1986, vol. 25, p. 93).

(3) Geese

Goose is also common to see on embroidery in the Tang dynasty. According to some poems of Tang, there are geese executed with silver threads on gauze shirt (Peng, 1986, vol. 302, p. 761), geese executed with gold threads on damask or gauze (Peng, 1986, vol. 735, p. 1838) and geese executed with purple-colored threads on robe (Peng, 1986, vol. 700, p. 1766), etc.

(4) Orioles

There are few examples of embroidered oriole, only in a poem written by Sun Guangxian, it is mentioned that a shirt was embroidered with an oriole (Peng, 1986, vol. 897, p. 2184).

(5) *Xichi*

Xichi is a purple bird similar to but larger than mandarin duck. In a poem written by Liu Jian it is described that on a ground of gauze there is a pair of newly finished embroidered *xichi* (Peng, 1986, vol. 766, p. 1900), and in a poem written by Bai Juyi mentions a shirt embroidered with *xichi* (Peng, 1986, vol. 438, p. 1086).

(6) Partridges

Partridge is similar to but smaller than chicken. In a poem written by Wen Tingjun it is described that on a jacket made of gauze several pairs of partridges were embroidered with gold threads in couching stitch (Peng, 1986, vol. 891, p. 2167).

(7) *Luan* birds

In China, *luan* is a mythical bird like the phoenix. *Luan* bird as a pattern for embroidery appears in a poem written by Lu Zhaolin and a poem written by Wei Chengban, in which it is mentioned a bed-curtain embroidered with *luan* bird (Peng, 1986, vol. 41, p. 133) and a gauze shirt decorated with *luan* bird embroidered with gold threads (Peng, 1986, vol. 895, p. 2167).

(8) *Di* birds

Di is a long-tailed pheasant and usually used as a pattern on the formal dress for the empress, imperial concubines or women given a title or rank by the emperor. In *Tang liu dian* [Six Administrative Regulations and Rules of the Tang Government] it is specified that women in the palace should wear long dark blue-colored gauze dress embroidered with *di* bird (Li, 1992, p. 341); besides dress in *Jiu Tang shu* [Old Book of Tang History.] also specified *bixi* (a cloth used to cover knees hanging from the waist) should be embroidered with *di* bird (Liu, 1975, p. 1956).

(9) *Kirin*

Kirin is an auspicious animal in Chinese mythology and also often used as a pattern for embroidery. According to the poems of Tang, *kirin* is usually executed in gold or silver threads in couching stitch, for example, in a poem written by Du Fu it is described that beauties dressed in gauze dresses embroidered with gold peacock and silver *kirin* are enjoying the beauty of spring near Qu River in suburban Chang'an (Peng, 1986, vol. 25, p. 93), and a poem written by Rong Yu mentions an attendant is carrying a bolt of silk embroidered with gold *kirin* (Peng, 1986, vol. 270, p. 673).

(10) *Pixie*

Pixie is also an auspicious animal in Chinese mythology. It is similar to deer but with long tail and two horns. A poem written by Lin Kuan mentions *pixie* probably embroidered with gold threads in couching stitch (Peng, 1986, vol. 606, p. 1536), and in *Xin Tang shu* it is recorded that *pixie* executed in embroidery is used as a pattern on an official robe (Song & Ouyang, 1975, p. 530). *Pixie* used on the robe of a military officer is a symbol of officer's rank and also valor.

4. Conclusion

The archaeological evidences from the Silk Road show that animal pattern widely appears on the embroidered textiles unearthed from Shanpula, Niya, Zhaguluke, Astana in Xinjiang province, the Mogao Grottoes in Gansu

province, Dulan or neighboring areas in Qinghai province, Famen Temple in Shaanxi province and Noin-Ula in Mongolia. As a common motif it is particularly rich in variety. Generally, animals on the embroideries from the Silk Road can be categorized into animals of the real world and animals of the imaginary world. Animals of the real world consists of a range of animals, including birds, butterflies, horses, antelopes, deer, yaks, tigers, fish and turtles. Some animals match the records in historical documents and show their popularity during this period. Among them, most of the birds are hard to be identified but they are nearly always closely connected to flowers. As a pattern, butterfly appears as late as the Tang dynasty, especially during the period of the late Tang to Five Dynasties. It also usually combines with flowers and flying birds to create the scene of a spring day. Herbivorous animals like horses, antelopes, deer (especial reindeers) and yaks and carnivorous animals like tigers which are regular seen on the grasslands are mostly found on the wool textiles from Noin-Ula and Shanpula; so are aquatic animals like fish and turtles. Imaginary animals also appear on the embroideries dating to the Han and Tang dynasties unearthed from the Silk Road, including phoenixes, *wuseniao*, double-headed birds, dragons and *suanni* which play an important role in Chinese mythology or appear in historical documents and significant legendary creature griffin in Central Asian mythology. Mostly, the imaginary animal patterns are related to special cultures. In addition, animal pattern adopted by embroidered textiles in historical records is more than we have seen on archaeological evidences. About birds, except for phoenixes and five-colored birds there are mandarin ducks, peacocks, geese, orioles, *xichi*, partridges, *luan* birds, *di* birds and etc.; about beast, besides dragons, tigers and horses there are *kirin* and *pixie*.

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Analysis of Victory Index at Telecommunications companies in Vietnam

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Abstract

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Currently, Vietnam telecoms market has dramatically shifted from the proprietary field to competitive one with all economic sectors, including with ones of foreign enterprises. The concentration on technology and services together with comprehensively international economic integration requires that each element of the market should have particular policies and strategies to maintain and improve market share for sustainability in the market economy. Hurwitz & Associates' (2011) analysis methodology of victory index is used to analyze and evaluate current status, vision and development of influential corporations providing telecommunications services in Vietnam at present for giving objective assessments to consumers as well as a positive tool to providers to learn, research, maintain the competitiveness of each organization.

Keyword: Victory Index

1. Definition

Victory Index researched by Hurwitz and Associates (2011) is one of market research assessment instruments which are used to analyze providers on the basis of four dimensions, including Vision, Viability, Validity and Value (Hurwitz, & Associates, 2011). The researched subject is considered as an overview about values and benefits of significant technologies. It is used to evaluate not only the engineering capability of technologies but also potentials to offer intangible values for businesses. The paper analyzes Victory Index of telecommunications companies based on data of Vietnam's ones to corroborate the conclusion of enormous potentials in the field of telecommunications.

2. Methodologies

For reflection on a thorough comprehension of the market and providers, the paper exploits appropriate and proper methodologies of Hurwitz and Associates together with measurements and methodologies used in the author's Doctoral thesis of "*Criteria system of business culture identification – Applying for Vietnam businesses*" at National Economics University, Vietnam (Hai, 2014). It is detailed clearly through the use of approximately fifty attributes of four dimensions that are calculated by a weighting algorithm. The dimensions and metrics are demonstrated and specified in Table 1.

Table 1. Description of attributes (Hurwitz & Associates, 2011)

Dimensions	Description
Vision	- Vision: transparency, practicality, a directional vision, target market conformity, judgements and roadmap for products, capacity of leadership team

Dimensions	Description
	- Messages: tangible and intangible strength of messages, core distinct values. - Direct responses to the vision of customers. - A series of purposes and objectives associated with vision, mission and strategies can provide customers clear intentions in the work.
Viability	- Viability: as a measurement of revenue or employee, net profit, current assets/short-term liability, growths in revenue and customer. - Vitality: strength of intellectual capital, leadership, customer attraction, customer stability, competitiveness in a certain market, market presence, strategy for distribution channel. - Direct responses about the viability/vitality of customers.
Validity	- Direct customers: as a measurement of product variety, ability of extension, quality of products and services, customer satisfaction, changes in products and services to fulfil customers' demands. - Product functionality: necessary fundamental functionality to meet customers' demands and other functionalities.
Value	- Direct customers: as a measurement of customer satisfaction, customer support from the customers' view, usability, innovation in products, benefits from business under the determinations of customers, time in comparison with value and value in comparison with price. - Effects of social media related to customer faith and value of brand.

• Vision is considered as *the company's strength of strategies*. Evaluated attributes include whether the vision is practical and achievable in terms of time and capacity. Because building an excellent vision is not enough, companies have to draw up a well-elaborated direction that may corroborate the vision at all levels of the company. Besides, attributes consist of more well-planned aspects rather than strategies, namely including an extendable technological background, well-conveyed and influential messages and capability of positioning in the market. Other important elements are transparency, accuracy and identification of what kinds of business issues and for which customers the company must deal with. The foresight, practical experience and management skills are key elements so that leadership team can control their business operation in both adaptation to outside environment and maintain the harmony within their organization (Hai, 2014).

• Viability is considered as *the company's strength as well as vitality in the market.* Typically, there is no direct relationship between the company's market power and its own revenue or duration of business operation, which is particularly true in an emerging market. Sometimes, a young company can develop to be a giant one within some years if they undertake effective solutions to a complex customer issue. A complicated aggregation of financial attributes and specific ones in each company is evaluated that in case of combination, those attributes can support to identify the company's viability. This dimension also includes financial coefficient, customer attraction ratios, intellectual capital, strength of leadership team and cooperative relationships. We should also pay attention to the company's vitality in one certain market, hereby referred to telecommunications market.

• Validity is considered as *strength of company's products provided to each customer*. There is a difference between the product positioning and its competence in satisfying customers' requirements. Thus, Victory Index indicates the company's completion of tasks and promises. The delivered functionalities and functions are examined through the Victory Index. The Index considers the profession of functionalities and the effectiveness of a product on the basis of changes in customers' requirements. Other essential attributes include usability, innovation, capability of integrating products with other technologies and its incorporation of significant practical and theoretical standards.

• Value is regarded as advantages of products and services to customers. Even if there is an existence of a well-designed product, such product must enable to support companies to obtain their business goals. Goals range from getting the deep understanding of customers in order to achieve higher competitiveness, to applying technology to enhance outcomes. A major attribute of this dimension is how well products support businesses in accomplishing their objectives. In addition, the Value is represented through leadership's outstanding management and collection of distinct practices in management. The leadership also has clear and uniformed values to dominate the operations and set of ethical rules to make a good example for employees and competence to show their employees to distinguish what is right, what is wrong according to the author's Doctoral thesis of *Criteria system of business culture indentification – Applying for Vietnam businesses* (Hai, 2014).

These dimensions are the identification of a company's strategies. The indicators of Vision and Viability are also classified into the group of "Market Strength" with these metrics, if simultaneously analyzed, present an effective expression of the strength of products and services supplies to the market. Also, if indicators of Value and Validity are examined together, they show a good illustration of customers' view on supplies. These are classified into the group of "Customer View".

3. Analysis of Victory Index at Telecommunications Companies in Vietnam

3.1 Provider Selection

The analysis illustrates that there are many different choices for customers in the market. Therefore, selected providers are not only long-term developed companies with large market share, but also emerging companies with presence and strong potential but small market share. However, all the companies are considered as the strong opponents about Victory Index.

Analyzed providers in this paper are Vietnam Posts and Telecommunications (VNPT), Military Telecommunication General Corporation (Viettel), FPT Telecom Corporation (FPT-Telecom), Vietnam Mobile Telecom Services (VMS-Mobifone), GTel Mobile Joint Stock Company (G-Tel), Saigon Posts and Telecommunications Service Corporation (SPT), Hanoi Telecom Company (Hanoi Telecom). They are regarded as leading telecommunications businesses in Vietnam, providing fixed and mobile telecommunications services, fixed and mobile broadband Internet services.

3.2 Sources of Data

Data are gathered from several sources: provider surveys, online surveys and other secondary data including investment reports, public documents of the government and organizations.

The data used for scoring are based on market share (the number of subscribers) to measure the scales of vision, viability, validity and value of providers of telecommunications and Internet such as mobile, fixed telephone, Internet. The data are used to analyze results in section 3.3.

3.3 Results

Results are calculated on the basis of a comprehensive and careful analysis of data mentioned above. Provider's scores are connected with the application of the weighting algorithm with four mentioned dimensions. Results are presented in two following charts. They are scatter plots which show the position of each provider and its own score in comparison with the average scores. Figure No. 1 (about *Market Strength*) is the chart of Vision versus Viability. Figure No. 2 (Customer View) is used for Validity versus Value. Some companies reach the Victory Index in both charts. They are called as double-winning companies, including Viettel and VNPT. Provider profiles are specified in the following section (Hurwitz & Associates, 2011).

3.3.1 Market Perspective

Figure No. 1 shows results on the Market Perspective.

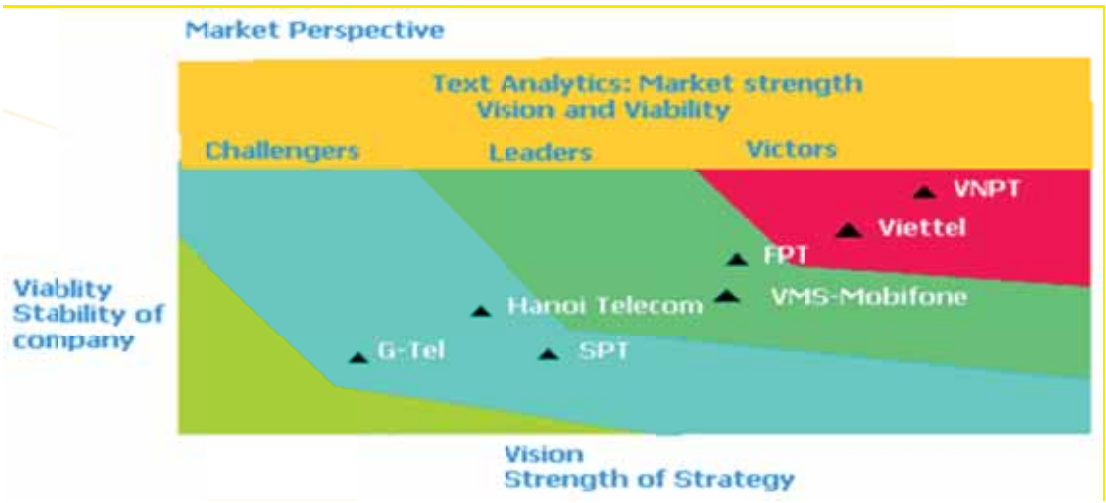

Figure 1. Results on market perspective

3.3.1.1 Victors

The Victors show their enormous strength of brand and a solid market presence in telecommunications. They have a stable finance, a convincing vision together with successful strategies for the technology and receive customers' concurrence with their vision. Customers consider these providers are pioneers in the innovation of the telecommunications and their solutions bring about significant values. The Victor obtains the combined scores of Vision and Viability which reach to or above average scores through all of attributes calculated in both dimensions. VNPT and Viettel with their scores are regarded as Victors in the market perspective.

- Viettel is a comprehensive victor.

According to Viettel Distribution Center, Vietnam, Viettel orients itself to "become a leading innovative IT distributor in Vietnam in which IT products combined with informatics and telecommunications services is the key to our sustainable development". Respect for customers is one of core values in the business philosophy of Viettel, in which Viettel's customers are always considered separate individuals who have the needs to be cared, heard, deeply understood, best served and fairly treated in particular modes. This respect has established closeness and sympathy for consumers with the message "Understanding and maximum satisfying customers' expectations" by actual actions. Viettel's mission is "innovation to serve the people", so Viettel considers creativity as its vitality, prompt adaptation as its competitive strength and identifies the correct orientation for its development, which is consistent with the rapid change of technology and the market.

The determination of a proper vision has created immense potential for rapid and stable growth of Viettel in text analytics. Customers' satisfaction has led to steady growth in the number of subscribers of Viettel, made up the firm strength in the market as well as increased the viability of the financials. Viettel's profits have increased over years and reached 35,086 billion in 2013. Viettel has overcome VNPT to become the largest telecommunications companies in Vietnam and been ranked fifth in Vietnam Report 500 Ranking last year.

- VNPT is also a very strong victor based on the market perspective. VNPT, the oldest telecommunications company in Vietnam, are initially a State-owned company with the firm foundation and advantages of a large number fixed and mobile subscribers since the early days. The broad network and stable personnel and orientation of vision "VNPT strives for effective application of posts, telecommunications and advanced information technology to bring best values to the life of Vietnamese consumers and people" are the positive factors for the current VNPT development.

However, the powerful growth of Viettel is the reductive sign of VNPT's status. It is essentially necessary for VNPT to change to make use of their existing advantages. Firstly, for the vision and mission, VNPT cannot be "forever" the first company of telecommunications in Vietnam; therefore, the VNPT need to realize the competitive environment and improve itself in order to achieve the victory in the market. Changes in the organizational structure and strategies to increase competitiveness and market presence.

However, with the existing advantages of the first telecommunications company in Vietnam, VNPT has a large number customers, strong finance, the company is deserved as a victor on the market perspective.

3.3.1.2 Leaders

Leaders present a strong brand and stable finance and they have an excellent vision about their telecommunications solutions. However, leaders are not considered as Victors for two key reasons. Firstly, some Leaders are organizations with high viability, but they have not clearly interpreted and well implemented their vision and strategies for telecommunications as companies ranked as Victors have. Secondly, some Leaders have recently faced changes in policies of management or business, which affects directly to their performance of strategies. These companies can improve their ranking position of Victory Index if the clarity of vision is consolidated and capacity is maintained. Some of them are FPT and VMS-Mobifone.

- FPT Telecom

With its motto "All services on one connection", FPT Telecom has been constantly conducting investment, deployment and integration its increasing value-added services on one Internet connection. Investment cooperation with many large international telecommunications partners, construction of international cables, etc. are the directions in which FPT Telecom is strongly strengthening to promote its services out of Vietnam to the global market, enhancing its status of a leading telecommunications service provider. FPT Telecom is one strong company with enormous capability of conveying its own vision to customers. However, FPT-Telecom only aims at providing Internet services, so it has not dominated the market. On the basis of viability, FPT Telecom can completely develop to become a victor with more investment in this area.

Mobifone, one of the strongly influential telecommunications companies in Vietnam, has the number of mobile subscribers about 21.40% in Vietnam. Meanwhile, Mobifone is the third largest company in Vietnamese telecommunications market and has been ranked in the 19th in the ranking of the top 500 corporations in Vietnam).

Mobifone has undergone many changes in organizational structure with the merger and separation from VNPT, which has made the Company with permanent existing difficulties reduce competitiveness in the market. Therefore, despite being a large company with great effects on the market, Mobifone has been losing its position and needing renovations for its viability in the market. The separation of Mobifone from VNPT into a unit of the Ministry of Information and Communications is a sufficient turning point of the VMS restructuring to improve and replace the ranking positions of Vinaphone (VNPT) and Viettel.

3.3.1.3 Challengers

A Challenger can be regarded as a potential Leader or Victor; however, either it is too young in the market to be highly evaluated about its strength or there is not enough information to rank them in one of the other categories.

Be considered as strong telecommunications companies of Vietnam, the competitiveness of telecommunications companies including Hanoi Telecom, G-tel and SPT was not enough and viable in the market.

These companies with insignificant market share of fixed telecommunications and Internet services and approximately 15% of mobile subscribers in the whole nation. The companies have unclear vision and non-transparent finance. The deficiency in improving their competitiveness makes Hanoi Telecom and G-Tel risk to merge into other companies.

3.3.2 Customer Perspective

Figure 2, shows results on the Customer Perspective.

