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Effects of Sustainable Home-Yard Food Garden (KRPL) Program: A Case of Banten in Indonesia

Eka Rastiyanto Amrullah[1,2], Ani Pullaila[1,2], Akira Ishida[1] & Haruka Yamashita[1]

[1] Graduate School of Agricultural Science, Kobe University, Kobe, Japan

[2] Indonesian Agency for Agricultural Research and Development, Ministry of Agriculture, Indonesia

Correspondence: Akira Ishida, Graduate School of Agricultural Science, Kobe University, Kobe, Rokkodai-cho 1-1, Nada, Kobe, Japan. Tel: 81-78-803-5844. E-mail: akira_ishida@people.kobe-u.ac.jp

Abstract

This study aims to evaluate the effects of an urban and peri-urban agriculture program called Sustainable Home-Yard Food Garden (KRPL, Kawasan Rumah Pangan Lestari) on participants' household income and identify factors affecting the extent to which a participant is actively involved in the program. Many varieties of fresh vegetables, such as chilies, celery, mustard, kai lan (Chinese broccoli), eggplants, tomatoes, cauliflower, lettuce, packoy (Chinese cabbage), cabbage, long beans, and spinach, are harvested from plastic pots, suggesting the program contributes to dietary diversification. In addition, participating in the KRPL program results in cutting back on expenditure on fresh vegetables and/or increasing household income to a certain extent. The estimation results of the OLS regression model using the interview survey data indicate that a KRPL participant who has a larger number of pots and/or grows more varieties of vegetables tends to exhibit the following characteristics: (1) she likes gardening and/or spending time in nature, (2) she is not motivated by a passive reason for participating in the KRPL program, (3) she grows vegetables for the purpose of selling them, (4) the largest proportion of products is sold to someone or given to her friends/neighbors/relatives, and (5) she resides in the more developed northern part of Banten, which is directly connected to the capital city by the Jakarta-Merak toll road.

Keywords: Urban and peri-urban agriculture, Indonesia

1. Introduction

Food security is an issue of increasing global concern since it can affect national resilience and security both positively and negatively (Hermawan et al., 2014; Opitz et al., 2016). Not only at a national level, but also at an individual level, food security is a critical issue for Indonesia, particularly in light of its pledge to find solutions to "eradicate extreme poverty and hunger" as one of the eight Millennium Development Goals (Hermawan et al., 2014). However, obstacles to achieving this goal include land constraints, increasing demand for food along with rapid population growth, and unprecedented climate change (Bandara & Cai, 2014; Giovannucci et al., 2012; Meskhia, 2016; Misra, 2014). Among those obstacles, land constraints particularly are tight nowadays, since agricultural lands have been converted to fulfill non-agricultural purposes in response to rapid economic growth in urban and suburban areas (Iqbal & Sumaryanto, 2007).

While land constraints are a constraint on food security, Hermawan et al. (2014) states that shortages in cultivated land lead people to pursue alternative methods of food production than production on agricultural lands. In order to solve the problem of insufficient land to grow necessary volumes of crops, urban and peri-urban agriculture (UPA) can become an approach to supply food to households and society (Food and Agriculture Organization of the United Nations [FAO], 2011). Under UPA, various kinds of crops and livestock are grown or reared in home gardens, residential areas, and other available unoccupied spaces. UPA has been shown to improve the nutrition status of households (Maxwell et al., 1998) and children (Mwangi, 1995). While UPA can help improve household-level food security, it also offers a route for households to generate supplementary income (Ashebir et al., 2007). A number of researchers support the argument that UPA will be the correct strategy to enable the urban poor in developing countries to obtain better access to food on their own as well as increase their income (Freeman, 1991; Maxwell & Zziwa, 1992; Maxwell, 1995; Yusuf et al., 2015) (Note 1).

In Indonesia, the Ministry of Agriculture has promoted a UPA program called the Sustainable Home-Yard Food Garden Scheme (RPL, *Rumah Pangan Lestari*) and its extended Regional Sustainable Home-Yard Food Garden Scheme (KRPL, *Kawasan Rumah Pangan Lestari*). RPL aims to optimize land utilization of home-yards only. Under RPL, a house's residents engage in gardening activities in their yards by growing a variety of vegetables, which helps meet the household's demand for foods in the long run. RPL aims to optimize use of spaces within the property, such as front, back, and side yards, the walls, roof, and basement, for food production purposes (Haryanto & Warsana, 2014). RPL is extended to KRPL when multiple RPL practices are integrated into a larger-scale practice across a community. KRPL aims to optimize land utilization more thoroughly than RPL. KRPL extends space utilization to incorporate fences, community roads, and other public facilities (schools, mosques, etc.), and green open land (Ministry of Agriculture, 2012). Plastic container pots are the standard gear to grow crops in RPL and KRPL.

The Ministry of Agriculture (2012) has defined five objectives for KRPL: (1) sustainably utilizing household space for attaining household food security, (2) diversifying consumed food and nutrient sources from local resources, (3) conservation of genetic resources of food (crops, livestock, and fish), (4) achieving sustainability throughout a village by existence of nurseries, and (5) increasing households' income and social welfare.

While KRPL appears to offer a way for urban and peri-urban households to gain food security and additional income, few researches have discussed the KRPL program's impact on participants' household income, or analyzed the types of people or households who are more actively involved in the program. Therefore, this study aims to evaluate the impact on household income and identify personal attributes, perceptual factors, and geographic factors affecting participation in the KRPL program.

2. KRPL in Indonesia

In Indonesia, RPL was initially introduced in 1951 as a measure to prevent erosion and land degradation. The government used the measure to encourage the public to plant trees to fulfill this goal (Nawir et al., 2008). However, in 1996, the RPL's purpose shifted to efficient utilization of home-yards, which would provide alternative land for food production and help meet household food needs. Furthermore, KRPL was launched in the early 2010s to improve food intake through diversification in varieties of consumed food and nutrition by those engaging in the KRPL program. It was also an attempt to empower female household members. During the 2011–2015 period, the KRPL program was implemented in 12,000 communities in 33 states in Indonesia (Food Security Agency, 2013).

The KRPL program is carried out by groups of women with mentoring by extension workers. At any given site, KRPL implementation entails (1) meeting food needs and diversifying food and nutrient intake at the household level, (2) conservation of crops, (3) management of nurseries, and (4) improving welfare by increasing income. Furthermore, a participatory approach is adopted by attempts to establish a clear decision-making process within the group, improve access to information beyond technical advice and services from the government, strengthen inter/intra-group cooperation, enhance harmony within local communities, and nurture leadership among participants.

To support KRPL, the government helps establish nurseries with a view to providing crop seedlings to be grown through KRPL activities. The existence of a nursery overcomes difficulties posed in growing seeds and increases family income through sales of seeds to these nurseries. To improve the quality of human resources, especially for female members of households, the government conducts training activities regarding crop production with plastic container pots, nursery management, composting household waste, and utilization of herbs as pesticides. Those activities are also financed by KRPL participants and NGOs in addition to central and local governments.

3. Methodology and Data

Our study area is Banten State, which is located in western Java. It lies next to DKI Jakarta State, which is the national capital. Banten has four regencies; Pandeglang, Lebak, Tangerang, and Serang, and four autonomous cities; Tangerang City, Cilegon City, Serang City, and Tangerang Selatan City. The population of Bantan is 11,955,243 people (cited from homepage of Badan Pusat Statistik) and covers a land area of about 9,663 square kilometers. The major agricultural commodity is rice.

The number of KRPL activities in Banten has continuously increased since 2011. Although the KRPL program was carried out only in one regency, Serang, in 2011, this increased to activities in 25 areas across four regencies and four cities in 2017. The number of KRPL participants in Banten is estimated to be approximately 530 women by the Banten Assessment Institute for Agricultural Technology. This study covers all three KRPL administrative zones in Banten, which are as follows:

- Zone 1: Serang regency, Cilegon City, and Serang City;
- Zone 2: Pandeglang regency and Lebak regency; and,
- Zone 3: Tangerang regency, Tangerang City, and South Tangerang City.

All of the regencies, along with Cilegon City and Serang City are selected as study areas (Note 2). Structured interviews were conducted with 230 women participants in the KRPL program. The selection of the interviewees was done through a multi-stage selection procedure involving purposive and simple random sampling techniques. The interviews cover socioeconomic status of the respondents, motivation for participating in the KRPL program, and varieties and production amounts of vegetables grown with plastic pots.

As for socioeconomic characteristics of the 230 female respondents (Note 3), Table 1 shows that 52.6% are between 31 and 40 years old, 55.2% finished senior high school, and 84.3% own less than 36 m^2 of land (except for land occupied by a building). According to several agricultural extension offiers in charge of KRPL, the above-mentioned socioeconomic characteristics suggest that our sample seems to well represent the population. Most of the households have a yard only in front of their house, since the study areas are located in densely populated urban and suburban areas.

In this study, in order to evaluate the effects on household income arising from participating in the KRPL program, we estimate imputed value plus sales turnover from pot farming by multiplying the number of pots, yield per pot, number of harvests, and average retail price for all vegetable products together. Since free organic composite materials are widely used instead of chemical fertilizer and plastic pots are provided by the local government free of charge or at a reasonably low price of approximately Rp 1,000 per pot (1 USD is approximately equal to Rp 13,000), the low amount of possibly incurred costs are ignored in this study.

To identify the factors determining the extent to which a participant is more actively involved in the KRPL program, we estimate the following equations by Ordinary Least Squares (OLS). The *number of plastic container pots* and *number of varieties of vegetables that a participant plants* are used as proxy dependent variables of the extent of participation in the KRPL program. Independent variables, selected based upon several previous studies regarding UPA and suggestions by agricultural extension workers in charge of KRPL, are a *dummy for age* [below 40 (reference category), 40s, and 50s], a *dummy for education level* [elementary school (reference category), junior high school, senior high school, and college/university], a *dummy for motivation for*

Table 1. Socioeconomic characteristics of KRPL participants in the study area

Characteristics of participants	Frequency (persons)	Percentage (percent)
Age (years)		
<20	3	1.3
21–30	62	27.0
31–40	121	52.6
41–50	36	15.7
>50	8	3.5
Mean (s.d.)	39.3(7.8)	
Level of education		
Elementary school	21	9.1
Junior high school	72	31.3
Senior high school	127	55.2
College/University	10	4.4
Land yard size		
<36 m²	194	84.3
>36 m²	36	15.7
Total	230	100

Note. Field survey, November 2014.

participating in the KRPL program [utilize home-yard more effectively (reference category), increase income, get fresh vegetables, enjoy gardening and/or planting vegetables, and follow friends/neighbors/relatives participating in the KRPL program], a *dummy for usage of products* [for self-consumption (reference category), for sale, and for giving to friends/neighbors/relatives free of charge], and a *dummy of resident region* [Cilegon City (reference category), Lebak district, Pandeglang district, Serang City, Serang district, and Tangerang district].

4. Results and discussion

We first provide an overview of vegetable farming under the KRPL program as determined from our interview survey data. Varieties of vegetables grown by female participants are shown in Table 2. Almost all participants plant chilies, with mean production and gross income in one growing season of 6.47 kg and Rp 296,463, respectively. Many interviewees pointed out that chilies are consumed in a large amount as one of the most important spices in Indonesian dishes and its market prices remain high due to robust demand along with the rapid population growth and stagnant chili production in recent several years. Vegetables grown by more than half of participants are celery (68.7%), kai lan (Chinese cabbage) (61.3%), mustard (61.3%), and tomatoes.

The imputed value plus sales turnover from pot farming in one growing season for 230 households is, on average, Rp 374,534 compared to Rp 2,919,152 total monthly household income excluding pot farming income. It is common for participants to grow several crops of vegetables in the same pots over the course of a year, depending on climate conditions, labor availability, and personal enthusiasm for pot farming. In case of chilies, the growing season is 3–4 months; therefore, a participant can harvest chilies at least twice a year. Assuming that a participant plants the same vegetables in the same number of pots and harvests the same volumes of vegetables twice a year, the proportion of pot farming to the annual household income is estimated to be 2.1% [=(Rp374,534 × 2 times)/(Rp2,919152 × 12 months)]. Therefore, participating in the KRPL program results in cutting back on expenditure on fresh vegetables and/or increasing household income to a certain extent, suggesting that promoting the KRPL program in urban and peri-urban areas is one of the possible policy options for an urban and peri-urban community development program.

Here, it should also be noted that the total amounts of vegetable production (excluding chilies and mustard) and spices (chilies and mustard) in one growing season are 7.99 kg and 8.71 kg, respectively. According to the FAO's FAOSTAT database, annual per capita supply of vegetables (beans, peas, pulses, tomatoes, onions, and other vegetables) and spices (pepper, pimento, cloves, and other spices) are 41.46 kg and 1.41 kg, respectively. Assuming that a participant plants the same vegetables in the same number of pots and harvests the same volume of vegetables twice a year, pot farming accounts for approximately 9.6% [=(7.99 kg × 2 times)/(41.46 kg × 4

Table 2. Overview of pot farming 230 female participants

Variety of Vegetables	Number of participants planting (persons)	Percentage (percent)	Production in one growing season (kg)	Gross income in one growing season (Rp)
Chili	228	99.1	6.47	296,463
Eggplant	140	60.9	1.72	9,971
Lettuce	67	29.1	0.14	3,352
Cauliflower	88	38.3	0.40	5,573
Cabbage	37	16.1	0.27	1,644
Celery	158	68.7	0.58	6,326
Tomato	120	52.2	3.47	20,151
Spinach	25	10.9	0.10	575
Kai lan	141	61.3	0.83	12,453
Long bean	23	9.2	0.21	1,546
Packoy	51	22.2	0.27	2,144
Mustard	141	61.3	2.24	14,336

Note. Field survey, November 2014.

persons)] of annual vegetable consumption for a family of four members. The amount of chili and mustard production is, on average, well over a family's annual consumption, suggesting a large proportion of spices produced are sold to supplement income.

The numbers of pots and vegetable varieties planted by participants are shown in Table 3. The majority of the respondents (31.3%) have 11 to 20 pots and 14.3% of participants have more than 30 pots. The mean number of pots used for farming is 13.8. The mean number of vegetable varieties planted is 5.3, and 15.7% of participants plant more than eight varieties of vegetables in one growing season. On the other hand, only 4.8% of participants plant one or two varieties, suggesting a majority of participants grow many varieties of vegetables and pot farming contributes to consumption diversification.

Tables 4 and 5 provide the estimation results of the OLS models regarding the numbers of pots used and vegetable varieties grown under the KRPL program. The results for the number of plastic pots used show that some independent variables are statistically significant at the 1% and 5% levels. The following coefficients are significant: *dummy for motivation for participating in the KRPL program* (liking gardening and/or planting vegetables, and following friends/neighbors/relatives participating in the KRPL program), *dummy for usage of products* (for sale and for giving friends/neighbors/relatives free of charge), and *dummy of resident region* (Lebak district, Pandeglang district, Serang City, Serang district, and Tangerang district). Given that the other variables are constant, a participant who likes gardening and/or planting vegetables tends to use 16.2 more pots than a counterpart whose motivation for participating in the KRPL program is more effective utilization of her home-yard. On the other hand, a participant who only follows friends/neighbors/relatives participating in the KRPL program utilizes 9.0 fewer pots than a counterpart, suggesting that a passive motivation for participating

Table 3. Distribution numbers of pots and vegetables

Variable	Frequency	Percentage
Number of pots used		
< 10	63	27.4
11–20	72	31.3
21–30	62	27.0
31–40	18	7.8
41–50	10	4.4
51–60	4	1.7
> 60	1	0.4
Total	230	100.0
Mean		13.8
Number of vegetable varieties planted		
1	2	0.9
2	9	3.9
3	32	13.9
4	51	22.2
5	38	16.5
6	40	17.4
7	22	9.6
8	14	6.1
9	17	7.4
10	5	2.2
Total	230	100.0
Mean		5.3

Note. Field survey, November 2014.

in the program leads to less enthusiasm about expanding her pot farm size. Compared to a participant living in Cilegon City, which is located in the far north-west part of the Banten State, participants living in Lebak district and Pandeglang district, both of which are located in the backward southern parts of the state, are likely to have 8.1 and 11.6 fewer pots. On the contrary, participants residing in more developed northern parts of the state such as Serang City, Serang district, and Tengerang district, all of which are directly connected to the capital city by the Jakarta-Merak toll road, tend to have 8.7, 5.8, and 4.8 more pots than their counterparts in Cilegon City.

As for the number of vegetable varieties grown under the KRPL program, the *dummy for motivation for participating in the KRPL program* (liking gardening and/or planting vegetables, and following friends/neighbors/relatives participating in the KRPL program) and *dummy of resident region* (Lebak district, Pandeglang district, Serang City, and Tangerang district) are significant. Similar to the findings for the case of numbers of pot used as shown in Table 4, with the other variables being constant, a participant who likes gardening and/or planting vegetables tends to grow 0.9 more varieties than her counterpart whose motivation for participating in the KRPL program is more effective utilization of her home-yard. On the other hand, a participant who simply is following friends/neighbors/relatives participating in the KRPL program plants 1.7

Table 4. Estimation results of the number of pots used (OLS)

	Coefficient	S.E.	P>t
Dummy for age			
Below 40 (reference)			
40s	−0.460	1.174	0.695
50s	−1.455	1.840	0.430
Dummy for education level			
Elementary school (reference)			
Junior high school	−1.425	2.159	0.510
Senior high school	−2.323	2.439	0.342
College/university	−3.641	3.503	0.300
Dummy for motivation for participating in the KRPL program			
Utilize home-yard more effectively (reference)			
Increase income	−2.421	1.979	0.223
Get fresh vegetables	−0.545	1.144	0.634
Like gardening and/or planting vegetables	16.202	2.057	0.000
Follow friends/neighbors/relatives	−9.046	3.157	0.005
Dummy for usage of products			
For self-consumption (reference)			
For giving friends/neighbors/relatives	3.297	1.551	0.035
For sale	10.436	1.487	0.000
Dummy of resident region			
Cilegon City (reference)			
Lebak district	−8.059	1.918	0.000
Pandeglang district	−11.629	1.910	0.000
Serang City	8.684	1.929	0.000
Serang district	5.824	1.793	0.001
Tangerang district	4.822	1.968	0.015
Constant	22.425	3.304	0.000
Adjusted R-squared	0.623		

fewer pots than her counterpart, suggesting that a passive motivation for participating in the program leads to less enthusiasm about growing more varieties of vegetables. Compared to a participant living in Cilegon City, participants living in Lebak district and Pandeglang district are likely to grow 1.2 and 2.1 fewer vegetable varieties. On the contrary, participants staying in more developed northern parts of the state such as Serang City and Tengerang district tend to plant 2.5 more vegetable varieties than their counterparts in Cilegon City.

Table 5. Estimation results of the number of vegetable varieties grown (OLS)

	Coefficient	S.E.	P>t
Dummy for age			
Below 40 (reference)			
40s	−0.032	0.171	0.851
50s	−0.060	0.268	0.825
Dummy for education level			
Elementary school (reference)			
Junior high school	−0.388	0.315	0.219
Senior high school	−0.523	0.356	0.143
College/university	−0.226	0.511	0.659
Dummy for motivation for participating in the KRPL program			
Utilize home-yard more effectively (reference)			
Increase income	−0.189	0.289	0.513
Get fresh vegetables	0.186	0.167	0.266
Like gardening and/or planting vegetables	0.924	0.300	0.002
Follow friends/neighbors/relatives	−1.734	0.460	0.000
Dummy for usage of products			
For self-consumption (reference)			
For giving friends/neighbors/relatives	0.311	0.226	0.171
For sale	0.438	0.217	0.045
Dummy of resident region			
Cilegon City (reference)			
Lebak district	−1.211	0.280	0.000
Pandeglang district	−2.092	0.278	0.000
Serang City	2.526	0.281	0.000
Serang district	0.237	0.261	0.365
Tangerang district	2.484	0.287	0.000
Constant	5.850	0.482	0.000
Adjusted R-squared	0.712		

5. Concluding Remarks

This study aimed to (1) evaluate the effects of an urban and peri-urban agriculture program called KRPL on participants' household income and (2) identify factors affecting the extent to which a participant is actively involved in the program. Many varieties of fresh vegetables, such as chilies, celery, mustard, kai lan (Chinese broccoli), eggplants, tomatoes, cauliflower, lettuce, packoy (Chinese cabbage), cabbage, long beans, and spinach, are harvested from plastic pots, suggesting the program contributes to dietary diversification. In addition, imputed value plus sales turnover from pot farming in one growing season is, on average, Rp 374,534, compared to a Rp 2,919,152 total household income excluding pot farming income; therefore, participating in the KRPL

program results in cutting back on expenditure on fresh vegetables and/or increasing household income to a certain extent. The estimation results of the regression model using the interview survey data indicate that a KRPL participant who has a larger number of pots and/or grows more varieties of vegetables tends to exhibit the following characteristics: (1) she likes gardening and/or spending time in nature, (2) she is not motivated by a passive reason for participating in the KRPL program, (3) she grows vegetables for the purpose of selling them, (4) the largest proportion of products is sold to someone or given to her friends/neighbors/relatives, and (5) she resides in the more developed northern part of Banten, which is directly connected to the capital city by the Jakarta-Merak toll road. Several personal attributes such as age and education level are not significant.

This study has also shown that participating in the KRPL program increases household disposable income through sales of products and/or reduction of consumption expenditure on vegetables, and improves household food and nutrition security to a certain extent. Additionally, the fact that all participants of the KRPL program are female should not be overlooked on the grounds that participating in the program is expected to strengthen social networks among women at the community level and improve female autonomy within households. Therefore, it is suggested that promoting the KRPL program in urban and peri-urban areas is one of the possible policy options for an urban and peri-urban community development program in developing countries.

Pot farming under the KRPL program faces several problems, such as pest and diseases, availability of seeds and seedlings, time constraints on farming, and lack of farming skills. According to the respondents, pests and diseases are rated as the biggest problem. The most problematic pests as revealed by the interviews, are *Bemisia tabaci*, *Spodoptera litura*, and rats, and the predominant disease is *Fusarium oxysporum*. The disease damages home-yard farming, especially chili plants. Respondents exhibit a lack of skills in farming. While the government provides training, the majority of female participants did not have experience in farming before they joined the KRPL program. An effective agricultural extension service should be provided to prevent participants from losing some portions of their vegetables to pests or diseases.

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Notes

Note 1. UPA can also prevent from increasing urban temperatures (Wong et al., 2007) and curbing greenhouse emissions by reducing the distance food travels (Peters et al., 2009).

Note 2. Tangerang city and South Tangerang city are excluded because KRPL practice is less popular or smaller in scale in these areas.

Note 3. Since most participants are female and male participants are rare, all our interviewees are female.

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Ominous Phenomena such as Fraud and Forgery

Hamid Reza Mirza Jani[1] & Fatemeh Mirdad[1]

[1] Department of Law, Islamic Azad University, Mashhad, Iran

Correspondence: Hamid Reza Mirza Jani, Department of Law, Islamic Azad University, Mashhad, Iran. E-mail: drmirzajani@yahoo.com

Abstract

The main aim of this investigation is to examine crimes such as fraud and forgery and characteristics of convicts in a new context. To this end, prisoners are grouped in terms of their statuses in Mashhad city and some characteristics of convicts including sex ratio, marital status, educational level, and occupational status are studied. Using data analysis, proportions of the data are analyzed and the findings show that characteristic of convicts are important factors in committing crimes. That is, characteristics of convicts have influence on their fraud and forgery crimes. As well, crime management is another major issue in this research. Crime management can be not only controlling and limiting the convicts, but also informing the victims. Victims should be kept better informed of the consequences of cupidity or credulity. Therefore, the issue of characteristics of convicts is an intriguing one which can help us find strengthen and weakness of current solutions and problems.

Keywords: fraud, forgery, characteristics of convicts

1. Introduction

Crimes such fraud and forgery can take different forms and paly parts in the debilitation of a society. Fraud and forgery not only disappoint the citizens but also endanger the economy and culture. When culture and economy as main parts of a country is debilitated, the body of that country will be sensitive and vulnerable. In law, forgery means using a false writing or handwriting in order to deceive and gain some personal advantages. Some documents such as contracts, deeds, and checks are at the risk of forgery. On the other hand, the fraud is a deliberate attempt to give a false account and to misrepresent the facts with the intent to exclude a person or some persons from real rights. As well, any covering or concealment that is harmful to individuals or that permits an individual to misuse people is called fraud. There are some types of fraud, for example, giving a check without enough money in the signer's account, using a false identity, or sending fictitious mails. (Merriam-Webster, 2015). The other side of the coin is crime management. Crime management means paying serious attentions to victims, convicts and their social statuses. That is, victims should be well-informed of the side-effects of crimes in order to decrease crimes such as fraud and forgery in the society. In fact, socio-economic status of convicts should be studied to find solutions for these ominous phenomena. Crime management means blocking crime ways, authorizing organizations and foundations, and empower the law in terms of administration (I.R. Police, 2015). According to ISNA, "to avoid fraud and forgery, people should made their contracts in official offices and enter into contracts under supervision of law. Individuals should take care of their certificates, documents and ID cards carefully and should not hand in unknown persons. In general, getting rich overnight is dubious and citizens should not tempt fate" (Quds online, 2015). Due to cultural and religious context, sex ratio and marital status play important roles in Iran. Although traditional beliefs are strong among Iranians, new generation commits such crimes because of sanction and economic stagnation. When economic factor is not strong, educational and occupational factors cannot control crime rates exactly. Consequently, poverty comes again, and again there will be fraud and forgery. Therefore, the issue of characteristics of convicts is really important and now the time had come for Iranian policy makers to pay serious attention to these characteristics to reduce crime rates.

2. Review of Literature

This section examines the legal element of the crime of fraud in Iran. Legal element as a main base of physical and mental element is a part of the legality of crime and punishment. Due to the legal element of a crime, a special behavior or mood is known as mental and physical element (Sharahi, 2008). Under Iran's legal system,

Provisions (Article 300) related to the fraud crime were derived from French Penal Code and issued in 1282. This issue was changed under Article 238 in 1926. Due to some ambiguous points, those provisions were modified as a single Article in order to prevent dual interpretations in 1936. In 1977, although the Article 238 did not change, its statements and words changed completely. After the Iranian Revolution (the Islamic Revolution), Public Penal Code had changed to Islamic Penal Code under General Act 116 in 1984. Finally, it was approved in 1989 including Article 1 named fraud crime (Salari, 2008). According to Iranian criminal law, forgery (Article 523) means making of a false handwriting, document, seal or signature, scratching or printing, engraving, changing the date of deed (documents) or adding something to it without permission(and with the intention). On the other hand, fraud (Article 1) is deceiving people to establish companies, factories, or institutes, and to have false properties and authorities, or raising their hopes in order to have unreal things, dreading them, abetting people to obtain money, drafts, deeds, documents, negotiable instruments (Zahedi,2013). Mirmohamad Sadeghi (2012) believes that forgery is the process of using tools or making fraudulent acts with bad intention to deceive individuals to earn money or important documents and forgery is the action of creating an exact replica of a produced or altered object such as a document, statistics, or money with sinister intention of deceiving or the misuse of objects. And Habibzadeh (2013) indicates that making a false instrument base to accompany by inducing victims. Depriving people of a valuable possession as a deliberate misrepresentation endanger the society and its security. When economic security of a country is endangered, financial crimes will destroy the whole family system. In order to prevent these ominous phenomena, crime management can be a deterrent factor.

Therefore, the aim of this study is to examine crimes such as fraud and forgery and characteristics of convicts in a new context.

The hypothesis that will be tested is that:

1. To what extent do crimes such as fraud and forgery is affected by characteristics of prisoners?

3. Method

The main aim of this investigation is to examine the relationship between prisoners, their characteristics and crimes in a new context called Mashahd, Iran. The participants were guilty of fraud and forgery in 2013. To do this, we analyzed social characteristics of convicts.

3.1 Participants

The number of convicts are 4000 and range in age from 18 to 60, but 16 % were young adults, 40 % were mature adults, 38% were old adults, and the rest 6 % were under 22. In fact, the population of males and females (sex ratio) are the same nearly.

3.2 Instruments

We investigated the personal and social characteristics of convicts based on available documents. Therefore, the tables show to what extent the variables have influence on crimes.

3.3 Procedure

To do the present research, we used some documents related to the characteristics of convicts and thir crimes from Mashhad Prison.

3.4 Data Analysis

After categorizing the attributes and characteristics of 4000 convicts, we used a few statistical analyses in order to show the probable relationship the attributes of prisoners and their committed crimes. The following tables consist of some variables displaying their occupational and educational level, sex, and statuses.

4. Discussion

In order to find possible solutions for crime prevention, the investigation of characteristics of convicts can help us control crimes and limit convicts. When occupational and educational levels of individuals develop, there will be no room for crimes such as fraud and forgery. Poverty is a powerful factor to disappoint people and to commit crimes. It may instigate individuals to get rich overnight. In fact, economic factor overcomes religious belief. So, society needs help. Education and occupation are the axes of development. Therefore, policy makers are not only deterrent powers, they are responsible for providing social justice. They can pave the way for not only all citizens but also all injured people. Convicts are parts of the society that can be revitalized. Although convicts do not deserve a pat on the back, they also do not deserve inattention.

The present study investigates the probable relationship between characteristics of convicts and their fraud and

forgery crimes.

The following tables show social statues of convicts and their crimes in Mashhad Prison. Mashhad is a main and important city in Iran. Table 1 shows population density in terms of region, number, and sex.

Table 1. Population density in Mashhad

Region	No	Male	Female	Sex Ratio
1	176104	85714	90390	94.8
2	485833	242648	243185	99.8
3	322018	161265	160753	100.3
4	244944	122566	122378	100.2
5	168876	84461	84415	100.1
6	253963	126940	127023	99.9
7	206968	104618	102350	102.2
8	94040	46505	47535	97.8
9	300246	147934	152312	97.1
10	264523	132522	132001	100.4
11	192223	100543	91680	109.7
12	39636	20169	19467	103.6
13	16884	8714	8170	106.7
Total	2766258	1384599	1381659	100.2

The number of Mashhad citizens were 2766258 in 2013 (Center of Statistical Management and Data analysis, 2015). Mashhad as a religious city is located in the northeast of the country and its activities are also important to Iranian Government. As can be seen in the table, 50.1% of the citizens are male and 49.9 % are female. The table shows that the population of males and females (sex ratio) are the same nearly.

Table 2. Number of Convicts

Case	Fraud	Forgery
Number	2200	1800

Table 2 shows the number of prisoners who were sentenced for crimes such as fraud and forgery in 2013. Totally, the number of convicts are 4000. Prisoners are from 18 years old to 60 years old, but 16 % were young adults, 40 % were mature adults, 38% were old adults, and the rest 6 % were under 22. We can see that the fraud (0.08 %) and forgery (0.06%) rates are too low in comparison with population of Mashhad city. The proportion of fraud crime was higher than that of forgery crime.

Table 3. Sex Ratio

Sex	Male		Female	
	Fraud	Forgery	Fraud	Forgery
Age				
18-22	322	280	30	8
23-35 (young adults)	800	700	80	20
35-45 (mature adults)	800	660	36	24
46-60 (old adults)	128	105	3	4

| Total | 2050 | 1745 | 149 | 56 |

The Table 3 indicates that 16 % of crimes were committed under age 22. 40% were young adults and 38% were mature adults. Another 6% were old adults. We can see from the table that women rarely committed crimes such as fraud and forgery. In fact, young and mature adults were guilty of fraud and forgery. It is apparent from this table that males were much higher proportion of those sentenced for fraud and forgery.

Table 4. Marital Status

	Male		Female	
	Fraud	Forgery	Fraud	Forgery
Married	783	708	19	16
Single	433	379	40	10
Divorced	834	658	90	30

Table 4 shows that the majority of male convicts were married (40%) and divorced (40%). On the other hand, the majority of female convicts were single (40%) and divorced (40%). Not many single prisoners (male) and married prisoners (female) participated in crimes. These results suggest that divorce case is a strong factor for committing crimes.

Table 5. Educational Level

	Male		Female	
	Fraud	forgery	Fraud	Forgery
- Diploma	650	671	35	6
Diploma – Bachelor of Arts (BA)	790	703	95	20
+ BA	610	371	19	30

We can see from table 5 that the male convicts are partly distributed across the educational level. That is, 40% of male convicts have Diploma/ BA, 25% have + BA, and the rest (35%) have - Diploma. But more than half of female convicts (65%) have Diploma/BA.

Table 6. Occupational Status

	Male		Female	
	Fraud	Forgery	Fraud	forgery
Unemployment	210	130	15	4
Self-employment	1790	1150	36	18
Clerk	59	61	98	34

The table 6 indicates that the majority of male convicts were self-employed and the minority of male prisoners were clerk. On the other hand, 65% of female prisoners were clerks and 5% were unemployed. In the case of males, self-employment was an important factor and self-employed individuals committed those crimes more. But in the case of females, clerks were guilty of fraud and forgery. In short, although unemployment is not an important factor for females for committing crimes, unemployment and self-employment are important factors for males for committing crimes.

5. Conclusion

In English law "forgery is characterized as the making of a false report as if it is origin in order to defraud individuals. Forgery restricted to a document. Documents includes letters, wills, banknotes, pictures, paintings

and many others" (Ramazani, 2009). According to Wikipedia (2015), forgers misuse documents or make statistics in order to take unconscionable advantage of people and their rights. In fact, they make the forged items, use or sell them to gain profit. Although willful and deliberate misrepresentations of copies are considered forgeries, using replicas is not forgery.

In general, a forgery is the process of altering or producing objects or documents. Also, fraud means obtaining the property and requires two components. The first component is making damages to the convict and the other one is making advantages of fraudulent property. These two components are really urgent (Mohammad Nezhad, 2011). Each fraud involves two main elements of concealment and theft act. On the one hand, concealment consists of taking some steps by the perpetrators to hide and selling or converting stolen assets into cash. On the other hand, theft act consists of taking information, document, and money manually or by computer (Wikipedia, 2015).

In summary, the results of this study show that characteristics of prisoners can have influence on their crimes. That is, young and adult convicts are much higher proportion of those sentenced for fraud and forgery crimes and divorce case is a strong factor for committing crimes. As well, the male convicts are partly distributed across the educational level and more than half of female convicts have Diploma/BA. In the case of males, self-employed individuals committed those crimes more. But in the case of females, clerks were guilty of fraud and forgery. It seems that crime management as a powerful instrument can decrease or prevent the crime rates in Iran. Situational prevention lies in the body of crime management. It involves to create a situation that is difficult to commit crime. Crime management decreases the potential of committing crimes and disappoint forgers. (Clark, 1997). And crime control as a deterrent phenomenon paves the way for security. It consists of interlocking strategies, techniques and structures of old and new elements. In order to control crimes, it is necessary to pay attention to the nature of crimes and characteristics of convicts. The nature of crime control is characterized and revitalized by new attitudes towards convicts (Owen, 2007). In order to reduce and control crimes, new policies are required in terms of regulations. Because social justice and public safety should be on the list of priorities of government. One of the advantages of crime control is public order. The other one is law enforcement. To this end, social and criminal justice agencies should use new management styles and decrease the criminal acts taking advantage of new strategies. Therefore, system management is an urgent need. According to Hall, it consists of specialization in all elements of a system. It also needs a strong communications among subsystems.

To sum up, we can draw a conclusion that personal and social characteristics of convicts and their committed crimes are strong factors. To rebuild a society or to revitalize the injured individuals, social and economic variables play important roles. Education paves the way for welfare and welfare paves the way for crime prevention. They need mutual supports. If we want to manage the crime rates, it is vital to improve educational and occupational levels in the society (Sajedi & Shaygan Fard, 2015). It could be said that characteristics of convicts have influence on their fraud and forgery crimes. As well, crime management is another major issue in this research. Crime management can be not only controlling and limiting the convicts, but also informing the victims. Victims should be kept better informed of the consequences of cupidity or credulity. Therefore, the issue of characteristics of convicts is an intriguing one which can help us find strengthen and weakness of current solutions and problems.

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The Arab City - Reality, Fiction, and Affect on Culture and Civilization

Mamadou Salif Diallo[1] & Abdullah H. Alfauzan[1]

[1] College of Arabic & Social Studies, Qassim University, Buraydah, Saudi Arabia

Correspondence: Abdullah H. Alfauzan, College of Arabic & Social Studies, Qassim University, Buraydah, Saudi Arabia PO Box 12308, ZIP51473. Tel: 96-61-6380-0050 Ext 1859. E-mail: aaf741@gmail.com & amsakhou@yahoo.com

Abstract

The increasing urbanization of the Arab world, especially the emergence of huge and ultra-modern cities such as Riyadh, Dubai, and Doha in the Arab Gulf, has renewed discussions and even debates on the nature of the Arabian civilization. Some people maintain that urban places such as the above-mentioned are only copies of Western cities within Arabia, and that there is no such thing as an Arab city, socioculturally speaking. This debate has also taken place informally in the office of the English Department at Qassim University, in a spare time that a number of faculty and staff (including the authors of this article) happened to have. We decided to take it further and look into the question more deeply. Therefore, we covered some relevant literature, including Islam's important perspective on the issue. We eventually came up with the conclusion that the Arab city does exist and has existed long before the Industrial Revolution. Accounts of real and fictional cities in the Arab world, predating the industrial era, prove the validity of this assertion. Without advocating seclusion or withdrawal into themselves, we think that Arabs should stop thinking they owe the concepts of city, urbanization and therefore civilization to the West. There is certainly a lot that can be learned from each other on both sides, but importing everything wholesale from the West can only result in increasing social problems.

Keywords: Perception of Arab city, industrial revolution, urbanization, western city

1. Introduction

What are perceptions of the city in the Arab world? Are they real or fictional? Is there any such thing as the Arab city, or can cities only be defined with regard to the precedence of the Industrial Revolution? How does the would-be Arab city compare with other cities, in particular European and North American cities? These are broad questions discussed in the article in light of pertaining readings done on the theme.

We decided that it would not be instructive to conduct interviews as average individuals may not know what constitutes a city; they may lack awareness of historical, cultural, sociological, elements that make cities. Moreover, for ordinary people who have some understanding of these concepts, it would be difficult to express the distinctive features of diverse urban civilizations. However, we thought distributing a questionnaire could help as this would give people more time to think over and prepare their answers. Therefore, we based our paper on the answers to our questionnaire, literature we reviewed and our understanding of its contents. The researchers also aim at finding answers to the following questions so as to establish perceptions of the Arab city, compare it with other cities and most importantly suggest the possibilities of a fruitful dialog between both concepts:

1. What are the perceptions of the city in the Arab world?
2. Is there any such thing as the Arab city?
3. Can cities only be defined in relation to the Industrial Revolution?
4. How does the would-be Arab city compare with other cities, in particular European or North American cities?
5. What are the affects of the Arab city on culture and civilization?

1.1 Significance of the Study

With the boiling situation prevailing in many countries across the Arab world, a number of questions need asking, including why the chaos and how it can be resolved. The profound disorder if not disintegration of some Arab

countries may be due to the setting up of western ways of living in societies the most different. These ways may include the imposition of western-type urbanization upon not always accepting populations.

"The sudden introduction of foreign concepts and practices has disrupted society, and interaction between Arabs and Westerners has resulted in conflicts in some cases. It has also led to a division within society between those who feel that change is necessary for progress and those who feel that change is an assault of Western morals and values on their societies. (G-Mrabet, 2012)"

The overlapping of these sometimes antagonistic realities without preparation may be one recipe for the inedible situation the world is served. Understanding the cocktail fueling this infernal machine with its burning nuts and bolts can be a step in mitigating its destructive work. This is why we decided to take part in the discussion.

1.2 Literature Review

For many writers, whether there is such a thing as the Arab city is a non-issue. They take a step ahead and discuss its characteristics rather. In the abstract to his *Introduction to the Islamic City* (2002), Saoud states:

"Islam made particular emphasis on the form and design of the city enabling it a greater functionality and responsiveness to meet the socio-economic and cultural needs of the community."

This article analyzes the spatial and functional arrangements of the Muslim city and assesses their socio-cultural meanings. The author asserts that since its advent, Islam has had a great impact on urbanization by developing cities to help spread the Faith and organize their dwellers' social life. Thereafter, cities became indispensable for citizens to perpetuate their new-found stable, peaceful, secure, and prosperous living conditions; and for rulers to fortify and preserve their power. Eventually, colonial powers from Europe conquered and took over the control of Muslim cities, initiating the alteration of both their morphology and their structural coherence and cohesion.

The disfiguration of the Arab city may pose a problem; however, seclusion and closure are not likely solutions to resolve it. From Abdelmeguid's (2014) perspective, it is the very exclusion of others that is causing the problems faced. He imagines older Alexandria that never ceased to be Arab in spite of the religious, ethnic, and cultural mix that characterized the place. Freedom, he contends, should not necessarily be incompatible with Arabism. In the past, Alexandria had been Arab, international, and free. In other words, it was a free Arab city, not exclusive of other faiths, cultures, and other differences. Now, Abdelmeguid argues, it has lost not only its global stature, but also its Egyptian spirit.

The negative transformation of Alexandria would be representative of the downfall of the Arab city hence civilization - with entailments such as the Arab Spring - and characterized by its cosmopolite nature. For Abdelmeguid, religion should not be the only one criterion to define a city. Apparently, when the city's identity is lost, the city loses, and when the city loses, culture and civilization do; with them, everybody. Alexandria was a sample of positive integration achieved by humanity and the peace and advancement it could generate, and so Abdelmeguid keeps on looking back at Alexandria's glorious unsectarian past. All this may make it sound like Alexandria was just the city with its multiple faces. Therefore, is there a typically Arab city? If yes, what characterizes it? The ongoing discussion seeks to enlighten the situation.

EL-Bishr (2013) discusses the fact that the growth of Riyadh into a modern city was not to the taste of everyone. When an atmosphere of extremism permeates the city in the 1970, opposing the social transformations which changed it, it made many victims, including the city itself, which lost some of its flexibility as a driving force of modern cultural innovation. Both actual and fictitious cities are dealt with in the selection we chose to review. The random universal city is also this fictitious place where hardly realistic stories like death, destruction of societies, dispersal and losses of identity (Khalifa, 2013), uncanny encounters (Ghazali, 2014; al-Khamaisi, 2013; and Nasrallah, 2014; Fadel, 2014; Amir Tag Elsir, 2014) happen. In these stories, people are caught in tragedies or they pursue the impossible, ending up losing or destroying everything they can, including themselves, unless they are fortunate enough to experience the classic happy ending, which is the case of Laredj, (2014) who is lucky to learn a lesson through his grandfather's life experience. It is not only in Western cities that a person can self-realize and achieve great heights or relief, as is often recounted in both realistic and fictitious literature (Ismail, 2014).

One can learn from other societies, yet examining one's own society is another source of learning. Therefore, the Arabs like every people, need to learn from the outside world in order to achieve progress (Lahbibi, 2013). Some knowledge of history is good preparation for understanding life's challenges. This is why the past should not be forgotten or misrepresented (Mourad, 2014) whatever the fear of the possible negative effects of its influence on the present.

In the modern Arab city, it may indeed be difficult at times and in places to tell justifiable from unjustifiable

activities (Nasrallah, 2014). This is well related by Al-Rikabi (2014) in his rendition of the general crisis that prevailed in Iraq from the end of Ottoman rule till U.S. occupation in 2003. While some people endured indiscriminate rampage, others were exploiting occupation in their own personal interests, at times for survival. This resulted in more contempt and indignation, nurturing craze for retribution involving 'the-what's-its-name' or Iraqi Frankenstein (Saadawi, 2013). It is the prevailing atmosphere in Baghdad and indeed many Arabic cities in turmoil (Iraqi occupation, Arab Spring, and ISIL ordeals), unrecognizable entities where even criminals seem impossible to identify.

Arabia does certainly have an identity or identities. Then there have to be Arab cities, both in reality and in fiction. We can only create from what we have; therefore, even if we create, we are somehow depicting reality - if in an original manner. Talented writers can transport their readers into times and places and have them witness the stories discussed in their works. As Balzac (1835) had it, we are realistically analyzing the "social species" in a keener or less keen way.

Everything we do bears a consequence. The city may be a setting, a myth, an actor, or something else that induces plots where crime and interactions of any sort are often involved. The novel, or intertextuality between novels, represents these integrals of life.

Arabia used to be classically represented as rural and desertic, with nomad Bedouins and camels. This is only a stereotype, in sharp contrast with the reality in many cases. Typically, Arab cities have long existed even before the West exported their idea of a city to Arab land. We will expand on this in later sections. Some of the early Arab inventions and discoveries were made in those cities. This is not to say that the rural and desert view was totally unfounded. Some nomad Bedouins and rural people in general have often seen them and what they represent as mysterious and dangerous (Hugo, 1831; Balzac, 1835; and Zola, 1885), yet many other people consider them as opportunities for progressing and fulfilling life expectations.

In any case, they point to the values, ideals, and cultural evolution of a society. Put otherwise, cultural legacy accumulated over so much time may be destroyed or hidden in the 'jungle' of cities, but cities also contain the keys to resuscitate or unravel it for present and future generations to change the city both culturally and physically. Says Hugo (1831), "*l'architecture est le grand livre de l'humanité*".

Throughout their lives, people have often been associated with certain places, entailing a correlation between the individual and the place as each depends on the other. One such place is the city, and it is one of the most significant aesthetic elements in the construction of the novel, since the events of many stories revolve around it. (Shitwī, 2002: 27). It appears that cities depend on the concerted actions of its dwellers to develop the way they do and maintain their identities. However, as much as cities depend on people for their identities, city dwellers also depend on their city for their social and individual developments. This includes cultural and economic development. Therefore, the city is both a product and producer of culture. A central question of this study is how accurate/fictional the perceptions of this dynamic interrelationship are. How were individual lives changed over the processes of city growth, mobility and global interaction? How does the city affect people's mentalities, way of life, and environments? This is investigated by studying works of scholars who cast a critical look at the Arab city, as it holds a substantial place of the imaginary of Arab novels.

The presence of the city is highlighted on two levels: firstly as the molder of events (as in *Laylah Wāḥedah fi Dubai*)[1], and secondly as an incubator of a series of events which provide the urban atmosphere and setting for the literary work (as in *Al-erhābī 20*).[2] Such a big place and intense activity as the city is bound to initiate advents of various natures, including cultural and intellectual. Its weight also inevitably impacts and reorients the course that imported events will take. The blending of these realities is at the core of the relationship between the city and the novel.

This symbiotic relationship between the 'city' and the 'novel' deserves looking at. Novelists often use aspects of the city in their works. In turn, the city becomes immortalized in their work. What is the city in novelistic literature? Is it real? Is it fiction? A setting? A character? What role does it play? How does it depict reality? These are the questions discussed in this article.

Over time, the actual city seems to change whereas the city in the novel remains the same. For the past three centuries, the city has continued to provide a generous and valuable source of material for novelists who amply use this resource and its icons to produce such work as *Les Misérables* (Hugo, 1862)*, Oliver Twist* (Dickens,

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[1] *One Night in Dubai*, by Hānī Naqshabandī, who portrayed the city of Dubai as a heroic character.

[2] *Terrorist 20*, by Abdullah Thābet, whose narrative focused on the Asir region and the city of Abha.

1839), and in the Arab world, *Season of Migration to the North* (Salih, 1966), *Alexandria 47* (Abdulfattāh Rezq, 1984), not to mention Rajaa Ālim's works[3] featuring Mecca and Mahfouz's[4] on Cairo.

According to Elisabeth Guerrero, the city is not only built of towers of steel and glass, but is also a product and producer of culture (Lambright, 2007: xi). The city is a fertile place of contradictions as it is a living organism that reflects the life that occurs within it. Goldmann (1957:7) asserts, "The novel form is representative of everyday life". The city creates the world before being used as a depiction of the world. Thus, what the novelist depicts is just an idea of the city and not the city itself. In addition, the novel's place might be a location created in the writer's imagination by drawing on specific elements of reality. As Lehan (1998:7) states, "Writers of literature have relied on imaginative systems", although the construction of the novel's city is based primarily on the actual city. In the Arab world, this is the case with Cairo in the works of both Naguib Mahfouz (1956, 1957) and Yūsif al-Gu`īd for example. Thus, it might be important to try and strike a balance between reality and imagination.

The vision that the Arab city in literature is only the actual city is not fully consistent with some critics' views. For example, Gharāibah notes that most places in the Arab novel are derived from the imagination rather than reality. Some people would argue that the depiction of places in the Arab novel reflects the organization of villages, however large they may be. In forming a realistic image of a supposed place described as a mixture of desire, dream, and reality, it is not certain whether the writer is dealing with a real place or an imaginary one; or whether the writer meant one particular city or another one, absolutely unimaginable (Gharāibah, 2004).

Consequently, the recent interest in the study of the city in the Arab novel highlights a critical variation between the reality of the Arab city and the way it appears in the novel. This is why some people would argue that the depiction of places in the Arab novel reflects the organization of villages, however large they may be. But the composition of large villages does not correspond to the makeup of the modern city as a product and producer of culture.

There are critics who even maintain that in some way the Arab City is inexistent (Al-Mahmoud, 2006: 23). Mohammad al-Muwalihi's work is a typical example of the belief that it is Western cities such as Paris that are imported into the Arab novel, but that the Arabs do not really have their typically Arab cities so to speak.

There are writers like Al-Nusayyer, 2007: 12 who thought that some people discussing the Arab city do not know the nature of the relations between the city in question and its representation in the novel. "The rise of the Asian city is more than a story of the built environment or the engulfing of other forms of life by urbanism" (http://campuspress.yale.edu/asiancities/concept-note-part-2). Their ignorance of the interrelations that constitute the "fabric" of the modern Arab city could be blamed on their ignorance of the structure of the city's class system and activities, and its impact on the dynamic transformations within.

If the increase in distances people covered to go to their workplaces and the change in the way they got to those places (Lynch, 1960, and also Gulick, 2007) is seen as a parameter or condition for a locality to be called a city, then cities may have only emerged in the 19th century. Thus, it is necessary for authors to know the city, its civilization, urbanization processes, history, and religion of the Arab world.

The Arab civilization is not only the harsh civilization of the valleys and barren deserts. "It was in the Arab land that man first organized into a settled form of society, cultivating grain and raising livestock, establishing cities and promoting diverse skills and occupations" (http://www.alhewar.org/ArabCivilization.htm). Waving the question of the existence or not of the Arab city is posing the question of the cultural evolution of Arabia, of the transmission of their knowledge and know-how from earlier days to the present. This is what literature, with architecture and art (Hugo 1831), better than history books or technology, accounts for so eloquently.

No one can reasonably dispute the precedence of the civilization of Ancient Egypt that brought us the so praised pyramids and the mathematics to build them. However, the Arab civilization in general seems to be on the decline. Will it ever rise from its ashes? In any case, it may be too early to write it an epitaph in this ever changing world. Nations rise, reach their apogees, and fall; other nations take over, followed by yet others, and so on. Nothing augurs of the non-return of Arab-Islamic civilization to the front of the international scene. Yet if it is to be, it will necessarily be through the city and its traditional function of dynamic instigator of creativity, supporter of innovation, booster of activity, and pusher of intellectual borders. Whether it is about Arabia or anywhere, peoples should learn about and know their history, entrenched in it but open to the fruitful exchange

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[3] Such as *Tawq al Hamam* 2010

[4] Such as Awlād Hāratnā and Naguib Mahfouz's trilogy.

with other peoples; this is more veracious today than it has ever been before. Embracing positive change and enriching oneself with wider external input can only be for the good of self and others. Nostalgia and attempt at resuscitating the past are not the solution. If one is true to oneself and dynamically flexible, then one is well set to resist the storm of cultural up rootedness, insidiously instilled in people - with its load of negative consequences - that seems to be sweeping across fragilized nations and swaying the world across.

The spirit and soul of the old Arab city has aged and changed as much as the city itself has physically. Narrators have been telling it with a focus on the wrongs; it is high time they proposed solutions to the issue, for it can still be healed, however deep the scars may be.

The long history of urbanization in the Arab world reveals that the city has played a substantial role in its regard culture, which was originally based on life in cities (Ḥamdān, 1996: 5). Abu Zeid states: today's Arab is the product of a long development process undergone by the assembled scattered people of Arabia. P*eaceful coexistence and stability within the city* was achieved by reconciling tribes such as Aws and Khazraj, together with their allies, including the Jews who lived among the Arabs. This restoration was one of the first priorities of the Prophet (pbuh)[5] of Islam.

Some Arab dictionaries indicate that civilization, urbanization, and the city are organically related. The word 'city'/ *madina* is derived from the verb 'M D N' which means settle in a given place, while 'urbanization' *tamaddun* corresponds to the ethics of the people of the cities who progressed from a nomadic way of life to a state of stability, which implements schooling and education. 'Civility' *madaniyyah* means progress in scientific, artistic, literary, and social development which flourishes in the cities (Shaḥīd, 2007). The word 'civilization' *Ḥaḍārah* derives from the root 'Ḥ Ḍ R' which means attendance (as opposed to absence) and residence in urban areas. A Bedouin is often said to be civilized if he follows the morality of urban people, adopts their habits and even way of life. This also means permanent residence in the town or city, which, contrary to nomadism, is viewed as correlating with civility and progress (Ibn Manzhūr, 2005: itme of M D N and Ḥ Ḍ R).[6]

It is clear from the above that the words "civil" and "civilization" are intrinsically linked to the city and not to the desert or the countryside and therefore, the Arab civilization is essentially a civilization of cities. Consideration of the Arab novel requires identifying the position of Islam vis-à-vis the issue of the city and civilization as the Arab writer is generally religious and conservative by nature. Cordesman states, "Saudi Arabia is an intensely conservative society whose values are religious rather than secular" (Cordesman, 2009:307).

In the Islamic city, the concept of nation among the multiplicity of identity emerged as the Prophet (pbuh) established the nation's religion to all Muslims in and outside of the city. Furthermore, he also established a wider political nation concerning to Muslims and non-Muslims alike. A good illustration of this is the integration of Muslims and Jews in one political nation united by geography and political rights. Therefore, the concept of nation-state with attached services and related growth developed as Islam expanded to peoples within and outside the city (Young, 2010. vol 2: 503). Europeans contemplated the rise of Arabs in varied sciences and strove to do likewise.

1.3 Islam's Perspective on the City

If religion is, by its nature, a collective process, then it corresponds with the nature of cities and humans as sociable beings. This interaction has consequently promoted the emergence and growth of many cities. Some unique phenomena of the city in the Islamic world are the Friday prayer and the three days following Eid al-Adha[7], which should only be performed in cities (Al-Mulaggen, 2008: 439/7). Because it is a collective worship that encourages communal interaction, the Friday prayer should gather no less than forty people, according to some scholars. This would indicate a preference for cities and urban lifestyle over small villages and tribal ways of life.

The term *city* is mentioned 14 times in the Holy Qur'an and the word *village* 33 times. Names of villages are often mentioned in relation to basic feelings such as hunger, fear, joy, and greed. For anything having to do with the mind, the word *city* is preferred. In this context, the city has been shown in a positive aspect.

More than once in the famous *Muqaddima*, Ibn Khaldūn indicated how Al-Bukhārī cautioned against the dangers of extreme preoccupation with agricultural implements (Ibn Khaldūn, n.d: 142, 394). "Agriculture was definitely

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[5]Furthermore see Haykal, M. H. 2010. *Life of Muhammed* Islamic Book Trust p: 175-236.

[6]For more detail, See Ibn MANZHŪR, I. 2005. *Lisān Al-Arab,* Beirut, Dār Al-Kotob Al-ilmiyah.6(13). p 47, 126.

[7] Some scholars explain this hadith by saying that, there is no Friday and Eid prayer outside cities. ('Eid prayer' and Eid al-Adha means An Islamic festival commemorating the prophet Ibrahim's willingness to sacrifice his son Ismail to Allah (also called the greatest day of Hajj)).

considered one of the lowest occupations, suitable only for the meanest type of human being" (Badawi, 1985:27). This may be argued against with the numerous utterances praising agriculture in Islam. In any case, since the city is not the place for agriculture, the above quote maintains its virtue of being associated with the mind.

Islam has also greatly contributed to the development and promotion of architecture and civilization in general. Arab civilization essentially grew up in Mecca and Medina and flourished in Damascus, Aleppo, Baghdad, Cairo, and the cities of the Maghreb and Andalusia. In these cities flourished literature, arts, ideas and doctrines. Several aspects of the civilization thrived, such as grand mosques, schools, and major translation centers (Zikr-ur-Rahman, 2004: 176); that have had great impact on humanity. Religion and urban culture made the transfer of political power from one city to another an open process.[8] The three revealed monotheistic religions (Judaism, Christianity, and Islam) spread primarily from, within, and through cities to spearhead civilization. Prophet Mohammad (pbuh) was born in the city of Mecca, then migrated to another city, Medina, breaking the idea and practices of restricted tribal circles and expanded their horizons to turn their members into civilized people. The Prophet (pbuh) urged Muslims to seek education - fostering an Arab tradition among some individuals - and get civilized. Many did, which at the time gave them great educational advantage over the rest. Missionaries sent to, and mosques built in, various places to instruct peoples played an invaluable role in this regard.

Innumerable schools were established to teach subjects including the *Qur'an*, *hadiths* (Muslim tradition), *fiqh* (jurisprudence), *balagha* (rhetoric), etc. The city being diverse, everyone, including women and non-Muslims, was allowed to seek knowledge and participate in urban life. Civility prevailed. Schools grew in number and size and specialization developed, as did scholarships and pensions and dormitories to accommodate learners. Teachers were paid by government and private contributors.

The foregoing pleads for the existence of real cities, which are abundantly accounted for in different literary genres, whether realistic or fictional. Traveling in all directions to different cities in search of knowledge was a common practice. As cities were expanding and developing civilization, so were civilized people changing their face and perceptions too, concretely and through their fictitious accounts of it. Many cities were built to spread Islam and welcome converts. The expansion of this religion throughout the world has had an immense effect on urban planning, design, and life. It is essential for the centralization and administration of people. This speaks to why cities have to respond to the reality of the environments: natural, sociocultural, and religious (cf. Saoud, 2002 for the design principles and components of the Muslim city).

1.4 Mecca: A City of Civilization, Culture, and Religion

According to Kevin Wright, Director of the Global Organization for Religious Tourism, more than six million visitors from abroad travel to Saudi Arabia each year for pilgrimage (Hajj and `Umrah,[9] resulting in an estimated $7 billion per year (2009). The Saudi Minister of Pilgrimage stresses that, during the month of Ramadan in 2008 (September), Mecca received more than 3.2 million visitors from both home and abroad (Agency, 2009). Thus, a place like Mecca cannot be left 'out of the circle of cities'.[10]

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[8]Transmission of the Caliphate from Medina to Damascus in the era of Caliph Mu ` āwiya was a case in point; the transfer of political power from cities to other cities occurred after that during the heights of the Islamic empire when Arabs were in positions of power.

[9]Pilgrimage to Mecca—the so-called minor Hajj—unlike the Hajj proper, need not be performed at a particular time of the year; in addition, its performance involves fewer ceremonies. See WEHR, H. 1980. A Dictionary Of Modern Written Arabic. *In:* COWAN, J. M. (ed.) 3 ed. London, Beirut: acdnald & Evans Ltd. Librairie Du Liba   P. 643.

[10]In Qatar, Mecca (which is located in Saudi Arabia) was chosen as the capital of Islamic culture in 2006, a testament to its long cultural and influential role. Chancellor of Umm Al-Qura University Dr. Nasser Al-ṣāleḥ confirmed that a large number of lectures, papers, and seminars are presented on this occasion, along with more than 300 research studies and 500 events examining the impacts of Mecca in many places around the world (`Ābdullah, 2005). In addition, Umm al-Qura University in Mecca sponsored the publication of more than 100 books on Mecca and its impact, written by local and global authors—all in one year. Upon choosing Mecca as the capital of the Islamic culture, King Abdulaziz University presented numerous activities, such as:

A. '*The holiness of Mecca and its grace*', a study of the place and meaning indications as mentioned in Psalm 84 in the Bible (by Dr. Laila Zarour from the Department of Geography).

B. '*The holiness of Mecca in the Arab poetry*' (by Dr. Ibtisam Hamdan from the Arabic Language Department).

C. '*Citizenship*' (by Dr. NouraAlsaad).

D. '*The Alkaabasidana through history*' (by Dr. Fathia Alqurshi from the Department of Social Studies).

E. 'The shaping of the book of Mecca' (by Dr. Huda Alamode).

F. 'The ecological characteristics of Mecca and their effect on the pilgrims' (by Dr. FaydehBoukari from the Department of Geography).

A number of writers and critics believe in earlier views of Al-Maḥmūd (2006) and link cities to the industrial revolution, although classifying places are cities might not necessarily be related to its occurrence. Thus, some religious cities such as Jerusalem and Mecca might have missed the industrial revolution, yet have retained the features and characteristics that classified them as cities. In addition, the idea that the city was a deliberate creation of humans is subject to variations in culture, geography, and civilization. This would apply to many Arab cities beyond the size and population census. "Indeed, urban studies and most of the scholars' definitions can be applied to the Arab city; no one can mistake the way of life in the village with the one in the city" (Ghālī, 1995:12).

What also supports the existence of the Arab city is the existence of many books which include the word of a city, such as [11] *Al-madīna wa Al-turāth*, [12] *Al-madinah wa Al-shi`r Al`arabi Al-mu`āṣir*, [13] *Madinat Al-Riyadh`AbraAṭwār Al-ttārīkh*, [14]*The City in the Islamic World*, and [15]*Madinat Morākish*. Generally speaking, in terms of fictional works, several novels also draw their titles from names of cities and other places, including *Al-ḥamam Lāyaṯīr fi Buraydah* (2009) by Yūsif Al-moḥayemīd, [16]*Sūr Jeddeh* (2009), [17]*Lāyūj ad Muṣawwer fi `Unayzah* (2008), [18]*Lā ´aḥad fi Tabūk* (2008), and [19] *Yamorrūn be Alzhahrān* (2008).[20]

In conclusion, the Arab city may be perceived as both reality and fiction because it may be both, especially in the Arab novel. Fiction may be very powerful, but it is known that reality is even more powerful because it is the source of inspiration. Simply reading a novel such as *Al-rraj`a Al-ba`īd* by Fu'ād Al-Takarlī exemplifies understandings of the city, highlighting the relationship and the disparity between urban and rural areas from the perspective of the author, who first lived in a rural area and subsequently taught in cities. Understanding this leads the reader to realize that the Arab city *does* exist in Arabic fiction as it does in reality. As for Islam's perspective on the city, it is enlightening to read Saoud's (2002) *Introduction to the Islamic City*.

2. Methodology

This is a descriptive study that investigates perceptions of the Arab city among colleagues at the Department of English and Translation in Qassim University, and as exposed in the literature the authors reviewed. It was aimed at documenting how Arab cities are viewed in relation to Western cities in particular then suggest intelligent use of this understanding to limit the negative impact of differences on Arab societies and on relations between the Arab and the Western worlds.

2.1 Research Design and Procedures

As indicated above, this paper sets to describe and analyze views on what would constitute an Arab city. We produced the questionnaire below that we distributed to 20 of the 25 faculty currently exercising in the English department and received 15 answers. We wanted to distribute it to all the colleagues but did not manage because some asked us to wait for a more convenient time. The answers were to be appraised against the various readings done in both history and literature to answer the study questions; triangulation strengthens qualitative research (Holtzhausen, 2001). All of the participants, except one British citizen, were Arabs of different nationalities. Then we examined the data collected to get an idea of how Arab cities were perceived and how the insights

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G. '*The women of Mecca and the scientific life*' (by Dr. Ibtsam Khashmeri from the Department of History).

H. 'The canto on the footsteps of the beloved prophet Mohammed peace be upon him' (by Prof. Aisha Al Qarni from the Department of Islamic Studies).

I. Nada Burnji from the Department of European Languages prepared visual displays that have shown the cultural aspects of Mecca. She also conducted a presentation that included some rare antique pictures taken for the Haram in Mecca. Dr. Ibtisam Kashmeri prepared four visual displays done by the students of the Department of History. Other displays were presented by students from the Departments of Psychology and Social Studies. For more, see Center, F. R. (2009). 'Lectures and Sessions.'King Abdulaziz University FAH Research Center. Retrieved 6-5-2009, from http://rca.kau.edu.sa/Content.aspx?Site_ID=127&lng=EN&cid=2263.

[11]By Ahmed Maṭlūb, translated as the city in the heritage.

[12] ByMokhtār Ali Abu Ghālī, meaning the city in contemporary Arabic poetry.

[13]By Ḥamad Al-Jāsir, meaning the city of Riyadh through the phases of history.

[14]By Salma K and Renata Holod.

[15]By by Ahmed Al-Madīnī.

[16]By Sa`īd Al-wahhābī.

[17]By Khāled Al-bassām.

[18]By Muṭlag Al-boluwī.

[19]By Fāli□ Al-□aghayyir.

[20]In addition, *Banāt Al-Riyā□* (2005) by Rajā' Abdullah al-Sāni` and □*arīq Al-qa□□īm* (2008) by □bd al-rra□mān Al-yūsif.

acquired could participate in settling the relations between Arabia and the West.

2.2 Questionnaire

We appreciate your filling out this questionnaire designed to gather your perception of the Arab city and its specificities in the global context, and how you think it affects culture and civilization.

Please answer these questions as appropriate. If necessary, do not hesitate to extend your answers to the dotted lines below this questionnaire and a separate sheet if need be.

1. Do you think there is any such thing as an Arab city, essentially different from other cities in structure and 'soul?'   Yes ___   No ___   Not Sure ___

2. Can you please support your answer? ....

....

....

3. Does the Arab city only exist in literary fiction? Yes ___ No ___   Not Sure ___

4. Some people believe that urbanization and cities originated with the advent of the Industrial Revolution. Do you agree? Yes ___ No ___   Not Sure ___

5. If you do not agree, when do you think they can be traced back to? ....

6. Why do you think so? ....

....

....

7. How do you think the Arab city, if it exists, socioculturally speaking, compares with other cities in the world, in particular Western cities? Discuss similarities and differences.

....

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8. If the Arab city can be characterized as specific, how do its specificities affect culture and civilization?

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End of questionnaire.

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Supplementary answer space

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Thank you for your cooperation. M. S. Diallo. & A. Al-Fauzan

3. Results

This paper studied perceptions of the Arab city. To do so, it looked at people's opinion on whether such a city existed or not; whether it was real or imaginary; its relations with other cities; the similarities and differences; and the effect of all this on culture and civilization. Fifteen questionnaires were returned out of the twenty distributed to the English and Translation Department of Qassim University. There was a response rate of 75%. The researchers tried to reach all 25 faculty members and have them answer the questionnaire but didn't manage as some didn't seem to be interested. Below are the data collected.

1. Do you think there is any such thing as an Arab city, essentially different from other cities in structure and 'soul?' Yes: 9 (60%) No: 3 (20%)   Not Sure: 3 (20%)

2. Can you please support your answer?
    The architecture and culture/way of life are different: 8 (53%) (No answer): 7 (47%)

3. Does the Arab city only exist in literary fiction? Yes: 3 (20%) No: 9 (60%) Not Sure: 3 (20%)

4. Some people believe that urbanization and cities originated with the advent of the Industrial Revolution. Do you agree? Yes: 3 (20%) No: 7 (47%) Not Sure: 5 (33%)

5. If you do not agree, when do you think they can be traced back to? To the modern era: 5 (33%) To the beginning of society: 1 (7%) With the holy places of Makkah and Medinah: 3 (20%) Thousands of years before BC: 4 (27%) (Don't Know): 2 (13%)

6. Why do you think so?
    Europeans settlers organized the first cities in the Arab world to manage their colonies: (27%)
    Cities have always existed since big groups of humans started organizing themselves in a structured way: 5 (33%) There were no cities before Makkah and Medinah: 3 (20%)   (Don't Know): 3 (20%)

7. How do you think the Arab city, if it exists, sociocultural speaking, compares with other cities in the world, in particular western cities? Discuss similarities and differences. Similarities: sizes, infrastructure and administration: 12 (80%)
    Differences: prevalence of Islam; importance of family; ways and customs including socialization and food, systemic separation of genders in most cases: 13 (87) No comparison: 2 (13%) If the Arab city can be characterized as specific, how do its specificities affect culture and civilization?
    As an addition to universal culture: 3 (20%)
    By the concentration of mosques and their influence on people: 6 (40%)
    By the fact that new ideas and practices often pass through the filter of Islam: 3 (20%) (No answer): 3 (20%)
    End of questionnaire.
    _____

    Supplementary answer space "I would think it would be more appropriate if there is a little explanation of what you mean by 'Arab city'": 1

Fortunately, only one respondent made such a comment about the questionnaire. As researchers, we thought that what we meant by Arab city was clear, especially as conveyed by Questions 1 and 7.

The first question yielded 60% of yes answers and 20% no's. Another 20% declared not to be sure. This suggests that the respondents generally believed in the existence of a different identity for the Arab city. Such a city would be characterized by both its architecture and culture (53%). The same 60% who believed Arab cities had their

own marks and the 20% who believed they didn't also respectively thought that those did only exist in literary fiction.

As to whether cities in general and urbanization were a product of the Industrial Revolution, 20% answered yes, 47% no, and 33% not sure. Therefore, though a sizable percentile were not sure whether the Industrial Revolution originated cities, close to half did not credit it with urbanization, though it has played an undeniable role in their rise. Although 33% said they were not sure, 87% went on to indicate they believed cities predated the Industrial Revolution by centuries if not millennia, with 20% dating it to the pre-eminence of Makkah and Madinah as trade and religious centers. This is corroborated in www.boundless.com/world-history.

However, over a quarter (27%) of the participants indicated that European settlers started modern cities in Arabia. While 87 of respondents believed that Arab cities were different from their Western counterparts, when it comes to ways and customs, 80% also thought they were similar in sizes, infrastructure, and administrative configuration. These similarities would not affect Islam's precedence on all aspects of life, as 60% reckoned this prominence.

These results show that respondents generally believed in the existence, beyond literary fiction, of an Arab city that is essentially different from other cities. The difference is thought to be not only structural and infrastructural, but also cultural and civilizational. Cities in general and Arab cities in particular would predate Western colonization and even the Industrial Revolution, going back to at least the economic hubs and religious centers of Makkah and Madinah, if not many thousands of years earlier. Respondents also claimed that the differences mainly reside in the traditions and the impact of Islam on the society.

4. Summary and Discussion

This paper was based on data collected from the questionnaire and different readings to study perceptions of the Arab city and contemplate how these perceptions and their influence on Arabs can help bridge the comprehension gap between them and the West. Description of what is noticed and felt was used to this effect, along with insights from the pertaining readings carried out. The data collected and the readings done clearly indicate that respondents believed Arab cities have their own identities despite sharing some characteristics with other cities. This is not surprising to researchers as we thought that what triggered the debate about the existence or not of an Arab city that led to this research was the presumption of its existence. Moreover, it is common knowledge that the Arab civilization is ancient, as is supported by countless artifacts and writings. Therefore, they would not credit the Industrial Revolution or colonization with starting their cities, though it may have played a big role in the rise of Western cities (http://webs.bcp.org/sites/vcleary/ModernWorldHistoryTextbook/IndustrialRevolution). Suffice it to read the history and consider the heritage - part of which is currently being senselessly destroyed - of Mesopotamia and Assyria for example, to understand this position. If cities in the wider world have influenced modern Arab urbanization, themselves owe a lot to older Arab cities.

5. Limitations

One limitation of the study is its confinement to the current faculty of the English and Translation Department of Qassim University, KSA. Another limitation is its failing to cover the totality of the faculty, some being away in Australia, Britain, or the United States completing a graduate degree. Also, of the 25 currently teaching in the Department, 20 were distributed the questionnaire and only 15 answered it. Yet another limitation may be the Arab background of all respondents - though from different countries - but one British national.

6. Recommendations for Further Study

This study doesn't pretend to be exhaustive by any means. Additional research could be conducted on the topic for more comprehensive information leading to better comprehension and smoother communication between different peoples. People tend to be more tolerant or accepting of what they understand. In this era of globalization, mutual understanding is more than ever a necessity for peaceful coexistence. Within this dire situation of denied liberty for some, mostly Arab countries, in both the Middle East and the Mediterranean; the example of Europeans, with Germany ahead, providing vital relief for tormented humans, is a striking example of working empathy. Not only is this an example of solidarity with desperate people, it also provides the benefactors with much needed labor. We may learn from this situation that we are all indeed sailing in the same ship, and that we need to take care of each other instead of pulling into our own individual shells. Against misguided minds who bring about all the chaos and spread death on land and in the seas, we say "since night issues from the thrones, let the light come from the tombs (Hugo, 1878, page not indicated).

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The Development of Home Decorative Vetivers Seat Cushion

Rosjana Chandhasa[1]

[1] Faculty of Industrial Technology, Department of Industrial Design, Suan Sunandha Rajabhat University, Thailand

Correspondence: Rosjana Chandhasa, Faculty of Industrial Technology, Department of Industrial Design, Suan Sunandha Rajabhat University, Thailand. Tel: 66-955-181-285. E-mail: rosjana.ch@ssru.ac.th

Abstract

The aims of this study were: 1) to create a home decorative vetiver seat cushion. 2) To evaluate the received product design (the home decorative vetiver seat cushion), as well as the development process, which covers the research and trial-production improvement by cooperating with vetiver handicraftsmen; furthermore, its procedures consisted of: 1) searching for cultural capital in order to be an inspiration in product design; 2) experimenting to develop the product; 3) summarizing the development procedures; and 4) presenting the result of developed handcraft vetiver sitting-pad model on the following. 1) The identity of handicraftsman community: it should be investigated from the aspect of cultural capital represented by the earthenware shape as well as fabric pattern, 2) the delicate figure and pattern, 3) the usability: the design, size and proportion are suitable and easy to use, 4) the vetiver leaf and production process: the leaves should be tough, strong and hard to be torn; moreover, regarding weaving and finishing the rim, it should be done neatly without visible welded joints, and also 5) the product quality: each part is assembled fixing by leather, inside of the product is attached by cloth as well as filled with leftover fabric. Besides, the sewing should be considerably emphasized the strength to carry weight. In addition, the overall assessment of handcraft vetiver seat cushion model is at a high level.

Keywords: Handicraft, Seat Cushion, Vetiver Leaf

1. Introduction

"Vetiver": King Rama IX of Thailand advocated the idea of vetiver grass studies in order to prevent soil erosion, as well as to conserve soil moisture. It has also brought other benefits for the greater good from 1991 until now. In 1993, the King ordered various government agencies involved in the propagations to collaborate with the Land Development Department in order to sufficiently produce and distribute vetiver sprouts to the target group. If the vetiver leaf is used as a material in growing, it should have a further study about the adequate numbers of material, if it is pushed forward into an industrial level, because the vetiver is a perennial grass which has many leaves and can grow very fast. Therefore, it was studied in great detail before planting to avoid disadvantages that may affect its main purpose. Using the vetiver grass for other purposes should be prepared in specific cultivated areas in order to suffice for handicraft products. Phayao province is the largest vetiver growing area in the North of Thailand; as a result, it was managed to be investigated and experimented for the growing the vetiver grass under the supervision of the Land Development Department. Similarly, the Department of Industrial Promotion Region 1 also conducted a seminar to acknowledge the vetiver handicraft of the villagers. This inspired the villagers to confederate as a Satri Sahakorn Nikom (Female Agricultural Cooperative), which took the harvested vetiver grasses to make craft products; consequently, this has produced additional income for the villagers.

Presently, there is a high production competition among the vetiver handicraft smen in Phayao, and the survey result of handicraftsmen's production illustrates that the strength is, according to the long history of bamboo interlacing as well as fabric weaving, high-value cultural products are made and the skill is in herited from generation to generation. It helps the producer in proficiency, and the products are created elaborately by using a noncomplex procedure and local materials.

The production is conducted without damaging natural resources or the environment; furthermore, there is a low expenditure in all processes. However, it still has weaknesses: firstly, it is time-consuming in production processes which is disadvantageous to commercial competition. Secondly, the significant lack of knowledge as

well as creative ideas of the handicraftsmen brings about a lack of ability to create products which have a modern style and a utility that meets the customers' demand. This also causes other serious problems: such as production imitation among the producers, incapacity to register the five-star-OTOP-product classification, which results in an inability to trade at an international level; the limited channels of distribution; and an inability to add value to the product, which effectuates the making of more money in families or communities. As aforementioned, the prompt resolution of these cases is required; in another word, the handicraftsmen want to develop the product in order to meet market expectations continuously and sustainably.

There are many methods of vetiver handcraft product development nowadays, such as the form and figure development in order to suit a utility, technique and process development, product quality development, and also vetiver fiber development for textiles. These innovations have to use manufacturing technology; therefore, most benefits become the property of manufacturers. On the other hand, the handicraftsmen, who previously produced the product by hand, unavoidably miss out on the opportunity. To resolve this, it is essential to have a campaign emphasizing the eco-friendly and natural-material applications or products which can reduce the global warming effect. Additionally, the research considered the vetiver handicraft product development process, which contains the content of original capital in both social capital and cultural capital that can bring about further development as well as creating a standardized home decorative product in which social context and cultural identity in different areas has more value and worth. This can result in higher earnings for a better life, as well as a sustainable environment.

2. Research Objectives

(1) To create a vetiver seat cushion for decorating a house.

(2) To evaluate the received home decorative vetiver seat cushion.

3. Research Conceptual Framework

Assuming that taking the cultural capital to develop the vetiver sitting cushion pads will have a quality in accordance with an OTOP standard for vetiver handcrafts.
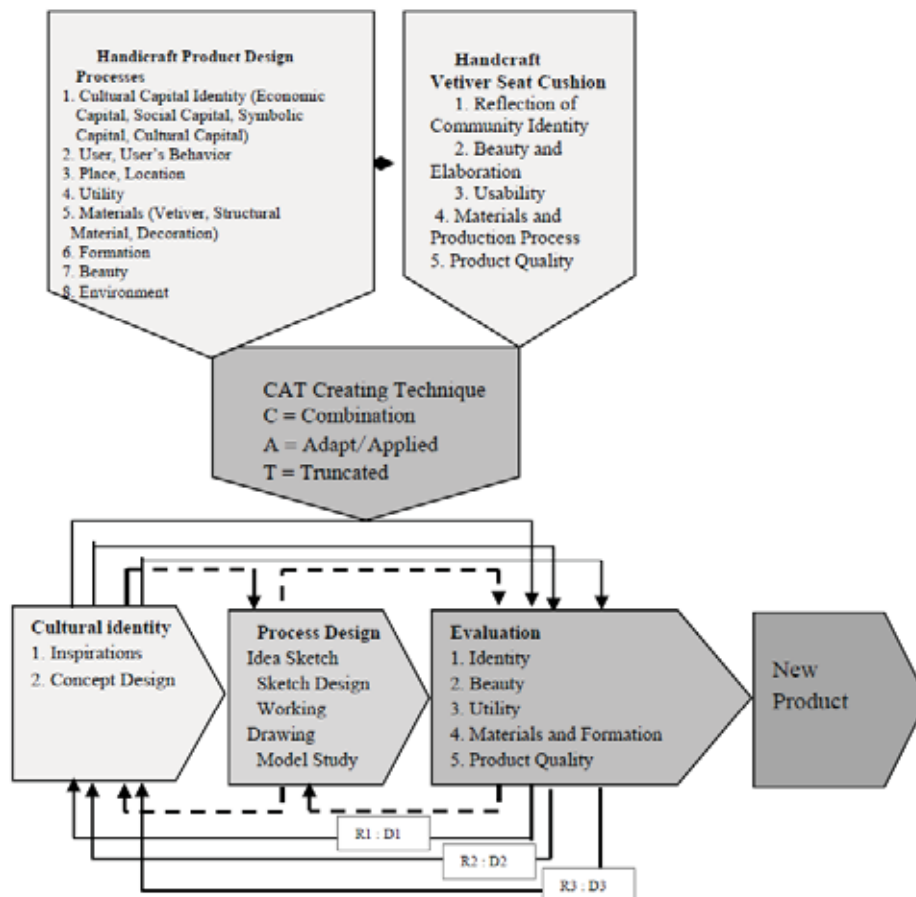

Figure 1. Conceptual framework.

4. Research Methodology

This study was research and development cooperating with the community in an action research using a systematic research process in order to create new ideas or alternative procedures in vetiver product development.

4.1 Scope of Research

The delimitation of the study included:

Stage 1: Area Scope and sampling: the area scope was in Phayao province, and only vetiver handicraftsmen who continuously in merited the family business more than 10 years were targeted. The research used purposive sampling method; the population is segmented into 3 groups which there are 30 people per group.

Stage2: The 3 product design experts, whom specialized in vetiver products, were skillful, and had knowledge about product design at least 10 years, were selected.

Stage 3: Consumer sampling: the target audiences that the researcher selected were people and travelers in Bangkok, which totaled 100 people by using convenience sampling at Chatuchak Weekend market.

Stage 4: Design limitation: the researcher created a set of seat cushion pads for home decorating.

4.2 Research Instrument

Stage 1: Using an in-depth interview technique, as well as a participant observation, to gain information from the vetiver handicraftsmen in Phayao about management, material preparation, transformation, problems of original product and design development.

Stage 2: Participating in the vetiver handcraft product development by cooperating with the vetiver handicraftsmen in Phayao province both before and after developing the vetiver product model to the producers and the specialists. Additionally, the assessments were designed 2 times by using questionnaires with the product model in order to evaluate: the reflection of the product towards cultural identity of the vetiver community in Phayao, the suitability and beauty, the appropriateness of utility as well as the properness of materials and production process.

Stage 3: Using questionnaires to assess user's satisfaction through the product model on: the reflection of the product towards cultural identity of the vetiver community in Phayao, the suitability and beauty, the appropriateness of utility, the properness of materials and production process (after reformation) as well as the product quality.

5. Data Collection and Data Analysis

Research Step 1: Preparation and Collecting Data

(1) Site surveys were conducted, a meeting was held to explain the activity description, preparation, and bring understanding correspondingly in order to develop the handicraft sitting cushion.

(2) The product model categories were learned and investigated, and information was gathered from the target group by using interviews, structured interviews and observation to study problems, resolution and market tendencies.

Figure 2. Bringing understanding about product design and development.

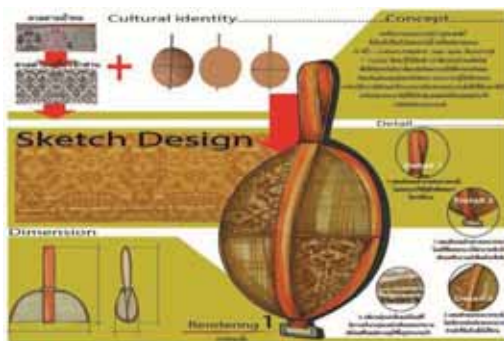Research Step 2: Three Archetypes of Drafting Development

Seat Cushion Type 1: This sitting pad is inspired by the figure of a manual blower fan which is the Tai Lue stuff. The product structure is developed and reshaped in order to promote the exoticness and identity of vetiver handcraft community in Prayao. In regard to the interlacing pattern, the researcher adapts fabric patterns, such as cotton-tree pattern and cotton-leaf pattern into seat cushion pattern design to boost the unique as well as beauty. In addition, the materials used are vetiver leaf mixed with leather.

Figure 3. The design and development of the Seat Cushion Pad Type 1. Designed by Rosjana Chandhasa.

Seat Cushion Type 2: The idea of this sitting pad came from the shape of a threshing basket which was a Tai Lue item. Its structure was improved in order to create a new form. According to remaking the exoticness and identity of vetiver handcraft community in Phayao, the researcher brought the fabric pattern, which was a flower pattern, to put into seat cushion pattern design to boost the uniqueness as well as beauty, and the materials used in this recreating were vetiver leaf mixed with leather.

Figure 4. The design and development of the Seat Cushion Pad Type 2. Designed by Rosjana Chandhasa

Seat Cushion Type 3: The inspiration of this sitting pad was the figure of a basket which was a Tai Lue item. Recreating the exoticness and identity of vetiver handcraft community in Phayao, the researcher adapted a fabric pattern which was a Tai Lue Ikat pattern into the interlacing pattern of seat cushion in order to highlight its uniqueness as well as beauty. The materials used in this recreating were vetiver leaf mixed with leather.

Figure 5. The design and development of the Seat Cushion Pad Type 3. Designed by Rosjana Chandhasa

Research Step 3: The Production of Three Seat Cushion Pad Models.

Figure 6. Interlacing the tree pattern

Figure 7. The finished weaving pattern before fixing with leather

Figure 8. The seat cushion inspired by the manual blower fan attached with leather and containing with a bag containing leftover cloth inside

Figure 9. Interlacing the cotton pattern.

Figure 10. The pattern from the middle to rim of vetiver interlacing by following the archetype.

Figure 11. The seat cushion inspired by the threshing basket attaching with leather and containing with a bag containing leftover cloth inside.

Figure 12. Interlacing the Tai Lue Ikat pattern and finishing the rim.

Figure 13. After interlacing and taking out from the archetype before fixing with leather.

Figure 14. The seat cushion inspired by the basket attached with leather and containing a bag with the leftover cloth inside.

6. Conclusion of Research Results

The analysis result of the satisfaction towards the seat cushion conducted from 3 target groups (consumers, specialists and producers) are shown in Table 1:

Table1. The Analysis Result of the Satisfaction towards the Seat Cushion Conducted from 3 Target Groups

The Model of Seat Cushion Type 1

The Model of Seat Cushion Type 2

The Model of Seat Cushion Type 3

The pattern detail of Seat Cushion Type 1 (Cotton Pattern)

The pattern detail of Seat Cushion Type 2 (Tree Pattern)

The pattern detail of Seat Cushion Type 3

(Tai Lue Ikat Pattern)

The researcher had to build the model different from the draft because the fold seat pad could not be sewn. If a producer forces it, the

The model could be finished which was relevant to the draft.

The researcher had to build the model different from the draft, because the rim had to be strengthened by adding leather to be attached between two pieces. This could also

interlaced vetiver will be broken and loose. Therefore, the seat pad is designed in the form of a two-piece attachment.

make the sitting pad stronger. Regarding the pattern, the producer could not weave the Ikat pattern into all of interlacing, so the producer weaved the Tai Lue Ikat Pattern in the rectangle shape only in the middle.

Lists of Seat Cushion	Consumers N1 = 100		Specialists N2 = 3		Producers N3 = 30		Total N1+N2+N3⁄3		Level of Satisfaction
	Mean	SD.	Mean	SD.	Mean	SD.	Mean	SD.	
Seat Cushion Type 1	3.22	0.87	4.34	0.73	4.34	0.60	**3.96**	**0.73**	**High**
Seat Cushion Type 2	3.17	0.88	4.26	0.55	4.26	0.46	**3.89**	**0.69**	**High**
Seat Cushion Type 3	3.27	0.89	4.42	0.60	4.42	0.50	**4.03**	**0.66**	**High**

According to the Table 1, the three models of sitting cushions were given to the producers. In conclusion, the first analysis result of satisfaction towards the seat cushion from the 3 groups (consumers, specialists and producers) elucidates that all target groups were most interested in the seat cushion type 3, as evidenced by the high average at 4.03, and the suggestions for the further study (second study) include:

1. The position of Tai Lue Ikat Pattern should be developed in order to accentuate and beautify the pattern.

2. As a leather rim of the seat cushion is quite large; therefore, it should be separated into 2 pieces to promote utility.

3. Close study of the target groups will be advantageous to the development of seat cushions involving target groups' behavior.

In regard to the evaluation and suggestions through the first satisfaction analysis result, the researcher selected the sitting cushion type 3 to reform, in accordance with the suggestion that dividing it in two pieces will offer additional usability. The researcher adapted the sticky-rice wicker into an inspiration, and this recreated the product using the C-CAT theory.

Figure 15. Refining the pattern of the seat cushion from the C-CAT theory

As observed from Figure 15 about the seat cushion idea, the researcher adapted the figure of sticky-rice wicker which is a Tai Lue item into the creation, and reformed the product structure in order to promote the exoticness and identity of the vetiver handcraft community in Phayao. In the interlacing pattern, the researcher refined the Tai Lue Ikat pattern to adapt into the sitting pad pattern designed to boost the unique as well as beauty. In addition, the materials used in producing the seat pad were vetiver leaf fiber mixed with Erisilk fiber.

The drafting archetype became the developed model in Table 2. It is noticeable that the usage of the sitting cushion inspired by sticky-rice wicker was when two pieces of the wicker were attached; it can be a drum round table, and when they are separated, they can be sitting cushions. Another side (vetiver side) can be used as a low tea table.

Table 2. The Second Design of Seat Cushion Model

2th Seat Cushion Model	Characteristic	Another Side Usage	Pattern
	Low Sitting Cushion		Tai Lue Ikat Pattern on the low sitting cushion interlaced in a rectangle shape.
	High Sitting Cushion		Tai Lue Ikat Pattern, on the Side of the high sitting cushion, weaved around the piece.

No.	List	Consumers N1 = 100		Specialists N2 = 3		Producers N3 = 30	
1	**The product represents the cultural identity of vetiver handicraft community in Prayao.**	**Mean**	**SD.**	**Mean**	**SD.**	**Mean**	**SD.**
	1.1 The shape and pattern can reflect the uniqueness of vetiver handicraft community in Phayao.	4.00	1.00	4.66	0.51	4.33	0.57
	1.2 The shape and pattern are beautiful and delicate.	4.33	1.15	4.50	0.54	4.33	0.57
	1.3 Utility: the form and figure suit a usage.	3.66	0.57	4.50	0.54	4.00	1.00
	1.4 Vetiver leaf: strong and hard to be torn, and production process: the interlacing done neatly without welded joints.	3.96	0.49	4.50	0.54	4.00	0.00
	1.5 Product quality: attaching with leather, padding with cloth inside and putting leftover fabric are done elaborately and can carry weight.	4.43	0.62	4.33	0.51	4.33	1.15
	1.6 The peak satisfaction factor comes from the appropriateness of adapting the shape and pattern into product design	4.80	0.40	4.66	0.51	4.00	1.00
	1.7 The reflection of the product worth and cultural identity value of vetiver handicraft community in Phayao are suitable.	4.33	1.15	4.33	0.81	4.00	1.00
	Total	**4.21**	**0.76**	**4.49**	**0.56**	**4.14**	**0.75**
	Level of Satisfaction	**High**		**High**		**High**	

As is presented in the Table 2 about the second-design-seat-cushion assessment, the product could reflect the cultural identity of vetiver handicraft community in Phayao. Regarding the result evaluated by three target groups (consumers, specialists and producers) having the total average at 4.28, there was a high level of satisfaction which is summarized as follows:

Consumers (N=100) had a high level of satisfaction with a total average at 4.21. Notably, the peak satisfaction factor comes from the appropriateness of adapting the shape and pattern into product design having a high level of appropriateness with 4.80.

Specialists (N = 3) had a high level of satisfaction with total average at 4.49. In addition, the highest satisfaction factors were the shape and pattern can reflect the uniqueness of vetiver handicraft community in Phayao and the appropriateness of adapting the shape and pattern into product design had the highest level of appropriateness with 4.66.

Producers (N = 30) had a high level of satisfaction with total average at 4.14. Noticeably, the shape and pattern can reflect the uniqueness of vetiver handicraft community in Phayao, the exoticness is suitable for the product design and the ability to value the product were on the top of all satisfaction factors having a high level of appropriateness with 4.33.

Table 3. The Second-Design-Seat-Cushion Assessment in Proper and Beauty Evaluated by Three Target Groups (Consumers, Specialists and Producers)

No.	List	Consumers N1 = 100		Specialists N2 = 3		Producers N3 = 30	
2	Properness and Beauty	**Mean**	**SD.**	**Mean**	**SD.**	**Mean**	**SD.**
	2.1 The shape and pattern suit the beauty in product design.	4.66	0.57	5.00	0.00	4.66	0.57
	2.2 Interlacing pattern has an appropriate and beautiful composition.	3.83	1.16	4.66	0.57	4.33	0.57
	2.3 The aesthetic of pattern and shape implies unique characteristic of the vetiver handicraft community in Phayao.	4.46	0.75	5.00	0.00	4.66	0.57
	2.4 The pattern is beautiful and suits the product.	4.00	0.89	4.00	0.00	4.00	0.00
	2.5 The beauty of materials	4.33	0.57	5.00	0.00	4.66	0.57
	2.6 The overview of the product suits the beauty	4.00	0.00	4.66	0.57	4.33	0.57
	Total	4.21	0.65	4.72	0.19	4.44	0.47
	Level of Satisfaction	**High**		**Highest**		**High**	

Table 3 elucidates the second-design-seat-cushion assessment on appropriateness and beauty evaluated by three target groups (consumers, specialists and producers) having the total average at 4.45, and there was a high level of satisfaction in the list 2.4 that the pattern was beautiful and suited the product. All target groups express satisfaction coherently in the high level with the average at 4.00, and can be summarized as follows:

Consumers (N=100) had a high level of satisfaction with total average at 4.21. It shows that the first rank comes from the shape and pattern suit the beauty in product design which had the highest level of appropriateness with 4.66.

Specialists (N = 3) had the highest level of satisfaction with total average at 4.72, and it was found that the top rank are the shape and pattern suit the beauty in product design, the ability to represent the unique characteristic of the vetiver handicraft community in Phayao, and the beauty of materials having the highest level of apropos relatedness with 5.00.

Producers (N = 30) had a high level of satisfaction with total average at 4.44. As was observed, the shape and pattern suit the beauty in product design, the ability to represent the unique characteristic of the vetiver handicraft community in Phayao, and the beauty of materials hit the top rank which having a high level of appropriateness with 4.66.

Table 4. The Second-Design-Seat-Cushion Assessment in Suitability of Physical Utility and Appropriateness of Materials as well as Production Process Evaluated by Three Target Groups (Consumers, Specialists and Producers)

No.	List	Consumers N1 = 100		Specialists N2 = 3		Producers N3 = 30	
3	**Suitability of physical utility**	**Mean**	**SD.**	**Mean**	**SD.**	**Mean**	**SD.**
	3.1 Suitability of convenience in usage	4.53	0.60	4.66	0.57	4.51	0.66
	3.2 Propriety according to user's physiology	4.67	0.58	4.66	0.57	4.61	0.60
	3.3 Suitability of security in usability	4.75	0.47	4.00	0.00	4.64	0.56
	3.4 Suitability of maintenance and cleaning	4.46	0.75	4.33	0.57	4.66	0.55
	3.5 Suability of strength	4.65	0.55	4.66	0.57	4.60	0.65
	Total	**4.61**	**0.59**	**4.46**	**0.45**	**4.60**	**0.60**

4	Appropriateness of materials and production process	Mean	SD.	Mean	SD.	Mean	SD.
	4.1 Appropriateness of materials in production procedures	4.16	0.98	4.00	0.89	4.16	0.75
	4.2 Production assimilation is operated suitably.	4.11	0.88	4.16	0.75	4.66	0.57
	4.3 Is it suitable if vetiver fiber is mixed with other fibers?	4.51	0.66	3.50	1.51	5.00	0.00
	4.4 The material used is strong	4.44	0.70	3.66	1.21	4.00	0.00
	4.5 The material is exotic and easy to produce	5.00	0.00	4.00	0.89	4.16	0.75
	Total	**4.44**	**0.64**	**3.86**	**1.05**	**4.39**	**0.41**
	Level of Satisfaction	**High**		**High**		**High**	

According to the second-design-seat-cushion assessment, evaluated by three target groups (consumers, specialists and producers), on the suitability of physical utility had a total average at 4.55 exhibiting the highest level of satisfaction; whereas, the appropriateness of materials and production process had a total average at 4.23 which was a high level of satisfaction.

7. Discussion of Research Result

The research result demonstrates that investigating the community identity displayed by original hand-made basketries which can be reformed into a sitting cushion pad as well as the pattern implied a community cultural capital which could be adapted in vetiver interlacing, such as the ikat pattern, cotton pattern, and tree or flower pattern. Furthermore, Jongchansittho, P. (2014:2). Claimed that the handicraft emphasized the making of things by hand as well as using local materials. It was valuable in both aesthetics and utility; moreover, it had a different form in each area which had to be painstakingly made. Additionally, it could define the living of local people in the particular place, and the handcraft could be classified by its characteristics, such as categorizing according to the use of materials: wooden craft, metal craft, categorizing according to the production process: weaving or interlacing, and distinguishing by physical format: textile or pottery. These creations were all built by the people called "handicraftsmen," who had knowledge, and skills, which were descended from an ancestor to another generation to the next in order to continue the indigenous wisdom. The native handicraftsman was acclaimed as the "creator" as well as the "preceptor" simultaneously. Likewise, transforming the vetiver fiber by twisting with other materials in production could be elevated or reduced by considering the size of product; other fibers may be woven with the vetiver fiber by braiding or Macramé stringing which has to use the proficiency in production and material selection of the handicraft, which relates to Janyatam, J., & Sikka, P. (2012:103). The research result exhibited that the most natural materials are fragile if they are folded or bent. Thus, the fibers should be transformed by roving or twining as a rope or braid before making a product. Roving or twining in to a rope form helps the fibers to be stronger, and it can also be formed easier. Consequently, the product can be made beautifully. The aforementioned also involved with Laowattanaphong, S. & Smanchat, S.(2012: 231), who studied *Musa* genus fiber, and found that stranding the *Musa* genus fiber with hemp fiber made it stronger having the highest hardness test at 678.71 N (Newtons). The stranded fiber was used as a material in furniture production by weaving it in the matt-weave pattern in order to show the beautifulness of both fibers; moreover, the strong stranded fiber can be utilized in producing other products carrying weight effectively. In accordance with Soodsang, N. (2016: 179). concepts gained from this research can be applied to wood and can be used for larger composition and dimension, more natural, increased natural adaptive technologies, mirroring the world in need of sustainment and relaxation from chaos. However, furniture design work should also reflect the special need of elderly people such as for the floor, rounded table corners, strong sofas, light-weight furniture in moderate size to be movable by the elderly people themselves, independent of others. The growth of the furniture and accessories market also depends on other factors such as investment on various projects by the government sector, the government's policy to increase economic activity, the trust of the private sector of the government policy, real estate, condominium and townhome projects being launched, all are key elements in the development of different types of furniture designs. According to Mekhum,W. (2016). Has said Thailand with special emphasis on product quality, environmental protection and workplace safety. Results of the OTOP manufacturers' survey were interpreted by means of statistical analysis to show how quality and safety are interrelated in the OTOP context. Author's recommendations are provided concerning further development of OTOP manufacturing and local economies as such with the emphasis on employees' protection and higher standards guaranteed.

The study of the vetiver seat cushion development encourages the consumers to reduce using wooden furniture, since it causes deforestation, which harms the environment, as well as evokes further disadvantages later. Over

and above, it urges the elderly together to do activities, which can lessen their depression and anxious condition.

8. Suggestions

1) According to agricultural extensions in growing vetiver grass in order to use in handicrafts, adequate numbers of vetiver leaf in producing products should be studied more. If the quantity of vetiver leaf is deficient, the campaign of growing more vetiver should be promoted to respond the demand in further development.

2) In adapting the vetiver fiber into the textile industry, the research result of vetiver study reveals that the qualifications of vetiver fiber, such as the fineness, hardness and flexibility are almost similar to the plant fibers are used in fabric weaving. Hence, adapting the nipa-palm-leaf fiber into other plant fibers which are able to be reeled as a thread to innovate the new type of fabric in the textile industry should be studied.

3) Regarding the vetiver transforming process in textile industry, industrial production in order to acquire the new materials in producing fabric as well as further develop the fabric to be a home decoration and clothes should be studied.

Acknowledgment

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Indigenous Peoples' Struggle for Secure Land Tenure in the Philippines: Case Study of Higaonon Tribe in Opol, Mindanao

Petr Drbohlav[1] & Jiri Hejkrlik[1]

[1] Department of Economics and Development, Faculty of Tropical AgriSciences, Czech University of Life Sciences, Prague, Czech Republic

Correspondence: Jiri Hejkrlik, Department of Economics and Development, Faculty of Tropical AgriSciences, Czech University of Life Sciences, Prague, Kamycka 129, 165 00 Prague 6 – Suchdol, Czech Republic. Tel: 420-2-2438-2508. E-mail: hejkrlik@ftz.czu.cz

Abstract

Indigenous peoples worldwide struggle for control over land and natural resources against encroachment of state interests, external development and commercial pressures such as agribusiness, dams, logging and mining. Their battle to protect land and natural resources is at the same time the struggle to preserve indigenous culture and traditions often inextricably linked to the land itself. The Philippine Indigenous Peoples Rights Act recognizes the indigenous peoples' rights to their ancestral lands and domains and offers a way of improving their land tenure security. The article employs case study design to illustrate the implementation gap between the rights of indigenous peoples in law and practice and the role different stakeholders play in securing indigenous peoples' land tenure and dealing with palm oil agribusiness and mining industries' interests in ancestral domains on the case of Higaonon tribe in Misamis Oriental province, Mindanao. The methodology for data collection was focus group discussions and key informant interviews with representatives of tribal leaders and members, non-government organizations and government bodies. Our results indicate that conflicting laws and mandates of various government bodies and lack of coordination between them, as well as lack of resources and political will to implement the Indigenous Peoples Rights Act are important factors behind slow issuance of ancestral domain titles. At the same time, we show that significant factor in the land tenure insecurity of indigenous peoples is disunity within the tribe and conflicting interests of its members and clans used by companies to further enhance their business interests.

Keywords: land grabbing, indigenous peoples, ancestral domain, agribusiness, palm oil, mining

1. Introduction

Indigenous people worldwide struggle for control over what they claim as *their* land and *their* natural resources. In the times of globalization, they encounter encroachment of state interests, external development and commercial pressures such as large-scale agribusiness, logging and mining into their traditional lands. This accelerates deforestation and exploitation of natural resources in what has remained from their ancestral domains after the colonial period during which indigenous peoples had lost vast amounts of their ancestral lands. Uprooting of indigenous peoples from their land denies them the right to life and identity; their battle to protect land and resources is implicitly the struggle to preserve indigenous culture and traditions often inextricably linked to the land itself. As shown by Göcke (2013), Perera (2009), Carino (2009) and many others, the loss of land has also led to social, political and economic marginalization; indigenous peoples have become disadvantaged by almost every standard compared to the dominant society - including income, education, housing, health, and life expectancy.

Having developed from very different historical origins, modern legal systems and indigenous customary laws often contradict each other in their land tenure concepts (Molintas, 2004; Carino, 2012; Arquiza, 2005). Lands that governments claim as idle, marginal and uncultivated and therefore target for land concessions, investment or development are in reality often existing agricultural lands in ancestral domains where various customary land tenure arrangements are already in place (White et al., 2012; Borras & Franco, 2011; Schneider, 2011; Scoones et al., 2013; AFRIM, 2011).

The legal concept of indigenous rights in international law represents recognition for indigenous peoples'

collective rights to land and livelihood strategies within nation-state structures that have discriminated against them (Perera, 2009). Several countries, including the Philippines, Malaysia and Cambodia, have recognized indigenous land rights in their national legislations and have introduced corresponding domestic legal instruments to protect communal land rights and resources. However, despite these legal instruments, indigenous peoples are still disadvantaged because the lack of political motivation to properly enforce these laws or produce the regulations for implementing them impedes their full realisation (Xanthaki, 2003; Simbolon, 2009; Inman, 2016; O'Faircheallaigh, 2012; Novellino, 2000).

Indigenous land rights in the Philippines have attracted surprisingly relatively little interest from international development scholars despite the increased pressure on indigenous peoples' land and natural resources in recent years fuelled by the global land rush and ongoing armed conflicts. This paper strives to contribute to the renewed policy discussion on failures in the Indigenous Peoples Rights Act (IPRA) implementation and delays in its enforcement brought to spotlight by the Philippine president Rodrigo Duterte. This paper, using a case study design, aims to show that the mere existence of a domestic legal framework towards the rights of indigenous peoples in the Philippines does not ensure indigenous peoples' land tenure security vis a vis agribusiness and mining industry. Two main objectives of this paper could be described as to:

a)   illustrate implementation gap between the rights of indigenous peoples in law and practice and significant delays in land titling under IPRA and explore reasons behind these gaps and delays

b)   explore roles of different stakeholders such as indigenous communities and their tribal councils and farmers' organizations, non-governmental organizations (NGOs) and various government agencies in the process of securing Certificates of Ancestral Domain Titles (CADT); and the interaction between them and commercial interests in ancestral domain.

This study examines the land related conflicts in Opol municipality, Misamis Oriental province. The ancestral domain was brought to the public attention by several advocacy NGOs after a controversial oil palm plantation started operating here in 2011. These organizations, including Pesticide Action Network Asia and the Pacific (PAN AP), Rural Missionaries of the Philippines, Peasant Movement of the Philippines (KMP), Kalumbay Regional Lumad Organization, Sentro Kitanglad, and the Asian Peasant Coalition, organized International Fact Finding Mission in May 2012 and were active in campaigning on this particular land grabbing issue well into 2013.

The paper is structured in following way – the next section focuses on issues around indigenous peoples and the corresponding legal framework related to land tenure in the Philippines and provides literature overview of palm oil and mining industries' impact on local communities, especially indigenous peoples, with special emphasis on the Philippines. The third section provides the description of our case study area and the methodology employed. The fourth section then presents the results combined with discussion on the role of the state, NGOs and private businesses in indigenous peoples' land alienation, tribal unity and the disparity between the legal framework and its implementation.

2. Indigenous peoples' land tenure and impact of mining and palm oil industries

2.1 Indigenous peoples and land tenure framework in the Philippines

Estimated 10 to 15% of the Philippine population belongs to distinct indigenous communities who retain a close link with their traditions, have a special relationship with their ancestral land, territory and resources and their livelihoods tend to be subsistence-oriented (Molintas, 2004; Carino, 2012). In the 1970s pressure upon indigenous communities' land base, rich in natural resources, intensified as the national economy became increasingly foreign-dominated and export-oriented; as a result, indigenous communities have been besieged by a growing number of corporations engaged in mining, logging, plantations, and other export industries (Molintas, 2004; USAID, 2011). Indigenous peoples are among the poorest and most marginalized sectors of Philippine society experiencing neglect and discrimination in the provision of basic social services by the government (Carino, 2012; Rey, 2010).

What essentially distinguishes the indigenous peoples from the rest of the Philippine population is their concept of land and everything connected to it as granted and entrusted by one Creator/deity for everyone to harness, cultivate, sustain, and live on. Because of this divine origin of land, it is sacred and thus not subject to ownership, sale, purchase or lease. The adoption of a contemporary, Western model of land ownership that favours individual property rights and formal legal land titles is at odds with customary systems in which land is collectively held and inherited by communities and managed under the leadership of chieftains or *datus* (Bolton & Leguro, 2015; IOM & World Bank, 2013; Carino, 2012; Molintas, 2004). The superimposition of colonial laws started with a legal fiction, the so-called Regalian Doctrine, which declared that the Crown of Spain owned

all lands in the archipelago by virtue of conquest. This would later become the theoretical bedrock upon which Philippine land laws were based; the 1894 Maura Law denied and contradicted customary land tenure laws by declaring that any lands not titled in 1880 would revert to the state (Molintas, 2004; Lynch, 2005). The Regalian Doctrine remained in favour throughout the American administration of the Philippines, providing legal justification for controlling the islands' natural resources (Crisologo-Mendoza & Prill-Brett, 2009; Tujan, 2002; Rey, 2010; Lynch, 2005) - the 1905 Mining Law gave the Americans the right to acquire public land for mining purposes and enabled extraction of mineral resources from the indigenous territories. Among post-colonial pieces of legislation that would further deprive the indigenous peoples of their ancestral lands, was the 1975 Revised Forestry Code which provided that all land with a slope of 18 degrees or more is a public land (GoP, 1975); the indigenous peoples have traditionally practiced sustainable agriculture on such slopes in their ancestral territories (Molintas, 2004).

The passage of a landmark legislation for indigenous peoples in 1997, the Indigenous Peoples Rights Act (IPRA), has increased the prospects for sustaining communal land management in indigenous areas of the Philippines. This Act recognizes the indigenous peoples' rights to their ancestral lands and domains, sets forth the concept of communal/collective land ownership and is offering a way for securing land tenure to indigenous communities (Crisologo-Mendoza & Prill-Brett, 2009; Arquiza, 2005). However, the U.N. Special Rapporteur on the Situation of Human Rights and Fundamental Freedoms of Indigenous Peoples observed inadequate implementation of this Act, particularly because it conflicts with other laws such as the 1995 Mining Act (UN, 2003). The existence of multiple government agencies charged with land administration and their different regulatory systems and instruments, as well as lack of coordination between them and local government units result in competing and overlapping tenures, when different agencies may issue tenurial instruments to different parties for the same parcel of land, based on each agency's respective mandate (Bolton & Leguro, 2015; Llanto & Ballestredos, 2003; Novellino, 2000).

IPRA led to the creation of the National Commission on Indigenous Peoples (NCIP), which has the mandate to implement the law and is the final authority in the issuance of ancestral domain land titles (GoP, 1997). IPRA defines ancestral domains as areas belonging to indigenous peoples and that are necessary to ensure their economic, social and cultural welfare. Ancestral domains comprise of lands, inland waters, coastal areas and natural resources occupied or possessed by indigenous people communally since time immemorial, continuously… except when interrupted by war, *force majeure,* displacement or as a consequence of government projects or voluntary dealings between government and private individuals/corporations (GoP, 1997). However, the ancestral domain certification process is being criticised because of its incorrect assumptions that all those interested in applying for titles are literate and able to grasp Western legal practices as well as have the financial means and time to go through these relatively costly procedures; many indigenous peoples are not aware that there is such a thing as land titling at first place (Foster, 2012; Molintas, 2004).

A significant safeguard provided by IPRA is the incorporation of the principle of 'free, prior and informed consent' (FPIC) requiring consent from indigenous communities prior to actions that affect their land and resource rights such as logging, mining, multipurpose dams, agribusiness plantations and other development projects. IPRA defines it as the "consensus of *all* members of the indigenous cultural communities/indigenous peoples to be determined in accordance with their respective customary laws and practices free from any external manipulation, interference, coercion and obtained after fully disclosing the intent and scope of the activity, in a language and process understandable to the community" (GoP, 1997). Various issues have been documented against the FPIC process citing among other problems allegations of manipulation, bribery and serious violations of the rights of indigenous peoples to pave way for economic activities (Doyle & Carino, 2013; UN, 2003; Goodland & Wicks, 2008; Doyle et al., 2007; Whitmore, 2006). The review of 34 FPIC cases in three Philippine regions, incl. Mindanao, conducted by GIZ found that less than 50% of the studied cases attained the status of full and faithful compliance with the FPIC Guidelines and procedures and a substantial number (38.2%) of cases reported incidents of violations in the actual conduct of the FPIC (Calde et al., 2013).

2.2 Negative impact of palm oil agribusiness on indigenous people

Governments, multilateral funding institutions and the private sector, including banks, support and promote mainly the large-scale, agro-industrial model of palm oil production; palm oil sector has become one of the fastest growing mono-cropping plantations in the tropics because of its high yield per hectare and low production costs (Tauli-Corpuz & Tamang, 2007). The palm oil industry is a growing sector also in the Philippines propelled by the increase in demand both domestically and internationally. It was labelled as a 'sunshine' priority industry under the Philippine Development Plan 2011-2016 and it is a major contributor in fulfilling the Philippine government's biofuel targets and seen as "peace-dividend development opportunity" for Mindanao (GoP, 2015;

AFRIM, 2011).

The literature on oil palm cultivation confirms to large extent the environmental narrative of oil palm expansion as endangering both the environment and local communities as it comes with serious social, economic and environmental costs with adverse impacts on indigenous peoples, forest-dwellers and forests. Research from countries such as Sierra Leone, Colombia and Ghana has shown that large areas of land and forest traditionally used by indigenous peoples have been expropriated (Yengoh & Armah, 2015; Maher, 2014; Schoneveld et al., 2011). This phenomenon is also particularly frequent in South-East Asian countries with weak land tenure regimes (Hall, 2011; Prachvuthy, 2011). Agribusinesses do not grow oil palm organically which means that the use of chemical-based inputs may pollute watersheds in ancestral domains and affect water supplies in the lowlands (Villanueva, 2011). The expansion of large-scale oil palm plantations in Indonesia has resulted in extensive deforestation as shown for example by Carlson et al. (2012), Lee et al. (2014), Sandker et al. (2007) and Obidzinski et al. (2012). The promoters of oil palm plantations claim that the industry will reduce unemployment and alleviate poverty; yet these claims are highly contested (for example Sandker et al., 2007; Obidzinski et al., 2012; Sokhannaro, 2011; Schoneveld et al., 2011; Selvadurai et al., 2013). Religious, sacred, burial and historical sites of indigenous peoples are destroyed because of oil palm expansion as was the case of Dayaks in Kalimantan (Potter, 2012) and as documented by NGOs on cases from Indonesia, Palawan island of the Philippines, Liberia or Colombia (Friends of Earth, 2008; Survival International, 2011; Global Witness, 2016; Environmental Investigation Agency, 2015).

2.3 Mining industry, local communities, and indigenous peoples

Foreign and domestic investment in mining has been encouraged by successive Philippine governments as an important source of revenue (Doyle et al., 2007; Tujan, 2002; Christian Aid, 2004). In 1995, a revised Mining Act was enacted to make it easier for foreign investors to obtain mining permits (Foster, 2012; Tujan, 2002).

Mining industry demands a significant amount of area to operate which makes it extremely challenging to coexist with the indigenous people of surrounding communities who depend largely upon the land for their livelihoods (Hilson, 2002). Physical displacement, relocation and resettlement induced by mining industry are widely acknowledged as posing enormous risks to mining-affected communities (Owen & Kemp, 2015). As shown by Whitmore (2006) on several examples from across the Philippines, the land is frequently taken without obtaining FPIC, and indigenous peoples are suffering negative impact on their ways of life, health and environment. The mining operations have often negative impacts on social infrastructure (Moffat & Zhang, 2013).

The Philippine governments in their attempts to woo foreign direct investment appeared willing to circumvent the country`s laws protecting the environment and human rights and reduce standards below acceptable international practice according to the report of a fact finding team visiting three mining-affected communities in Mindanao (Doyle et al., 2007). While the laws require FPIC of the affected communities, the evidence suggests that the responsible government agencies have failed to effectively apply the law due to limited resources, both in terms of budget and expertise required to deal with complex matters of consent in indigenous communities (Christian Aid, 2004; Franco, 2014; Doyle & Carino, 2013; Collins, 2016). The consent is sometimes obtained through misinformation, misrepresentation, bribery and intimidation; several incidents where companies violated the legal guidelines and engineered the required consent were reported for instance by Doyle et al. (2007).

The literature is divided regarding the impact of mining on poverty levels. Though Loayza and Rigolini (2016) recorded lower poverty levels in mining districts of Peru, they found the inequality there larger than in non-mining districts. Boquiren (2008) has shown that poverty is in fact worse in mining than in non-mining areas of the Philippines. Moreover, roads built by the logging companies make indigenous areas accessible to domestic outsiders who immigrate in large numbers with negative social, economic and environmental consequences (Foster, 2012). While companies express their commitment to high environmental standards and good relations with their host communities, the communities themselves tell of the repeated violations of the environmental standards and human rights by companies and their employees (Christian Aid, 2004; Thomson & Joyce, 1997; OECD, 2002). Examples of responsible mining in the Philippines barely exist with a few exceptions such as Coral Bay in Palawan or Philex's operation in Benguet (Foundation for Environmental Security and Sustainability, 2007).

3. Research Methodology

In order to illustrate the implementation gap between the rights of indigenous peoples in law and practice in the Philippines, social impact of agribusiness and mining industry on indigenous peoples' communities and roles played by different stakeholders, the paper employs qualitative descriptive case study design. This has enabled

exploration and deeper analysis of community-level factors affecting the process of securing land tenure and negotiation with private companies and government bodies.

3.1 Data collection and analysis

Because of the qualitative rather than quantitative nature of the research, the primary methodological approach to the field data collection were 8 focus group discussions and 20 in-depth interviews. Data were analysed using content analysis where recurring themes were identified and coded to reflect the emerging patterns, which were interpreted later by the authors employing phenomenological approach using abductive reasoning.

The primary data were collected in April and July 2016 with additional data collection in February 2017 combining several methods – 6 focus group discussions with tribal council and barangay representatives, 2 focus group discussions with staff of local NGOs working with indigenous peoples in Northern Mindanao, 6 in-depth interviews with tribal leaders, 6 in-depth interviews with local NGO workers, 8 key informant interviews with representatives of provincial NCIP, national and provincial Commission for Human Rights (CHR) and provincial office of Department of Agrarian Reform (DAR) as well as dozens of informal discussions with members of Higaonon tribe. The semi-structured discussion among focus group discussion participants provided an opportunity to hear issues that may have not emerged from participants' individual interaction with researchers. Moreover, their interaction led to increased emphasis on the participants' perspectives rather than ours and permitted discovery of aspects of understanding that would have otherwise remained hidden in the more conventional in-depth interviewing method. We supplemented the interviews and focus group discussions with field observations and the collection of relevant publicly available documents.

The paper also relies on dozens of semi-structured interviews with key Philippine and expatriate NGO workers and Philippine government representatives that were conducted by the first author between November 2013 and February 2017 and that helped to inform our understanding of indigenous peoples' rights, mining, agribusiness and land issues and their dynamics in the Philippines. In this regard, it is important to mention the huge ideological divisions of the Philippine civil society. Borras and Franco (2007) classify the organizations into four categories - groups identified with the revolutionary Communist left, state-coopted organizations, conservative reformists and progressive left reformists. While the first category was largely behind the campaign against the land grabbing in Opol, it was the representatives of the other groups, and mainly the latter two, that were informants for our research.

We see the main limitation of this paper in the fact that it is relying too much on local testimony and description of the ex-ante situation based largely on the information reported by the indigenous people and NGOs. As such, it could contain several potential sources of bias. Repeated attempts to conduct semi-structured interviews with representatives of the companies failed and we thus had to rely only on publicly available information such as companies' web pages and social media sites, their annual reports as well as papers published by NGOs and activists who were engaged in Opol case mainly in 2011-13. Unlike in 2016, the authors could not visit the ancestral domain in February 2017 because of presence of the New People's Army in the area and all the focus group discussions and interviews had to be conducted outside of the ancestral domain in Poblacion and Cagayan de Oro.

3.2 Site description

Opol is a municipality in Misamis Oriental province covering an area of 17 513 hectares. Its boundary lies some 11 kilometres west of Cagayan de Oro, one of the major cities in Mindanao. According to official 2015 census, Opol municipality had population of 61 503 (Philippine Statistics Authority, 2017). Opol consists of 14 barangays or villages. In six of these – Awang, Bagocboc, Tingalan, Nangcaon, Caoyonan and Limonda - as well as in two barangays of neighbouring Mantiaco municipality – Mahayahay and Upper Malobog – Higaonon people form majority population with approximately 11 000 individuals. All these barangays have barangay tribal councils, a parallel local governance structure for indigenous people. Ancestors of these Higaonon people have resided in Opol and Mantiaco since pre-colonial times. The name Higaonon means 'people of the mountains'. Higaonon are one of the 18 ethnic groups of Lumads, a generic term embracing all non-Muslim hill tribes of Mindanao, which means 'native, indigenous, local, grown to a place' in Cebuano/Visaya language. Lumads form the largest grouping of indigenous peoples in the country with a total population of 2.1 million.

The site of this study was selected because several issues of interest for this research are present here. Firstly, the indigenous community has been seeking Certificate of Ancestral Domain Title (CADT) to secure rights over land and natural resources already since 2001. Secondly, the area has been targeted by A. Brown Company, Inc., and its subsidiaries Nakeen Corporation and ABERDI (further referred to collectively as 'A. Brown'), for oil palm plantation in 2011. Although often referred to as an American owned company, the company is in fact 100%

Filipino owned. Thirdly, two mining exploration concessions were awarded in the area. In 2011, Black Stone Mineral Resources Inc., a subsidiary of Hong Kong based company, received concession for exploration of gold and associated minerals and Filipinas (Prefab Bldg.) Systems Inc. obtained exploration concession for chromite (PMCDC, 2015).

4. Results and Discussion

4.1 Application for Certificate of Ancestral Domain

The first claim for CADT in Opol was made in 2001 for only one of the eight Higanon-majority barangays. According to a focus group discussion with tribal leaders and interviews with NGO workers, after the pressure from NCIP, a large, joint claim for all Higaonon-majority barangays was developed in 2006 rather than applying for separate CADTs in each barangay. According to Prill-Brett (2007), this is a widespread practice that may appear to be efficient in simplifying the application process, however, it might not match with a traditional mechanism for managing such supra-community domain and might not be an effective strategy to foster sustainable resource management, community equity and social justice. As shown also by this case study, the application process is not made quicker by this - Higaonon people of Dulangan have not obtained CADT until today. They are currently in the latest stages of the process of drafting Ancestral Domain Sustainable Development and Protection Plan that is one of the pre-conditions for issuance of CADT. According to the focus group discussion with tribal leaders and interview with an NCIP representative, the planning process should finish in March 2017 by presentation of the draft plan to the indigenous community, its validation and approval.

During the focus group discussions, tribal leaders expressed their hope that the land survey by NCIP will happen soon so that the boundary of the ancestral domain could be finally set after years of waiting. However, the NGO informants were convinced during the July 2016 discussion that this would not happen any time soon: "unless the President fulfils his election campaign promise of allocating additional resources to NCIP to be capable of fast-tracking the processing and approval of applications for CADTs. NCIP does not have sufficient capacities and resources to conduct land surveys of these large areas claimed." In February 2017, the NCIP informant claimed that the plan is to conduct the land survey, delineation and award CADT for Dulangan within next six months: "We are under the pressure from the President to speed up the CADT cases and while Congress has not approved increase in budget allocation to NCIP, we have received funds for the land surveys from other budget lines of the Office of the President." Municipal administration has pledged funds for delineation, too, according to him and NGO informants. Tribal focus group discussion participants had no knowledge of any of these.

One of the factors causing the delays in CADT process mentioned by all tribal, NGO and NCIP informants was Joint Administrative Order 1-2012 of NCIP, DAR, Department of Environment and Natural Resources (DENR), and Land Registration Authority, which suspended all titling activities in identified contentious areas and created a joint committee mechanism to resolve the issues (GoP, 2012). NGO informants were critical about how functional and effective this mechanism is and NCIP representative told us: "These are very tough meetings when they happen. However, because we had no funding to hold them, they had become discontinued and that is why some of the CADT applications stalled. Fortunately, this year we were allocated budget at least for food at these meetings so we should revive them." In this connection, it would be interesting to mention the opinion of the interviewed DAR representatives: "Almost all Mindanao is claimed by NCIP and by indigenous peoples as their ancestral domains. We have to issue our land titles within the ancestral domains if we are to implement the agrarian reform at all."

According the NGO informants, another factor delaying the CADT processing is historically poor relationship between Dulangan chief *datu* and Mayor of Opol municipality which also means that Opol has no mandatory indigenous representative in the municipal council: "While the Mayor will never let him sit on the council, *datu* will not let anyone else from the tribe to take over this role." Tribal focus group discussion participants were also speaking about a conflict between them and NCIP in the past: "We used to have arguments with them; they even refused to recognize our tribal council and wanted to establish another one by themselves. But now NCIP understands their function and role and our relation has significantly improved."

One of the tribal focus group discussion participants said: "Since 2006 many NGOs were coming and going. They were asking about the issues, but then their projects ended and nothing has happened. Efforts of NGOs are not recognized by NCIP and there is a problematic relationship between NGOs and NCIP." In contradiction to this, our NCIP informant cited concrete examples of collaboration with NGOs for example on land surveying or delineation of ancestral domains. The tribal focus group discussion participants agreed among themselves that they would want from a specific NGO supporting their cause to play more pro-active role in solving the problems of Dulangan ancestral domain: "The NGO and NCIP should sit together and review what has been

done and what the next steps should be." However, the NGO informants and focus group discussion participants were convinced that their role is "to provide necessary skills to indigenous peoples and they have to fight for their CADT themselves. We can't do it for them, since they would have no ownership then." In this connection it would be interested to refer to McDermott (2000) who is sceptical about motivation of some of the Philippine NGOs, according to him the focus on indigenous peoples "is currently the *raison d'être* for a number of NGOs and serves them as an effective strategy for raising foreign interest and funds."

4.2 Activists' land grabbing narrative versus tribal leaders' one

In the narrative based on the International Fact Finding Mission and disseminated by the activist NGOs' campaigns (for example Quijano, 2012; KALUMBAY et al., 2011; Asia Monitor Resource Center, 2013), we are told that A. Brown has grabbed the land from a group of indigenous farmers who formed Sarahogon Bagocboc Farmers Association (SBFA). They resettled and farmed the land taken earlier from the tribe and granted as Forest Land Grazing Lease Agreement by DENR to a private company that later abandoned it. In 2002, this same land was, following years of petitions to regain the indigenous lands, granted to DENR-facilitated formation Kahugpongan sa Mag-uuma sa Barangay Tingalan (KMBT) instead to SBFA under a Community-based Forest Management Agreement. In February 2011, A. Brown in preparation for oil palm plantation operations organized community meeting with handpicked community members while community leaders were not invited and given a voice (Quijano, 2012). These handpicked members were from KMBT and signed Memorandum of Agreement with A. Brown after being told that though A. Brown possessed the land now, farmers would not be displaced if they chose not to sign their lands over to A. Brown and would be compensated if they chose to leave (Quijano, 2012). In direct violation of the A. Brown-KMBT Memorandum of Agreement and without FPIC with the wider community – some Higaonon families found out that their farmland was included in A. Brown plantation only when the area was marked off by sticks on the ground by A. Brown personnel -, A. Brown began constructing an access road and planting palms in local farmers' fields and ancestral sites (KALUMBAY et al., 2011). A sacred hilltop, which served as the burial ground of the ancestors, was quarried by the company for road construction (Quijano, 2012). The company also planted oil palm in a ritual area called Bagonsilibo, an act considered as desecration by tribal elders. A tree marking the burial ground and ritual area was cut down by A. Brown personnel (KALUMBAY et al., 2011).

However, during the focus group discussions the authors held with tribal leaders, a contradicting picture has emerged: "The International Fact Finding Mission avoided any contact with the tribal council so they had hardly all the information. As a result we did not attend any of their advocacy events or the congressional hearing." According to *datus*, SBFA farmers had encroached the land and it was KMBT legally in charge of the land. KMBT had thus the backing of the tribal council and the people negotiating with A. Brown could hardly be called 'handpicked'. They stressed that they managed to negotiate in the Memorandum of Agreement with A. Brown that 70% of the plantation workers would be local Higaonons. The destroyed ritual area of Bagonsilibo is a Higaonon sacred place but it is actually in neighbouring ancestral domain in Cagayan de Oro municipality not in Dulangan and has nothing to do with A. Brown oil palm plantation according to focus group discussion participants. "It depends on your Memorandum of Agreement with the company. In our case destroying of ritual areas would not be possible; things like this are under our control," *datus* agreed during the discussion.

4.3 Social cohesion and community disagreements

NGOs in their campaign (for example Asia Monitor Resource Center, 2013; KALUMBAY et al., 2011; Quijano, 2012) documented incidents of harassment, intimidation and violence, including destruction of crops, burning of houses and death threats, commenced immediately after A. Brown started operations. The worst incident was 2012 killing of Gilbert Paborada, leader of resistance against A. Brown, and of Rolen Langala, his successor, a year later. The cases have remained unresolved but Paborada's family and some Higaonon residents claimed that the killing of Paborada was directly related to his work as a leader of the 'resistance movement' against A. Brown oil palm expansion in Opol. Interviewed CHR representative told us that there is "enough circumstance to lead to conclusion that Gilbert Paborada's death was connected with his struggle against A. Brown. However, CHR is not doing 'police work', so we cannot prove it. The investigation resolution was submitted to the House of Representatives." Interestingly CHR 2012 report is not that conclusive citing barangay treasurer and at the same time KMBT board member who "does not believe A. Brown has something to do with the killing of Gilbert as the victim's uncle and the former barangay captain are employees of A. Brown" (CHR, 2013). Tribal leaders said during the focus group discussion in regard to Paborada's killing: "He was not fighting for the cause of the whole tribe but only his group of farmers SBFA. He established his own organization Pangalasag [to represent the tribal interests against A. Brown] despite strong opposition of the tribal council against it." When we asked NGO informants why Paborada's death was not mentioned during the focus group discussions and

in-depth interviews held in July 2016, they explained that there are more than 70 plus clans living in Dulungan and that their relations are sometime quite tense and referred to complicated 'tribal dynamics'.

It was observed by the authors and confirmed with the informants that a number of families in Tingalan and Bagocboc barangays started small-scale oil palm farming selling their produce to A. Brown. At the same time, according to focus group discussions with community leaders and in-depth interviews with NGO staff, some of the household leased their land to the company for the period of 25 years for a mere 9,000 pesos (approximately 180 USD). Tribal leaders claimed that the total land area leased directly by individuals and families to A. Brown for oil palm plantation was 325 hectares.

During the in-depth interviews, companies' divide-and-rule tactics weakening social cohesion among the Higaonon was mentioned several times. This tactics supposedly includes the co-optation of some indigenous leaders through bribery, both direct (money offers) and indirect (promises of jobs, social services, and over-all prosperity): "Those who disagree with the companies get co-opted by high paid jobs or by being promoted." The authors observed that captains in two barangays were able to build new above-standard houses.

According the in-depth interviews, mining company Blackstone initiated community meeting for FPIC only after the exploration concession had been granted by the Philippine Mining Development Corporation and DENR. While initially barangay tribal council was against the exploration, barangay council agreed. "We wanted to avoid community friction so after facilitation between the two councils, tribal council gave its approval at the end," explained *datus* during the focus group discussion. The reasons behind disagreement between the tribal barangay council on the one hand and barangay officials and some community members on the other hand over consent with mining exploration in Nangcaon was explained by focus group discussion: "The company offered minimum daily wage of 300 pesos (approximately 6 USD) which was simply irresistible for some of our people."

The mining company Filipinas Systems held reportedly two community assemblies in Awang barangay as part of the FPIC process for exploration and the next step is drafting of Memorandum of Agreement between Filipinas Systems and the tribal council of Awang barangay (PMDC, 2015). Tribal focus group discussion participants informed us in February 2017 that "last week there was another community meeting in Awang to secure FPIC. The problem is they never tell people in advance the reason of the meeting or that this is actually an FPIC."

4.4 Future plans with ancestral domain

The indigenous culture, customs and traditions in Dulangan are dying out as observed in the field and confirmed by focus group discussions and in-depth interviews with the tribal leaders. One of the NGO informants even claimed during an informal discussion that some of the "indigenous peoples [in Mindanao] do not observe traditions and customs anymore. Often they would organize themselves as indigenous group and re-discover their culture and traditions simply to secure land because the government believes that all indigenous communities are entitled to ancestral domain."

In July 2016 it seemed like the Higaonon's ultimate goal in Dulangan was to obtain the CADT and that they did not give much thought how they would approach A. Brown and Blackstone after they have secured recognition of their ancestral domain rights. "We do not know what we would demand from the companies once our claim is granted," was repeated several times during the focus group discussion as well as informal and in-depth interviews. The situation was quite different in February 2017. After the indigenous community undertook several steps of the Ancestral Domain Sustainable Development and Protection planning, their plan was to leave 40% of the land as protected area without any farming, hunting or mining. In the remaining areas, focus group discussion participants talked about artisanal, small-scale mining among other livelihoods activities. "We have established five cooperatives which will extract gold and nickel in a traditional way." In order to do this, they have even started collaboration with a Chinese mining company. While some focus group discussion participants raised concerns about possible environmental impact of mining, others pointed to the fact that mining was practiced traditionally by the indigenous people here in the past and that *dulangan* actually means 'mine'.

During the focus group discussions, participants from more remote barangays mentioned they do not want to develop the area for intensive agriculture. Rather they want to keep it for their traditional livelihoods: "We cut trees only when timber is needed for construction because they are sacred to us. We want to continue with swidden farming of food crops as well as *abaca* – Manila hemp - and raising of ducks and chicken, hunting of wild pigs and birds and fishing in rivers and creeks. We also want to continue harvesting non-timber forest products such as rattan, *bagacay* [of the *Bambuseae* tribe], wild food and medicinal plants." At the same time we observed, that discussion participants from barangays closer to the main road, where they are engaged in 'modern' farming, were less bound by traditional livelihoods: "We want to farm rice, corn, cassava, bananas and

coconut… in a way integrating modern and traditional farming. In this regard we might need some external assistance in switching from chemical pesticides and fertilizers that we use now to organic ones."

During the focus group discussions and in-depth interviews, all Higaonons claimed to hold no particular grudge against the non-indigenous settlers who currently reside in their villages. They would allow them to stay after receiving the CADT. They would however more strongly insist that the settlers respect indigenous customs and traditions. Admission of new settlers will supposedly be decision made by each barangay separately. One tribal leader reported: "In Nangcaon we won't allow any new settlers because we can see that settlers just create additional problems for us. And I believe this will be probably the case for all barangays with currently low numbers of settlers."

There has been an interesting development regarding the mining companies and agribusiness in Opol recently. A. Brown has temporary suspended their operations in Opol in August 2016 for 6 months without informing the tribal leaders. 143 people, out of which 100 were local Higaonon, have lost their jobs as a result. Tribal focus group discussion participants said in February 2017 that they "had a meeting with A. Brown last week. A. Brown has no plans to restart operations in Opol and will return all the land to KMBT and tribe under the condition that we must sell our [oil palm] bunches only to A. Brown. We will meet again to tell them we want to cancel Memorandum of Agreement because they are not fulfilling it. The question is what will happen to people who leased them their land. A. Brown wants them to pay back for the oil palms planted."

According to focus group discussion with tribal leaders, Blackstone exploration concession ran until February: "but they had already stopped before. Now they only have one person guarding there." It is important to note in this connection that mining industry experience suggests that only less than 10% advanced exploration programs actually turn into full-scale mining operations (Thomson & Joyce, 1997).

5. Conclusion

This paper has sought to clarify the difficult situation faced by indigenous communities in the Philippines when confronted by State-backed efforts to promote agribusiness and mining in their ancestral lands and domains. Although the paper focuses on the Northern Mindanao experience, some of the problems and issues presented here may well apply to other indigenous areas in the Philippines and even elsewhere. We have shown the significance of land and its complexities to the indigenous peoples and problems in implementation of IPRA, specifically in issuance of CADT. Differences in visions, mandates and instruments of various government bodies contribute to delays in CADT issuance, as well as lack of resources to conduct land surveys, delineations or hold coordination meetings between the various government bodies.

As the testimonies collected in this case study have shown, indigenous people have given their FPIC to mining exploration in order to avoid frictions within the community regardless of what they considered as best for their community. While no doubt some community members can benefit from the mining and plantation operations, others who attempt to maintain their traditional ways of life suffer and fear what would happen if the operations moved from exploration to extraction phase. The main problem in strengthening community land tenure seems to be disunity among the indigenous peoples, conflicting personal interests among tribal members and leaders bringing about tensions in social and personal relationships of several indigenous peoples' leaders. This is contradicting the black-and-white picture, which some activist NGOs portray in their land grabbing narratives. We have also shown how companies are using divide-and-rule tactics and co-optation of some tribal members to enhance their business interests.

We have shown that conflicts over decision-making on resource allocation lead to further weakening of tribal social cohesion. However, additional in-depth research of intra-tribal relations and dynamics would be needed to better understand the complexities of indigenous decision-making on land and natural resources related issues. We were not able to determine legitimacy of the tribal leaders dealing with external stakeholders across the clans, generations and socio-economic strata.

We conclude here that the mere existence of communal ancestral domain tenurial instruments does not automatically lead to sustainable environmental management or to social justice.

Acknowledgments

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Tax Amnesties in Indonesia and Other Countries: Opportunities and Challenges

Mokhamad Khoirul Huda[1] & Agus Yudha Hernoko[2]

[1] Faculty of Law, Hang Tuah University, Surabaya, Indonesia

[2] Faculty of Law, Airlangga University, Surabaya, Indonesia

Correspondence: Mokhamad Khoirul Huda, Faculty of Law, Hang Tuah University, Jalan Arif Rahman Hakim No. 150 Surabaya 60111, Indonesia. Tel: 62-813-5743-7000. E-mail: emka.huda@hangtuah.ac.id

Abstract

Recently, revenue of national budget from taxes has decreased since economic deceleration happened and many capitals and assets of Indonesian people were stationed overseas. In order to encourage the economic growth, the government establishes regulations on tax amnesty. This paper primarily aims to find out the implementation of tax amnesty in Indonesia which had run three times since 1964, 1984, and 2016; and to compare it with similar program implemented by several countries such as South Africa, India, and Italy. Tax amnesty program in 1964 and 1984 was considered unsuccessful due to the political condition at that moment and the government indifference to socialize this matter to the taxpayers. However, it differs from South Africa, India, and Italy which are considered successful in implementing the tax amnesty program, because it brings good impact on their national revenue and increased the obedience of the taxpayers. In order to reach the objectives of the tax amnesty program in 2016, Indonesia government needs to revise the regulations of taxation, prepare the human resource of tax officers, to prepare information system related to the data of taxpayers, to improve the coordination of public agencies from Financial Service Authority and Indonesian Financial Transaction Reports and Analysis Center (INTRAC) and to enforce the regulation after the enactment of tax amnesty.