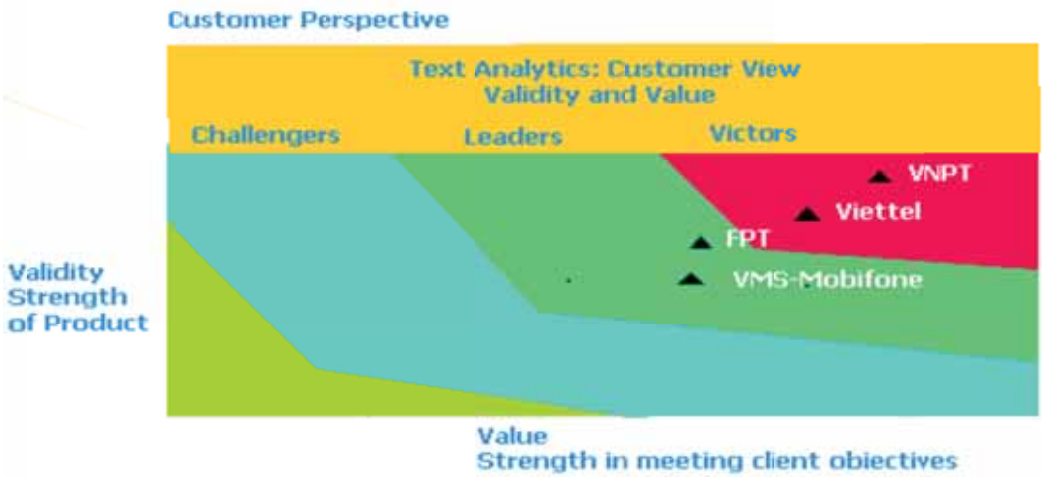

Figure 2. Results on customer perspective

3.3.2.1 Victors

The Victors illustrate admirable values of techniques and business, technology and equipment, customers' support, and holistic value as proved in customer surveys and customer interviews. Also, Victors have the remarkable depth and often width of functionality and high scores of general customer satisfaction. The combined Value and Validity scores reach at or above the average scores in this category. Viettel and VNPT are also Victors in the category of Customer perspective.

- VNPT is the Victor in the Customer perspective. As an invested telecommunications corporation with the significance of national strategies, VNPT has constantly expanded and strongly developed its telecommunications network, scale and technological innovation. Besides, VNPT has diversified services for prompt obtainment of all information as well as improvement of the life quality for the entire population nationwide; at the same time, rapidly developed services to meet the various needs of people. VNPT's investment and operation of satellites VINASAT – 1 and VINASAT – 2 contribute towards the perfection of national communication infrastructure and facilitate transmitting telecommunications, Internet and television services to remote, mountainous and island areas. Currently, the Next Generation Network (NGN) of VNPT is

one of the largest network and the most modern technology in Southeast Asia. VNPT also has broadband Internet Protocol (IP) and Vietnam's largest fiber-optic backbone network used for national and international connections. Therefore, the Group has always maintained its position as leading provider of telecommunication services for many years, with the largest number of subscribers of fixed and mobile telecommunications and Internet services. This advantage makes customers consider the selection of VNPT or not. However, VNPT's first position has replaced and Viettel has become the biggest competitor of VNPT. Viettel's profits are nearly four times greater than that of VNPT in 2013. Many recommendations are given that VNPT must change and reorganize the structure to be able to regain its leading position in steading of competing with Viettel.

- Viettel emphasizes on creativity and considers prompt adaptation as its competitive strength. Strong funds and technical infrastructure promote Viettel's capability of creating and providing services for market's demands. Their products have been continuously innovated and improved in order not only to satisfy the fundamental needs of customers but also to generate the diversity and features of services. A variety of services brings about powerful combinations between mobile telecommunications and 3G service or between Internet and cable television. Therefore, the convenience and quality of the services are important and convincing reasons for the selection of Viettel's customers.

Viettel accounts for incessantly increasing market share in the fixed, mobile telecoms and Internet (from 12.51% to 22.96% for fixed telecoms, from 34.90% to 44.05% for mobile telecoms, from 12.57% to 29.45% for internet, from 2009 to 2013 respectively). This reveals the customer trust in Viettel. Nevertheless, there are many complaints about prices and some extra services of Viettel. In general, Viettel is fully deserved to be Victors in customer perspective.

3.3.2.2 Leaders

Leaders have powerful products as specified in scores of customer surveys. In general, customers are satisfied with their products and services and believe that such products shall bring about significant values. However, scores the obtained were lower than those of the companies at Victor status. The abstracts of the Leaders emphasize on the areas where the company got high scores and highlights some areas require their improvements.

- VMS-Mobifone is a powerful provider of mobile telecommunications in Vietnam. Mobifone passed strong growth period with high-quality services based on advanced technologies. Mobifone's status has been lower in recent years with the decreased market share. Nevertheless, VMS-Mobifone was still the third largest network in 2014 with 21.40% of subscribers, which partially reflecting that VMS-Mobifone is also a strong company in customer perspective. However, it is slowly Mobifone has been gradually losing the trust of customers in services. There is existence of several dissatisfied feedback and doubts about VMS-Mobifone. Therefore, it is extremely necessary for VMS-Mobifone to improve its apparatus and enhance quality of service and customer satisfaction.

- FPT Telecom a provider of fixed broadband Internet and value-added service on the Internet transmission as well as interactive television, hosting services, domain name registrations, etc. For fixed Internet only, there are many various sub-types of services for both consumers and enterprises. Nowadays, FPT Telecom is the second largest provider in Vietnam. Comments show that FPT-Telecom is the strongest provider in domestic transmission line; in contrast, its international transmission line is weak. In addition, Internet services often go into troubles and need maintenance. These problems are believed to be overcome when the company's infrastructure and technique become more complete.

3.3.2.3 Challengers

None of researched subjects is challenger.

4. Conclusions

Analysis of Victory Index at Telecommunications companies in Vietnam gives assessment of vision, viability, validity and value as well as the current status and development of influential telecommunications service providers in Vietnam. This analysis also presents a comprehensive view of values and benefits of important factors to evaluate the technique and technology, ability to offer intangible values to enterprises. From that, customers can make objective assessments, at the same time providers find out the dynamic tool for learning, researches and maintain the competitiveness of each organization.

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Research on Geometrical Patterns on Yao Nationality Clothing

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Abstract

The Yao nationality has a long history, splendid Civilizations, numerous sub-lines and clothing in riotous profusion. Among which, the greatest characteristic is various geometrical patterns on Clothing. This essay divides geometrical patterns on Yao nationality clothing into patterns with pure ides forms simply formed by point, line and surface; patterns formed by highly abstract generalization through imitation and symbolization to natural objects and man-made objects; and patterns represent historic Civilization and religious belief of Yao nationality. On this basis, this essay analyzes constitution forms of geometrical patterns on Yao nationality clothing, summaries the ornament position on clothing and technology embodiment of these patterns. In the end, this essay tries to discuss their forming reasons and historic embodiment.

Keywords: Yao nationality clothing, geometrical pattern, constitution form, forming reason

1. Introduction

Geometrical pattern is a kind of decorative pattern which is used earliest in Chinese silk fabric which very abstracted and acknowledged widely. As decorative pattern, geometrical pattern was applied maturely in colored pottery vessels as early as 5 thousand years ago; it was used as decoration of clothing as early as slave society period.

The Yao nationality has a long history and its clothing is in riotous profusion. The design patterns appeared as one kind of decoration method. The design patterns of Yao nationality are in thousands of postures which are colorful and complex; they involve almost all natural flowers & plants, birds & animals and clouds & water, and imaginative dragon, phoenix and Kylin. Among which, geometrical pattern is a kind of design pattern of Yao nationality clothing which is used mostly and owns most ethnic characteristics. It has diverse forms, remarkable characteristics and rich valid sculpts.

This essay discusses the characteristics of geometrical patterns of Yao nationality clothing from the following aspects.

2. Types and Connotations of Geometrical Patterns on Yao Nationality Clothing

According to differences in contents, the geometrical patterns of Yao nationality clothing can be divided into 3 types. Details are as follows:

2.1 Patterns with Pure Ides Forms That Is Simply Formed by Point, Line and Surface

These are highly abstract geometrical patterns include various diamonds, squares and triangles, etc. that are formed by straight lines and folded straight lines. In specific, these include clouds pattern, thunder pattern, Chinese word “ri” pattern, wave pattern, diamond pattern, zigzag pattern, svastika pattern, cross pattern, hook-linkin pattern, circle pattern, pinniform pattern and sawtooth pattern, etc. Normally, the main pattern of Yao nationality ribbon is geometrical abstract pattern formed by diamond-type lattices and oblique lines, such as integration pattern on ribbon of folk master of Pan Yao. Hook-linking pattern is one very old pattern, clouds and thunder pattern on bronze ware is a kind of hook-linkin pattern. They are called as hook-linking pattern because their lines bend like hook-like, and connected scatteredly.

2.2 Patterns Formed by Highly Abstract Generalization through Imitation and Symbolization to Natural Objects and Man-Made Objects

These patterns are highly abstract results of animals & plants in nature. Through lengthy historical sediment,

these patterns have been highly abstracted which can only be reorganized by people in the same nation. There are various highly abstract geometrical patterns on rich dress of girls in Youlingpai Yaozu of Guangdong Liannan Yaozu Zizhixian, such as grass pattern, bridge pattern, niuhong pattern, bird pattern, tree pattern, ox horn pattern, champaign pattern and girl pattern, etc. You can never find out figurative shapes in them, but they represent all things on earth in nature that are special symbol representatives of this nation (Figure 1).

Figure 1. Rich Dress (Dress) of Woman from Liannan Youling, collected in Guangdong Yao Nationality Museum

2.3 Patterns Represent Historic Civilization and Religious Belief of Yao Nationality

These patterns have been in Yao Nationality for a long time, which can often be seen on constumes and used as symbolization representatives of religious belief, national heroes and national ancestral owned by Yao Nationality, such as, the King of Pan Pattern is to honor the ancestor king who is the nationality's belief. There is a rarely big, square and colorful pattern respectively in the left and right sides below the coattail of Hong Yao women from Longsheng, Guangxi. People call it "Tiger Paw Print". This print also has its uncommon origin. A legend has it that long time ago, the emperor was in his imperial visit passing by precious jade hill, but suddenly chased by a wild tiger. At this time, he happened to meet a brave Yao girl, who came forward to save the emperor. But in the fight with the tiger, the girl's waist was scratched by it. After knowing about this, the emperor promulgated an imperial decree: Yao girls who had tiger scratch marks in the waist should be protected. After knowing the decree, the Yao women's clothes were also embroidered with tiger paw print. On the one hand, they made themselves protected by the court. On the other hand, it is more important to be in memory of the heroic Yao girl.And five vertical red streaks on trousers of men from Baiku Yaozu (Figure 2). It is said that the five vertical red streaks are "blood fingerprint" left by heroical ancestors on trousers broken up to knee in one heroic war, the descendants use red silk thread to embroider the same shape on trousers to cherish the memory of their revolutionary martyrs.

Figure 2. Clothing of Man from Guangxi Nandan County Baiku Yaozu, collected in Guangxi Nationality Museum

3. Constitution Forms of Geometrical Patterns on Yao Nationality Clothing

The forms of geometrical patterns on Yao nationality clothing are various, they have remarkable characteristics and rich valid sculpts. The design patterns formed by point, line and surface tie in, and make a distinction between the important and lesser one with ordered density, and rich in rhythm sensation and rhythmical images. Their constitution forms include both single pattern and continual pattern.

Single pattern include suit pattern, corner pattern and margin pattern. Suit pattern is normally formed by orderly organization forms, it adopts format of longitudinal symmetry or bilateral symmetry and divide configuration with construction in neat formation. Its main bone methods are vertical type and radiation type. This kind of pattern has various changes and artful composition, include circle, triangle, square inside circle or circle inside square, etc; they are all in valid composition and beautiful form. Most of flower cluster, angle flower and various inside skeleton patterns are suit pattern. Sometimes, Yao people hand-stitching suitable figures from fixed image which forms well-decorative pattern with figure inside figure that reflects imagination and creativity of Yao people. The bone method in corner pattern mainly is symmetric style. The composition bone method in margin pattern mainly is continual system.

Continual patterns include two sides continual and four sides continual, specific information as follows:

3.1 Two Sides Continual Pattern

It is mostly used on clothes ornament, weigela florida and lace. Composition bone methods of main basic unit include: vertical type, decorative patterns are up, form symmetry form; diagonal type, decorative patterns are lean at 45° angle, towards left or right; broken line type, the bone is formed by wavelike straight lines, the pattern can be arranged on wave lines or inside wave belly; geometry type, formed by geometry texture, fill suitable patterns in geometry shape. Some two sides continual patterns can be used repeatedly and overlapped, with separated width and relative density, accompanied by various colors will present splendid picture.

3.2 Four Sides Continual Pattern

It is mostly used to make large-size like entering bed mat, bed blanket, curtain edge and skirting, etc. It has widespread themes and various decorative patterns. Most of these patterns add suitable patterns in shade formed by respective bones, some patterns adopt radial bones developing towards al all directions, and some patterns are in symmetric figures in alignment with strict rule. Four sides continual pattern takes cluster as main constitution form, among which diamond cluster is in the majority.

The constitution form of geometrical patterns on Yao nationality clothing mainly follows the method of uniformity, balance, continuation and repeat. Thus, the weight component among up and down, left and right, intermediate and opposite angles of the pattern picture should be arranged at proper dimension, which meets mechanical theory, obtains balanced and stable form with combination of equal quantity and different forms, and creates feeling of solemn, steady and peace. Continuation is the connection unify among changes; repeat is regular extension continuation. Nature and natural movement changes are always repeat appearance regularly. Therefore, the constitution form of geometrical patterns on Yao nationality clothing follows the rules of aesthetic and nature that it forms its unique charm.

From the perspective of design structural forms, the design patterns of Yao Nationality clothing can be generally divided into three types: Some makes the geometrical patterns be the main patterns, plants with colorful and varied patterns as a foil, which makes a distinction between the important and lesser one of the patterns; some uses patterns of plants and animals to serve as the main patterns, which has rich and colorful geometric patterns to make up the grain belt and let geometric patterns play a part in foiling and beautifying the main patterns; some are almost full of geometric patterns, using different patterns to be combined interspersedly, making the whole patterns coordinated and giving people a complicated and magnificent feeling.①

4. Ornament Position on Clothing and Technology Embodiment of Geometrical Patterns on Yao Nationality Clothing

Almost all parts of Yao nationality clothing are decorated by geometrical patterns of Yao nationality, mainly in parts with rich dynamic sense, such as sleeves, trousers legs, shoulders, chest, bosom, back, waist and sweep; clothing accessories like shawls, corsets, belts, headscarf and shoes; even bag and bed sheets; which show us the wide use of geometrical patterns in Yao nationality clothing and livelihoods.

The decorating technologies of Yao nationality clothing are formation basis of pattern characteristics. The decorating technologies of geometrical patterns on Yao nationality clothing include embroidery, hand-stitching work, wax printing, brocade and patch work. Embroidery is used most in decorating technologies of Yao nationality Clothing, the craft process of embroidery are according to lattice and silk on base fabric, embroider an x-type pattern on each lattice, connect many x-type patterns in paralleling to form all kinds of continual patterns. There are close related causal relationships between weaving process of broche and stylize performance of ornamentation patterns. The original handwork fabrics made by interlace in longitude and latitude promote folk brocades from different nationalities regions even worldwide present dot-matrix pattern style under geometry rules and constitution form by folded straight line, due to their technologies limitation.

5. Forming Reasons and Historic Embodiment of Geometrical Patterns on Yao Nationality Clothing

Yao nationality is an old nation, its history can trace back to ancient period which can not be cut apart with Sanmiao tribe. They are also called as “Nanman”, because they lived in Hanjiang River Badin and south of Hanjiang River Badin. Sanmiao tribe develops its influence sphere continuously that resulted in conflict fighting with Huaxia tribe which was also in expansion stage, and Sanmiao tribe finally failed. Parts of losing Nanman tribe members started southward migration. Hereafter, centre governments of successive dynasties conducted suppress to south ethnic minorities including Yao Nationality, the ancestors of Yao Nationality migrated to south remote mountains area continuously to survive, they could not settle down to develop agriCivilization all the time that they were always in production living conditions of shifting cultivation. Due to obstruct among mountain regions, the distribution mode of Yao nationality is “scattered in large-scale, community in small-scale” that Yao people are difficult to form powerful political system and force. Yao nationality society is always in closed and backward state with deficient material life and blocking Civilization. Technologic limitation resulted from lagging economy and closed living environment made their decoration techniques on clothing are relatively single, which mainly include hand-stitching work and brocade. Both hand-stitching work and brocade are limited by longitude and latitude of cloth to a great extent, that they have certain difficulty in making figurative patterns. Human’s awareness of themselves and appreciation in the external things needs to be established after breaking free from the pressure of survival. Only after material life is relatively wealthy and stable can they pay more attention to the spiritual level and art extends and develops towards a higher direction. With no living guarantee, Yao ancestors first focused on how to get rations from the poor land. In this environment, they did not have much energy to draw landscape flowers and birds and their aesthetic ability of art to some extent still remained in that distant ancient era. Abstract geometrical patterns in brocade reflect its origin relations with geometrical patterns in different ancient periods from its longitude and latitude weaving. ②Brocade of Yao nationality can be reflected corresponding to Chinese Word “Hui” pattern, diamond pattern, thunder pattern and rectangle pattern in Shang and Zhou Dynasties from its organization style. However, the main reason why Miao

nationality with which they have an original genetic relationship produced those figurative patterns with rich expressiveness and imaginativeness is that Part of the Miao lived in a relatively open environment and lived together with Han nationality. Since the land is relatively broad flat, easy to cultivate and trafficking of goods can obtain economic security, the economy developed greatly and consequently brought the development of culture. Its decorative patterns developed from relatively primitive abstract geometric patterns to figurative patterns with a variety of performance methods. Because of its aesthetic development, the garment decoration technologies need to have technical exchanges with Han. Thereafter, it appeared flat embroidery, lock embroidery, embroidered fight seeds, Duixiu and other embroidery methods. The acquisition and emergence of these methods further enrich the performance practices of design patterns on clothing. But we also find that not all of the Miao depict and embroider figurative patterns. As with Jinxiu Yao, those areas of Miao in closed and remote places where people lived and have little contact with the Han and economic life is relatively backward have its patterns stay in the stage of geometric patterns. Thus, we can see that economic development and how to develop indeed to a large extent determine the pace and direction of development of a nation's civilization and the stage of development of their art and aesthetic appreciation. And, some geometrical patterns of Yao nationality also inherit geometrical patterns arisen in the Neolithic Age. Such as, sun patterns on Yao nationality clothing ; they are similar to eight-angles sun patterns in colored pottery bowls unearthed from Jiangsu Pi County Dadunzi of Dawenkou Civilization and colored pottery jars in Machang type of Majiayao Civilization.

Many geometrical patterns on Yao nationality clothing is abstract and hard to understand, that few people know the significance. The reasons may be as follows: some geometrical patterns are inherited from ancient ages surely; they had their signified contents at that time, because Yao nationality had no words to write down the contents that the contents transformed, distorted, dimmed and disappeared finally during the spreading process. These geometrical patterns turn to be pure decorative patterns finally. Due to they have significant meanings at the beginning, that use of them must obey strict normative that can't be changed at will. Patterns have their own names in Yao language that the names are in inheritance and authenticity during the process of passing form mouth to mouth. But initial names could also disappear due to patterns losing their original meanings, but Yao people will arrange new names for patterns according to meaning of that time to inherit them, thus many patterns are unworthy of the name anymore.