Keywords: tax amnesty, taxpayer, penal, government, ransom

1. Introduction

National development constantly and sustainably aims to improve people's material and spiritual welfare. The goal of national development is stated in the 1945 Constitution at the fourth paragraph, that is: "to promote the general welfare ..." In order to reach that goal, it needs adequate sources of development funds.

Seeking the national revenue in tax sector needs real efforts implemented through public policies. Such efforts could be in the form of both intensification and extensification of taxation. Tax intensification could be in the form of increasing the number of taxpayers or increasing the amount of tax revenue itself. Attempting intensification could be in the form of expanding the tax object unregistered yet. Whereas, tax extensification could be in the form of expanding tax subject or object by taking back the existing funds stationed overseas with an expectation that there would be increasing revenue from tax sector.

Tax is one dominant source of revenue for national budget. In national budget policy in 2016, the government determined the target of national revenue, Rp 1.822,5 trillion and 75% of them that is Rp 1.546,7 trillion is from tax (www.kemenkeu.go.id). The target of revenue and the tax sector are relatively much more than the target of national budget in 2015 that was Rp 1.489,3 trillion with 83% of them, Rp 1.235,8 trillion, was from tax (Haryanto, 2016).

However, national economic growth has recently tended to decelerate which impacts on declining tax revenue and the stock of domestic liquidity needed to improve the economic growth of Indonesia. On the other hand, the amount of Indonesian capital and asset kept in overseas are supposed to be useful for increasing the domestic liquidity in order to encourage national economic growth.

Document divulgence known as "the Panama Papers" mentions about 800 names of Indonesian businessmen and politician listed as clients of Mossack Fonseca. It shows an action of diverting capital of assets in order to evade taxation liabilities. Indonesian's capital and assets are diverted to countries with lower taxation rate or even free

rate (tax heaven country). The most favorable countries for capital and assets diversion are Virgin Islands, Great Britain, Cook Island, Delaware (Texas), and Singapore. It is about 2.040 of 2.580 Indonesian people who keep their capital in tax heaven country. The amount of the money diverted to tax heaven country reaches Rp 11.500 trillion or much more than Indonesia gross domestic product in 2015 which reached Rp 11.400 trillion (Rasbin, 2016). Whereas, Indonesian's capital diverted to Singapore is about Rp 3000 trillion (Prasetyo, 2016).

Particular actions are needed to encourage capital and assets diversion to Indonesia and simultaneously provide a security guarantee for Indonesian people diverting or reporting their capital and assets in the term of tax amnesty. Breaking through in policy with tax amnesty of capital and assets diversion is driven by the decreasing possibility to conceal assets and capital into other countries and the more transparency in global finance. It is strengthened by the increasing intensity of information exchange among countries after they have signed an agreement of automatic exchange system of information in G20 summit and it will be applied by 2018.

The policy of tax amnesty is implemented in the form of state abolition to collect taxes that should be payable, even the criminal and administrative penalties. Therefore, it is granted that taxpayers must pay the ransom of tax amnesty. If the program of tax amnesty had been well-run, it would obtain USS 7.6 million (Brodjonegoro, 2016).

2. Method

The research constitutes legal research which Black's Law Dictionary defines it as: the finding and assembling of arthritic's that bear on a question of law; and the field of study concerned with the effective marshaling of authorities that bear on the question of law (Gardner, 1999). Jurisprudence has a normative nature (Hadjon, 1997). Therefore, the jurisprudence has distinctive features (*sui generis*) that are first, empirical analytic, describing and analyzing the contents and legal structures; second, systematizing the symptoms of law; third, interpreting the substance of the prevailing law; and fourth, the practical meaning of law is closely related to its normative dimension.

The research method includes the approach, the determination of legal sources and critical analysis on the sources through exploration, inquiry and interpretation. The research is a normative research which refers to the legal norms contained in statutes and judicial decisions relating to the issues. This uses statute and comparative approaches (Ibrahim, 2008).

According to Black's Law Dictionary, legal sources cover such as constitution, treaty, statute, or custom that provides authorities-for legislation and judicial decisions; a point of origin of the law or at analysis. In the context of legal research, the term "sources of law" can refer to three rent concepts which should be distinguished. One, sources of law can refer to the origin of legal concepts and ideas; two, sources of law can refer to governmental institutions that formulate legal rules; three, sources of law can refer to the published manifestations of the law. The books, computer databases, forms, optical disks, other media that contain legal information are all of law (Gardner, 1999).

Steps of collecting sources of law include reading, learning, quoting, comparing and connecting the sources of law and literatures, so that they become a unity to make easy in processing. The collected legal sources are managed by first, editing, namely checking sources of law carefully to avoid errors of sources of law; second, classifying the collected legal sources according to subject; and third, organizing them according to the groups to avoid mistakes and to be as the systematization of sources.

The sources of law are then analyzed in accordance with the classification of problems. The analysis is conducted and written in the form of describing, analyzing, systemizing, interpreting and evaluating them. The next step is that they are theoretically analyzed to find, understand and explain in depth the tax amnesty in Indonesia.

3. Discussion

3.1 The Conceptual Meaning of Tax Amnesty

The term 'amnesty' is literally derived from Greek 'amnestia' defined as 'forgetting or an act of forgetting'. Black's Law Dictionary defines amnesty as a pardon extended by the government to a group or class of persons. It is a legal forgiveness from certain infractions (Gardner, 1999). Furthermore, The Oxford dictionary defines tax as a compulsory contribution to support the government to carry out public services. It is levied on persons, properties, incomes, commodities, and transactions at a fixed rate mostly proportionate to the amount on which the contribution is levied (Josephine, 2015).

Amnesty is the President's right as stipulated in article 14 act (2) the 1945 Constitution. The article mentions that

amnesty should be taking into the consideration of House of Representative. Relating to taxation, tax amnesty refers to the abolition of penalties by President in particular condition toward taxpayers who had done infringement of taxation laws. Hence, tax amnesty is providing taxation facility with abolition in particular period of time of imposition, investigation, and prosecution of wealth or income previously, whether entirely or partly, taxed due to recantation of the taxpayers who regretted and promised no longer do such infringement.

Jacues Malherbe defines tax amnesty as "the possibility of paying taxes in exchange for the forgiveness of the amount of tax liability including interest and penalties, the waiver of criminal tax prosecution and/or limitations to audit tax determinations for a period of time." Whereas, Carla Marchese argues that it is an opportunity given to taxpayers to write off an existing tax liability (including interest and fines) by paying a defined amount. Such offers are usually presented being exceptional and available for only a limited period of time. Amnesties can either be general or restricted to certain groups of taxpayers or taxes, and the routinely include the waiving of criminal and civil penalties (Prastowo, 2016).

Tax amnesty is defined as a work of works of the legislature authority, which aimed to delete an offense criminal and, thus, to prevent or stop prosecutions or clear condemnation (Chatagny, 2008). On the other hand, Od Heige Fjeidstad states that tax amnesty is a rule or law issued by the government to forgive tax debts of previous years to taxpayers. Through this measure, the government provides a benefit to taxpayers by allowing them to rectify mistake or omissions in tax returns without any rear of legal actions. In other words, Government sacrificed the penalties by passing non-compliance in exchange for improving compliance in the future. The amnesty is usually established for a fixed period time. Two potential rationales for introducing tax amnesties: the first is the idea that a state would initiate a tax amnesty if it expected the amnesty program to produce a significant revenue yield; and the second is the idea that a state would introduce an amnesty in times of fiscal duress, thus, the amnesty is one source for increasing revenue collection during a recessionary period (Borgne, 2006).

Tax amnesty aims to: (a) rapidly obtain the revenue; (b) improve the level of obedience by taxpayers; (c) distance from previous government; (d) mark the change of regime; and/or (e) repatriate assets kept overseas; (f) collect the real data of taxpayers which could be a base to improve law enforcement and tax revenue (Prasetyo, 2016).

However, the establishment of tax amnesty also brings several risks up, such as: (a) in a long term, taxpayers who had been honest for so long were likely to be dishonest after the establishment of tax amnesty since they expected another tax amnesty in the future; (b) indicating a possibility and facility for tax evasion; (c) obedient taxpayers often assumed tax amnesty as an injustice; and (d) providing tax amnesty might decrease the obedience of taxpayers precisely since they believed that further tax amnesty would be established without any better law enforcement.

3.2 Implementation of Tax Amnesty in Indonesia

Before finally establishing tax amnesty, the government needs to consider the overall level of obedience by a taxpayer, including the quality, and conduct some efforts in order to reinforce taxation laws. Primarily on which considering tax amnesty, the government has to predetermine precisely the problem which lead taxation system into such condition requiring the policy to be implemented.

Taxpayers will recognize that the problem of the tax system has not been solved and that since these problem have resulted in the amnesty once, they are likely to do so again (Alm, 1998).

In Indonesia, the policy of tax amnesty had been implemented three times and be considered unsuccessful. The following would address the condition.

3.2.1 Tax Amnesty in 1964

Tax regulation in 1964 was under the enactment of articles 16, 17, and 19, Indische Compatibilities Wet (ICW) April 23th, 1864, stbl. 1864 No.106. Stbl. 1925 No. 448 which had been amended in L.N. 1954 No. 6; 1955 No. 49 and finally under the enactment No. 9 of 1968. Article 16 mentioned that regulation on procurement of new taxes, raising or declining or abolishing existing taxes or rescission of the source of revenue was not allowed until it was revealed in budget of revenue. Article 17 mentioned that tax refund or tax abolition was allowed only in cases and with means prescribed by the general rule. Whereas, article 19 mentioned that Government granted billing acquittance only if the amount of the acquaintance reached over Rp 10.000,- in which the acquittance was under the governmental regulation that gave a grant only after considering advices from Audit Board.

The policy of tax amnesty was first conducted by Government in 1964 by establishing the Presidential Decree No. 5 of 1964 on the regulation of tax amnesty, dated on 9th September, 1964, gazette No. 89 and additional gazette No. 2677 of 1964. Based on Indische Compatibilities Wet (ICW), tax amnesty conducted by Government

through the Presidential Decree was appropriate. It was due to the House of Representatives, as a mandate of the 1945 Constitution, had not been held yet. Hence, the Presidential Decree was based on article IV Transitional Rules.

The policy of such amnesty was based on a consideration of the needs to address national interest and national entire development in general and to facilitate the implementation of Economic Declaration dated on March 28th, 1963, and mobilize all funds, efforts, and power in particular.

Article 1 act (1) mentions, "People's capital which has not been yet taxed on behalf of corporate, income and property taxes, and which has been registered to Directorate of Tax before August 17th, 1965 cannot be accepted as motive for public agencies in fiscal or criminal to conduct a inquiry, investigation, and inspection dealing with its origin".

The Presidential Decree No. 5, 1964 on article 1 act (2) mentions the imposition of ransom with two kinds of provision as follow.

   a. Rate 5% is charged if the capital of a taxpayer on which asking an amnesty has been or is being invested in agriculture, fishery, ranch, mining, manufacture and transportation sectors prescribed by Minister of Revenue, Budgeting, and supervision.

   b. Rate 10% is charged on taxpayer's capital/assets on which asking an amnesty has not been yet taxed, and is being invested in other sectors not prescribed by Minister.

Article 3 act (1) mentions, "if in fact, due to incorrectness and incompleteness of intended liability, the ransom had been remitted is less than what it should be pay, additional payment should be conducted as much the amount had not been pay, added by 400% as charge as long as it has not been overdue, since August 17th, 1965, by 2 (two) years."

Article 6 act (1) mentions, "whoever intentionally, on the due date predetermined at article 1 act (1), do not do intended liabilities, will be sentenced with confinement for maximally 5 (five) years or fined penalty at most 100 (one hundred) million rupiahs. The evidence, in article 3, was considered as disobedience, whereas, in article 6, act (1), was considered as crime.

Kinds of taxes covered by tax amnesty are corporate taxes, income taxes, and property taxes. Tax amnesty was granted considering the revenue and capital accumulation received before November 10th, 1964 which has not been yet reported in tax return and which has not been yet taxed on behalf of whether income, corporate, or property taxes. The tax relief provided by Government was in the form of tax amnesty or incentives. Tax amnesty, at that moment, did not question on the sources of revenue, whether or not it was derived from corruption, bribe, or untold tax embezzlement.

The Presidential Decree had regulated the duration time period of implementing tax amnesty which was for 344 days since September 9th, 1964 up to August 17th, 1965. Tax amnesty implemented in 1964 aimed to get funds of revolution back. The failure of its implementation was due to G 30S / PKI. Besides, the historical fact showed that tax amnesty program did not have any good responses from people since it did not come along with amnesties in other sectors, and, in addition, the quality of taxation administrative system was still minimum.

3.2.2 Tax Amnesty in 1984

April 18th, 1984 was a momentum for the second amnesty in Indonesia. On that day, The Presidential Decree No. 26 of 1984 was established which then was amended with the Presidential Decree No. 72 of 1984 mentioning the policy of tax amnesty. The content of amendment merely dealt with the due date of submission for requesting amnesty, from originally on December 31st, 1984 became June 30th, 1985.

The policy of tax amnesty in 1984 was motivated by the change of new taxation system aiming to improve people's financial contributions for national development. Official assessment system of tax collection changed into self assessment system with policy of tax reform introduced by Government in 1983.

Besides, the establishment of the Presidential Decree No. 72 of 1984 was motivated by different potential taxes, in which that moment, was unreachable by its regulation. These potential lost taxes could be due to the fact that taxpayers did not pay their taxes at all, diverted their assets overseas by considering that the other countries' tax rate was less and etc.

Taxpayers participated or eligible to join the tax amnesty program, as mentioned in article 1 act (1) whether individual or corporate with name and any form of corporation, and whether or not had been registered as taxpayer, were allowed to get tax amnesty.

Kinds of taxes covered by tax amnesty was regulated under article 1 act (2), tax amnesty was granted for taxes which has not fully or partly been collected under the established regulation that consists of:

a. Income tax of income obtained in 1983 taxation year and previous year

b. Property tax of assets owned since January 1st, 1984 and the previous year;

c. Corporate tax of profit obtained in 1983 taxation year and the previous year;

d. Tax of interest, dividend, and royalty of payable interest; dividend and royalty pay or provided to pay until December31st, 1983;

e. Calculating other people's payable taxes even on which in 1983 and the previous year;

f. Employees income tax payable in 1983 taxation year and the previous year; and

g. Sales tax payable in 1983 and the previous year.

Of taxes which had not fully or partly been collected, they had to pay for ransom based on the following rates:

a. 1% (one percent) of the assets used as the basis for calculating the amount of tax for which the amnesty be granted for taxpayer who, on the due date of establishing the Presidential Decree No. 26 of 1984, had registered SPtP.Pd/P.Ps, 1983 and P.Kk, 1984; and

b. 10% (ten percents) of the assets used as the basis of calculating the amount of tax for which amnesty be granted for taxpayer who, on the due date of establishing the Presidential Decree No. 26 of 1984, had not registered SPtP.Pd/P.Ps, 1983 and P.Kk, 1984.

     (article 3 act (1)).

Article 7 act (1) mentioned that taxpayer was released from fiscal investigation. This provision indicated that if taxpayers made report to get tax amnesty, they would not be investigated in fiscal, implying that tax payable which had not been fully or partly collected before 1984 would not be charged to pay or would not be collected by tax officers. On the other hand, act (2) regulated report on assets so that tax amnesty would not be used as the base of investigation and criminal prosecution in any form toward the taxpayer. The period of implementing this second tax amnesty started on April 18th, 1984 till June 30th, 1985.

The implementation of tax amnesty in 1984 was considered not effective since the tax payers did not give any good response and entirely reformation of taxation administrative system did not occur afterward. In addition, it was also due to the minimum transparency and improvement of information access toward people including the controlling system by Directorate General of Tax itself.

Besides, tax contribution on state budget system merely remained as complement of which the government did not do any serious effort. At that moment, national revenue was dominated by oil and gas export. Whereas, tax revenue, recently, became a dominant source in national budget system.

3.2.3 Tax Amnesty in 2016

The motive of establishing the policy of tax amnesty, in this three time, dealt with the importance of people's contribution for national development by optimizing all existing resources of which was from tax. People awareness and obedience to do their tax liabilities still needed to be improved since the assets, both inbound and outbound, were not fully reported in income tax return. In order to improve the national revenue, the economic growth, people's awareness and obedience in tax implementation, it needed to establish the policy of tax amnesty.

The Act No. 11 of 2016 on tax amnesty was officially established on July 1st, 2016 (Gazetted in 2016 No. 131 and additional gazetted No. 5899). The objectives of tax amnesty were as follow.

a. To accelerate the growth and restructuring of economic through assets diversion which would impact on the increasing of domestic liquidity, the improvement of rupiah exchange rate, the declining of interest rate, and the increasing of investment;

b. To encourage taxation reformation into more equitable tax system and the more valid, comprehensive, and integrated taxation data base extensification; and

c. To increase the tax revenue, which would be useful for national development

The regulation of tax amnesty had mentioned: the subject, object, rate, the technique of calculating the ransom, the procedures of waiver reporting, the establishment of certificate, and the amnesty of tax liability, investment obligation of revealed property, criminal penalty and report for all ministers, vise-ministers, staffs in ministry of

finance, and other parties who had divulged, spread out, notified data and information they knew or told by taxpayers to other parties.

Taxpayers participated or eligible to join the tax amnesty program were individual or corporate with rights and obligation of tax based on the enactment of laws on taxation. The exceptional taxpayers were as follow.

a. Taxpayers who were being investigated and the document of the investigation had been complete confirmed by judiciary; and

b. Taxpayers who were in the process of jurisdiction or taxpayers who were in criminal charge due to the taxation crime.

Kinds of taxes covered by tax amnesty were income tax and value added tax, and sales tax of expensive goods. Potential repatriation fund with the establishment of tax amnesty would impact on funds belonged to Indonesian citizens stationed overseas which could be withdrawn to Indonesia; hence, it could be useful for the country. McKinsey's research on calculating the potential of national revenue derived from tax amnesty forecasted that the amount of assets diverted overseas which tax amnesty could repatriate was Rp 2.000 trillion; with assumption, rate 3% of the "ransom", it was assumed that this policy of tax amnesty could give extra revenue of tax at least Rp 60 trillion as the contribution and the implementation of this policy would be a base line of taxes in 2017, and so on. One thing to be sure that the potential revenue would be much more increasing (Prastowo, 2016).

Several facilities of tax amnesty provided for taxpayers following the program of tax amnesty were:

a. Abolishment of tax payable;

b. Abolishment of tax administrative penalty

c. Abolishment of criminal sentence in taxation; and

d. Suspended inspection, inspection of preliminary evidence, investigation of crime in taxation until the certificate of tax amnesty was established for tax period, part of tax year, or tax until March 31st, 2015, and would be stop when the minister established the certificate of amnesty.

The amount of ransom rate for assets located in Indonesia or assets located outside Indonesia which was diverted/repatriated and invested in Indonesia for 3 (three) years long counted from the time on which it was diverted was:

a. 2% (two percents) for period of reporting waiver since the first months until the end of the third month counted from the time on which this regulation was established;

b. 3% (three percents) for period of reporting waiver on the fourth month counted from the time on which this regulation was established until December 31st, 2016; and

c. 5% (five percents) for period of reporting waiver counted from the time January 1st, 2017 until March 31st, 2017.

The amount of ransom rate of assets diverted outside Indonesia and which was not repatriated to Indonesia was:

a. 4% (four percents) for period of reporting waiver since the first month until the end of the third month counted from the time on which this regulation was established;

b. 6% (six percents) for period of reporting waiver on the forth month counted from the time on which this regulation was established until December 31st, 2016; and

c. 10% (ten percents) for period of reporting waiver counted from the time January 1st, 2017 until March 31st, 2107.

The amount of ransom rate for taxpayers which amount of business distribution was Rp. 4.800.000.000,00 (four million eight hundreds rupiahs) at the latter tax year was:

a. 0.5% (zero point five percent) for taxpayers reporting the amount of their properties up to Rp.10.000.000.000,00 (ten million rupiahs) in their waiver; or

b. 2% (two percents) for taxpayers reporting the amount of their properties more than Rp. 10.000.000.000,00 (ten million rupiahs) in their waiver.

In case the period in implementing tax amnesty was between July 1st, 2016 and March 31st, 2017. The provision of regulation on tax amnesty mentioned that everyone contributed to keep the confidentiality and di not divulge, spread out, and/or notify data and information they knew or were told by taxpayer to other parties would be

sentenced with confinement for maximally 5 (five) years.

The regulation of tax amnesty had provided reward for taxpayers contributing and reporting their capital and assets, however, the punishment for taxpayers who were not willing to declare their capital and assets was not set. This became the government's limitation; hence, the reward and punishment were lame. This tax amnesty was so different from which in 1964.

3.2.4 After Tax Amnesties

Tax amnesty was used as a means of governmental policy mentioned in the form regulation. After establishing tax amnesty, Directorate of General Tax needed to do some steps in order to improve the level of obedience which included: the improvement of services for taxpayers by revising several regulations such as the enactment of General Tax Provision, income tax and value added tax, administration improvement by data collection through integrated technology and information system as a form of single identification number, moreover, Directorate of General Tax needed to improve the competence of their human resource so that they would have good integrity, professionalism, accountability and ethics.

Furthermore, it needed to improve the law enforcement of tax by conducting: coordination with public agencies including Financial Service Authority, Analysis Reporting Center of Financial Transaction dealing with data and information of banking customer, whereas, conducting coordination with Indonesian police officers and attorney general to improve the law enforcement in providing assurance for taxpayers (Prawira, 2015).

3.3 Tax Amnesty in Several Countries

Government of several countries had frequently turned to tax amnesties as part of their unpaid taxes without being subject to some or all of the financial and criminal penalties that the discovery of tax evasion normally brought. Amnesties had been used repeatedly over time and across countries, regardless of their degree of economic development. Developed countries included: Australia, Austria (1982, 1993), Belgium (1984), Finland (1982, 1984), France (1982, 1986) Greece, Ireland (1988, 1993), Italy (1982, 1984, 2002), New Zealand (1988), Spain (1977), and Switzerland. Whereas, developing countries, included: Argentina (1987, 1995), Bolivia, Chile, Colombia (1987), Ecuador, India (several years), Panama (1974), Peru, Mexico, Philippines, Russian Federation (1993, 1996, 1997) and Turkey. In United States (78 Programs until 2004), almost all states (42 out of 50) offered tax amnesty of some sort. The result of International Monetary Fund in 2008 showed that the level of successfulness for tax amnesty in both developed and developing country was only 50% (Prastowo, 2016). Some countries which were successful in implementing tax amnesty were as follow.

3.3.1 South Africa

South Africa had implemented tax amnesty program three times which was in 1995, 1995, and 2003. Essentially, many South Africans had already saved their capital or assets overseas with various motives. It was not only to avoid the exchange control regulation, but also to avoid the difficulty of revealing sources obtained inside and outside country. The taxing level of revenue obtained overseas in the past was high. Given the interest obtained from the bank account and the ownership of property overseas had to be taxed.

South Africa, in 1997, provided additional form for foreign passive income taxed toward their people. The revenue of interest and royalty were the instance. This, then, was established to all South Africans since January 1st, 2001.

In 2003, special amnesty was established which scope was limited on the admission of taxpayer's assets saved overseas, as well as the transactions dealing with the transgression of foreign exchange line. In other word, this amnesty was only limited on parties with assets saved overseas but had not been taxed yet.

The primary objectives of tax amnesty in South Africa were as follow.

a. To broaden the tax base and increase future revenue collection through disclosure of both authorized and unauthorized foreign assets;

b. To enable South Africans to regularize their affair without being prosecuted in terms of current exchange control regulations and tax laws;

c. To provide the reserve bank and the revenue service with details of foreign assets; and

d. To facilitate repatriation of South Africans' foreign assets without any fear of prosecution.

The benefits of tax amnesty in South Africa were as follow.

a. Exchange control from all civil penalties and criminal liabilities stemming from the shift of funds offshore in contravention of exchange controls on or before February 28th, 2002.

b. Income tax abolishment from all income taxes, interest, civil and criminal penalties stemming from the failure to disclose gross income or capital gains from foreign sources if that income or capital gain arose on or before February 28th, 2002. (Prastowo, 2016).

The ownership of foreign assets derived from illegal activities or other crimes such as corruption, crime, drugs transaction, or money laundry were not allowed to get tax amnesty. Especially for inbound assets derived from domestic income and which tax had not been reported or pay would not get any facility of tax amnesty releasing fine up to 200%, moreover, they would not get any looseness of liability installments. In this tax amnesty, kinds of taxes covered were merely on individual income tax, including estate duty.

The government of South Africa applied "Pull and Push" strategy. It was by providing incentives to the taxpayers, so that they were interested in joining this program. One trick used was by abolishing the fine and/or payable tax interest or even low rate payment of ransom.

Whereas, 'Push' referred to giving pressure or inconvenient feeling if only taxpayers were not willing to participate. One of the strategies was by improving the quantity and quality of tax audit, strategy of selecting appropriate target for investigation, transparency of investigation result, and tentative punishment of tax crime before the amnesty was established.

Taxpayers participated or eligible to join the tax amnesty program: the amnesty concerned on individuals, trusts and private companies. Rate: 5% unauthorized foreign assets declared and repatriated to South Africa and 10% unauthorized foreign assets declared but retained offshore.

Any incentives provided in tax amnesty might be in the form of assets repatriated to South Africa with 50% in rate compared if the assets remained overseas, free of criminal threat, and abolishment of 20% fine for tax payable of inbound assets and its interest

The period of tax amnesty was 9 months (June 1st, 2003 up to February 29th, 2004). The result of the program was as follows: total assets saved overseas reached euro 7.8 billion, authorized assets was euro 2.4 billion, assets previously unauthorized for exchange control purpose was euro 5.4 billion and tax collection was euro 45.4 million (Prastowo, 2016).

Tax amnesty implemented in South Africa was considered successful since: first, the government had all South Africans be obedient on the regulation of Exchange Control and any taxation issues; second, the government gave the people authority on South African Revenue Services and Exchange Control Department of the South African Reserve Bank to control the national assets of South Africa saved overseas; and third, the government facilitated the repatriation of taxpayers' foreign assets and improved the future tax revenue (Muttaqim, 2013).

3.3.2 India

India implemented tax amnesty once in every five or six years since 1965. India's budget, in 1965, introduced a scheme which commenced on march 1st, 1965 whereby an amnesty was granted in India in respect of unaccounted "wealth" or income , provided 60% was handed over to the reserve bank by May 31st, 1965. It was also announced that the program was to be intensified. In addition, the Minister of Home Affair had been conducting a campaign against corruption. Six months were allowed for payment of the tax and the amount collected was impressive, especially remembering that such revenue was collected with minimum technical labors by the administration. In addition to this, provision was made for settlement in case of serious disputes against tax assessment (Josephine, 2015).

In 1981, India offered a different tax amnesty. The government of India sold the obligation which due date was in 1991 with special interest reaching 2% per year. In this program, people with black money were allowed to use their money to buy the obligation without any sort of investigation questions dealing with the origin of that money. Moreover, they would be free from tax of assets deposited and tax of primary interest revenue when it had come to the due date. Approximately estimated, one with obligation would gain extra income up to 60% in 10 years. This program was unsuccessful in expanding the tax base and did not contribute in the attempt of future precise inspection (Kurniawari, 2016).

This was due to the lack of either regulation reinforcement or other structural changes in tax system. The level of participation was considered low since the people believed that the similar program would be established with much more interesting offers.

In 1997, the government of India established a tax amnesty program considered as final tax amnesty. This program allowed the people to announce their taxable assets derived from the previous year based on its gain price, not value of on-going year.

As the result, it could reach up to Rs 100 million or about USS 2.5 million gained from 350 thousand people as individual taxpayers. This program was considered successful in raising the tax rate since it remained interesting during inflation.

During 2004 and 2003, the government of India could collect 0.07% of the asset value illegally diverted to overseas which, from black money, approximately reach USS 510 million. In 2016, the government committed to clean the black money by giving chance for parties who did tax evasion to declare their assets.

They had four months since June 1st, 2016 until September 30th, 2016 to declare their real assets. They would get an amnesty if they pay the ransom up to 45% of the asset value previously concealed. The amount of penalty and extra expense was much more than the highest rate of income tax which reached 35% (Kurniawari, 2016).

The taxpayers participated or eligible to join the tax amnesty program were individuals and corporate, with kind of tax covered was income tax. The forms of incentives granted in tax amnesty were abolishing administrative penalty and 30% as rate taxed of the gain value. The period of implementing the tax amnesty was 214 days stated from July until December 1997.

The implementation of the tax amnesty in 1997 was considered successful due to the increasing amount of tax revenue which reached triple of the previous tax amnesty gained. This successfulness was because of the successful promotion program through media such as radio, television, advertisement board, and newspaper promoting the benefits of joining the tax amnesty program and its highlight on the improvement of law enforcement after amnesty (Muttaqim, 2013).

3.3.3 Italy

Since 1991 until 2014, Italy had a number of tax amnesty programs. The government granted an amnesty for taxpayers so that they could pay the tax in lower rate. Each tax amnesty program always promoted as "the last opportunity" for all taxpayers.

In order to implement the tax amnesty program without violating fiscal regulation imposed by the European Union, and put government Berlusconi general tax amnesty law which entered into force in September 2001 until 25th May 2002, and this was the objective of the amnesty repatriating the capitals saved overseas to Italy dealing with untold activities to tax authorities in Italy (Muloud, 2015). This tax amnesty gained euro 1.74 billion equivalent to 0.1% of Gross Domestic Product in September 2001 till May 2002. Whereas, the amount of assets revealed was about euro 560 billion or 11% of undeclared assets saved overseas (Chatagny, 2006).

Tax amnesty program in 2009 applied *Scudo Fiscale* system (Fiscal Shield). The subject of the tax amnesty included: individuals, partnerships and the similar, except those who were being investigated. The objects included outbound assets saved overseas and its revenue. The period of reporting was between 15th September and 15th December 2009, with rate 5% of the total assets. The reported assets had to be repatriated, transferred to the institution governed by brokerage house, or regulated by adding several detail information on the asset report (for certain countries which had cooperation in tax with Italy).

For tax amnesty program in 2014, the government of Italy applied voluntary disclosure system to repatriate the national revenue of their people's assets saved overseas. The taxpayers had to voluntarily report and pay their tax payable. The benefit offered was "penalty", which alleviated the amount of tax, so that it would be less than the real tax audit they needed to pay.

The disobedience of reporting income tax, value added tax, and local tax for production activities was covered in this program. However, it did not cover taxes related to inheritance, donation, or present. Mechanism for the amount of penalty for tax payable was 100% till 200% for inbound revenue and 133% till 266% for outbound revenue.

Besides tax and fine, The Italian had outbound assets that had to be reported to tax authority of Italy and submit RW form as a part of repatriation procedures. If the taxpayers did not do the repatriation as what the form mentioned, they would get punishment annually. The punishment was in the form of 3% till 15% of the asset value on which they were in *shitelisted* jurisdiction.

The subjects of this tax amnesty were individuals, corporate, and subject for foreign business (related to corporation), except those who were being investigated. Furthermore, the object of this tax amnesty was all assets located in Italy and outside Italy with period of reporting was between January 1st and September 30st, 2015. The rate for all taxes and administrative punishment was the lowest rate subtracted by 25%. Of it. Kinds of amnesty were for tax punishment and money laundry. Of 1288 applications per May 18th, 2015, it gained € 260 million which was € 16 million from income tax, and € 12 million from value added tax (Prastowo, 2016).

Until November 2015, the government of Italy revealed € 60 billion undeclared assets. Of such amount, the government successfully declared € 3.8 billion or equivalent to USS 4 billion (Kurniawari, 2016).

Indonesia just learned on how to implement tax amnesty from other countries' experiences such as India, South Africa, and Italy. South Africa and India were two countries which had lots of common with Indonesia since both them are developing countries and being in transition. The two countries had huge number of the rich. In addition, Indonesia also had to learn from Italy since the country had quite much informal economy and outbound assets in Indonesia.

4. Cloncusion

Indonesia had already implemented tax amnesty in 1964, 1984 and 2016. Tax amnesty in 1964 and 1984 were both considered unsuccessful due to the political condition at that moment and the government ignorance toward the program. These were so different from South Africa, India, and Italy which were successful in implementing the tax amnesty program.

Tax amnesty in 2016 should be successful, and to do so, the government did not only abolish the collection right toward the taxpayers but also improved the taxpayers' awareness in order to increase the revenue of national budget, increase the data of taxpayers, increase the stock of foreign exchange through foreign currency entry, open investment, create new vocation and encourage the reformation of tax bureaucracy. The government should also do concrete actions in order to increase the tax revenue by conducting census of national taxes and improve the implementation of Indonesia National Single Windows (INSW) program.

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"Sniffing the Trace of Air": The Creativity of Influence in Ezra Pound's "The Return"

Sumaya M. Alhaj Mohammad[1]

[1] The Department of English Language and Literature, Zarqa University, Zarqa, Jordan

Correspondence: Sumaya M. Alhaj Mohammad, The Department of English Language and Literature, Zarqa University, Zarqa, Jordan 13132 P.O. Box 132222. Tel: 96-27-7871-2193. E-mail: sumaya2003@hotmail.com

Abstract

This study aims at exploring the concept of influence in modernity, based on Ezra Pound's perception of composing modernist poetry. Pound insightfully regards modernist poetry as connected to other previous texts due to the poets' entangled web of ideas inspired by their readings. The study focuses on Pound's poem "The Return (1912), which consciously imitates "Medailles d'Argile," (1900); a poem by the French symbolist Henri de Régnier. The study proves that this technique is intentional, as it enriches the poem by returning readers to previous works. It also affirms that Pound's influence is a process of creativity rather than "anxiety" as Harold Bloom suggests. This creativity is realized because Pound alters the impact of the French poem from a symbolist to an imagistic one through the uncanny use of imagery and rhythm, as well as presenting an image that amalgamates the abstract and the concrete, rather than representing an abstract thought.

Keywords: Ezra Pound, Imagism, Symbolism, Influence, Henri de Régnier, "The Return"

1. Introduction

> *"Be influenced by as many artists as you can, but have the decency*
>
> *either to acknowledge the debt outright, or to try to conceal it."*
>
> *Ezra Pound/ A Retrospect (Pound, 1954, p.5).*

Modernist poetry is replete with examples of overt and covert influence. Techniques such as allusion and intertextuality are omnipresent in modernists' writings, as they portray the influence either by previous or contemporary works. The concept of *return*, therefore, is an intricate one that is not merely grasped through its denotative meaning; it is rather pregnant with connotations that refer to the zeitgeist of the era of modernism as a whole, since modernism emphasizes re-employing the previous archetypes in new texts. Jeffrey Perl clarifies that while "[t]o some critics, modernism was a massive cultural deconstruction; other scholars have argued that modernism was entirely a creative phenomenon" (Perl, 1984, p. 12). The idea of the return, therefore, can be perceived as a deconstructive process of texts to come up with new ones imbued with influence. Perl also argues that "[f]or the modernists, the process of *return* was not only a means of understanding history and not only an artistic technique, it was a condition of the psyche and perhaps (the same thing) a world view" [emphasis added] (ibid, p. 14). That is to say that the term has value as it becomes an approach to writing modernist texts.

The psychological aspect of the return is investigated profoundly in Harold Bloom's theory of "the anxiety of influence," which argues that poets are haunted by the works that they read, and that the sediments of such an influence can be found in their poetry. The last Chapter of Harold Bloom's *The Anxiety: A Theory of Poetry* (1973) is titled "Apophrades: Or the Return of the Dead," which stresses the idea of the psychological influence by previous works on modernist poets. This highlights that the return in modern poetry is a well-grounded basis that characterizes the literature of the era.

As a prominent figure who has shaped the major tenets of modernism in English poetry, Ezra Pound calls modernists to "make it new;" a call that encourages writers to renew the past. Remarkably, this call or motto is a translation from an "inscription on an ancient Chinese emperor's bathtub" (Pratt, 2000, p. 2), which implies that authors are allowed to reveal their influence by others, and to re-contextualize their ideas and phrases. In the manifesto of *Imagisme*, Pound encourages artists to be inspired by others' works, whether diachronically or synchronically, i.e. by previous works, or the contemporary works of other cultures. Pound himself is influenced

by several sources, such as classical mythology, French symbolism, Japanese haiku and the Chinese characters. He, however, emphasizes that such an influence should not "mean merely that you mop up the particular decorative vocabulary of some one or two poets whom you happen to admire"(Pound, 1954, p. 7), but rather to recreate new texts skillfully out of this influence.

Unlike Bloom's theory of the anxiety of influence, Pound suggests either to "acknowledge" the influence or "conceal" it (Pound, 1954, p.5); and thus, to leave readers space to find the implied references. This concealment does not happen due to the poet's anxiety; it rather makes reading the poem more challenging, since it becomes "writerly" rather than "readerly" to use Roland Barthes's terms (Barthes, 1970). T. S. Eliot's article "Tradition and the Individual Talent" (1919) reveals that his idea of influence conforms to Pound's dictum. Eliot argues that talent is sharpened by previous readings, which should not, however, obliterate the creativity of the individual. Thus, Eliot believes that the influence by previous works adds to the writer's creativity instead of hindering it.

This study aims at analyzing Pound's uncanny influence in his poem "The Return" (1912) by "Medailles d'Argile," a poem published by the French symbolist Henri de Régnier in 1900. Through this analysis, the study suggests that Pound's Imagisme can transgress "the anxiety of influence" to a point where influence is a creative process. This elevates Imagisme as a movement that absorbs other trends, such as symbolism; as the former has the capability of reshaping the latter and adding to it. The study shows that Pound aims at shifting his readers' attention to other works, as he believes that any successful work of art should be rich enough to open up several associations to the reader. Influence, hence, demands readers to be knowledgeable enough to make such associations; it, moreover, adds to their knowledge, as it urges them to return to other works in order to realize a more profound understanding. Pound presents the concept of influence, or returning to other works, as an essential characteristic of modernism, embodied by modernists through some techniques, such as intertextuality and allusion. In his poem "The Return," Pound presents a good example of influence which is not merely an imitation or representation of the original work, but rather a presentation of a new creation from a different perspective. He, therefore, presents the symbols of de Régnier's poem as an imagistic poem, rather than a symbolist one. The study, therefore, proves that Pound's imitation of Henri de Régnier's poem "Medailles d'Argile" is a creative process rather than an anxious one, as it concludes that the creativity rather than the anxiety of influence is what makes a modernist poem successfully composed.

2. Discussion

The suggestive title of Pound's poem "The Return" connotes multiple meanings of the concept of the 'return' not only in the poem, but also as a concept relevant to the spirit of the age of modernism that Pound has strived to convey through his poetry. Pound's poem is an attempt to transform poetry from the state of representation, which is the aim of symbolism, to the state of presentation, which is Pound's ultimate goal in composing an image, as he defines the image as "that which *presents* an intellectual and emotional complex in an instance of time" [emphasis added] (Pound, 1954, p. 4). Pound scrupulously portrays the image through presentation rather than representation, since there is no one-to-one correspondence in imagery as in the case of symbolism. Based on Pound's definition of the image, the image goes through a complex process of what is intellectual and emotional; therefore, representation becomes defective. This process implies that the produced image does not exactly mirror or represent the external reality, as much as it presents it in a new way that has tacit meanings read from various perspectives.

In his book *The Influence of French Symbolism on Modern American Poetry* (1985), René Taupin argues that Pound's "The Return" is influenced by de Régnier poem "Medailles d'Argile," [Medals of Clay] (Taupin, 1985, p. 128), (See Appendix). Taupin states that:

> In "The Return," Pound had sought to surpass the excellent title-poem of de Régnier's collection Médailles d'Argile. Pound's admiration for the poem made him wish to produce an equivalent in English, if possible one that would be better than the original. The rhythmical strength of the poem echoes that of de Régnier, and is obtained in the same manner: by frequent pauses and broken lines. (Ibid, p. 128)

Taupin's idea, that Pound's poem is inspired by the French one out of "admiration," recalls Bloom's definition of "influence simply as literary love, tempered by defense. The defenses vary from poet to poet. But the overwhelming presence of love is vital to understanding how great literature works" (Bloom, 2011, p.8). Shiva K. Srinivasan argues that "the aim of literary criticism in the Bloomian theory of reading . . . is not to "deconstruct or reconstruct [the text] as literary theorists usually do, but to express his notion of literary love" (Srinivasan, 2011, par. 4). Influence, then, for Bloom, is motivated by the energy of passion, rather than intellect, due to writers' love for specific texts that inspire them. It, therefore, does not have thematic or aesthetic purposes. On the other hand, one of Pound's objectives of establishing his movement, Imagisme, is to enrich the literary work

by urging readers to rummage through other works to grasp a meaning. Pound points out that "[t]he work of art which is most 'worth while' is the work which would need a hundred works of any other kind of art to explain it" (Pound, 1970, p. 84). Accordingly, for Pound influence could be an attempt to see previous works in new perspectives. His dictum about employing previous works in the writer's text is, in fact, different from that of Bloom, as the former perceives that influence is conscious and should be achieved to open new vistas to readers, while the latter thinks that it is an emotional response to the writer's passion towards certain texts. In Bloom's case, therefore, writers get anxious as they try to compose original texts. Whereas in Pound's view, they deliberately re-contextualize the previous thoughts without the angst of misinterpretation or plagiarism.

Based on Taupin's above-mentioned quotation, Pound's poem is an "equivalent" to that of de Régnier. I argue, however, that Pound's endeavor is closer to a fresh production than equivalence, since Pound attempts at transforming the symbolist effect of the poem to an imagistic one. William Pratt explains Taupin's idea by stating that Pound's image "is more concentrated to the eye and more consistent to the ear than the original" because he focuses on one god, Hermes, rather than several gods as in de Régnier's poem (Pratt, 2000, p. 6). Pratt thinks that "What Pound adds to de Régnier's rhythm is the motion of the gods in their hesitant return to the earth . . ." (ibid, p. 5). Consequently, Pound condenses de Régnier's poem and focuses on visualization, which is an essential tenet in Imagisme, as well as music which is crystallized by Pound's use of 'vers libre,' that grants the poet more freedom, and approximates poetry to music, or to what Pound himself refers to as "absolute rhythm," which he defines as that which "corresponds exactly to the emotion or shade of emotion to be expressed" (Pound, 1954, p.9). To Pound, thus, the rhythm carries the thought of the poem alongside with its music; that is to say that music and thought become inseparable, as will be explained later through analyzing the Poem.

The beginning of Pound's poem is so skillful that it immediately captures the attention of readers by triggering their imagination to visualize the scene or the image that Pound presents in the poem. The Poem starts with an imperative that urges readers to form visual images, it reads: "See, they return; ah, see the tentative/ Movements, and the slow feet." The repetition of the verb "see" is vital, as it motivates readers to transform the abstract language of the poem into concrete imagery created in the imagination. The verb "see" in the poem substitutes the verb "listen" in de Régnier's poem wherein he says in the second stanza:

> Then I said: here are flutes and baskets,
>
> sink your teeth in the fruit;
>
> hear the bees droning,
>
> the humble sound
>
> of willows being braided and roses being cut,
>
> and again I said: listen,
>
> listen,
>
> behind the echo
>
> someone stands, a universal life
>
> with double bow and double torch
>
> that is
>
> divinely us. . . (Pratt, trans., 2000, P.4)

It is obvious that de Régnier's poem is replete with auditory images through the words "flutes," "hear," "sound," listen," and "echo." The poem is a correspondence between human beings and nature, which symbolizes the power of the divine. The "medals" in the title symbolize gods, while "clay" symbolizes mortals. These symbols are associations that help readers to connect the two axes of the symbolism; the symbolizer and the symbolized.

Though Pound affirms that Imagisme is influenced by Symbolism, especially regarding the use of free verse, he argues in his essay "Vorticism "that the two movements are dissimilar in many other regards. Pound emphasizes that:

> Imagisme is not symbolism. The symbolists dealt in 'association', that is, in a sort of allusion, almost of allegory. They degraded the symbol to the status of a word, they made it a form of metronomy. One can be grossly 'symbolic' for example, by using the term 'cross' to mean 'trial'. The symbolist's *symbols* have a fixed value, like numbers in arithmetic, like 1,2 and 7. The imagist's images have a variable significance like the signs a, b and x in algebra. (Pound, 1970, p.84)

In "The Return," Pound is obviously influenced by symbolism thematically and stylistically. The idea of the "return", for instance, symbolizes the ending of the Christian era; that is to say that it is abstract rather than concrete as imagist poetry suggests. Tackling such a theme seemingly swerves away from the principles of Imagisme. Nevertheless, the purpose of Imagisme is to present the abstract concretely as if the thoughts are painted. Pound lists "paint[ing] the thing as I see it" as one of the tenets of Imagisme (Pound, 1971, p.6). This makes the poem close to a painting that portrays the return of the gods rather than describing it. Pound's use of the word "paint" rather than "write" or "compose" opens different readings of the poem without limiting it to one symbolic meaning as in de Régnier's poem. In other words, Pound employs the symbolic idea of the return of the gods imagistically as he visualizes the scene.

The return in Pound's poem, contrary to that of de Régnier's, could refer to any other return or metaphorical resurrection. The poem, as Richard Gray describes it, "illustrates Pound's growing ability to write pieces that are not necessarily 'about' anything in any traditional sense but are, rather, equations for a mood or an emotion" (Gray, 1976, p. 77). The meaning in "The Return," therefore, is not stated in the words and their abstract signification, but rather in the musical pattern that is painted through language. Hugh Kenner argues that "'The Return' (1912), in which every line has a strongly marked rhythm but no two lines are alike, it is actually the rhythm that defines the meaning (Kenner, 1973, p. 189).

Based on Pound's above-mentioned excerpt, which explains the difference between Imagisme and symbolism, if one scrutinizes de Régnier's poem, they will find out that he refers to different gods through symbolism. For example, the "one winged,/ handsome and shy,/ a bare nude figure" in the first stanza symbolize Cupid, the god of love. The coming of the gods in the poem is a dream made up by the persona to represent their connection to dreamers to make them divine; and thus, those dreamers are unified with the power of the gods. Unlike de Régnier's allegorical poem, Pound composes a poem that presents one image of the return of the gods. Pound telescopes de Régnier's "great terrestrial dream" (stanza 3 of the poem) into the following concise vision:

> See, they return; ah, see the tentative
> > Movements, and the slow feet,
> > > The trouble in the pace and the uncertain
> > > Wavering!
> See, they return, one by one,
> With fear, as half-awakened;
> As if the snow should hesitate
> And murmur in the wind,
> > > and half turn back;
> These were the "Wing'd-with-Awe,"
> > Inviolable.
>
> Gods of the Wingèd shoe!
> With them the silver hounds,
> > sniffing the trace of air!
>
> Haie! Haie!
> > These were the swift to harry;
> These the keen-scented;
> These were the souls of blood.
>
> Slow on the leash,
> > pallid the leash-men! (Pound, 1975, pp. 39-40)

Though Pound attempts to alter the aura of the poem, readers can easily "sniff . . . the trace" of de Régnier's poem in Pound's "The Return." The winged gods and the silver color, for instance, are some traces that are redolent with the aroma of de Régnier's poem. The movement of the gods in Pound's poem is also similar to that in de Régnier's, since both portray it as tentative and gradual. It is noticeable that Pound uses the same expressions "one by one," which reveals the extent to which he is influenced by de Régnier. Readers, however, would not notice the influence had they not read de Régnier's poem, which is one of Pound's purposes of writing his poem. That is to say that Pound refers us to other works intentionally, so that that writing (or reading) a poem is a web-like, since it becomes connected to several other works. Pound, who is influenced by the French symbolism, also attempts to make his readers appreciate the value of symbolist poetry, which he himself is

influenced by. He, therefore, presents a poem inspired by a symbolist. Pound, nevertheless, does not imitate de Régnier poem, but rather re-produces it in an imagistic version.

The shift from representation in symbolism to presentation in Imagisme, thus, adds to Taupin's dictum that "between the 'image' of the Imagists and the 'symbol' of the Symbolists, there is a difference only of precision" (Taupin, 19985, p. 93). Pound conceives this presentation through rhythm, visual, and the kinetic imagery that make the total image of the poem alive. Kenner argues that the use of different tenses as well as the use of rhythm make readers envisage the return of the gods as if it is real. He says that an explicit statement that the gods, returning now, do so in unstable meters. The poem is about the mode of divine apparitions in poetry. Not only the sharp meters but the sharp images, the winged shoe and the silver hounds, belong to their past state. Yet the past state is itself being recreated now, and the final lines though they specify slowness and pallor, are both imagistically sharp and metrically cut (Kenner, 1973, p. 190).

The rhythmical effect is, therefore, emphasized not as part of the image, but as the image itself. Kenner also argues that "every line [of 'The Return'] has a strongly marked expressive rhythm but no two lines are alike, it is actually the rhythm that defines the meaning" (ibid, p. 189). He adds that the "unstable meter" of the poem reflects the instability of the whole image of the return of gods (ibid, p. 190). This makes the rhythm of the poem in harmony with the image that readers visualize of the movement of the gods. Words like "tentative", "movement", "slow", "swift," "pace" and "wavering" are functional in painting the picture in the minds of readers. It is noticeable that in de Régnier's poem, words have fixed values, i.e. each phrase symbolizes a certain god, while in Pound's poem there is variety of possibilities for the equivalence of the image in the minds of readers. That is to say that in the image that Pound presents, he uses visualization to invoke a metaphysical content, which makes the image a complexity of the concrete and the abstract altogether.

In the second stanza, however, words like "half-awakened", "hesitant" and "half turn back" give the impression that the return of the gods is hidden and hesitant because it secretly conjures up de Régnier's poem. Pound also refers to the Greek god Hermes (Mercury in Roman) who is the god of transitions, when he says "Gods of the Wingèd shoe." This god is also mentioned in de Régnier's poem, which reveals Pound's own transcendence of the boundaries to be directly influenced by another work of literature in his poem. The mentioning of Hermes, furthermore, suggests movement and transition which are vivid in the poem as a whole. The "silver hounds," therefore, can be perceived as the act of tracing the hidden seeds of influence that Pound conceals in the poem.

3. Conclusion

In conclusion, Pound's Imagisme proves that influence is an intentional and conscious technique that poets use to open their texts for different perceptions. Thus, instead of making the poet anxious, influence becomes a creative process that enriches the poem, and presents it with a different array. Pound attempts to alter the impact of de Régnier's "Medals of Clay," by writing an imagistic poem that absorbs the French one. He does not only succeed in composing a more precise poem with a remarkable musical effect, but he also remolds the poem to make it an imagistic one. Yet, readers can follow the traces of "Medals of Clay" in Pound's poem; traces that Pound conceals among his lines, and leaves it to his readers to probe deeper into the references and their novel contextualization.

4. APPENDIX

Medals of Clay

Translated by William Pratt

I dreamed that the gods had spoken to me:

one streaming with seaweed and brine,

another heavy with grapes and wheat,

one winged,

handsome and shy,

a bare nude figure,

another veiled,

and still another

sang and plucked hemlock

and thoughts

and wreathed about his golden thyrsus
two serpents on a caduceus,
and another yet. . .

Then I said: here are flutes and baskets,
Sink your teeth in the fruit;
hear the bees droning,
the humble sound
of willows being braided and roses being cut,
and again I said: listen,
listen,
behind the echo
someone stands, a universal life
with double bow and double torch
that is
divinely us. . .

Unseen face! It's you I engrave
on silver medals, sweet as pale dawn,
on golden medals. Sombre as night,
something in all metal;
shines clear as joy,
sounds deep as glory,
as love, as death;
the most beautiful things of fine clay
I have made, dry and fragile.

One by one, you counted them, smiling
and said: how cunning,
and passed on, smiling.

Yet none of you could see my hands
trembling with tenderness
that all the great terrestrial dream
lived in me to live in them,
and I engraved in sacred metal,
my gods,
who are the living face
that we smell in roses.
in the water, in the wind,
in the woods, in the sea,
in all things,

In our flesh –

and that are

divinely us. (Pratt, 2000, pp.3-4)

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Model of Thailand Speech Intelligibility (T-SI) in the Large Classrooms from Public University

Pasit Leeniva[1] & Prapatpong Upala[1]

[1] Faculty of Architecture, King Mongkut's Institute of Technology Ladkrabang (KMITL), Bangkok, Thailand

Correspondence: Pasit Leeniva. Multidisciplinary Design Research, Faculty of Architecture, King Mongkut's Institute of Technology Ladkrabang, Bangkok, Thailand. Tel: 6686-3699-266. E-mail: pasitlee@gmail.com

Abstract

The objectives of this research are to evaluate acoustic environments and to forecast STI values from spatial component variables in the large classrooms of the Thai public university that were specially controlled the same room finishing materials including the floor, walls, and ceiling. Whereas the five spatial component factors included (1) Room Volume (RV), (2) Ceiling Height (CH), (3) the Ratio of Depth to Width (R_{dw}), (4) Total Room Surface (TS), and (5) Percentage of Absorbing Surface areas (PAS). The research tools were the smartphones that used the applications for acoustical evaluation and speech intelligibility analysis. The Speech Transmission Index (STI), Reverberation Time (RT), and Background Noise Level (BNL) were collected by the calibrated microphone in the nine points distributed across the entire room. And also, the sounds for testing were simulated such as balloon burst, and STIPA signal via a sound generator. The Thailand Speech Intelligibility (T-SI) model was developed by the multiple regression analysis with a statistical at a confidence level of 95%.The results showed that this T-SI model depended on the strongly positive relationship of PAS and the slightly positive relationship of CH, TS while the RV, R_{dw} were slightly the negative relationship and which predicted STI values. Moreover, the highest affecting variable of T-SI model was CH and the lowest was PAS. However, this research implies that the improving room acoustic quality would be adjusting the sound absorbing surface areas i.e., increase the cloth curtain or appropriate methods.

Keywords: acoustical measurement, classroom acoustic, spatial component, speech intelligibility

1. Introduction

1.1 Research Background and Conceptual Framework

The acoustical conditions in classrooms were the important issues to realize. It is well known that the poor acoustical problems have substantial effects on the learning process. In order to achieve the good indoor acoustical environment, the spatial aspect needs more attention and study in depth (Barron, 2001). The acoustical environment is generated from the responses of spatial component factors in the interior environment (Paradis, 2014) that comprise room volume, ceiling height, the ratio of depth to width, total room surface, and absorption surface areas. These factors affect acoustical characteristics that occur (Zannin & Marcon, 2007; Rabelo et al., 2014). Therefore, this research was conducted under the conceptual framework shown in Figure 1.
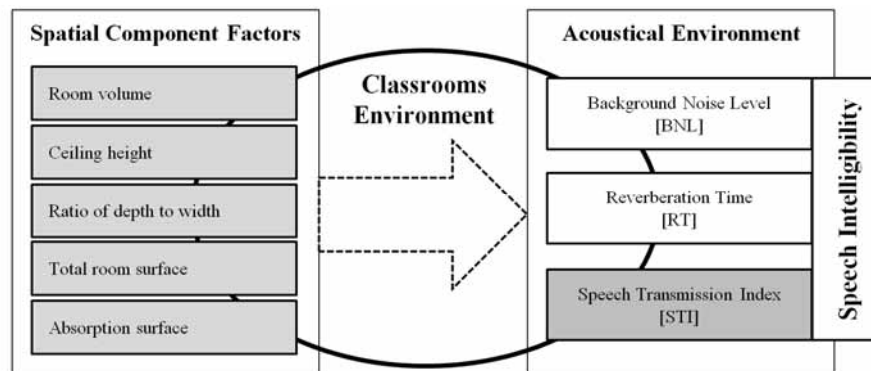

Figure 1. Research conceptual framework

The figure displays connections of two aspects of the acoustical environment and the physical environment, where furniture and construction material variables are not considered. The objectives of this research are (1) to evaluate classrooms acoustical environment and (2) to forecast speech transmission index: STI values, which is affected by spatial component variables. This paper comprises four sections of content included (1) Introduction which explains the origin of this research as well as literature reviews relating to spatial components of large classrooms and speech transmission index. (2) Data collection steps and equipment installation guidelines for room acoustical measurements. (3) Research results which are separated into three sections, namely, spatial component data summarization, descriptive statistic values such as BNL, RT, and STI of each room comparing with their standard values. The last result section is the statistical analysis which is summarized into regression equation between STI value and five spatial component factor aspects. And (4) research conclusion.

1.2 Previous Studies of Classroom Acoustics

There are many studies have investigated the acoustical environment in classrooms. Due to classrooms are areas where clear speech communication must be concerned. In order to build understanding between instructors and students, the speech lecturing is an indispensable requirement (Sala & Viljanen, 1995; Nijs & Rychtarikova, 2011). Previous studies posited that poor acoustic classrooms, reverberant classrooms, and unclear communication will affect reading and learning quality. Moreover, it can negatively affect attitude and emotion towards the learning environment (Klatte & Hellbruck, 2010; Asutay et al., 2012). The clear speech communication in classrooms should be evaluated by acoustical parameters such as Speech Transmission Index (STI), Reverberation Time (RT) and Background Noise Level (BNL) (Bradley, 1986a; Bradley, 1986b; Hodgson, 1999; Bistafa & Bradley, 2000).

However, studies about the acoustic clarity of classrooms in Thailand are scarce and insufficient. Additionally, interior designers and architects might not realize the importance of acoustic environment in classrooms. This can be seen from classrooms design in Thailand which the finishing materials are constructed with smooth shiny materials to serve only cleaning and maintenance purposes. Also, sound absorbing materials are not installed in classrooms and such environments can cause noisy and reverberant conditions (Fuchs et al., 2001; Larm et al., 2005), aligned with Sabine formula, which indicates reverberation time that is the result of room volume factors and room acoustic absorption (Astolfi, Corrado, & Griginis, 2008). Therefore, the spatial component factors are the variables that affect the acoustical environment in classrooms.

1.3 Speech Transmission Index (STI), Background Noise Level (BNL), and Reverberation Time (RT)

Speech Transmission Index (STI) is one of the parameters that used to measure verbal communication clarity (Tang & Yeung, 2003). Figure 2 shows the meaning of STI value at each level starting from 0 to 1, where 0 refers to unclear and 1 refers to very clear (Sala & Viljanen, 1995). STI, therefore, is important to rooms or verbal communication areas (Leeniva & Upala, 2015) especially classroom areas which need to have an STI value higher than 0.6 (Rabelo et al., 2014). STI value is directly related to Background Noise Level (BNL) and Reverberation Time (RT), and also related to the physical environment in rooms (Peng, 2010; Leeniva & Upala, 2017).
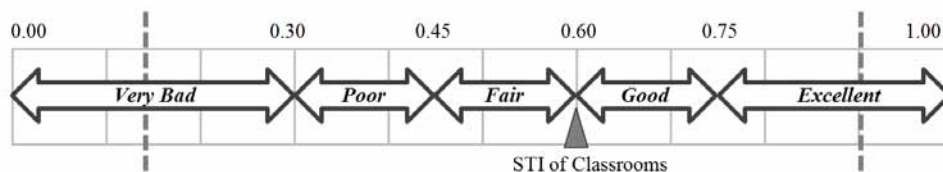
Figure 2. Verbal-communication clarity reference chart base on value level and its meaning for STI

Background Noise Level (BNL) or ambient noise is a value that measures sound loudness while no educational activities are being conducted in the classroom. The sound level unit that is used as an international standard is A-weighted decibels (dBA). And Reverberation Time (RT) refers to echo duration, using seconds as its measuring unit, also called RT or RT60. RT60 refers to the measurement method that produces sound with 60 dBA louder than BNL level; the time until the sound disappears and returns to normal BNL level is recorded (Fuchs et al., 2001). American National Standards Institute (ANSI) showed that reverberant condition and high noise level within a room are the cause of unclear communications, especially in large volume rooms which have a higher chance of occurring than small volume rooms (ANSI, 2002). ANSI S12.60 specifies the standard values

of BNL under no activity conditions to be 35 – 40 dBA, and standard RT value to be 0.7 seconds for large classrooms, display in Table 1. If BNL and RT index values exceed that of their standard, it will cause the reduction in STI value and negatively affect verbal communication clarity (ANSI S12.60, 2002; Astolfi et al., 2008; Sala & Viljanen, 1995; Tang & Wong, 1998).

Table 1. The standardized value of acoustical indexes for large classrooms

Acoustical indexes	Value	Standards	Years of definition
Background Noise Level (BNL)	35 – 40 dBA	ANSI S12.60	2002
Reverberation Time (RT)	≤ 0.7 second	ANSI S12.60	2002
Speech Transmission Index (STI)	≥ 0.60	IEC 60268-16 ed.4.0	2011

2. Method

2.1 Research Procedure

This research plan is separated into three main steps containing the following details:

Step 1: Physical room assessment was conducted by measuring six classroom areas then summarizing spatial component factors, namely room volume, ceiling height, the ratio of depth to width, total room surface and percentage of absorption surface.

Step 2: Acoustical Measurement of the three acoustical indexes, namely, BNL, RT, and STI. Those indexes were collected under sound simulation control in classrooms. The sound level was kept constant by a sound generator, and acoustical values were measured via smartphone application connected to the calibrated measurement microphones. Measurement of RT value used the impulse noise (balloon burst sound with sound level = BNL+60 dBA) and the STIPA signal was used to measure STI value.

Step 3: The research results are separated into two sections, namely, Section 1: Comparing descriptive statistics, showing three acoustical indexes, which are BNL, RT, and STI, between the six large classrooms, as well as comparison of the obtained values with ANSI S12.60 (2002) and IEC 60268-16 standard (2011). Also, results were shown in the way of contour maps using Surfer V13 to display sound distribution characteristics within the rooms. Section 2: Result analysis via regression statistics was used to formulate the model of Thailand Speech Intelligibility (T-SI)

2.2 The Study Area: Large classrooms in Public University

The classrooms under study are located in a Thai public university that conducts bachelor level courses. King Mongkut's Institute of Technology Ladkrabang (KMITL) was specifically chosen due to the institute's location nearby Suwannabhumi International Airport within a 10 km radius. Also, this institute has studied the impacts from the airport after it started operating in 2006 by Pollution Control Department of Thailand. The study found that this institute receives the impact of noise during airplane takeoff-landing at an average of 60 – 65 dBA. Apart from this, it also receives noise pollution from other communication systems such as railways and highways (Leeniva & Upala, 2015).

The study areas were carried out in six large classrooms. The large classrooms refer to rooms that have a volume of 288 to 566 cubic meters (ANSI S12.60, 2002) or an estimated capacity of 100 to 120 seats. In this study, six rooms were selected as representatives of six faculties that conduct bachelor level courses (Figure 3). Each room contains the same finishing materials, namely, polished stones or smooth floor tiles as floor material, smooth gypsum board as ceiling material, concrete plaster brick or smooth surface gypsum board as wall materials, as shown in Figure 4. The differences of each room depend on spatial component factors, which cause variation in the acoustical environment (Paradis, 2014). The factors consist of room volume, ceiling height, the ratio of depth to width, total room surface, and absorption surfaces (Rabelo et al., 2014). During data collection, all furniture was removed and no educational activities were conducted (Peng, 2010).
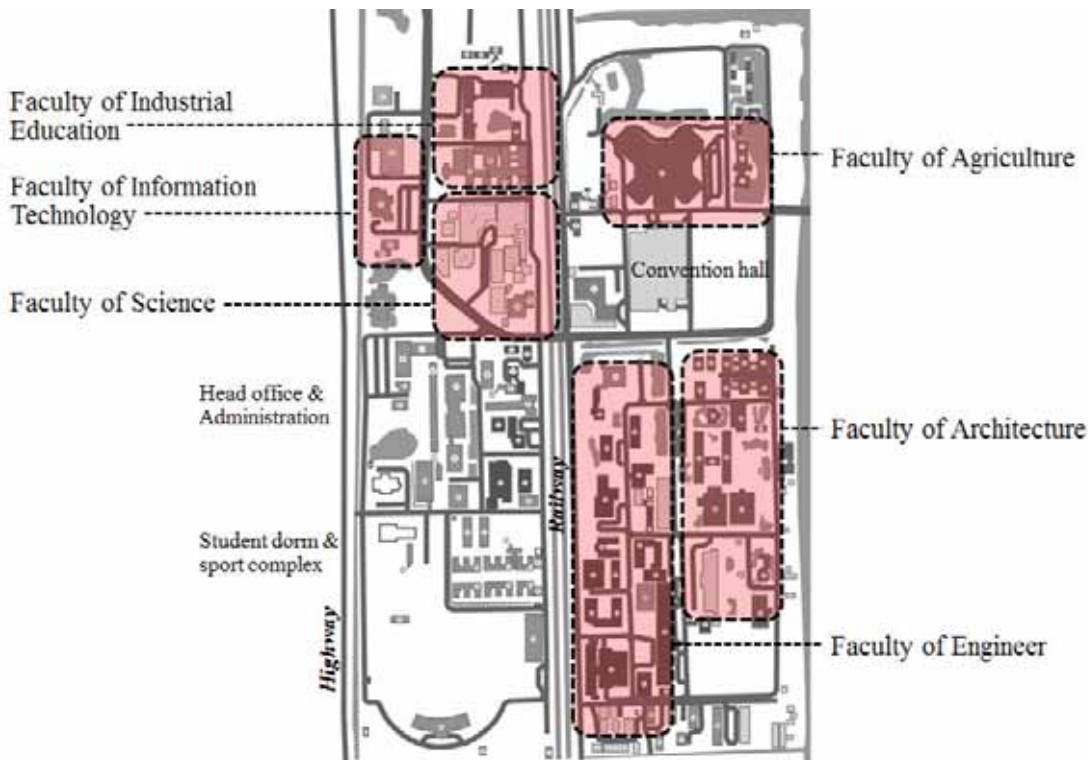
Figure 3. Six faculties in KMITL

Figure 4. Display floor, walls, and ceiling materials of the large classrooms in KMITL

In the data collecting procedures, purposive sampling was utilized. Each classroom in this study represents classrooms provided for undergraduate students of each faculty in KMITL. Six classrooms in total were drawn from six faculties, namely Faculty of Engineer, Faculty of Industrial Education, Faculty of Architecture, Faculty of Science, Faculty of Agriculture and Faculty of Information Technology. All sampled classrooms had the following criteria; 1) They must be large classrooms with room volume between 288-566 cubic meters; 2) They must be air-conditioned with closed windows and doors; 3) They must be rectangular or shoe box shape; 4) They must be rooms for lecturing or seminar only (laboratories or multi-function rooms were excluded).

2.3 Room Acoustical Measurements

Room acoustical measurements were collected three acoustical indexes, namely, The Speech Transmission Index (STI), Reverberation Time (RT), and Background Noise Level (BNL), by smartphone applications iSTI, APM tool, and SPL respectively. These evaluations were conducted through Dayton Calibrated Measurement Microphone, iMM-6 model. Both applications and microphones were certified by the International Electrotechnical Commission (IEC). Table 2 shows equipment details, the application used in an acoustic analysis, and certified standards. Data collection equipment used is shown in Figure 5 and consisted of a microphone for measurement, the adjustable microphone stand, iphone5s with IOS 9.3, record forms, computer, and speaker.