Yao nationality has a large number of branches. All branches scatter among remote places with different adjacent nationalities. Influenced by natural environment and adjacent nationalities, their design patterns on clothing are also different. Generally speaking, people who live in the plains and Pingba region has more contact with Han nationality and other advanced nationalities. The branch with advanced economy and culture tends to have richer, more variegated and abstract design patterns on clothing. However, people who live in the mountains usually have less contact with Han nationality and other nationalities. The branch with relatively slow economic and cultural development often has simpler, quainter and more figurative patterns on clothing. ③

6. Conclusion

The geometrical patterns on Yao nationality Clothing is not only one kind of decoration, but also one kind of public symbol which is used as one kind of communication media to record history and transmit one kind of common cultural value system. From the perspective of development of ornamentation, most images and ornamentations on formative arts in hunting civilization and primary agricultural civilization are abstract geometric patterns, among which two sides continual pattern and four sides continual pattern are majorities. These images and ornamentations take symbol and expression as aim instead of depicting and objects representation. The need from people is much more important than development degree of techniques. Most ornamentation in early colored potteries is representational, later and more abstract. Not because people lost their early representational ability, but they turned this ornamentation into certain mark or symbol which can only be recognized by people of the same clan, that is similar to one kind of pictograph. The geometrical patterns on Yao nationality clothing can be used to record history, or indicate identity, or imply lucky, or drive out evil spirits and protect people. These patterns are related to historical memory of origin and migration of Yao Nationality, long-term migration career produce carry-on ethnicity cultural style, all ethnicity history settled in behaviors of oral legend, complex costume patterns and body decoration. Thus, the geometrical patterns on Yao nationality clothing are results of Yao nationality historical Civilization and social comprehensive construction. Through this, Yao nationality expresses its self-identity to historical memory, and inherit and "reappear" historical memory generation to endless life.

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Notes

Note 1. Yu Shijie: *Yao Nationality Costumes*, Beijing, Beijing Science and Technology Press, Edition 1 of June 2012, Page 58.

Note 2. Zuo Hanzhong: *Hunan Folk Fine Arts Collection Folk Brocade*, Changsha, Hunan Fine Arts Press,, Edition 1 of November, 1994. Page 38.

Note 3. Yu Shijie: *Yao Nationality Costumes*, Beijing, Beijing Science and Technology Press, Edition 1 of June 2012, Page 58.

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An Estimation of Market Size for Microfinance: Study on the Urban Microentrepreneurs in Selangor, Malaysia

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Abstract

Malaysia is a fast growing developing country where majority of the people are Muslim. Due to the religious bindings, Muslim prefers *Shariah* compliant Islamic credits instead of conventional interest based credits. At the same time, non-Muslims can also consider *Shariah* compliant Islamic credit because it is considered as the ethical credit. However, still many microentrepreneurs are not receiving the *Shariah* compliant Islamic microfinance products because they have negative perceptions about the credit and interest (*riba).* Therefore, this study aims to assess the demand for microfinance among the microentrepreneurs in the State of Selangor, Malaysia and thus, determine the potential market size. Data of the study were collected based on a questionnaire survey from 550 microentrepreneurs from the urban areas of Selangor. It was found that only 12.2 per cent of them received microfinance from various microfinance institutions and banks. However, the study found that still there is potential for microfinance borrowing with around 55,000-128,000 microenterprises in Selangor, Malaysia. Therefore, Islamic microfinance institutions should try to expand their market size by promoting these potential microfinance borrowers among the existing microentrepreneurs.

Keywords: microfinance, Islamic microfinance, microentrepreneur, microenterprise, SME, Malaysia, Shariah

JEL Classification: G21, N85, O10

1. Introduction

Microfinance promotes economic and social empowerment of the poor and low income people. Business capital is the most difficult to obtain for the working poor, the poor, and the unemployed, thus if they lack savings or other forms of collateral, they will find that business loans are inaccessible. In the absence of financial services, poor people often have to rely on informal financial sources such as friends and family as well as moneylenders. Microfinance institutions (MFIs) also provide financial services such as loans and insurance targeted at low-income clients or those who are not bankable.

With a population of more than 28 million of which 60 per cent are Muslims, Malaysia is a large consumer market for micro-entrepreneurial development. Here, MFIs can either be in the form of non-governmental organisations (NGO), government agencies, charitable organisations, banking institutions, non-banking organisations or a combination of these. Microfinance services that are being offered are mostly *Shariah* compliant products based on *Qard Hassan* (benevolent loan), *Ijarah,* and *Bai Al-Inah* (sale and buy-back agreement) contracts. The two largest Islamic microfinance institutions in Malaysia, Amanah Ikhtiar Malaysia and Bank Rakyat, have shown good progress over the years by availing financial access to the Muslim poor that would not jeopardize their religious beliefs towards the prohibition of interest (Dar et al., 2012; Kamaluddin et al., 2015; Said, Alam, & Hassan, 2015).

The funding of some of the MFIs depends a lot on donations and subsidies from other parties; therefore, their existence and sustainability really depends on the outreach. The more they can reach their clients, the more impressive their performances will be (Osotimehin & Akinlabi, 2011). Previous studies have indicated that demand for microfinance is based on outreach that is the ability of MFIs to reach out to the clients (Cheng, 2007;

Molla et al., 2008; Molla & Alam, 2008, 2011; Alam & Molla, 2012a, b).

Ayayi & Yusupov (2012) claimed that it is an overly simplistic projection to assume that every poor individual needs a loan. Some poor people choose not to borrow to start a business as they do not want to be in debt (Reinke, 2004). Standard and Poor's Microfinance Rating Methodology Working Group estimated that about 50 per cent of the poor worldwide are potentially eligible for microcredit/ microfinance to initiate microbusinesses which was also supported by a study done by the CGAP on microentrepreneurs in Latin America (Ayayi & Yusupov, 2012; Anand & Rosenberg, 2008; Gazy, 2005).

Given this information, there is a need to estimate the potential market size for microfinance. Therefore, the objective of this study is to assess the demand and the potential market size for microfinance among the microentrepreneurs in Malaysia.

2. Methodology

The study collected questionnaire survey data from 550 microentrepreneurs in several selected towns or urban areas in Selangor, Malaysia. Data were projected through the use of the 1-5 point Likert-scale, denoted by strongly disagree (1) to strongly agree (5). The sample included both recipients and non-recipients of any form of microfinance from four selected areas, they are Shah Alam / Kelang (32 per cent), Subang Jaya / Petaling Jaya (23 per cent), Selayang / Ampang Jaya (14 per cent), and Sepang / Kajang (31 per cent). Data were collected in September, 2013.

3. Findings and Discussions

3.1 Demographic Characteristics of Microentrepreneurs

In general, the respondents are almost equally distributed between both genders (Table 1). About 40.9 per cent of the respondents are in the 31-45 age groups. The majority (83.2 per cent) of the respondents are Malays, followed by 8.0 per cent Chinese, 7.1 per cent Indians, and 1.8 per cent from other ethnicities. More than 46 per cent of the respondents are running their businesses in shops, followed by the mobile night or day market; about 11 per cent of them are running home-based businesses, and another 6 per cent do not have a specific business location; they could be running an online business. More than 70 per cent of the respondents run their small scaled businesses on a full-time basis and 22 per cent of them on a part-time basis.

Table 1. Demographic characteristics of the sample microentrepreneurs

Demographic Variables		No of Respondents	(%)
Gender	Male	262	47.9
	Female	285	52.1
Race	Malay	455	83.2
	Chinese	44	8
	Indian	38	6.9
	Others	10	1.8
Age	Below 18	4	0.7
	18-30	146	26.7
	31-45	224	41
	46-60	165	30.2
	Over 60	8	1.5
Location of business	Market (permanent)	89	16.3
	Shop	255	46.6
	Night / Day market (mobile)	111	20.3
	Home	59	10.8
	Not applicable	33	6
Type of business	Full-time	424	77.5
	Part-time	123	22.5

3.2 Characteristics of Microenterprises

The size of the microenterprises is very small as reflected from the size of their current business capital (Table 2). Around 31 per cent of them are operating with a current capital of below RM1,000. A very small group (8 per

cent) has a capital of above RM15,000. The size of capital is also related to their ability to obtain finance. Based on the survey, all of them mentioned that they are the owners who operate and manage the business. Moreover, on average, the microentrepreneurs have only 2 full-time employees.

Table 2. Business characteristics of the sample microenterprises

Business Status		No of Respondents	(%)
Size of Business Capital	Below RM1000	168	31
	RM1000-5000	209	38
	RM5001-15000	128	23
	More than RM15000	42	8
Monthly Income	Less than RM1500	72	13.2
	RM1501-2500	149	27.2
	RM2501-3500	0154	28.2
	RM3501-5000	104	19
	More than RM5000	68	12.4
Nature of Business	Trading	291	53.2
	Manufacturing	95	17.4
	Services	134	24.5
	agriculture	3	0.5
	Construction	2	0.4
	Others	22	4
Sources of Financing*	Self-financing	453	82.2
	Family / Friends	129	23.6
	Bank & Microfinance loan	67	12.2
	Money lender	22	4
	Suppliers	17	3.1
	Ar-Rahnu / Pawnshop	16	2.9
	Donation / Zakat	2	0.4

* Borrowers have multiple sourcing of financing

Most of the entrepreneurs run their businesses on a full-time basis and earn RM1,500 to RM5,000 monthly. Some of them (12.4 per cent) earn more than RM5,000 per month. Hence, quite a number of the entrepreneurs (13.2 per cent) who earn less than RM1,500 per month are considered as the vulnerable group who are struggling to make their businesses survive.

More than half of the respondents carry out trading business activities such as buying and selling, being distributors, or vendors. Meanwhile, 25 per cent of them run service related business activities such as tailoring, catering, operating a laundry, or a massage centre. Another 17.4 per cent are involved in manufacturing activities either in food processing or furniture making. Only a small number of them are engaged in agriculture as the survey was conducted in the urban area.

It was also found that a majority of them are self-financed (82.2 per cent), followed by borrowing from family and friends (23.6 per cent), and from banks and microfinance institutions (12.2 per cent). A small number of microenterprises (4 per cent) received loans from informal money lenders or "loan sharks" to finance their businesses because here, applying and approvals of fund are easy and very quick. However, these informal lenders are usually operating outside the legal provision of lending and offer clients loans of various amounts at exorbitant interest rates.

3.3 Challenges and Expectations of Microentrepreneurs

Microentrepreneurs face several challenges (Table 3). They face difficulties in penetrating the market, promoting their products, and being competitive with other established entrepreneurs. This is also due to their small capital. They need more capital in order to stay competitive in the market as well as for the expansion of the business. They also need other services such as access to market information, assistance in improving their products in terms of packaging and branding, technical assistance for better product quality, etc.

Table 3. Challenges and Expectations of the sample microentrepreneurs

Business Status		No of Respondents	(%)
Challenges of Business	Demand for products	348	23.2
	Capital	340	22.7
	Competition	333	22.2
	Workers	246	16.4
	Skill	132	8.8
	Support from government	61	4.1
	Support from family	26	1.7
	Other (Specify)	13	0.9
Required Supports	Capital	317	39.1
	Access to market service	126	15.6
	Outreach service	89	11
	Aid to improve product	87	10.7
	Training and technical assistance	85	10.5
	Assistance development	53	6.5
	Financial literacy and education	52	6.4
	Other (Specify)	3	0.1
Future Plan	Expand the business	359	63.7
	Change business	26	4.6
	Change location	23	4.1
	Shut Down business	13	2.3
	No plan	140	25.3

In spite of the several challenges, most entrepreneurs (63.7 per cent) are very optimistic and they plan to expand their businesses (Table 3). About a quarter of them are contented with what they are doing as they do not plan to do anything extra in the very near future. Around 11 per cent of the respondents are struggling and would like to shift or shut down the business.

Table 4. Perception of microentrepreneurs about microfinance borrowing

Perception of Microentrepreneurs		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Mean
		Frequencies (%)					
Microfinance Non-borrowers	Afraid to have debt	132	202	94	47	9	3.83
		27%	42%	19%	10%	2%	
	No need for credit	54	143	183	90	14	3.28
		11%	30%	38%	19%	3%	
	Business is too weak to run a credit	27	129	183	108	37	3
		6%	27%	38%	22%	8%	
Microfinance Borrowers	The current loan is not adequate	3	29	23	11	1	3.34
		5%	43%	35%	16%	1%	
	Have the ability to pay back on time	12	41	12	2	0	3.94
		19%	61%	17%	4%	0%	

Most of the microfinance non-recipients (mean 3.83) agreed that they did not borrow credit because they are afraid to become indebted. In addition, a majority of them (mean 3.28) believe that they do not need the credit. However, only 32 per cent agreed that their businesses are too weak to accomodate credit. Moreover, among the microfinance recipients, only 17 per cent mentioned that their current size of credit is enough, which means that the rest of the microentreneurs still have scope to take more credit. Among the current borrowers, only 3.7 per cent do not have the ability to pay back the credit on time, which means that most of them are competent with the ability to repay the credit.

3.4 Estimation of Potential Market Size

The Central Bank of Malaysia (Bank Negara Malaysia) has a provision for small business loans of up to RM50,000 (USD15,800) for business activities by microenterprises (Bank Negara Malaysia Annual Report, 2012). According to the records of the Department of Statistics, the number of total registered SMEs in Selangor is 125,904 and out of that, 74.4 per cent or 93,673 are microenterprises (National SME Development Council, 2013).

Our survey result shows that 76 per cent of the microenterprises are registered (Table 5). Therefore, the estimated total microenterprises would be (93,673 / 76 per cent) = 123,254. Among the total microenterprises, 50 per cent have potential for microfinance loan (Gazy, 2005; Ayayi & Yusupov, 2012); therefore, the total potential microenterprises are 61,627. Among them, 9.5 per cent already receive microfinance; thus, the rest are potential clients at around 55,772 microenterprises.

Table 5. Estimation of market size for microfinance in Selangor, Malaysia

	Registered SME	Registered Microenterprise	Estimated Total Microenterprise	Estimated Total Borrowers	Estimated Potential Borrowers
Considering Unregistered as 24%	125,904	93,673	123,253	61,627	55,772
Considering Unregistered as 1/3 or 33%	125,904	93,673	283,856	141,928	128,445
Considering Unregistered as 3/4 or 75%	125,904	93,673	124,897	62,448	56,516

Estimation by the World Bank indicates that among all of the establishments, informal are between ⅓ to ¾ (Nawai & Shariff, 2011). Based on this assumption, here the estimated potential microenterprises would be 124,897 to 283,856 (33.3 per cent to 75 per cent of 93,673) (Table 5). Among the total microenterprises, 50 per cent have potential for microfinance loan (Gazy, 2005; Ayayi & Yusupov, 2012); therefore, total potential microenterprises are 62,448 to 141,928. Among them, 9.5 per cent already receive microfinance, which means that potential clients are around 56,516 to 128,445 microenterprises in Selangor, Malaysia.

4. Conclusions and Recommendations

The study found that only 9.5 per cent of the microenterprises received microfinance credits in Selangor, Malaysia, therefore a vast proportion of microentrepreneurs in Malaysia still have potential to receive microfinance credit. The estimated size of the potential microenterprises varies based on different assumptions. Overall, the range of the potential market size for microfinance is 55,000-128,000 microenterprises in Selangor, Malaysia.

There are several reasons for the small number of microfinance borrowers among the microenterprises. Most of the microentrepreneurs only rely on self-financing or financing from family and friends. Many of the entrepreneurs are part-timers who already have some sort of savings or have been saving for the expansion of their businesses. Some of them seek help from relatives, friends, or neighbours because they would expect them to return the favour sometime in the future, as a gesture of a reciprocal obligation. Moreover, most of them do not want to be involved with credit and be trapped in the cycle of interest. Further, many of them feel that the frequent loan payment is too burdensome because most of the microfinance institutions require a weekly repayment, while in the case of family members or friends, immediate repayment is not needed. They also lack confidence in growing their business and think that their businesses are not strong enough; therefore, they fear that they might lose what they have now.

Overall, most of the microentrepreneurs had negative perceptions about the loans though they agreed that *Shariah* compliant products are easily available in the market, and they have to change in order to progress with more capital. Therefore, the MFIs must take initiatives to promote microfinance among the potential microentrepreneurs so that they can maximize their outreach among the existing microentrepreneurs.

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The Use of 'World Wide Web in Students' Learning of Tarbiyah and Teacher Faculty of IAIN Kendari

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Abstract

This Study aims at understanding what extent of the use of World Wide Web (WWW) in learning for students of Tarbiyah and Teacher Faculty of State Islamic Institute (IAIN) Kendari improve the students' learning achievement. The scope of the study is the use of WWW in learning for all subject of Tarbiyah Faculty students at IAIN Kendari. The Technique of Data Collection uses observation and Interview which are analyzed qualitatively. The subjects are the students of Tarbiyah and Teacher Faculty at IAIN Kendari, Southeast Sulawesi, Indonesia. The finding shows that the use of WWW in Students learning of Tarbiyah Faculty tend to use the Web Mail and Search Engine Service where the most access are Google and Yahoo. Various information needed in learning whether cognitive, affective, social integration or personal integration, can be accessed by WWW. But, the students cannot access the WWW maximally because of the limitation of Wi-Fi Connection service in campus.

Keywords: student learning, using of World Wide Web (WWW), cognitive, affective, social integration

1. Introduction

The information technology and communication in learning today become the tangible challenge in education side, especially in learning technology. In a row of increasing human resources in globalization era, the changing of technology is also more sophisticated, one of them is the present of Internet as a media of communication and information. Internet is communication and information technology development to ease people to access information from various countries in the world. Internet also is as inter-connection networking because it globally becomes the computer networking in international scale. The development of computer technology and internet become potential support in learning. Various products and applications showed by internet can draw attention of society in the world, one of them is WWW.

World Wide Web is group of multimedia document which is connected each other by using hypertext link. By click hyperlink, we can move from one document in one site to another. We can also access much information not only in a text form but also in picture, video, audio, and animation form (Sakur, 2003). The World Wide Web-based learning have many advantages, one of them time management is more effective, the learning material is easier to access, interesting and lower cost (Sutrisno, 2011), World Wide Web today is rapidly developed in various kind of human life. Its advantage can influence the whole of human life, from social side, economic, military, education and technology (Mikhailovna1 et al., 2015). Even the information from the entire world can be accessed by World Wide Web.

IAIN Kendari is one of the Islamic State Institute in Kendari of Southeast Sulawesi which has internet service facility in campus. This service can be accessed in mostly building in campus area. This campus always tries to serve many students aspiration to build the internet network. IAIN of Kendari have four faculties, they are Tarbiyah and Teacher Training Faculty, Ushuluddin Faculty, Adab and Dakwah Faculty, Syariah and Law Faculty, Economic and Islamic Business Faculty. Based on the pre observation, the students of Tarbiyah and Teacher Training Faculty completely used the internet as a basic source in their learning and some of them used the textbook at the library. It can be seen from the interview result; most of students access the internet network which is available at campus. They can access it by smartphone, tools of mobile phone such as laptop/notebook, PDA (Personal Digital Assistant) and PC (Personal Computer), even facilitated by Wi-Fi technology

(wireless-fidelity). The existence of internet network in IAIN area is expected to increase and wide the students' knowledge of education and their creativity in learning.

2. Literature Review

2.1 World Wide Web Facility

Today, the Internet is the most sophisticated media and information sources, because this technology offers a range of ease of access, accuracy, speed and the ability to provide different information needs of everyone, anytime, anywhere and at any level. A variety of information can be retrieved via the internet, such as jobs field, sports, the arts, shopping, travelling, health, games, news, communication through email and chatting, even scientific articles in various scientific disciplines, and many more. Almost all areas of humans need, of any kind, can be searched via the internet (Abraham, 2010).

There are some kinds of WWW service, as follows:

- Mail Service

It is One of the most widely service used by people, and to be able to send email each other we need to have a certain email account.

- Search Engine

By using search engine, we will quickly find the address of the site that contains the information we need. Such as search engines site: www.google.com, www.yahoo.com, and others.

- Web Hosting

It is used as free web hosting services are offered on the internet. Such as; www.geocities.com, www.coolfreepages.com, www.lonex.com, etc.

- Portal

Portal is the web site which offers many services, in the real world we know mall or plaza, which provides all that we need while shopping, then in cyberspace is also facilitated. Such as: www.yahoo.com, www.astaga.com, and others (Wanda, 2015).