Table 2. Acoustic measuring equipment and acoustic analyzing applications

Instruments and Software	Specification and Details	Standard or Certified
Sound generator／Speaker	Roland; 6.5" neodymium speakers ✳2, 40 – 140 dBA, wide dynamic range and flat.	European Directive 89⁄336⁄EEC
Microphone／Receiver	Dayton; iMM‑6 iDevice Calibrated Measurement Microphone, for use with iOS, the true omnidirectional pattern with calibrated flat frequency response.	IEC 60268‑4
Sound level analyzer for BNL	SLA v2.2 by Toon.LLC, iOS application	IEC 61672‑1 (2013) & JIS C 1509‑1
RT measurement	APM Tool v2.0 by Suonoevita, iOS application	IEC 61672 (2013) & ISO 3382
STI measurement	iSTI by Embedded acoustics, iOS application	IEC 60268‑16 (1998)

Figure 5. Equipment and tools used for room acoustical measurement
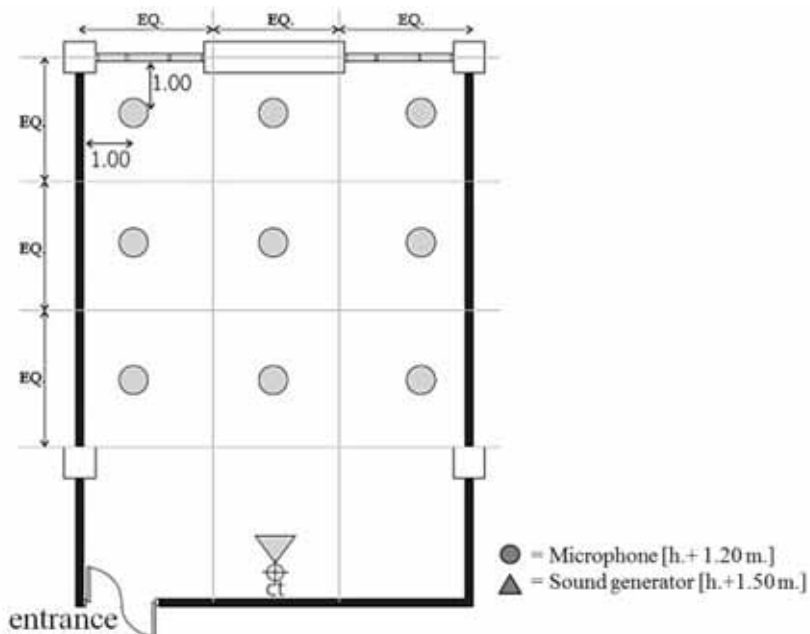
Figure 6. Equipment installation guideline for acoustical measurement room

Figure 6 shows equipment installation guideline for room acoustical measurement. The setting of a sound generator was located in a position where a lecturer stands during lecture, which is the middle-front area of the room at the height of 1.50 meters. The speaker generated two types of sound simulation such as balloon burst sound (impulse noise) and STIPA signal. For positions of the receiver, heights referred to ear level of seated

students while listening to a lecture, which was determined to be 1.20 meters high. The positions of the receivers were specified in nine points spreading over the entire room. The positions adjacent to walls were specified to leave 1.00-meter gaps, as shown in Figure 6. In addition, BNL measurement was evaluated under a total of three situations, namely, (1) when all air-conditioning systems were turned off, (2) air-conditioning systems were turned on but no acoustic absorbing material in the room and (3) air-conditioning systems were turned on with the acoustic absorbing material in the room. Data collection was carried out at noon, on a day with no educational activities, no university students inside each building, including no activities taking place in adjacent space. The weather condition during data collection was normal; no rain, thunder, or strong wind.

3. Results and Discussion

3.1 Physical Environment Analysis of Six Large Classrooms

The overall spatial component factor data of the six studied classroom areas from six faculties in KMITL were displayed in Table 3. Every classroom was considered as a large classroom with volumes in a range of 288 to 566 cubic meters complying with ANSI S12.60 (2002) specifications. Floor, walls, and ceiling material of each room had no differences and were similar to other public institution classrooms. They consisted of smooth shiny materials that are often used due to ease of maintenance such as the polished stone floor, smooth floor tiles, and smooth padded gypsum ceiling, and most of the wall materials were smooth padded concrete and smooth padded gypsum. Therefore, there was very little to no acoustic absorbing materials in the rooms, which mostly came from blind materials on windows. The items mentioned in the table below are a summary of the studied areas, which include Room Volume (RV), Ceiling Height (CH), the Ratio of Depth to Width (R_{dw}), Total Room Surface (TS) and Absorbing Surface areas calculated in percentage (PAS).

Table 3. The spatial component data of the six large classrooms

	Large classrooms								
	ENG	IDED	ARCH	SCI	AGRI	IT	*Mean*	*S.D.*	*Min.−Max.*
Room Volume (RV): (m^3)	340.00	403.75	428.34	318.66	319.73	422.80	391.74	46.61	318.66 − 428.80
Floor Area: (m^2)	106.25	161.50	129.80	120.25	110.25	140.94	126.06	14.68	106.25 − 161.50
Ceiling Height (CH): (m)	3.20	2.50	3.30	2.65	2.90	3.00	3.05	0.29	2.50 − 3.30
Ratio of Depth/Width (R_{dw})	1.47	2.24	1.68	2.85	1.00	1.86	1.82	0.47	1.00 − 2.85
Total Room Surface (TS): (m^2)	346.90	460.50	415.03	373.01	342.30	431.28	401.86	36.80	342.30 − 460.50
% of Absorbing Surface (PAS)	17.71%	11.73%	30.00%	4.25%	1.75%	8.13%	12.64	7.69	1.75 − 30.00

Note. ENG=Faculty of Engineer, IDED=Faculty of Industrial Education, ARCH=Faculty of Architecture, SCI=Faculty of Science, AGRI=Faculty of Agriculture, IT=Faculty of Information Technology

Moreover, the table shows spatial component factors that will be analyzed to define their relationship with STI value in a room, which consist of (1) Room Volume (RV), (2) Ceiling Height (CH), (3) the Ratio of Depth to Width (R_{dw}), (4) Total Room Surface (TS), and (5) Percentage of Absorbing Surface areas (PAS). For the volume of the six studied classrooms, the minimum was 318.66 cubic meters, maximum was 428.34 cubic meters, and the average value was 391.74 cubic meters. These room volumes fall under the ANSI S12.60 standard as a large classroom. In addition, measurements obtained gave an average ceiling height of 3.05 meters. The ratio of depth to width started from 1.00, for a room with a depth equal to a width, and more than 1.00 for a room that had a depth higher than the width dimension. Thus, if ratio value is high, it means that that the room is very deep. In this case, depth to width ratio ranges from 1.00 to 2.85. Total room surface factor had values starting from 342.3 to 460.5 square meters, and the average value of the percentage of absorption surface factor stood at 12.64%, the minimum was 1.75% and the maximum was 30%.

3.2 Acoustical Environment Analysis

3.2.1 Background Noise Level (BNL)

The values summarization of Background Noise Level (BNL) in the classrooms, Figure 7 shows that none of the selected classrooms met the standard acoustic value. Only the ARCH classroom, at 45.25 dBA, was the closest to standard. When air-conditioning systems were turned on, each room had a much higher BNL (67.47 dBA) with

an average increase of 32.2%. In addition, it was observed that when the rooms contained acoustic absorbing materials, BNL value decreased but varied according to the Percentage of Absorbing Surfaces (PAS) in the room. ARCH classroom had an acoustic absorbing surface of 30% and was able to reduce BNL value by 3.94%. For AGRI classroom, it had a very little acoustic absorbing surface that the cause of BNL value only dropped by 0.06%. Nonetheless, the measured results were obtained from real classrooms which had many acoustical related factors such as room volume, ceiling height, and room proportion, which were considered and a relationship between occurring spatial factors and acoustical characteristics were investigated via support from statistical program analysis.

Figure 7. Comparison between Background Noise Levels

Note. ENG=Faculty of Engineer, IDED=Faculty of Industrial Education, ARCH=Faculty of Architecture, SCI=Faculty of Science, AGRI=Faculty of Agriculture, IT=Faculty of Information Technology

3.2.2 Reverberation Time (RT)

The measurement of RT value used the balloon bursting sound (impulse noise), created from the sound generator with loudness level set at BNL+60 dBA (BNL of each room). Frequency interval for RT measurement was 500 – 2000 Hz, which is a normal speaking frequency interval. Reverberation time for a room with volume higher than 288 cubic meters but lower than 566 cubic meters, according to ANSI S12.60 standard, should not exceed 0.7 seconds. The RT value summarization, shown in Figure 8, all six classrooms had RT values higher than that of the standard with an average of 1.73 seconds, the standard deviation of 0.49, minimum value of 1.27, and maximum value of 2.55 seconds.

However, when acoustic absorbing materials were added to the rooms, a new average value was reduced to 1.54 seconds (SD 0.57), the minimum value of 1.06, and the maximum value of 2.50 seconds. In other words, when rooms contain acoustic absorbing materials, it will cause reverberation time to drop by 11.77% on average depending on a number of acoustic absorbing surfaces or the percentage of absorbing surface areas in the rooms. For rooms with the high acoustic absorbing surface, there will be a more significant reduction in RT value than rooms with little acoustic absorption surface.
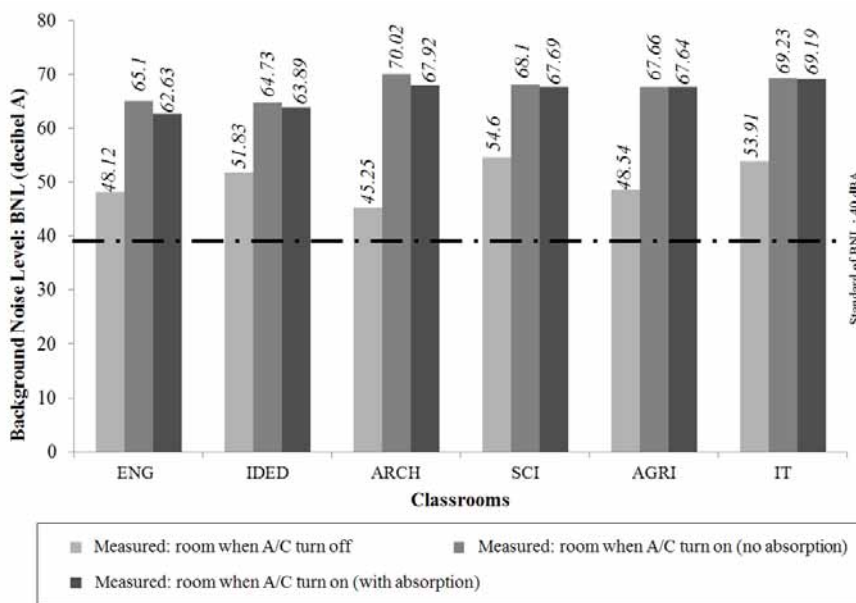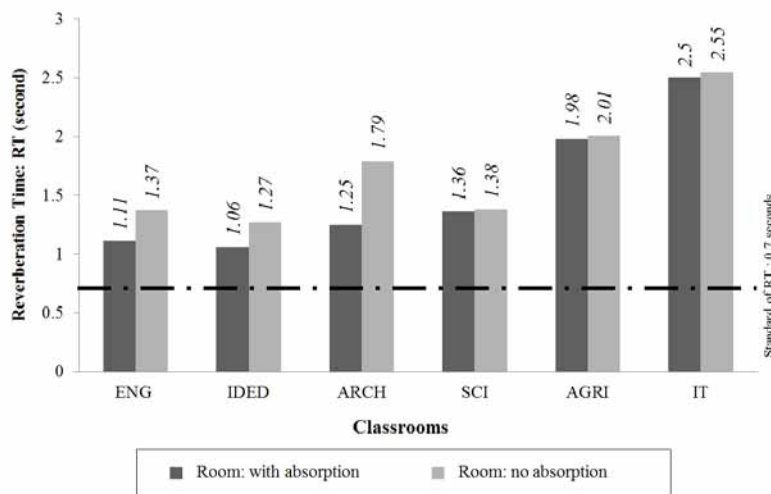
Figure 8. Comparison between Reverberation Times

Note. ENG=Faculty of Engineer, IDED=Faculty of Industrial Education, ARCH=Faculty of Architecture, SCI=Faculty of Science, AGRI=Faculty of Agriculture, IT=Faculty of Information Technology

3.2.3 Speech Transmission Index (STI)

Speech Transmission Index (STI) value is an index used to indicate speech intelligibility. It tells important acoustic characteristic for rooms or areas that are used for communication such as classrooms. A suitable STI value for classrooms should exceed 0.60 referring to rooms with good clarity. From the STI value comparison of the six classrooms using in-field acoustical measurement method, the results show that the average values of STI in each room does not meet the standard criteria (0.60), where the lowest average value obtained was 0.30, and the highest average value was 0.59. The detail of STI values in each room were shown in Table 4.

Table 4. STI value data of the six large classrooms

Large classrooms	PAS (%)	STI values							
		Room: with absorption				Room: no absorption			
		Min.	Max.	*Mean*	*SD*	Min.	Max.	*Mean*	*SD*
ENG: Faculty of Engineer	17.71	0.55	0.61	*0.58*	*0.023*	0.44	0.54	*0.48*	*0.034*
IDED: Faculty of Industrial Education	11.73	0.48	0.61	*0.52*	*0.043*	0.43	0.58	*0.49*	*0.049*
ARCH: Faculty of Architecture	30.00	0.54	0.66	*0.59*	*0.040*	0.44	0.54	*0.48*	*0.034*
SCI: Faculty of Science	4.25	0.46	0.56	*0.50*	*0.030*	0.44	0.56	*0.49*	*0.036*
AGRI: Faculty of Agriculture	1.75	0.22	0.44	*0.32*	*0.084*	0.22	0.40	*0.30*	*0.065*
IT: Faculty of Information Technology	8.13	0.33	0.41	*0.35*	*0.026*	0.31	0.41	*0.34*	*0.030*

Note. PAS=the Percentage of Absorbing Surface area.

Figure 9 shows STI value distribution in each room comparing the conditions with and without acoustic absorbing surfaces. STI values in each room comparing the conditions with and without acoustic absorbing surfaces. When there was no acoustic absorbing surface, STI value of every room was lower than the standard value (0.60) but had normal distribution characteristics, which means sounds were clear only in the middle-front position close to the speaker, and clarity dropped when farther. The highest clarity value obtained was 0.58, and the lowest was 0.22.

However, when acoustic absorbing surfaces were added, STI average value of every room improved. Especially in ENG, IDED, and ARCH classrooms which had acoustic absorbing surfaces of 17.71%, 11.73%, and 30%

respectively. It can be observed that the average of STI values increased until the average value became close to the standard value. For SCI, AGRI, and IT classrooms which had little acoustic absorbing surfaces, average STI value did not increase significantly. Nonetheless, STI value distribution spread out with a greater radius, meaning that areas that had low acoustic clarity became clearer.
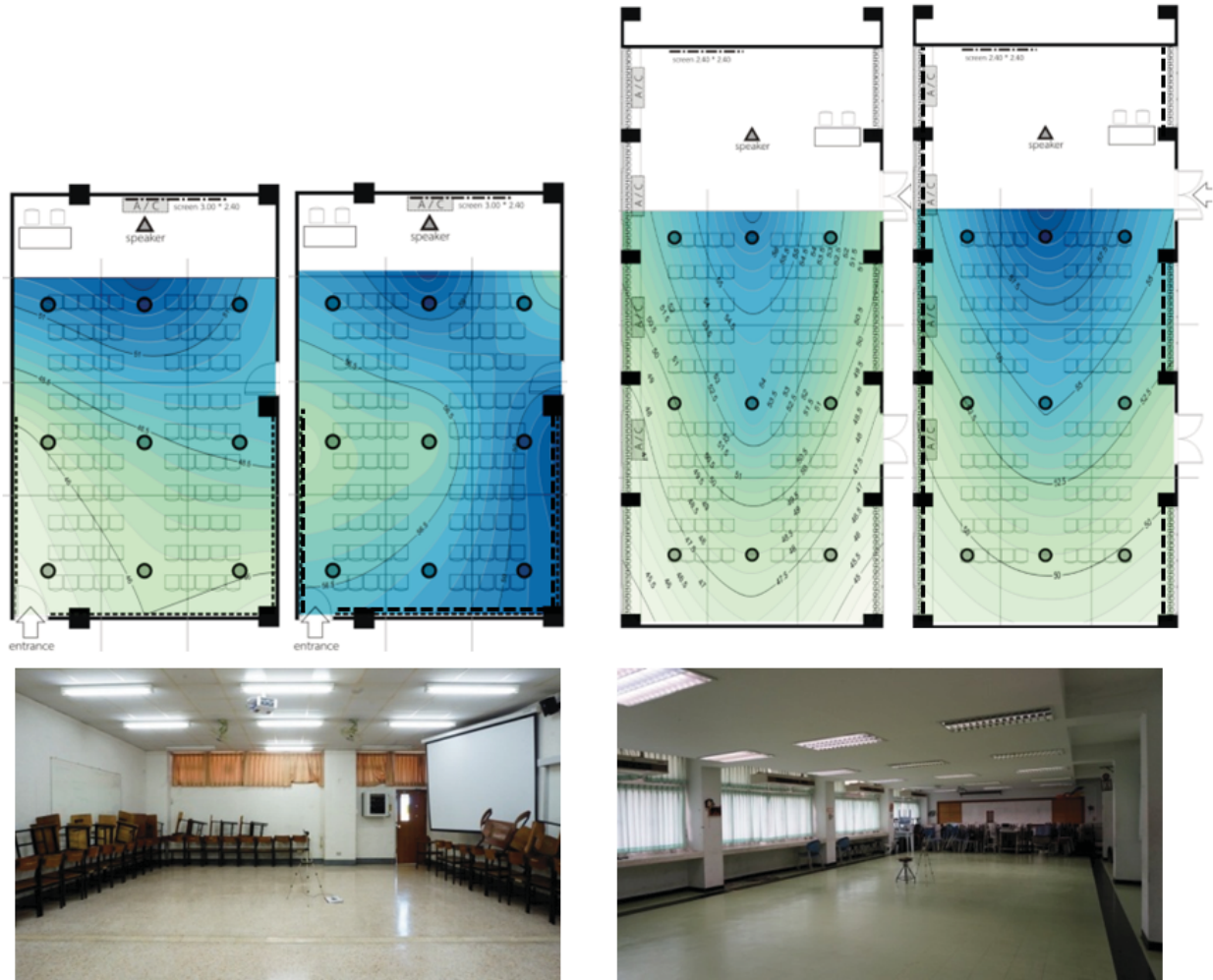
ENG: Faculty of Engineer [PAS=17.71%]
no absorption (left): Mean .48 [.44 - .54]
with absorption (right): Mean .58 [.54 - .61]

IDED: Faculty of Industrial Education [PAS=11.73%]
no absorption (left): Mean .49 [.43 - .58]
with absorption (right): Mean .52 [.48 - .61]

- - - - area of absorbing surface

Figure 9-1. STI contour maps shows STI value distribution of each room under conditions with and without acoustic absorbing surface areas

Note. The deep blue areas indicate regions with high STI value or high clarity, and light blue indicate low STI value or low clarity regions

ARCH: Faculty of Architecture [PAS=30%]
no absorption (left): Mean .48 [.44 - .54]
with absorption (right): Mean .59 [.54 - .66]

AGRI: Faculty of Agriculture [PAS=1.75%]
no absorption (left): Mean .30 [.22 - .40]
with absorption (right): Mean .32 [.22 - .44]

SCI: Faculty of Science [PAS=4.25%]
no absorption (left): Mean .49 [.44 - .56]
with absorption (right): Mean .50 [.46 - .56]

IT: Faculty of Information Technology [PAS=8.13%]
no absorption (left) Mean .34 [.31 - .41]
with absorption (right): Mean .35 [.33 - .41]
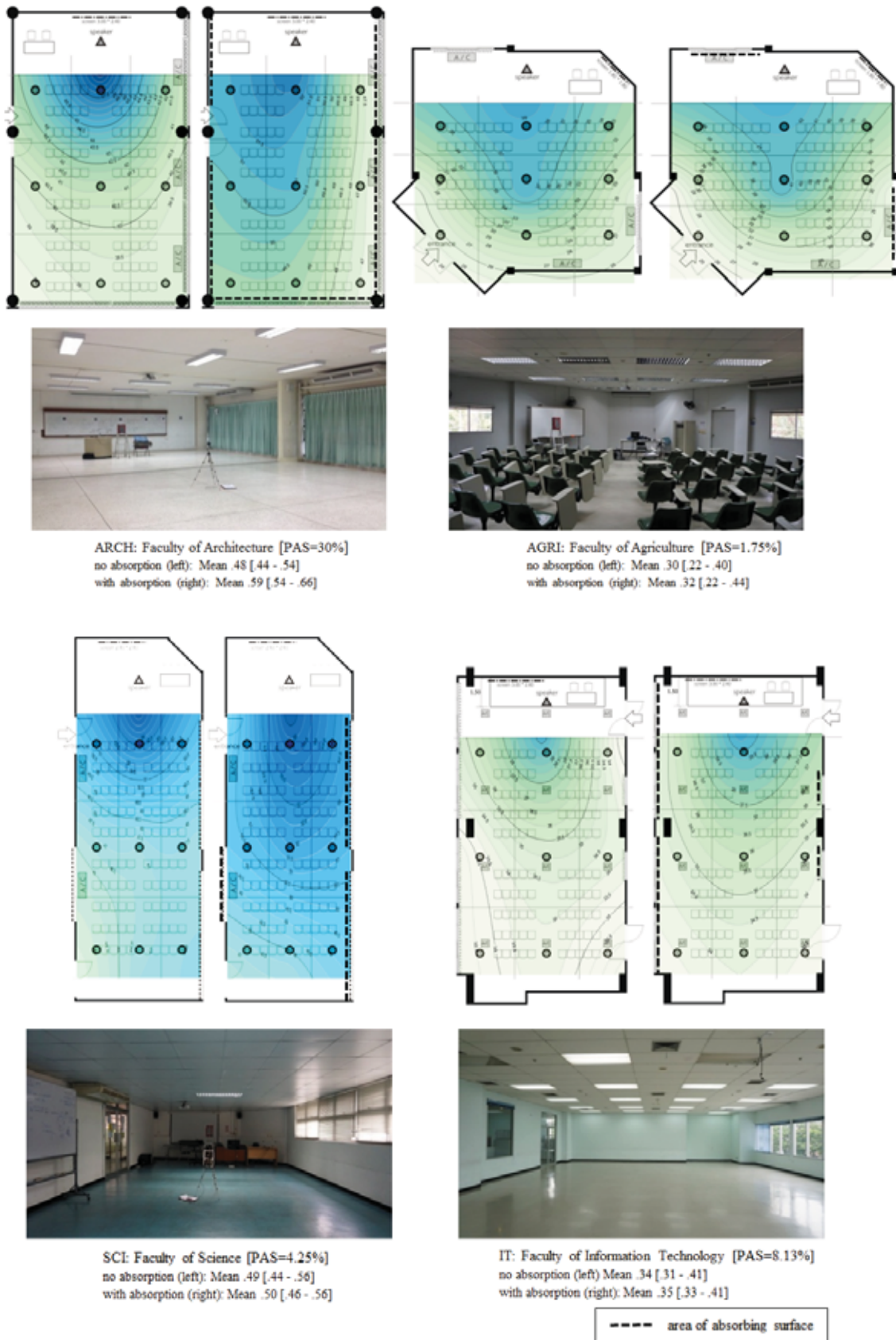
- - - - area of absorbing surface

Figure 9-2. STI contour maps shows STI value distribution of each room under conditions with and without acoustic absorbing surface areas

3.3 Regression Statistical Analysis: to develop the model of Thailand Speech Intelligibility (T-SI)

The Thailand Speech Intelligibility (T-SI) model, the equation used to predict the STI value, was developed by the multiple regression analysis. The regression analysis at 95% confidence level was used via Stepwise method between STI variable and five dependent variables consisting of (1) Room Volume (RV), (2) Ceiling Height (CH), (3) the Ratio of Depth to Width (R_{dw}), (4) Total Room Surface (TS), and (5) Percentage of Absorbing Surface areas (PAS). Table 5 shows that PAS was the first factor that was able to predict STI value, followed by R_{dw}, CH, RV, and TS. When taking into account the results from Table 6, it can be seen that all five spatial component factors have a high influence on STI value with multiple correlation coefficients of 0.854, and they were able to predict 72.9 percent of STI value with 0.05 significance and standard deviation of 0.051.

Table 5. Multiple correlation coefficients (R) and coefficient of determination (R2) increment when each factor was gradually added

Independent variables	R	R^2	R^2 change	SE_{est}	F	p–value
PAS	.605	.366	.364	.078	237.562	.000
PAS R_{dw}	.687	.472	.470	.071	183.800	.000
PAS R_{dw} CH	.706	.498	.495	.069	135.749	.000
PAS R_{dw} CH RV	.723	.523	.518	.068	111.985	.000
PAS R_{dw} CH RV TS	.854	.729	.725	.051	219.097	.000

Note. Dependent variable is STI value; Independent variables included PAS=Percentage of Absorbing surface areas, R_{dw}=the Ratio of Depth to Width, CH=Ceiling Height, RV=Room volume, and TS=Total room surface

From the T-SI model and Table 6, an additional explanation can be deduced that CH factor was able to predict the highest STI value with the statistical significance of 0.05 while having regression coefficient (b, β) 2.145 and 6.364. This is followed by R_{dw} factor (b = -.049, β = -.238) and TS factor (b = .026, β = 9.682). PAS factor (b = .002, β = .164) is the factor that predicts the lowest STI value. However, correlation analysis also shows that this T-SI model depended on the strongly positive relationship of PAS (R = .605). This means that the STI value is also influenced greatly by the PAS factor.

Table 6. Statistical analysis results via regression method to predict STI value that resulted from spatial component factors

Spatial component factors	b	SE_b	β	t	p–value
Room Volume (RV)	−.023	.001	-10.965	-17.894	.000
Ceiling Height (CH)	2.145	.116	6.364	18.435	.000
Ratio of depth ／width (R_{dw})	-.049	.011	-.238	-4.529	.000
Total Room Surface (TS)	.026	.001	9.682	17.595	.000
Percentage of Absorbing Surface (PAS)	.002	.001	.164	4.011	.000

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Constant -7.322 ; SE_{est} = .051

R = .854 ; R^2 = .729 ; F = 219.097 ; p–value = .000

</div>

Furthermore, when considering the regression coefficient, it was found that the five spatial component factors were able to predict STI value with the level of significance at 0.05. Thus, the Thailand Speech Intelligibility model (T-SI model), STI value predicting equation that resulted from the five spatial component factors is as follows:

$$STI = -7.322 - (.023*RV) + (2.145*CH) - (.049*R_{dw}) + (.026*TS) + (.002*PAS) \tag{1}$$

Note. Dependent variable is STI value; Independent variables included PAS=Percentage of Absorbing surface areas, R_{dw}=the Ratio of Depth to Width, CH=Ceiling Height, RV=Room volume, and TS=Total room surface

However, after getting T−SI model, main effect test of 5 spatial component factors was conducted by adjusting the value of each factor to observe changes of STI. Simulation in classrooms with 8.00 meters width, 12 meters depth, 3.15 meters height, and 30% absorbing surface meaning that 5 factors contain values of RV=300, CH=3.15, Rd/w=1.5, TS=315, and PAS=30. These values of the factors will be reduced 2.5%, 5%, and 10% respectively. After the adjustment, changed of STI value can be observed in percent as shown in Table 7.

Table 7. T−SI model test

Scenario	Constant	RV (b=-.023)		CH (b=2.145)		R_{dw} (b=-.049)		TS (b=.026)		PAS (b=.002)		STI	STI change (%)
	-7.322	**300**	-6.9	3.15	6.76	1.5	-.074	315	8.19	30	.06	0.711	-
RV [-2.5%]		**292.5**	-6.73									**0.884**	**-24.25**
RV [-5.0%]		**285**	-6.56									**1.056**	**-48.51**
RV [-10.0%]		**270**	-6.21									**1.401**	**-97.01**
	-7.322	300	-6.9	**3.15**	6.76	1.5	-.074	315	8.19	30	.06	0.711	-
CH [-2.5%]				**3.07**	6.58							**0.542**	**28.82**
CH [-5.0%]				**2.99**	6.41							**0.368**	**48.25**
CH [-10.0%]				**2.84**	6.08							**0.036**	**94.99**
	-7.322	300	-6.9	3.15	6.76	**1.5**	**-.074**	315	8.19	30	.06	0.711	-
R_{dw} [-2.5%]						**1.46**	**-.072**					**0.713**	**-0.28**
R_{dw} [-5.0%]						**1.43**	**-.069**					**0.715**	**-0.52**
R_{dw} [-10.0%]						**1.35**	**-.066**					**0.718**	**-1.03**
	-7.322	300	-6.9	3.15	6.76	1.5	-.074	**315**	**8.19**	30	.06	0.711	-
TS [-2.5%]								**307.13**	**7.98**			**0.507**	**28.78**
TS [-5.0%]								**299.25**	**7.78**			**0.302**	**57.57**
TS [-10.0%]								**283.5**	**7.37**			**-0.107**	**115.14**
	-7.322	300	-6.9	3.15	6.76	1.5	-.074	315	8.19	**30.0**	**.060**	0.711	-
PAS [-2.5%]										**27.5**	**.055**	**0.706**	**0.70**
PAS [-5.0%]										**25.0**	**.050**	**0.701**	**1.41**
PAS [-10.0%]										**20.0**	**.040**	**0.691**	**2.81**

Note. Dependent variable is STI value; Independent variables included PAS=Percentage of Absorbing surface areas, R_{dw}=the Ratio of Depth to Width, CH=Ceiling Height, RV=Room volume, and TS=Total room surface

Testing T−SI formula shows the change in STI from the effect of 5 spatial component factors. Information from Table 7 concludes that factors with most effect are STI are TS, RV, CH, PAS, and $R_{d/w}$ respectively because factors Ts and RV contain relatively high values (315, 300). When the two factors slightly change, they affect the value of STI considerably. It can be noticed that the value of CH or ceiling height is not high (3.15) but it significantly affects STI while PAS slightly affects STI value.

According to T−SI formula, it shows that five spatial component factors affect STI, especially room volume and ceiling height factors. Thus, the importance of the two factors needs to be aware of buildings in the design process. For buildings that have been completely constructed and using, improving the internal sound environment by changing room volume will affect structure and system work of the building which means that budget for improvement will be unnecessarily high. Improving can be done by lifting up the height of ceiling or increasing absorbing surface in the room. If it is done properly, it can improve speech intelligibility as well.

4. Conclusions

This research studied spatial component factors that affect the acoustic environment within a building. The

objectives of the research were (1) to evaluate the acoustical environments and (2) to forecast STI values from spatial component variables. The studied areas were six selected large classrooms all belonging to a Thai public institution. The five spatial component factors were collected, namely, RV, CH, $R_{d/w}$, TS, and PAS. The room acoustical environments were evaluated through the three acoustical indexes which were BNL, RT, and STI. The research results were separated into the following two sections.

Section 1: Acoustic environment evaluation. Background Noise Level (BNL) or ambient noise of all selected classrooms exceeded the standard value (40 dBA) having average values in the range of 42.25-54.60 dBA. The classroom that had the lowest BNL value was the room that contained the highest amount of acoustic absorbing material (PAS 30%). The average of BNL values rose by 32.2% when air-conditioning systems of every room was turned on. Similarly, Reverberation Time (RT) of every room exceeded the standard value (0.7 seconds) with an average value of 1.27 seconds and a maximum value at 2.55 seconds. When acoustic absorbing surfaces were added, the average value reduced by 11.77%. For Speech Transmission Index (STI) value, values obtained from all classrooms went below their standard value (0.60). Under no acoustic absorbing surface condition, STI value stood at 0.30–0.49. However, when acoustic absorbing surfaces were added, the value increased to 0.32–0.59. Thus, apart from improving sound clarity, acoustic absorbing surfaces also help in spreading sound clarity across the room.

Section 2: T-SI model, STI value predicting equation based on spatial component factors. The five spatial component factors that affected STI value with statistical significance at 95% confidence level were RV, CH, $R_{d/w}$, TS, and PAS. Furthermore, the CH factor gave the highest STI value prediction, followed by $R_{d/w}$, TS, RV, and PAS. However, PAS factor was the first factor that was able to predict STI value with the strong relationship.

The results of this research show that spatial component factors impacting the acoustical environment condition of the building occurred. There are many educational institutions in Thailand that presently suffer from acoustic issues. However, it is difficult and costly to improve existing classrooms by altering spatial component factors that affect building structure. If considering suitability, the building spatial component that can be modified is the amount of acoustic absorbing surface within rooms. In addition, modification amount or suitable placement for acoustic absorbing surfaces requires more in-depth research, where activities conducted within the room as well as human recognition are taken into account.

Acknowledgments

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The Collapse of Western Civilization: A Comparative S through the Theories of Challenge and Response to the Philosopher Arnold Toebney and the Theory of the Collapse of Western Civilization of the Philosopher Oswald Spengler Study

Fatima Al Tarawneh[1]

[1] College of Literature, University of Petra, Ammaan, Jordan

Correspondence: Fatima Al Tarawneh, College of Literature, University of Petra, P.O: 961342, Ammaan, Jordan. Fax: 962-6571-5570.

Abstract

This comparative study aims at revealing the validity of the pessimistic views of Spengler, where he predicted in his book "The Deterioration of Western Civilization" that the collapse of Western civilization is due to the lack of balance between the technological progress and its spiritual and behavioral decline; regardless of the great achievements accomplished by this civilization.

The researcher has analyzed the theory of Spengler and compared it to the theory of Challenge and Response of the less pessimistic English philosopher, Toynbee who believed that the Western civilization has the ability to arose, renovate, and improve by providing the opportunity for the elite of scientists, writers, politicians and economists to lead the community towards rejuvenation and discovery, and thus avoid any difficulties that may result from stagnation and collapse. The results of the study supported the views of Spengler on the collapse of Western civilization and that civilization is in its final phase and is inevitably decaying according to the indicators that have been observed.

Terminology of Study: Civilization, Degradation of Civilization, Creativity, Western Europe, Arab East, Spengler, Toynbee

1. Introduction

The West has achieved significant accomplishments in the fields of science and technology and made important contributions to their advancement to the point of surpassing all other civilizations, such as the Arab civilization which made great achievements, but started to decline at a quick pace after Western civilization started competing with it. The question here is whether Western civilization will undergo the same decline at a quick pace if another civilization appears and starts to compete with it?

Spalinger applied his theory to Western civilization. In light of his theory, he embarked on the study of Western civilization through his book: "the Decline of the West." In his book, Spalinger sought to determine the reasons for the collapse and demise of Western civilization. Thus this study was made to highlight the factors of ascent and decline of the West.

Sociology is one of the sciences that discusses the infrastructures of societies. It seeks to study the behavior of individuals, social relations and the surrounding circumstances. Therefore most sociological researchers and philosophers sought to make studies, research and to form intellectual views that deal with and analyzes human action, patterns of behavior and the influence of the surrounding environment. This brought to the picture the diversified theories devised by some philosophers and sociologists who greatly influenced human sociology.

The cycle of social change is one of the theories which was studied by some philosophers. It revealed that the process of social change continues to climb and then ends at the point from which it started. The theory says that social life proceeds in a systematic movement, and therefore, societal change resembles in terms of its systematic and cyclic approach, the growth and death of the living organism.

Spalinger is one of the philosophers of the nineteenth century who tried to interpret the reason for the rise and

fall of civilizations "in accordance with the foregoing theory of cyclic succession." His theory about civilization and society (1) is one of the most important theories that interpreted human history. The importance of this study rests in the fact that it offers a new pattern of research that focuses on the theories of cyclic succession of civilizations and their impact on society. It is a new approach in the field of social studies.

1.1 The Problem of the Research

Western civilization is currently undergoing a process of decline and retreat after a long history of great achievements and innovations. This was the reason for this study which sought to cast light on the factors of the decline of Western civilization. The study also sought to explore the factors of ascension and decline which affected the progress of Western civilization and to analyze these factors sociologically through the theory of Oswald Spalinger.

- What is the fate of Western civilization in light of the ongoing developments as seen by Spalinger?

- What are the challenges facing contemporary Western civilization as a result of its development?

- Will Western civilization collapse like other old civilizations did after reaching the peak of development and progress?

1.2 The Importance of the Research

Talk about Western civilization at this time in particular is one of the very important topics. Therefore, the researcher has focused in his research on Western society and the challenges it is facing. This topic was of particular interest to researchers and scholars everywhere. However, none of these studies has dealt with this topic from an analytical sociological perspective. Therefore, this study will focus on exploring the state of Western society and the challenges it is facing from an analytical sociological standpoint based on the foregoing theories which made a significant contribution to the study of the conditions of the European society and will also answer the questions raised by this study which is entitled: "factors of the collapse of Western civilization: an analytical sociological study based on the Oswald Spalinger theory."

To answer the question on the fate of the contemporary Western civilization in light of the current conditions and the hypothesis that civilizations have an age cycle resembling the cycle of the age of living organisms as many philosophers believe, we must raise the following question: Will Western civilization meet the same fate of decline, collapse and demise when all factors of collapse become available, particularly in light of the ethical decline, the spread of disease, pollution, drugs, terrorism and violence?

They are complaining in the West about ethical decline, stress, breakdown of the family, mental disorders, social disorientation, crime, and alienation from religion. What is the reason for the suffering of the West despite the great accomplishments achieved by Western civilization? Will Western civilization meet the same fate as that of old civilizations?

Spalinger has predicted the collapse of the West while Arnold Toynbee saw the solution in the return to religion. In his final conclusion, Toynbee expresses the hope that the salvation of the West can only come by moving on from a free market economy to a phase of embracing religion.

1.3 Goals of the Research

This kind of study is needed for the purpose of making a new systematic study that tries to explore the ideas and methods devised by philosophers such as Oswald Spalinger on societies and their impact on social change. Therefore, this study will answer the following questions: the reasons which helped the West achieve progress and move on from the stage of backwardness to the peak of scientific and technological achievement? What is the cultural role which Islam has offered to the Western society? What is the impact of the current problems of the Western society on Western civilization? Why did Spalinger predict the collapse of Western civilization and what are the solutions which he offered to enable Western civilization to survive and maintain its status quo?

2. Methodology of the Research

The research used the analytical methodology and managed to reach logical and documented conclusions. The study enlisted the help of some sources, references and research done earlier. The data was analyzed and compared with one another and was then subject to critique so as to determine the views and opinions on Western civilization by sociological analysis that is based on Spalinger's theory so as to cast light on the conditions of Western society and to answer the foregoing questions.

Oswald Spalinger (1880-1936): his life and the intellectual factors that influenced his theory

Spalinger was born in the German city of Blacksburg in May 1880. He is a Protestant Christian, who received

his high school education in the city of Blacksburg. As a young man, he studied natural science in the University of Berlin. After graduation, he left for the city of Munich to live the rest of his life in reading and writing in isolation from people while he devoted his time for research and investigation. He lived in the city of Munich until he died in 1936. He left behind a series of writings, the most prominent of which was "the decline of the West" which was much read in Europe and the United States. (oswald,1964)

The book was translated into several languages, including Arabic. The book consists of a series of articles which he wrote and lectures which he made about civilization. His views on this book oppose his views which he expressed at the beginning of World War I in 1914 and completed in 1922. Two volumes were issued of this series. He has also written a book entitled: "the New Building of the German Reich," and "Man and Technical Industry" as well as books about world history and American civilizations. (kamil,1993)

Spalinger launched his philosophic project and wrote his books after studying the political developments of his age starting from 1911 and the subsequent political events in Europe, particularly in his country, Germany, where he lived through World War I (1914-1918). His fame is derived from his book: "the Decline of the West" in which he explained his philosophy of history in the aftermath of the defeat of Germany in World War I (1914-1918). (umar,2000)

The book was welcomed by the allies, particularly England. In the book, Spalinger discusses human civilizations and their achievements. He explains the phases of Western civilization. He uses the terms of "civilization" and "civil society" alternately to express the same idea. (oswald,1964)

The First World War ended with the defeat of Germany, which sustained enormous material and manpower losses. According to the Treaty of Versailles of 1920, Germany had to admit its responsibility for the war and had to pay war reparations to the parties that sustained damage from the war. (umar,2000)

Therefore, Spalinger studied these conditions in his country, Germany. In other words, his philosophic study was made from the political standpoint. In his book which was highly appreciated in the West, Spalinger believes that no basic phenomenon, whether social, economic, scientific or literary can be understood without understanding civilization and its manifestations.

Spalinger was intellectually influenced by numerous theories of major intellectuals and historians such as Ibn Khaldoun and the Fico Theory (1668-1744) (IBn Khaldon, 1988)

Ibn Khaldoun is one of the most important historians who influenced the thought of Spalinger. Ibn Khaldoun is known to be the father of sociology and the author of the Ibn Khaldoun Muqadamah. His philosophy played an important role in Spalinger's understanding of history. Ibn Khaldoun viewed history as a field of experimentation and an opportunity for meditation and understanding. (Abu alsuud, 1977)

He was the first philosopher who made of society an independent discipline of knowledge. He was also the first to call for introducing human sociology and its phenomena (ABD-Albasit, 1981)). He has also introduced the dialectical relationship linking man with his history and society and asserted the importance of human sociology for the individual

Each of Ibn Khaldoun and Spalinger represents the general cyclic theory which believes that the culture of any society passes through a cycle that begins with birth and then proceeds to growth and maturity and finally heads on to old age and returns once again to achievement and advancement while creating for itself a culture that can regain its glory and strength. (IBn Khaldon, 1988)

Ibn Khaldoun based his conclusions on the study of several civilizations. The pronouncements of Ibn Khaldoun can be viewed as the main concept held by Arnold Toynbee on the study of history. His views were similar to those of Ibn Khaldoun on the stages and goals of history

Ibn Khaldoun said in his Muqadamah that the needs of the Bedouins are restricted to what is essential while the needs of the urban dwellers can be seen in extravagance and luxurious living. The difference here between the Bedouins and the urban dwellers becomes clear. The ideas of Ibn Khaldoun and the importance of his theory stem from the fact that he has innovated a theory in the philosophy of history in which he highlighted the uniqueness of the Arab society. He has also cited news about the Arabs in the Occident and in the Orient.

He is the founder of the principles of modern sociology. He has stayed away from the philosophy based on the dialectical approach. He was a realist who watched and followed up the development of the State throughout history. He noted that the state had a natural age just like the age of man. He said that the age of each state is no more than three generations. A generation is the age of the average person, or forty years (Alshaykh, 1978). Ibn Khaldoun divided the stages of the states into five stages:

1- The stage of the rise of the state or the Bedouin stage:

In this stage, individuals are restricting their demands to their real needs. All of them work together for making their own living. It is a stage which is characterized with harsh living and the aggressiveness of individuals. In this stage, the feeling of tribal fanaticism is evident, and it constitutes the bases of the human society. (Khalil, 1961)

2-The stage of government or autocracy:

In this stage, society moves on from the Bedouin stage to the stage of civilization. Tribal fanaticism starts to weaken in the rulers. In this stage, power is concentrated in the hands of an individual, family or group, and this is a transformation from a stage where power was jointly exercised.

3-The stage of extravagance:

In this stage, people become rich and affluent prompting them to settle down, expand their homes, undertake city planning, and begin to live like urban people exercising the work of industry and trade.

4-The stage of resignation and pacifism:

It is the stage when the state becomes weak and submissive.

5-Symptoms of weakness and submissiveness start to appear in the state:

It is the stage which is characteristic of the weakness of the state. In other words, civilization reaches its peak and this is a sign of the end of the state (Nivan, 1991).

We can conclude from the foregoing that in his philosophy, Ibn Khaldoun linked his philosophy with the cause-and-effect relationship. He also linked the economic aspect with the social aspect. In his explanation of human history, he saw this history as a serialized process resembling the living organism and viewed society as a living organism.

The factor of conflict is evident to us in the Ibn Khaldoun's philosophy and those who were influenced by him, such as Spalinger and others. In their theories about the succession of civilizations, they viewed the factor of the rise of the civilization as the same factor of its demise.

According to Ibn Khaldoun, this factor is the tribal fanaticism which led to the transformation to a government and finally to decline. Ibn Khaldoun was mistaken to keep his philosophy away from objectivity and to view it as a matter taken for granted.

In his comparison of civilizations as a living organism, Spalinger has certainly been influenced with Ibn Khaldoun who built his remarks on the development of states throughout history by giving the state a natural age like the age of man (Alshaykh, 1978).

Italian philosopher Fico was one of the philosophers who was influenced by Spalinger. He wrote about the cyclic succession of civilizations and was influenced by the philosophy of Ibn khaldoun. Fico is viewed as the real founder of the philosophy of history in the eighteenth century. We dare say that Fico was influential as much as Ibn Khaldoun was. When he started his journey, he found in his way the philosophy of Descartes which he severely criticized

Before anything else, he was a social thinker. Fico says that Divine Providence interferes in the crisis and conditions of anarchy by creating a hero. He argues that cyclic succession proceeds in accordance with a plan until it reaches the summit. He says that Divine Providence wants human history of societies to be as it is now and allows the appearance of heroes. It was a deeply rooted philosophy which was sponsored by Spalinger and Toynbee as a basis for their studies.

He is the author of the book: "New Science" in which he divides history into three stages. The first stage is the religious stage in which fear of the unknown is prevalent and religious figures and priests play a domineering role. The second phase is the phase in which individuals dominate the scene and can be seen in the large patriarchal Roman families. This stage represents the beginning of the development of philosophy and the rise of literary and ideological sects. (Alshaykh, 1978)

The third and last stage is the humanitarian stage which is the stage of cultural development. Freedom and democratic thought are prevalent in this stage. In this stage, civil and political rights developed and class differences were eliminated.

Meanwhile, Toynbee (Nivan, 1991) was influenced by the thought of Spalinger, but differed with him on many points of which he based his theory. The Spalinger Theory of "Rational Model" by which Toynbee was

influenced was the main reason for the publication of his major work "The Decline of the West" in which Spalinger explained his theory about the demise of Western civilization.

The conclusion which Toynbee reached from the study of the theory and thought of Spalinger was that his philosophy was pessimistic, giving the bad news of the demise of the West and focusing on the negative aspects of Western civilization and its eventual collapse while Toynbee believed that civilization rose as a consequence of human challenge and that it was the outcome of the "Theory of Challenge and Response," but it failed to make the response and continued to be as it is now. (Toynbee, 1948)

Toynbee was also influenced with the thought of Spalinger and his concepts on his studies of history. They both agree that Western civilization is undergoing the process of decomposition as this civilization has adopted the path of technology and materialism and lost its religious content and ability to meet the spiritual needs of people. In other words, it has exited from the framework of Christianity.

Factors of development and collapse of the Western civilization according to the Spalinger Theory:

To answer the questions formerly raised about the factors of the development and collapse of Western civilization, we should take a look at the psyche of Spalinger which was pessimistic. He had a pessimistic view of Western civilization. Spalinger said that Western civilization was undergoing the death agony.

It seems that his pessimistic philosophy of civilization was based on his belief that there were factors why Western civilization was undergoing the death agony. He believed that societies are based on a class system. He was also convinced that the noble class is the genuine representative of the nation and that the remaining classes do not really represent the nation in full.

For example, the class of the peasants, as Spalinger put it, does not represent the nation at all, because it was outside the context of history, as he noted. History can only be based on civilization. The nature of the peasants obstructs the rise of civilizations. According to him, one of the most important components of civilization is the penchant toward knighthood.

Spalinger also noted that social revolutions and earthquakes in Europe have begun to dismantle the bastions of the noble class and the materialism which was prevalent in the European society. He also noted that the urban inhabitants ridiculed the traditions and attitudes of the noble class and viewed them as the reason for the decline of the state. Spalinger's contention of the decline of the class system in Europe was the forerunner of the socialist system which was introduced by Karl Marx.

Spalinger encouraged the class system that is dominated by the noble class and denied the role of the class of the peasants, and this is a contradiction of socialism, which was based on the rule and rights of the workers.

Although Spalinger likens the birth, maturity and fall of civilization to a living organism and that each civilization is closed and had no connections with other civilizations, Toynbee believes that in its various phases, civilization is subject to challenge and response, and refuses the contentions of Spalinger.

Toynbee differs with Spalinger in the sense that Toynbee believes that events involving human society as consisting of two aspects: material and spiritual. He has also refused the contention that there is only one civilization, namely, the Western civilization. He argued that there are numerous civilizations which can rise under an opportune environment and circumstances.

Toynbee also differs with the Spalinger theory that societies evolve naturally from youth, maturity and eventually demise like other living organisms. He argues that society is not a living organism of this sort. There is also a difference between the philosophy of Spalinger and Toynbee in the sense that Spalinger makes a complete separation between cultures and the connections among these cultures in terms of resemblance between time and place. (Edard, 1983)

As for Toynbee, despite their external nature, these relationships constitute a part of the elements of civilization itself. For Toynbee also, the subservience of societies to other societies is an essential matter while Spalinger does not think in the same way, i.e. there is no positive relationship between one culture and the other. (Shalabi, 2003)

In his exploration of civilizations also, Spalinger sponsored the cyclic interpretation of history as stated in his book. He has revoked the special European criterion which was applied to the world (30) after he discovered that history was an arena for many civilizations and nations that existed outside Europe and that the Arab nation played a prominent role in this regard (Fuad, 1964).

He has also reached a cyclic perception of the development of civilizations where civilizations and cultures meet and they come one after the other in succession. In other words, culture represents the stages of ascent and

progress (spring, summer, and autumn) while civilization represents the stages of decline (winter).

This is a pessimistic perception, but it can explain the concept of civilization, as he saw it (Aljabiri, 2001). Spalinger's view toward the West and toward every civilization is absolutely pessimistic. He argued that world civilization and the city constitute the basic pillar of each civilization.

He said that the city is the place where the means of life can be found and that the city is inhabited by a new type of uncivilized nomads who viewed themselves as being of a higher standard compared to the inhabitants of the rural areas. This constitutes the basic step toward the end (Khalil, 1993).

Civilization, according to Spalinger, possesses abundant resources. It has many forces which are living in a state of anarchy. He believes that each civilization and phase which civilization undergoes (adolescence, maturity, decline) has a certain sustainability (Zaki, 1987; Markarain, 1983)).

As for the link between civilization and history, Spalinger believes that history is only a series of unconnected civilizations with no reasons that can be found for the rise of these civilizations. He said that as soon as a civilization rises, it undergoes a cycle of biological life as a living organisms does with spring, summer, autumn and winter.

He noted that the winter of a civilization does not mean that it has disappeared and that the demise of a civilization before its due time could be due to external factors.

He said that the task of understanding the philosophy of history is to understand the Morphological Building or the external shell of the civilization and argued that each civilization has a spirit and that the spring of any civilization is the time of its acts of heroism, epochs and religions. This is the case when life is rural, agricultural and feudalistic and its summer comes with the rise of cities alongside the rural areas and aristocracy around the old leaderships. (Gadens, 2005)

The autumn witnesses the full flow of the springs of the spiritual civilization and the ramifications of its likely attrition. It is the age of the growth of cities, the prosperity of trade, the expansion of states, and philosophy's challenge of religion.

The transition to winter is characterized with the rise of international cities and the proletariat class, the appearance of capitalist states and the governments of the rich, and the increasing suspicion among classes. It is the age of imperialism and increasing political autocracy and continuous wars. Spalinger believes that the civilization's life cycle can continue for some 1,000 years.

Spalinger concludes that each civilization has its own continuity, trends, time, fate and history, that civilization is a captive of its own fate, that its trend cannot be changed or turned to the opposite direction because it is a trend that was charted by fate. He believes that each civilization has its own history and that this history is the preliminary history of the nation that has the civilization. (Karam, 1979)

He notes that there can be no two fully similar civilizations because each civilization is an independent history by itself and is absolutely not influenced by the history of another civilization. If in this case history is influenced, it does not reflect its essence, but pseudo forms that contradict with the genuine truth. This similarity is the product of specific circumstances.

Spalinger cites the Arab civilization as an example whereby this civilization depended on the classical rules of architecture, but left its influence on Roman buildings.

He points out that as a living organism, civilization was born and grew in an environment that it has its own childhood, youth and old age and that each civilization has its own elements. He also believes that it is impossible for an individual or individuals of different civilizations to understand civilizations other than their own civilization. This is a point which can be scored against the Spalinger theory. (Lutfi, 1965)

The truth of the matter is that civilizations are affected by one another and their proponents quote one another. The evidence of this is that Arab Islamic civilization has influenced European civilization and the Europeans quoted from it science and other disciplines of knowledge.

For Spalinger, civilization has its own identity and features. These features express the culture and orientation of this civilization. The life of each civilization resembles the succession of the four seasons. In other words, there is no general civilization, but each civilization has its own philosophy, life and culture. The concepts of birth, youth and old age is applied to this civilization.

Although Spalinger wrote about cyclic succession, he is different from Toynbee. For example, he has a pessimistic view of the future of the West as well as the fate of all civilizations. This explains the fact that he was

influenced by the negative consequences which World War I left on his country, Germany. (Mallah, 2000)

It is evident from all this that Spalinger believes that Western civilization with all its culture will collapse because it is undergoing the cycle of the living organism, i.e. growth, maturity and demise. Spalinger does not believe that there is a general civilization, but a multiplicity of civilizations. Each civilization has its own philosophy, life and death. What applies to this civilization is the concept of birth, youth, old age and decline. (Widgari, 1972)

Although Toynbee gave indicators of the collapse of Western civilization, he discovered these indicators through a statistical, historic fact. He argued that the Western World or Europe constituted the majority in the 19th century. Europe remains one of the most densely populated continents of the world. The Arabs have a rate of birth which is double the rate of birth in the West. This is an indicator of the demise of the European West.

Arnold Toynbee adds that the Western World will become a prey of drugs and alcohol while people in the Islamic World do not drink wine. He cited this as one of the factors of demise, i.e. we can look at a youthful nation with its population increasing and another nation which is growing old as time goes on.

With each new generation, the population of the nation is less and less. Meanwhile, it is a prey of drugs and alcohol. The logical conclusion is that the future is for the growing nation, not the nation which is undergoing demise. Needless to say, the superiority of the Western World at present is in the field of scientific, industrial and technological endeavors.

Toynbee thought that the philosophy of Spalinger is pessimistic and can only lead to the collapse of the West. It focuses on the negative aspects of Western civilization. Toynbee argued that Spalinger is very ambiguous because he believes that civilizations were born, grew and declined in accordance with a set time, but he did not provide an explanation of this contention. In his view, the matter is purely a natural law and that this matter should be taken for granted (43).

In his reply to the views of Spalinger, Toynbee believes that in order for Western civilization not to collapse, Western societies should go back to religion. He admits that religion and philosophy were in a state of conflict in the past and that at present, there is a conflict between religion and science.

He believes that the victory of science over religion would be catastrophic and says that religion should admit the role of science while religion should not be dispensed with. He believes that this is the conflict between Eastern and Western civilizations. (44)

He also believes that there were civilizations which rose in response to a human challenge, such as the Ottoman civilization. This civilization rose in response to the increasing human challenges that were prevalent at that time. But its response has frozen and remained as it was. (45)

It is evident from the foregoing that Toynbee differed with the German philosopher Spalinger. In his theory of challenge and response, Toynbee does not support the pessimistic view of Spalinger, but believes that the response is a product of challenges and that a civilization which reaches the verge of collapse can stand on its feet once again, grow and undergo the same cycle of birth, youth and old age and that it can replace decline for development.

He believes that a generation of reformers and innovative leaders may appear and can save Western civilization, provided that religion is not set aside. He argues that religion should be associated with science.

In this regard, he cites the example of the Arab civilization on which we can apply the theory of challenge and response. Arab civilization rose, grew and formed its own society. The Prophet Muhammad then changed the entire Arab society on the various levels and transformed it from the pre-Islamic life to the life of development, science and culture. This was followed by the progress of the Arab-Islamic order in the fields of thought, science and culture and the entire Arab society was changed and developed.

3. Conclusion

The study has reached the following conclusions:

1- Spalinger has predicted the collapse of Western civilization in his book "the Decline of the West." He believes that the rise and growth of civilizations to the point of reaching power and then decline is a biological process similar to the process which living organisms undergo.

2- Spalinger has expressed his pessimistic view that Western civilization was undergoing the death agony and fall. It is now undergoing the death agony after witnessing scientific progress and cultural development. This conclusion made by Spalinger is similar to the state of ancient civilizations which progressed and developed, but

then collapsed and were replaced with other civilizations.

3- One of the conclusions is that Spalinger's theory about the decline of Western civilization is true. Western civilization has reached the climax of innovation, technological development and the secularization of the world under Western leadership. However, other civilizations have already begun their ascent, such as Korea and China.

These civilizations are innovative and are now forming the new East Asian civilization while Western civilization is declining in view of numerous factors which Spalinger pointed out in his theory. The West has become an arena for terrorism, economic crisis, drugs, violence, family breakdown, pollution, and moral corruption. Therefore, it is now declining.

4- The study also concluded that the English philosopher Toynbee differs with the German philosopher Spalinger. In his theory of "Response and Challenge," Toynbee does not support the pessimistic outlook of Spalinger. Toynbee believes that as a consequence of the challenges facing any civilization, the response is sparked in the form of innovation. A civilization reaching the verge of collapse can rise on its feet and grow and undergo the same cycle of birth, youth and old age.

Toynbee says that an innovative minority of leaders and reformers appear and can save Western civilization and stop its demise. This minority can also cope with all the challenges facing Western civilization by sparking the appropriate response.

Therefore, Toynbee is optimistic that Western civilization can stand on its feet once again and will strike a balance between religion and science. He believes that there can be no science without religion and argues that the victory of science over religion is catastrophic, because it is the secret of the struggle between East and West, as Toynbee sees it.

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The Impact of Sectarian Conflict in Syria on Iran-Gulf Relations

Saleem A. Salih Al-Dulaimi[1], Mohammad Kamal[1] & Dalal Mahmoud Elsayed[1]

[1] Faculty of Economy and Political Science, Cairo University, Cairo, Egypt

Correspondence: Saleem A. Salih Al-Dulaimi, PhD Candidate in Faculty of Economy and Political Science, Cairo University, Cairo, Egypt. E-mail: salim66a@gmail.com

Abstract

Iran-Gulf relations are a confusing maze of complexities and contradictions. Iran's voracious aspirations have been manifest in more than one act and place. The 1979 Revolution created a pervasive atmosphere of anxiety and fear in the Gulf region of that revolution's ideological expansion into the Gulf states, especially those countries in which Shiites form important parts of their societies. In the Iran-Iraq war 1980, on the other hand, the Arab Gulf states supported Iraq against Iran as it was a proxy war to protect the Arab Gulf states, and Saddam Hussein, nevertheless, ended up occupying Kuwait in 1990. And then the Iranian-Gulf relations took a new turn at the time of both presidents Hashemi Rafsanjani and Mohammad Khatami, who adopted an open approach to the Gulf countries. However, those relations worsened when Ahmadinejad came to power as he started to export the revolutionary thought to the Gulf countries and extended the Iranian influence to Iraq after 2003, to Syria in the aftermath of the revolution that erupted in Syria in 2011 and to the Gulf Cooperation Council states, especially in Saudi Arabia, Kuwait and Bahrain. All this comes at the expense of the Gulf states, particularly Saudi Arabia, which is keen to maintain its influential role in the face of Iranian encroachment in Syria, through the support of the Syrian revolution, which seeks to overthrow Iran's ally in Damascus, Bashar al-Assad. Therefore, this study is trying to find an answer to this question: how has sectarian conflict in Syria impacted the Iranian-Gulf relations?

Keywords: Syria, Conflict, Iran, Sectarianism, Gulf States

1. Introduction

The US invasion of Iraq in 2003 threw the Gulf nations into total chaos with uncontrollable multi-form sectarian conflicts in Iraq and then Syria. Moreover, regional influential powers, such as Iran, interfered. Iran strongly engaged in Syria in favor of the regime of Bashar al-Assad in his war against the opposition of the majority of his people, and provided him with various international and regional types of power to help him, like forces from Hezbollah and other militias that are loyal to Iran, and other forces from the Gulf area such as organizations, associations and religious figures.

2. Historical Context

The advent of the Iranian revolution in 1979 was a major event in the region and Ayatollah Khomeini found an important entry point in Iraq to achieve the objectives of exporting the Iranian revolution (Nourbakhsh, 1996). The striking similarity between Syria and Iraq lies in their multi-ethnic, religious and sectarian populations. While Sunni Muslims and Christians are scattered across the country, the religious minorities of Muslims, Alawites, Druze, and Ismailis lived in particular geographical areas in Syria. 70% of the 24 million Syrians are Muslims, 12% of whom are Alawites (Van Dam, 2006). The Islamic Iranian revolution was essentially of Persian nationalist orientation (Al Ghurair, 2012). Iran, in the 1980s, introduced the "National Strategy" project which gives Iran a great aura of holiness, considering Iran as *Umm al-Qura* ("Mother of All Cities") (just like Mecca). The project attaches great importance to Iran's geopolitical position in foreign policy for regional expansion and hegemony (Bakir, 2015).

The sectarian difference between the two shores of the Gulf brought a semi-sustainable state of conflict between the two sides, and the creation of crises and wars of political, economic and security dimensions, using the various Islamic schools as an ideology of concealment the causes of that conflict. The geographical factor has played a role in defining Iran's policy towards the surrounding regions. One study has observed the number of times Iran has moved towards the surrounding territories, "Strategic Orientation", from 3200 BC to the present

day. The study found that the Fertile Crescent came as the second most occupied region by the Persians (Iranians) and the southern region which includes the Gulf States came as the third most occupied region by the Persians. The Gulf States became the most affected parts by the policies of Iran's leaders after 1979 (Abdel-Hai, 2010).

Iran condemned the September 11 attacks in 2001 and criticized Islamic ideology that justifies these acts. Iran sought to promote the idea that Shiites and Iranians renounce terrorism and that the Gulf States and Wahhabis are the ones inciting and financing such terrorist acts (Alzoweiri, 2015). After the fall of the Taliban regime in Afghanistan and that of Saddam Hussein in Iraq, Iran worked on stabilizing the new situation in Iraq and unleashing its influence in there by reaching out to all groups, especially the Shiite extremist groups that had a historic opportunity to be invested in the interest of the sect and its people (Bar, 2009).

3. Iranian Foreign Policy Foundations

Iran's foreign policy is based on a set of foundations that have been governing Iran's policies in the region:

- Strengthening Iran's regional situation with other regional powers.

- Controlling and influencing water crossing points in the Gulf, the Arabian Sea and the Red Sea.

- Introducing itself as a leader of Shiites in the world and establishing relations with the Shiite communities surrounding Iran.

- Combating the US policy in the region (Bishara 2012).

Iran has its own regional project that does not change with the change of ruling elites or regional and international conditions, which is to remain the dominant regional power. This is all reflected in all Iranian proposals concerning the security of the Arab Gulf region. In 2006, Iran presented proposals regarding common security, security system and free-trade zones (Zarif, 2013).

The Iranian agrees that Iran's policy toward Iraq and Syria is a national security policy. They see that they have the right to possess nuclear energy. Iran has become a difficult and worrisome player, and once it feels dominant and able to subjugate neighbouring peoples, it moves on to implement its great project through subjugation or defection. Baghdad is being controlled by Iran now and cities deeply rooted in history such as Mosul, and Aleppo are being destroyed to eliminate that Arab demography and turn the Sunni Arab majority into a minority (Beshara, 2012).

4. Iranian-Saudi Relations

Iran and Saudi Arabia look upon themselves as political pivots in the Middle East to have control over countries in the region. Iran sees that political changes In the regions have given it the power to patronize some countries in the region. It used the Shiite doctrine as a tool to achieve its interests. Furthermore, it has been considered by the West as a state fighting terrorism in Iraq and Syria have all helped Iran to have such influence and dominance. As for Saudi Arabia, it finds itself a protector of the Two Holy Mosques, strategically threatened by pro-Iran forces in Iraq, Syria, Lebanon, and Yemen. Saudi Arabia also faces the challenge posed by Saudi Shiites, especially in the oil-rich regions in the eastern part of the kingdom. However, as it has the world's largest oil reserve and thanks to its huge financial potential, Saudi Arabia can buy its allies. Saudi Arabia's relationship with Iran has not stabilized since 1979, and the differences between the two countries are the result of a cold war over the roles to be played by both of them, the influence of Saudi Arabia and Iran are trying to exercise in the trouble hot spots in Lebanon, Syria, Iraq, Palestine, and Yemen (Atriesi, 2012).

Beside Sunni-Shiite dispute between Riyadh and Tehran, there is also a controversy over Iran's nuclear program, the clashes over oil and gas wells. The threat of Iran to close the Strait of Hormuz, and the conflict with Israel. Iranian President Hassan Rouhani is aware of the importance of his country's relations with Saudi Arabia. Rouhani said that he intended to "turn the rivalry between Iran and Saudi Arabia into a relationship based on mutual respect and cooperation in order to enhance security and restore stability in the region" (Institute For Defense Studies Analysis, 2013). The Iranian-Saudi relations began to deteriorate since the US war on Afghanistan because of Iran's desire to expand eastward and then in Iraq, where Iran's ambition to expand to the Mediterranean Sea. Thus, the competition between the two countries gradually began to take the form of a cold war after the political equation had changed and turned in Iran's favor (Shakdam, 2014).

5. Interactions on the Security Side

In October 1992, Hassan Al-Saffar, a Shiite cleric in Saudi Arabia and leader of the "Organization of the Islamic Revolution in the Arabian Peninsula", said he sympathized with Iran as a state and acknowledged the cooperation between his organization and Hezbollah. In 1991, Iran was able to contact Arab volunteers in Afghanistan after the Soviet Union had come out. Estimates pointed out that the thousands of Muslims who

volunteered to fight in Afghanistan became active in the Islamic movements in their countries (US Department of State, 1994). Moreover, after the fall of the Taliban regime in 2001, most leaders of Al-Qaeda turned to Iran that forced some of them to fight US forces in Iraq after providing them with the tools to stay in contact with the leaders of jihad, such as Al-Zarqawi, leader of Al-Qaeda in Iraq (Idris, 2015). Later, Iran released some Al-Qaeda members in 2009. A letter to bin Laden said that the move may have been the result of the organization's operations against Iran, including the kidnapping of the deputy Iranian commercial attaché in Peshawar. "They do not want to show that they are negotiating or interacting with us" (Rassler, 2012).

In July 2016, the US Treasury Department imposed sanctions on several Al-Qaeda members living in Iran for supporting terrorist attacks across the region, including Syria. Although Iran and al Qaeda are at war in Syria and Yemen, they have developed a mutually beneficial relationship, at least concerning the presence of Al- Qaeda members operating from Iran. Iran virtually values the limited existence of Al- Qaeda on its territory as a form of power that can be used against the United States or against some neighboring countries such as Saudi Arabia, Pakistan or countries whose citizens are believed to be descended from Saudi Arabia and Pakistan (Byman, 2012).

Commenting on the killing of a Saudi diplomat in Karachi, Pakistan, in 2011, a Saudi official said that his country and the United States agreed that the Iranian Quds Force is involved in the incident and that Inter-Services Intelligence of Pakistan (ISI) had identified the murderer as a member of a Shiite group known as the Army of Muhammad, which has ties with the Iranian Quds Force (Alzoweiri, 2012). Furthermore, the US FPI investigations revealed that Iran was planning to kill the Saudi ambassador Adel Jubair in Washington in 2011.

In January 2016, the Saudi authorities executed the Shiite cleric Baqir Al-Nimr, an anti-government instigator in the predominantly Shiite eastern region of the kingdom. He was executed along with 46 other people who were convicted of being linked to Al-Qaeda. Al-Nimr was accused of being a "terrorist" threatening stability and security in Saudi Arabia. In Iran, on the other hand, protesters stormed the Saudi consulate in Mashhad and set fire to the kingdom's embassy in Tehran. As a result, the diplomatic relations between the two countries were broken off, and Iran's supreme leader Ali Khamenei warned that Saudi Arabia would face "divine retaliation" for killing Al-Nimr (BBC News, 2016).

The fall of the Iraqi regime in 2003 led to a new situation at the level of internal balances between the Iraqi political, ethnic, sectarian and regional parties and among Iraq's neighboring countries. The Shiites took power in Iraq and the Sunni reaction came in the form of violent resistance, and, consequently, the state disintegrated into a series of brutal doctrinal disputes, requiring the involvement of regional powers in Iraqi affairs, specifically Iran, Saudi Arabia, Turkey and Syria, for reasons related to their national security. From 2006 till the date of writing this paper Iraq has been torn by doctrinal and sectarian conflicts and proxy wars (Stansfield, 2008). Iran was able to get into the Iraqi political scene and despite the Iranian denial of that sectarian dimension in its foreign policy, the Gulf countries, led by Saudi Arabia, considered the sectarian factor one of the most important motives for Iran to emerge in the Iraqi scene (Kawtharani, 2013). In this regard, the commander of the Iranian Quds Force Qasem Soleimani - who leads the Iranian efforts to achieve hegemony in the region - is that the Islamic world for the Iranian authorities is divided between agents working for Iran and allies like those in Syria who constitute the so-called "Axis of Resistance", whereas Iran's Sunni neighboring countries, that are friends of the West, belong to the second camp (Fars News, 2014).

Iranians were not able to perform the annual pilgrimage rituals in Mecca in 2016 due to the death of hundreds of Iranian pilgrims in Mecca in 2015. This caused the deterioration of Saudi-Iranian relations, and, as a result, Iran took a decision to prevent its citizens from participating in the pilgrimage season. This was not a simple matter for the Iranian regime as Iran is the only country that publicly uses the pilgrimage season as a political tool to spread its revolutionary ideology abroad. Iran uses its Shiite religious networks associated with pilgrimage to serve its political agenda. The various pilgrimage missions in Iran provide sophisticated and effective methods to promote the Iranian version of political Islam and to strengthen Tehran's social and financial standing in the Islamic world (Khalaji, 2016). To Saudi Arabia, the crux of the matter is not the potential Iranian invasion, but Tehran constantly questions the political and regional legitimacy of the Saudi family. Iranian officials doubt Riyadh's tutelage over the most important Islamic sanctities. In September 2016, Supreme Leader Khamenei referred to the Sauds as the "devils." The response of the Grand Mufti of Saudi Arabia, Abdul Aziz Al-Sheikh, was to describe the Shiite majority in Iran as "deviant Zoroastrianists" that sanctifies fire and that they are "not Muslims" (Henderson, 2016).

In response, Saudi Arabia adopted a more assertive regional strategy to confront Iran. In Syria, Riyadh opposes

any plan for a solution that involves the survival of the Assad regime, Iran's ally, while the latter believes it has a vital interest in maintaining the regime's structures to secure Hezbollah and defeat the Islamic State (IS). Tehran wants to point out to the West that it is the natural ally in the fight against groups such as al Qaeda and the Islamic State (IS). Iran also wants to discredit Riyadh and accuses it of being the source of this destructive ideology of such organizations. "Iran supports Assad not only in the framework of a Shiite alliance, but also because it dreams of reviving the ancient Persian Empire that stretched from the borders of China to the depth of the Middle East," says Henry Kissinger (Goldberg, 2016).

The policies of King Salman bin Abdul Aziz have been firmer and more militaristic regarding the regional conflict and centered on intervention in Yemen led by Saudi Arabia. There is a normative explanation that this adventurous approach stems from Riyadh's frustration at that American withdrawal from the Middle East, especially Washington's implicit complicity with Iran's aggressive behavior after the nuclear deal. Riyadh considered President Obama's reference to the Gulf States as a free beneficiary, a scorn. Indeed, Saudi Arabia has become too dependent on the United States in its strategic security, as part of the oil deal in return for security (Bahout, 2016).

Accordingly, the Saudi-Iranian conflict has become a geopolitical proxy war encapsulated in "Arab-Persian" ethnic conflicts and Shiite-Sunni sectarian disputes. Saudi Arabia has spent several billion dollars to counter Iran's influence in the region. Nevertheless, Syria, Lebanon, and Iraq are still in Iran's sphere of influence. It is only in Bahrain that Saudi Arabia has almost completely deterred Iran (Sadjadpour, 2016).

Because of the continuing tension between Iran and Saudi Arabia, trade relations have been limited; Saudi companies have been hesitant to invest in Iran, fearing that profits could not be made because of the hostility. Moreover, Saudi Foreign Minister Adel Al-Jubeir announced that Riyadh would cut "all trade relations with Iran after the execution of Baqir Al-Nimr. However, economists underestimate the impact of severing relations with Iran, because the volume of trade between the two countries does not exceed (500) million dollars (Sasapost, 2016). Tehran, on the other hand, decided on 7 January 2016, to ban the import of Saudi goods or any goods imported through the Kingdom (Al-Arabi 21-2016).

6. Iran and the UAE

Iran did not work to end the inherited problems with the UAE. UAE's dispute with Iran began in 1971 when the latter occupied islands of Greater and Lesser Tunb and Abu Musa. Despite the fact that they are small islands, they have great strategic and economic importance as they overlook the Strait of Hormuz through which about 40% of the world oil production passes daily. The UAE, as a Gulf state, supported Iraq in its war against Iran and also supported the United States in the war to get Iraq out from Kuwait in 1990. Therefore, there has always been that tension between the UAE and Iran (Katzman, 2015).

In 2012, Iran announced the establishment of a new province called "Persian Gulf" and made Abu Musa Island its capital. It also conducted dozens of military, naval and air maneuvers in the waters of the region. In return, the UAE rejected Iran's occupation of its islands. Nevertheless, the UAE has been careful not to contribute significantly to the escalation of international pressure on Iran, but has often sought to exploit such pressures to strengthen its trade and investment relations with Iran.

The United Arab Emirates is Iran's third largest market, as the UAE makes use of 80% of Iran-Gulf trade, while Tehran is the fourth largest trading partner in the UAE. Furthermore, the Iranian investments are the largest investments in Dubai. On the other hand, there are more than 450,000 Iranians living in the UAE whose population does not exceed 8 million people, nothing to say of the commercial and economic activities performed by Iranian companies in the UAE (Al Shihabi, 2012). The volume of trade in 2009 rose to 16% and reached $ 7 billion, but it declined in 2011 due to the tightening of sanctions on Iran. The UAE was able to attract $ 300 billion of Iranian capitals, which could be called the "Iranian businessmen lobby" (CIA, 2012). According to economic sources, the volume of trade exchange between Iran and the UAE amounted to $15451 billion in 2015 (Sasapost, 2016).

Iran's attempts to export the revolution to the UAE are almost weak and limited, due to the presence of a large Iranian community in the UAE and Iran does not want to cause its subjects to experience any negative reaction in the UAE. However, the UAE leadership is aware of the magnitude of the terrorist threats that could be made by Iran or others, and, therefore, it has succeeded in confronting and aborting them before they occur. Moreover, the UAE has sought to enter into regional alliances in the GCC and conclude military cooperation agreements with the United States and NATO; it allowed the establishment of a French military base on its territory. The geopolitical role of Iran is the first and foremost concern for the UAE's foreign policy priorities, as reflected in its relationship with Iraq through its vision that Iraq became the Arab window of Iranian hegemony in the region

after 2003, especially after the formation of a popular rally as Iran's arm in Iraq, and, for this reason, several Iraqi factions were included in their national list of terrorism issued in 2014 by the UAE (Decottignies, Cagaptay, 2016).

7. Iran-Bahrain Relations

The Iranian-Bahraini relationship is characterized by constant tension because of repeated Iranian demands to bring Bahrain back into Iranian territory. Iran views the presence of the US Fifth Fleet in Bahrain as one of the biggest problems and obstacles between the two countries. However, the ex-Iranian President Ahmadinejad visited Bahrain in November 2007 to reassure Manama that Iran was not aspiring to annex Bahrain. That was followed by a communiqué by Nateq Nouri in which he described Bahrain as "Iran's fourteenth province (Abu Amoud, 2009).

After the Islamic revolution, Iran has always been present in the Bahraini scene, especially by supporting the Shiites of Bahrain. Iran supported the Shiite opposition in Bahrain during the Iran-Iraq War and was involved in the attempt of coup d'état in 1981-1996. Moreover, the acts of espionage and sabotage by people from Bahrain, Iraq, and Hezbollah (US Department of State, 2012). Investigations made clear the attempts of the leaders of the Iranian Revolutionary Guards to overthrow the ruling Sunni monarchy and place an Iran-friendly Shiite-led government in Bahrain.

In the aftermath of the Arab Spring, Ali Velayati, Iranian foreign policy adviser to the supreme leader, said that "the people of Bahrain are not in a state of war with anyone…It is not permissible to treat the Shiites as second-class citizens in Bahrain", especially after Bahrain had used the forces of the Peninsula Shield on March 14, 2011, when the Iranian Foreign Minister said that "Tehran will not stand arms crossed watching the Shiites in Bahrain being killed" (Yusuf, Massaad, 2012). After Manama began countering the popular demonstrations in 2011, several Shiite militant groups organized themselves to confront the Bahraini government. In addition to the well-known Hezbollah organization in Bahrain, there are three other worrisome groups:

• Saraya Al-Ashtar: it issued its first statement in April 2013. Since then it has adopted 20 bombings against members of the security forces. It claimed responsibility for the March 3, 2011 bombing that resulted in the deaths of three policemen, including a UAE officer who was a member of the Peninsula Shield (US Department of State, 2015).

• Saraya al-Mukhtar: It started operations in September 2013 and adopted a number of attacks against Bahraini security forces, explosive device attacks.

• Popular Resistance Brigades: They also claimed responsibility for the attacks in Bahrain (Levitt, 2014).

Reports indicate that Iran provides the Shiite combat movements in Bahrain with support. For example, the Iranian Ghulam Shakouri, who was involved in an Iranian plot to assassinate the Saudi ambassador in Washington in 2011, is "a prominent officer in the Quds Force and has contributed to the organization of radical Shiite protesters in Bahrain." Shakouri and other Iranians met with the radical Shiite cleric Hasan Mushaima during a stopover in Beirut in February 2011,"when Mushaima was on his way back home to lead the protests in Bahrain" (Ignatius, 2011). On January 1, 2017, the storming of a prison in Bahrain resulted in the escape of 10 convicted Shiite prisoners with serious combat crimes. The well-planned operation and the killing of one of the guards is one of the many signs that Iran-backed cells have increased. On June 25, 2016, Iran's supreme leader Ali Khamenei described Bahrain's decision to revoke citizenship of Shiite leader Issa Qasim as a "crude folly." Qassem Soleimani, commander of the Quds Force, warned Bahrain against doing any harm to Sheikh Issa (Tasnim Iranian Agency,2016).

8. Iranian-Kuwaiti Relations

Kuwait maintained more liberal relations than those Saudi Arabia and Bahrain have had with Iran. The common interest in containing Iraq, as well as the Shiite community in Kuwait (estimated at 15-30% of the population), played a key role in keeping normal relations between Kuwait and Iran that became closer to friendship after 1991. However, Kuwait also views Iran as a potential threat due to that Iranian undeclared hostility toward Kuwait. In the spring of 2010, it was revealed that an Iranian cell was targeting the Kuwaiti energy facilities. Also, the Iraqi Hezbollah battalions made threats to attack the construction of the port of Mubarak al-Kabeer on Boubyan Island in July 2011 and the building of the Kuwaiti National Assembly in Kuwait City (US Department of State, 2011).

Emir of Kuwait visited Tehran in June 2015 and wished to resolve the Syrian crisis through peaceful means. Kuwait's policy is not fully neutral, but Kuwait has managed to play a political-diplomatic roles in the crises between the Gulf, especially Saudi Arabia, and Iran. Although Kuwait participated in the Arab alliance in Yemen

and its stance was in line with Saudi Arabia's stance toward the execution of the Shiite opposition leader Al-Nimr, it did not agree with Saudi Arabia regarding the Iranian nuclear deal. The Kuwaiti role in resolving disputes was highlighted by the Kuwaiti mediation between Iran and Saudi Arabia, followed by the announcement of Kuwait's acceptance of negotiations with the Houthis in mid-April 2016 (Gulf Affairs, 2016). On January 25, 2017, the Kuwaiti Foreign Minister visited Iran and delivered a letter from the Emir of Kuwait to Iranian President Hassan Rouhani to calm tensions between the GCC and Iran and to ask Tehran to stop meddling in Arabs' internal affairs (Cafiero, 2017). As part of this orientation, Iranian President Hassan Rouhani visited Muscat and Kuwait on February 15, 2017, to restore Iran's strained relations with the Gulf (Middle East, 2017).

At the security level, in September 2015, the Attorney-General of Kuwait charged 25 Kuwaitis with one Iranian for committing acts that harmed the "unity and territorial integrity of Kuwait". Furthermore, it is Iran that started to provoke a diplomatic crisis with Kuwait after the Kuwaiti authorities had insisted on the trial of the members of Hezbollah cell in Kuwait (The Daily Mail, 2015).

9. Iran-Qatar Relations

Doha has been close to Tehran although some acts would sour Iran-Qatar relations from time to time. Doha was the first Gulf capital to break the boycott with Iran and called for Iran to take part in keeping security in the region. The former Emir Hamad al-Thani sought to play an important diplomatic role as a mediator in the region. However, and while pretending to be a powerful defender of resistance against Israel, Qatar hosted US military bases on its land. Qatar seeks to resolve conflicts in the Middle East, and in that capacity Qatar is seen by its neighbors as very close to Iran and its allies in the Middle East. In May 2008, Emir Hamad helped in the negotiations held in Doha between the Lebanese government and Hezbollah and Doha gave Hezbollah a one-third-plus-one share of Lebanese cabinet (Ottaway, 2009). Also, Qatar decided to invite Iran to attend the GCC summit in December 2007, without telling the GCC member states (Hammond, 2014).

The Arab Spring was a major factor in Qatar-Iran relations, especially with Iran's open support for Bashar al-Assad's regime and the Shiite opposition in Bahrain. Qatar, on the other hand, supports some of the revolutionary factions in Syria and the government in Manama as well. This rivalry over influence between Qatar and Iran has also extended to the Palestine issue, where the two countries are competing to support Hamas. But the question is: Would mediation by Qatar be accepted for the restoration of relations between the Gulf States and Iran? It is possible to settle any Gulf-Iranian differences through negotiation, and this was confirmed by the Qatari Emir during his dialogue with the Iranian president (The Daily Mail, 2016).

10. Iran-Oman relations

The special relations between Iran and Oman are based on the fact that the two countries have control over the Strait of Hormuz. After the establishment of the Islamic Republic, Sultanate of Oman sought to maintain good relations with Iran. However, the absence of a large Shiite bloc in the sultanate, in addition to the sectarian rapprochement between Shiite Iran and the Ibadid Sultanate, explains much of Oman's keenness to maintain good relations with Iran, unlike other Gulf States.

In August 2009 Sultan Qaboos visited Tehran after Ahmadinejad's re-election in what was considered an implicit endorsement of his re-election. In the following year, Tehran and Muscat signed a security agreement (Slackman, 2009). Many analysts point out that the US – Oman relations are more robust and diverse, while asserting that Oman maintains good relations with Iran to avoid any Iranian hostile action against it. Despite the pressure exerted by the GCC states, Oman has acted as a mediator in several regional crises, the most prominent of which was the nuclear negotiations between Iran and the West in 2013. US Secretary of State John Kerry praised the role of the sultanate in concluding the nuclear agreement. Furthermore, Muscat acted as a mediator between Tehran and Washington to release three American detainees arrested by Iran in 2009, and the United States, in turn, released an Iranian woman in 2012.

Oman, however, condemned the attacks on the Saudi embassy and consulate in Iran, referring to it as unacceptable behavior. However, Oman did not reduce diplomatic relations with Tehran. The Omani foreign minister visited Tehran to discuss the crisis instead. Muscat believes that political escalation, tension in the region and sectarian strife are very unfortunate and may affect the national interests of the sultanate in the region.

In 2015, the sultanate made a great effort to promote dialogue between the conflicting parties in both Syria and Yemen. However, Saudi Arabia and a number of its allies have cut or reduced their relations with Iran. This crisis is a stumbling block to the fragile initiatives to resolve the crisis in Yemen and Syria. Oman faces serious economic problems due to the lower oil prices. Therefore, importing natural gas from Iran is an important

economic demand for Oman (Postnet, 2016). Oman and Kuwait have played pivotal mediatory roles in both the Syrian and Yemeni crises. According to some sources, some secret dialogues and negotiations were held in Muscat concerning Syria. Kuwait and Oman have also acted as mediators in the Saudi-Iranian crisis. Moreover, Oman believes that it is necessary to adopt peaceful solutions to the Yemeni crisis (Al-Quds Al-Arabi, 2015).

11. The Sunni-Shiite Conflict

The existence of Persian Iran with a sectarian Shiite orientation, next to an Arab bloc with a Sunni majority, gets Iran to strongly reject any Arab political bloc, considering it a threat to its security and interests. Tehran does not like dealing with the GCC or other Arab regional organizations (Abd al-Mumin, 2012). Tehran expressed its unwillingness to receive the Tripartite Commission from Saudi Arabia, Oman and Qatar to open dialogue about finding a solution to the issue of the UAE islands. However, Tehran was ready to receive the European Troika, which included the Foreign Ministers of France, Britain and Germany, to negotiate for its nuclear file. Iran does not want to deal with Gulf States through the GCC (Nasser, 2012).

As a result, the Gulf States, found the Syrian revolution in March 2011 an opportunity to influence the balance of power after the American withdrawal from Iraq. After the Sunni Gulf States, along with Turkey, had failed to persuade Assad in 2011 to deal positively with the demands of the Sunni majority in his country, they decided to keep Syria away from the Arab League and to take strict diplomatic measures against the Assad regime (Holliday, 2011).

For purely geopolitical reasons, Riyadh saw that Iran's expanding influence in Iraq and strong presence in Syria would pose a threat to the GCC member states. Also, the rise of Iranian influence in Yemen, embodied in the Huthis, and Tehran's constant attempts to intervene in the internal affairs of the Gulf States made Riyadh think twice and seize the opportunity to correct the balance of power in their favor by bringing Iran's most important ally in the region down and cutting that link between Hezbollah in Lebanon and Iran. Riyadh, Turkey and Qatar also supported the use of military force to overthrow the Assad regime, either by arming the opposition, or through regional or international military intervention (Qablan, 2015).

Riyadh, Doha and, to some extent, the UAE desired to eliminate the Iranian influence in Syria by supporting the Syrian revolution against Bashar al-Assad's regime. Saudi Arabia supports the opposition delegation negotiating with the Assad regime in Geneva and Astana in 2017. Riyadh also hopes that Russia's presence in Syria will replace Tehran's influence. The same is true about the Saudi policy towards Lebanon; Riyadh supported Sunni Prime Minister Saad Hariri and encouraged him to firmly stand up to Hezbollah. On the other hand, the continued existence of fragile government in Lebanon and the growing political power of Hezbollah, Tehran's ally, have all caused Saudi Arabia to cut all its aids to the Lebanese army and directly threaten to reduce other forms of support for the state and the Lebanese economy (Bahout, 2016).

12. Establishment of Naval Bases

Iran works on building two maritime zones and three naval bases on the shores of the Sea of Oman (Kam, 2016). If, ultimately, Iran succeeds in establishing naval bases on the shores of Syria and Yemen, this will have negative repercussions for regional and global powers such as Israel, Saudi Arabia, Egypt, Turkey and the United States. It is unclear whether Iran is considering establishing a permanent base in Syria. Furthermore, Iran's having permanent military presence in the Mediterranean would create a threat and a kind of deterrence against the Arabs and Israel. All that has made Saudi Arabia and the UAE build naval bases in Djibouti and Eritrea to give them the advantage of controlling the Red Sea region (Guzansky, 2017).

13. Reflection of Sectarian Conflict on Relations

The broader feature of the Gulf-backed Syrian opposition is its Sunni identity as most of the insurgents in Syria are Sunni Arabs." This religious homogeneity is nonetheless not enough to provide the armed opposition with that military cohesion and the unified political identity desperately needed (Balanche, 2016).

The Iranian role is clear and influential in the continuation of the conflict in Syria and in rescuing the Assad regime from falling. Iran has used Shiite fighters from several countries to strengthen and support the Syrian regime and to prevent it from falling as one of the most important states that constitutes the Mideast Shia crescent. Iran has also signed arms and energy agreements with Russia, China, India and other countries in order to strengthen its position against foreign intervention and succeeded in preventing the Security Council from issuing a resolution authorizing the use of international forces in Syria as the United States had already done in Libya. Moreover, the military relations between Syria and Iran have improved because of the blockade and those sanctions imposed by the West against the two countries (Blanchard, et al., 2015).

14. The Gulf Fears of Nuclear Agreement

The most assertive approach followed by Saudi Arabia and the UAE came in response to the diplomatic initiatives taken by the Obama Administration towards Tehran within the framework of the nuclear agreement. According to an interview made by the New Yorker magazine in January 2014 with the then American President Obama, he envisioned a "new geopolitical equilibrium" in the Gulf region. Furthermore, signing the Joint Action Plan in July 2015 underscored the Gulf's fears of the US administration's realignment policy in the region and widened the gap between the United States and its allies with Washington's apparently embracing Tehran - in Iraq and Syria - as a potential force for stability in the region (Schenker, 2016).

The Gulf countries' main concern stems from their belief that Iran is seeking regional hegemony by using terrorism, and, therefore, the nuclear deal has made things worse as the lifting of sanctions has removed Iran's isolation as a rogue state and given it more revenues. The nuclear agreement has fueled Iran's ambition to become a dominant power in the region (Riede, 2016).

Henry Kissinger says: "My foreign policy theory has always been to try to link legitimacy with force, and the crisis created by Iran was to link nuclear capabilities with imperialist ambitions and foreign policies in support of armed groups in Syria, Lebanon and Yemen. The lifting of sanctions against Iran should have been linked to reducing uranium enrichment in the Iranian nuclear reactors and ending Iran's support for armed entities such as Hezbollah. (Goldberg, 2016).

15. The Proxy War

In parallel with Tehran's approach to "exporting the revolution", Ayatollah Ali Khamenei and the Islamic Revolutionary Guard Corps (IRGC) have developed tactics for an asymmetrical war aimed at building Iranian influence through sectarian and political alliances. Iran often considers itself the guardian of the wider Shiite community. Iran has set up networks of Shiite militias: Hezbollah in Lebanon, Houthis in Yemen, and dozens of other militias in Iraq. Moreover, Iran has expanded its influence among the Alawites in Syria and dominated the Shiite religious establishment and financial networks throughout the Middle East. Iran has also deepened its ties with Sunni Arab warring factions in the Middle East to strengthen its regional standing. To that end, Tehran has developed strong relations with Hamas and the Islamic Jihad in Gaza. In fact, Iran does not care about Muslims, even the Shiites; Iran has allied itself with Christian Armenia against pro-American Shiite-majority Azerbaijan and with the Afghan Taliban against the Afghan government. Eventually, it is the imperial ambition that drives Iranian foreign policy (Cagaptay, Jeffrey, Khalaji, 2015).

Acts of violence, sectarian speeches - along with fixed salaries - have allowed Iran to successfully recruit thousands of Shiite fighters over the past years. Thus, these factors are likely to be once again the main stimulus for mobilization. The large investments Iran uses in recruiting and training these agents strongly suggest that they intend to maintain their presence abroad (Ghaddar, 2016).

Riyadh accuses its regional enemy, Tehran, of supporting the Houthis in Yemen with weapons, training and funding. For its part, Iran accuses Saudi Arabia and the Arab Alliance of killing civilians in Yemen, describing its war in Yemen as "aggression". This tension is reflected in the statements made by the foreign ministers of the Gulf States and Iran. The Iranian Foreign Ministry attacked the UAE and Saudi Arabia in response to the accusations made by the foreign ministers of the two gulf countries against Iran of Tehran's supporting the Houthis (Mohammad, 2016).

The accusations came from the United Arab Emirates and Saudi Arabia after the Arab alliance had intercepted a rocket fired by the Houthis toward Mecca (holy city). Saudi Foreign Minister Adel al-Jubeir said that "the Iran-backed Houthis have not respected the sacred land of the country". On the other hand, on October 1, 2016, a UAE aid vessel was attacked by the Houthis. Iran then said that "attacking the UAE vessel occurred to defend Yemen's sovereignty" (Al-Arabi 21, 2016).

After the lifting of sanctions, Iran began to increase its oil production, and with the decline in oil prices, which is pressing those countries to diversify its economy, it is doubtful that the cohesion of the GCC countries would hold. The shift in local economic standards is having a geopolitical impact on the region. GCC states are seeking to find reliable allies to help them face regional challenges and stabilize oil prices as well. There is a feeling that the United States no longer gives priority to its relations with the Gulf states, including its privileged relations with Saudi Arabia. Gulf Statea and Saudi Arabia responded to these changes by adopting stronger and more independent foreign policies, as well as deepening their internal relations (Ghafar, 2016).

16. Conclusion

The lifting of sanctions on Iran strengthened its desire and ability to finance its regional influence, in addition to

the gains and victories achieved by its forces and supporters in Iraq and Syria, against the opposition organizations. Some of those opposition organizations are already classified as terrorist organizations. Moreover, Iran receives political and military support from Russia and China. Also, the West is open with Iran at the political and economic levels now. All that makes it difficult to have a change in the region. What can be clearly seen in the region now is a change in the balance of power. The United States is turning to Iran as a key player in the Middle East equation now. Another important issue that has raised the concerns of the Gulf states is that the Iranian Revolutionary Guards in 2015- 2017 conducted tests to develop its missile programs. The most pessimistic predictions are that the region is on the verge of a long war, similar to that between Catholic and Protestant states, for control and influence in the 17th century. A proxy war, in which the winner gains everything on a sectarian basis. Therefore, the Gulf states are seeking to secure a military victory by allying with Turkey, France and Britain, through a series of military and security agreements and providing support for the Syrian opposition fighters or for those negotiating with the Russians and the Iranians.

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A Study of Customer Preferences of Recurring Deposits in Post Offices over Banks

M. Rajeswari[1]

[1] Department of Management Studies, Hindustan University, Padur, Chennai, India

Correspondence: M. Rajeswari, Associate Professor. E-mail: mmraji75@gmail.com

Abstract

The study aims to understand the recurring deposit scheme of post office & the allied services along with the customer satisfaction level towards recurring deposits. The study also paves way to identify the areas which require improvement. The critical success factors are also identified in the study. Comparative analysis of the recurring deposit in post office and banks will enable the post office employees to identify their key differentiating factors and also help them to retain and expand their base of the recurring deposit holders. Multiple choice questions have been chosen to collect the responses from 100 recurring deposit holders. Convenience sampling method is employed in the research work. The data collected is analyzed through various statistical tools like Karl Pearson's Correlation and One-way Anova test. Suggestions given in the study will help the postal department to retain and attract new recurring deposit account holders.

Keywords: post office, recurring deposit, retain, banks

1. Introduction

People with regular income have the opportunity to deposit a fixed amount every month through recurring deposit. It is a special kind of term deposit which help the investors to earn interest at the rate applicable to fixed deposits. It is an alternative for fixed deposit when the investors are not in a position to invest huge amount they can invest in monthly installments for example Rs 1000 every month. This deposit matures on a specific date in the future along with all the deposits made every month. Thus, recurring deposit schemes allow customers with an opportunity to build up their savings through regular monthly deposit of fixed sum over a fixed period of time.

When the recurring deposit account is opened, the maturity value is indicated to the customer assuming that the monthly installments will be paid regularly on due dates. If any installment is delayed, the interest payable in the account will be reduced and will not be sufficient to reach the maturity value. Therefore, the difference in interest will be deducted from the maturity value as a penalty. The rate of penalty will be fixed upfront. Interest is compounded on quarterly basis in recurring deposits.

Rate of Interest offered is similar to that in Fixed Deposits. At present it seems to be one of the best method to save the amount yield after years of deposit because Taxation of Recurring Deposit Tax Deducted at Source (TDS) is not applicable on recurring deposit. However interest from recurring deposit is not tax free. Income tax is to be paid on interest earned from a recurring deposit at the rate of tax slab of the investor. Through this study, the key areas that need improvement in order to increase customer satisfaction towards the recurring deposit schemes in post offices will be identified. This will help the post office to make its success and also toughen its standing in the market share of recurring deposits.

2. Review of Literature

Preeti Singh (2002) found that post office schemes go on par with commercial bank and post office deposits schemes. Accounts included in the scheme are recurring deposits, saving and time deposits (a kind of recurring deposit). The savings in post office is similar to that of banks where cheques are issued, but there is no limit on withdrawals.

Rajkumari (2007) in her study has undertaken to identify the customer's attitude towards investment in recurring deposits and concludes that there is a low level of awareness among customers in India. **Alinvi & Babri (2007)** are of view that customers' preferences change on a constant basis, and organizations adjust in

order to meet these changes to remain competitive and profitable.

Bhagaban Das, Ms Sangeeta Mohanty & Mr. Nikhil Chandra Shil (2008) observed that different investment pattern do not provide the same level of services with respect to age of retail investors in India. It was also observed that graduate and post graduate investors invest more in life Insurance while professionals in Mutual Funds. **Simon Gervais (2009)** in "Behavioural Finance: Capital Budgeting and other Investment Decisions" has made a survey of literatures on the effects of behavioural biases on capital budgeting.

Nagpal Sushant and Bodla B. S., (2009) brings out the demographic characteristics of investors, relationship between lifestyle clusters of the respondents and their investment patterns and sources of information tapped by them. The study concluded that investors prefer less risky investments such as recurring deposits, insurance policies, fixed deposits with banks and post office, PPF and NSC.

Dr.R.Ganapathi (2010) study concluded that advertisement is a major source to make people understand about post office schemes. Mostly in order to help people in high tax liability and small investors numerous small saving schemes were mainly established. In order to increase the deposits and to make even a lay man understand about the deposits advertisements play a crucial role. Because safety and security is increased when the money is invested in post office.

SK Das (2011) revealed in his study that people who invested in insurance followed by banks are those whose education level is below tenth standard. **Dr. C. Thilakam and Dr. Ganesan (2012)** identified that business channels acts as a vital source to learn about investment and savings for the investors.

Mathumitha (2015) revealed in the study that in order to meet the future plans of the children many people invest in recurring deposit. The study also suggested that adopting advertisement strategy will increase the number of deposits. **D. Koreshashikant and Dr. R.B. Teli (2015)** in their study identified that towards post office schemes people who have clear perception are medium and small investors. The study also recommends that, in order to create awareness about the financial schemes in post offices an essential strategic planning is necessary to fight against private institutions.

3. Objectives

- To understand the socio-economic profile of the respondents
- To analyze the impact of having recurring deposits in banks and post office.
- To determine the impact of the satisfaction and rate of interest in post office.
- To examine the major drawback of recurring deposit in post office
- To provide suggestions to improve the number of recurring deposits accounts in post offices

3. Methodology

The research design selected to be used in this study is descriptive research. The number of respondents considered for the survey is 100. The sampling technique used in this study is Convenience sampling. The data was analysed by using tools such as Karl Pearson's Correlation and One-way Anova test.

4. Findings and Suggestions

4.1 Socio-Economic Profile of the Respondents

Out of the respondents surveyed 65 per cent of the respondents are female. 72 per cent of the customers having recurring deposits are in the age group of above 36 to 45 years. 47 per cent of the respondents are uneducated. 54 per cent of the respondents are employed in government jobs. 59 per cent of the employees have income within the range of Rs.10,000-25,000.

4.2 Impact of Having Recurring Deposits in Banks and Post Office

One way ANOVA test is employed to determine the impact of having recurring deposits in banks and post office.

Table 1. Test of Homogeneity of Variances

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Post office	54	4.07	1.385	.189	3.70	4.45	1	5
Banks	34	3.29	1.643	.282	2.72	3.87	1	5
Both	12	4.92	.289	.083	4.73	5.10	4	5
Total	100	3.91	1.485	.148	3.62	4.20	1	5

Table 2. ANOVA

	Sum of squares	df	Mean Square	F	Sig
Between groups	26.511	2	13.255	6.708	0.002
Within groups	191.679	97	1.976		
Total	218.190	99			

Tabulated value = 6.708; Calculated value= 4.79

F = F cal> F tab   F= 6.708 > 4.79

Alternate hypothesis is accepted as the calculated F value is higher than tabulated F value.
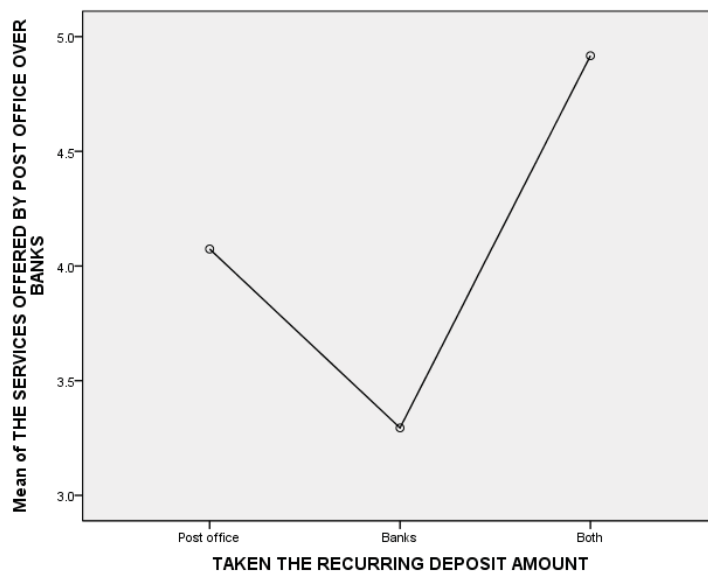
Figure 1. Mean Plot

4.3 Impact of the Satisfaction and Rate of Interest in Post Office

To determine the relationship between satisfaction of the respondents and the rate of interest in recurring deposit correlation analysis is performed.

Null hypothesis (H0):

There is no significant relationship between the satisfaction and rate of interest among the customers

Alternate hypothesis (H1):

There is a significant relationship between the satisfaction and rate of interest among the customers.

Table 3. Correlation Analysis

	Rate of Interest	Satisfaction
Rate of Interest	1	0.048
Satisfaction	0.048	1

Since the correlation values are significant null hypothesis stating There is no significant relationship between the satisfaction level and rate of interest among the customers is rejected.

4.4 Major Drawback of Recurring Deposit in Post Office

Based on the interview with the respondents drawbacks of recurring deposits in post office were found out. 82 per cent of the respondents are not satisfied about the services offered by post office. 74 per cent of the respondents feel that waiting in long queues acts as a major drawback for investing in recurring deposit's in post office over banks. 93 per cent of the respondents feel that the immediate need is to improve the number of RD

accounts in post offices is to improve basic facilities at the post office

4.5 Suggestions

Post offices across the country have to market about their features and interest rates in an aggressive manner through TV Ads, Online Ads and paper ads to get more customers for recurring deposit accounts in a short period. As customer prefer better ambience including waiting seats, water facilities and air-conditioned office. It is necessary for the post office to provide all these basic amenities to the customers in order to ease their payment process and waiting time. A separate customer care number has to be created to provide round the clock services for the post office account holders. Better service to the customers is the only means to retain the existing recurring deposit account holders. Interest rate for the recurring deposit accounts can be increased to pull more accounts from banks to the post office. With an improved ambience and interest rate, post office will continue to be the first and foremost choice to have a recurring deposit account. Post office can develop a Mobile App for easy payment transactions for all the recurring deposit account holders. This will enable the post offices to get more youth customers.

5. Conclusion

This study has been undertaken to understand the overall effectiveness of the RD services in the post office and assess the reason for customer's preference of Recurring Deposit's in post offices over banks. For this purpose, responses from the RD account holders of post offices have been collected and analyzed. Based upon the findings out of the research, few valuable suggestions have been given to the postal department to improve the overall RD services to retain and expand its RD accounts holder's base.

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Solutions to the Advancement of Stem Cell Research

Sharon S. Huang[1], Erick C. Huang[1] & Chao Shen Huang[2]

[1] Morrison Academy, Taichung, Taiwan

[2] Da Chia Clinic, Taichung, Taiwan

Correspondence: Chao Shen Huang, Da Chia Clinic, Taichung, Taiwan. E-mail: cs2777726@gmail.com

Abstract

Stem cell research is a developing field of research that is both promising and exciting. Although research has greatly furthered scientists' knowledge of pathological diseases, stem cell research is not unmet with controversy. These oppositions stall the advancement of stem cell therapy and its potential to cure or save millions of people's lives, an obstacle that should be overcome for the benefit of many. Thus, to get rid of the obstacles that prohibit the advancement of stem cell research, the public should be taught the basics of stem cell research through federal funded advertisements, a research institution gathering scientist worldwide should be established outside of the US with the goal of primarily conducting stem cell research, wherever the institution is established, funding for research should not be limited to governmental funding, and finally, an international guideline for stem cell research should be established.

Keywords: stem cell research, funding, global institute, guideline, protocol

1. Introduction

Mention cancer, HIV/AIDS, Parkinson's, or Alzheimer's in any conversation and an ominous, fearful mood will immediately begin to dampen even the most lighthearted atmosphere. These diseases have affected the majority of the population and will continue to do so even with constant efforts from scientists to find effective cures for these diseases. However, despite the pessimism from critics that scientists will never be able to permanently eradicate the aforementioned diseases, hope has begun to rise as a particularly promising field of research has been developing. Scientists have long sought to create therapies through the use of stem cells, mainly because of the stem cell's ability to develop into any type of cell that exists in the human body, an ability that researchers call *plasticity* (Bellomo, 2006). This unique ability is especially exciting because scientists can coax stem cells to develop into tissues that normally are irreplaceable and develop therapies for regeneration of tissue wounds (Amarpal, Dhama, Chakraborty, & Natesan, 2013). However, in spite of the hope that stem cell therapies could bring to the medical field, the efforts to advance such therapies are not without obstacles. Controversy surrounding the use of embryos in embryonic stem cell research has stalled the advancement of stem cell technology and has affected the amount of much needed government funding allocated for this research (Brock 2006). Furthermore, opposition from the general public, largely due to the public's unfamiliarity and misunderstanding of stem cell research, has also slowed down research. Thus, to get rid of the obstacles that prohibit the advancement of stem cell research, the public should be taught the basics of stem cell research through federal funded advertisements, a research institution gathering scientist worldwide should be established outside of the US with the goal of primarily conducting stem cell research, wherever the institution is established, funding for research should not be limited to governmental funding, and finally, an international guideline for stem cell research should be established.

2. Methods

2.1 Raising Awareness

One of the main factors that impede the advancement of stem cell research is public misunderstanding of stem cell research; this can be solved through government supported public announcements that educate people. These public information sessions can debunk common myths surrounding stem cell research. For example one common misconception about stem cell research is that all stem cell research involves the use of embryonic stem cells, which has led to great opposition from the public (Cho & Magnus, 2007) . In reality, stem cells can be obtained through various ways such as extraction from adult bone marrow, "reprograming" a normal tissue cell,

or through the controversial extractions of embryonic cells (Henderson, 2014). Although the most common method of harvesting stem cells in the past was through use of embryos, more and more research is being done on stem cells that have not been harvested from embryonic cells and, therefore, will not cause as much of a controversy (Henderson, 2014). If the public would have known this fact, there wouldn't be as much of an opposition towards all stem cell research. In addition, there is a wide percentage range of adults worldwide that are aware of and understand the fundamentals of stem cell research. Through a survey done by the BBVA foundation, an organization that supports researching, training, and exchanging scientific information, it was observed that, "Globally there is a great disparity in awareness of stem cells - from 33% (Japan) to 86% (Sweden & Denmark) of respondents having heard of stem cells" (O'Malley, 2014). In addition, according to the same survey, "Only 34% of adults in the United Kingdom felt that they truly know what stem cell research is according to a survey done for the United Kingdom government" (O'Malley, 2014). These statistics show that there is a large disparity in global awareness of stem cell research, and that many of the countries' general public awareness of stem cell research is not high. To combat this, governments should collaborate with stem cell experts to educate and help the public understand the basics of stem cell research through media platforms such as newspapers, radio and television announcements, social media, etc. In addition, posting advertisements on billboards to inform the public about stem cell research, or holding public debates about the pros and cons of embryonic stem cells would be helpful. Debates, in particular, can help people become aware of the benefits of stem cell research. According to surveys done by James O'Malley, a PhD in biomedicine at the University of Edinburgh, "Acceptance of human embryonic stem cell research was higher when potential medical benefits were made clear to respondents" (O'Malley, 2014). Through learning about the benefits and negatives by attending public debates on the ethics of stem cell research, the public can better make informed opinions about stem cell research. Other events, such as holding government funded events that are interactive information sessions about current research advancements and friendly competitions to come up with new ways of creating stem cells designed to encourage children to think innovatively could be put to use. Currently, October 14 is Stem Cell Awareness Day; its creators hoped to draw awareness to stem cell research (Stem Cell Awareness Day, 2015). Unfortunately, this day has hardly garnered any attention from the public which defeats the purpose of an awareness day when few people know of its existence. However, the public awareness of Stem Cell Awareness Day could be increased through social media platforms such as Facebook or Twitter, which would reach a young demographic and achieve the purpose of bringing awareness to a larger audience and better informing the public about stem cell research.

2.2 Establishing Global Institutions

An institution that would gather stem cell researchers together should be established outside of the United States. The United States has long been a leader in the general area of scientific research. However, due to great resistance from the general public that originates from stem cell controversies, stem cell research in the US has been restricted by federal laws and limited governmental funding, which does not make the US an appropriate candidate to host a centralized institution with a primary focus on stem cell research (Human embryonic stem cell, 2010). Contrarily, countries in Europe and Asia, such as the United Kingdom and Singapore, are emerging as leaders in stem cell research due to strong support from their general publics and their governments. Singapore, for example, is known as "Asia's stem cell center", a title earned from its multitude of research groups and its authorization of embryos younger than two weeks old for therapeutic purposes (Dhar & Ho, 2009). In addition, Singapore has been actively recruiting scientists from all over the world to conduct research in its institutions (Ralston, 2008). Similarly, the United Kingdom currently hosts the world's largest stem cell bank and is one of the global leaders in research of the characterization of all the existing embryonic stem cell lines (Bellomo, 2006). Thus, a centralized institution for stem cell research should be established in countries where the research is not as controversial and met with such strong resistance. Then a big question arises. How should the host country be chosen to ensure that the institution would be built and funding would not disappear elsewhere? The choice of the host country and the recruitment of scientists should be done by the International Society for Stem Cell Research, which is a nonprofit organization comprised of stem cell experts and researchers from around the world. The appropriateness for the host country should be based on its level of stem cell restrictions, government approval, a complete set of timelines to build and provide facilities to the institution, and approval of the host country by the committee of International Society for Stem Cell Research. Once the elected host country accepts the proposition to establish an international center for research, the International Society for Stem Cell Research should enforce the timeline that was provided by the host country to make sure the institution is established in a timely order. Funding for this institution should be provided by the government of the host country and any private investors. While many would say this restriction wouldn't provide any incentive for any government to establish a research institute, it is widely believed that governments would be

willing to carry out such plans because of the commercial promises that stem cell therapy brings.

2.3 Funding

The institution established should not be limited to only accepting funding from governments. Funding from private donors should be made available since one of the main factors that inhibit the rapid growth of stem cell technology is the lack of funding for research. While others would argue that stem cell research in the US and other countries is sufficiently funded by the countries' respective governments, those promised funds are usually limited by political influences and restricted by a country's economic status. An example of limitation by political influences was seen in the Bush-era. In 2001, President George W. Bush banned government funding for embryonic stem cell research and twice vetoed Congress' attempts to pass laws that allowed for obtaining stem cells from leftover embryos in fertility clinics (Adelson & Weinberg, 2010). It was only when President Barack Obama was elected that the bans President Bush put on embryonic stem cell research were lifted (Henderson, 2014). The ban placed on funding stem cell research was a great setback for stem cell technology in the US and is a prime example of political influences that impede stem cell development. These setbacks have also aroused the fears from experts that the US is falling behind Europe, South Korea, and Singapore on stem cell research. Professor John D. Gearhart from the Johns Hopkins School of Medicine acknowledged "There is a feeling we have got to do something rapidly or we are going to be really out of the ball game" (Bellomo, 2006). On the other hand, private investors are much more motivated to invest in research due to stem cell's commercial potential in therapy, and therefore it gives researchers more freedom to test novel ideas that would otherwise be untestable under limited governmental funding. In fact, currently, most funding for stem cell research in the US come from private investors as opposed to the federal government, even though the government has pledged money to support stem cell research. According to James Fosset, the director of a stem cell research foundation called Nelson A. Rockefeller Institute of Government, "What seems most likely, in short, is that the immediate future will be like the recent past, with federal government being a relatively minor player and states and private funders continuing to carry the major funding and policy development burdens." In other words, private investors will play a large role in contributing fundings for stem cell research in the future as it had in the past. Unfortunately, in the present day, many governments have prohibited private funding towards stem cell research. By passing laws that enable private funding or eliminating bills that prohibit it, governments could enable stem cell research to be better funded; this would advance stem cell technology, and it would experience its greatest growth in many years.

2.4 Establishing an International Protocol

Finally, an international guideline outlining protocols of stem cell culture, guiding processes for researching novel testing methods for clinical trials, and recording all existing stem cell lines should be established. It is important to establish these protocols and guidelines for stem cell research since the processes involved are complex and delicate. Any misstep could cause severe contamination and serious outcomes; especially since stem cell research is aimed at developing therapies that can be eventually used in humans. Critics of stem cell research have long pointed to the unexpected side effects and risks that accompany stem cell therapy. Those include abnormal tissue (derived from stem cell) behavior, harmful immune responses to injected stem cells in animal models, stem cell toxicity, and some cases of tumorgenesis (International Society for Stem Cell Research, 2008). It is also suspected that there are other side effects that have yet to be discovered. Bearing such concerns in mind, a protocol should be established by the previously mentioned International Society for Stem Cell Research (ISSCR) for testing, culturing, and monitoring stem cells in research. The ISSCR has already published *Guidelines for Clinical Translation of Stem Cells,* a broad outline of procedures for clinical trials of stem cell therapy; however, it leaves the specific restrictions up to local regulations due to the varying degrees of regulations that are in place in different parts of the world. However, a universal guideline would better benefit research since scientists could conduct research undisturbed by public controversies about the ethics of stem cell research. Dr. Neil Hanley, a researcher and clinician who is funded by the University of Southhampton's Department of Health, agrees that it is beneficial to researchers if there's a set rule of guidelines: "Investigators are at an advantage wherever they can investigate under a sound ethical and moral legislation" (Bellomo, 2006). Furthermore, the varying restrictions in each country are a concern and result in hardships when countries collaborate together but disagree with each other's regulations for stem cell research. For example, Mexico, while flourishing in stem cell research, does not have regulations restricting stem cell research, thus drawing criticism from people around the world (Dar & Ho, 2009). On the other hand, countries such as Germany, Austria, Finland, Greece, Portugal and the Netherlands have strict regulations in the particular field of embryonic stem cell research even to the extent of banning embryonic cell use for research (Ralston, 2008). If scientists from any of the European nations mentioned above collaborated with scientists from Mexico, it would be

difficult for all the scientists to agree to follow the same regulations since they had agreed to research under different regulations in their home countries. Thus, global cooperation in stem cell research is extremely difficult under the current situation where there are no international standard guidelines, and each country has its own different procedures and protocols (Daley et al., 2016). In addition to international guidelines, a list recording all existing stem cell lines should be created and regularly updated by researchers during meetings that the International Stem Cell Society hosts. A list of stem cell lines would give the benefit of being up to date on recent advancements to researchers that could then enable others to build upon the advancements.

3. Conclusions

In conclusion, stem cell research can achieve greater progress by globally implementing the following: education of the general public in regards to the basics of stem cell research through government funded advertisements, establishment of a research institution outside of the United States that would gather scientists from around the world with the goal of primarily conducting stem cell research, allowance of funding for research that should not be limited to governmental funding, and finally, the establishment of an international guideline for stem cell research (Figure 1). Through these steps, the international community will be able to reach greater heights in stem cell technology. Although the advancement of stem cell research will not guarantee cures for debilitating diseases, stem cell discoveries continually give hope to patients with terminal illness', scientists, and the general public that the developing biomedical technology will one day conquer these malicious killers.
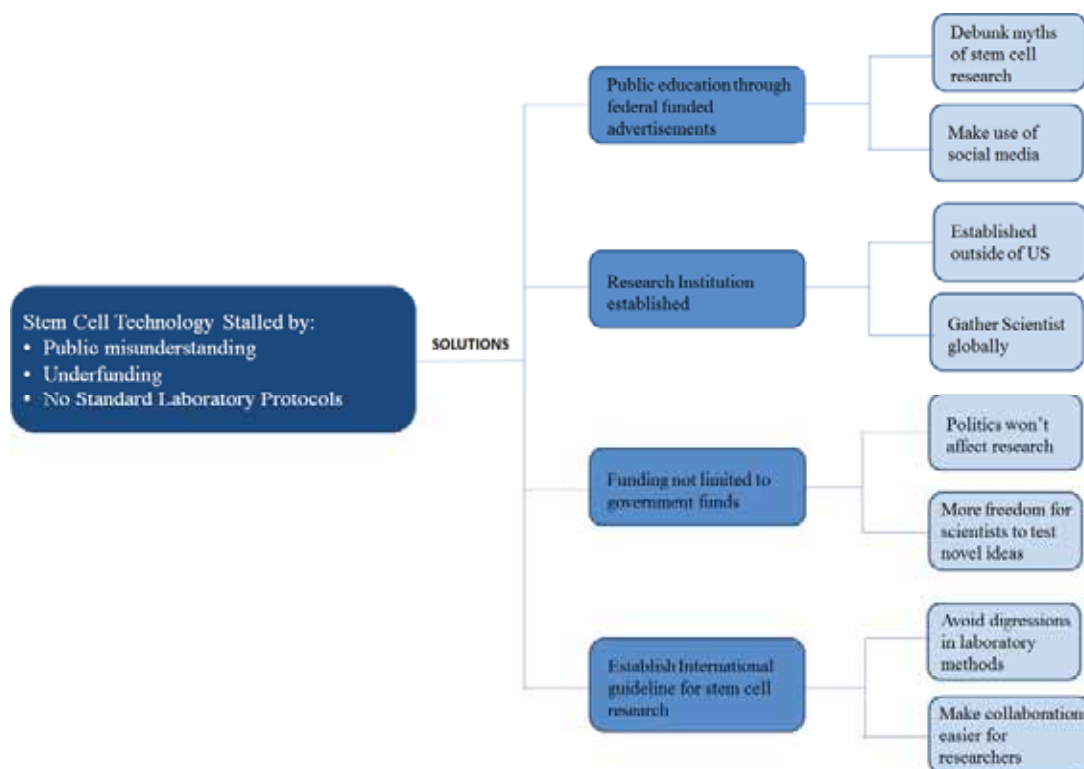
Figure 1. The overlying summary:

Stem cell technology advancement can be improved by having federal funded educational advertisements, establishing a research institution, deregulate funding to include private institutions, and establishing an international guideline for stem cell research.

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A Study of Educational Programmes that Promote Attitude Change and Values Education in Spain

David Pérez-Jorge[1], Fernando Barragán Medero[1] & Elvira Molina-Fernández[2]

[1] Universidad de La Laguna (ULL), Faculty of Education, Department of Didactics and Educational Research, Tenerife, Spain

[2] Universidad de Granada (UGR), Facultad de Educación y Humanidades, Departamento de Pedagogía, Melilla, Spain

Correspondence: David Pérez-Jorge, Faculty of Education, Department of Didactics and Educational Research. Universidad de la Laguna (ULL), Tenerife, Canary Islands, Spain. E-mail: dpjorge@ull.edu.es

Abstract

Values education is crucial to promoting the holistic development of students. Many studies over the years have addressed the effects of values education on the holistic development of children, but today there are differing views on how to teach values in school. The objective of this study is to find out more about the programmes that have been used to teach values to children and how they have been developed and applied in schools, and to assess the extent of teachers' knowledge about these programmes. To this end, a bibliometric review was conducted on 161 programmes from 1986 to 2015, complemented by 20 interviews with teachers from different schools. This enabled us to gauge the relevance that has been given to values education over the years, and to assess the need to consider alternative educational models that will enable children to receive a holistic education.

Keywords: Attitude change, ethical values, transformative learning, values education

1. Introduction

The populations of advanced industrial societies have had to get used to rapid and permanent change, and to the technological, economic and sociopolitical changes that have transformed the culture of societies and their values. It is essential that "(...) 'political education' – the cultivation of the virtues, knowledge, and skills necessary for political participation – has moral primacy over other purposes of public education in a democratic society" (Gutmann, 2001, p.14).

Values are one of the issues that most concern families and educators today, especially in relation to the lack thereof (Carrillo, 2007). Aspects as necessary as solidarity, justice, respect, dialogue and freedom are values that underpin the proper and successful development of society. But what are values? Anything good or bad is a value (Pepper, 1958); the ambiguity and generality of the word may not actually be hiding anything other than its complexity. However, values are guides and determinants of social attitudes and ideologies on one hand and social behaviour on the other (Rokeach, 1973). Whatever the case may be, what seems clear is that a value is no more and no less than the expression of the needs and tendencies of people (Ibañez, 1993).

Values have been studied by many researchers throughout history. They are still today the subject of numerous essays and studies, because of both the complexity of the issues and their continuing relevance. The preventive nature of education and its value as a tool for social change and transformation has led many authors to consider its role to be crucial in improving coexistence and in the creation of a relational model based on respect and acceptance of others (Bajaj (2008), Bajaj & Chiu (2009), Brenes-Castro (2004), Fermán, Guzmán, Torres, Ahumada & Díaz (2014), Grasa (2000), Harris & Morrison (2003), Johnson & Johnson (2006), Moreno (2015), Muñoz (2014), Rodríguez (2015), Tuvilla (2004), UNESCO (1995). Schools must properly organise the necessary resources, materials and methodology for values education to be a cornerstone of teaching.

Nevertheless, even today it is difficult to reach consensus on a values education model that is used and accepted by all schools. It may perhaps be of interest to reflect on one of the concepts that is difficult to clarify in relation to this issue. It is difficult to distinguish between values and other related aspects, such as beliefs, attitudes or rules of conduct. In fact, we could say that they are totally different but related concepts, connected by a strong link. We cannot speak of values without reference to our beliefs and our conduct, without considering our attitude to problem solving or the affection that we show in our relationships. This area of personal development and learning gives rise to attitudes that are mediated and influenced by personal experience, by our environment and by society and family culture. Our attitude towards others may manifest greater or lesser solidarity depending on the commitment that the social experience of the subject generates (Pérez-Jorge & Rodríguez, 2011). Therefore "holistic education should be a basic priority, to ensure that students acquire learning and diverse capacities, other than mere instruction, through experience" (Carreras et al., 2006, p.13). Although this idea may be surprising and although there is reticence to it, it has been and continues to be present in the practices and habits of many teachers. There are a great number of teachers that know how to motivate and to make of their educational practice an experience that is attractive, innovative and experiential. However, these experiences are shared too little and rarely make it beyond the boundaries of the classroom or the school (Pérez-Jorge & Rodríguez, 2012; Pérez-Jorge, Alegre, Rodríguez-Jiménez, Márquez-Domínguez, & De la Rosa-Hormiga, 2016).

Seeing educational practice as nothing more than the mere transmission of knowledge through historical events, mathematical or philosophical theories or simple facts is to conform to a situation of limited, incomplete and decontextualised learning. It makes learning a routine, boring experience (Romero, 2014). Education must keep pace with the times, with the facts and events of a world that is increasingly dehumanised and indifferent to what happens around it. Values education is a fundamental part of the social and personal development of the individuals that make up the society in which we live. In the world of today, where violence and a lack of solidarity and ethical behaviour have become commonplace, it is becoming ever more necessary to create spaces for dialogue, thought and reflection in which these values may be developed. It is for this reason that this study was designed: to examine the programmes that are being or have been carried out in the area of education to promote values in students. Gaining better knowledge of values education programmes, and the ways that they are developed and applied in schools, is a crucial step in implementing an appropriate and holistic educational approach.

Schools need to be promoted as learning communities that are capable of involving the educational community in the development of educational projects (Ponce, 2015), with the goal of strengthening pedagogical assumptions that we consider fundamental. Knowing, responding to and engaging with the values of solidarity, tolerance, respect for difference and ideological and cultural diversity are, among others, the key to the effectiveness of these programmes (Romero, 2014; Rodríguez, 2015). They are pedagogical projects that promote solidarity values in children and young persons, that develop their critical thinking and enable them to acquire skills that will equip them to understand the world and engage with the changes that this entails, to endow them with the knowledge and attitudes that will allow them to promote these values and bring about changes in their own lives and in their community, both locally and globally.

The legal provisions that underpin attitude change and values education have given schools the freedom to create the necessary tools to draw up the guidelines for a values education action plan in their Educational Projects (Suárez & Lorena, 2015). Various units and projects have been designed for schools' annual general programmes (*Programación General Anual*, PGA) aimed at promoting attitude change and values education. These projects, programmes or didactic units have been developed and applied at different levels in very different ways, and not always with the best results.

The idea behind this study came from the need to analyse the content and actual intentions of the different values education programmes, and the opinions of the teachers.

2. Objetives

An effective implementation of values education is essential to achieve the holistic development of students. This aspect of students' education has attracted the interest of many learning programmes that have been designed and developed to achieve this purpose.

The aim of this study is to shed light on the programmes that have been used and are being used in values education, and to find out how they are implemented and applied in schools. To this end, we shall try to provide answers to the following questions:

- What Values Education programmes are being developed and used to promote values education in schools?

- How are these programmes used and applied in schools?
- What educational dimensions are developed by Values Education programmes?
- Could values be taught differently from how they are taught in schools today?

Based on – and complementing – the above questions, another objective of this study was to determine the extent of teachers' knowledge about values education programmes and their predisposition to use and develop these programmes in educational contexts.

3. Design and Methodology

The study that was conducted was eminently qualitative; it was based on the analysis of 161 programmes published between 1986 and 2015 dealing with values education in the area of education. For the analysis of the documents, descriptive or analytical and comparative or synthetic phases were used (Bereday, 1968; Hilker, 1964). These phases enabled us to study and analyse the characteristics of each of the programmes, compare it to the others and draw conclusions (García-Garrido, 1996; Ferrer, 2002).

3.1. Sample and Procedure

The study was conducted by reviewing all educational programmes designed for values education that had been implemented in Spanish schools between 1986 and 2015.

A study conducted in 2010 on a total of 102 programmes (Pérez-Jorge, 2010) was used as reference. The programmes included in this study were reviewed and updated up to September 2015, giving us a total of 161 values education programmes. These programmes were designed to be cross-cutting, allowing for intervention from all the different areas of the curriculum (Pérez-Jorge, 2010). Each programme was analysed by four experts in the field of qualitative assessment and with experience in content analysis, who studied the programmes based on the following indicators:

- Identification: author, city and year.

- Content:

  o Values and attitudes that were promoted

  o Whether they related to problems of social reality

  o Their adaptation to the curriculum

  o Whether they fostered the holistic development of the student

  o Whether they encouraged the participation of the educational community

Twenty complementary interviews with teachers from different schools in the Canary Islands (N=20) were also conducted. The teachers, who participated voluntarily in the interview, stated that they had worked with values education, had a mean age of 46.5 years and taught in primary (N=10) and secondary schools (N=10).

3.2 Information-gathering Tools and Techniques

To analyse the values education programmes, a control scale was used to assess the content indicators described above. For these indicators four levels were established, ranging "from a negative, weak and static approach to a positive, dynamic and mobilising conception". These indicators were: "absence of indicator (omitted); level 0 or passive (deterministic view of reality, uncritical acceptance of the facts and stasis); level 1 or informative (purportedly neutral view that presents the facts in a clear and informed way); level 2 or formative (dynamic and interactive view of reality that shows different points of view, favours opinion); and level 3 or transformative (challenges facts, making a critical view of reality and a commitment to change possible)" (Boqué, Pañellas, Alguacil & García, 2014, p.84).

An interview script was prepared, based on an analysis of the formative dimensions that were developed by the different programmes and their nature. The objective was to ascertain the meaning, use and type of application that these programmes introduced into schools. A content narrative analysis of the answers given by the teachers was conducted, and participants were identified by a "Pn" code (where "P" refers to participant and "n" the number of the participant).

4. Results

4.1 Analysis of values education programmes 1986-2015

Once the programmes had been selected, based on the above criteria, they were analysed. It was noted that the programmes had been designed from a disciplinary approach in order to adapt them to different areas of the

curriculum. These ranged from more specific areas – such as knowledge of values of respect for nature, found in curricula for specific areas – to other more general areas of values education such as peace education, consumer education, equality education, road awareness education, health education, moral and civic education and sex education.

Analysis of the programmes led us to distinguish eight main areas. See Table 1.

Table 1. Areas of the programmes to promote attitude change and values education

Area	No. of programmes	Values developed
Knowledge of self and of others	31	Self-concept, mutual understanding, group formation, acceptance, self-esteem
Discrimination	22	Acceptance of others, racism, interculturality, prejudice and solidarity.
Conflict	10	Collaboration, respect and competitiveness.
Interculturality	9	Multiculturalism, tolerance and solidarity
Human values	65	Attitudes, peace, caring for the environment, critical thinking, cooperation and value of difference.
Diversity	8	Discrimination, equal opportunities and coexistence, respect for difference.
Development cooperation	8	Cooperation, conflict, development, human rights and education.
Equality	8	Co-education, equal rights and dialogue.
TOTAL	**161**	

In recent years, schools have been considered a place where not only knowledge is taught and know-how transmitted; they are also a place where one learns to live alongside others, to respect others, to be tolerant and above all to be a good citizen. This is perhaps the reality that has increasingly driven the creation of programmes and projects aimed at shaping attitudes and values as the key to the education of the future. Ortega, Mínguez and Gil (1994) argued that values education, together with the development of positive attitudes towards those values, were indispensable components in the educational undertaking. Attitudes and values become the driver of the educational process, giving coherence, and acting as a catalyst, to the component elements of that process. The development of programmes and projects of this kind in schools has favoured critical and humanising interpersonal dialogue and has progressively fostered attitudes of collaboration, making respect for people a vital quality in our relationships with others. In spite of this, values education programmes are not commonly implemented: "*I only know of one programme for changing attitudes or for educating in values*" (P3), "*you educate and teach these aspects of education in your everday work life, when you reprimand a student or when you tell them to apologise to a fellow student whom they have disrespected*" (P12). The teachers that participated in this study agreed with values education programmes being implemented, although they saw no way of fitting them in their planning and programming: "*the idea of these programmes is fine but I have no time to apply it to my classes*" (P18); "*I do use some printouts from some of the programmes that I'm familiar with, but not very often, and if I do use them, it's for special days such as the Day of Peace*" (P10).

Based on the identified areas, for each programme the following were specified: author, city, publisher and year. To complement this information, the opinions of the teachers about the programmes were also compiled.

4.1.1 Knowledge of self and of others

These programmes underscore the importance of knowing one's own feelings and the feelings of others. Their starting point is the fostering of personal values to improve self-concept, self-esteem or self-acceptance. These programmes consider these aspects to be key elements in the holistic development of individuals. See Table 2.

Table 2. Programmes on knowledge of self and of others

Title	Author, city and publisher	Year
Al loro (On the ball)	Lobato, C. and Medina, R. Bilbao: Adarra.	1986
Pegada de manos (Hand game)	Lobato, C. and Medina, R. Bilbao: Adarra.	1986
Yo te percibo (I can sense you)	Lobato, C. and Medina, R. Bilbao: Adarra.	1986
Banco de enfrentar problemas (Problem bank)	Pascual, A. V. Madrid: Narcea.	1988
Consecuencias de mis actos (Consequences of my acts)	Pascual, A. V. Madrid: Narcea.	1988
Tu distintivo (Your badge)	Various. Madrid: Asociación Pro Derechos Humanos.	1989

Foco (Focus)	Brunet, J. J. and Negro, J. L. Madrid. San Pío X.	1989
¿Sí o no? (Yes or no?)	Chauvel, D and Michel, V. Madrid: Narcea.	1989
Teléfono (Telephone)	Chauvel, D and Michel, V. Madrid: Narcea.	1989
Árbol familiar (Family tree)	Tiedt, P. and Tiedt, I. Boston: Allyn & Bacon.	1990
Cómo me ven los demás (How others see me)	Tiedt, P. and Tiedt, I. Boston: Allyn & Bacon.	1990
Compartir sentimientos (Sharing feelings)	Machargo, E. Madrid: Escuela Española	1991
Tarjetas incompletas (Incomplete cards)	Machargo, E. Madrid: Escuela Española	1991
Extraterrestres (Extraterrestrials)	Jares, J. Madrid: CCS.	1992
Robots	Jares, J. Madrid: CCS.	1992
Técnica de la salida (Exit strategy)	Fritzen, S. J. Santander: Sal Terrae.	1992
Vamos de vacaciones (Let's go on holiday)	Jares, J. Madrid: CCS.	1992
Autobiografía (Autobiography)	Seminario de Educación para la Paz (Education for Peace Seminar). Madrid: Catarata.	1994
Bazar mágico (Magic Bazaar)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Escucha activa (Active listening)	Colectivo Armani. Madrid: Popular.	1994
Frases incompletas (Incomplete sentences)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Mi futura casa (My future home)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Sherlock Colmes	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Escucha activa (Active listening)	Colectivo Amani. Madrid: Popular.	1994
Gafas maravillosas (Wonder glasses)	Colectivo Amani. Madrid: Popular.	1994
Palabras cruzadas (Crosswords)	Seminario de Educación para la Paz. Valencia: Nau Llibres.	1994
Palabras y gestos asesinos (Deadly words and gestures)	Ortega, P., Mínguez, R. and Gil, R. Valencia: Nau Llibres.	1994
Trip, el gusano viajero (Trip the travelling worm)	Manos Unidas. Madrid	1995
Educar en la calle (Educating in the street)	Manos Unidas. Madrid	2007
Párate a pensar. El valor de la atención (Stop and think. The value of attention)	Aldeas Infantiles. SOS. España	2014
Párate a pensar. El valor de la atención (Stop and think. The value of attention)	Aldeas Infantiles. SOS. España	2014

It is curious that the interviewed teachers did not consider the individual dimension to be relevant in promoting values education. Only 10% of the teachers deemed it relevant, even stating, in one case, that "*the important thing in values education is respect for the rules and respect for others*" (P2), or, in another, that when choosing a programme for the school "*the dimensions that it addresses are not taken into account, rather that it is entertaining and teaches them respect*" (P5).

In relation to the indicators of this study, this group of programmes that were designed to develop knowledge of self and of others gave the following results. See Table 3.

Table 3. Development indicators for programmes on knowledge of self and of others

INDICATORS	LEVELS				
	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	0 0%	1 3.2%	2 6.5%	16 51.6%	12 38.7%
Promote values and attitudes	0 0%	2 6.5%	8 25.8%	17 54.8%	4 12.9%
Adapted to curriculum	10 32.6%	14 45.2%	7 22.6%	0 0%	0 0%
Favour the holistic development of the student	1 3.22%	2 6.5%	9 29.0%	17 54.8%	2 6.5%
Encourage the participation of the educational community	16 51.6%	4 12.9%	8 25.8%	2 6.5%	1 3.2%

In the case of the programmes designed to develop knowledge of self and of others, it was observed that these programmes taught social realities from different points of view, inviting students to voice their opinions (51.6%), that they encouraged the formative development of values and attitudes (54.8%), made use of preestablished, rigid curricula (45.2%) and provided instruction on the importance of holistic development (54.8%). With regard to encouraging community participation, 51.6% did not include the community dimension, compared with 12.9% who did so in cursory fashion.

4.1.2 Respect for difference and non-discrimination.

One of the most important aspects for teachers is undoubtedly respect for difference and non-discrimination. Many of the programmes analysed addressed this aspect, as can be seen in Table 4. From the point of view of the teachers "*it is not only about teaching students a particular specialty, but about educating citizens of the future so that they can live with other cultures and in other cities*" (P7). Respect for difference is essential for peaceful coexistence, hence "*the school has an obligation to encourage it in the classroom, educating in the diversity of the classroom reality*" (P10).

Table 4. Projects to promote attitude change and values education: Discrimination

Title	Author, city and publisher	Year
Zurdos son diferentes (Lefties are different)	Cratty, B. J. México. Pax	1986
Análisis de comics (Analysing comics)	Tuvilla, J. Madrid: CCS	1993
Candidatos a viaje especial (Candidates for space travel)	Tuvilla, J. Madrid: CCS	1993
Casos de racismo (Cases of racism)	Tuvilla, J. Madrid: CCS	1993
La conejita Marcela (Marcela the bunny rabbit)	Tuvilla, J. Madrid: CCS	1993
Racismo (Racism)	Tuvilla, J. Madrid: CCS	1993
Solidaridad frente a racismo (Solidarity against racism)	Martín Sánchez, J. Madrid.: Centro de Profesores Latina.	1993
Día de la solidaridad (Solidarity Day)	International Cooperation. Madrid	1993
¿Puedo entrar? (Can I come in?)	Colectivo Armani. Madrid: Popular.	1994
Marginar va contra derechos humanos (Marginalising goes against human rights)	Upper school teaching unit. Bilbao: Justicia y paz.	1994
Cintas de prejuicios (Tapes of prejudice)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
¿Puedo entrar? (Can I come in?)	Colectivo Amani. Madrid: Popular	1994
Cine contra el racismo (Cinema against racism)	Rodríguez Rojo, M. Barcelona: Oikos-Tau.	1995
Aprender a convivir (Learning to live together)	Pérez González, M. J. Madrid: Santillana.	1995
Nos conocemos, nos apreciamos (We know and appreciate each other)	Carbonel, I. and Davó, M. C. Madrid: Santillana.	1996
Educar sin barreras (Educate without barriers)	Manos Unidas. Madrid	2007
Un mundo para cada uno (A world for everyone)	Sorbías, S. Madrid: Narcea.	1995
Un mundo para cada uno (A world for everyone)	Sorbías, S. Madrid: Narcea.	1995
Apadrinamiento entre niños (Sponsorship among children)	Ayuda en Acción	2013
Ahora toca (Now it's your turn)	Ayuda en Acción	2013
Los valores: una experiencia de cine (Values: a cinema experience)	BNP. Paribas. Madrid.	2013
Aulas del siglo XXI. Innovación educativa. Grupos cooperativos. Tics, tareas y proyectos. (21st century classrooms. Educational innovation. Cooperative groups. ICTs, tasks and projects.)	FAD Teacher Action Prize. Madrid.	2014

As Arnaiz (2012) contended, it is possible to educate and prevent discrimination in the classroom by discussing discriminatory situations, trying to show students the value of difference and instilling respect for gender, race or religion, etc.