Besides several types of services above, there are also many sites that can be accessed via the World Wide Web, some of them are Google, yahoo, MSN, Bing, ASK, etc.

2.2 The History of World Wide Web

The history of Web began at the European Laboratory for Particle Physics (known as CERN), in the city of Geneva, close to the border of France and Switzerland. CERN is an organization founded by 18 countries in Europe. In March 1989. The website was first discovered by Sir Timothy John Berners-Lee Team, while websites that connect with the network first surfaced in 1991. The goal of the team in designing a web site is to facilitate the Exchange and update information on fellow researchers at their place of work. Then on April 30, 1993, CERN announced that the WWW can be used freely by the public (Nanda, 2013).

In 1994, CERN and MIT established a consortium called the World Wide Web Consortium (W3C) which served to establish standards for Web technologies. W3C is a consortium of a number of organizations with an interest in the development of various web-related standards (Hidayat, 2011).

2.3 Students Information Needs

Learning is an instructional system that refers to a set of components that are interdependent of each other to achieve the goal. The learning includes some components, such as objectives, materials, learners, teachers, methods, evaluation and situation (Ahmadi et al., 2011).

Related to the environment that encourages the emergence of those needs, particularly with regard to a person who is exposed to various reservoir media of information (sources of information), then a lot of needs that could be addressed, such as proposed by (Katz, Blumler, & Gurevitch, 1974 in Egede Andrew, 2013) As follows:

- Cognitive needs

This need is closely related to the need to strengthen or add information, knowledge and understanding related to someone life and its environment.

- Affective Needs

This needs associated with strengthening the aesthetic, things that can be fun, and emotional experiences. Variety of media whether it is printed or electronic, often used as a tool for the pursuit of pleasure and entertainment.

People buy a radio, television, watching movies, reading books and light reading with the purpose to entertain.

- Personal integrative needs

This need is often associated with strengthening the credibility, confidence, stability, and individual status. This need comes from the desire to find one's self esteem.

- Social integration needs (social integrative needs)

This needs associated with strengthening relationships with family, friends, and everyone else in the world. These needs are based on a person's desire to join or sharing with others.

Internet in the information era has established itself as one of the centers of information that can be accessed from many different places without limited by space and time. It is becoming the alternative choice in searching information beside library (Mukhtar & Iskandar, 2010).

3. Research Methodology

3.1 Design of the Research

The design of this research is a qualitative research that aims to solve actual problems that arose today. After collecting the data or information, they are organized, described, and analyzed for the purpose of understanding and interpretation about the meaning of the phenomenon obtained relatively in the field. The phenomenon in this research is about the use of the WWW in the fulfillment of the information needs of student learning and teacher training faculty of Tarbiyah IAIN Kendari.

3.2 Research Instruments

The research instrument is a researcher his self. The researcher analyzed and described the facts that exist in the field. In the process of data collection, the researcher also uses the tool as a supporting instrument i.e. a small notebook and recorder to record of the results of the interview.

3.3 Source of Data

In qualitative research, researcher exits certain social situations, doing observation and interviews to people who know about particular social situations. For the data source, the researcher used snowball sampling technique which is one form of purposive sampling (samples according to your needs): with a decisive one key informant first then specify the other supporting informant, as the author (Usman, 1995) said that the participant in qualitative research methods are evolving continuously until the data collected was considered satisfactory.

There are two kinds of source data used in this study, they are, primary data and secondary data. Primary data is obtained from the first source; in this case the students of Tarbiyah and Teacher Training Faculty of IAIN Kendari from 2013 - 2014. The participant in this study 24% or 70 students from 293 the total number of students. The data of the secondary data source that is obtained through the document material in this case the researcher does not directly take the data itself but researching and utilizing data or documents produced by other parties. A secondary data source means to give an overview of enhancements, complementary picture about the "use of the WWW in learning of students Islamic studies of Tarbiyah and Teacher Training Faculty of IAIN Kendari".

3.4 Technique of Data Collection

There are two techniques applied in this study, they are:

- Observation, which is organized carefully against conditions that are examined directly in the field. In this case, the researcher observes students of Islamic education studies (PAI) who have used the WWW.
- Interview, a method used by researcher to hold a question and answer to the informant (Students of Islamic education studies) is deemed to know the issues that will be discussed.

3.5 Technique of Data Analysis

Technique of data analysis in this study used qualitatively data analysis by Milles and Huberman model in (Sugiono, 2009), they say that: the analysis is composed of three strands of activities that occur simultaneously, in the following ways:

- Data reduction is defined as the process of research, the framers attention on simplification, abstraction and data transformation "rough" that emerged from the written in the field.
- Data display i.e. gobs of structurally information which gives the possibility of withdraw of conclusions and taking action.

- Conclusion or verification from the beginning of data collection, qualitative analysis began searching for the meaning of objects that record the regularity, the patterns, the explanation, the configuration may be causal flow and proposition.

It means that the collected data was analyzed based on certain stages i.e. observing patterns of individual actions that are considered important so as to produce a description/explanation, then identifies and subsequent research results will be interpreted through descriptive explanations regarding the use of the WWW in learning of Islamic studies and teacher training students of Tarbiyah Faculty of IAIN Kendari.

4. Results

4.1 Using World Wide Web Service as Learning Iinformation

In the World Wide Web, there are various kind of services available with different functions, such as web mail service that is used for mutual exchange of information via e-mail, search engine to search for information by typing in keywords of the searched information to be searched, web hosting to make private or group web and the portal as a service that provides information services sales of goods via online (online shop).

Various types of such services have been widely used by the internet users from either among students, as well as the general public. However in practice, the students of Tarbiyah and Teacher Training Faculty of IAIN Kendari have not been maximal in using internet yet, in other words, they only use one or two of these services, as expressed by a participant:

> *"I used to use Web Mail because it is one of the demands of the current academic needs between students and lecturer who used email. I also often use search engine for tool in finding references. (Participant 43, on January 13, 2015)"*

Students of Tarbiyah and Teacher Training Faculty used some of the services available in the WWW service due to ignorance of the other. Some of them used Web Mail and Search Engine in the fulfillment of the needs of the information.

In addition to the various services, there are also many sites in the WWW can be used in retrieval information, i.e. Google, Yahoo, AltaVista and others with the own function. By the existence of these sites, participants could operate the WWW and get to know the Web well, although the participant initially had to go through the learning process first. However, not all users of the WWW audience know about these sites, as an expression of the following participant:

> *"I often open up Google and Yahoo! because they have fast connection, it looks good also, as well as any information we want are available on Google. (Participant 46, on 17 January 2015)"*

Based on the interview above, we can see the summary of student utilization of Wi-Fi in their learning and getting information in other site or in social media.

Table 1. Students utilization of World Wide Web in learning

No.	The using of WWW in Learning	Always	Often	Sometimes	Never	Total
		4	3	2	1	
1.	Web mail	40	14	13	3	70
2.	Search engine	5	8	32	25	70
3.	Google	54	12	4	0	70
4.	Yahoo	51	13	6	0	70
5	AL vista	4	3	6	57	70
6.	Surfing internet	34	22	5	9	70
7.	Web hosting	39	16	8	7	70
8.	Portal	11	9	21	29	70

4.2 The Using of World Wide Web Based on Students Need in Learning

The development of the World Wide Web is as result of accessing its need. It has already started to grow in the community; the development of World Wide Web has become a regular thing for people who want to obtain information using the internet as an alternative to obtain information except books and other information media. The availability of the internet determines a person's habits in accessing World Wide Web. IAIN campus Kendari has been providing the facility; this allows students to access the World Wide Web so that students could use his spare time to surf the internet while on the campus with the intensity of a particular time. In accordance with the

expression of following participant:

> *"In a day, I usually surfing for an hour, to complete the task, if I have many subjects then I can't access www. (Participant 56, on 16 January 2015)"*

Related to students' need, one participant states that,

> *"WWW plays an important role in fulfilling the information needs of my learning because of the ease in finding information related to the learning materials, references that come from different parts of the world. The information that I often find is related cognitive needs regarding academic information about lessons or courses and info about the contest or the festival because it can expand insight. (Participant 50, on 19 January 2015)"*

From the statements above, DeBell in author (Abraham, 2010) from The Education Statistics Services Institute (ESSI) the use of the internet by website facility can improve the quality of people life everyday and increase their job market prospects because this technology has the potential for improving to access information, help complete the lecture task better and faster, and as a medium of communication.

In accordance with acknowledged one participant said that:

> *"Through the website all the information can be gotten, all the information in the world. So many information, such as academic information or related to science, music, infotainment and religion side. Even the internet also provides a software or application that can be downloaded, for example, digital Qur'an, and so on. In addition, there are many social networks such as Facebook, twitter, etc. They can be used to interact with others or find new acquaintances and can also be used as a place for expressing feelings or what we think, as a medium to convey the goodness to other people especially in the field of Islamic studies (Participant 52, on 16 January 2015)"*

Table 2. The summary of using www based on the students need

No.	Students need	Always	Often	Sometimes	Never	Total
1.	Cognitive	43	22	3	2	70
2.	Social Integration	24	19	15	12	70
3.	Affective	31	24	3	12	70
4.	Personal Integration	36	28	4	2	70
5.	Entertainment	39	26	2	3	70

5. Discussion

The aims of this study to describe students' utilization of World Wide Web in learning. Based on the research result, the use of the WWW is one of the activities performed during students' search of the information needed to lecture or assignments to other learning information needs. As we know that the internet todays has opened a source of information, it became accessible easily and not be a problem anymore. The Internet allows users to be aware of a variety of information including up to date from various parts of the world easily and quickly.

There are many provider services in internet but some of students still have limited information of website. The Google and Yahoo website are mostly used by the students. They used of these website because of many advantages of service, such as email and data protection. Like the author (Mikhailovna1 et al., 2015) described that Companies Microsoft, Google, Sales force and other providers of access services to the cloud environment can implement a variety of services and security technologies; concentrate the efforts of the best employees on the planet for this purpose. Companies like Google, Microsoft and Sales force are able to provide data protection services to their customers who use Gmail and Google Docs.

In fact, the students, in accessing the internet through World Wide Web, have many challenges. One of them is the lack of available facility of WiFi network in campus are. So, they need to the other place to find network accessing in limited time. As we know that, through searching in internet, the students can get broad information.

Some of the respondents still give priority to the use of the World Wide Web to meet the cognitive needs related to the tasks which they have acquired in lectures or about other common knowledge. So that with a wide range of information available in the World Wide Web extremely helpful student or academia in meeting academic requirements. A cognitive need is closely related to the need to strengthen or add information, knowledge, and understanding someone is going to its environment (Katz, Blumler, & Gurevitch, 1974).

In addition to affective requirements, based on the result, students are also trying to meet the needs of other

information via the World Wide Web as the needs of social integration by creating an account on social networks. It is used to interact with other people, entertainment, looking for entertainment in the form of downloadable music, movies, reading news. To meet the needs of personal integration, they use social media such as showing the existence of self by updating a status or a photo in the social Web. The using of World Wide Web is also as a medium of instruction to utilize advances of technology for the benefit of education and as a existence form in the field of Islamic studies and teacher training science. Related to those finding based on the research result of the author (Andrew, 2013) the social media network is a significantly veritable information source for business investors in Nigeria, 94% of surveyed who accepted having used the social media to meet their need. It can be seen the social media network not only meet the students' need in education field but also meet the business information source for all businessman.

6. Conclusion

The use of the WWW has the ability to facilitate the various needs of students in accessing information. From learning facilities are used and the types of information that are accessible. It is proved that the students of Tarbiyah and teacher training faculty generally has creativity in the processing of information technology and particularly the WWW. The research results showed that the use of WWW in student' learning are more likely to use Web Mail service and Search Engine. Because of the limited tools of Wi-Fi, they only have limited information of internet service. The access site is only limited to Google and Yahoo because up to now they've been learning information needs the can be found through those sites. In addition to ignorance about other sites, this becomes a constraint so that it is not used. WWW, first present in the world of education, is as one source of information for the students besides libraries, newspapers, magazines, television and so on. The presence of the WWW adds insight information, whether formal or non-formal from different types of information needs (cognitive, affective, social integration, the integration of personal and entertainment), all can be fulfilled through WWW.

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The Status Quo Survey and Countermeasure Analysis of Chinese Netizens' Needs for E-Mental Health Services

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Abstract

The e-Mental Health Service refers to the work for mental health promotion provided, following the laws of mental health, by professional institutions and professionals to netizens through the Internet. A survey of 1588 netizens shows that netizens have a need for e-Mental Health Services and higher needs for mental health knowledge; they show obvious social orientation in their choices of service providers; demographic variables have remarkable influences on netizens' specific needs; and netizen groups, there are relatively higher needs in female, college degree holders and above, the youth and brain workers, such as students, teachers, company employees, and staff in public institutions. The results of the survey indicate that netizens' needs for e-Mental Health Services are complex and diversified, and netizens' understanding and demand for professional service institutions, professional service providers and electronic service modes still need to be improved.

Keywords: netizen, e-Mental Health Service, the needs for mental health service

1. Instruction

Referring to Huang Xiting's definition of mental health service system (Huang et al., 2007), the e-Mental Health Service, also known as the Internet-based Mental Health Services, can be defined as the work for mental health promotion provided, following the laws of mental health, by professional institutions and professionals to social members, especially netizens, through the Internet. Compared with traditional mental health services, the e-Mental Health Service, with unlimited service time and space, diversified service modes, shared resource, convenient information and large-scale services, could meet the need of China's 668 million netizens for mental health services theoretically (CNNIC, 2015). According to the definition given by China Internet Network Information Center (CNNIC), netizens refer to those Chinese residents aged 6 and above who have used the Internet in the past 6 months (CNNIC, 2015). And the first survey on netizens' health condition made at www.39.net in 2007 has revealed that 55.97% of 152,866 netizens had claimed to have, occasionally or frequently, mental problems (39.net, 2007). Therefore, it is necessary to provide netizens psychological guidance and assistance.

The e-Mental Health Service is an important channel for netizens to obtain mental health services, and the understanding of netizens' needs for the e-Mental Health Service is an essential basis on which electronic services could be carried out effectively. Yet up until now, it is unclear what the extent of Chinese netizens' needs for the e-Mental Health Service generally are and what characteristics the needs possess. The objects of existing studies have focused mainly on college students' needs for network services (Zhang, 2009; Wang et al., 2010; Cui et al., 2010). However, in the concept of promoting the construction of China's mental health service system, the study on netizens as a whole is of great significance. And as a vital component of the construction of China's mental health service system, it is conducive to clarifying Chinese netizens' needs for as well as their attitudes towards the e-Mental Health Service. Hence this study attempts to carry out exploratory work in this regard and put forward appropriate countermeasures.

2. Survey

2.1 Tool

Following the specifications of psychometrics, the survey team has devised the Netizen's e-Mental Health Services Needs Questionnaire (NeMHSNQ). Referring to relevant domestic literature on the evaluation of the

needs for mental health service, and on the basis of the series of scales developed by the research group of Research on the Actualities and Counter-measures of Mental Health Service in China, this survey, through open-ended questionnaires and interviews conducted in Chinese netizens, has concluded one dimension of acceptance attitude in which there are 8 items, and four dimensions of Chinese netizens' needs for e-Mental Health Services: service institution, service providers, service content and service mode, and in each dimension there are 7-8 alternative items, with 40 items in total. Then the survey team, along with psychology researchers, has reviewed the questionnaire, revised and pruned its items, and produced the preliminary questionnaire with 30 items at last. Moreover, referring to the format of the Likert Scale, the items in the questionnaire are ranked by five levels: in the dimension of needs, they are ranked as strongly unneeded, unneeded, a little needed, needed, and strongly needed; in the dimension of attitude, they are ranked as strongly unacceptable, unacceptable, a little acceptable, acceptable, and strongly acceptable.

2.2 Investigator

The survey team is consisted of 16 investigators distributed in 7 administrative districts in China, and all the investigator have respectively undergone special training in advance.

2.3 Method

Referring to the demographic proportion from the related statistical data of netizens published by CNNIC, the survey team has structuralized the samples to make it convenient for sampling.

2.4 Sample

In this survey, a total of 1653 questionnaires, of which 1588 questionnaires are valid, with a valid return rate of 96.07%, have been collected from more than 20 cities and provinces, such as Beijing, Sichuan, Shandong, Anhui, Hubei, Hunan, Guangdong, Xinjiang, etc.

Table 1. Distribution of survey samples of Chinese netizens' needs for and attitudes to the e-Mental Health Service (N=1588)

Sex		Age Group		Educational Background		Occupation	
Male	749	<20	183	College degree and above	1340	Student	563
Female	836	20-29	1162	Others	246	Teacher	164
Missing	3	30-39	159	Missing	2	Worker	81
		40-49	62			Company employee	353
		50≥	20			Freelance	95
		Missing	2			Staff in public institutions	212
						Unemployed/Laid-off	60
						Worker in farming, forestry, animal husbandry and fishery	42
						Others	13
						Missing	5

Note: Occupation classification refers to demographic data in CNNIC's survey report.

3. Result and Analysis

3.1 Service Institution

Netizens sort the institutions that provide e-Mental Health Services in descending order: "psychological center in schools" (2.98±1.02), "mental health services" (2.81±0.99), "psychiatry or psychological department in hospitals" (2.80±1.06), "departments of epidemic prevention and health care" (2.78±0.97), and "private psychological institution" (2.74±0.98), indicating that for netizens the most recognized one is "psychological center in schools", then is other public service institutions, and the last is private service institutions.

Specifically speaking, "psychological center in schools" is the first choice in all sex groups, under 40 age groups, college degree holders and above, students, teachers, company employees and freelances; "departments of epidemic prevention and health care" is the first choice in above 40 age groups and workers in farming, forestry,

animal husbandry and fishery; and "mental health services" is the first choice of workers and the unemployed/laid-off. Moreover, netizens' second choices are also different: under 30 age groups and above 40 age groups, students, teachers and freelances choose "mental health services"; 30-39 age group and company employees choose "psychiatry or psychological department in hospitals"; the unemployed/laid-off choose "departments of epidemic prevention and health care"; the educational background group with lower degree than college degree and workers in farming, forestry, animal husbandry and fishery choose "psychological center in schools". In the end, "private psychological institution" is the last choice of netizens when they need e-Mental Health Services.

3.2 Service Content

In general, the rank order of netizens' needs for service content (from high to low) is "personal development" (3.38±0.98), "self-management" (3.27±0.94), "interpersonal relationship" (3.26±0.92), "love and marriage" (3.22±0.95), and "children education" (3.14±1.00), indicating that generally Chinese netizens' primary concern is promising personal development followed by effective self-management.

More specifically, firstly, "personal development" is the most desired service content in all sex groups, all educational background groups, under 30 age groups, students, and freelances; "children education" is the most desired in above 30 age groups, teachers, workers, staff in public institutions, and workers in farming, forestry, animal husbandry and fishery; and "self-management" is the most desired for company employees and the unemployed/laid-off. Secondly, the female group, college degree holders and above, below 20 age group and above 30 age group, company employees, the unemployed/laid-off, staff in public institutions, and workers in farming, forestry, animal husbandry and fishery focus more on "self-management", while the male group, 20-29 age group, educational background group with lower degree than college degree, students, and freelances focus more on "interpersonal relationship". Finally, "children education" is the least desired service content in all sex groups, all educational background groups, under 30 age groups, students and company employees; "love and marriage" is the least in 30-39 age group and above 50 age group, workers, freelances, the unemployed/laid-off, and workers in farming, forestry, animal husbandry and fishery; and "interpersonal relationship" is the least in 40-49 age group, teachers and staff in public institutions.

3.3 Service Mode

In general, the rank order of netizens' needs for service modes (from high to low) is "counseling through typing on communication software" (3.02±0.95, hereafter referred to as "typing counseling"), "email counseling" (2.94±0.90), "phonetic counseling on communication software" (2.92±0.93, hereafter referred to as "phonetic counseling"), "counseling through webpage online massage" (2.89±0.93, hereafter referred to as "webpage counseling"), and "video counseling on communication software" (2.65±0.97, hereafter referred to as "video counseling"), showing that netizens might prefer counseling modes which could better hide themselves.

Specifically speaking, "typing counseling" is the most desired mode in all sex groups and educational background groups, under 50 age groups, neitzens with different occupational groups (except for workers in farming, forestry, animal husbandry and fishery); "webpage counseling" is the most desired mode for netizens aged above 50; and "email counseling" is the most desired for workers in farming, forestry, animal husbandry and fishery. As for the second choice of service mode, the female group, 20-29 age group and above 50 age group, college degree holders and above, students, workers, company employees and the unemployed/laid-off choose "email counseling"; the male group, under 20 age group and 30-39 age group, educational background group with lower degree than college degree, teachers, and freelances choose "phonetic counseling"; and 40-49 age group and workers in farming, forestry, animal husbandry and fishery choose "webpage counseling". Besides, netizens' needs for "video counseling" are the least.

3.4 Service Provider

Netizens' needs for service providers include that for professional and non-professional service providers. Overall, with regard to netizens' needs for professional service providers, the rank order (from high to low) is "psychological counselor" (3.11±0.96), "psychological counseling teacher"(3.00±0.98), and "psychiatrist or psychologist"(2.82±1.02). As for the needs for non-professional service providers, netizens' needs for "classmates and friends"(3.46±0.91) and "family members"(3.32±0.99) have obtained relatively higher rank.

More specifically, netizens' needs for non-professional service providers are higher than that for professional service providers in all sex groups, all age groups, and all educational background groups. The differences lie in that above 40 age groups regard "family members" as the first choice, while other age groups choose "classmates and friends" first; and in occupational groups, workers prefer "family members", while other

occupational groups prefer "classmates and friends". In terms of the needs for professional service providers, all sex groups and all educational background groups make "psychological counselor" their first choice and "psychological counseling teacher" the second; under 20 age group and above 50 age group choose "psychological counseling teacher" first, while 20-49 age groups choose "psychological counselor" first; in occupational groups, teachers make "psychological counseling teacher" first, while all the other groups make "psychological counselor" first. Besides, "psychiatrist or psychologist" is the least desired choice in all sex groups, all educational background groups, and all occupational groups.

3.5 Acceptance Attitude

In the dimension of acceptance attitude, netizens' acceptance ranks from high to low: "to learn mental health knowledge through the network" (3.13±0.92), "to do psychological test through the network" (3.09±0.96), "to receive mental health education through the network" (2.96±0.93), "to do psychological counseling through the network" (2.96±0.97), and "to receive psychotherapy through the network" (2.69±0.95), indicating that there is a certain acceptance of various network services in netizens, but not much. "To learn mental health knowledge through the network" and "to do psychological test through the network" are of the highest acceptance in all sex groups, all educational background groups, all occupational groups, and under 50 age group, while "to receive psychotherapy through the network" is of the lowest. And netizens aged 50 and above are most willing to "learn mental health knowledge" and "receive mental health education" through the network, while most unwilling to "to do psychological counseling" through the network.

4. Countermeasure and Suggestion

Based on the analysis of the results of this survey, we put forward following suggestions and countermeasures for e-Mental Health Services:

4.1 Improving Chinese Netizens' Acceptance ATtitude toward E-Mental Health Services through Popular Science Education

According to the frequency statistics on the five sub-items of acceptance attitude, the positive acceptors, who choose "acceptable" or "strongly acceptable", account for 35.2% in "learning mental health knowledge", 27.7% in "receiving mental health education", 28.8% in "receiving psychological counseling", 34.8% in "receiving psychological test", and 19.3% in "receiving psychotherapy". And if counting in potential acceptors who choose "a little acceptable", the proportion of acceptors will climb to 76.6%、68.6%、68%、72.6%和 55.7% respectively. In light of this consideration, there is a need in taking advantage of all available channels to propagandize potential adopters in netizens on mental health knowledge and psychological science, so as to raise their awareness on e-Mental Health Services, turn potential acceptors into positive acceptors, and further lead to a wider use in the e-Mental Health Service. In fact, among the occupational groups, teachers' score is generally higher than other occupations, which fully demonstrates the importance of public education. Teachers get higher scores in all dimensions of needs and their sub-items, among which their needs for professional service providers and service mode are significantly higher than other occupational groups. The reason might lie in two aspects: one is that teachers generally have a better understanding and use of the Internet, which makes them easier to accept electronic services; the other is teachers have received psychology education, so they have a better understanding and acceptance for professional service providers. Therefore, in promoting the development of e-Mental Health Services, netizens' acceptance might be significantly improved through relevant education and guidance.

4.2 Striving to Improve the Service Level of Public Mental Health Services, Like "Psychological Center in Schools", and Expand the Scope of Service

According to the results of this survey, Chinese netizens have more needs for public mental health services, such as "psychological center in schools", "mental health institute", and "departments of epidemic prevention and health care", while a relatively lower need for "private psychological institution". But among 202 active mental health website in this survey, private institutions accounts for 90.2%, psychological institutions in schools only account for 7.4%, medical institutions only 1.5%, and other kind of institutions 1%, showing that there are some contradictions between the reality and netizens' needs, and public institutions needed by more netizens, especially "psychological center in schools", fail to give full play to their functions in e-Mental Health Services. In 2013, a survey of 1553 university websites was conducted in the mainland china, finding that only 50.9% of those websites had been providing e-Mental Health Services, most of which are non-independent sites, with a popularizing rate far below 97.9% of university websites in Taiwan (Wu & Yan, 2008). What's more, most of e-Mental Health Services provided by mainland universities are quite imperfect, with limited service content of providing students popular science and service information and out of bounds for outsiders. Hence, public health

service institutions should improve their e-service mechanism, enrich their service content, extend their coverage in netizens, and meet netizens' needs for e-Mental Health Services.

4.3 Intensifying the Publicity of the Functions of Professional Service Providers and Establishing Interpersonal Support System in Society

In the needs for professional service providers, "psychological counselor" has a higher degree of approval in netizens than "psychiatrist", indicating that the title of "psychological counselor" has been recognized in society over the years. And mental health services and psychiatry departments or psychological department in hospitals should strengthen the propaganda in society and undertake more public-spirited activity, so as to popularize mental health knowledge and improve netizens' understanding and acceptance for psychiatrists. Moreover, since netizens still have greater dependence on nonprofessional service providers and many studies have revealed that Chinese netizens have a characteristic of social orientation in the choice of e-Mental Health Services (Huang et al., 2007; Luo, 2010), it is necessary to intensify the publicity of the functions of professional service providers, so as to let netizens know that, confronted with mental problems they should turn to professional service providers who could maintain and promote their mental health in many respects.

4.4 Showing Respect for the Concept of Privacy for the Chinese and Gradually Evolving Service Modes

This survey reveals that, as for the service modes, netizens prefer the non-video modes. The most criticized deficiency of Internet-based psychological consulting is the lack of non-verbal information support during the counseling, which makes counselors difficult to learn the real situation of their clients (Hsiung, 2001). Therefore most psychological counselors advocate audio/video counseling as a substitute mode of face-to-face counseling. However, perhaps due to the Oriental concept of privacy the mode of audio/video counseling has a relatively low degree of approval in netizens. The survey shows that 65.9% of netizens hope to counsel anonymously, 6.5% take no account of anonymity; 42.1% of netizens are worried about online psychological counselors' leaking information, 12.3% take no account of this issue; 21.3% of netizens regard online mental health institutions as trustable, 15.8% regard them as un-trustable. This problem could be solved from three aspects: one is to intensify the publicity and guidance for the public to eliminate the misunderstanding of psychological counseling; another one is to provide netizens various modes of counseling to allow them to find the most effective mode gradually by themselves; the third one is to strengthen the regulation of online mental health counseling, improve professional quality of online counselors, so as to establish a positive image for winning netizens' recognition.

4.5 Taking Fully into Account of the Differences in Needs to Provide More Pertinent and Targeted E-Services

The significant differences in demographic variables of Chinese netizen' various needs for services have provided an important basis for more pertinent and targeted e-services. It is worth mentioning here that the difference between the e-service and traditional services is the e-service could provide a certain amount of intellectualized services. For example, the e-service can provide mental health hospitalization guidance services, Information Push Services, Frequently Asked Questions, and other kind of services based on netizens' gender, age, educational background, and occupation. Moreover, the e-service is conducive to the management and sharing of online clients' data. And the basis of these intellectualized services and management lies in the significant differences in demographic variables.

4.6 Paying Attention to the Mental Health of Netizen Groups as the Unemployed/Laid-Off, Workers in Farming, Forestry, Animal Husbandry and Fishery, etc. and Taking the Service Strategy of Positive Intervention to Raise Their Awareness of Mental Health

It has been showed in some survey that there is a lack of the service awareness of mental health in migrant workers (Li et al., 2011), and the results of this survey also back that conclusion. Meanwhile, this survey reveals that the unemployed/laid-off netizens lack the service awareness of mental health as well. Hence it is recommended that for groups lacking mental health awareness subjectively compulsory counseling and assistance should be given in accordance with external intervention strategy.

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The Effect of Psychosocial Work Environment on Psychological Strain among Banking Employees in Malaysia

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Abstract

This study was conducted to examine the psychosocial work environment dimensions as predictors of psychological strain among bank employees specifically bank tellers. The restructuring of financial institutions exposed banking employees to stressful conditions such as unfeasible sales target, lower salaries, high workload and job insecurity. These conditions lead to adverse health outcomes. The researcher integrated the effort-reward imbalance model and the organizational justice model as the psychosocial work environment dimensions that represent the stressful working condition. Thus, these dimensions were hypothesized to affect psychological strain in terms of anxiety, depression and social dysfunction. The data was collected quantitatively by distributing questionnaires to employees in a Malaysian domestic bank. A total number of 306 respondents participated in this study. The data was analysed by performing structural equation modeling using AMOS 22. The finding indicates that effort, reward, overcommitment, procedural justice and interactional justice significantly affect psychological strain. Only effort-reward ratio was not significant in predicting psychological strain. These findings added the empirical evidence in the stress-strain literature that involves psychosocial work environment specifically among banking employees in Malaysian context.

Keywords: effort-reward imbalance, organizational justice, psychological strain

1. Introduction

Banking is one of the sectors that have undergone major growth due to globalization. This is unexceptional in Malaysia where the banking institutions have to cope with technological advancement, managerial changes and global competition (Ang *et al*., 2014). The growth and advancement in banking including automated teller machine (ATM) usage, retail banking, online banking, debit and credit cards, inter-bank and intra-bank transfer, insurance policies, loans and trust funds. The changing of working environment by implementing new technology and new procedure lead to work-related stress among banking employees. As frontline employees, bank tellers have to deal with the changes in their working environment as well as confronting the customers. Furthermore, the current banking structure requires bank tellers to possess new skills such as selling and marketing skills to attract the customers (Khoo, 2012). They experienced intense work stress which will then lead to various negative outcomes including job dissatisfaction, poor work performances (Spector, 2007; Siti Aisyah Panatik, 2010).

This research intends to study the contributing factors of psychological strain among bank tellers in terms of their psychosocial work environment. Psychological strain refers to the psychological reaction caused by long exposure to work stress (Francis & Barling, 2005). There are several theories that explain the effect of psychosocial work environment on psychological strain such as job demand-control model (Karasek, 1979), job demand-resources model (Bakker & Demerouti, 2007), and effort-reward imbalance model (Siegrist et al., 1996). The present research utilizes the effort-reward imbalance (ERI) model and the organizational justice model to extract the elements of stressful psychosocial work environment that predicts psychological strain. The ERI model posits that the reward received at work should be adequate with the effort spent by the employees (Karasek, 1979). The perception of inadequacy between the contributed effort and the gained reward resulted in the employees' psychological strain. Organizational justice refers to the extent to which employee perceive the organization is being fair to them (Niehoff & Moorman, 1993). The unfairness in the workplace has been considered as one types of psychosocial work environment that cause psychological strain (O'Driscoll et al.,

2010). Thus, the objective of this research is to investigate the effect of psychosocial work environment (i.e. effort-reward imbalance and organizational justice on psychological strain).

The integration of the effort-reward imbalance model and the organizational justice model as predictor variables in this research captures a wider range of social context in the working environment. The ERI model covers the work contract that exists between the employers and their employees (Siegrist, 2009). The inequity of effort contributed by the employees and reward given by the employers violates the psychological contract between both parties. The reward distribution proposed by the ERI model also encompasses the job security aspect which is considered an important issue in the current working environment. In addition to the ERI model, the organizational justice model is related to organizational procedure in dealing with the employees. The organizational procedure refers to the perceived quality of managerial process and interpersonal relationship in the organization (Loi et al., 2011). Previously, the ERI and organizational injustice models were studied separately in most research. In a research by Kivimaki et al. (2007), the combination of these two stressors is found to cause greater health outcomes compared to the ERI or organizational injustice models alone. Therefore, the present research integrates the ERI model and organizational justice model to examine the effect of both models on psychological strain among the employees. The findings from the integration of ERI and organizational justice will help to design appropriate intervention strategies to improve employees' psychological strain.

2. Literature Review

2.1 Effort-reward Imbalance Model

Effort-reward imbalance is one of the models that explain psychosocial work environment leads to adverse employee's health outcomes. This model was introduced by Siegrist et al. (1996) based on reciprocity concept of social exchange theory. The ERI model postulates that effort spent by the employees at work should be exchanged with adequate rewards. A failed reciprocity between high effort spent and low reward received will then lead to negative effect on employee's health and well-being. There are three components of the ERI model which effort, reward and overcommitment. Effort-reward imbalance model posited three hypotheses involving the three components. The hypotheses are as follow:

i. Extrinsic hypothesis- The imbalance between high effort and low reward (i.e. effort-reward ratio) has a greater effect on employees' health and well-being as compared to individual effect of effort and reward component.

ii. Intrinsic hypothesis- Overcommitment impairs employees' health and well-being without considering the effort-reward condition.

iii. Interaction hypothesis- The interaction between effort-reward mismatch and overcommitment increase the negative effect on health and well-being.

Effort

The concept of effort is related to the demanding aspects of work such as responsibilities, obligations, datelines and work interruptions (Kinman & Jones, 2008; Van Vegchel et al., 2005). Effort is spent by an employee to accomplish the required tasks at work. Therefore, effort is concerned with the concept of job demand that has been proposed by Karasek (1979). Job demands refers to those physical, psychological, social or organisational aspects of the job that require sustained physical or psychological (cognitive and emotional) effort and are therefore associated with certain physiological and psychological costs. Since effort is always refer to the situational aspects of work (i.e. responsibilities, obligations, datelines and work interruptions), it is often known as the extrinsic effort (Siegrist, 1999).

Van Vegchel and colleagues (2001) have classified effort into three categories namely psychological demand, emotional demand and physical demand. Psychological demand usually deals with employee's mental determination in completing the job such as working under time pressure and facing job complexity. Emotional demand is closely related to the affective aspect of job demand. For example, the job requires the employee to have high emotional quotient such as in confronting clients with counter-productive behaviour. Physical demand refers to job that involves physical burden and activities such as carrying heavy loads and prolonged awkward position. Siegrist and colleagues (2004) has suggested physical workload is only suitable for the occupational groups where physical workloads one of their typical task.

Reward

Reward is the organizational gratification that an employee gained after giving contribution to the organization.

There are two types of rewards in the organization namely tangible and intangible reward. The examples of tangible reward are salary increases and job promotion while the intangible rewards can be seen through an employee's satisfaction of being treated by the employer. Reward is one of the important aspects to maintain a healthy workplace. Grawitch and colleagues (2007) has highlighted five sets of healthy workplace practices including employee recognition programs and policies that provide monetary rewards such as compensation and bonuses, the celebration of milestones within the organization and nonmonetary rewards such as award giving.

In the ERI model, reward is categorized into three types which are esteem reward, financial reward and promotion or security prospect (Siegrist et al., 2004). Esteem reward involves the recognition and approval from the superior and colleagues. Financial reward is related to financial gain received by the employee such as salary, bonuses and compensation. Promotion or security prospect types of reward refer to the security to stay working in the current job condition and the probability for job advancement and development by being promoted to higher level of job.

Effort-reward Ratio

Effort-reward ratio is measured by combining the two dimensions of the ERI model which are effort and reward construct. This is the central proposition of the ERI model where the ERI model posits that imbalance of the effort-reward ratio will lead to negative outcomes at work specifically psychological strain (Siegrist et al., 1996). The effect of effort-reward imbalance on strain in the ERI model is also known as the extrinsic ERI hypothesis.

In the earlier development of ERI, research investigated the impact of high effort-low reward condition on employees' physical health mainly cardiovascular disease (Allisey, 2012; Siegrist, 1996). Other physical consequences of ERI are cellular immunity (Nakata et al., 2011) and obesity (Inoue et al., 2010). The existence of ERI is also found to significantly predict psychological outcomes at work. Among these outcomes are anxiety, depressive symptom, perceived stress and mild mental disorder symptoms (Van Vegchel et al., 2005).

Overcommitment

Siegrist (1999) introduced overcommitment as an intrinsic or personal component that influences the perception of both effort and reward. Overcommitment has been defined as "a set of attitudes, behaviours and emotion that reflect excessive striving in combination with a strong desire to be approved of and esteemed" (Siegrist, 2001, p. 55). Overcommitted employees exaggerate their effort beyond what is needed in order to gain rewards. In the ERI model, overcommitment functions as a moderator between high effort and low reward with strain. Overcommitment is considered as a cognitive-motivational pattern of maladaptive coping with high job demand which prevents the employee to withdraw from work and obligations (Siegrist et al., 2004).

2.2 Organizational Justice

Another psychosocial determinant of employee health is organizational justice. Organizational justice refers to the extent to which employee perceive the organization is being fair to them. According to justice theory, an unfair treatment towards members leads to counter-productive behaviours in a group, including in an organization (Kenny & McIntyre, 2005). This research utilized two types of organizational justice namely procedural justice and interactional justice.

Procedural Justice

Procedural justice is defined as the perceived fairness of the process leading to certain decision or distribution of outcomes, despite the results of the distribution (Spector, 2007). This type of justice was introduced by Thibaut & Walker (1975) referring to voice or control an individual have in decision-making process. Leventhal (1976) has identified eight criteria that contribute to employees' perception of a decision process. The criteria are consistency across time, consistency across persons, neutrality, accuracy, correctability, representativeness, morality and ethicality. Later, Colquitt (2001) pointed out seven criteria which are process control, decision control, consistent, free of bias, accuracy, correctibility and ethicality.

Procedural justice theory has been widely applied to the workplace, with research finding that employees place great value on procedural justice (Lind & Tyler, 1988; Tyler et al., 1997). Without fairness in the procedure executed by the organization, employee will feel threaten. This will then lead to the adverse effects towards the employee's health and work outcomes such as organizational commitment (Aizzat Mohd. Nasurdin & Zainal Ariffin Ahmad, 2001). In addition, procedural justice is not truly instrumental whereby an employee will look forward a fair procedure even when procedure does not affect the outcomes (Lind et al., 1990; Tyler et al., 1997).

Interactional Justice

Organizational justice researchers developed the notion of interactional justice, defined as the quality of

interpersonal treatment received during the enactment of organizational procedures (Bies & Moag, 1986). In general, interactional justice reflects concerns about the fairness of the non-procedurally dictated aspects of interaction; however, research has identified two subcategories of interactional justice: informational justice and interpersonal justice (Folger & Cropanzano, 1998). These two subcategories of informational and interpersonal justice overlap considerably; however, research suggests that they should be considered separately, as each has differential effects on justice perceptions (Colquitt, 2001; Colquitt *et al*., 2001). Interactional justice includes various actions displaying social sensitivity, such as when supervisors treat employees with respect and dignity.