In relation to the indicators of this study, this group of programmes that were designed to teach respect for difference and non-discrimination gave the following results. See Table 5.

Table 5. Development indicators for programmes on respect for difference and non-discrimination

INDICATORS	LEVEL				
	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	0	1	3	14	4
	0%	4.5%	13.6%	63.6%	27.3%
Promote values and attitudes	0	2	2	14	4
	0%	9.1%	9.1%	63.6%	18.9%
Adapted to curriculum	7	14	1	0	0
	33.3%	63.6%	4.8%	0%	0%
Favour the holistic development of the student	1	2	2	17	0
	4.5%	9.0%	9.0%	77.2%	0%
Encourage the participation of the educational community	15	3	2	1	1
	68.2%	13.6%	9.1%	4.5%	4.5%

In the case of the programmes designed to address discrimination, it was observed that these programmes were based on social realities in order to make them known and to create a climate of opinion among students (63.6%), that they encouraged the formative development of values and attitudes (63.6%), made use of preestablished, rigid curricula (63.6%), and taught with a view to the holistic development of the students (63.6%). With regard to encouraging community participation, 68.2% did not include the community dimension.

4.1.3 Interculturality

The development of these programmes arose from two basic premises (Romero, 2014): the right of all children to a quality education and the importance of taking into account the cultural diversity that characterises us all. See Table 6.

Table 6. Projects to promote attitude changes and values education: Interculturality

Title	Author, city and publisher	Year
Solidaridad (Solidarity)	Palos, J. et al. Barcelona: Intermón-Octaedro.	1995
Los cuatro viajeros en el Aquarium (The four travellers in the aquarium)	Asha Miró	2003
Hagamos un poco de historia (Let's make some history)	Sodepan. Madrid. Catarata.	2003
Acerquémonos a... (Let's get closer to...)	Sodepan. Madrid. Catarata.	2003
Una cultura más próxima de lo que pensamos (A closer culture than we think)	Sodepan. Madrid. Catarata.	2004
Y ahora, ¿qué? (And now what?)	Sodepan. Madrid. Catarata.	2004
Palabras con sentido (Meaningful words)	Vega, F. Cano, J. P. Madrid.	2004
Educar para la reinserción (Educating for reintegration)	Manos Unidas. Madrid	2007
"La ciudad soñada" Educ-Arte ("The dream city" Educ-Arte)	Fundación Yehudi Menuhin España	2014

From the analysis of these programmes it was observed that they began by defining the concepts of culture (focusing on the field of education) and interculturality, the latter referring to interaction, negotiation and enrichment between different cultures. Moreover, the multiculturalism approach alluded to the existence of diverse cultures (multicultural contexts), but without the communication process focused on identifying that multiculturalism without delving any further and without arousing an interest in sharing and enriching other cultures. One teacher affirmed that "*the important thing was to know other cultures and that is why it is important to travel*" (P3).

In relation to this dimension we consider that:

(…) the role of the school should be to address cultural differences in order to work coherently on equal rights and social participation, because this ensures the success of essential educational objectives, i.e. construction of identity and equal opportunities. To achieve this goal it is important to become aware that education, if not intercultural, is not an education. It is necessary to adopt a position in which interculturality is a model and in

which difference is the norm, promoting exchanges between groups so that, in this way, it becomes possible to create spaces where interconnections are established (Repetto & Carvalho, 2015, p. 60).

The indicators of this study for the group of programmes that were designed to tackle interculturality gave the following results. See Table 7.

Table 7. Development indicators for programmes on interculturality

INDICATORS	LEVELS				
	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	0	0	3	6	0
	0%	0%	33.3%	66.7%	0%
Promote values and attitudes	0	0	1	7	1
	0%	0%	11.1%	77.8%	11.1%
Adapted to curriculum	2	4	2	1	0
	22.2%	44.4%	22.2%	11.1%	0%
Favour the holistic development of the student	1	2	1	5	0
	11.1%	22.2%	11.1%	55.5%	0%
Encourage the participation of the educational community	6	2	1	0	0
	66.7%	22.2%	11.1%	0%	0%

In the case of the programmes designed to address this area, it was observed that these programmes were based on social realities with the aim of generating opinions and points of view that were different from those realities (66.7%), that they encouraged the formative development of values and attitudes (77.8%), that they did not include content that was sufficiently adapted to school curricula (22.2%) or simply made use of preestablished, rigid curricula (44.4%), and that they taught with a view to the holistic development of the students (55.5%). With regard to encouraging community participation, 66.7% did not encourage the community dimension.

4.1.4 Conflict

Coexistence is one of the most important aspects of human relationships. Disagreements, disputes and situations can arise as a natural manifestation of these relationships, potentially leading to interpersonal conflict. For this reason, we believe that coexistence and conflict occupy the same stage. But we cannot ignore that we live in a society where conflicts are sometimes resolved violently and, although violent situations appear in isolation, we cannot deny that they exist. The role of prevention as a tool for improving coexistence is essential for achieving a suitable climate for relationships. See Table 8.

Table 8. Projects to promote attitude change and values education: Conflict

Title	Author, city and publisher	Year
Aguantar el muro (Enduring the wall)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Consejo escolar (School council)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Fumadores (Smokers)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Paz (Peace)	Tuvilla, J. Madrid: CCS	1993
Pelea en la escuela (Conflict at school)	Hicks, D. Madrid: MEC- Morata.	1993
Tarjetas de conflictos (Conflict cards)	Tuvilla, J. Madrid: CCS	1993
Collage en competición (Collage competition)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Palabras cruzadas (Crosswords)	Seminario de Educación para la Paz. Valencia: Nau Llibres.	1994
Jornada de Katy (Katy's day)	Hicks, D. Madrid: MEC- Morata.	1993

In relation to this area, one interviewee (P8) said "I'm tired of punishing them when they fight, punishment does not in itself prevent the appearance of conflict, so the children show aggressive behaviour toward their peers again and again". It is necessary to provide children with tools and resources for positive and successful interaction that prevents the appearance of conflict (Pérez-Jorge, 2010b).

The indicators of this study for the group of programmes that were designed to tackle conflict gave the following results. See Table 9.

Table 9. Development indicators for programmes on conflict

	LEVELS				
INDICATORS	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	1	1	0	6	0
	10.0%	10.0%	0%	60.0%	0%
Promote values and attitudes	0	0	3	6	1
	0%	%	30.0%	60.0%	10.0%
Adapted to curriculum	0	7	2	1	0
	0%	70.0%	20.0%	10.0%	0%
Favour the holistic development of the student	1	1	0	8	0
	10.0%	10.0%	0%	80.0%	0%
Encourage the participation of the educational community	6	1	3	0	0
	60.0%	10.0%	30.0%	0%	0%

In the case of the programmes designed to address conflict, it was observed that they were programmes based on dissimilar social realities with the aim of generating different opinions and views (60.0%), that they encouraged the formative development of values and attitudes (60.0%), that, informatively, they included the curriculum areas from which educational intervention should be addressed (70.0%) and that they taught with a view to the holistic development of the students (80.0%). With regard to encouraging community participation, 60.0% did not include the community dimension.

4.1.5 Values Education

A quality education should look more to quality in terms of human values than the quality of instruction. In today's global society, personal relationships and what is now termed social competence are key to improving the quality of relationships between people and, especially, between children. This social dimension establishes a significant part of the educational goals that lie on the social horizon of a democratic state governed by the rule of law. To teach values is to teach solidarity and freedom. The substrate that sustains the basic pillars of education is ethical. Hence:

> (…) each individual educates himself or herself, discovering values with their own experiential freedom in the family, at school, in the street, on television and other media. The people most meaningful to the child or young person are those who have the greatest influence on their experience of values: parents, teachers, educators, tutors... And once internalised, values become guiding principles that map out guidelines for coherent behaviour. They become ideals that indicate the way forward. (Martín, 2011, p.127).

Thus, these programmes focused on teaching children the meaning of their actions, on making the right decisions, on taking responsibility for their own actions and accepting the consequences.

Many of the teachers indicated that education primarily "has to teach children to be people" (P12), to "live in harmony and respect" (P16), to "be critical in order to know how to make a decision" (P17), to "learn to appraise oneself and others" (P11), being sure "always to promote equality and respect for the other and for others" (P19).

The variety of programmes found in relation to this area made it clear that it is one of the prevalent areas considered when designing intervention plans. See Table 10.

Table 10. Projects to promote attitude change and values education: Values Education

Title	Author, city and publisher	Year
Análisis de valores (Analysis of values)	Puig, J. M. and Martínez, M. Barcelona: Laertes.	1989
Simulación (Simulation)	Puig, J. M. and Martínez, M. Barcelona: Laertes.	1989
Corro de la tarde (Group circle in the afternoon)	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Nudos de manos entrelazadas (Hand clasping)	Pulet, R. Archidona: Aljibe.	1995
Habilidades socials (Social skills)	Puig, J. M. Barcelona: ICE-Horsori.	1995
Modelado (Modelling)	Puig, J. M. and Martínez, M. Barcelona: ICE-Horsori.	1995
Hacer para aprender (Do to learn)	International Cooperation. Madrid.	1998
Deuda externa. ¿Deuda externa? (External debt. External debt?)	Manos Unidas. Madrid	2001
Los rostros de la violencia (The faces of violence)	Manos Unidas. Madrid	2001

Religiones; aprender a caminar en paz (Religions; learn to walk in peace)	Manos Unidas. Madrid	2002
Razones para la guerra, razones para la paz (Reasons for war, reasons for peace)	Manos Unidas. Madrid	2002
El señor de los mosquitos; La comunidad de las moscas (The lord of the mosquitoes; the fellowship of flies)	Manos Unidas	2003
El desarrollo, camino para la Paz (Development, the path to Peace)	Manos Unidas. Madrid	2003
Ojos que sí ven (Eyes that see)	Willians Ramos, J. Madrid.	2004
El señor de los mosquitos; Los dos taros (The lord of the mosquitoes; the two jars)	Manos Unidas. Madrid	2004
Globalicemos la solidaridad (Let's globalise solidarity)	Manos Unidas. Madrid	2004
El señor de los mosquitos; El retorno de la ley. (The lord of the mosquitoes; the return of the law.)	Manos Unidas. Madrid	2005
Norte-Sur; un futuro común (North-South; a shared future)	Manos Unidas. Madrid	2005
El derecho a la alimentación (The right to food)	Manos Unidas. Madrid	2005
Cuidadores de toda la creación (Carers of all creation)	Manos Unidas. Madrid	2006
Sabes leer, ellos no. Podemos cambiarlo (You can read, they cannot. We can change that)	Manos Unidas. Madrid	2007
Educar para la Paz (Educating for Peace)	Manos Unidas. Madrid	2007
Educar en la discapacidad (Educating about disability)	Manos Unidas. Madrid	2007
Educación sin discriminación (Education without discrimination)	Manos Unidas. Madrid	2007
Vidas minadas, diez años después (Mined lives, ten years later)	Manos Unidas. Madrid	2007
Educación para las minorías (Education for minorities)	Manos Unidas. Madrid	2007
Lograr la educación primaria universal (Achieving universal primary education)	Manos Unidas. Madrid	2008
Madres sanas, derechos y esperanzas (Healthy mothers, rights and hopes)	Manos Unidas. Madrid	2008
Sumando valores: bondad+ diálogo=Paz (Adding values: kindness + dialog = Peace)	Aldeas Infantiles. SOS. España	2009
Me gustaría saber más sobre residuos (I want to know more about waste)	Aldeas Infantiles. SOS. España	2009
Yo colaboro con el medio ambiente (I help with the environment)	Aldeas Infantiles. SOS. España	2010
El valor de reflexionar, de colaborar y de compartir (The value of reflecting, collaborating and sharing)	Aldeas Infantiles. SOS. España	2010
Seamos sostenibles (Let's be sustainable)	Aldeas Infantiles. SOS. España	2011
El 4º Hocico (The 4th Snout)	Bona, García, C. ed. Atagón.	2011
La paciencia, la escucha y la sostenibilidad (Patience, listening and sustainability)	Aldeas Infantiles. SOS. España	2011
El valor de la autonomía, la amabilidad y la libertad (The value of autonomy, kindness and freedom)	Aldeas Infantiles. SOS. España	2012
Abraza tus valores, autonomía, amabilidad y libertad (Embrace your values, autonomy, kindness and freedom)	Aldeas Infantiles. SOS. España	2012
Abraza tus valores. El valor de la familia (Embrace your values. The value of family)	Aldeas Infantiles. SOS. España	2013
Abraza tus valores. El valor de la atención (Embrace your values. The value of attention)	Aldeas Infantiles. SOS. España	2014
"Formación profesorado (CEIP): Escuelas creativas, espacios saludables. "Cine y Valores: Proyecta tu futuro" ("Teacher Training (CEIP): Creative schools, healthy spaces. "Cinema and values: project your future")	Santa Cruz de Tenerife Town Council	2013
Menudo Dilema (What a dilemma)	Aldeas Infantiles. SOS. España	2014
El banco del tiempo del principito (The Little Prince's time bank)	FAD Teacher Action Prize. Madrid.	2014
El trébol de la paz: cuido de mi mismo, cuido de los demás, cuido de lo que me rodea. (Peace clover: I care for myself, I care for others, I care for my surroundings.)	FAD Teacher Action Prize Special Mention. Madrid.	2014
Proyecto solidario Telopido ("Telopido" charity project)	FAD Special Mention "families". Madrid.	2014

Mamá, papá acompáñame a aprender (Mum, Dad, come learn with me)	FAD Teacher Special Mention. Madrid.	2014
Nosotros contamos. Una experiencia de escuela inclusiva. (We count. An inclusive school experience.)	FAD Teacher Special Mention. Madrid.	2014
Valores de futuro BBVA (BBVA future values)	Fundación BBVA. Madrid.	2014
E2=Educación +Energía (E2=Education + Energy)	Fundación Repsol and National Library of Spain	2014
Red canaria de escuelas promotoras de salud (RCEPS) (Canary Islands network of health promoting schools)	Canary Islands Government	2014
Párate a pensar. El valor de la familia (Stop and think. The value of family)	Aldeas Infantiles. SOS. España	2015
"Necesidades, Derechos y Cooperación al Desarrollo de la Infancia" ("Needs, Rights and Development Cooperation for Children")	UAM and UNICEF España	2014
Máster Universitario en Cooperación Internacional Descentralizada: Paz y Desarrollo (Master in Decentralised International Cooperation: Peace and Development)	UNICEF País Vasco	2014
"Proyecto MUS-E" ("MUS-E Project")	Fundación Yehudi Menuhin España	2014
AMALGAMA: Programa de educación en Valores y profesorado de 1º de ESO (AMALGAMA: values education programme 1st yr secondary school)	Equality service of Department for youth, sports, road education and safety, Lanzarote Island Council	2013
"Educar en familia" ("Educating in the family")	Santa Cruz de Tenerife City Council, Autonomous Sports Bodies.	2015
"Escuelas por un Desarrollo Sostenible" ("Schools for Sustainable Development")	Santa Cruz de Tenerife City Council, Fundación Santa Cruz Sostenible and Fundación DISA	2014
"Educar la Paz, la solidaridad y los Derechos Humanos" ("Educating Peace, Solidarity and Human Rights")	Canary Islands Association of Teachers for Peace and Solidarity	2012
"Juguemos a ser una asociación" ("Let's play at being an association")	Youth Department, Los Realejos Town Council	2010
PartiSipación (Participation, yes.)	Youth Department, Los Realejos Town Council	2013
Red canaria de centros educativos para la sostenibilidad (Canary Islands network of schools for sustainability)	Canary Islands Government	2014
Personas + Sostenibles. Islas ecológicas didácticas (+ Sustainable People. Didactic eco-islands)	Tenerife Island Council. Canary Islands Government	2013
"La jornada solidaria del CEIP Gran Canaria. Un proyecto de escuela y familia" ("CEIP Day of solidarity Gran Canaria. A project for school and family")	Educational community	2010
Abraza tus valores. El valor de la familia (Embrace your values. The value of family)	Aldeas Infantiles. SOS. España	2013
Abraza tus valores. El valor de la atención (Embrace your values. The value of attention)	Aldeas Infantiles. SOS. España	2014

The indicators of this study for the group of programmes that were designed to tackle the development of human values gave the following results. See Table 11.

Table 11. Development indicators for programmes on human values

	LEVELS				
INDICATORS	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	6	10	7	37	5
	9.3%	15.4%	22.6%	56.9%	7.7%
Promote values and attitudes	0	2	18	42	3
	0%	3.1%	27.7	64.6%	4.6%
Adapted to curriculum	17	39	6	3	0
	26.2%	60.0%	9.2%	4.6%	0%
Favour the holistic development of the student	7	5	12	39	2
	10.8%	7.7%	18.5%	60.0%	3.1%
Encourage the participation of the educational community	42	10	9	3	1
	64.6%	15.4%	13.8%	4.6%	1.5%

In the case of the programmes designed to address human values, it was observed that these programmes were based on social realities with the aim of generating different opinions and points of view (56.9%), that they encouraged the formative development of values and attitudes (64.6%) and that they did not make use of contents that were sufficiently adapted to school curricula (26.2%) or simply made use of them in an ambiguous or non-specific way (60,0%), and that they taught with a view to the holistic development of the students (60.0%). With regard to encouraging community participation, 64.6% did not address the community dimension.

4.1.6 Diversity

Melero (2001) & González (2015) contended that when teachers hear about diversity today, many think about persons with disabilities and students from other cultures and religions. Difference has become synonymous with "other", it is "what is missing from this for it to become that", a "deficiency, disability or abnormality" that makes one not efficient, valid or normal.

It is an undeniable fact that the value of diversity, and the potential that diversity brings to the teaching-learning process, has been given due recognition. This has been possible thanks to the basic principles of respect for student heterogeneity that have permeated schools in their desire to respond more adequately to their students. The framework of this reality – called inclusive education (Ainscow, Beresford, Harris, Hopkins & West, 2001; Gross, 2004; Gispert, 2008; Echeita, 2009 & Kechikian, 2015) – has led to the emergence of effective schools (Arnániz, 2011), for which the core idea is that, since all children learn differently, schools have to develop models that are responsive to their needs. Accordingly, as proposed by Pérez-Jorge (2010b) & Arnaniz (2012), a change is necessary in teaching-learning organisation and strategies in order to promote equality and equity for all children. See Table 12.

Table 12. Projects to promote attitude change and values education: Diversity

Title	Values developed	Author, city and publisher	Year
Equipo de clase con gitanos (Class team with Roma children)	Values clarification, Discrimination, Intercultural.	Buxarrais, M. R: et el. Barcelona: rosa Sensat.	1990
Frases incompletas (Incomplete sentences)	Values clarification, Discrimination, Intercultural.	Buscarais, M. R. et al. Barcelona: Rosa Sensat.	1990
Educar en la Universidad (Educating at University)	Diversity and equal opportunities.	Manos Unidas. Madrid	2007
Educación para los adultos (Adult Education)	Diversity and education	Manos Unidas. Madrid	2007
Educar en la calle (Educating in the street)	Acceptance and support	Manos Unidas. Madrid	2007
Juntos podemos (Together we can)	Social inclusion through promotion of values	FAD Teacher Special Mention. Madrid.	2014
Enamóra+E (Fall in love)	Educating for solidarity through learning	Charity project of the Ceuta educational community and Red Cross Spain	2014
Programa de intervención educativa FELGTB (FELGTB Educational intervention programme)	Fostering diversity, equal opportunities, peace, coexistence in the classroom and values education	ALGARABIA (Tenerife) and ALTIHAY (Fuerteventura)	2014

In the words of the teachers, "education in the area of diversity is essential" (P12) and they argued that "coexistence within diversity offers opportunities for both students who are from a diverse background and those who are not" (P14). They felt that the context of "a diverse school is the context closest to the reality that students will face when they enter society" (P8) and therefore it "is that which gives the best guarantees for achieving true inclusion in school and society" (P6).

The indicators of this study for the group of programmes that were designed to tackle diversity gave the following results. See Table 13.

Table 13. Development indicators for programmes on diversity

INDICATORS	LEVELS				
	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	1 12.5%	1 12.5%	2 25.0%	4 50.0%	0 0%
Promote values and attitudes	0 0%	1 12.5%	3 37.5%	4 50.0%	0 0%

Adapted to curriculum	2	5	1	0	0
	25.0%	62.5%	12.5%	0%	0%
Favour the holistic development of the student	0	0	2	6	0
	0%	0%	25.0%	75.0%	0%
Encourage the participation of the educational community	5	2	1	0	0
	62.5%	25.0%	12.5%	0%	0%

In the case of the programmes designed to address diversity, it was observed that these programmes were based on social realities with the aim of informing and educating about the reality of diversity (75.0%), that they encouraged the formative development of values and attitudes (50.0%), that their contents were not sufficiently adapted to school curricula (62.5%), and that they taught with a view to the holistic development of the students (75.0%). With regard to encouraging community participation, 62.5% did not explicitly include the community dimension.

4.1.7 Development cooperation

One of the objectives of education is to create citizens who are committed to peace, respect for human rights, community life, social cohesion, cooperation and solidarity amongst peoples. It also aspires to enable them to acquire values conducive to respect for living beings and the environment, in particular, understanding the value of forest areas and sustainable development.

Mendoza, Romero & Wetshokonda (2015) believe that there is an inextricable link between education and development, since both reflect the moral character of humans. In education, any action is imbued with a conception of the person, and from this, certain values are promoted that affect the environment. Therefore any action that has a bearing on the environment will be mediated from the plane of acquired values, affecting or promoting changes and improvements. See Table 14 for the programmes developed in this area of intervention.

Table 14. Projects to promote attitude change and values education: Development Cooperation

Title	Values developed	Author, city and publisher	Year
Isla desierta (Desert island)	Cooperation, conflict	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Labradores (Labourers)	Development, conflict	Seminario de Educación para la Paz. Madrid: Catarata.	1994
Historia de burros (History of donkeys)	Cooperation and conflict.	Linares, J. Orihuela: C.E.P.	1993
Programa Sersak (Sersak programme)	Human rights	International Cooperation. Madrid	1997
Jornada de Educación para el desarrollo (Day of Education for Development)	Education for development	International Cooperation. Madrid.	2000
La salud en el mundo (Health in the world)	Human rights	Manos Unidas. Madrid	2001
Refugiados y desplazados; huir para sobrevivir (Refugees and displaced persons; flee to survive)	Human rights	Manos Unidas. Madrid	2002
La vida es antes que la deuda (Life before debt)	Human rights and education	Manos Unidas. Madrid	2006

In the words of the teachers, although they considered this aspect fundamental for the education and development of children, "*this dimension is addressed specifically from areas of the curriculum*" (P1), since "*from my point of view it is easier to focus on and analyse the human consequences when we value scientific, historical, fact, etc*" (P5). Thus "*I think that the student is presented with a more understandable reality*" (P17).

The indicators of this study for the group of programmes that were designed to tackle development cooperation gave the following results. See Table 15.

Table 15. Development indicators for programmes on development cooperation

	LEVELS				
INDICATORS	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	0	0	2	6	0
	0%	0%	25.0%	75.0%	0%
Promote values and attitudes	0	0	1	7	0
	0%	%	12.5%	87.5%	0%
Adapted to curriculum	2	5	1	0	0
	25.0%	62.5%	12.5%	0%	0%

Favour the holistic development of the student	0 0%	1 11.1%	2 22.2%	5 62.5%	0 0%
Encourage the participation of the educational community	6 75.0%	2 25.0%	0 0%	0 0%	0 0%

In the case of the programmes designed to address the area of development cooperation, it was observed that they were programmes based on social realities with the aim of generating different opinions and views (75.0%), that they encouraged the formative development of values and attitudes (87.5%), that they included content that was insufficiently adapted to school curricula (62.5%), and that they taught with a view to the holistic development of the students (62.5%). With regard to encouraging community participation, 75.0% did not include the community dimension.

4.1.8 Equality

The central premise of equality is all schools being able to offer quality education that provides equal opportunities to all children, regardless of their capacities, their physical traits, their sex, race or social class. Education in and for equality is a dynamic concept that evolves in parallel with society. According to the Instituto de la Mujer (Spanish National Women's Institute) (2008) Education for Equality is the current pedagogical approach that responds to the demand for equality as espoused by feminist theory, which proposes a reformulation of the model of transmission of knowledge and ideas in social spaces for training and learning from a gender perspective. In this regard, the proposal from the perspective of inclusion and respect for diversity would contain the basic principle of non-discrimination on grounds of sex (Pérez-Jorge, 2010).

However, despite this fact, programmes that placed special emphasis on this dimension were found. See Table 16.

Table 16. Projects to promote attitude change and values education: Equality

Title	Values developed	Author, city and publisher	Year
Cómo educar en valores (How to teach values)	Co-education	Paniego, J. A. Barcelona: Graó.	1999
Educación y nuevas tecnologías (Education and new technologies)	Equality and education	Manos Unidas. Madrid	2001
Educar en derechos (Teaching rights)	Rights and equality	Manos Unidas. Madrid	2007
Educar a las niñas, educar en futuro (Educating girls, educating the future)	Equality and education	Manos Unidas. Madrid	2007
DetecAmor	Educational dialogue. Equality.	IAM. Sevilla	2014
Proyecto Guaxara 2.0 (Guaxara 2.0 project)	Education for Equality	Asociación Mercedes Machado	2013
Proyecto Espabilando (Get smart project)	Education for Equality	Department for Youth Education and Equality, Tenerife Island Council	2013
Red canaria de escuelas por la igualdad (Canary Islands network of schools for equality)	Education for Equality	Canary Islands Government	2014 2015

The interviewed teachers said that "at present I do not place particular emphasis on highlighting the idea of respect for gender" (P19), and one of the teachers specified that "today in school girls are not discriminated against because of their condition" (P4). "Girls play and participate in the same activities as boys" (P14), and they also stated that "there are other reasons for which I do see peers making fun of each other, like clothes, dress sense or tastes" (P2).

The indicators of this study for this group of programmes gave the following results. See Table 17.

Table 17. Development indicators for programmes on equality

	LEVELS				
INDICATORS	Absent	Passive	Informative	Formative	Transformative
Based on problems of social reality	1 12.5%	1 12.5%	1 12.5%	5 62.5%	0 0%
Promote values and attitudes	0 0%	1 12.5%	2 25%	5 62.5%	0 0%
Adapted to curriculum	1 12.5%	7 87.5%	0 0%	0 0%	0 0%
Favour the holistic development of the student	0 0%	1 12.5%	1 12.5%	6 75.0%	0 0%

Encourage the participation of the educational community	7 87.5%	1 12.5%	0 0%	0 0%	0 0%

In the case of the programmes designed to address equality, it was observed that they were programmes based on social realities with the aim of educating (62.5%) to engender equality, that they encouraged the formative development of values and attitudes (62.5%), that they included content that was insufficiently adapted to school curricula (87.5%), and that they taught with a view to the holistic development of the students (75.0%). With regard to encouraging community participation, 87.5% did not explicitly address the community dimension.

Taking into consideration the dimensions addressed by the programmes, the indicators for each dimension were then compared.

a) *Based on problems of social reality (1).* Generally a tendency to address this indicator was observed, mainly at the formative level: social reality was presented as something dynamic, changing and interactive that can be changed. The programmes thus invited the students to voice their opinions and assimilate different points of view. See Figure 1.
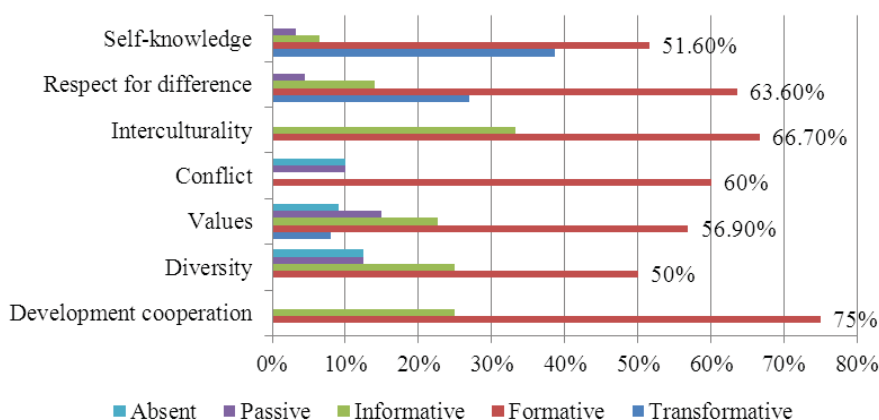
Figure 1. Development levels for indicator 1

b) *Promote values and attitudes (2).* A formative approach to this indicator was generally observed in the way that values and attitudes were presented as something dynamic. The programmes used reflection and analysis to promote the need to change and adapt values and attitudes as a way of creating a more just and democratic society. See Figure 2.
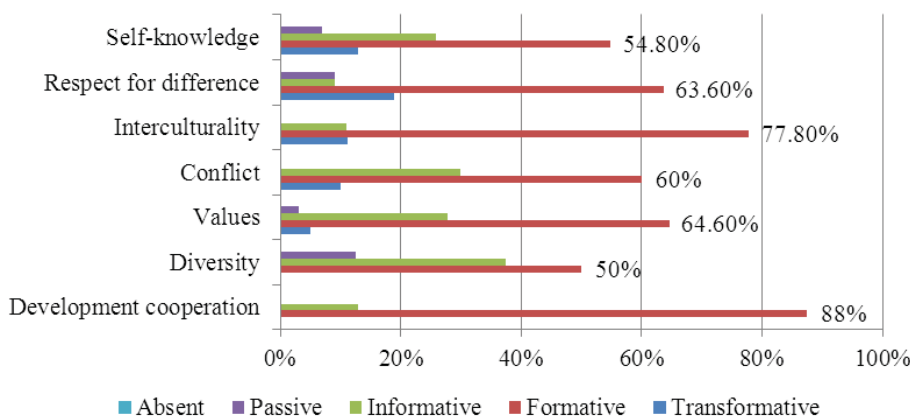
Figure 2. Development levels for indicator 2

c) *Adapted to curriculum (3).* The programmes designed to work on values in school were created to align with the curriculum design of the educational stages for which they were intended. They were therefore based on a deterministic approach, conditioned by curriculum designs. Their contents are fixed and must be accepted as they are presented; they are unchanging and perpetuated as such. See Figure 3.
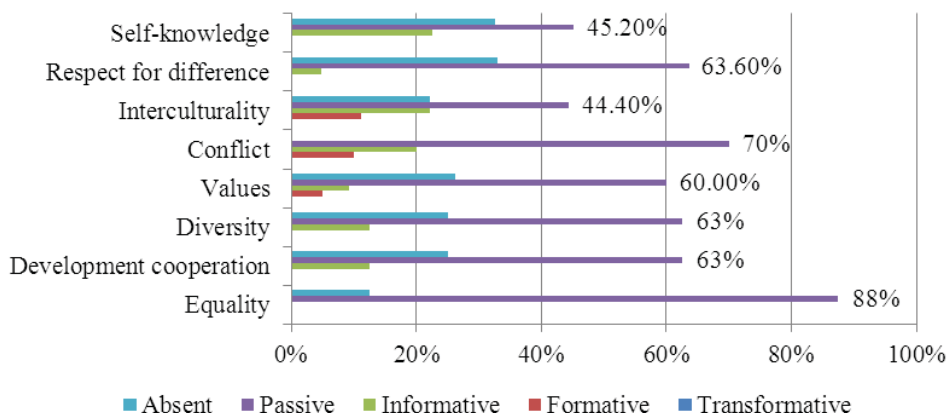
Figure 3. Development levels for indicator 3

d) *Favour the holistic development of the student (4).* A formative approach to this indicator was generally observed in the way that values and attitudes were presented as something dynamic. The programmes used reflection and analysis to promote the need to change and adapt values and attitudes as a way of creating a more just and democratic society. See Figure 4.
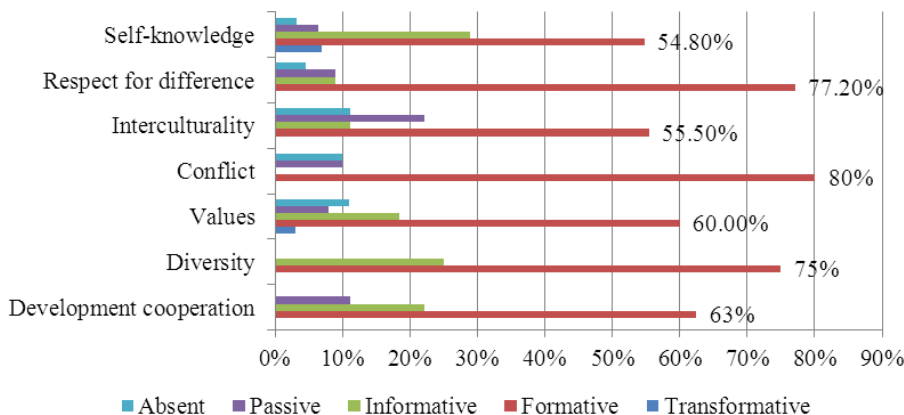
Figure 4. Development levels for indicator 4

e) *Encourage the participation of the educational community (5).* The participation and involvement of the educational community was virtually non-existent; the programmes left no room for the involvement and integration of the educational community. They were therefore programmes to be developed within individual or collective, but not community-based, models of intervention. See Figure 5.
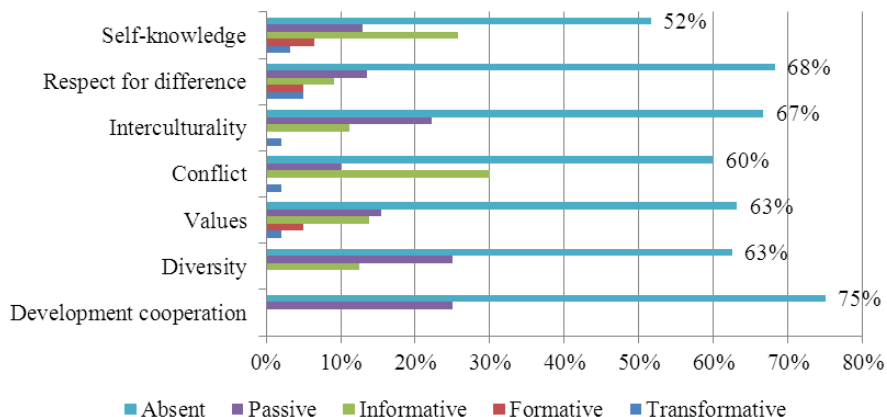
Figure 5. Development levels for indicator 5

5. Conclusions

a) A great variety of areas have been covered by programmes designed to promote attitude change and values education. The areas of knowledge of self and of others, discrimination and human values are those that have been most widely implemented by schools.

b) The evident goals of programmes to encourage attitude change and values education include the development of positive attitudes and values in students. However, despite being designed in line with the curricular structure of primary and secondary school stages, they are not included in school curricula.

c) The teachers saw serious difficulties in implementing values education programmes because they did not match the curricula at those moments that they wanted to develop them in class. One of the fundamental characteristics of the programmes was their cross-cutting nature, despite the fact that they are designed mainly to work with curricula. They were not used often by teachers, who admitted to making little use of them. The programmes were used only very sporadically and on an ad-hoc basis, on special days such as Hunger Day, Peace Day, etc.

d) Recognition of the fact that values education is taught to coincide with specific facts or days, such as Peace Day or International Workers' Day, makes educational intervention isolated and detached from reality. Perhaps it is necessary to rethink how values are taught: analysis of the programmes that have been implemented in Spain for the past 29 years shows that there is an ongoing concern about addressing this issue and that projects organised in parallel to school have continued to emerge to meet a clear need. This may be the result of the deficiencies in values education offered to children by schools.

e) Perhaps the inability of these programmes to identify with school reality and the characteristics of the students have been a significant obstacle to including the contents of these programmes in educational programming. However, we may be witnessing a process of teacher deskilling which has converted them into executors of curricula designed by publishers.

f) An approach to values from the different areas would enable education to be structured and oriented around a range of specific values, which would confer greater meaning on the education itself since it would be brought closer to contexts that are more tangible and real. The crisis of values suffered by today's society, especially by young people, is not down to chance; a change of educational paradigm is becoming increasingly necessary. It is no longer enough to teach knowledge, and the school must educate by promoting moral growth and values education, making educational practice a comprehensive formative action that encompasses knowledge, feeling and action.

g) It is necessary for schools to adopt methodological models that are promoted through these programmes to encourage new ways of sharing and communicating in a suitable, non-hostile climate; a place where people can reflect on ways to feel, think and act.

h) Values education programmes should be part of the personal instruction of students because of their positive influence on learning, and the motivation and stimulation that they engender amongst children.

i) In our search for the path of least resistance, we often forget what we all know: that when we learn, many emotional and relational aspects come into play. Therefore, proposing activities that introduce quality changes in the overall education of children, both in terms of what they have to learn and what it teaches them to be, would guarantee success in their learning, in building their own self-concept as an individual, in the transformation of attitudes towards diversity and towards the other, and in their confidence to deal with the challenges of life from an ethical, egalitarian and transforming position.

j) The formative aspects revealed by the development indicators for the different areas of the analysed programmes denote a somewhat unchanging approach to the values promoted and addressed by these programmes. Their dynamic and interactive approach to reality offers the possibility of showing it from different points of view, allowing children to comment on it. Few of the analysed programmes have presented a transformative vision that invites children to question reality, encouraging a critical vision and engaging them with the need to generate personal and social change.

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Thai Traditional Hanging Garland Decoration to the Pattern Design Adapted on Suan Sunandha Rajabhat University Souvenir

Rosjana Chandhasa[1]

[1] Faculty of Industrial Technology, Department of Industrial Design, Suan Sunandha Rajabhat University, Thailand

Correspondence: Rosjana Chandhasa, Faculty of Industrial Technology, Department of Industrial Design, Suan Sunandha Rajabhat University, Thailand. Tel: 66-955-181-285. E-mail: rosjana.ch@ssru.ac.th

Abstract

The study aimed to analyze the Thai traditional hanging garland decoration for modeling in the pattern design adapted on a souvenir item, as well as to evaluate the souvenir pattern design result. In regard to the research process, the researcher initially applied the mixed method in learning and investigating information by using qualitative research. Additionally, the researcher used quantitative research in souvenir pattern design assessment. The area delimitation of this study was a souvenir shop in Suan Sunandha Rajabhat University, as well as Suan Sunandha royal residence where Thai traditional hanging flower decoration models were gathered. Another delimiting factor was the sample which consisted of 3 design experts (post evaluation), 10 souvenir shopkeepers (post evaluation), and 100 consumers (pre- and post-questioning) using the accidental sampling method at the souvenir shop in order to evaluate the satisfaction towards souvenir design. Furthermore, the research instruments consisted of a literature review, in-depth interviews, questionnaires and evaluation formats.

The research result elucidates that 10 Thai traditional suspended garland decoration motifs were collected; however, only the first motif was selected to be adapted in the pattern design since it was an original and the most-found figure. According to the pattern design development, 10 patterns were created which included: Kledgardenia net, Kra-Bueang gardenia net, Si-Dok-Si-Karn gardenia net, Jan-Krueng-Seek gardenia net, Kaew-Ching-Duang gardenia net, Daw-Kra-Jai gardenia net, Oak-Mang-Mum gardenia net, Hok-Karn-Hok-Dok gardenia net, Daw-Lom-Deaun gardenia net, as well as Lai gardenia net. Moreover, the recreated souvenir which the consumers purchase the most was a coffee mug.

The evaluation result of adapting the patterns on the coffee-mug souvenirs illustrated that there was a high level of satisfaction on the beauty involving color and pattern, there was a high level of satisfaction on size and usage, and the highest level of satisfaction regarding the product was towards marketing in selling itself, as well as representing the place identity.

Keywords: Thai Traditional Hanging Garland Decoration, Pattern Design, Souvenir

1. Introduction

The hanging floral decoration is a type of art found throughout the Ayutthaya period; nevertheless, it has become unpopular since the second discomfiture of the Ayutthaya Kingdom in the Burmese–Siamese War. Subsequently, it was rehabilitated in the early Rattanakos in the kingdom period. The important person in the florist society at that time was the Dowager Tani, who was the daughter of Chao Phraya Maha Sena (Bunnak) as well as the Phra Phutthayotfa Chulalok's concubine. She was a skillful florist who not only performed her duty, but also practiced and instructed her proficiency to His Royal Highness Prince Chat Krom Muen Surintharak's daughters and grandchildren. She had been responsible for flower arrangement until the age of King Rama V. The suspended flower decoration had been timely developed, especially by the time our country traded extensively with other countries. However, this resulted in foreign cultures seriously influencing Siamese culture, which unavoidably caused the hanging-floral-decoration reformation, as hanging garland decorations in the royal court were created in Chinese lantern shape or in European chandelier styles. The Thai traditional hanging garland decorations were made from weaving pleasing-scent flowers as a garland and shaping them in a variety of figures in order to be utilized as a residence decoration; moreover, its aromatic smell spreads when the wind wafts. Nowadays, it is increasingly hard to see because the hanging garland decoration is forgotten due to the change of the

environment.

Suan Sunandha Rajabhat University had been the Suan Sunandha royal residence, which was the inner royal court of Dusit Palace built according to the official endorsement of His Majesty King Chulalongkorn Chulachomklao in order to rest temporarily instead of visiting another city. The King advocated the idea of forestry plantations surrounded with rare flowering plants as well as fruit trees. The name of the garden is "Sunandha Garden" which came from the name of Indra who dwelled on the second heaven and it also conformed to The Beloved Queen Sunandha Kumariratana's name. The King also patronized the construction of female-royalty palaces; unfortunately, the construction was not complete due to the King's passing away. Afterwards, the cabinet decided to use the palace in contributing to education by bestowing it to the Ministry of Education, and the place was established as a national school, which retained its former name in order to be a memorial. Its title was "Suan Sunandha School" and the first school-semester was in 1937, and in the year 1975, it became "Suan Sunandha Teacher's College" according to the Teachers College Act, 1975. In 1992, His Majesty King Bhumibol Adulyadej officially bestowed "Rajabhat Institution" named as an educational statute affiliated with the Department of Teacher Education, Ministry of Education, as well as giving His Majesty's privy seal to be the symbol of the Rajabhat Institution. With the Rajabhat Institution Act, which was given on January 24th, 1995, the Suan Sunandha Teacher's College has been changed into "Rajabhat Institution." Later on 15 June 2004, the Rajabhat University Act of 1975 was published in the Government Gazette, and the Rajabhat Institution was revised into the Rajabhat University. As with the aforementioned aesthetic history, its identity can be adapted in souvenir production.

Souvenirs are an item which makes a receiver recalls a story and history of the place, so it should include the narratives about each site into the production. The researcher selected Thai traditional hanging garland decorations to the pattern design in order to be adapted on souvenirs which was another way to reveal the location's chronicles. Regarding pattern design, the characteristics of garland styles were disassembled as well as rearranged in composition to conform to each type of souvenir. In addition, the souvenir was mainly created to respond to consumers' satisfaction, such as an accessory in a clothing category or an appliance in the house and ceremony decoration category. Thus, it had to be well designed by considering its color and shape to be able to attract consumers effectively. Besides, the appliances-like equipment used in a daily life becomes popular merchandise and some pieces which are delicately and beautifully created will be collected as a souvenir instead of being utilized. According to the definition of souvenir, it is originated from various opportunities, times or places depending on the creator's purpose by defining the pattern correspondingly with the customers' demand.

The souvenir which conveys the story of each place is greatly important. Human beings are social animals who intercommunicate in one way or another through a period of time until they have a deep connection, satisfaction, social interaction among humans or attachment between humans and surroundings, such as locations, circumstances, objects, etc., which are conducive to memory, as well as recalling. Although the communicating activities end, the exhilaration is still desired to be continued, even the time passes, or because of distance which effectuates meeting, familiarity, taste and behavior similarity, necessity of interdependence, support among a group, action involving reward as a result of affection, and the like. These factors motivate creating souvenirs which people like to give to each other. Notably, human beings' brain consciously registers stories, experiences, people, as well as other things around them in a memory form. The massive accumulated data in head may lead to the confusion which is hard to organize; moreover, the remembrance may ultimately fade away as time passes. Hence, humans try to discover the ways to stimulate memory of the related stories by producing media and reminders in order to persuade people to recognize them consistently. In another word, the media and reminders are created to activate memory.

The significant reason in choosing Thai traditional hanging garland decoration was the variety of exquisite patterns of hanging decoration weaved by multicolored flowers which can be suitably adapted on souvenir products. Furthermore, they can also distinctively represent value and meaning of Thai blossoms. Consequently, the researcher would like to conserve the Thai ness of the Suan Sunandha royal residence by publicizing Thai hanging garlands used in the royal court as well as the recreated souvenirs which can more clearly illustrate and inform the university identity to students, teachers, and other people.

2. Research Objectives

1. To analyze Thai traditional hanging garland decoration for modeling in the pattern design adapted on souvenirs.

2. To evaluate the recreated pattern design of the souvenirs.

3. Research Conceptual Framework

The conceptual framework takes cultural capital to create patterns to be adapted on souvenir products.

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┌─────────────────┐      ┌─────────────────────┐
│ Thai Hanging    │      │ Pattern Design Using│
│ Garland         │ ───► │ the Repetition and  │
│ Decoration Form │      │ Rhythm Techniques   │
└─────────────────┘      └─────────────────────┘
                                   │
                                   ▼
                 ┌───────────────────────────────┐      ┌──────────────┐
                 │ Satisfaction Evaluation        │      │              │
                 │ According to the Following     │ ───► │  Souvenir    │
                 │ issues:                        │      │  Products    │
                 │ 1. Beauty and Pattern          │      │              │
                 │    Composition                 │      └──────────────┘
                 │ 2. Utility                     │
                 │ 3. Marketing                   │
                 └───────────────────────────────┘
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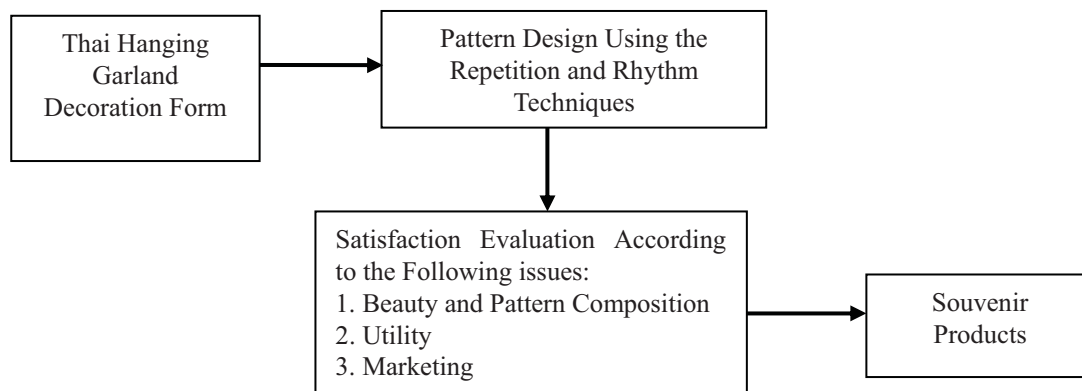
Figure 1. Conceptual Framework.

4. Research Methodology

This study applied a mixed-method-research approach by beginning with qualitative research, and using quantitative research in souvenir pattern design assessment process.

4.1 Scope of Research

The delimitation of the study included:

1. Area scope and sampling: the souvenir shops in Suan Sunandha Rajabhat University, Bangkok were sampled by using purposive sampling method. The sampling included 3 souvenir shops, as well as 10 shop members, in order to gather information about satisfaction towards souvenirs and the best seller.

2. The 3 design experts whom specialize in souvenir, were skillful, and had knowledge about product design for at least 10 years, were selected in order to consult about the design result as well as its resolution which was in accordance with the objectives and design assessment result.

3. Consumer sampling: the targeted participants included teachers, students, visitors who visited Suan Sunandha Rajabhat University and the general public, which totaled 100 persons by using convenience sampling at the souvenir shop to conduct the survey of satisfaction towards souvenir design.

4. Design limitation: the researcher created 10 souvenirs, in which new pattern design was adapted.

4.2 Research Instruments

1. Investigating data from the literature review involving Thai traditional hanging garland decoration in order to apply pattern design as well as pattern-souvenir composition arrangement.

2. Using an in-depth interview technique and a participant observation to gain information from souvenir shopkeepers regarding the management, problems of the former product, and the best-selling product.

3. Using questionnaires to derive consumers' demand (before redesign).

4. Creating patterns inspired by the characteristics of Thai traditional hanging garland decoration, and using illustrations for product presentation, as well as gathering the distributor's souvenir details.

5. Using an assessment format in order to gather consumers', shopkeepers' and specialists' opinions toward souvenir archetypes in theses following subjects: beauty and pattern composition, usage of the souvenir, as well as its marketing (after redesign).

5. Data Collection and Data Analysis

Research step 1: Preparation and Collecting data

(1) Hold a meeting to explain about the activity, preparation, and create understanding correspondingly, in order to develop Suan Sunandha Rajabhat University souvenir items.

(2) Contemplate data from the literature review, and disassemble the characteristics of Thai traditional hanging garland decorations to be adapted in the pattern design.

(3) Analyze the category of product which will be developed as souvenir archetypes by using questionnaires, an assessment format, as well as target group observation to learn about problems, solutions and market tendencies.

Research step 2: Investigating Data and Analyzing the Characteristics of Thai Traditional Hanging Garland Decoration to the Pattern Design

(1) Learning about a hanging garland decoration in the Rattanakosin-Kingdom period which evolve gradually from the Western and Chinese lamp arts. The suspended decorations have always used local natural materials, such as weaving timbers, wrapping with patterned mulberry paper or fabric and attaching tassels made of thread or silk. Additionally, most of them were colored with red and have golden alphabets. They were popularly hung at department stores, Chinese opera theaters and inns. Regarding those inside the Grand Palace, there are expensive lamps of excellent materials, and their figures and patterns are sometimes created in sphere shape, sometimes in cube shape, or even in multilevel-brunch shape. In the Emperor Qianlong Era (1736-1796), the festival of lamps, which were made of paper in various shapes, could apparently represent the cultures, as well as living. In addition, the lanterns were used widely on account of natural factors, such as wind and snowstorms. Therefore, it was necessary to produce lightened things covered with shield in order to illuminate around house or be used whilst traveling at night. Thai hanging garland decorations can be categorized into 4 sizes as follows:

1.   The tiny size of hanging decoration which its diameter is 6-15 centimeters and is 8-45 centimeters long, such as the hanging decorations weaved with thin steel wire in circle shape, square shape, bouquet shape, star shape, carp shape, golden fish shape, etc. This hanging decoration size is appropriate for teaching elementary-school-students.

2.   The small size of hanging decoration is bigger than the former. Its diameter is 20-30 centimeters and is 45-100 centimeters long, such as small flat suspended decorations in triangle shape, square shape, ladder shape, star shape, crocodile shape and fan shape. The small hanging decoration also includes the Klin-Kwum tassel garland, Chat-Kao-Chan tassel garland, globe-amaranth garland, applied lamps, and contemporary hanging garlands.

3.   The middle size of hanging garland decoration consists of float lamps and different styles of baskets. It has a bigger size which has 33-45 centimeters in diameter and 100-120 centimeters long (it had ever been classified into a large size; however, it becomes far smaller when compared with the last large size), such as the Huadtassel garland, small chandelier, Keaw-Plaeng chandelier, large chandelier (one level), Antigononchandelier, Galphimia chandelier, Petreachandelier or applied Dusit lamp baskets.

4.   The big size of hanging decoration has an extra-large scale which its diameter is 47-76 centimeters and 127-255 centimeters long, such as large chandelier (three levels), Clerodendrum chandelier, transfigured chandelier, Chinese lamp, and applied lanterns.

| Figure 2. Net Hanging Garland Decoration | Figure 3. Ladder Hanging Garland Decoration | Figure 4. Scent Hanging Garland Decoration | Figure 5. Fan Hanging Garland Decoration | Figure 6. Wimarn Hanging Garland Decoration |
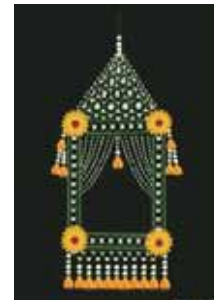
Thai traditional hanging garland decorations are classified according to the craft into 3 types which are:

1. Thai fine arts or antique handcrafts are fully decorated with Oo-ba festoons and Tad-Hu flowers which are weaved in Roi-Krong style that consists of blossoms in every part, such as Nah-Chang net, Pu-Klingarland, Wimarn-Intra garland, small chandelier, Huadtassel garland, Clerodendrum chandelier, etc.

2. Applied Thai craft or creating light lantern from a real lamp in varied styles. This kind of hanging decoration is reduced its complexity of weaving flowers in order to have a more convenient and faster production, such as sphere lamp, Chinese lamp, as well as western lamp.

3. International-Thai craft or contemporary floristry is a fresh-flower arrangement or hanging floral decoration holding its naturalness; there is no weaving as a garland before arranging, such as ellipsoidal suspended floral decoration, Sam-Pi-Nong flowery set and others which are not mentioned in this study, such as 1-2-3-leveled flower basket used for hanging on ceiling, arch and wall.

Figure 7. Tassel Hanging Garland Decoration	Figure 8. Chat Hanging Garland Decoration	Figure 9. Lamp Hanging Garland Decoration	Figure 10. Chandelier Hanging Garland Decoration	Figure 11. Bouquet Hanging Garland Decoration

(2) Conforming to the Thai traditional hanging garland decoration, the researcher targeted the characteristics of the nets, Oo-bafestoons and Roi-Krong weaving to be composited as a souvenir pattern.
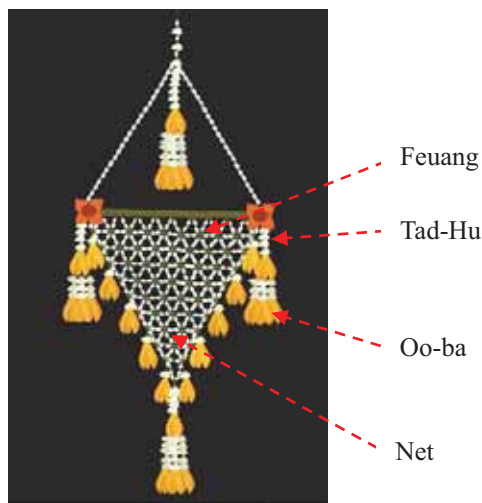
Figure 12. Nah-Chang Small-Net Hanging Garland Decoration Weaved in Cosmos Pattern

Figure 12 is a Nah-Chang Small-Net Hanging Garland Decoration Weaved in Cosmos Pattern which its composition can be divided into 4 parts including: the first part is Feuang, it is on the top, and performs as a beam of the hanging garland decoration. It is made of bamboo covered with a banana leaf. The second part called Tad-Hu, it is like ears of the hanging garland decoration in order to carry weight of Oo-bafestoons made of orchid petals. The third part is Oo-ba festoon used as fioraltessel ornaments of the hanging garland decoration attached on both sides of Tad-Hu. They are made of Calotropisas well as Champaka. Finally, the fourth part is a net functioning to lead viewers' focus with its Cosmos pattern made of Gardenia and Jasmine.

Research step 3: The Pattern Design of 10 Motifs

(1) The researcher appended the composition of Gardenia net and Nah-Chang Small-Net Hanging Garland Decoration Weaved in Cosmos Pattern to create new patterns by using the repetition and rhythm composition techniques. The following are the 10 motifs mentioned.

Figure 13. Kled Gardenia Net

Figure 14. Kra-Bueang Gardenia Net

Figure 15. Si-Dok-Si-Karn Gardenia Net

Figure 16. Jan-Krueng-Seek Gardenia Net

Figure 17. Kaew-Ching-Duang Gardenia Net

Figure 18. Daw-Kra-Jai Gardenia Net

Figure 19. Oak-Mang-Mum Gardenia Net

Figure 20. Hok-Karn-Hok-Dok Gardenia Net

Figure 21. Daw-Lom-Deaun Gardenia Net

Figure 22. Wiman-Plaeng Gardenia Net

6. Conclusion of Research Results

6.1 The Analysis Results of Thai Traditional Hanging Garland Decoration Identity to Pattern Design

The researcher brought parts of the hanging garland decoration to use as main components of the motifs, such as gardenia, jasmine and caltrops were in the flower section, as well as champaka and rose in Oo-ba festoon part by drawing as a two-dimension picture and used real color matching. Additionally, it was found that the identity of Thai traditional hanging garland decoration had occurred since the ancient times which were nets beautified with Oo-ba festoons, tassels, Feuang and Tad-Hu flowers. The study also showed that the net of hanging garland decorations had 11 forms overall, such as Kled gardenia net, Kra-Bueang gardenia net, Si-Dok-Si-Karn gardenia net, Sam-Dok-Sam-Karn gardenia net, Jan-Krueng-Seek gardenia net, Kaew-Ching-Duang gardenia net, Daw-Kra-Jai gardenia net, Oak-Mang-Mum gardenia net, Hok-Karn-Hok-Dok gardenia net, Daw-Lom-Deaun gardenia net, as well as Wiman-Plaeng gardenia net. The gardenias and jasmines were weaved and interlaced in an alternate direction of flowers and peduncles in order to create various patterns.

6.2 The Result of the Picture Creation to Pattern Design

According to the picture creation in pattern design, the researcher had drawn a two-dimension picture of jasmines, gardenias, champaka, roses and cosmoses equivalently with the real thing, as well as the characteristics of the hanging garland decoration, in which its compositions were perfectly similar to the models. The picture was also colored identically with the model by using painting considering the darkness and brightness of the colors in order to make the picture have a small light and shadow as 2D and 3D images.

6.3 The result of Pattern Design

In regard to pattern design, the researcher had initially learned and gathered information which were used as an idea of creating from 2 sections which were: pattern design principles and the target group's requirement tendency of the hanging-garland-decoration feature, pattern, as well as its composition. Furthermore, the pattern interest and the picture creation ideas to pattern design were to be organized respectively. The picture creation ideas can design pattern in 3 forms:

1) Realism

2) Truncation

3) Abstract

Truncating some part from the hanging garland decoration models, such as Puang-Pum hanging garlands will be linked up with using a curve in the middle of pattern group. In addition, the brighter-colored picture will be reduced in size to be smaller than the identical front picture in order to create light and shadow.

Selecting only flowers in order to be grouped without considering size, symmetry and rhythm in order to create the main pattern in a large size then create the smaller 2-3 sizes, and color the background accordingly with the flower tone by varying darkness and brightness.

Conforming to the adapting the gardenia Oo-batassel rimmed with champaka in forming, using a darker color background, as well as patterning as a net, the researcher applied the picture creation which could absolutely reflect a net weaving. The finished net will have angle which can show the composition of disassembled-pattern combination or disassembling pattern from a net. Afterwards, the composition will be managed by developing its rhythm and direction in order to suit the product. The re-patterned archetype has to be able to represent the style, feeling, as well as distinctive interest, for instance the classic style, the contemporary style or the modern style as in the illustration 12-21.

6.4 The Result of Adapting the Pattern

After creating patterns, they were adapted on souvenir ceramic products; they could be used in many processes of production, such as creating earthenware surfaces while its soil texture is still moist in the forming procedure, on the painting pattern, the under coating, and in making ceramic screen printing.

6.5 The Analysis Result of Pattern Design to Adapt on Souvenir Products

The researcher used questionnaires to determine the consumers' satisfaction towards souvenirs before re-patterning.

Table 1. The consumers' need before creating pattern and adapting pattern on souvenirs

	Which product do you want to purchase as a souvenir?	Mean	SD.	Level
	Tableware Set	4.37	0.65	**High**
1.	Coffee Mug	**4.72**	**0.59**	**Highest**
	Scarf	4.32	0.59	**High**
	Hat	3.14	0.54	**Medium**
	What level of your reason in purchasing a souvenir?	Mean	SD.	Level
	Purchasing for yourself	4.32	0.59	**High**
2.	Giving others	4.67	0.23	**Highest**
	Price	4.57	0.76	**Highest**
	Reminding to the place	4.87	0.49	**Highest**
	Utility	4.12	0.74	**High**
	Overall characteristics of souvenir			
	Modern Style	3.15	0.90	**Medium**
3.	Contemporary Style	**4.62**	**0.65**	**Highest**
	Original Style	3.40	0.99	**Medium**

According to the Table1, the investigation of consumers' demand towards souvenir showed that the coffee mug was appropriate to be a souvenir product with the highest satisfaction level; whereas, the greatest reason for purchasing souvenirs was giving to others, price, as well as reminding to the place. In addition, there was a high level on overall characteristics that should be in a contemporary style.

As the data analysis result of adapting motifs on pattern design, the researcher classified the coffee-mug-set ideas into 2 sections which were: idea 1, the components of Thai traditional hanging garland decoration, such as tassel, Oo-ba festoon and rim weaving will be adapted on the coffee mug set by using original proportion and truncating proportion methods to organize its contemporary-pattern composition. Additionally, the researcher considered the types of coffee between Espresso and Cappuccino which are served in different quantities; therefore, it effectuates the dissimilar shape and size of coffee mug-creation.

Figure 23. The Coffee Mug Set Adapted Thai Traditional Hanging Garland Decoration Patterns

Idea2: the uniqueness of gardenia-net weaving composition would be adapted on coffee mugs sized 180-250 CC. as well as using colors which could represent feeling of the product in original plus semi-contemporary style.

Figure 24. The Gardenia and Jasmine Pattern Composition Disassembled from Thai Traditional Hanging Garland Decoration by Organizing Rhythm and Adjusting Color Background

6.6 The Assessment Result of Pattern Design to be Adapted on Souvenir

According to the evaluation of pattern design and adapting pattern on souvenirs, the researcher used the assessment format to evaluate the satisfaction of customers, shopkeepers and specialists as is demonstrated in the table:

Table 2. The result of satisfaction evaluation of consumers towards the re-patterned souvenirs (N = 100 people)

No.	List		Mean	S.D.	Level of Satisfaction
1. Beauty and Pattern Composition					
1. 1	Beauty of Composition		3.66	0.95	High
1. 2	Beauty of Color and Pattern		**3.72**	**0.94**	**High**
1. 3	Beauty of Pattern Adapted on Product		3.52	1.11	High
		Total	3.60	1.00	High
2. Utilities of the Souvenir					
2. 1	Durability of the Product		3.60	0.91	High
2. 2	Quality of the Product		3.42	1.12	High
2. 3	The size suits usages.		**3.65**	**0.95**	**High**
2. 4	Appropriateness of the Product as a Souvenir		3.60	0.94	High
		Total	3.56	0.98	High
3. Marketing					
3.1	The souvenirs attract consumers' interestedness.		4.00	1.00	High
3. 2	The souvenirs can promote selling itself.		**4.33**	**1.15**	**Highest**
3. 3	The souvenirs can represent identity of the place.		**4.66**	**0.57**	**Highest**
3. 4	The size and price are suitable.		4.28	0.94	High
		Total	4.31	0.91	High

Table 2 displayed that there was a high level of consumers' satisfaction towards the souvenirs on color and pattern, a high level of consumers' satisfaction regarding utilities in the size suits usages, and also the highest level of consumers' satisfaction involved marketing in promoting selling itself, as well as representing identity of the place.

Table 3. The result of satisfaction evaluation of shopkeepers towards the re-patterned souvenirs (N = 10 people).

No.	List		Mean	S.D.	Level of Satisfaction
1. Beauty and Pattern Composition					
1. 1	Beauty of Composition		**5.00**	**0.00**	**Highest**
1. 2	Beauty of Color and Pattern		**5.00**	**0.00**	**Highest**
1. 3	Beauty of Pattern Adapted on Product		**4.66**	**0.57**	**Highest**
		Total	**4.88**	**0.19**	**Highest**
2. Utilities of the Souvenir					
2. 1	Durability of the Product		4.33	0.57	Highest
2. 2	Quality of the Product		4.00	1.00	High
2. 3	The size suits usages.		**4.66**	**0.57**	**Highest**
2. 4	Appropriateness of the Product as a Souvenir		**4.66**	**0.57**	**Highest**
		Total	4.41	0.67	High
3. Marketing					
3.1	The souvenirs attract consumers' interestedness.		**4.33**	**0.47**	**Highest**
3. 2	The souvenirs can promote selling itself.		4.00	0.83	High
3. 3	The souvenirs can represent identity of the place.		3.93	0.87	High
3. 4	The size and price are suitable.		3.84	0.95	High
		Total	4.02	0.78	High

Table 3 elucidates that the shopkeepers' satisfaction towards the souvenir in beauty of composition, as well as its color and pattern were beautiful to reach the highest level while the utilities in durability, proper size in using and appropriateness of the product as a souvenir similarly hit the highest level. Furthermore, there was the highest level of shopkeepers' satisfaction on the consumers' attractiveness.

Table 4. The result of satisfaction evaluation of product design specialists towards the re-patterned souvenirs (N =3 people)

No.	List		Mean	S.D.	Level of Satisfaction
	1.Beauty and Pattern Composition				
1. 1	Beauty of Composition		**5.00**	**0.00**	**Highest**
1. 2	Beauty of Color and Pattern		**4.66**	**0.57**	**Highest**
1. 3	Beauty of Pattern Adapted on Product		**4.66**	**0.57**	**Highest**
		Total	**4.77**	**0.38**	**Highest**
	2. Utilities of the Souvenir				
2. 1	Durability of the Product		4.33	0.57	High
2. 2	Quality of the Product		**4.66**	**0.57**	**Highest**
2. 3	The size suits usages.		**4.66**	**0.47**	**Highest**
2. 4	Appropriateness of the Product as a Souvenir		3.66	0.95	High
		Total	3.56	0.98	High
	3. Marketing				
3.1	The souvenirs attract consumers' interestedness.		3.52	1.11	High
3. 2	The souvenirs can promote selling itself.		**3.72**	**0.94**	**High**
3. 3	The souvenirs can represent identity of the place.		3.60	0.91	High
3. 4	The size and price are suitable.		3.65	0.95	High
		Total	3.62	0.97	High

Table 4 demonstrates that the result of pattern assessment evaluated by the product design specialists was: there was the highest level of beauty of color and pattern composition adapted on product. In addition, the durability, quality, as well as the size suits usages were in the highest level; whereas, in regards to the marketing factors, the souvenirs attracted consumers' interest, the souvenirs could promote selling themselves, and the souvenirs could represent the identity of the place were in a high level.

7. Discussion of Research Result

According to the Thai traditional hanging garland decoration characteristics investigation, in order to be adapted on souvenir pattern design showed that the model used as unique outstanding patterns consisted of 1) the characteristics of the hanging garland decoration components were Oo-ba festoons, Feuangtassels, Tad-Hu flowers and net weaving could easily represent Thai traditional hanging garland decoration, as well as being easy to recognize and understand participants and consumers. As is seen in the study, the greatest of target groups' attitudes toward Thai traditional hanging garland decoration were most favored and thought of the caltrop as a net weaving pattern. The second-most favorable came from champaks rim weaving, and the third was gardenia net weaving. For using diverse flowers in making hanging garland decoration, the picture creation was adapted as a pattern on a product which had to cover 3 basic comprehensions including: 1) arts composition, 2) color emotion, and 3) social trends of the target group. Re-patterning by remaining an original trait of hanging garland decoration identity. The types of flowers which were selected to draw were arranged in various patterns. Additionally, the patterns should be chosen correspondingly and suitably to the target group; moreover, the forms and patterns of the product should be in a contemporary style. According to Mekhum, W., & Rungsrisawat, S. (2017). Also it is necessary to focus state support measures on marketing, technological, education and legal support of small business in the province. In our opinion, inexpensive, but effective tool to support the competitive background in the province could be an opening (on the basis of, for example, Suan Sunanda Rajabhat University) of service center for legal and accounting support of provincial business (providing all financial and contractual functions online), formation and promotion of the regional brand, which has to include the most competitive and promising in terms of foreign goods and services markets expansion. This center could also serve as a platform for the exchange of technologies, business ideas and best practices.