2.3 Conceptual Framework

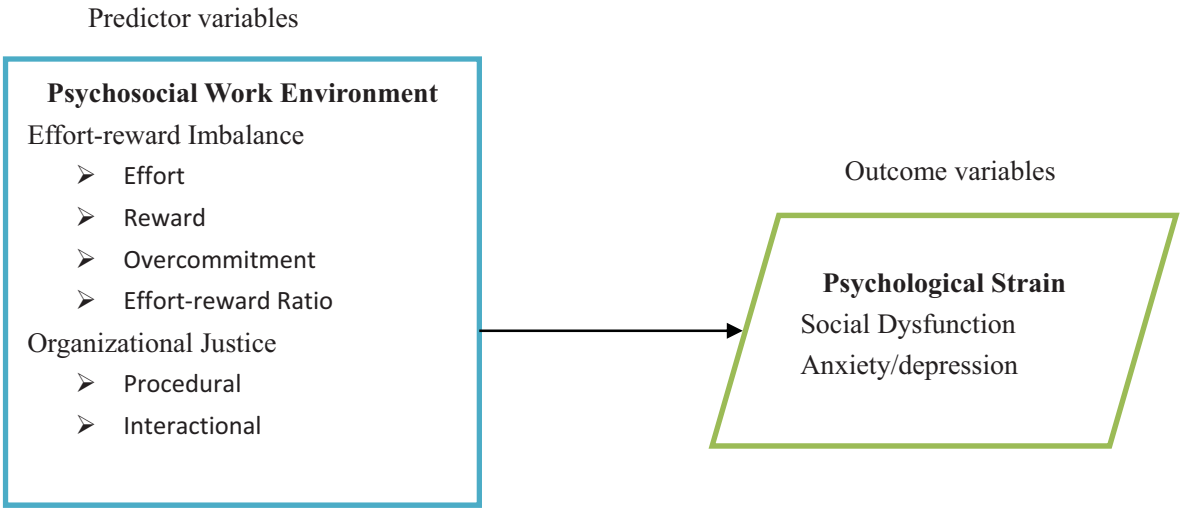

Figure 1. Conceptual Framework

Figure 1 illustrated the conceptual framework of the current research. The predictor in this research is psychosocial work environment elements that have been postulated in the effort-reward imbalance (ERI) model and organizational justice model. The psychosocial working environments in these models are related to the individual, collective and organizational aspects of the occupational activity. In particular, they include work contract and organizational procedure. The inequity between effort and reward as postulated by the ERI model is related to work contract that exist between the employers and their employees. Meanwhile, procedural justice and interactional justice from the organizational justice model are associated with organizational procedure which involves fair treatment towards an individual employee. Aside from job-related elements specificly effort and reward, the integration of the individual elements from the ERI model (i.e. overcommitment) and social elements from organizational justice model draws a comprehensive model of psychosocial work environment model. Both ERI model and organizational model proposed that the aspects of psychosocial work environment lead to emotional distress or psychological strain. According to the cognitive theory by Lazarus (1991), cognitive evaluation of an experienced stressor precedes negative emotional response. Thus, psychological strain is predicted as the result from cognitive appraisal of stressful psychosocial work environment. In sum, this research hypothesizes that psychosocial work environment (i.e. effort, reward, effort-reward ratio, overcommitment, procedural justice, interactional justice) will affect psychological strain.

3. Methodoloogy

3.1 Sample and Procedure

This research employed quantitative data collection method by distributing a set of questionnaires. The research population involved bank tellers in a local-based bank in Malaysia. This research utilized simple random sampling method. A total of 306 respondents answered the questionnaires.

3.2 Research Instrument

Effort-reward Imbalance Questionnaire - This research applied the short-version of Effort-reward Imbalance Questionnaire (Siegrist, 2004) to measure the components of effort-reward imbalance. This short version consists of 16 items. All of the items showed high realibility with Alpha Cronbach values for effort, reward, and overcommitment were 0.91, 0.93 and 0.91 respectively. The effort-reward ratio was calculated by placing the

effort score in the numerator and the reward score in the denominator. The reward score was multiplied by a correction factor of 0.43 because of an unequal number of items in the numerator and denominator (6/11). A value close to zero indicates a favourable condition (relatively low effort, relatively high reward), whereas values beyond 1.0 indicate a critical condition of high costs (efforts) and low gain (rewards). The result of confirmatory factor analysis showed that the effort-reward imbalance was a three-factor model incorporating effort, reward and overcommitment with acceptable model fit (X2=286.03, X2/df= 2.98, RMR=0.07, RMSEA= 0.08, CFI= 0.95, GFI= 0.89, AIC= 366.03, CAIC=554.98). The factor loading of each items ranged from 0.66 to 0.94.

Organizational Justice Scale – The researchers utilized Organizational Justice Scale by Neihoff and Moorman (1993) to measure both procedural justice and interactional justice. This instrument comprises of consists of seven items that measure procedural justice and six items that measure interactional justice. The Alpha Cronbach value for procedural justice was 0.94 while the Alpha Conbach value for interactional justice was 0.98. The result of confirmatory factor analysis showed that the two-factor model of organizational justice incorporating procedural justice and interactional justice factors with acceptable model fit (X2=247.63, X2/df=2.91, RMR=0.05, RMSEA= 0.08, CFI= 0.97, GFI= 0.91, AIC= 317.63, CAIC=482.96). The range of the items factor loading was 0.72 to 0.95.

General Health Questionnaire-12 – This research measured psychological strain using the 12 items General Health Questionnaire by Goldberg and Huxley (1988). Psychological strain was divided into two namely anxiety/depression and social dysfunction as resulted from the confirmatory factor analysis. After conducting the factor analysis, the two-factor model yielded a good fit (X2=135.46, X2/df=2.88, RMR=0.05, RMSEA= 0.08, CFI= 0.98, GFI= 0.93, AIC= 197.46, CAIC=343.89). All of the items were highly represented the two factors of anxiety/depression and social dysfuction with factor loading ranging from 0.81 to 0.95. In terms of reliability, the Alpha Cronbach value for anxiety/depression and social dysfuction were both 0.96.

3.3 Data Analysis

Structural Equation Modelling (SEM) by AMOS 18 was used to test the main effects between variables. Specifically, the latent analysis in SEM was utilized to test the main effect of psychosocial work environment dimension on psychological strain.

4. Results

4.1 Demografic Profile

In terms of the demographic profile of the respondents 49.3% were male while 50.7% were female. The ages ranged from 22-39 years (mean = 30.5, SD = 3.8). Most of the respondents were Muslim (92.8%), followed by, Hindu (3.3%), Buddha (2.6%) and Christian (1.3%). Their marital status showed that 74.5% of them were married, 24.2% of them were single and 1.3% of them were divorced. In terms of education, 23.2% of them obtained SPM, 42.8% STPM, 32.7% diploma, and 1.3% bachelor degree. Most of the respondents recorded job tenure more than five years (66.0%), followed by three to five years tenure (16.3%), one to three years tenure (14.4%), and less than 1 year tenure (3.3%). In terms of salary, most of them received salary that ranged from RM2000 to RM2999 (66.7%) and followed by RM1000 to RM1999 (33.3).

4.2 Descriptive and Correlational Analysis

Table 1 demonstrates the mean, standard deviation and inter-correlation among the studied variables. Overall, the results reported moderate levels of effort, reward, overcommitment, procedural justice, interactional justice and anxiety/depression with the mean value ranged between 2.71 to 3.08. Only the level of social dysfunction was found low with mean value of 2.91 (considered low for a six-scale measure). The standard deviation value for all variables ranged from 0.80 to 1.35.

The correlation among the ERI components reported high correlation. Effort-reward ratio showed the strongest correlation with reward ($r=0.831$, $p<0.01$). Procedural justice and interactional justice correlate moderately with each other. All of the psychosocial work environment dimensions moderately correlate with both anxiety/depression and social dysfunction. Overall, all the study variables correlated with each other in the expected direction.

Table 1. Mean, Standard Deviation and Intercorrelation between the Study Variables (N=306)

Variables	Mean	SD	1	2	3	4	5	6	7	8
1 Effort	2.99	1.01	-							
2 Reward	2.67	0.94	-.602**	-						
3 Effort-reward Ratio	1.43	0.89	.740**	-.831**	-					
4 Overcommitment	3.04	0.80	.742**	-.553**	.586**	-				
5 Procedural Justice	2.71	0.79	-.451**	.568**	-.549**	-.393**	-			
6 Interactional Justice	3.08	0.89	-.437**	.603**	-.541**	-.414**	.603**	-		
7 Anxiety/depression	3.07	1.35	.662**	-.634**	.588**	.676**	-.416**	-.568**	-	
8 Social Dysfunction	2.91	1.11	.513**	-.617**	.558**	.503**	-.508**	-.535**	.709**	-

*Note***Significant at $p < 0.01$

4.3 The Effect of Psychosocial Work Environment on Psychological Strain

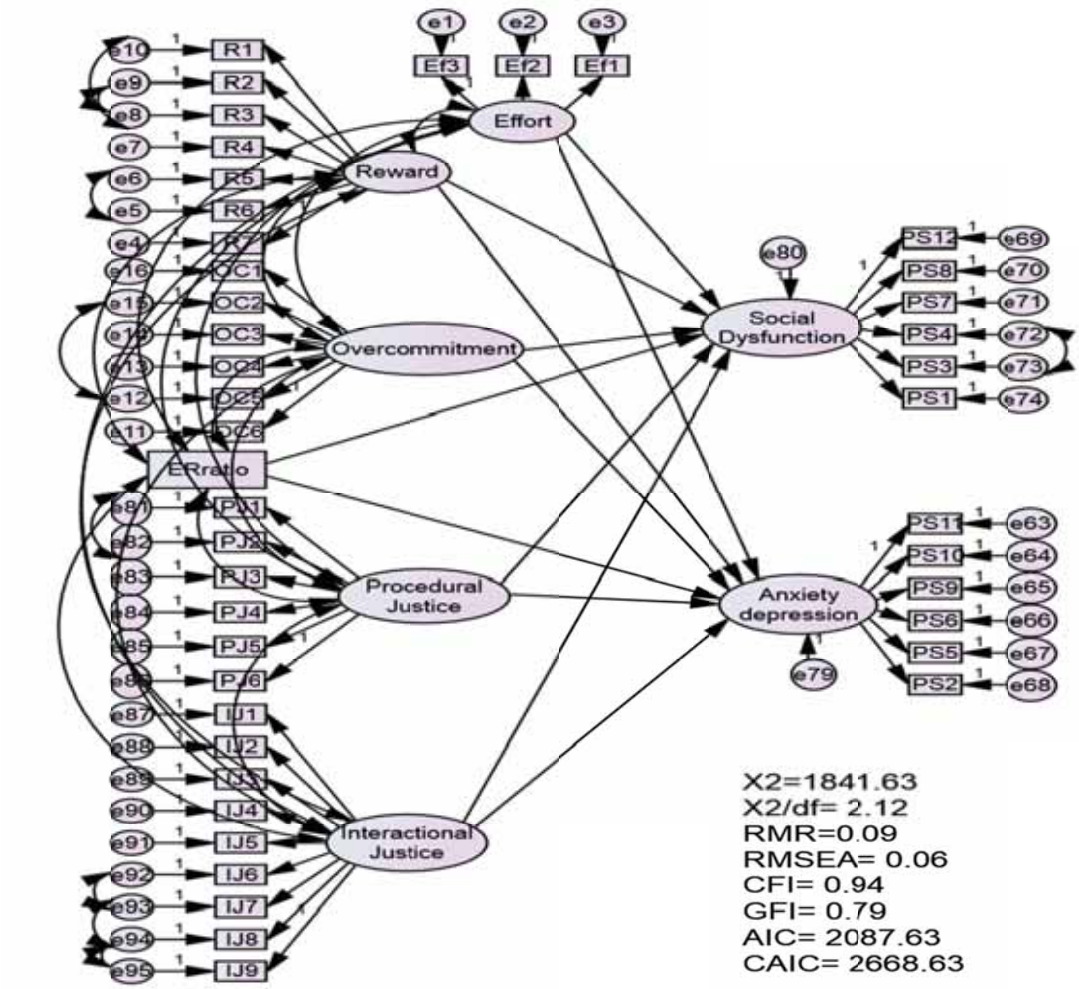

Figure 2. Structural model for the direct effect between psychosocial work environment and psychological strain

Figure 2 illustrates the structural models for the direct effects of psychosocial work environment dimensions (i.e. effort, reward, effort-reward ratio, overcommitment, procedural justice and interactional justice) on anxiety/depression and social dysfunction. All of the items showed acceptable factor loading ranging from

0.66-0.95. The model yielded an acceptable fit with X2=1841.63, X2/df= 2.12, RMR=0.09, RMSEA= 0.06, CFI= 0.94, GFI= 0.79, AIC= 2087.63, CAIC= 2668.63

Table 2 summarizes the effects of psychosocial work environment dimensions on psychological strain. The results revealed several significant findings. First, overall, psychosocial work environment contributed 55.3% towards anxiety/depression and 41.7% towards social dysfunction. Second, effort and effort-reward ratio were only significant to positively affect anxiety/depression but not significant on social dysfunction. Thus, higher level of effort and effort-reward ratio increases the level of anxiety/depression. Third, reward, procedural justice and interactional justice showed significant negative effects on both anxiety/depression and social dysfunction. Hence, higher level of reward, procedural justice and interactional justice decrease the level of anxiety/depression and social dysfunction. Fourth, overcommitment was found to positively affected anxiety/depression and social dysfunction. Therefore, the employees with higher level of overcommitment suffer greater anxiety/depression and social dysfunction. In sum, the results partially supported the research hypothesis where only several dimensions of psychosocial work environment affected the two dimensions of psychological strain.

Table 2. Effects of psychosocial work environment dimensions on psychological strain

Structural Path	B	S.E.	C.R.	R^2
Effort →Anxiety/Depression	.289**	.133	3.319	.553
Reward →Anxiety/Depression	.-.259**	.131	.-2.749	
Effort/reward Ratio → Anxiety/Depression	-.179*	.173	-1.655	
Overcommitment →Anxiety/Depression	.288**	.116	4.161	
Procedural Justice → Anxiety/Depression	-.058	.086	.946	
Interactional Justice →Anxiety/Depression	-.291**	.080	-5.122	
Effort →Social Depression	.100	.120	1.051	.417
Reward → Social Depression	-.260**	.120	-2.494	
Effort/reward Ratio → Social Depression	-.036	.158	-.299	
Overcommitment→ Social Depression	.157*	.104	2.096	
Procedural Justice → Social Depression	-.138*	.079	-2.251	
Interactional Justice → Social Depression	-.202**	.072	-3.232	

5. Discussion and Conclusion

The aim of this study is to investigate the effect of psychosocial work environment on psychological strain by investigating the effort-reward imbalance and organizational justice components. The findings indicated that effort-reward imbalance and organizational justice components exhibits significant effect on employees' psychological strain. These significant effects supported that psychological strain are predicted by a wider range of social context rather than focusing only on the give and gain reciprocity experienced by the employees. The effect of ERI model and organizational justice model complement each other as the predictors of strain (Kivimaki et al., 2007).

The extrinsic hypothesis of the ERI model was not fully supported in this study since the effect of effort-reward ratio was only significant on anxiety/depression but not on social dysfunction. This finding suggested that the adequacy of organizational reward for the effort spent at work is not necessarily important to employees. A plausible explanation for this is the employees might posses a high level of a certain characteristics that could reduce the effect of effort-reward imbalance on health and well-being such as self-reliance and self-efficacy (Siegrist, 2002). In addition, the individual effect of reward on psychological strain indicated that sufficient reward itself is vital to prevent unhealthy outcomes whether the effort was highly spent or not. This might be due to the present economic condition that comprehends the soaring of living costs, the power of social recognition and the limited job opportunity. .

Furthermore, effort individually showed a significant positive effect on anxiety/depression but not on social dysfunction. This finding can be supported by the research conducted by Siti Aisyah Panatik (2010) which found

job demand significantly affected anxiety/depression but not social dysfunction. The concept of effort is similar to job demand characteristic in the Job Demand Control Model where effort represented the demanding aspects of work such as time pressure and workload. Due to banking restructuring nowadays, employees have another role as customer service representative. Instead of just performing traditional clerical work in the bank branch, they also have to contribute with the sales of the banking products such as insurance policy and trust funds (Khoo, 2012).

The finding of overcommitment that significantly contributed to anxiety/depression and social dysfuction supported the intrinsic hypothesis of the ERI model. The intrinsic of ERI model proposed overcommitment as a personal characteristic that directly affected health and well-being (Siegrist, 2001). Overcommitment represents the need for control over the environment (Siegrist, 1999). The inclusion of overcommitment distinguish ERI model from othe psychosocial work environment measures. In working context, employees with high overcommitment tend to exaggerate their effort even when they are not on the job (Siegrist, 2001). The failure to withdraw from work by overcommitted employees resulted in adverse physical and psychological health whether (Silva & Barreto, 2010; Preckel et al., 2007; Tsutsumi & Kawakami, 2004).

The significant effects of both organizational components on anxiety/depression and social dysfunction corroborated previous research findings. Employees who were exposed to organizational injustice reported higher level of psychological strain (Francis & Barling, 2005). Since strain is the reaction of stress, organizational justice might affect psychological strain through prolonged stress (Elovainio et al., 2013). This finding is relevant to the literature on the effects of organizational justice on mental health. Low procedural justice and low interactional justice was found to be associated with major depressive episodes (Inoue *et al*., 2013) and absences due to mental sickness (Elovainio et al., 2013)

The strength of this research is the integration of the ERI model and organizational justice model to predict psychological strain. ERI components incorporated with procedural and interactional justice provide a wider picture of psychosocial work environment. These components cover the social contract between the bank and the employees, the management procedure, the superior-teller interaction as well as individual difference which potentially risks tellers' strain. The limitation of this study is the cross-sectional research design whereby the researcher could not investigate the long term effect of the predictors on psychological strain. Future research should explore more psychosocial work environment components that might affect employee's health and well-being. Besides that, future researcher may conduct longitudinal or mixed method research on the same topic to obtain a more in-depth finding. In conclusion, this study provides insight on the psychological work environment research that investigates ERI and organizational justice components as risk factors of psychological strain; specifically among bank employees in Malaysian setting.

In conclusion, this research revealed the role of psychosocial work environment as the predictor to employees' psychological strain. The integration of the ERI model and organizational model represent a broader range of psychosocial factors in the organization. Additional research is needed to support the current research findings in other sectors as well as to study other psychosocial factors as potential predictors of psychological strain.

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What Did Kuwait Learn from Its Participation in TIMSS Study? An Exploratory Case Study from Senior Supervisors' Perspectives

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Abstract

The low performance of The Trends of Mathematics and Science Study (TIMSS) results were investigated in depth through interviews with math and science supervisors from the Ministry of Education in Kuwait. A qualitative approach was employed to consider the factors that may affect TIMSS results in the past and understand the reasons of TIMSS results. The outcome of this study was limited to the perspectives of science and math supervisors who participated or worked in the TIMSS study. Their participation in TIMSS was positive even if the results of the study were not because it helped initiate reform in curriculum, assessment, and quality of teaching. However, the participants expressed concerns and variables that need to be aware of in order to perform better not only in TIMSS but also in science and math education in general.

Keywords: TIMSS, supervisors, reform

1. Introduction

The Trends of Mathematics and Science Study (TIMSS) is part of a series of studies by The International Association for the Evaluation of Educational Achievement (IEA). TMISS study is a worldwide research project that takes place every four years. It began in 1995, when fourth and eighth grades were tested (Mullis, Martin, Gonzalez, & Chrostowski, 2004).

Kuwait, like many other countries, joined the TIMSS study based on a recommendation from the World Bank in 1995 (Wiseman, Alromi, & Alshumrani, 2014). The World Bank advised the stakeholders at The Ministry of Education (MOE) to participate, as the reform process took place in the education system of Kuwait (Winokur, 2014; Wiseman, Alromi, & Alshumrani, 2014). There were many reasons to participate: the structure of TIMSS helps in providing data about trends in mathematics and science achievement over time; it assesses the knowledge and skills around the world; and it allows researchers to collect extensive background information about the quantity, quality; and content of teaching (Mullis et al., 2004). It also provides international benchmarks that may assist policy makers in identifying the comparative strengths and weaknesses of their educational system. Therefore, the findings from TIMSS can be used

- to inform education policy about their status compared to other countries;
- to improve teaching and learning in mathematics and science for pupils;
- to develop and improve the educational system's capacity to engage in national strategies for educational monitoring and improvement; and finally,
- as a stimulus factor for more reforming processes to improve education (Mullis et al., 2004).

Based on advice from the World Bank, stakeholders at the MOE wanted to explore the performances of their students in both math and science in TIMSS, but the results were not keen nor enthusiastic. Kuwait participated in the study in 1995, 2007, and 2011. Unfortunately, the scores were below average every time Kuwait participated. Consequently, massive reform calls and plans took place in the MOE with regards to curriculum, assessments, and other development plans (Alqabas Newspaper, 2013; Wiseman, Alromi, & Alshumrani, 2014).

The results of TIMSS were discussed as top topics in the media, in the news, at educational conferences, in schools, and in colleges (Alqabas Newspaper, 2013; Wiseman, Alromi, & Alshumrani, 2014). The aim of this

study was to investigate the case of TIMSS from the perspective of supervisors. The reason for selecting supervisors was because of their role at MOE in general and their role in TIMSS specifically. Supervisors in Kuwait look over teachers, schools, curricula and assessments. Yet the supervisors were in charge of and involved in many activities during TIMSS (Alkandari 2006, MOE, 2009; National Report of Kuwait, 2008). They were responsible for writing the report, establishing awareness, and grading the tests. Therefore, instead of focusing on participants such as teachers, parents, and their students, we wanted to know the role of the mediator or the facilitators in TIMSS. Our goal and the outcome from this paper was to investigate, in depth, the reason Kuwait is at the bottom of the list in TIMSS in both math and science.

Thus, our research question was, "Among all of the years of participation in TIMSS, why do students still achieve low scores compared to other countries?" This study explores and investigates the problem from supervisors' perspectives.

2. Literature Review

2.1 The Structure of TIMSS

The structure of TIMSS not only looks into the performance of the students in the test but also investigates the surrounding factors that may affect their performance in the tests (Mullis et al., 2004; Mullis, Martin, Foy, & Arora, 2012). The contextual framework and background questionnaires of TIMSS consider the relationship between student's achievements based on certain factors. Therefore, TIMSS examines these factors: curriculum and benchmarks, schools, teachers and their preparations, classroom activities, and students. The data are collected through surveys given to school leaders, teachers, parents, and their students.

The first factor in the TIMSS contextual framework, the development of curriculum, takes into account the viewpoint of society: which role the education system serves, students' needs, and what is important to be taught (Mullis et al., 2012). Next, TIMSS views school as an institution that serves in implementing the goals of the curriculum by focusing on certain indictors (Mullis et al., 2012).

Next, TIMSS also look for indicators regard the quality of school such as "organization of the school; school goals; roles of the school principal; resources to support mathematics and science learning; parental involvement; and a disciplined school environment." (Mullis, Martin, Ruddock, O'Sullivan, & Preuschoff, 2009, pp. 9-14). The third factor in TIMSS, and the primary one, was the teacher. The TIMSS study views teachers as the agents that implement the curriculum, and their practices in the class affect student learning (Mullis et al., 2012). Thus, TIMSS focuses on certain issues regarding teachers' qualifications: teachers' preparation programs; hiring and recruitment, including certifications, induction, and professional development; and teaching styles and assignments (Mullis et al., 2009). In addition to teacher practices, classroom activities are also considered; such as how much of the curriculum is being implemented in class and which educational approaches are being used. Finally, the TIMSS study examines students and their backgrounds, their attitudes towards learning, and their performance in math and science (Mullis et al., 2009). The TIMSS study values all of the previous factors by using sets of questionnaires for each party and an assessment tool, using multiple-choice and short answer questions, to examine students' performances in math and science.

2.2 TIMSS Study in Kuwait

Kuwait has invested considerable amounts of its oil wealth into developing education (National Report of Kuwait, 2008). The proportion of spending on education in Kuwait was 14.8% of the gross domestic product in 2012. However, despite the educational efforts and significant financial investments made by the MOE, the quality of education is still questionable and concerns different stakeholders due to the modest results in different global studies such as TIMSS and PIRLS (National Institute of Education, Singapore [NIE] Report, 2013; Wiseman, Alromi, & Alshumrani, 2014). These results pushed for more reform in the education system, with a focus on the quality of the system. There are numerous challenges to face, from managing the system to developing, improving, and reforming it. Participation in TIMSS came across the MOE plans while they were establishing reforming in the system with cooperation from The World Bank (Wiseman, Alromi, & Alshumrani, 2014; NIE Report, 2014). In 1994, 2007, and 2011, the MOE was responsible for conducting the TIMSS study. The MOE formed committees of specialists with the collaboration of professors from Kuwait University, The Public Authority for Applied Education and Training, and supervisors (National Center for Educational Development [NCED], n.d.; Wiseman, Alromi, & Alshumrani, 2014). The upcoming TIMSS in 2015 will be under the supervision of NCED, with the cooperation of MOE from the supervisory department, Kuwait University, and The Public Authority for Applied Education and Training (NCED, n.d.). Currently, NCED is working on establishing awareness in the field and among the community, including parents and students (NCED, n. d.).

During the past few years, after participating in the TIMSS study, MOE's efforts have focused on improving the quality of education (Wiseman, Alromi, & Alshumrani, 2014; NIE Report, 2013; NCED, n.d.). Among the countries that participated in TIMSS in 2011, Kuwaiti students in Grade 4 have scored lower than most. According to the results of the TIMSS study, announced in 2012, Kuwait ranked 48 out of 342 (IEA, n.d.; NIE Report, 2014). By choosing the top three countries of the performance, Figure 1 shows the overall result of the State of Kuwait in 2011 among the top six countries in the world.

A regional comparison was not fulfilling either. By using 10 selected countries in the region, as shown in Figure 2, Bahrain in first place at 436, and Kuwait in eighth place, ahead of Morocco and Yemen.

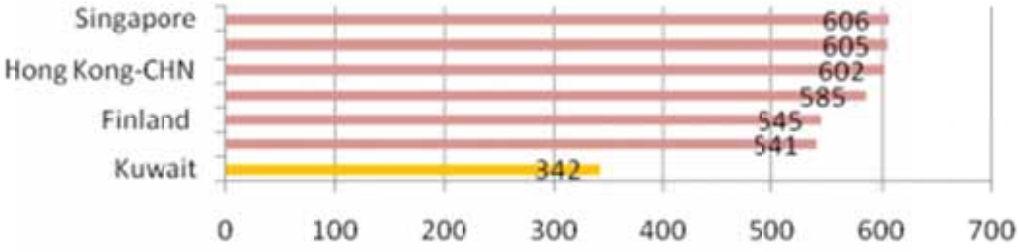

Figure 1. TIMSS 2011 results for grade 4 for seven selected countries

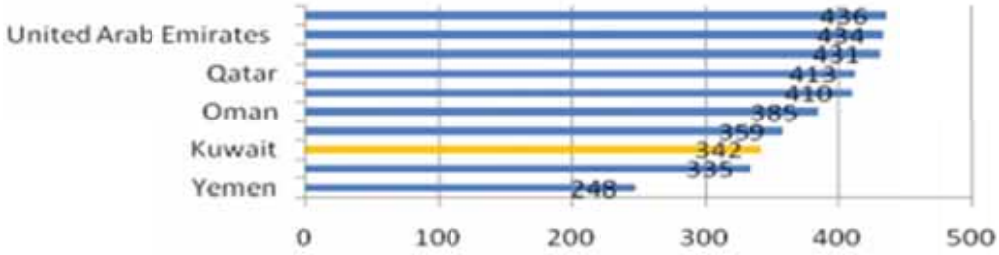

Figure 2. TIMSS 2011 results for grade 4 for selected countries in the region

The results implied the need to make an effort in Kuwait to increase student's performance in science and math. Students' performance depends on several factors, such as a well-developed curriculum, qualified teachers, a sustaining learning environment, and supporting parents (Barber, Mourshed, & Whelan, 2007; NIE Report, 2013). Thus, many sectors, departments, and managers must get involved to improve of students' achievement. In a centralized system, we wanted to know which sector was most involved with the study of TIMSS and what did they do.

Kuwait has a centralized education system, where power and decision-making are concentrated in a single unit (Al Sharaf, 2006; Winokur, 2014). In the MOE, decision-making remains within few people. Assistant undersecretaries, district heads, managers, and supervisors in the MOE may start as a teacher and, through promotions and experience, reach an administrative or technical position (National Report of Kuwait, 2008). Because our focus was on supervisors, we elaborated more about their roles and duties.

A supervisor job's description can be defined as someone who oversees or directs the performance and development of teachers in the school context while practicing teaching (MOE, 2009; National Report of Kuwait, 2008). Supervisors in Kuwait play so many roles and are responsible for so many duties regard implementing curriculum (MOE, 2009; National Report of Kuwait, 2008). The supervisory department is under the assistant undersecretary's office, where each subject has senior supervisors, a first supervisor for each school district, and a group of supervisors underneath the first one (MOE, 2009; National Report of Kuwait, 2008). There are 148 science supervisors and 151 mathematics supervisors each of them supervises from 50 to 60 teachers (MOE, 2009; National Report of Kuwait, 2008). The main duties for the supervisory role are monitoring education quality, making assessments, overseeing teacher development, and developing the curriculum (MOE, 2009; National Report of Kuwait, 2008). The critical role of supervisors in the system (Figure 3) must be explored and questioned, because of their involvement in assessment, teacher development, and curriculum, which again has a deep impact on students' performance.

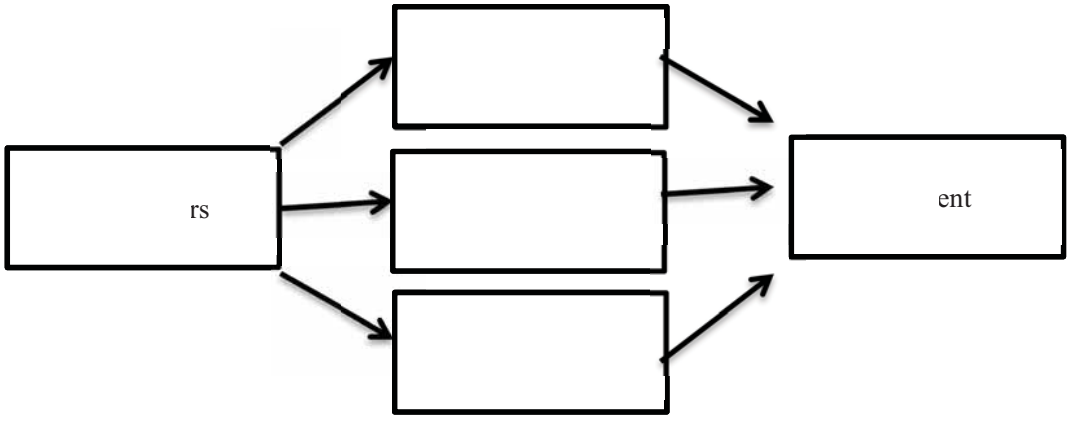

Figure 3. Supervisors Roles in Kuwait

Table 1 shows the role of supervisors and senior supervisors (MOE, 2009). They may also get involved in other voluntary or mandatory activities or tasks assigned by the assistant undersecretary of general education. First supervisors and some supervisors were involved in the TIMSS study in terms of attending the research coordinator meetings for the study and being involved in preparing the field, explaining the study, grading, and writing the final reports.

Table 1. Role of Supervisors in Kuwait

Supervisors
1. Draw a general plan for the academic field and supervise its implementation and evaluation.
2. Mentor the academic field technicians.
3. Supervise student teachers and novice teachers and follow up with them.
4. Write a vision to achieve based on certain objectives.
5. Participate in writing recommendations to improve curriculum.
6. Write annual reports to the undersecretary for public education about the reality of the academic field in all respects and submit proposals for development.
7. Identify the needs of the academic field of books and references and educational techniques in collaboration with professional mentors.
8. Draw the general plan of activities for the academic field of support and supervision of the implementation and evaluation.
9. Participate with the selection committee's professional mentors, educational department heads, and new teachers.
10. Assess the results of exams from different educational areas and monitor the students' academic achievement.
11. Propose training programs needed by field of study.

The TIMSS study revealed the current curriculum, assessment techniques, and teaching methods in science and mathematics. According to Barber, Mourshed, and Whelan (2007) and Al-Manabri, Al-Sharhan, Elbeheri, Jasem, and Everatt (2013), the current mathematics program is largely dependent on memorizing definitions, theories, performance algorithms, and other routine procedures. The science tests are mainly consisted from simple facts, with some scientific principles to explain phenomena; and therefore the results of this assessment indicate that expectations for the performance of students in Kuwait are low (Alkandari, 2006). Next, many teachers continue to use of traditional methods that inhibit active inquiry and learning process may have an effect on students' performance in math and science (Al-Manabri et al., 2013).

The NIE Report (2013) implied the need for an assessment system designed to stimulate the *upper* skills of thinking. The purpose of the current assessment is to determine whether students have achieved the goals of the

curriculum. It has been observed that the tests do not represent a challenge to the students, especially with respect to complex issues or to applying knowledge and skills. Thus, the current examination system allows the majority—if not everyone—to move to the advanced stages of learning but misleading to reality (Al-Manabri et al., 2013; Barber, Mourshed, & Whelan, 2007).

Next, the NIE Report (2013) noted the absence of quality teaching among many teachers at MOE. The MOE did not request any type of certifications prior or during teaching. Also, there has been a shortage of training or professional development for teachers due to the limitations prescribed for the training budget, which was estimated at 400 thousand dinars annually for all employees, including teachers, administrators, and staff in 2013 (NIE Report, 2013). In addition, cultural habits, such as caring for family and considering teaching as female job, perhaps enable many motivational factors for teachers to improve their knowledge about the subject and pedagogical skills (NIE Report, 2013; Winokur, 2014).

In conclusion, Since supervisors are responsible for developing teachers, implementing curriculum, and assessing students, therefore, supervisors to find out from their perspective what is going on in the field and what changes have been made regarding improving and reforming science and math education based on TIMSS results.

3. Method

In order to understand the situation while TIMSS was taking place and the reasons that students' performance may have been affected, the perspectives of the first senior supervisors and supervisors who participated effectively in the TIMSS study was important. Supervisors, as mentioned in the literature review, were involved in many tasks regarding students' performance. Thus, we used a qualitative approach, utilizing an in-depth interview technique for all first supervisors from all school districts, followed by supervisors. The rationale for using this design was to understand the challenges facing education systems in Kuwait. The case study would help in generating deeper insights on the specific needs for improving learning outcomes and enhancing performance.

3.1 Instrument

The guideline for developing the structure of the interview questions was the conceptual framework of TIMSS. The TIMSS study investigated the factors that may have an impact on students' performance. We wanted to ask supervisors questions about their perspectives in terms of the context of teaching, curriculum, assessment, and teachers. In addition to that, we asked them about TIMSS itself and their perceptive about it and their own experience (see Table 2). Therefore, the interview questions were divided into five main sections, and were based on the structure of TIMSS and the awareness of TIMSS. After developing the interview questions, a specialist in qualitative methods reviewed them to ensure validity. Then we translated the questions into Arabic before conducting the research.

Table 2. Interview questions

	Questions
A	Context/Teaching methods
1	• What are the problems/obstacles that science/math educators face while teaching in school and their classes? • What are the teaching methodologies used mainly in the classrooms? Is the teacher active, passive, or students centred? • Are the teaching methods centred on the teacher or the student? Who is more active in the class?
2	• From your experience working at MOE, how would you see/view/evaluate the students in 4th and 8th grade in math (concepts/knowledge/skills). (Probe) what are their strengths and weakness? • What do labs/classrooms miss to help students understand science/math? • What do you think of the school environment (classrooms and labs from an educational viewpoint)?
B	Curriculum/Standards and Benchmark
3	• What are you expecting from teaching science/math? What are the goals/objectives from teaching science/math? What is the reason for teaching science/math? • Do you think the curriculum is serving the needs? What is missing in our curriculum? How would you differ the needs of TIMSS from our curriculum? • Describe the curriculum of science and math (the concept of the whole curriculum or/and the content knowledge). Is it achieving the goals and objectives of the subject? Why or why not?
4	• How is the science department (supervisors) at MOE filling the gap between the local and international

	benchmark if so? • What is the science curriculum missing? What about the standards implementation? How are we going to ally with the international ones?
C	Teachers
5	• What do you think of the pre-service program at the colleges of education? Are they fulfilling the requirements of the ministry in science/math? What is the gap, and how do you bridge the gap? • As a supervisor, what are the challenges that science/math teachers face? • What are the needs of science/math teachers? (Skills/pedagogical knowledge – content knowledge – use of technology) or are they teaching for testing? (Elaborate!)
D	Assessment
6	• What are the different assessment methods used in math/science? • If we are teaching for testing, why are we failing TIMSS? What is the difference between our assessment and TIMSS? • How would you explain the assessment system in terms of assessing student's math/science knowledge? • Which is more important to the parents/society: learning about science/math or performance in tests?
E	About TIMSS (Awareness)
7	• Do you think it is necessary to participate in TIMSS? Why or why not? How can we improve the results? What do we need? Where does the problem lie? • Are we ready to compete internationally? Do you think Kuwait should participate in these types of studies? Why or why not? • Talk about your experience with TIMSS. • What are your final thoughts about TIMSS?

3.2 Participants

Our population in general was limited to the supervisory department at the MOE. The MOE has six school districts in the six counties of Kuwait. Each district has a senior supervisor, and six to seven supervisors work under their administration (MOE, 2014; National Report of Kuwait, 2008). For the purpose of confidentiality of the supervisors, we decided not to provide any information that can identify the senior supervisors, supervisors, or the school district that they belong to.

In general, the proportion of females was higher than males. The years of experience for senior supervisors in the field of education was not less than 20 years, and for supervisors it was not less than 15 years. Therefore, in the results section, we will only refer to the “he/she” identity of our participants to assure that they are not being identified.

3.3 Procedure

After the interview structure was developed. We started our data collection in late December in 2014 to January of 2015. We contacted the senior supervisors in both science and math for the six school districts in Kuwait: a total of 12 senior supervisors. The senior supervisors provided us with contact information for the supervisors in their districts whom were in involved in TIMSS. We contacted seven science supervisors and six math supervisors, for a total of thirteen. Therefore, the total number of participants in this study was 25 supervisors from both science and math subjects (see Table 3).

Table 3. Participants

District	Science Senior Supervisors	Math Senior Supervisors	Supervisors
Asmah	1	TIMSS research coordinator	6
Hawali	1	1	4
Mubark AlKabeer	1	1	2
Farwanyah	TIMSS research coordinator	1	3
AlAhamdi	1	1	1
Jahra	1	1	1

Interviews were conducted over the telephone, with duration of one and a half to two hours. We took detailed notes on respondent's answers. After that, the respondents' notes were translated, organized, and coded. We started to map the major concepts, factors, and evidence. For analysing the data, scheme-based analysis was employed. The major coding system will focus on the open coding procedure, using a grounded theory research design. Using this approach, the data were subjected to several stages of analysis, where emergent categories were anticipated to provide insight into the nature of the challenges and allow the use of evidence-based interpretations of the findings. Both researchers crossed code interviews for reliability. Last, the outcomes of supervisors' interviews were presented in the results.