Suggestions

In regards to the suggestion to use the research results in additional studies, the product design specialists recommended that:

1. The souvenir pattern design should be considered trends or product-popularity tendency, especially, the

3-year-period color trends, which will be distributed to a market, had to be in accordance with the need, modernity, product suitability as well as appropriate composition.

2. The pattern from this study could be adapted on other products, such as on fabric pattern, on paper or on packages, and could also develop the color and composition to suit them.

Suggestions for the further study

In order to improve the study results, the following should be further studied:

1. Contemplating consumers' opinions as well as demand which are gathered during the specific time to acquire the consumers' comments fluctuated correspondingly with major trends; furthermore, the format should be altered and used for gathering opinions toward other products when the time change. Besides, the market trial should also be managed in order to promote the export.

2. Developing product formation as well as adaption to other materials.

Acknowledgments

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Precedent Names in the Text Field of Marina Tsvetaeva from the Perspective of Free Indirect Discourse

Daniya Abuzarovna Salimova[1], & Olga Pavlovna Puchinina[1]

[1] Elabuga Institute (Branch) of Kazan Federal University, Russia

Correspondence: Olga Pavlovna Puchinina, Elabuga Institute (Branch) of Kazan Federal University, 20 A, Gassara Street, Flat 99, Elabuga, 423600, Russia. E-mail: olga.puchinina@gmail.com

Abstract

The present study is complied with the topical theme "name in the text" and devoted to the problems of how precedent names as the text-forming elements function in the poems and prose works of Marina Tsvetaeva within the framework of free indirect discourse. The authors study various methods and functions of personal names. The authors make conclusions concerning the frequency of precedent names and the specific character of intertextual elements in Tsvetaeva's text, which, on the one hand, complicates the perception of the text, but on the other hand, promotes including both the poet and the reader into the world-wide cultural and spiritual environment. The ways of introducing the name and the persona, especially within free indirect discourse, specifies the further existence of the name / or its absence in the text.

Keywords: text, anthroponyms, free indirect discourse, language game, precedent names.

1. Introduction

The purpose of this article is to describe one specific segment (anthroponyms as precedent names) of the great poet's texts in terms of their use in a text space – namely, the ways and means of introducing personal names in the structure of free indirect discourse (FID). The study is based on several collections of Marina Tsvetaeva's poetic and prosaic works (poems, letters, stories, novels, diaries), which make the abundant material for linguistic stylistics. In general, we have analyzed more than 500 personal names, continuously sampled, used in various positions in the text and functions. Besides, our intention was not to investigate only one period in the poet's work or a particular thematic cycle, because we are interested in the way the poet uses precedent names throughout all the stages of her creative work.

2. Discussion

The language and individual style of Marina Tsvetaeva are one of the most popular and relevant philological spheres in the past decades. We wrote, "In our opinion there is a certain "Tsvetaeva fashion" among linguists now. The rhythm, color, punctuation, concepts of her poems are just a few topics, related to the texts of Marina Tsvetaeva, which have been studied most of all" (Salimova and Danilova, 2009). Thus, there are no grounds to consider the poet's linguostylistics underinvestigated. However, Tsvetaeva's poetry and prose are so mysterious that any study can fill a gap in Tsvetaeva's vast and infinite text field.

The Tsvetaeva readings, conducted in Elabuga Institute of Kazan Federal University every two years, as well as a great number of original and significant research in Russia and around the world testify to the enduring interest of readers and specialists in different areas to Marina Tsvetaeva's creative work, including the poet's style, and to her onomastics, in particular. Among the research, dedicated to the onomastic (chiefly, toponymic) layer of Tsvetaeva's texts, it's necessary to mention such works as "Proper names in the poetic individual style of Marina Tsvetaeva" by O. G. Revzina (1991), "Onomastics in fiction: Philological studies" by M. V. Gorbanevskiy (1988) and others.

A number of facts motivate the problems of this study and its relevance. Firstly, we aim to study the "behavior" of the name in the text in a completely new perspective; secondly, the precedence, intertextuality, of the poet's texts is viewed not only as the involvement of Tsvetaeva into the world cultural space, but also as the expression of the author's pragmatism, aimed at an educated reader. We hope that our material will contribute to revealing one of the characteristic features of Marina Tsvetaeva's style, which can't make students indifferent to it; but, in

many respects, the poet remains a secret not only for schoolchildren, but also for specialists.

In this article, we examine the precedent names in the structure of FID, considered by many scientists a special kind of rendering another person's speech, which has a particular linguistic potential. The theoretical interest to FID has been reflected in philological science since the first observations by A. Tobler, P. Kozlovskiy, Ch. Bally. This undying interest can be attributed to the inexhaustible artistic and aesthetic potential of FID in the world literature (Kusjko, 1980).

Among many concepts of FID, we single out the following ones: 1) In 1887, the first researcher of FID A. Tobler viewed it as a mixture of direct and indirect speech. This idea of "mixing" became the basis of the latest concepts of FID. 2) The representatives of the Geneva School of Charles Bally interpreted it as a modification of the indirect speech. Ch. Bally wrote that FID (*Le style indirect libre* in his terminology) is an objective and purely literary phenomenon and grammatically static (Bally, 1912). 3) G. Lerch and his followers treat FID as a modification of direct speech, or as a way of its representation in the author's narrative structure. 4) The majority of Russian and foreign researchers of FID (T. Kalepki, E. Lerch, E. Lorck, etc.) consider it an individual form of rendering of somebody's utterance.

In addition, T. Kalepky and E. Lerch considered FID from a psychological point of view. For example, Kalepky insisted that the narrator was not a simple carrier of a character's voice, as Ch. Bally put it. It is a subject, thus, the utterance itself is not objective, but subjective (Kalepky, 1913). The German linguist E. Lerch was interested in the stylistic potential of the device. In the article "Die stilistische Bedeutung des Imperfektums der Rede "style indirect libre" ("The stylistic meaning of FID") he writes that FID can act as something similar to both direct and indirect speech (Lerch, 1914).

Russian linguistics also contributed to the study of the phenomenon. For instance, an outstanding Russian linguist M. M. Bakhtin described FID as a special device to introduce someone else's consciousness in dramatic epic (novel), besides, he used the term "reflected word of another person". He noted that various combinations of the three syntactic speech patterns (direct speech, indirect speech and FID) and diverse ways of framing and intercalating them with the author's context contribute to a diverse game of speeches, their mutual over-splashing and responsive infection (Bakhtin, 1975).

O. A. Blinova notes the pragmatic focus of modern theories concerning FID, which are based on the work of the Austrian linguist M. Fludernik. She states that only pragmatic approach can help to understand how the language is arranged, as even mathematically exact, grammatical description is not apt to do it. M. Fludernik described the pragmatic approach in "The Fictions of Language and the Languages of Fiction" (Fludernik, 1993). According to the linguist, the relative "imperceptibility" of FID is its advantage in comparison with direct and indirect speech: the reader seldom consciously perceives it in the text as a special technique of rendering another person's speech. As a result, FID is usually used to achieve the effect of ambiguity or an inconspicuous change in perspective (Blinova, 2012).

In our research, we stick to the idea that FID is the third form of rendering another person's speech, occupying an intermediate position between direct and indirect speeches. As a rule, FID belongs to the level of the author, because like in indirect speech, all the pronouns and verbs, pertaining to it, are formally modelled from the author's point of view. Using FID, the author aims to preserve the lexical, phonetic and syntactic features of the internal and uttered speech of the characters, that is, FID belongs both to the level of the author and the level of the character.

The peculiarity of FID in Tsvetaeva's texts is the fact that the protagonist in the studied works is Marina herself, but in a different time and space, i.e., Marina as a child, Marina as a teenager or Marina as a woman. Therefore, we consider that the FID in the analysed texts is someone else's speech only for the purposes of discussion, as the narrator and the protagonist are in fact one and the same person. Since most part of the text is represented by thoughts and feelings, which are remote enough for the author, one can say that here we deal with special, Tsvetaeva's "masks": 1) a euphemistic mask; 2) an auto ironic mask; 3) a language-involving mask; 4) a transgender (character) mask (Voitekhovich & Bykov, 2015).

Secondly, it is time and space that are the most significant substances in the poetry of this intellectual and philosophically profound author. She talks to time, argues with it; she now stops it, trying to run away from it and now gets in the center of the temporal field. For instance, M. Tsvetaeva boldly declares "Time, I bypass you!" In fact, an argument, a conflict with time, being turned towards it, with neglecting it, is one of the major traits of her entire oeuvre. M. Tsvetaeva connects the eternal basis of the world (Danilova, Razzhivin, & Salimova, 2014).

3. Method

Our study consisted of several stages: at first, precedent names from the texts were analyzed with the help of various dictionaries (philosophical, antique ones, etc.). The next step was selecting intertextual names within FID. Then followed their multilevel analysis: form the point of view of their origin, function, role, position in FID.

Our analysis of the "behavior" of personal names in the texts of Marina Tsvetaeva allowed us to make a number of interesting conclusions.

3.1 The abundance and diversity of precedent names in Marina Tsvetaeva's texts

The brightest feature in the poet's use of precedent names is their abundance and diversity (in chronological, thematic, genre and similar aspects), i.e. a proper name becomes one of the most important text-forming elements, regardless its position in the text and its functions: "Daniel" (1916), "Iosif" (1917) and many others. In this case, the precedent name itself and the word "name" become the center of the onomastic field.

In her famous poem "The Soul and the name", following the ancient Greek tradition, the poet emphasizes the mysterious connection of the human name and the individual's spirit and nature. *But the God gave me another name: it's marine, marine...* (translated by the author – Olga Puchinina)

The author doesn't only place the proper name to the foreground of the semantic field but "plays" upon this word. Thus, a proper name becomes the centre of the sound organization of the text, like an anagram. This traditional device with obvious allusions to Pushkin is demonstrated in the poem "Psyche" (1920). *Punch and midnight. Punch – and Pushkin, // Punch – and a meerschaum pipe // Puffing.*

The most saturated rhyme // Of the depth, the lowest tone. // So, before the blushed <u>Shulamite</u> stands // The gasping Solomon (More intensive than the organ and more ringing than the tambourine…).
The same device occurs in periphrasis (Ibragimov's cast-iron great-grandson), in metaphorical names (What is for you, young Derzhavin, the stranger with Beethoven's forehead).

By including elements of the language game into the text, the author emphasizes the conceptual significance of a person's name for her, for example in the poem "Phaedrus" (1923) we read the following: <u>Hippolyte</u>! <u>Hippolyte</u>! *It hurts! // It sears ... The cheeks are flushed ... // What a cruel horror is hidden // In this name Hippolytus!* This example illustrates a very interesting case of arranging FID – the "over-splashing" of the author's speech (in the form of direct address) and verbs (*hurts, sears*), which may be referred to both: the author and <u>Hippolytus</u>.

3.2 The use of precedent names the purpose of analogy

We found out that M. I. Tsvetaeva uses personal, religious and <u>mythologic</u> names not only to explicate the past, but also for the purpose of analogy, when the temporary layers of the past and the present merge in one whole in terms of perceiving reality, creating imperceptible transition of the author's words into direct speech.

But my mouth is tense and stern. // I'll die, – but won't betray my delight! // So <u>Lord of Sabaoth</u> of the heaven // Gave his ear to young David ("Marina! Thank you for the peace…", Easter Monday, 1918). The concept **name**, reflected in many different forms of the nouns (name), verbs (to name, to call), and adverbs (sonorously), acquires the so-called "black-and-white" colors.

O.G. Revzina writes, "In M. Tsvetaeva's poetic idiolect the use of proper names is closely correlated with the stages of its development" (Revzina, 1991). The perception of the proper name as a semantically full sign and its compliance with the referent develop in two directions; a) the name is found a "relevant", true symbol and is interpreted through associative signs, through the "story" of the mentioned personalities; cf.:… *Anna Akhmatova! This name is a great sigh. And it falls into the depth, that is nameless!; The child's name is Lev. The Mother's one is Anna. His name means wrath, his mother's name means peace* ("Poems to Akhmatova" 1916); *Dimitriy! Marina! In the world there is nothing more harmonious than your ... Fates! Names!* (1916); also cf.: *Elena. Achilles. Name a more accordant sound* (from the cycle "Two" 1924); you may meet here characteristics of the name itself: *Pushkin. Pushkin, Pushkin – a Noble name – as a vulgar abuse language – parrots* ("Poems to Pushkin" 1931); cf. the poem, written in 1917: *As if with your palm, you stroke the heart with your imperial name: August!*; b) through various reasons a referent considers a proper name unacceptable, so he renames it: *Oh why you were named Daniel?* (from the cycle "Daniel" 1916). This "renaming" may go beyond a categorical class: *Now you are called Marina – separation!* ("I see you black-eyed – separation!" 1920); *Shall I call you Hector or Bonaparte? Moscow or Troy? As a star and military map the City lay ...* These examples are also FID, which don't essentially affect the form of the name itself: "The movement from a proper name to a referent's features is really effective, only when the form of denotation and its sound form are under consideration (see the

examples above). The use of proper names in the secondary, characterizing function is of particular interest (Revzina, 1991).

In the stories "Hlystovki" and "The Devil", the writer uses biblical allusions to God, Blessed Virgin, and Christ. However, by some specific intention M. Tsvetaeva deliberately makes them anti-heroes, who possess not very pleasant qualities (slovenly appearance, for instance). Besides, she employs a derogatory and illiterate attribute "theirs" with reference to them.

*But it were not they who came for apples, not those staid ones, but them, that is theirs **Blessed Virgin and Christ**, redheaded, skinny, with a forked beard and eyes - now I would say, in very ragged clothes and barefooted, theirs **Christ** – and theirs **Blessed Virgin**, old, no longer amber, but leather, and though not torn but still scary* (Hlystovki, 1989).

3.3 The use of proper names from Marina Tsvetaeva's immediate circle

It stands to reason that one of the most frequently used proper names in Tsvetaeva's works are the names of the people from her immediate circle: *Ariadne, Alya, Angelika*. Besides, a great number of proper names are used in the form of dedication or direct address: *to Anna Akhmatova, to Byron, to Balmont, to Bryusov, to Mayakovskiy, Poems to Pushkin*, etc. The predominance of precedent names in comparison with her children's names allows us to conclude that Marina Ivanovna was a "spiritual poet", willing to consider the poetic reality to be the most important and authentic one, and the ordinary world to be secondary.

3.4 The single use of precedent names in Tsvetaeva's poems

The single use of precedent names in the poems is one more characteristic feature of the poet. She often uses them only in epigraphs, dedications or titles. She uses proper names (precedent or real ones) more than once very rarely, like for example in the poem "So – only Elena looks over the roofs" (1924).

So – only Elena looks over the roofs of Troy!

In this verse, consisting of six stanzas, the first four stanzas begin with the words "So – only Elena" (yet, the punctuation is not always identical), the fifth stanza begins with the words: "But no, not Elena!", and the final stanza runs as follows: *As even Elena at the fine dinner // Didn't dare to look at her slaves…*

3.5 The ways of introducing proper names and personas into the text field

Strangely enough, there are not very many ways of introducing proper names and personas. Among various author's artistic techniques, we find text introduction strategies to be of great importance, since it reveals the true scope of the language. N. V. Vasil'eva writes that "introducing a proper name is one of the major macrotextological issues, as it considerably determines further existence of a proper name in the text" (Vasil'eva, 2009). Writing a text, the author keeps it in mind that an addressee should be able to identify the message, thus a persona and his name are duly introduced, and sometimes a writer doesn't give a name to a persona. The author's intention implies elimination of any component of introductive combination, whereas different patterns of representing a persona and his name involve different variants of introduction.

We have analysed examples of anthroponomical introduction in Marina Tsvetaeva's texts, based on the classification by N. V. Vasil'eva (2009), and have concluded that the poet doesn't employ all the patterns to introduce a persona and a name, described in the special literature: 1. A persona and a name are introduced simultaneously (P + N). 2. The author uses a name, but introduces and describes a persona later (N —> P). 3. The author characterises an unnamed persona first and mentions his name further (P —> N). 4. The author gives a name without a persona (N —> 0). 5. The author introduces an unnamed persona (P —> 0).

For example, Tsvetaeva employs the method of introducing a persona by his/her name or surname, i.e. without a common noun or a pronoun before a proper name, to create the effect of involving the recipient into the text. For instance, in the poem "Two" (1923) we meet many example of this kind, though she never mentions to the reader whom she really means.

*There are rhymes in this world // If you break them – they'll falter. // **Homer**, you were blind. // … **Siegfried** and **Brunhilde** parted like this, // Having solved the nuptial deal with a sword.*

Multi-level dedications and epigraphs are one of the features of Marina Tsvetaeva's poetic space and an introduction device, aimed at communicative lucidity.

When well-known names appear in the text, it doesn't require introductive explanation, as these names are commonly known (Vasil'eva, 2009). This device is used if the author intends to develop a persona's line in the text. However, some names can only be mentioned, i.e. a name does not become an active participant in the text.

These are the names that are used in reference to someone else's speech. *You go, just like me, // Your eyes are down. // I cast them down – too! // Passer-by, stop!* (You go, just like me..., 1913)

The poet has several poems-dedications, entitled in the following way: "S.E.", "P.E." and others, and it will be difficult for a simple reader to understand to whom they are dedicated. Of course, for connoisseurs of Tsvetaeva's oeuvre these initials are evident; nevertheless, the author's desire to disguise the addressee, typical for the initial period of her creative work, is quite understandable.

Onomatologists rightly stress the consistency of "belonging a word to a proper name in the text, as the reader associates it with the other units that make up the "onomastic field" (Suprun, 2000) of the given language. One of the signs, pointing to this, is a capital letter. In some cases, a word may have different functions, i.e., a capital letter can neutralize some signs, leading to proprial personification: *I am a lot of Poets…*

The "proprialisation" of this kind may be illustrated by the following epigraph to a poem: *… It's the King Son's point – // To be great and good* (1918).

3.6 Precedent names in epigraphs and dedications

Researchers notice that Tsvetaeva often uses epigraphs. Since she chooses them deliberately, it can be stated that epigraphs express the concept of the written work, become an integral part of the text and reflect the communicative intention of the author. It doesn't hold true to dedications, which play an important role in the onomastic space of Marina Tsvetaeva's poetry, as they are the names of real people (often the poet's contemporaries) or reflect her literary tastes. However, unlike epigraphs, they aren't always closely connected with the text itself.

Analyzing of works, preceded by dedications, we have revealed a certain pattern in the use of precedent names. It allowed us to single out a number of poems and on this basis we observe <u>a new variant of onomastic introduction</u> (for the purpose of discussion we call it "indirect" introduction), because the proper name is introduced into the text only through dedication, but is not met in the narration.

In the following examples through dedication, the author introduces a name, but doesn't introduce a persona. A number of names are met only in dedications (*To Antokolskiy, To Vera Arenskaya, To Alexey Alexandrovich Podgaetskiy-Chabrov, To Boris Pasternak, To I. Ehrenburg*), or in the title of the poem (*"In Memory of Nina Javakha", "In Memory of Beranger", "To V.Y. Bryusov", To Jairus's daughter", "Daniel", "George", "Marina", "Don Juan", "Carmen"*, etc., the cycle *"Poems to Sonechka"*). In these examples, precedent names in various variations (full name, pet name, first name + surname, name + patronymic + surname) are significant and require no further comments in the text.

The above-mentioned poem "To Anna Akhmatova" is almost of this kind, with one fundamental difference: the first name and the surname appear in the last lines of the poem *"I fell in love with you, Anna Akhmatova"*. This feature is mirrored in the so-called "double" dedication: the poem "To the Generals of 1812" has the second dedication *To Sergey*.

There are also anthroponyms in epigraphs, or rather, an indication to the author of the famous lines, i.e. intertextual elements become precedent names:

"There is a certain hour ..."

Tyutchev.

Tsvetaeva cites the poem "Dream" by Tyutchev and uses it as an epigraph or a title to her own poem.

The poems from the cycle "Girlfriend" contain no anthroponyms. Whereas in the six-stanza poem "Clappers and neighbors' dogs sleep" (1915) a proper name is used in the end: *The smell of a rose and the smell of a curl, // The rustle of silk around the knees ... // Oh, dear, – do you see, here she is – // Thwarter! – Carmen.* (1915)

3.7 Antique names in Tsvetaeva's anthroponymic corpus

Antique names become an integral part of the anthroponymic corpus of Tsvetaeva's lines. "Eulogium on Aphrodite", "Hamlet's soliloquy with his conscience", the repeated line "Listen, listen, Adam" in the poem "Beware" (1922) and others confirm the fact that Tsvetaeva's poems are imbued with intertextual names. Rich spiritual and moral potential, accumulated over the centuries by different peoples, including literary, theatrical and musical experience of many generations, is revealed in Marina Tsvetaeva's texts in various forms (for example, *How good it was to be at home with a book! // To the tunes of Grieg, Schumann and Cui // I learned the fates…*). It testifies not only to the author's erudition, philological and linguistic background, but also to her involvement in the worldwide cultural macrospace.

We will give only the names of such "antique" poems: "Psyche" (1918), "Sibyl and a youth" (1921), "Eulogium on Aphrodite" (1921), "Orpheus" (1921), "Amazons" (1921), "Sybil" (1922), "Phaedra" (1923), "Eurydice – to Orpheus" (1923), "Ariadne" (1923), "Naiad" (1928), etc. It means that the ancient world was an essential place of the poet's spiritual world. Even in the poem "Rails", in which the poet seems to talk not about certain people but about an endless stream of leaving people, there is a verse containing a precedent name. *The hour, when despair as a matchmaker, // Spreads sheets out. – Yours! – // And voiceless Sappho is // Crying, the latest seamstress (1923).*

Whether the poet uses the proper name of Sappho accidentally or just for the purpose of the rhyme is a matter for further research. But according to our observation, she doesn't make accidental use of proper names: for example, Sappho is an ancient Greek woman-poet from the island of Lesbos (the late 7th – the early 6th centuries B.C.), i.e. this verse also proves that Marina Tsvetaeva had a habit to interpret legends in her own way.

In the following untitled poem "Two – hotter than fur ..." a precedent name (anthroponym), typically for the poet, is placed in the last line: *Even on the bed of disbelief you're gnawed // By the worm (how poor we are!). // The one to put the finger into Thomas's wound // Hasn't been born yet* (7 January 1940). The name of Thomas is also symbolic: it's a reference to the biblical, phraseological background of people's memory.

In the essay "The House at Old Poemen", written after the death of her half-brother Andrey Ivanovich Tsvetaev (the son of her father, Ivan Vladimirovich, by his first wife, Varvara Ilovayskaya), Tsvetaeva writes about Dmitriy Ilovayskiy, his grandfather through his mother. In this essay, we find the following biblical allusions: *Khronos, Charon, Sibyl, Lethe, Ganymede, Gill (Hercules's son), Proserpine, Atlantes, Elena, Susanna, Priam, Uranus, Hades* and others. Tsvetaeva ironically calls Dmitriy Ivanovich Old Poemen, using a purely monastic name, which belonged to the Christian saint – Poemen the Great. Ilovaiskiy could hardly be called a monk or a saint, for he lived 88 years, was married twice and outlived almost all his children. The early death of her half-brothers and sisters at a young age seemed unfair to Marina. Therefore, the allusion to the Greek god of time Khronos (Zeus's father), devouring his children, or immortal Charon, who transported the dead through the river of oblivion, seems so expressive. Tsvetaeva writes: *It was a house of death. Everything in the house came to an end, except death. Except old age. Everything: beauty, youth, charm, life. Everything in the house came to an end, except Ilovaiskiy* (Tsvetaeva, 1989).

Nadezhda, the historian's daughter and a rare beauty, resembles Tsvetaeva of Helen of Troy or Susanna, a character from the Old Testament, whom some elderly men falsely accused of adultery: *Beauty sleeping under the bespectacled – weak-sighted – farsighted – watery – and-God-knows-what-else! – eyes of the elders, – Elena's elders, Susanna's elders, her father's seventy-year-old coevals* (Tsvetaeva, 1989).

Literary allusions take a special place in Marina Tsvetaeva's texts. For example, we have found the titles of several literary works (for example, the fairy tale *"Sleeping Beauty"*, the poem *"Demons"* by Alexander Pushkin, the ballad *"Flying Ship"* by Mikhail Lermontov, the poem *"Night inspection"* by Vasiliy Zhukovskiy, the poem *"Dead souls"* by Nikolay Gogol, the novel *"Undine"* by the German writer Friedrich Fouquet, the novel *"Jane Eyre"* by Charlotte Bronte, the novel *"Anton The Unfortunate"* by Dmitriy Grigorovich or *"The Song of the Nibelungs"*), or the names of literary characters (for example, *Anna Karenina*, *The Forest King*, *Aleko*, *Zemfira*) or word-for-word quoting of the text that indicate the classical literary orientation of the poet.

During our research, we have found out that Tsvetaeva frequently quotes Alexander Pushkin's works or characters. The poet was her first literary love and a source of inspiration throughout her literary career. For instance, in the story "The things that happened" she tells the story of her first love and compares herself to Tatyana Larina, the main character of the poem "Eugene Onegin". In the story "My Pushkin" Tsvetaeva confesses that she loves "Gypsies": *Aleko and Zemfira, and that Mariula, and that gypsy, and the bear, and the grave, and the strange words, which this all is told with* (Tsvetaeva, 1989). Before the upcoming trip to the sea, Marina Tsvetaeva used to recall Pushkin's poem "To the Sea": *This was the apogee of inspiration. With "Farewell then, Sea..." my tears started. "Farewell then, Sea! I won't forget...* (Tsvetaeva, 1989).

4. Conclusion

The use of intertextual (precedent) proper names is one of the features of the poet's individual style. During our research, we have studied 500 precedent names and their introduction into the text and we have found no cases of accidental use of the proper names. The only example of the so-called "accidental", not "speaking" names, which requires special consideration, is the poem "Poloterskaya (Floor polisher's)" (1924): *Neither Stepan nor Osip // Leaves any sign or trace. // "We, floor polishers, always come out of time (inopportunely)."*

The introduction of the name and the persona, especially within FID, explicates one of the major macrotextual

tasks, as it determines the further existence of the name / or its absence in the text.

The anthroponymic analysis of Marina Tsvetaeva's texts shows that the author rarely uses persistent symbols, pointing to the professional identity (poet and writer), the state of kinship, and isolated symbols, reflecting different emotions; the studied groups represent an additional component in the characterization of the image. Being a person of wide reading, Marina Tsvetaeva automatically refers her readers to the well-known names, events, facts in the world history. Undoubtedly, it complicates the perception of her works for an unprepared reader. (We would like to quote our colleague, linguist, who was surprised at such a high general interest in Tsvetaeva's poetry and said, "It is impossible to read and understand her poems without philosophic, ancient reference books!") Some "juggling" with proper names has become one of style-forming features in the text-field of Marina Tsvetaeva's poems and prose. A variety of devices to introduce names and personas, used by the author, testifies to her skillful and phenomenal flexibility in the use of stylistic means and separate groups of words of the language. Anthroponymic patterns of introducing a name and a persona determine the further use of the name in the text, according to the author's intention, and promote a holistic understanding of Marina Tsvetaeva's individual world, which is unlikely to be fully understood by anyone. "I am a lot of Poets; and the way it's entwined in me is my secret," wrote Marina Tsvetaeva. The word "Poet" is written with a capital letter, therefore, it is used as a proper name; these words imply the answer, or rather, lack of response to the question, how Marina Tsvetaeva managed to write so, that you can neither comprehend nor explain it.

5. Practical implications of the results

The name of Marina Tsvetaeva has become a precedent name itself, as her works continue to attract the attention of young readers. Therefore, the results of our research can be used by students of philological departments, while taking such courses as Russian literature, Name in the text, Regional linguistics and others. We consider it important for students at school, undergraduate and postgraduate students to study the poet's works, and the issue in question in particular. For free indirect discourse, as the synergy of the author's thoughts and a persona's speech, through the prism of precedent names allows us to "feel" in a new way and to understand the great poet, whose work is generally recognized, but not entirely understood.

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Multi-factor Consideration in Selection of a Capital for a Country

Dachang Liu[1]

[1] Ph.D. Candidate, School of Political Science and Public Administration, China University of Political Science and Law, Beijing, China

Correspondence: Dachang Liu, Ph.D. Candidate, School of Political Science and Public Administration, China University of Political Science and Law, Beijing 100088, China. E-mail: hsldc668@163.com

Abstract

Selection of a capital is of critical importance to security and stability of a country and consolidation of its regime. In selection of the capital in all Chinese dynasties over the past, what the governors usually take into account contained a variety of factors, such as, the strategic military position of a city, its economic development, its traffic convenience condition, its ethnic relations, etc. The same is true with other countries. Consideration of multi-factors is an inevitable route in selection of a capital. With development of the time and swift increase of population, capitals of some countries might be encountered with contradictions between population resources and environmental pressure and political functions. To resolve these contradictions, these countries, one after another, take different measures by moving their capitals elsewhere and decomposing functions. To the end of give play to the political function of a capital and maintain the integration capacity of a country, it is a must to pay attention to and deal with the issue of capital.

Keywords: capital, geographical location, resources and environment, political function, multi-factor

Selection of capital correlates to the destiny of a country for all Chinese dynasties over the past. When selecting a capital, the governors need to take into comprehensive consideration of a variety of factors, such as, economy, military, traffic and ethnic relations. Study on capital is a comprehensive discipline which involves history, geography, politics and urban construction. It has had some foundation in terms of study on the issue of capital. During the period of the Republic of China, Mr. Chen Qiao-yi wrote a book entitled "The Seven Major Ancient Capitals in China". In this book, he introduced in details the seven major ancient capitals in China, including Anyang, Xi'an, Luoyang, Kaifeng, Nanjing, Hangzhou and Beijing. He also made overall and systematic description of the history, geography, humanistic and anecdotes of each ancient capital. Qu Yingjie wrote "Investigation of Capitals in the Historical Records", in which he verified in details the geographical condition, scales, layout and street, palace, governmental office, market and residents of capitals recorded in "The Historical Records". In the recent years, there have been a lot of related works published about studies on capitals. For example, in "The Institutional History of the Ancient Capitals in China", Yang Kuan studied and demonstrated in a systematic way the developmental evolution of ancient Chinese capitals and their systems. However, the emphasis of the author was laid on the form and pattern of capitals instead of selection of a capital. In "Chinese Ancient Capitals", Wu Songdi introduced capitals in early China, including capitals of unified dynasties, capitals at split times, capitals of borderland minority political power and capitals neighboring to their capital – a second capital. Wu Songdi also illustrated the reasons for moving capitals of unified dynasties, site selection of capitals and layout of capitals. The content of the book is quite plentiful. The work "Archaeological Discovery and Research of Ancient Chinese Capitals", in which Liu Qingzhu was the Editor-in-Chief, divided ancient China into 11 historical periods in a historical and chronological order. These 11 historical periods include Xia Dynasty, Shang Dynasty, the Western Zhou Dynasty, the Eastern Zhou Dynasty, Qin Dynasty, Han Dynasty, Wei, Jin, Northern and Southern Dynasties, Sui and Tang Dynasties, Song Dynasty, Liao and Jin Dynasties, and Yuan Dynasty. The book elaborated in a comprehensive way archaeological discoveries of capitals during each dynasty period. Furthermore, there are some other scholars who have works on ancient Chinese capitals. For example, Ge Jianxiong's "Ancient Capitals and Cities", Zhao Yongfu's "The Historical Evolution of Metropolis Extending in All Directions", and "Capital China: Moving of Capitals and Flow of the Main Artery of Chinese History" compiled by Xin Xiangyang and Ni Jianzhong, etc. In addition, many of some journals in China have studied the issue of capital construction. For instance, "Studies on Ancient Chinese

Capitals" specially published works on the science of capitals; "Beijing Union University Journal" launched a special column on Pekingology. Considering the situation in foreign countries, we find that there are not many works that specially study the science of ancient capitals. Such works include *capital city cultures* by Monika De Frantz*, Capital Cities in the Aftermath of Empire by* Emily Gunzburger Makas and Tanja Damljanovic Conley, "Capitals in Ancient Japan" by the Japanese scholar Kano, Hisashi (かのう ひさし, August 5, 1933 -) and "Study on the System of Ancient Capitals in Japan" by Imai Kouki, etc.

Nonetheless, some theses refer to the issue of capitals, such as, Mark Traugott's "Capital Cities and Revolution" published in Vol. 19, No. 1 (Spring, 1995) of Social Science History; Chad F. Emmett's "The Capital Cities of Jerusalem" published in Vol. 86, No. 2 (Apr., 1996) of Geographical Review; William S. Logan's "The Cultural Role of Capital Cities: Hanoi and Hue, Vietnam" published in Vol. 78, No. 4 (Winter, 2005/2006) of Pacific Affairs; Joe Uziel and Itzhaq Shai's "Iron Age Jerusalem: Temple-Palace, Capital City" published in Vol. 127, No. 2 (Apr. - Jun., 2007) of Journal of the American Oriental Society; Preston E. James and Speridião Faissol's "The Problem of Brazil's Capital City" published in Vol. 46, No. 3 (Jul., 1956) of Geographical Review; O. H. K. Spate's Factors in the Development of Capital Cities" published in Vol. 32, No. 4 (Oct., 1942) of Geographical Review, etc.

On the basis of drawing from the research achievements of scholars, this paper makes a comprehensive analysis of the influential factors of site selection of capitals in all countries, with the aim of searching for regular and instructional conclusions. With regard to research methodology, this paper mainly adopts three methodologies, namely, historical research methodology, comparative research methodology and inductive methodology. In the first historical research methodology, the paper conducts an analytical research on the history of selection of capitals both at home and abroad. In the second comparative methodology, this study has not only studied cases in China, but also studied cases in foreign countries. After comparison of the similarities and differences, the key is to summarize the similarities and find out the commonness. In the third inductive methodology, among all countries in the world, China has a long-standing history, so there is a variety of forms in selection of capitals. The reasons are both regular and occasional. Thus, in order to find out the rule and get an effective conclusion, it is necessary to summarize among a great variety of fantasies.

In order to make clear how the governors of all the dynasties over the past took into account all the various factors in the process of determining their capital, it is, first of all, necessary to delve into selection of capitals in the history of China.

1. Factors Considered in Selection of Capital in the History

In the history of China, selection of capital by all the dynasties over the past implied different historical backgrounds, including different territories, different circumstances of war and peace, and different comparison of a country with its surrounding power, etc. Hence, specific considerations were taken according to different circumstances in selection of capital.

1.1 The Primary Consideration in Selecting a Capital Is the Military Factor

Military consideration means whether a city is favorable for military defense. If a capital only has the advantage of convenient traffic and developed business, while it is easy to attack and hard to defend in military, it is neither a good choice. For instance, in Dongjing Bianliang in Song Dynasty in the history of China, although it had developed water transport and convenient traffic, there was no strategically located barrier surrounding, it was vulnerable to get attacked directly by the troops of Jin State. In such situation, even the Yellow River could not give its full play as both of the two parties had the opportunity to gain by standing on the both sides of the River. Once the enemy reached the city gate, defense of merely the moat and the rampart became extremely passive. If there was a strategically located barrier as defense, it would be able to keep the enemy troops thousands of miles away and have larger military margin.

Over the history of China, Xi'an was chosen as the capital of several dynasties, as it had high mountains and large rivers on its east as a protective screen and had the corridor of the river valley as its passageway. Furthermore, Tongguan and Hangu Pass on the corridor as defense. In this way, it was both open and defensive on the east, so both advancing and retreating were feasible. Once a crisis occurred on its east, the troops could retreat to Hanzhong and Sichuan. In the earlier Western Han Dynasty, Lou Jing proposed to Liu Bang, the Emperor Gaozu of Han Dynasty, "Guanzhong Region is surrounded by high mountains and large rivers and has strategically located barriers. Therefore, even if urgent military crisis occurred and we were attacked by millions of troops, we are still able to resist against them." (Sima, Q., 2006, p418) Lou Jing persuaded Gaozu to establish their capital in Chang'an. Liu Bang was still suspicious at that time. It's recorded, "Liu Bang, the Emperor Gaozu, hesitated, seeking for views from the ministers around him who all came from the eastern area and hoped

that the Emperor could establish the capital nearby Luoyang in the east. They believed that Luoyang had a good geographical location which was solid enough to cope with the enemies. Furthermore, since Luoyang had been the capital for the Kingdom of Zhou for several hundred years, it was relatively auspicious. By contrast, as a place of Xianyang of the Qin Empire, Guanzhong Area perished just after two generations, so it was ominous. Hence, it might well be better to establish the capital in Luoyang. The important adviser Zhang Liang said, although Luoyang had a solid location, it had a narrow area and had no high mountains and large rivers around, which was disadvantageous for military defense. However, the Guanzhong Plain Area had high mountains and large rivers to defend and had a perfect strategic location, a land of abundance. Again, Liu Bang asked the Minister Lou Jing who also agreed with the view of Zhang Liang. Thus, Gaozu decided to establish the capital in Guanzhong, namely, Chang'an. This dynasty, got peace in the capital for several hundred years." [Liu, X., 1997, p339] Thereafter, several dynasties established their capital in Chang'an due to its geographical location which is easy to defend and hard to attack.

1.2 Consideration of the Place of Origin

Most inaugurators of a country or a dynasty choose the capital out of consideration of its place of birth. Place of birth is the source of its culture and the foundation of its political and military strength. Place of birth not only refers to a city, but also contains the entire area at the beginning of its birth, which covers the vast rural area or the prairie. Within the entire area, there is usually a relatively large city which is regarded as the center of governing. If there is, indeed, no such city, the governor usually builds such a city on the spot. Therefore, the primary capital of a dynasty, beyond controversy, is established in such a place, such as, Shangjing in the Dynasty of Liao, Nanjing in the Dynasty of Ming and Hetuala in the Dynasty of Qing. The Northern Song Dynasty chose Kaifeng as its capital just because it inherited the regime of the Northern Zhou Dynasty. As a local small dynasty, the Northern Zhou Dynasty had no more cities to choose as its capital.

1.3 Consideration of the Central Geographical Location

It says in "Taiping Imperial Encyclopedia", "When a monarch builds his dynasty, he must establish his capital in a central location of the country, which enables him to take control over his people and govern all surrounding areas." [Zhu, Y., 2003] Indeed, selection of a capital in a city located in the central governing area can bring much convenience. In this respect, as a result of changes in territory, the location of Luoyang was more close to the center of the territory than Xi'an at some time of the ancient China. Furthermore, Luoyang was abundant in products, convenient in traffic and developed in its surrounding water route, it was better to resolve the problem of supplies for the capital of the country. Besides, the distance for all small dynasties to come to Luoyang to pay tribute and report to the emperor was almost the same. Therefore, a large number of dynasties chose Luoyang as their capital. The Sui Dynasty had chosen Luoyang as its second capital. The Wu Zhou Dynasty of the Empress Wu Zetian established Luoyang as its capital throughout the entire period. All over the entire history of China, there are although thirteen (fifteen in another report) dynasties which established their capital in Luoyang.

1.4 The Element of Contrast of Political Power

Under the feudal system, different political groups held different political strengths. For instance, Zhu Di, the Emperor Chengzu of Ming Dynasty moved his capital from Nanjing to Beijing as he had had long-standing business dealings in Beijing and held solid political strength there. In modern times, after the Revolution of 1911, to the end of urging Yuan Shikai to compel the Qing Emperor to abdicate, Sun Yat-sen made the commitment to resign from the post of the Provisional President after abdication of Qing Emperor and to take over the post by Yuan Shikai. Yet, Sun Yat-sen required Yuan Shikai to take over the post in Nanjing when the latter chose the capital for the provisional government. However, Yuan Shikai directed and acted by himself a series of mutinies, claiming he was incapable of extricating himself to take over the post in Nanjing. Ultimately, he had his wishes fulfilled to take over the post in Beijing where all his political strengths were kept.

1.5 Consideration of the Economic Status

A capital is often chosen in areas where the economy is relatively developed so as to guarantee favorable living conditions of the capital. Chang'an was chosen as the capital for two major reasons. On one hand, without doubt, it had a strategically located geographical and natural conditions, so it is easy to defend and hard to attack. On the other hand, it is closely related to its developed agricultural conditions which were exploited at earlier time. Therefore, when the economic recession of the Guanzhong Area occurred as a result of the turmoil, the function of Chang'an as a capital was lost. In the late Western Han Dynasty, the Red Eyebrow Rebellion made a war with the regime headed by Liu Xuan in the Guanzhong Area. The common people either perished or escaped, as a result of which the farmland went out of cultivation. It is recorded in "Book of han – Liu Penzi Bibliography" that, "The great famine occurred in the Guanzhong Area at the end of the Western Han Dynasty. What's serious,

the phenomenon of dog eating dog even occurred. The whole city was empty and bones of the dead were all over the wild field." (Fan, Y., 2005, p56) This is also one of the reasons why Liu Xu, the Emperor Guangwu gave up Chang'an and chose Luoyang for his dynasty. Throughout operation and recovery for many years in the Northern Dynasties, by the period of Sui Dynasty and Tang Dynasty, Guanzhong had received substantially developed economy. Chang'an was well-known to the word and became an international metropolis with unprecedented prosperity. Nonetheless, the An Lushan Rebellion smashed once again the prosperity of Chang'an. "During the An Lushan Rebellion, the land went out of cultivation and no grass grew out in the Guanzhong Plain Area to the west of the Yellow River. As a result, the people escaped and wandered about. The situation was quite miserable." (Chen, Z., 2013, p217) In a manner of speaking, famine in the Guanzhong Area could not bear the sight and its economy thoroughly collapsed. Thus, in the Wuzhou period, Chen Zi'ang strongly suggested that Wu Zetian moved the capital to Luoyang, as he thought "Luoyang has Tai-hang Mountains on the north, plentiful grain-producing area on its south, and such a land of fish and rice as Yangze River and Huai River as well as such large granary as Luokou on the east, which is a great advantage". (Chen, Z., 2013, p217) In the later Tang Dynasty, the grain transport of Chang'an city was disadvantageous. As a result, grain of rice in the southeast area was unable to be transported successfully to the capital. This gave rise to greatly negative effects on the national strength of Tang Dynasty. By contrast, the economic and geographical position enjoyed exceptional advantages. As Mr Chen Yinque said, "In addition to some political and recreation reasons, there is a major reason why the emperors in the ancient China moved their capital from Chang'an to Luoyang, not mentioning the Emperor Yang of Sui Dynasty and the Empress Wu Zetian. It is the reason of economic suppl$^{y.}$" (Chen, Y., 1963, p146)

All over the history of China, Jiankang (Nanjing) and Hangzhou as well as other several cities were an ideal choice of capital owing to their convenient commercial traffic and prosperous handicraft industry. Moreover, they played a great role in stimulating the economic development there. Even Kaifeng in the Song Dynasty and the Great Capital of the Yuan Dynasty which had no good economic conditions at the very beginning finally obtained good economic conditions by means of canalization.

All the factors mentioned above have been taken into account by all the dynasties in the Chinese history. However, as a result of some constraints, some visions might have not been fulfilled by some locality separatist power. For instance, during the Sixteen States Period, the principle of selecting a capital is to make things done with whatever is available and the decision to choose a capital is relatively hasty. During the long period of Five Dynasties and Ten States, the situation is almost the same. Anyway, for a feudal dynasty which is devoted to unification of the entire country, it is a critical issue to be faced how to handle all kinds of relations in the process of selecting a capital. Among all the relations, the ethnic relation is also an extremely important aspect.

2. Consideration in Terms of Ethnic Relations

If we observe the history with a current viewpoint, the unified feudal dynasties throughout the history of China include Qin Dynasty, Western Han Dynasty, Eastern Han Dynasty, Sui Dynasty, Tang Dynasty, Yuan Dynasty, Ming Dynasty and Qing Dynasty. For all these dynasties, it is only possible to consolidate the territory and impose power over the world by means of handling well the ethnic relations and choosing a capital with a favorable position.

The Qin Dynasty has a short history, existing for only 21 years. Qin Shi Huang, the First Emperor of Qin Dynasty finished the national unification on the basis of the previous vassal states. Hence, he had no spare time or had no intention to consider the issue of seeking for a capital. During the period of Western Han Dynasty, the ethnic issue is mainly contradictions between the Han Dynasty and Xiongnu, an ancient nationality in China. On the whole, the strength of Han Dynasty has no upper hand. In 200 BC, Liu Bang, the Emperor Gaozu of Han was besieged in Baideng Mountain for seven days and nights by the Hephthalites. They went out of danger finally only by means of throwing a sop to the wife of Chan Yu, chief of the Xiongnu in ancient China. Afterwards, the Han Dynasty had no other choice but to, on one hand, defend tenaciously the Great Wall, and, on the other hand, carried out the policy of peace through marriage. It is only by the period of the Emperor Wu in the Han Dynasty which began to expand in strength that the Han Dynasty assembled the national power and pressed all-side attack on Xiongnu with Chang'an city as the support. Finally, the Han Dynasty achieved a decisive victory. So to speak, establishment in Chang'an as a capital placed the Western Han Dynasty in a position of forward defense. The Han Dynasty had no choice to retreat but to move forward. This is a foundation to gain victory over Xiongnu. In the earlier years of the Tang Dynasty, Chang'an city was often faced up with harassing attack from Tujue, a nationality in ancient China. In the year 626 AD, Xie Li Khan led his army to troop below Chang'an city. "The Emperor Taizong of Tang Dynasty, along with several of his ministers and altogether six people, got out of Chang'an City from the Black Tortoise and came to the side of Weihe River. They had a conversation with Xie Li Khan on the other side of the Weihe River. Taizong condemned Xie Li Khan about his violating their

neighborly treaty of alliance. His courage shocked Xie Li Khan and his reasoning of words persuaded Xie Li Khan. Finally, the two parties held the ritual of killing a white horse to ally with each other and Tujue withdrew their troops." [Geng, X., & Kang, H., 1996], p867) As it were, as "a place where an imperial resided", the danger of Chang'an was, beyond doubt, obvious. However, the Tang Dynasty did not have the plan to move their capital to the east. Instead, they kept moving forward. Chang'an was, all the time, kept as an outpost to resist aggressive enemies. Finally, the East Tujue wiped out. The foreign policy of active defense helped consolidate the great Tang Dynasty.

In the Ming Dynasty, Zhu Di, Chengzu, the Emperor of the Ming Dynasty chose to select Beijing as their capital because, on one hand, Beijing was the place of his sphere of power, and, on the other hand, they took their own initiative to defend against attack by the Mongolian who had retreated beyond the Great Wall. This is the so-called "the Emperor garrisoning the frontiers". In the fourteenth year (1449) of Zhengtong, an Emperor of the Ming Dynasty, the "Event of Tu Mu Bao" occurred and Yingzong, an Emperor of the Ming Dynasty was captured. Nevertheless, this didn't compel the Ming Dynasty to change their initial intention. Under the leadership of Yu Qian, the whole country pledged their lives to guard Beijing.

Different from the ethnic relation of separation between the north and the south during the periods of the Han Dynasty, Tang Dynasty and Ming Dynasty, the minorities of the Yuan Dynasty and Qing Dynasty attempted to achieve effective governing and administering on the areas of Han people in terms of ethnic relations after they acquired the national regime. For this reason, the two dynasties made a great effort to choose their capital nearby the farming areas of the Han Nationality and both moved their capital to Beijing from outside the Great Wall.

The largest empire all over the Chinese history – the Genghis Khan Empire established its capital in Hala during the earlier period of the empire. Kublai Khan, the Yuanshizhu Emperor, moved his capital twice. In the first year (the year 1260) of Zhongtong, the title of Kublai Khan's reign, Kaiping Mansion was established as the capital, and the capital was moved to Zhongdu (Beijing today) in the fourth year (the year 1267) of Zhiyuan, another title of Kublai Khan's reign. In this way, the emperor realized his political intention of governing the central plain area by Beijing and governing the northern desert area by Kaiping.

Qing Dynasty, a unified and multi-ethnic dynasty, laid foundation for the current territory of China. During the years from 1587 to 1625, Nurhachi moved its capital for altogether five times, among which the relatively important move was from Liaoyang to Shenyang in 1625. In the eyes of Nurhachi, Shenyang was a place which could extend in all directions. If they went to the west on a punitive expedition to Ming Dynasty, the route was straight and short in distance. If they went to the north on a punitive expedition to the Mongolia, they could get there within three days. If they went to the south on a punitive expedition to the North Korea, they could take Bai Qinghe Road. (Chen, L., 2014) In the year 1644, Wu Sangui led the troops of the Qing Dynasty to go through Shanhai pass. In May of the same year, Dorgon led his army to take over Beijing and declared immediately to move the capital to Beijing. In September, Fulin (the Emperor Shunzhi) arrived in Beijing. Shortly in October, Fulin succeeded to the throne and Beijing was formally announced as the capital of the Qing Dynasty. Thereafter, Qing Dynasty turned out to be a great power which unified the who country from a regional regime in an area of the Northern China.

It is observed that any unified feudal dynasty in the history of China regarded selection of the capital as an important aspect in reinforcing the ethnic relations and consolidating its dominant position. They also adapted themselves to changing circumstances. They either moved their capital or built a different governing center in the original place of birth and in the areas newly occupied. This objectively speeds up the step of national integration and enables the concept of a unified and multi-national country to gradually get into shape and enjoy popular support.

Throughout the history of China, there are not only great empires which successfully unified China, but also great efforts made by local regimes to facilitate national integration. Xiaowen, a well-known Emperor of the Wei Dynasty moved his capital, dressed up with Han Chinese clothes and changing his family name to a Chinese surname, and committed himself to get integrated with the Han nationality so as to better maintain his governing of the regime. In the first year of Zhenyuan (a title of an emperor's reign) in the Jin Dynasty, Wanyan Liang, the Emperor Hailingwang of Jin Dynasty, formally moved his capital from Huining Prefecture in Shangjing (south of Acheng in Heilongjiang today) to Yanjing and changed its name to Zhongdu (Beijing today). The population in Zhongdu Area increased rapidly and became a large city with a population of more than one million. Agriculture, handicraft industry and commerce in that area were all developed rapidly. After the Jurchen people entered Zhongdu, they lived together with the Han people and learned and accepted advanced scientific culture and customs as well as habits of the Han people. Among them, "many Jurchen people learned only customs of

the Han people, having no idea about the pristine customs of Jurchen. Some even forgot how to speak the language of Jurchen." (Tuo, T., 1975, p159) Later, when Wanyan Yong, the Emperor Shizong of Jin Dynasty, succeeded to the throne through a coup, he still established his capital in Zhongdu and gained a stable governing position. All the above cases are examples of efforts made by local regimes of minorities to fulfill national integration.

Having analyzed the situation of the ancient China, we will continue to have a look at whether these factors of selecting a capital in ancient China have their universality in the contemporary world?

3. Comparison with Foreign Situations

3.1 Consideration out of Military Aspects

Capitals of a great many countries are the leading edge of military defense and a military vital. For instance, Vienna, capital of Austria, ever played an important military role during the period of Habsburg Empire. In the year 1529 when the Ottoman Empire attacked Vienna for the first time, with the help of the ramparts handed down in the Middle Ages, the Austrians struggled to resist against the attack by the Turkish people. Ever since the year 1548, Vienna has been remoulded to a stronghold constituted by eleven fortresses and one ditch. When the Turkish people attacked Vienna for the second time in the year 1683, the stronghold that had been remoulded guarded Vienna for as long as two months. The Siege of Vienna was not relieved until the Poland King Jan III Sobieski dispatched troops for rescue. This also led the Ottoman Empire to begin to decline. St. Petersburg ever acted as the forward position by the Tsarist Russia to realize its foreign aggrandizement.

After World War I, the Soviet Union moved its capital from the coastal city Sankt-Peterburg to the inland city Moscow. To a large extent, this was done for the purpose of preventing attacks by imperialist countries. Indeed, the subsequent Soviet and Germany War proved the measure of moving backland had played an important role in the war which caused the lighting war of Germany beyond their grasp. The capital of Pakistan was initially located in Karachi, a coastal city. As it was vulnerable to attacks from the navy of its enemy countries, the capital was moved to the inland city Islamabad in 1970. In 1923, Turkey moved its capital from the border area Istanbul to the inland city Ankara. In 2005, Burma moved its capital from the coastal city Rangoon to the inland mountain city Pyinmana. All these moves were out of consideration of military security.

3.2 Consideration out of the Central Geographical Location

Foreign countries also have their considerations in selection of a capital. After realization of unification, Italy established its capital in the ancient capital Rome instead of such famous historic and cultural cities as Turin and Florence. That was out of consideration of its central position to connect the south and the north. The French capital Paris is also a central city which connects different cultural regions within the country, such as, the Rhein culture, the Frank culture, the Roman culture, and so on.

Kazakhstan moved its capital from Alma-Ata which is located in the southwestern corner of the country to Akmola in the center. Nigeria moved its capital from Lagos in the western coastal area to the central city Abujia. Tanzania moved its capital from Dar es Salaam to Dodoma in the center of the homeland which has almost the same distance from all administrative districts of the country.

Belgrade, which was ever the capital of Yugoslavia, and which is currently the capital of the Republic of Serbia, is located in the central position of the Balkan Peninsula. It is located in the intersection between the Danube and the River Sava, with the plain of middle reaches of the Danube to its north and the Šumadija Hill to its south. It is also the water and land transport thoroughfare of the Danube and the Balkan Peninsula. Therefore, it is a key point of contact between the Europe and the Near East and is termed as the key to the Balkan owing to its important strategic significance. It has a superior geographical location.

3.3 Consideration out of Economic, Political and Ethnic Factors

Paris, capital of France, is located in the Paris Basin on the side of the Seine River, a fertile agricultural area. The capital of UK is located in the major farming area – on the plain on both of the sides of the Thames River. Brazil moved its capital from Rio de Janeiro to Brasilia, which was also aimed to spur balanced development of the regional economy. Nevertheless, with development of the times, a capital is usually separated with the economic center of a country for the purpose of overcome such pressure as population, resources, environment, traffic and housing, etc. caused by rapid expansion of large cities.

In terms of balance of political power in foreign countries, the United States initially established its capital in Philadelphia. However, as this city had a northward deflection, its function as a capital was opposed by all states in the south. As a result, another new capital was selected. Finally, a new city, Washington, was built on the flat

ground with an appropriate position. This has better balanced the relationship between the south and the north.

In terms of ethnic relations, Canada finally established its capital in Ottawa after selection and move for several times. This city is not only close to the vast area where English is spoken, but also adjoins the Quebec area where French is spoken. After its unification, Germany moved its capital from Bonne to Berlin, which played an important role in national unification and recognition. Thus, it can be found that in selection of capitals by all countries, there are some inevitable factors to be considered, including military, politics, economy, nationality and geographical location. Furthermore, factors of all aspects are usually out of comprehensive consideration. For example, ever since the period of the Roman Empire, London in the United Kingdom has been an important city on the island of the Great Britain. It is located at the mouth of the Thames, so it not only has a convenient traffic, but is also closely neighboring the Strait of Dover and echoes with the continent of Europe, the most convenient and fast node that leads to the continent of Europe. In addition, population gathers here in this area and the business is developed. With regard to politics, during the period of the Civil War in the history of the United Kingdom, usually, the party that won support of London would gain victory. Hence, it has a decisive political and military significance. It closely neighbored the episcopate of Canterbury, so it has huge rally point in religion. It can be said that the bishop of Canterbury resorts to London to highlight his religious position, whereas London resorts the bishop to consolidate its political status.

Of course, in weighing among different factors, a country tends to establish its capital by taking into account the most important factors and get rid of relatively unimportant factors. For instance, although the United States capital Washington had a central position at the beginning of the building of the country, it is, obviously, not the central position of the United States territory even today. However, owing to its historical hereditability, the country has no plan to move its capital elsewhere.

4. Assessment of Functions of the Contemporary Capital of China

There were specific historical conditions for Beijing to be ascertained as the capital of the People's Republic of China. In earlier 1949, Mao Zedong, the founder of the PRC, asked for opinions from Wang Jiaxiang about the issue of selection of capital for the new China. After an analysis of several conditions, such as, the historical geography, strategic position and cultural psychology, Wang Jiaxiang summarized that Beiping (Beijing today) was the ideal city for establishment of the capital. Beiping was the imperial capital of the two dynasties of Ming and Qing for over 500 hundred years, so it was readily accepted by the masses. Mao Zedong said Wang Jiaxiang's opinion really made sense. On the basis of extensive soliciting for opinions and deep consideration, it was formally announced that Beiping was the capital of the new China.

Nowadays, Beijing has become a place of attraction in the eyes of the Chinese people and also an internationalized metropolis. People from the whole country and even all over the world gather there. Nonetheless, with changes of the times, Beijing is also faced up with a lot of "big city malaises". First of all, its city functions are overlapped. Today, Beijing has had the functions of "six centers", namely, political center, economic management center, cultural center, scientific and educational center, traffic center and information center. As a result of overlapping of its functions as the "six centers", stream of people, physical distribution and traffic flow of the whole country and even the whole world are collected in this old capital, so its population density has reached as large as 1311 persons/km^2. Its residents have crowded living space, built-up psychological pressure and weakened sense of happiness, so the social administration difficulty increases. Secondly, resources in Beijing are on the verge of the bearing limit. Water resources, land resources and spatial resources are all in large shortage. The increasingly strained land resources give rise to high upsurge of the house price. As a result, the living costs of the citizens increase by times. Under such circumstance, some scholars come up with the idea of moving the capital. However, as is well-known, moving a capital is absolutely not an easy digging for any large country as it involves overall consideration of various factors, especially historical factor, moving cost and national psychology, etc. Furthermore, in addition to moving a capital, historically, China and other countries have different historical experiences for reference.

For example, in the ancient China, the phenomenon of two-capital system ever happened, such as, Chang'an and Luoyang in the Tang Dynasty, and Nanjing and Beijing in the Ming Dynasty. In the contemporary world, Bolivia and the Netherlands still have two capitals. The legal capital of Bolivia is Sucre with a population of approximately 90 thousand, where its Supreme Judicial Court is stationed. Its administrative capital is La Paz, the central government station, with a population of approximately 800 thousand. The legal capital of the Netherlands is the Hague, a station of the Palace and the central government, where the international court of justice is located. It has a population of approximately 480 thousand. Its administrative capital is Amsterdam, the economic and cultural center of the Netherlands, with a population of approximately 800 thousand.

In other words, moving a capital is really not the unique choice either for the purpose of resolving the large city malaise in a capital or to the end of give better play to the political functions of a capital. It's even not the best choice. In some cases, moving of a capital might be to move to another place and to build a megacity. It might also be a path of low cost and high benefit to resolve the oversize population and environmental pressure and reserve its political function and cultural function by means of moving large enterprises and decomposing its economic function.

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Problematics of Direct Elections for Local Head after the Amendment of the 1945 Constitution of the Republic of Indonesia

M. Tauchid Noor[1] & Kamarudin[2]

[1] Post Graduate Program, Kanjuruhan University of Malang, Indonesia

[2] Faculty of Law, Hang Tuah University, Surabaya, Indonesia

Correspondence: Kamarudin, Faculty of Law, Hang Tuah University, Jalan Arif Tahman Hakim No. 150 Surabaya 60111, Indonesia. Tel: 62-813-9290-8729. E-mail: kamarudin@hangtuah.ac.id

Abstract

The amendment of the 1945 Constitution sets that governors, regents, and local mayors are democratic in their election, originally selected by the legislative assembly and latterly sifted into direct election from the people. Based on the regulation No. 22 of 2007, it states that the election of local leader and co-leader is characterized as the part of general election regime, and thus it brings impact on local election, which should run directly as well. This article examines the arising problems on local election after the amendment of the 1945 Constitution, which reveals various problematic factors in the implementation of direct election for local head has been officially established. Indonesia has run local election many times in different eras, including in Dutch colonialism, Japan colonialism, and post-independence era. In post-independence era, Indonesia also has various political climates and traditions and including Old Order, New Order, and reformation era. The alteration of this general election system aims to provide fair democracy for all people to vote for their local leaders. The implementation, however, encounters several factors and problems derived from the level of participation up to the readiness of local election committee.

Keywords: direct election, local head, direct system, amendment of the 1945 Constitution, Indonesia.

1. Introduction

General election is a process of electing an individual for particular political positions. Such positions are vary, including being president, representative's assembly, or local heads. In broader context, general election may refers to a process of occupying particular positions such as student president and co-president, although the term "election" is more frequently used.

General election is one attempt to persuade people by conducting rhetorical activities, public relations, public communication, lobbying, and other related activities. Although both agitation and propaganda are criticized in most democratic countries, such activities are commonly conducted by prospective candidates or politicians as political communicators in general election campaigns.

In general election, the voters are constituents, whom the prospective candidates of election offer promises and programs during campaigns. Campaigns are conducted in predetermined period of time, approaching the day of voting. After the election is done, the process of calculating the result will immediately begin. The winner of general election is based on particular conditions or system predetermined and approved by the participants and socialized to the voters.

General election in Indonesia is originally aimed to seek for representatives in House of Representatives, provincial representatives, and local/regional representatives. Since the amendment of the 1945 Constitution is established in 2002, ways of electing president and vice president are elected have changed, originally done by Peoples' Consultative Assembly shifted into direct election by public and the president election is characterized into general election regime. Among societies, the term 'general election' more frequently refers to election for legislative and president-vice president held every five years. This article examines various factors and problems of direct local election in Indonesia after the amendment of the 1945 Constitution is established.

2. Critical Factors of Direct Election for Local Head

2.1 People Participation

In order to discuss various factors in direct local election, we need to learn from experiences of previous local elections. During such former elections, some variations of system with different historical settings are identified.

In Dutch and Japan colonial eras, the local election was held through an appointment system by central government. Historically, the implementation of general elections held since 1955 was colored by four different political climates and traditions, including Old Order, New Order, and reformation era. Although not held simultaneously with general election, local elections, particularly in New Order era, was implemented with non-participative manner and the people were even "forced" to accept the local heads appointed by the central government. During the later era, since the establishment of regulation No. 4 of 1975, the appointment system by central government was applied with several variations, including through the approval from the Ministry of Internal Affairs and Indonesia National Army headquarters. Since the establishment of regulation No. 22 of 1999, the local election was held under a representative system through House of Representatives (Tamzil, 2005). Thus, participation is practically absent. Particularly, even after the establishment of local autonomy, the people could only see, with no right to participate, how the House of Local Representatives appointed their local heads.

What interesting from these historical paths of local election in Indonesia is that neither protests nor suits of those systems and the result which make the prospective candidates lose are ever found. Such phenomena indicate that during those eras, people definitely had no right to participate as all. Those systems have deliberately omitted people participation.

Does people participation have portion in direct election? The answer of the question should be seen from several perspectives. If it refers to political participation in terms of vote, it is relatively big (the fact was found in the general election held in 2004). However, it does not seem necessarily happen when it comes to their involvement in discussion, general meeting, demonstration, and active-passive organizational membership. The similar symptoms are found in general election held in 2004 as well (Tamzil, 2005).

Tamzil (2005, p. 23) illustrated that what interesting in direct local election refers to the arising aroma of *money politics*. Logically, *money politics* tends to follow where votes are. Since the establishment of regulation No. 5 of 1974, the vote is on central government. Similarly, since the establishment of regulation No. 22 of 1999, the vote is on House of local Representatives. Conversely, since the establishment of regulation No. 32 of 2004 and the regulation No. 22 of 2007 which sets direct local election, people finally have their vote. When it is directly distributed to individual, the sense of *money politics* may move into those voters. Furthermore, political parties considered as "buses" for election candidates are also potential for the likelihood of *money politics*, although it is often denied with the notion of *cost politics*.

Another problem interesting to discuss in terms of the implementation of direct local election deals with candidates' credibility. The elected local head plays a big role for democratization and local development. Options of prospective local head figures become essential. Their *track-records* and achievements are important to be revealed in public. Unfortunately, the paradigm of hypocrite, considering that only candidates with huge capital will possibly win, recently evolves. This seems reasonable due to the huge amount the candidates must pay, including the attempt of seeking for political party and other related political tools, campaigns and the attributes, and other expenses.

The above description is just for the sake of providing general illustration that the implementation of direct local election is not an ordinary event. Local election is exclusive and essential to be carefully examined if we want to reach a better standard of democratization.

Seen from societal participation context, what needs to be measured is the involvement of public in several levels. Public do not only give their vote on the D-day but also get involved in another level of political participation. If such involvement solely refers to the voting, the local election may only be considered as pooling process of people aspiration on their favorable prospective head.

Following Shadili and Echols (1993, p. 437), the term '*pooling*' is defined as a poll method (investigation of public opinion) which alternative options have been standardized, without asking for public involvement in each stage of the process of local election. Meanwhile, the system of general election (including local election) asks for political participation in each political process of general election (Asfar, 2006). That is, besides giving vote, the level of political participation is apparent by an active involvement in political discussion, both formal and informal. The further level is apparent by participation in general meeting, demonstration, and campaign.

Another further level points to participations on political organization membership, both passive and active (known as winning team in local election).

However, public political participation is necessarily determined by the level of public interest. Some is due to the interests of power and politic, which may take optimal benefit from each hierarchy of the people. Such interests are tightly related to people position in society, both in workplace and societal environment. These interests may be due to either ideology or complementary economy.

They who see the local head as the one, either directly or indirectly, capable to improve public welfare will definitely give their participation to prospective candidates with real performance. Conversely, they who see the local election as solely for the sake of complementary economy interest may give their participation to the prospective candidates with capability to meet such interests, and in this point, the public political maturity is actually tested.

To find a credible local head, social proficiency which builds transparency and fair mechanism to prevent any money politics and moral hazard is necessary. All elements, either directly or indirectly, related to local election should avoid such practices. Besides, growing dialectics on the importance of constructing good governance is likely to happen in society. Logically, if public has already recognized the profile and track-records of prospective candidates, any money politic practices can be prevented. This point increasingly indicates that political communication, both directly and indirectly, is considered as fundamental requirement for building public political maturity.

Through transparent, equal, and fair political communication, public is expected to increasingly see the importance of voting for a credible, accountable, and potential local head for the sake of their local development. Thus, it is expected that public political participation can be better optimized in each of the stages. Such participation is significantly considered as barometer for public maturity building.

The implementation of local election which periodically turns into changes indicates the dynamic of people lives (including political lives). The political system change is inevitably associated to social changes. Following Taneko (Rijono, 2003, pp. 1-2), every individual has definitely encountered some changes basically identified as a continuous process. Dealing with those changes, many countries change their governmental system –marked by a shifting paradigm from centralist to decentralist in various rationales, purposes, forms, and dimensions.

Following Mariasmo (2001, p. 10), decentralization is required for modern government and expected to be able to create a sustainably efficient, effective, accountable, transparent, and responsive autonomy local government. Wahab and Arif (2002, p. 8) by citing from Cooper argued that decentralization aimed to juxtapose public services with people. In accordance to Shah (1991, p. 21), this may reinforce public participation. Decentralization and participation are inseparable as like the two sides of a coin. Therefore, the policy of decentralization will be meaningful when the implementation is aimed to empower public position.

Empowering local people actually refers to public participation, and following Berns (Jalal & Supriadi, 2001), decentralization is a driver to empower local people by involving them in public decision making. However, public participation for the development of Indonesia in New Order era is identified not optimal. The dominant and authoritative governmental regime during New Order era, according to Amnah and Subiakto (Susilo, 1997), has fettered people involvement in each of governmental process. Besides, according to Sparringa (Susilo, 1997), hegemonic government presented by New Order regime and supported by military has placed people as complementary. This, in accordance to Suryono (2001, p. 124) may emerge *psychology of fear* of fake awareness in society (Parera and Kekerits, 1999) or mystification and misuse of naïve awareness from public may occur as well (Paulo Freire, 2001). This may eventually create the fear of freedom from oppressed people, due to the arbitrariness of a dominant and authoritative ruler.

As being oppressed by New Order regime for three decades, it is not easy for people to have a critical awareness. Besides, education at that moment was used as a political tool for the government, and borrowing the terms from Freire (2000, pp. 30-33), our education is anti-dialogue, dehumanize, bank-style, and not referring to "*conscientization*". Without any critical awareness, it is difficult to make people participate. And although they finally participate, such participation is pseudo and not sincere (Freire, 2000), or not autonomous from public awareness.