4. Results

The results were divided based on the following: context of teaching math and science, the current curriculum, teaching, and assessment. In each section, we provided the most powerful quotes, and the main themes were found as we were analysed the data and translated the interviews. For the purpose of confidentiality, we only reported the responses very generally to keep the identity anonymous.

4.1 The Teaching Context

The teaching context varies between math and science. Both senior supervisors and supervisors of math reported that the teaching context is lacking from many shortages, and the sizes of the classrooms were not adequate for the number of the students. Most math senior supervisors and supervisors reported that even the equipment in math classes were not available for many teachers to demonstrate or "do math" while teaching certain concepts, such as geometry. They also reported that some schools were not using technology in classrooms, but some of them said that some school administrations, especially in girls' schools, were aided with technology, such as iPads. Three out of five math supervisors reported that some teachers purchased tools with their own money. Most of the math senior supervisors and supervisors mentioned that teachers are still applying the traditional method while teaching math. One of them said,

> *Our curriculum does not support teachers to apply math. The curriculum is very dense, and the time is very short, and you know we cannot miss important concepts. I cannot blame teachers; some of them try very hard, but still our students do not pay attention or lose focus because the teacher is always next to the white board. Again, even if the teacher wants to move around, it would be very hard for him/her to move because the classrooms are small and filled with students. The amount of students is reasonable, but the sizes of some new schools are too small. So I can confirm that many teachers are the centre of their classrooms due to the environment, lack of resources, and the structure of the math curriculum.*

One of the senior supervisors reported that teachers try hard to use the exploration method while teaching math, but they usually go quickly with less participation from students because of the overloaded curriculum. Her perspective about the size of the classrooms was not very different from her colleagues in the other districts. Her elaboration reflected on most of the other participants in terms of school environment:

> *Principals are trying very hard to overcome the new small designs of schools. Nevertheless, still they cannot control other things due to the structure of the school. One dust storm can fill the school with dust and make the place unhealthy for the students. In addition, the schools are cold in winter and hot during autumn and toward the end of school year in May and June. I can summarize this by saying many schools but not all are missing the quality of safety.*

Science classes on the other hand seemed to have fewer problems in terms of classroom size due to the availability of labs. However, they still have some concerns due to teacher practices. One senior supervisor said,

> *The ministry provided equipment and technology to support the science labs. We also have lab assistants to help prepare labs prior the class. In every school budget, a certain amount of cash is being spent for labs. The main problem will always remain with teachers who prefer to teach science using old, or let's say out-dated methods. You know, no matter how many tools we have, the traditional method is still dominating.*

Another supervisor elaborated about the teaching method:

> *We have a problem with integrating the goals and the objectives into doing and practicing science. The lack of management is due to the teacher. Many of the violence problems among boys go back to the teacher. He does not allow them to work in class, which makes them feel bored and frustrated. We have a problem with managing students in class because we assume that they can understand science with a traditional style of teaching.*

The majority of perspectives about the school atmosphere were negative. Interviewers claimed that schools induce students to study for tests for all subjects, including math or science. The students are surrounded with people that want them to pass the test whether they understand the subject or not. Both science and math supervisors said that our teaching methods and systems are turning our students into passive learners. One of the science senior supervisors said, "Our students are smart, but the unfair system caused them to perform poorly."

4.2 Curriculum

The curriculum was the second set of questions in the interview. Supervisors revealed many issues regarding the math and science curriculum. Once we addressed the question about the curriculum, the first reaction we received from supervisors in general was the textbook. Then they expand their thoughts about goals, objectives, concepts, and everything relating to curriculum. The teaching methods and the assessment are all tied up to the textbook, which is considered the curriculum.

In general, recently, Kuwait began implementing the revised mathematics curriculum using new textbooks gradually, beginning with Grades 1–3 in the 2008–09 academic year, Grades 4–5 in 2009–10, Grades 6–7 in 2010–11, and Grades 8–9 in 2011–12. The science curriculum also has been under revisions in terms of books. As with mathematics, Kuwait began implementing a revised science curriculum with new textbooks gradually, beginning with Grades 1–3 in the 2008–09 academic year, Grades 4–5 in 2009–10, Grades 6–7 in 2010–11, and Grades 8–9 in 2011–12. The new curriculum contains the same basic concepts that existed in previous curricula, including international, structural, and cumulative concepts, but topics are presented in a new way, with deeper explorations of scientific facts and concepts.

First, the math senior supervisors and supervisors expressed their concerns about curriculum. The curriculum has endless topics and concepts that limit teachers to a few examples due to the shortage of time. The math senior supervisors and supervisors in different districts all agreed that the math curriculum is overloaded across all grades. They also believed in the importance of math as a core subject because it deals with logic and develops the students' thinking and their abilities to solve problems. In terms of TIMSS and the math curriculum, they expressed that the concepts of TIMSS do not differ much. However, they said that topics in the curriculum are overlapped. The description drawn about the math curriculum seemed that priorities and trivial topics are mixed together, which makes the curriculum long and overwhelming for both teachers and students. One senior supervisor said,

> *When we started TIMSS, we did not know about the nature of the study, but by the time we started figuring out the pattern. Therefore, we started adding TIMSS examples into our curriculum. Note that TIMSS is testing the understanding while we are still teaching for passing the tests….*

Next, all math senior supervisors and supervisors stated that the curriculum is now changing towards meeting the international standards. Another supervisor reported,

> *We are now developing new curriculum, and we are working with NCED for TIMSS 2015. Nevertheless, I have to say that TIMSS does not represent the real performance of students…we are missing the awareness. We are not missing anything in our curriculum plan other than that it is too dense, and by the way we are working towards changing the curriculum to an advanced one.*

Science shared some similarities with math when it comes to the curriculum, but they had some differences. The science senior supervisors expressed their concerns about the amount of hours per week for science class, as the curriculum has too many topics to be covered. Science in elementary and middle school has only three hours per week, and this amount of time is not enough in many cases to cover the overloaded curriculum. A senior supervisor said the following:

> *Our curriculum, or let's say textbooks, are very good, but because we teach for testing not for understanding, it limits the students' critical thinking. The situation is very complicated; the teachers don't want to change… the students wants to pass, and what we lose is skills and education. TIMSS asks students to think, while we ask them to memorize, so we did not prepare them when the curriculum was designed.*

Another senior supervisor elaborated more about the role of their department. He explained the role of bridging the gap in terms of students' performance in science locally and internationally by developing better curriculum. He said,

> *We started an awareness campaign among supervisors. We wanted to investigate the needs among supervisors themselves. We realized that many supervisors did not leave their "teaching hats" they still think that they are teachers. They still cannot help in guiding teachers or assessing them. I believe TIMSS helped us look at what we need in terms of curriculum and us as supervisors to support the field.*

The science supervisors' responses were positive regarding the textbooks and curriculum but not the teaching methods or how the curriculum is being implemented. They claimed that the science curriculum has 60% of TIMSS concepts. One of the senior supervisors said about the curriculum,

> *Our curriculum is comprehensive and has many of the international concepts; we may have some issues such as adjusting some topics to our culture and environment. Our problems remain in the implementation part. Due to the absence of standards, the teacher ends up sticking to the textbook.*

One of the science supervisors elaborated more about the curriculum. He expressed that the situation is too complicated and complex for the supervisory department to handle. Many others, from science supervisors to some math supervisors, said that same things. He said,

> *Their involvement from politicians in education was negative and much of the decisions politicians oppose the development of curriculum. In addition, there are many tenders of textbooks and that does not help curriculum, there are many benefits without considering the risks that will cost the education system in Kuwait very much. There are many decisions that have been made in the absence of us supervisors or at least a valid study in terms of curriculum.*

4.3 Teachers

The perspectives about teachers were ramified. In general, supervisors expressed their concerns regarding teachers in terms of the following: teachers' practices, preparation programs in colleges, non-Kuwaiti teachers, recruitment system for teachers, and shortages of professional development. Most of the teachers have a bachelor degree; the two-diploma graduates began decreasing proportion of all disciplines after the MOE stopped hiring teachers with less than a college education degree. Any shortages of teachers, in science and math, will be filled by hiring foreign teachers from the Middle East. Mostly, the attrition and the turnover is higher among male teachers. The cultural perspectives is that the teaching profession is considered a female profession because it is stable with summer vacations. On the other side, supervisors expressed that men were not very motivated towards teaching math and science due to the cultural view and low payment compared to other fields in the market.

The next issue was the preparation programs at Kuwait University and PAEET. There was not an agreement of how well the programs of math or science in colleges in Kuwait. Some supervisors complained about the passive teaching programs when preparing teachers, while others said that the colleges of education prepare well-trained beginner teachers. Nevertheless, the worries were about the number of graduates and the proportion of the needs at MOE. The math supervisors expressed their worries from the decline in terms of graduates in math education programs at college in Kuwait. One of the senior supervisors said,

> *The newcomers from the math education colleges are very smart, but in many cases are shocked with the amount of work and they also get disappointed with the inequality in the system. For example, the promotion structure delays some subject like math, and we cannot do anything about it as supervisors, although we are assessing their performance. Besides, they are getting overloaded from the administration.*

Regarding math teacher needs and how teachers are teaching students, she responded,

> *Well, many teachers need more training; we need more professional development, better workshops, and better instruction for them. Due to the lack of budget and time, we end up losing focus on this important issue. We also assume that once the teacher has a degree they can teach well. But that is not right. Let me explain! Many teachers don't know how to use assessment tools such as exams to even quizzes for their students because they were not trained, and most of the exams are being assigned from the district. In addition, there is a shortage of professional development at MOE. As supervisors, we cannot do everything. We cannot inspect, assess, support, and train teachers all the same time. We need fewer duties to focus more on teacher development. We only have sometimes two hours for training teachers in the field, while we need at least 38 hours of training for teachers.*

The science supervisors' main concerns were the shortage of physics and chemistry teachers. In Kuwait, we only have three Kuwaiti male physics teachers, and the rest are not Kuwaiti. They expressed their concerns on how to build capacity while the advantages in the profession are not very attractive. They also showed their concerns regarding the quality of non-Kuwaiti teachers. Hiring foreigner teachers is missing the standards and the qualifications. Many foreigners do not know about the MOE system and have some cultural differences even if they are from the same region. Also, non-Kuwaiti teachers are paid less, which causes inequality and a lack of motivation. Teachers' needs did not differ from the math supervisors in terms of professional development and supporting teachers in the field. They elaborated more in terms of the teaching methods by expressing their

concerns about the traditional way of teaching. A senior supervisor of science summarized her colleagues point of view by saying,

> *There is a degree of dissatisfaction about teaching as a profession, as there are, a large number of females joining the teaching profession because of their parents without having goals or visions regard their career…. The output of colleges of education is very passive in terms of preparation because they focus on the theoretical part of education but not the practical. There is only one semester of student teaching at the last year of college…. Regarding the teaching style, we still suffer from the teacher-centred style. We provided all the needs for teachers, from equipment to resources, but still few are applying and using them and do inquiry or interactive lessons, but the majority are not. They either lazy or do not know how.*

4.4 Assessment

Regarding assessment, the concerns and problems discussed by the science and math supervisors were the following: negative parents' involvement, teaching for testing, and cheating. Most science and math exams focus on memorizing the facts. The supervisors were forced to limit the tests to the memorization level, leaving the understanding and critical questions outside the assessment system due to the political pressure and the parents' pressure; all they care for is passing the students to the next level.

In addition, the assessment structure prevents teacher from developing their formative assessment skills. The major proportion for grades are always left for summative tests, which keeps the cycle of teaching for testing active while teaching for understanding barely takes place in the system. Assessments are misleading the community; the memorization type of test prevents students from solve problems and applying what they have learned in class and in the assessment Therefore, this pressure of limiting the test questions to memorizing facts caused another problem in the assessment and evaluation system. Students will not take any test, or study seriously unless for grading or rewarding. The MOE assessment outcome is misleading and does not show or differentiates outstanding students. One of the supervisors in math explained the situation of the assessment:

> *Math needs to assess 20% of student's knowledge, 70% of application and 10% of critical thinking, but we are not able to apply this structure of tests because it is very sensitive. We lost the authority, and much involvement by parents is negative. It does not really support student learning. At the same time, I cannot blame them for being very demanding of their children. You know the world became more complex and they want jobs for their kids. They do not even mind if their children cheat in the tests as long as they pass.*

The science supervisor explained the reason for failing TIMSS, due to the carelessness among students and other things beyond the science curriculum. He said,

> *TIMSS was not taken seriously in the past; not just students by but also from teachers and supervisors. Besides, our system did not train teachers or students with critical questions.... I have to tell also that our students are having difficulty reading. The Arabic classes did not prepare our children to read independently. So do not expect our children to pass tests that they cannot comprehend.*

4.5 TIMSS Awareness

The responds regarding the participation in TIMSS were very positive. Supervisors worked in TIMSS in different roles: two of them were research coordinators at TIMSS and others worked in translating, meeting with teachers, grading, and writing final reports about TIMSS. All the participants agreed about the importance of participation in TIMSS, and it was beneficial even with the low performance of students. The TIMSS study showed the errors in the system, the teaching style, student's motivation toward learning, the assessment, and curriculum. Since the first participation in TIMSS in 1994, the MOE started to reform curriculum and worked hard to use advanced textbooks that cover and share many international concepts in math and science. The reform did not hit the math and science subjects, but major things started to change. Other organizations and centres are now interested in contributing in this reform after TIMSS, such as NCED.

Supervisors also expressed their worries about their readiness to participate in international studies such as TIMSS. They said they are not ready but they still do not want to be isolated and decline from such studies. One of the math supervisors said the following:

> *Our students are smart, and I believe they can pass TIMSS if we train them to do such exams. We need more awareness among all parties in the MOE and the community. I think what we are doing is not enough. We do not want to be just ready for TIMSS: we want our children to have a good education.*

The science supervisors shared the same views about the math but elaborated more about other issues:

> *We do not want to be separated from the world, and it was an external motivation for change. Nothing will*

stay the same, but sometime it takes a while for a community to catch up. We might not be ready after all of these years, but at least we did make many changes in the system. I think our problem is the fear that we are afraid to go forward. We want more involvement in TIMSS, not just grading and being facilitators; we are asking NCED to train us to become more aware and interactive in terms of the TIMSS study.

5. Discussion and Conclusion

Kuwait has participated in TIMSS three times and is going to participate in a few months in TIMSS 2015. The TIMSS 2011 results echoed a clear commitment to follow up on implementing focused measures to achieve success in advancing education. The study argued that reform initiatives in education are not limited to funding but extend to include adjustments to existing policies related to administrative operations, teacher quality and training, and the assessment and evaluations system at MOE. In this study, the focus was to look deep and investigate from supervisors' perspectives through a qualitative study about the poor performance of students in math and science.

In-depth interviews were conducted with supervisors and senior supervisors in science and math, and generalizations about the results are limited to the sample because small samples were chosen and a random sampling methods was not used. With in-depth interviews, we were able to provide valuable information for stakeholders and researchers who are interested in TIMSS and reforming the system in Kuwait. Supervisors were able to enrich the study with their field experience in curriculum, teachers, assessment, and participating in TIMSS. There were issues in every part that has an impact on student's performance; however, there were other factors that may affected the results of TIMSS. The tone of supervisors, in general, was passive. They seemed to have less authority and were more like reporters or inspectors about the field.

Their responses showed that the problem was beyond student achievement. The context, methods, and assessment did not fully provide the appropriate guidance for students to achieve. First, the curriculum is missing national standards to guide it, whereas TIMSS is based on international benchmarks and standards, so the comparison was like comparing oranges to apples. The curriculum at MOE is to teach and be able to finish textbooks while internationally many countries are teaching certain topics and concepts to meet a set of standards (NIE Report, 2014). In addition, supervisors kept talking about textbooks as a guide, not a tool to the curriculum, and some of them considered developing textbooks to be equivalent to developing curriculum. The curriculum is missing the standards, but MOE and NCED are working to develop national standards for teachers, curriculum, and school leadership (Winokur, 2014). The participation in TIMSS may cause or push the system toward the initiation of the standards.

Teaching styles and methods are still centred on teachers. There are factors that caused teachers to stick to the traditional methods. The overloaded curriculum, the massive amount on summative assessments and tests, and the absence of professional development for teachers are the main factors that cause teachers to teach science and math traditionally. Some supervisors pointed out that the local colleges of education share responsibility in preparing teachers. Based on the interviews, the foreign teachers were not as qualified as the system required. Many foreign teachers are teaching with basic levels, do not get enough training or professional development, and are paid less. With all three factors for recruiting foreigner teachers, we cannot set high expectations for them. Therefore, MOE may consider developing a better system for building capacity while maintaining quality in hiring teachers.

Yet the assessment method used at MOE seemed to be old and traditional. The teaching for testing approach prevents students from critical thinking, and the overloaded curriculum forces the summative assessment such as tests and quizzes to take place instead of other assessment methods. Students are becoming passive learners because of the huge amount of topics and tests. The system at MOE does not apply national exams to measure student performance, which may negatively affect students' performance in TIMSS. Also, the lack of awareness about the importance of TIMSS may benefit from further investigation. It was shown from the interviews that not all supervisors were fully aware of TIMSS, as a result, teachers, parents or students do not know about TIMSS.

Participation in TIMSS seemed to be the motivator for the system to move forward. However, the demands for making a difference in terms of the performance are many. It seemed that supervisors need more authority or at least a voice while making a decision for curriculum, assessment, and teacher development. However, the viewpoints and responses of supervisors about TIMSS may have some misconceptions too. They have the sense that TIMSS study is a competition where some countries loose or win, but TIMSS is a study that helps a certain country to identify their level based on certain criteria.

Lastly, any study that represents the community needs a marketing campaign to establish awareness and deliver

the rationale behind it. Indeed, Kuwaiti performance in TIMSS was very low, but many did not know about TIMSS other than the results. The heads of science and math were not aware enough about TIMSS and standardized testing, which may indicate why our students were not scoring well. Thus, establishing awareness should take place throughout the system, including parents.

The outcome from this research is limited to the sample, and it may be carried on to wider researches quantitatively, but decision makers may want to consider these recommendations:

- Improve teacher training and preparation programs toward best practices in curriculum design and educational assessment with a focus on student-centred instruction that promotes the skills of logical thinking and creativity among students.
- Institute a system for professional development of in-service teachers and school leaders and to be up-to-date *with* the latest development of curricula and teaching methods as well as evaluation and leadership.
- Establish awareness among parents by asking them to participate, and guide their participation towards students learning rather than passing the test only.
- Collaborate with NCED in terms of the TIMSS study and other projects towards better education for all students.
- Prepare banks of questions along the lines of TIMSS questions to be distributed to schools. This could include a preparation of an experimental test includes all schools.
- Continue working on the current education reform policy to develop curricula taught at all academic levels and to ensure that instructional materials are properly designed to enhance critical thinking and problem solving skills. The ultimate goal is to encourage creativity and raise the level of student performance on international tests such as TIMSS and PIRLS.

6. Recommendations for Future Studies

There are many studies that can follow up this one and enrich the field, persuade stakeholders, and help in identifying the problem of low performance. The low performance in TIMSS is a complex matter and has many angles to be discovered. In this research, we limited the focus to the supervisory perspectives. This study is limited the voice of supervisors. We can utilize the outcome of this study to generate a study for teachers, parents, and students about their awareness of TIMSS and the current education for science and math.

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