Besides, the government officials of New Order regime, as identified by Loekman Soetrisno (1995, p. 207), have an exclusive definition dealing with participation different from what people commonly see. From the officials' perspective, participation is people willing to unconditionally support the government programs which design and purposes are predetermined by the government. Such definition comes with an assumption that public is

considered as the government's subordinate and the government is dominant in determining how the development should be. As the result, the development programs keep *top-down*.

Hindrances in participation are strengthened, along with the development model followed by New Order government. New Order regime has based the principles of national development on economic building. By conducting economic building, it is expected to increase people welfare, decrease the level of absolute poverty, and create prosperity. It is admitted that Indonesia economic growth is impressive, as presented by Alhumami (Parera and Koekerits, 1999) that it was above 7% per year, an achievement which never happened before. To keep it run, however, development is considered as 'new ideology', and even Lerner –as cited by Fakih (2001, p. 13)- argued that as an international ideology or even similar to 'new religion' which promises new hopes to address poverty and backwardness issues suffered by thousands people of the third world. As identified as an ideology, 'development' needs to be strongly *secured* and *preserved*. Strong security on development, according to Soetrisno (1995, p. 207), generates people's reaction which brings negative impact on the attempt of encouraging people willing to participate in development.

Such reaction, following Soetrisno (1995, pp. 207-208) includes various new traditions growing in society during that time. The tradition of being silent seems happen in public society, and the tradition of seeking for safety seems apparent in the part of government officials. The tradition of seeking for safety generates an authoritative behavior in implementing various development programs. It also makes the government not open with any dynamics of development which happen in society. Furthermore, it may cause the lack of people's willing to participate in the development. This is also related to the number of regulations which 'graves' people's willing to participate (Soetrisno, 1995).

In the context of organizing a local election, the level of public participation is primarily determined by the election system applied, the credibility of local election host, and the profile of prospective candidates. Therefore, as argued by Tamzil, the implementation of election (either central or local) seems tidal. Moreover, in the old system of local election, people participation is practically lost.

A new hope to bring people participation into life is apparent by establishing a direct local election system under the policies of decentralization (regional autonomy) which one of those has assigned the system and the process of local election toward local government, and the people may directly vote their prospective candidates. Thus, the local election is fully held by Local Election Committee without any intervention from central government.

The policies of decentralization as mentioned in Law No. 32 of 2004 on Local Government have broadened the authority of implementing regional/local autonomy by fully assigning several governmental affairs to local governments. Such affairs include general affairs, health, education, culture, farming, transportation, industry and commerce, capital investment, living environment, land affairs, cooperation, and employment. On the other hand, the authority of the central government is limited to foreign policies, defense, jurisdiction, monetary and fiscal, religion and other affairs related to national planning policies, balancing funds, national administration system, human resource empowerment, natural resource empowerment and strategic high-tech, conservation, and national standardization. Such broadening authority forces local government to accept the increasing tasks and responsibilities to be fulfilled (Nugroho, 2000).

Furthermore, another consequence of decentralization points to the process of local election. Formerly, the election of local head is conducted by the House of Representatives as the extension of the central government tool. However, as the establishment of Law No. 32 of 2004 on local government, it turns the process of local election into a direct system which allows people to vote directly so that their participation can be realized.

2.2 The Role of Local Election Committee in the Election of Local Head

In the system of direct local election which is indeed newly conducted, the Local Election Committee (KPUD) has a broad authority to set the electoral regulation, implement the electoral process, control and conduct electoral law enforcement. However, people have been too long confined with an electoral system fettering their participation, and to change such political system is not that easy as reversing the hands.

The social action of KPUD in realizing an interaction with public is one determinant of changing public socio-political behavior to participate in local election.

Basically, authority and role are inseparable. Authority refers to tasks an institution needs to conduct, and role refers to social functions an institution should complete based on the authority embedded. As the authority, every institution has several roles which sometimes need to complete simultaneously. Authority may automatically mean nothing when it is not well implemented by KPUD.

Dealing with that, KPUD plays some roles in local election. Roles are a set of regular behavior due to a function

or particular position of an office or institution. Carter, cited by Najikh (2006, p. 13) asserted that roles were two-way communication processes that continuously run in order to provide better understanding of the process of an activity toward people. The scope may indicate that roles are processes of regularly communicating patterns of action/behavior (e.g., socialization, survey of behavior, public discussion, etc.) expected from either individuals or institution with public authority. Therefore, KPUD's roles refer to tasks or concrete actions KPUD needs to complete based on its authority.

Basically, KPUD's roles in local election generally follows its authority. *First*, KPUD needs to use its authority properly in terms of controlling electoral regulation. Dealing with that, KPUD must be able to determine the procedures of local election and implement the procedures based on electoral regulation. Particularly, KPUD must be able to implement the regulation, which includes attributing itself with regulatory stuff and then communicating the regulation to all participants of local election, stakeholders, and public. *Second*, KPUD must play its roles proportionally in accordance to its authority in order to compete the local electoral process. In this case, KPUD must plan and conduct all the phases of local electoral process appropriately, such as planning, socializing, cooperating with other bodies, etc. *Third*, KPUD must play its role according to its authority in terms of controlling and upholding the electoral law enforcement. In this case, KPUD must be able to become an independent body capable to make rules or decision based on the regulation. In concrete context, KPUD must place itself appropriately so that all the electoral regulation and decision can be accepted as a controlling reference in organizing a local election. Thus, KPUD must uphold all the applied regulation, such as: controlling, addressing, providing sanction to participants of local election, and other related stuff for the sake of implementing a participative local election. In this case, KPUD plays its role to make the legal function effective in order to create and oversee the order of local election, and also makes evaluation when it does not effectively work. KPUD can play such role in protection service for the participants of local election, public, and other stakeholders.

From those three roles, it may indicates that KPUD plays important roles in organizing a local election. This implies that KPUD has a responsibility to intensively organize a local election. Thus, KPUD's roles do not only exist in the initial phases, but also in the entire process of local election, such as registering and determining the voters, registering and determining the candidates, conducting campaigns, calculating the vote, and deciding the selected candidates.

In broad manner, those roles may refer to *interpersonal roles* which requires KPUD to make relation or communication, both internal and external. Such roles emerge due to KPUD's status or authority. It can be in the form of building cooperation with local election desks like police force, department of national education, department of religion, mass media, and other societal organizations and officials like religious groups, women organization, youth organization, and community organizations.

KPUD as an independent body has relation with informational roles considering KPUD as information center for local election. This role requires KPUD to seek for and provide information which is particularly related to its organizational activities. It can be socialization, public community empowerment, etc. KPUD's informational roles can be vary. This body is considered as a monitor, disseminator, and spokesman. As monitor, it acts as information acceptor and collector which should be well-functioned for organization and its environment. With this role, KPUD may lead the change, identify challenges and opportunities to develop its environment. Therefore, KPUD may see when it should provide information for making decision in local election. As an independent body, KPUD must be able to gather information dealing with internal and external activities as much as possible. As disseminator, KPUD must be able to transform information, both derived from internal and external, toward the participant and public. As spokesman, KPUD must be able to deliver information beyond the organizational environment.

Dealing with *decisional role*, it relates to decision making. This allows KPUD to have a formal authority which make it capable to plan important actions in local election. Besides, KPUD also functions as information center, thus, it assures that the decision KPUD made can be good for the interest of local election.

KPUD's roles include carrying responsibility, attempting to implement tasks, and realizing all the tasks based on its authority. Hence, KPUD, as an independent body potential to succeed a local election, needs to unify the commitment of its members, given that KPUD is an architect for the success of a local election.

KPUD's effective function is used as a power to optimize its members' performance and encourage people to participate. Once KPUD capable to appropriately, proportionally, and professionally play its roles, the local election may effectively run. Such effectiveness is a power to optimize its members' performance and, thus, improve the level of people participation in local election.

3. Problems in Direct Election for Local Head

Public political participation in giving vote seems relatively big. However, it is not likely to happen in public discussion, general meeting, demonstration, and other related organizational memberships both active and passive. The similar tendency can be seen when it comes to general election. Furthermore, there are several problems during the process of local election with direct system.

3.1 Money Politics

Tamzil illustrated that one interesting matter in direct local election was the emerging circumstance of money politics (Tamzil, 2005, p. 3). Logically, money politics tend to follow where the vote are. The establishment of Law No. 5 of 1974 mentioned that the central government had the vote, while Law No. 22 of 1999 mentioned that the House of Representatives had the vote. Currently, since the establishment of Law No. 32 of 2004 on direct local election, public has the vote. When all the votes are directly distributed to each individual, *money politics* may move following those votes. Moreover, current political parties which act as 'bus' for prospective candidates also potential to create the likelihood of money politics, although such argument is often denied by recognizing it as *cost politic.*

3.2 Profile of Prospective Candidates of Local Election

Another interesting problem which needs to discuss dealing with the implementation of local election refers to the credibility of the candidates. The direct elected local head plays a big role for democratization and for developing his region. Thus, electing of prospective candidate profile is crucial. Particularly, track-record and performance of the prospective candidates should be crucially concerned for public. However, hypocrite paradigm, referring that only candidates with big capital may win the battle in local election, still exists up to recent year. This is reasonable, given the amount of expense the candidates must spend, from seeking for political party and other related institutions as political tool, campaign along with its attributes, and other necessary expenses.

This all description is a general illustration indicating that the implementation of direct local election is an extraordinary event. Direct local election is an idiosyncratic and crucial event which should be carefully concerned if we want to reach a better democratization.

3.3 Public Involvement and Participation

Measuring the direct local election success from the aspect of public participation should see the public involvement in several phases. People do not solely give their vote on the D-day, but also get involved in other political participation. Once such involvement merely refers to voting, the local election is only considered as a *pooling* process of public aspiration dealing with prospective candidates.

Shadili & Echols (1993, p. 437) defined the term *pooling* as a poll method (investigation of public opinion) which alternative options have been standardized, without asking for public involvement in each stage of the process of local election. Meanwhile, the system of general election (including local election) asks for political participation in each political process of general election (Asfar, 2006). That is, besides giving vote, the level of political participation is apparent by an active involvement in political discussion, both formal and informal. The further level is apparent by participation in general meeting, demonstration, and campaign. Another further level of participation points to participation on political organization membership, both passive and active (known as winning team in local election).

However, public political participation is necessarily determined by the level of public interest. Some is due to the interests of power and politic, which may take optimal benefit from each hierarchy of the people. Such interests are tightly related to people position in society, both in workplace and societal environment. These interests may be due to either ideology or complementary economy.

They who see the local head as the one capable to improve public welfare (either directly or indirectly) will definitely give their participation to prospective candidates with real performance. Conversely, they who see the local election as solely for the sake of complementary economy interest may give their participation to the prospective candidates with capability to meet such interests, and in this point, the public political maturity is actually tested.

To find a credible local head, social proficiency which builds transparency and fair mechanism to prevent any *money politics* and moral hazard is necessary. All elements, either directly or indirectly, related to local election should avoid such practices. Besides, growing dialectics on the importance of constructing good governance is likely to happen in society. Logically, if public has already recognized the profile and track-records of

prospective candidates, any money politic practices can be prevented. This point increasingly indicates that political communication, both directly and indirectly, is considered as fundamental requirement for building public political maturity.

Through transparent, equal, and fair political communication, public is expected to increasingly see the importance of voting for a credible, accountable, and potential local head for the sake of their local development. Thus, it is expected that public political participation can be better optimized in each of the stages. Such participation is significantly considered as barometer for public maturity building.

3.4 The Impact of New Order Government System on Public Participation

Public participation for the development of Indonesia is not optimally realized during New Order era. This dominant and authoritative governmental regime, according to Amnah and Subiakto (Susilo, 1997) has fettered public involvement in each of governmental processes. In addition, according to Sparringa (Susilo, 1997), hegemonic government presented by New Order regime and supported by military has placed people as complementary. This, in accordance to Suryono (2001, p. 124) may emerge *psychology of fear* of fake awareness in society (Parera and Kekerits, 1999) or mystification and misuse of naïve awareness from public may occur as well (Paulo Freire, 2001). This may eventually create the fear of freedom from oppressed people, due to the arbitrariness of a dominant and authoritative ruler.

As being oppressed by New Order regime for three decades, it is not easy for people to have a critical awareness. Besides, education at that moment was used as a political tool for the government, and borrowing the terms from Freire (2000, pp. 30-33), our education is anti-dialogue, dehumanize, bank-style, and not referring to "*conscientization*". Without any critical awareness, it is difficult to make people participate. And although they finally participate, such participation is pseudo and not sincere (Freire, 2000), or not autonomous from public awareness.

Moreover, the government officials of New Order regime, as identified by Loekman Soetrisno (1995, p. 207), have an exclusive definition dealing with participation different from what people commonly see. From the officials' perspective, participation is people willing to unconditionally support the government programs which design and purposes are predetermined by the government. Such definition comes with an assumption that public is considered as the government's subordinate and the government is dominant in determining how the development should be. As the result, the development programs keep *top-down*.

Hindrances in participation are strengthened, along with the development model followed by New Order government. New Order regime has based the principles of national development on economic building. By conducting economic building, it is expected to increase people welfare, decrease the level of absolute poverty, and create prosperity. It is admitted that Indonesia economic growth is impressive, as presented by Alhumami (Parera and Koekerits, 1999) that it was above 7% per year, an achievement which never happened before. To keep it run, however, development is considered as 'new ideology', and even Lerner –as cited by Fakih (2001, p. 13)- argued that as an international ideology or even similar to 'new religion' which promises new hopes to address poverty and backwardness issues suffered by thousands people of the third world. As identified as an ideology, 'development' needs to be strongly *secured* and *preserved*. Strong security on development, according to Soetrisno (1995, p. 207), generates people's reaction which brings negative impact on the attempt of encouraging people willing to participate in the development.

Such reaction, following Soetrisno (1995, pp. 207-208) includes various new traditions growing in society during that time. The tradition of being silent seems happen in public society, and the tradition of seeking for safety seems apparent in the part of government officials. The tradition of seeking for safety generates an authoritative behavior in implementing various development programs. It also makes the government not open with any dynamics of development which happen in society. Furthermore, it may cause the lack of people's willing to participate in the development. This is also related to the number of regulations which 'graves' people's willing to participate (Soetrisno, 1995).

3.5 The Impact of Decentralization

The implementation of local election periodically turning into changes indicates the dynamic of people lives (including political lives). The political system change is inevitably associated to social changes. Following Taneko (Rijono, 2003, pp. 1-2), every individual has definitely encountered some changes that are basically identified as a continuous process. Dealing with those changes, many countries change their governmental system –marked by a shifting paradigm from centralist to decentralist in various rationales, purposes, forms, and dimensions.

Following Mariasmo (2001, p. 10), decentralization is required for modern government and expected to be able to create a sustainably efficient, effective, accountable, transparent, and responsive autonomy local government. Wahab and Arif (2002, p. 8), by citing Cooper's statement, argued that decentralization aimed to juxtapose public services with people. In accordance to Shah (1991, p. 21), this may reinforce public participation. Decentralization and participation are inseparable as like the two sides of a coin. Therefore, the policy of decentralization will be meaningful when the implementation is aimed to empower public position.

Empowering local people actually refers to public participation, and following Berns (Jalal & Supriadi, 2001), decentralization is a driver to empower local people by involving them in public decision making.

A new hope to realize public participation into life is apparent by establishing a direct local election system under the policies of decentralization (regional autonomy) which one of those has assigned the system and the process of local election toward local government, and the people may directly vote their prospective candidates. Thus, the local election is fully held by Local Election Committee without any intervention from central government.

The policies of decentralization as mentioned in Law No. 32 of 2004 on Local Government have broadened the authority of implementing regional/local autonomy by fully assigning several governmental affairs to local governments. Such affairs include general affairs, health, education, culture, farming, transportation, industry and commerce, capital investment, living environment, land affairs, cooperation, and employment. On the other hand, the authority of the central government is limited to foreign policies, defense, jurisdiction, monetary and fiscal, religion and other affairs related to national planning policies, balancing funds, national administration system, human resource empowerment, natural resource empowerment and strategic high-tech, conservation, and national standardization. Such broadening authority forces local government to accept the increasing tasks and responsibilities to be fulfilled (Nugroho, 2000).

Furthermore, another consequence of decentralization points to the process of local election. Formerly, the election of local head is conducted by the House of Representatives as the extension of the central government tool. However, as the establishment of Law No. 32 of 2004 on local government, it turns the process of local election into a direct system which allows people to vote directly so that their participation can be realized.

However, what matter is that this direct local election system is newly held by giving a broad authority toward Local Election Committee (KPUD) to set the electoral regulation, implement the electoral process, control and conduct electoral law enforcement. Meanwhile, people have been too long confined with an electoral system fettering their participation, and to change such political system is not that easy as reversing the hands.

In the context of organizing a local election, the level of public participation is primarily determined by the election system applied, the credibility of local election host, and the profile of prospective candidates. Thus, as argued by Tamzil, the implementation of election (either central or local) seems tidal. In addition, with the old system of local election, people participation is practically lost.

4. Conclusion

General election in Indonesia applies "*luber*" principle which refers to "direct, general, free, and private" and "*jurdil*" principle which refers to "honest and fair". The amendment of the 1945 Constitution has turn the election system of president/vise-president and local head that is originally indirect into direct organized by public.

This alteration aims to provide a fair democracy for the people in electing their leaders, both in central and local government. The alteration in local election, from indirect to direct implementation, is due to several crucial factors which one of those refers to public participation and the readiness of local election committee. Direct local election encounters various problems such as: money politic, the selection of prospective candidate profiles, the level of public participation, governmental system and decentralization system.

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Designing Job Descriptions for Toxicology Nurses

Sanaa Abd Elmonem Gharib[1] & Nehad Ezz-Eldin Abdullah Fekry[2]

[1] Department of Nursing Administration, Nursing Director (previously) at Security Forces Hospital, KSA

[2] Professor of Nursing Administration, Faculty of Nursing, Cairo University, Egypt

Correspondence: Sanaa Abd Elmonem Gharib, Department of Nursing Administration, Nursing Director (previously) at Security Forces Hospital, KSA. Tel: 20-10-6662-2210. E-mail: tarek_hind@yahoo.com

Abstract

This study aimed at designing job descriptions (JDs) for toxicology nurses at NECTR - Cairo University Hospitals. The Center composed of ICUs (24beds) and ER (4beds).Throughout the "developing of JDs" the methodological design was used. The Sample composed of all Nursing Staff at NECTR (N=30). The Nursing Activity Checklist and Job Analysis Questionnaire tools were developed, with 12 dimensions and 123 items and had an excellent reliability and validity. The Nurses' roles were described and identified for the highest and lowest tasks, to examine the frequency, importance, and difficulty of each task. Thus each category had various duties and tasks. Based on the Jury/ experts' opinions, the investigator developed validated JDs for Toxicology Nurses (DON, Deputy DON, Charge Nurse and Staff Nurse). The educational sessions were successful in increasing the nurse's knowledge about the newly designed JDs. This study concluded that it is necessary to implement the designed JDs and develop educational programs to improve the nurses' disabilities at NECTR.

Keywords: Job description, Standards of nursing practice, Nursing process, job analysis

1. Introduction

In the most basic sense, a lack of a job description (JD) may make it difficult for an employee to have an accurate and complete understanding of his or her role. JD is a structure standard that should outline the required knowledge, skills, abilities, duties, responsibilities, performance and scope of authority for specific position to ensure that the correct people are hired for the job (Brannick, Levine, & Morgeson, 2013; Sullivian, & Decker, 2013). Nevertheless, some JDs are completely separate from the standards of practice with no indication of the expected job behavior related to each position defined in the standard (Jernigan, & young, 2010).

JD involves also establishing rational basis for the salary structure, clarifying relationship between jobs, analyzing employees duties, evaluating job performance, orienting new employees, assisting in hiring and placement, establishment lines of promotion, identifying potential training needs, critically reviewing existing work practices, providing data as to proper channels of communication, developing job specification, serving as a basis for planning staffing levels, all are the most vital requirements and responsibilities are the part of the job and directly linked to the achievement of the goals of the organization (Brannick et al., 2013; Sullivian, & Decker, 2013).

In fact, job analyses is used to identify the differences and similarities among different positions, achieve knowledge and requirements on jobs to prepare a JD and job evaluation (Palmer, 2010; Royer, et al., 2010; Vati, 2013). According to Cucina, Martin, Vasilopoulos, and Thibodeuax (2013), there are two broad categories of job analysis elements, job oriented and worker oriented. Job-oriented elements focus on the job itself and the work or tasks performed by incumbents, whereas worker-oriented elements focus on collecting information regarding the competencies required in performing a job.

The American Nurses Association (ANA), (2010), was the first association to design the standard of nursing practice for all areas including emergency nursing practice and intensive care nursing practice. As stated by Hardingham and Lorine (2009); Mamseri and Mc Bezuidenhout (2012), these standards were divided into four phases related to the steps of nursing process to meet the needs of nursing services. The standards provide a method to ensure that patients are receiving high quality of care and that the nurse knows the essentials to provide nursing care (Youngjin et al., 2014).

Moreover, researchers and professionals are generally in agreement over the main content of JD and the specific uses, it is necessary to involve and inform those who are unfamiliar with the job about what it entails. JD contains many features including the position title and location, reporting relationship, job summary, the physical environment, culture, interpersonal interaction, skills, specifications, education and qualification (Vati, 2013).

2. Significance of the Study

The National Center for Clinical and Environmental Toxicology Research (NECTR) –Cairo University Hospitals is busy center with an average admission of 900 patients per month. After extensive review of literature by the research investigator, the result showed that there was no available specific JDs related to any level of nursing providers dealing with admitted patients in toxicology center. At the above mentioned center, the investigator observed that the nurses were confused and had conflict between themselves and medical staff from the overlapping of their roles, which could jeopardize the quality of patient care. Therefore, these nurses must have JDs to identify their roles in caring of patients with different diagnoses such as addiction; drug misuse; organophosphate pesticides poisoning; snake; and spider, insect bite. Hence, the study aimed at designing JDs for toxicology nurses. The objectives are: (1) assess the nursing tasks currently performed at National Egyptian Center for Clinical and Environmental Toxicology Research (NECTR)- Cairo University Hospitals;(2) develop and validate the job analysis questionnaire and nurses activity check list tools;(3) assess the levels of importance and frequency of nursing tasks; (4)design job descriptions for toxicology nurses- based on the previous findings; (5) assess the validity and applicability of the proposed job descriptions; and (6)communicate the designed job descriptions with the nurses at the mentioned center.

General system theory (GST) was developed to simplify the complexity of work and make it more understandable (von Bertalanffy, 1962). The development of the GST came as a result of the author's perceived need for a theory to guide research in multiple fields. Standards are the first component of the system; they provide the input into the second component (job descriptions). The job description (thru put) transform the information received and produce the output, it has a purpose to provide process to utilize for the delivery of the best quality of nursing care, consists of interrelated components (assessment, planning, implementation, and evaluation), and the component interact in an orderly fashion (Jernigan & Young, 2010).

3. Materials and Methods

Research Design: Methodological research design was used for this study.

Setting: National Egyptian Center for Clinical and Environmental Toxicology Research (NECTR) – Cairo University Hospitals. The center composed of ICUS (24beds) and ER (4beds).

Sample: All the nursing staff at NECTR; composed the study sample; one Director of Nursing, one Deputy Director of Nursing, Charge Nurses (12) and Nursing Staff (16). (N=30).

Tools of Data Collection: The following developed tools were used to develop job descriptions:

The first tool: Job Analysis Questionnaire (JAQ) was developed by the investigator after revision of the related literature and observation of the nurses at NECTR- the clinical areas. The Job Analysis Questionnaire includes two parts. **The first part** is the characteristics of the participants such as qualifications, title, age, years of experience, educational courses and salary. **The second part** consisted of 12 dimensions and123 items (tasks) for job analysis related to specific tasks under the following dimensions: (A) Patient' assessment, (B) nursing care plan, (C)nursing intervention, (D) medication administration, (E) nursing professionalism, (F) infection control standards, (G) nursing skills, (H)basic nursing care, (I) nursing management, (J)nursing leadership, (K) quality of nursing care and (L) nursing education.

The second tool: Nurses Activities Checklist (NAC) was developed by the research investigator utilized the same information of the Job Analysis Questionnaire.

Table A. Scoring System According to the Mean Value:

Mean *	Degree of importance	Frequency
1.1- 1.8	Lowest importance	Lowest frequency
1.9-2.6	Not important	Low frequency
2.7- 3.4	Neutral/Disinterest	Neutral/Disinterest
3.5- 4.2	Very important	High frequency
4.3- 5	Highest importance	Highest frequency

(Statistical institute – Cairo University, 2016). *M= mean value

Reliability: The reliability and face validity established and the result was extremely reliable and valid as presented in (Table B).

Table B. Reliability and Face Validity of JAQ (N=123):

Dimensions	N of Items	Importance		Frequency	
		Cronbach's Alpha	Validity	Cronbach's Alpha	Validity
12	123	.980	.990	.987	.994

Validity: The content validity of the tools established by the five members of Jury/experts in nursing and toxicology specialty. The same members assessed the content validity of the proposed JDs with minor modifications.

Ethical Consideration: Primary Approval was obtained from the Research Ethics Committee of Faculty of Nursing- Cairo University. Also an official permission was obtained from NECTR administration to conduct the study. Each participant was informed about the aim and importance of the study and has the right to withdraw at any time without penalty. Written informed consent obtained from the participants and confidentiality was assured.

Procedure:

Preparatory phase: An official permission was granted to proceed with the proposed study, followed by a meeting between the investigator and the Director of NECTR to explain the purpose of the study, asked for cooperation to facilitate the data collection. The investigator had several meetings with the nursing staff in groups and individuals to introduce and explain the nature and purpose of the study. The written consent was obtained individually from each participant. The research investigator assessed the nursing tasks currently performed by nurses in different clinical areas using the nurse's activities checklist. The data collection was from, May up to October 2016.

Planning and Implementation phase: After the approval of developed Job Analysis Questionnaire (JAQ) by the five experts. The investigator had several meetings with the nurses in different clinical areas to explain the JAQ for correct completion. Finally, the participants received the JAQs tool and had 35-45 minutes to finish. The completed NAC and JAQs were analyzed; the nurses' roles were described and identified for the highest and lowest tasks for each frequency and importance. Each nursing category had a variance of duties and tasks. Based on the experts' opinions responses, the investigator prepared the final validated form of the JDs for Toxicology Nurses (DON, Deputy DON, Charge Nurse and Staff Nurse).

Outcome Phase: The developed JDs for NECTR nurses were accurately validated by the five experts. The investigator conducted four educational sessions for all nursing categories to introduce the benefits of the JDs. Finally, the test result revealed that; the educational sessions were successful, in increasing the nurses' knowledge about the developed JDs for toxicology nurses.

Dissemination phase: The JDs will be suitable for nurses who are working at NECTR. The JAQ Tool can be disseminated for use in any toxicology center.

Statistical Analysis

The data pertinent to job analyses were scored, tabulated and analyzed by computer using the statistical package for the social sciences (SPSS) Program version 21.

4. Results

In this chapter the results and analysis for this study are presented as follows:

Part one. Characteristics of the participants (table 1).

Part two. Descriptive analysis of participants tasks according to its importance and frequency from table 2.1 to 2.12.

Part three: Statistical distribution of participants' knowledge Pre/posttest (table 5.2).

4.1 Part one: Characteristics of the participants

Table 1. Frequency Distribution of the participants' Characteristics (N=30).

Nursing Staff Characteristics	Intervals	No	Percentage
Gender	Male	10	33.33
	Female	20	66.67

Age in years	20 to< 30	10	33.3
	30 to< 40	11	36.7
	40 to < 50	6	20.0
	>50	3	10.0
Qualification	Master in nursing	1	3.3
	BSN (a)*	0.0	0.0
	SSND (b)*	25	83.4
	Technical Institute Diploma	4	13.3
Experience	1 to <5 years	4	13.3
	5 to <10 years	8	26.7
	10 to < 15 years	8	26.7
	15 to >20	10	33.3
Previous work field	ER	3	10.0
	ICU	14	46.7
	Internal medicine	3	10.0
	Pediatric	2	6.7
	Others e.g. Clinics	8	26.6
Training or courses	Nothing	9	30
	One	11	36.7
	Two	8	26.7
	Three	2	6.6
Training or courses in toxicology field	Nothing	14	46.7
	One	12	40
	Two	1	3.3
	Three	1	3.3
	Four or more	2	6.7
Positions	Director of nursing & Deputy	2	6.7
	Charge nurses	12	40.0
	Nursing staff	16	53.3
Salary	1000 to< 1500	13	43.3
	1500 to< 2000	3	10.0
	2000 to< 2500	6	20.0
	2500 to< 3000	6	20.0
	> 3000	2	6.7

(a) BSN: Bachelor Science of Nursing. (b) SSND: Secondary school of nursing diploma.

Table 2.1 Descriptive Analysis of "Patient' Assessment' Tasks" (N= 30).

A	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Assess the level of consciousness and responsiveness.	4.83	0.46	4.53	1.22
2	Assess the patient for the type of poisoning, time and route of administration.	4.83	0.46	4.47	1.25
3	Assess the patient for the level of poisoning through the result of investigation.	4.53	0.57	4.50	1.23
4	Assess vital signs e.g. changes; in breathing, pulse rate, and blood pressure.	4.80	0.48	4.47	1.25
5	Assess the condition of patient and the level of pain before and after treatment.	4.20	0.89	3.77	1.28
6	Assess patient allergies and poisoning' symptoms e.g. nasal congestion, difficulty swallowing, tightness in chest, generalized warmth, tingling of the hands, feet, or lips	3.93	0.87	3.43	1.19
7	Assess for signs and symptoms of fluid and electrolyte imbalances (lethargy, oliguria, anuria, and delirium).	3.87	0.90	3.17	1.18
8	Assess injury prevention measures e.g. suicidal attempt.	4.03	0.96	3.13	1.33
9	Assess for central venous pressure (CVP).	3.90	0.96	2.60	1.13
	Total	4.33	0.53	3.79	1.01

M= mean, SD= Standard deviation

Table 2.2 Descriptive Analysis of "Nursing Care Plan' Tasks". (N=30).

B	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Perform admission procedure for patients, with special nursing care plan and ask for help if needed.	4.37	0.81	3.50	1.43
2	Plan to practice holistic and continuity of patient care	3.67	1.27	2.70	1.44
3	Collaborate/ coordinate within interdisciplinary care givers	3.67	1.18	2.63	1.52
4	Set priorities of the requirements of the center and responding to emergency	3.83	1.46	2.37	1.42
5	Prepare patient for discharge or transfer	4.03	0.67	3.57	1.10
6	Report the panic result of laboratory / investigation to the treating physician and the direct supervisor	4.80	0.48	4.07	1.23
7	Involve patient/family in care	3.43	1.48	2.63	1.67
8	Write an incident report as soon as it happens and submit it to the direct supervisor for corrective action.	4.00	1.05	3.53	1.61
9	Ensure that medication, supplies are adequate for patient care.	4.83	0.53	4.40	1.27
10	Avoid wastage of supplies.	4.30	0.70	3.30	1.51
11	Check the equipment and supplies before use and make sure of the usability.	4.80	0.66	4.43	1.25
	Total	4.16	0.64	3.28	1.04

Table 2.3 Descriptive Analysis of "**Nursing Intervention'** Tasks" (N=30).

C	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Record the nurses notes and nursing activities in the medical file like injuries, type of poisoning, contamination of the skin, dressing, impact of chemical, fluid intake and output, etc.	4.77	0.57	4.50	1.14
2	Care of mechanical ventilated' patient	4.83	0.53	3.23	1.25
3	Report to the treating physician and the direct supervisor when observed any abnormal signs or significance developed in the patient's condition.	4.87	0.43	4.50	1.14
4	Insert different types of catheters venous catheter, urinary catheter and gastric tube.	4.73	0.58	4.40	1.25
5	Perform ECG for the patients as needed and identify regular heartbeat.	4.50	0.51	3.73	0.98
6	Carry out gastric lavage as instructed by the doctor, saves the content of the stomach or vomitus for testing.	4.70	0.60	4.43	1.01
7	Perform hand-off / handover communication report.	4.90	0.40	4.57	0.82
8	Assist physicians during patient's examination and rounds	4.87	0.51	4.50	1.11
9	Give blood transfusion according the doctor order and the policy.	3.37	1.30	1.80	1.19
10	Perform effective cardio pulmonary resuscitation (CPR).	4.80	0.55	3.03	1.35
11	Perform different types of suctions	4.73	0.64	3.23	1.17
	Total	4.64	0.45	3.81	0.85

Table 2.4 Descriptive Analysis of **"Medication Administration'** Tasks". (N=30).

D	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Follow the ten rights of medication administration including: patient, medication, dose, route, time, documentation, education, refusal of medication, assessment and evaluation.	4.87	0.51	4.10	1.19
2	Give medication according to a written instructions from the physician	4.83	0.53	4.43	1.25
3	Make skin test (allergic test) before giving antitoxins like scorpion and snake serums and monitor the patient.	3.50	1.48	3.27	1.46
4	Inquiries about drug orders with the treating physician e.g. re-read	4.73	0.58	3.90	1.30
5	Observe the patients and recognize side effects and adverse reactions of the drug.	4.40	0.97	3.20	1.24
6	Administer oxygen therapy according to the physician instruction.	4.57	0.90	3.17	1.12
7	Calculate dosage / kg for the antidote treatment.	4.20	1.03	3.67	1.37
8	Maintain the required degree of cooling of vaccine, anti-toxin.	4.73	0.64	3.43	1.65

9	Administer IV fluids and use scientific, correct ways in mixing solutions.	4.73	0.58	4.13	1.25
10	Keep and give narcotic medications according to the instructions and regulations of the toxicology center.	4.80	0.61	3.77	1.36
11	Check the validity/ expired date of drugs including vaccine and anti-toxin.	4.77	0.63	4.20	1.35
	Total	4.56	0.58	3.75	1.09

Table 2.5 Descriptive Analysis of "Nursing Professionalism' Tasks" (N=30).

E	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Apply the criteria and instructions pertaining to nursing performance and accept constructive criticism.	4.57	0.63	2.70	1.71
2	Communicate, consult and collaborate with others transparently.	4.70	0.70	3.03	1.27
3	Adhere to the ethics and behavior of the profession, preserves the dignity and respect for patients, and use the correct phone etiquette.	4.73	0.64	3.50	1.04
4	Respond to call and inquiries from patients and their families. Explains the steps of patient' care, and give awareness of health to patient and his relatives.	4.63	0.72	3.03	1.33
5	Participate in team work to gain positive outcome of patient care.	4.60	0.62	3.13	1.28
6	Adheres to the time of attendance according to the work schedule.	4.90	0.31	4.53	0.82
7	Supervise the work, and bear the responsibility and accountability for own decisions, actions and the consequences of those actions.	4.70	0.60	3.13	1.93
8	Intervene in any unsafe or unethical practice.	4.70	0.75	2.67	1.35
9	Protect the patient's privacy and confidentiality.	4.97	0.18	4.60	0.68
10	Follow up the nursing dress code policy and the decent appearance	4.90	0.31	4.73	0.69
	Total	4.74	0.44	3.51	0.90

Table 2.6 Descriptive Analysis of "Infection Control Standards' Tasks" (N=30).

F	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Apply infection control standards and instructions.	4.73	0.64	3.27	1.53
2	Wear personal protective equipment.	4.63	0.67	3.40	1.38
3	Use Sharp containers for waste disposal and used sharps, e.g. needles and scalpels ….	4.87	0.35	4.50	0.97
4	Participate in activities to monitor and audit hand hygiene.	4.77	0.50	3.37	1.52
5	Inform the director of nursing, about barriers preventing the nursing staff from implementing the infection control guidelines.	4.57	0.68	3.80	1.22
6	Analyze and share information on the causes of infection in the center.	3.67	1.47	2.23	1.41
7	Follow proper cleaning technique	4.53	0.68	3.30	1.42
8	Ensure the validity of sterilized instruments	4.67	0.80	2.93	1.60
9	Protect patients from hospital acquired infection by following universal precaution.	4.23	0.86	2.97	1.63
	Total	4.52	0.52	3.31	1.14

Table 2.7 Descriptive Analysis of "**Nursing Skills**' Tasks". (N=30).

G	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Apply computer skills	2.60	1.61	1.57	1.10
2	Employ conflict resolution skills	3.77	1.31	2.53	1.59
3	Shows flexibility and creativity during times of change.	3.77	1.41	2.60	1.61
4	Operates under different circumstances and skillfully act on emergency situations	4.53	0.57	3.70	0.92
5	Implement time management skills.	4.13	1.11	3.10	1.32
6	Practice negotiation skills.	4.17	1.11	3.60	1.25
7	Performs other tasks assigned to him /her within his/her competence	4.37	0.77	3.23	1.22
8	Operates medical devices skillfully	4.60	0.68	4.03	1.30

9	Delegates properly to others matching their ability, experience, scientific skills, and acceptance of the delegation	4.03	0.67	3.63	1.10
10	Develop and demonstrates assertiveness technique.	3.83	1.18	2.33	1.45
	Total	3.98	0.75	3.03	0.93

Table 2.8 Descriptive Analysis of "**Basic Nursing Care**' Tasks" (N=30).

H	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Lift the patient and transfer him from department to another consider safety precaution.	4.87	0.35	4.00	0.83
2	Measure and record the amount of intake & output	4.77	0.43	3.77	0.90
3	Observe abnormal bowel habits such as diarrhea, constipation, color/smell changes of stool and inform the direct supervisor	4.57	0.73	3.30	1.09
4	Change the bed sheets, pillows cases and collect dirty sheets in special bags and send them to laundry	4.80	0.41	4.23	0.77
5	Collect and gets patient's samples to /from the laboratory.	4.77	0.43	4.30	0.75
6	Gets and send the needed equipment and supplies to the unit.	4.67	0.48	4.20	0.76
7	Provide post mortem care and deliver bodies to the morgue.	4.70	0.54	2.97	1.22
8	Applies the rules and principles of public safety at work	4.57	0.68	3.60	1.28
9	Receives and re-delivers instruments to the store room after sterilization.	4.47	1.04	2.70	1.49
10	Distributes food trays, feed unable patients, and help them in personal hygiene	4.20	1.38	2.47	1.53
11	Arrange patient rooms and make sure that they are constantly clean.	4.70	0.60	4.03	0.85
	Total	4.64	1.46	3.60	0.64

Table 2.9 Descriptive Analysis of **Nursing Management**' Tasks (N=30).

I	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Supervise the preparation of patient's room, beds, and the cleaning of the unit.	4.57	0.90	4.00	1.46
2	Participates and evaluate the performance of nursing personnel, identifies areas of strengths and weaknesses that need a professional development and makes the necessary recommendations.	4.57	0.67	2.03	1.43
3	Attend and participate in clinical and administrative meetings related to the center.	3.60	0.93	1.50	0.90
4	Watch over the implementation of the necessary medical procedures and complete an emergency medication cupboard in a daily basis.	4.23	0.63	2.70	1.71
5	Organize nursing staff vacations schedule in advance according to the need of the work.	4.40	0.81	2.17	1.62
6	Follow-up the daily work, makes rounds with doctors, ensure the implementation of nursing care, and the patient's consent for treatment is taken.	4.43	0.82	4.17	1.23
7	Prepare daily statistical report for patients.	4.33	0.84	4.13	1.28
8	Submit periodic reports on nursing services to the officials.	4.03	0.93	1.90	1.52
9	Monitor absenteeism and identify reasons for proper corrective action.	4.47	0.78	2.40	1.71
10	Supervise the work of assistant nurses.	4.53	0.82	4.33	1.24
	Total	4.32	0.60	2.93	0.93

Table 2.10 Descriptive Analysis of "**Nursing Leadership**" (N=30).

J	Items/ Tasks	Importance		Frequency	
		M	SD	M	SD
1	Communicate with medical director for the management of the daily work at the center.	4.53	0.78	3.37	1.35
2	Organize the nursing personnel readiness for disasters.	4.40	0.81	1.37	1.31
3	Prepare work schedule and assign responsibilities for each member of nursing staff in the center	4.53	0.78	1.97	1.56
4	Provide feedback and evaluate the effectiveness of the used strategies.	4.43	0.82	3.30	1.26
5	work on application of infection control, safety rules and the quality management	4.50	0.78	3.53	1.17

6	Participate in annual budget	3.27	1.20	1.33	0.84
7	Participate in the appointment of nurses at the center	3.13	1.31	1.40	0.89
8	Recognize the problems of nursing staff, patients, and work to solve all concerns.	4.40	0.81	2.20	1.47
9	Assess the level of nursing achievement and develop recommendation for incentives	4.47	0.82	1.93	1.41
10	Participate in the development and revision of nursing policies and procedures.	3.70	0.90	1.43	0.86
11	Represent nursing division in the Council of the Centre and the General Committees.	3.87	0.94	1.57	0.94
	Total	4.11	0.74	2.16	0.81

Table 2.11 Descriptive Analysis of "**Quality of Nursing Care**' Tasks" (N=30).

K	**Items/ Tasks**	*Importance*		*Frequency*	
		M	**SD**	**M**	**SD**
1	Provide appropriate working environment for patient safety.	4.60	0.68	3.47	1.28
2	Measure the job satisfaction for nurses and also patient satisfaction of care.	3.57	1.25	1.23	0.63
3	Assess the risk such as the patient fall and implement precautions.	4.33	0.66	2.97	1.33
4	Ensure completeness and accuracy of nursing records	4.63	0.67	4.23	1.36
5	Watch over the nurses' attendance "on and off duty".	4.37	0.67	2.80	1.86
6	Ensure that nurses are adequate for patient load and provide needed replacement.	4.43	0.97	1.70	1.34
7	Put the philosophy and objectives of nursing department in line with the goals and philosophy of the center.	3.40	1.10	1.33	0.84
8	Participate in the evaluation, and development of the administrative structure of the department of nursing	3.60	1.16	1.27	0.79
9	Determine the types of the nursing committees, and the members.	3.53	1.01	1.20	0.48
10	Work with other department, and encourage suggestions and improves the nursing services in the center	3.83	0.95	1.87	1.17
	Total	4.03	0.71	2.21	0.79

Table 2.12 Descriptive Analysis of "Nursing Education" (N=30).

L	Items/ Tasks	*Importance*		*Frequency*	
		M	SD	M	SD
1	Participate in determining the necessary nursing training programs.	3.80	0.96	1.50	0.86
2	Participate in the preparation and implementation of the orientation program me for new nurses	3.90	0.88	1.47	0.94
3	Oversee the implementation of the necessary nursing training programs at work and provide the technical assistance.	4.07	0.64	1.73	1.14
4	Coordinate with officials to train nursing students.	3.87	0.68	1.40	0.89
5	Use scientific evidence as a guide for patient care	3.87	0.90	1.90	1.13
6	Maintain records of various nursing training programs, education and seminars.	4.00	0.79	1.57	1.01
7	Coordinate with the concerned authorities to train the nursing staff on the safe use of medical equipment.	4.00	0.87	1.83	1.21
8	Participate in scientific research and studies to improve nursing performance	3.27	0.94	1.30	0.84
9	Assesse the level of performance of the new nurses during their probationary period and make the necessary recommendations.	4.00	0.70	1.40	0.72
10	Work on developing your own knowledge and skills.	4.33	0.61	1.90	1.40
	Total	3.91	0.62	1.60	0.83

Table 3. *Pre/posttest difference of knowledge assessment* (*N*=30).

Serial no.	Knowledge Assessment	Pre		Post		Difference	Z test	P-value
		No	%	N0	%			
1	Benefits of JDs	17	57	27	90	33%	-3.15	0.002
2	Elements of JDs	12	40	23	77	37%	-3.10	0.002
3	The Nurses Roles	15	50	21	70	20%	-1.62	0.106

5. Discussion

As previously outlined, the present study found that more than Two- Thirds of the considered sample were females, this result is congruent with many researchers in Egypt; Abudahi, Fekry and Elwahab (2012); Rushdy, Youssef, Morsy, and Elfeky (2014). Concerning to the age group, Two- Thirds of the sample were in the age group between 20 to 40. This finding is in agreement with that of El Feky, and Ali (2013), who found that participant' ages ranged from 20 to 40 years. Regarding qualifications 83.4% of the considered sample had the secondary school of nursing diploma (SSND) and 13.3% were Technical Institute Diploma, only one (DON) with Master Degree in Pediatrics (DON) and no nurses with BSN degree. This was not surprising because nursing syndicate registered 240,000 nurses (95%) of them were SSND and 5 % were BSN (Egypt Nursing Profile, 2012).

The study result found that almost half of the nurses had no training courses in toxicology field. According to the nurses who attended previously, the provided courses were conducted in English, it was beyond their level of education and was difficult for them to understand. These findings were supported by; El.Sayed, et al. (2015), who found that critical care and emergency nurses dealing with poisoned patients in the same place at NECTR had an inadequate practice and knowledge, about detection and management of poisoning patients. Most of the nurses verbalized that they acquired the work experience at the setting and no need to attend further training, because they are the source of information.

As presented by Taha (2004), who studied the effect of the training program provided for 36 nurses assigned in critical care units. The study was successful with highly significant statistical differences in improving the knowledge of the nurses after the application of the training program. Moreover One -Thirds of the nursing staff salary was less than 1500 Egyptian pound per month; the low salary could be one of the major reason for NECTR nurses doing dual work in private hospitals, to support their families.

The finding of the study indicated that the following tasks had the **highest frequency**:

The staff nurses at NECTR make patients' assessment by getting simple information like the patient's verbal response, taking the data related to the time of administration, route and dose, but not using Glasgow Coma Scale. This finding oppose Santos et al (2016), who found that the majority of nurses (more than 80%) in ICUs has good knowledge about (GCS) Glasgow coma scale; Also taking vital signs is a simple task and considered as an essential element for decision, planning of treatment and resuscitation procedures of the toxicology patient.

Nurses usually in a hurry to finish the endorsement report and many studies suggested that leadership is vital for effective handover, the presence of the nurse in charge at a handover demonstrates a commitment to the process and provides the nurse with an overview of the clinical area (Riesenberg, Leitzsch, & Cunningham, 2010). NECTR nurses consumed a lot of time in filling different forms with redundancy of information.

Additionally, Dingley, et al (2008), found that observations and combination of knowledge sources can identify changes in the patient's clinical status, enabling fast interventions to prevent further deterioration if detected and reported quickly to the treating physician for action. Medical rounds also, provide a huge opportunity for inter - professional learning for the whole multidisciplinary team and for review of patients pre-discharge; and progress (Royal College of Physicians, 2012).

The nurses at NECTR used to leave the unit to collect the medication from pharmacy, some medications were out of stock and requested from the family to purchase. While medication administration has to be given according to the physician instructions, it happened on several occasions that the ER nurses, administered medication to the patient without prescribed order. The last incident happened when the doctor was not around and according to the participants, "if the assigned nurses asked the family to wait for the physician, they will be attacked by them". Although this action could be interpreted as practicing medicine by nurses and possibly lead to a serious penalty. In this respect, NECTR nurses need to stay within their scope of practice and at the same time to be supported by protocol and policy to avoid medication errors and being accused of exceeding the scope of practice (Buppert, 2015).

In line with the protection of the patient privacy and confidentiality; It is amazing about the restricted role at NECTR, nobody can release any information without the permission of the Director. Furthermore, wearing uniforms with identification card was strictly followed by the nursing staff with absence of policy. The nursing uniform support the specialized uniqueness in healthcare, it raises a positive self-image, and considered as a clue to self- confidence and better presentation of nursing profession in the hospital (Desta, Gebrie, & Dachew, 2015).

Concerning, lifting and transferring the patient from department to another considering safety precaution. Waters,

Hughes, and Menzel (2009) stated that nurses should be engaged with the risk assessments in the workplace, selection, and use of the suitable lifting devices and apply evidence-based practices for handling patients. Also, the tasks of delivery of samples to the laboratory, and equipment and supplies to the relevant units, have to be delegated to the nursing assistant to free NECTR nurses for patient care.

The purpose of performance evaluation of nursing personnel is to identify the areas of strengths and weaknesses. The DON at NECTR mentioned that the incentives of nursing staff are connected with their annual appraisal. It was a surprise that the DON at NECTR had no official responsibilities in her performance appraisal form, to be accountable for developing nursing policies and procedures, ensures its availability and implementation.

The finding of the study indicated that the following tasks had the **least frequency**:

Regarding the assessment of injury prevention measures like suicidal attempt the NECTR administration installed windows protection in the second floor to protect patients with suicidal attempt, after an incident happened to a female patient jumped from the window (two years ago). The third floor, still without windows protection. It was noticed by the research investigator that most of the ICU beds had no side rails to protect the patients from falls. Some of the factors involved in these falls were: communication failures, lack of adherence to protocols and safety practices, inadequate staff orientation, and lack of leadership (JC, 2015; Viernes, 2016).

For certain circumstances related to the poisoning patients, the nurses were not able to involve the family in their care. According to Fateel and O'Neill (2015), who presented that; nurses are responsible to ensure patient' centered care is practiced, the international standards of practice for role clarification to be followed, and to involve the family and patient' in the care.

Additionally, NECTR nurses need to give priority to the toxicology center in responding to an emergency. Some of the nurses verbalized that, they had no time to respond to the emergency call. While the CPR certificates were expired, nurses must update their CPR and also the absence of record at NECTR about, whether the previously performed CPR was successful or not as an assessment of the team performance to plan for better practice.

Nurses at NECTR were blamed for several incidents related to the absconded patients. The administration used locked door instruction without written policy to prevent such incidents and give more responsibilities to nurses to control the traffic. The nurses verbalized, that they were not happy to do the job of the security guard and had no time to do other people work. According to many authors, the physical violence against nurses was experienced more frequently in Egypt (62%) (Pinar & Ucmak, 2011).

Nurses at NECTR used to give antitoxin medication to the poisoning patient without skin test and also ignoring to monitor the patient under observation. Such behavior could jeopardize the patient safety (Saminathan, et al., 2015). Some nurses said that this item is the duty of the physician to make the skin test, due to their disabilities to perform the task. Few senior nurses justified the reasons because of the float system, the floated nurse to ER had no idea about skin test and gastric lavage. Tsang, et al (2014), stated that an effective supervision system is required with regular training.

Nevertheless, the participants at NECTR verbalized that the information given as intragroup communication were lacking of transparently and team work, mainly between the groups of nursing staff. Teamwork is frequently considered as the best way to deliver higher performance; increase communication and innovation, continuous progress, increased work satisfaction, improve service quality, lower level of absenteeism, promote staff retention and increase workplace productivity (Kaya, et al., 2013).

Regarding responding to call and inquiries from patients and families. The finding is congruent with the study of Loghmani, Borhani, and Abbaszadeh (2014), who found poor attitudes toward the patients and their families and strictly recommended about the application of the nursing code of ethics and the manager to use corrective action as required, in order for nursing staff to realize, that patient and his family are the center of care in the organization.

Furthermore, the hand wash is well known to be one of the key modes of decreasing health care associated infection and improving patient safety (WHO, 2009). The nurses at NECTR were reluctance to wash their hands between patients. The finding of this study indicated the absence of infection control manual at NECTR. Moreover, the task of food distributing is the responsibility of the dietary department. Schubert, et al. (2008), stated that patients have the rights to be well nourished in clean environment with good personal hygiene.

Though, most of the nurses raised their concern about the dysfunction equipment, the delivery of unfitting spare parts and misplaced equipment. Also, no available computer for nursing staff, to facilitate their work in relation to statistics, lab request, admission, discharge. It is cost effective in the long run, the center can start gradually, to save the nurse' time.

While the NECTR nurses had unsolved conflicts within the groups of nurses in different shifts and between nurses and physicians due to the absence of JDs for the role clarification, policies, procedures and standard of care to control the staff behavior. Such conflicts can arise from the individual's inability to accept various roles, which can lead to stress. Effective negotiation skills resolve conflicts and encourage collaboration, therefore producing a favorable work environment (Nayeri & Negarandeh, 2009).

Hence, all nursing and personnel policies and procedures including vacation policy are necessary to be communicated, and implemented, detailing how much time of each staff member gets and how far in advance they need to request it (Desuyo, 2009). Vacation plan will never function at NECTR with; high absenteeism, abuse of sick leave, maternity leave, emergency leave, and so on… the inability of the nursing administration to replace the staff. Also, the absence of delegation policy, creating a role of ambiguity, when the nurses and general assistance did not know their roles and responsibilities with the big picture of the absence of JDs.

Additionally, no fixed schedule, agenda, and meeting minutes as a record keeping for DON meetings with the staff nurses at NECTR. Also, the absence of a periodic report. The nursing staff at NECTR had high absenteeism and poor attendance rate, some nurses said: "they have to stay more hours waiting for the nurses' arrival of next shift, so they have to compensate by doing the same". Cohen and Golan (2007), found that absenteeism worsens the difficulty of care delivery in many nations, where the number of nurses available is inadequate to meet all the healthcare difficulties of the population and the health care organization.

The finding of the study indicated the absence of nursing policies related to quality management, infection control, and the safety rules. The role of the leader is to establish the clinical practice policies to guide and motivate nurses - follow the standard of practice, for the organizational control. The DON had no authority to participate in the annual budget at NECTR. According to Gealan, and Patricia (2013), the operating budget is the main budget for the nurse managers and leader to maintain an active role in controlling personnel and supply costs, with the collaboration of nursing staff in all units. Also, the nurses at NECTR had no knowledge regarding disaster plan, this result is similar to the study done by Paganini, et al (2016), who found the staff on duty had poor knowledge of disaster plan. Thus, the leader responsibilities to develop a disaster plan, train and educate the staff, give feedback and ensure, that the plans are known to all nurses.

The responsibility of DON to work on nurses satisfaction includes measures to reduce work-related stress, opportunities for training and development, mentoring, orientation programs, social support, feedback and positive staff motivation by an acknowledgment from the nurse managers and experienced colleagues (Flinkman, et al. 2014). Effective leadership is critical in generating opportunities which create the potential for professional self-development for junior staff (Allan, et al, 2008). Furthermore, the DON has to recognize the importance for the nurses to participate in scientific research and studies to improve their performance.

6. Conclusion:

In this study, the validated tool of 12 dimensions and 123 items were utilized as a base for designing JDs for Toxicology Nurses (DON, Deputy DON, Charge Nurse and Staff Nurse) at NECTR. General Systems Theory (GST) was used as a process to follow and facilitate the understanding of the sequence for developing JDs. The duties and tasks of toxicology nurses were identified and extracted from the analyzed tools (JAQ& NAC), grouped and organized according to the variance of the nurses' levels of professional category. The nurses' roles were adjusted and described by focusing on these tasks that NECTR Nurses considered as the most importantly, with the highest in frequency. The nurses' knowledge, skills and disabilities were observed by the research investigator. This study proposed that educational programs in Arabic are mandatory to improve nurses disabilities and unnecessary tasks not related to nursing should be assigned to other non-nursing staff. Thus the toxicology nurses at NECTR will be able to concentrate on their essential tasks corresponding to the newly designed JDs. The most important area required improvement opportunities as previously discussed is to expand the management and leadership roles of nursing administration at NECTR.

Therefore, the study indicated the following components of the JDs for nursing categories (table 2.1to 2.12).

Tasks -Staff Nurses Positions:

A1,2,3,4,5, 8, **B**1,2,3,4,5,6,7,10, 11,8,9,11, **C** 1,2,3,4,5,6,7,8,9,10, 11, **D**1,2,3,4,5, 6, 9, **E**1,2,3,4,5,6,8,9,10, **F**1,2,3, 4, 7,8,9, **G**4,5,7,8, 9,10, **H**1,2,3,4,5,6, 7, 8,9,10,11, **I**10, **J**5, **K**4, **L**2,10.

Tasks – Leadership/ Management positions:

A8, **B**3,4, 8,9,10, **C**7, **E**1,2,3,4,5,6,7,8, 9,10, **F5,** 6, **G**1,2,3,4,6,5,7, 8,9,10, **I** 1,2,3,4,5,6,7,9, **H**8, **J**1,2,3,4,5,6,7,8,9,10,11, **K** 1,2,3,4,5,6,7,8,9,10, **L** 1,2,3,4,5,6,7,8,9,10.

With the above mentioned components the tasks were organized to make job description for each category. Thus the validated JDS for toxicology nurses are ready for implementation.

7. Recommendations

1. Implement the proposed JDs.

2. Link performance appraisals to nursing staff 'job description at NECTR.

3. Job descriptions should be updated periodically or as needed.

4. The NECTR shall have a well-defined organizational chart to clarify the different positions and lines of authority.

5. Different Nursing policies and procedures should be provided and implemented.

6. Work on solving the problem of absenteeism and poor attendance.

7. Reduce the paperwork and non-nursing tasks to improve the nurses' performance.

8. Provide adequate equipment and supplies for patient care.

9. Special training programs should be provided in Arabic to improve nurses disabilities and expand the leaderships and management roles for nursing administration.

Acknowledgements

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The Presentation of the Gentleman in Jane Austen's Novel *Emma* (1816)

Ala Eddin Sadeq[1]

[1] Department of English Language, Literature and Translation, Zarqa University, Zarqa, Jordan

Correspondence: Ala Eddin Sadeq. E-mail: alaeddin_english@zu.edu.jo, Alaeddin71@yahoo.com.

Abstract

The aim of this study is to trace the origin of the concept of "gentility" and its development over the course of time. The meaning of the word has shifted slightly since its original use in the classification system. During the Industrial Revolution, the meaning of the word "gentleman" expanded to include the merchants, clergy, army officers, and parliamentary members. The mercantile elites were referred as gentlemen due to the wealth and influence that they had amassed. The text selected for analysis is Jane Austen's *Emma* (1816), which highlights the themes of social classes. The novel presents characters that belong to different classes, and sheds light on ideas such as the superiority of the upper-class over the middle and low-class people, and the attempts that people make to climb to higher classes in the society.

Keywords: gentility, *Emma*, Jane Austen, social classes

1. Introduction

A gentleman is defined as a man of good and courteous character. The female equivalent is called a lady. The major determinants of a gentleman are his values, moral standards, and honor. The man in question should dedicate all his activities to high standards of behavior while at the same time avoiding the feeling that he is better than others. A gentleman's set of principles constitutes politeness, calmness, being considerate at all times, and performing quality work. These values are considered the cornerstone of the modern-day gentleman (Essays, 2016). In the modern context, the word gentleman refers to a man of courtesy and good behavior. It originated from the English classification system where it was used to refer to men of the lowest rank in the *gentry*. The gentry was placed below the esquires and above the yeomen. They were the youngest sons of the younger sons of peers as well as the baronets, knights, and esquires. The word, therefore, denoted the state of being gentle that the peers and the gentry were known for (Girouard, 1981, p. 100).

When the word gentleman is used, the most common discernment among individuals is the act of being gallant and chivalrous towards women. This is accurate because a gentleman should be respectful towards women. He should pay attention to the needs and wants of a woman while at the same time understanding his value and purpose and resisting deviating from them. The gentleman, while taking a female out, should choose a place where the lady feels comfortable in. He puts his point across through logic and understanding. He also performs his responsibilities towards all people; be it family or friends. He never breaks his word, thus it is his desire to fulfill all the promises that he has ever made. Finally, a gentleman should be in constant search for knowledge to be vested with the different subjects (Cody, 2004).

In the early nineteenth century, the meaning of gentility had shifted from the original birthright classification system to take a different tone of an evangelical gentleman that was identified through his values and manners. The family evangelical gentleman was a profound and deeply religious family man who was influenced by the evangelical reform. The society's main aim was restructuring attitudes and behaviors from the corruption of the aristocracy during the regency that occurred in 1795 to 1837. This aristocracy was comprised of freedom, elegance, and extravagance (Girouard, 1981, p. 225). These were the values that evangelists aimed at eradicating through the introduction of a newer set of standards that leaned towards religion. They focused on sincerity and earnestness while urging the people to be moral, chaste, and be more charitable so as to avoid the disreputable

behavior of the Restoration rakes that was characterized by egotism, playfulness, and self-importance. A sincere appearance was like conduct that could be clear as a noticeable manifestation of a well-ordered and morally consistent inner self (Greenblatt, 2012, p. 118). In the mid-nineteenth century, there was an emphasis on the muscular Christian gentleman whereby boys were encouraged to engage in sports such as rugby and soccer and leave behind subjects like humanities that were seen as feminine and childish. The gentleman had to use sports to develop manly characteristics of hardiness, self-control, and endurance. The etiquette books that were used to create refined gentlemen were replaced with tough builders of empires and adventure-oriented individuals. The common characteristic among these gentlemen was romantic at heart, chivalry, and moral conduct. Thus, they were deemed as morally superior and modeled to take leadership positions (McMaster & Copeland, 1997, p. 180).

The Industrial Revolution brought about a new meaning to gentility. The middle-class was rapidly rising, and they desired to make themselves gentlemen by virtue of the wealth they had amassed. Industrialization had spread quickly leading to a rise of landowners and industrial experts. Intermarriage had occurred between the social classes and people could acquire land through purchasing rather than inheritance. The new middle-class gentleman had a desire to learn manners that made one become a gentleman, in the same way, they purchased stylish homes, refined clothes, and domestic assets. The market in the mid-19th century was flooded with etiquette books that taught the rules of polite society (Rubinstein, 1993, pp. 102-139). Thus, a gentleman was defined through the wealth, refinement, intelligence, and social control that they possessed while at the same time being devoid of class implications.

Any man could aspire to be called a gentleman if they adhere to the expected code of conduct. The distinct features of gentlemen were: position, education, and manners. Such acquired-qualities can make a self-made gentleman who replaced the man of noble birth and chosen family. This new gentleman adhered to honor, charity, and social responsibility. Gentility was an object of humor to Oscar Wilde who pointed out the nature of the upper class as full of hypocrisy through their strict superficial manners. He urged people to follow a life of pleasure calling out marriage as boring. The reputation of gentlemen was tarnished with accounts of criminal behavior, prostitution, and homosexuality that was then considered unacceptable (Losey & Brewe, 2000, p. 313). The gentility class was not privileged over science and technology as successful businessmen from the fields that were previously considered ungentlemanly such as trade and industry assumed political leadership. The society shifted towards an urban context whereby the commercial elite changed the society's dynamics (Rubinstein, 1993, p. 70).

This study is theoretical and analytical. It is based on the previous studies that were carried out concerning the concept of gentility and Jane Austen's *Emma* (1816). This study seeks to identify gentility and the changes of its meaning and interpretation among various ages of human development. Scholars had in-depth explanations of the origin of gentility, the changes that the term has undergone through the 19th century, the industrial revolution, and the modern-day meaning.

In 1950, David Thomson explores gentility and what it meant in the Victorian age. He argues that the period was characterized by strenuous activity and rapid changes in the basic ideas of the society. It was also a time of many inventions and expansion in England. He asserts that the early industrialization in England was the cause of social and economic setbacks that resulted in moral decadence. The ranking system had special meaning among people because it came with social esteem (Kirkland & Thompson, 1999, p. 50). The position of a gentleman fascinated many people because they could share in the prestige of the gentry that had existed earlier in the aristocracy. People could penetrate this rank from below so with property rights they made their rise to aristocracy a reality. He focuses on how people fixed themselves into aristocracy and thus were called self-made gentlemen. (Gilmour, 1981, p. 5) He also evaluates what it meant to be a gentleman by birthright, and designates the groups that belong to this category: noblemen, clergymen, parliamentarians, and army officers. He, however, notes that an actual gentleman needed more than birthright. The other quality emphasized is being of a good moral standing which involved qualities, such as sympathy, gentleness, and a fine nature. Charles Dickens, for instance, highlights the life of the people of the lower middle-class in his novel *Great Expectations*. He puts out his perspective through the protagonist, Pip, who desires to be a gentleman by gaining respect and being less common (Dickens, 1989, p. 60). Thackeray and Trollope focus on the higher middle class in their exploration of gentility. They point out the basis of gentility because of the questionable dignity of work that undermined the pillars that gentility is built on. They discuss the disillusionment that exists among the people as they struggle to redefine themselves in a rapidly changing society (Norton, 1993, p. 105).

1.1 Objectives Methodology

One of the objectives of this study is to uncover the meaning of the word gentility. The term has been used in the modern-day with its meaning geared towards how men treat or should treat women. The Oxford dictionary defines gentility accurately whereby it points out to the character. This shows that its meaning incorporates much more than how to relate to women. This study also investigates the evolution of the meaning of the term gentlemen over time. It reveals that the meaning has shifted from the original gentry towards a more relaxed reference in the Victorian era. Its meaning shifted to referring to men of high religious inclination.

The moral conduct of these individuals was high. During this era, the masculine religious gentleman emerged. The Industrial Revolution changed the composition of the gentility class to include self-made gentlemen. In the modern world, gentlemen are men of chivalry and grand character and mannerisms.

The selected text for analysis is Jane Austen's *Emma*. The main character gradually becomes aware of herself and the people around her. The world Emma Woodhouse grew up in was a village called Highbury where her family was the most important. Emma believes that she is superior to all people in the village including her friend Harriet. Her pride poses many limitations to her, such as the lack of sympathy; a quality she acquires because of her society which has prioritized class discrimination. The novel reveals how Middle-class people strive to climb to the upper-class through marriage. It also unfolds that community membership works in each person's life. The servants are abandoned by the gentry and the two do not communicate as equals. Also, the people of the higher classes can visit the poor as seen when Emma visits the Cottagers to give the soup and also drops by the Martin family. This social class determined the roles of each member of Highbury. The text puts into perspective the classification system and the application of the initial gentry class and how people changed gradually until the system was dissolved.

2. Discussion

The concept of the gentleman is complicated because it touches on the Victorian patterns of thought and behavior. Many of the people in the Victorian era wanted to be called gentlemen, but there was no clear definition of what it was or how long it took to be called one. The following are the characteristics of a gentleman that are put in context through explanations from Jane Austen's *Emma*.

A gentleman in the early times was an individual of noble birth. Individuals of the aristocracy were gentlemen by right of birth. There was also emphasis that birth alone did not make one a full gentleman, but those who were highborn had more right to the title than the self-made gentlemen. The Victorians argued that a true gentleman should be able to survive without toil while at the same time; he should not survive off other people's toil (Keen, 2002, p. 109). Through such a perspective, the concept of gentility was a social class phenomenon. In the novel, this is illustrated by individuals such as the Woodhouses and Knightley. The Bates had been born in the upper class but lost all their wealth. They were still associated with the upper class as they received gifts from them. Thus, Jane Bates was considered of upper-class because of her birth, refinement, and achievements. The upper-class had a right to visit the lower class whenever they deemed necessary such as when offering donations, but the lower class could only visit the upper class if invited.

Gentlemen had to be wealthy. This explains why the new industrial and mercantile elites rose to the gentry by their accumulated wealth and influence. The highborn had family wealth and could live luxuriously without having to labor. George Knightley owned a lot of property such as extensive grounds and farms. He had inherited some of this property thus he was regarded as a true-born gentleman. Other high-born individuals in the novel also owned extensive pieces of land and servants. For example, Emma says that,

> by next harvest, I shall be living at Hartfield, but I assure you all I shall be farming my estate, and looking after you all. There will be stability. There will be continuation though my life is to change (…) (Austen, 1816, 1993, p. 151).

The true gentlemen were expected to be able to survive without toil and labor, meaning that they were required to have enough wealth.

Ethical values are another quality of acting with gentility. It was ambiguous and difficult for people of the Victorian era to define what moral and ethical values were, but this became easier upon the introduction of chivalry. Sir Walter Scott was a great writer who described ethical values expected of a gentleman in his Waverley novels (Scott, 1998, p. 5). John Ruskin similarly wrote that a gentleman was of pure genes and perfect breeding. They were not allowed to live off other people's sweat. This was contradictory because many gentlemen lived off the labor of peasants (Ruskin & Crowell, 1910, p. 26). In the novel, Rev. Elton is an example of a person that lacked ethical values when he married Augusta only because of her father's wealth. Augusta

shows off her new position through her father's business wealth by calling the nobles by family names as well as wanting to be associated with them. She also insults people of the lower class showing that true class cannot be bought. She lacks basic decorum and elegance thus becomes proof that real gentility could not be attained by wealth only. Frank also fails to meet this quality when he is willing to conduct a secret engagement to Jane. This is because he deceives the people around him thus lacking in honesty and integrity which are the characteristics of true gentility. The Coles were of true character and had the right attitude because they did not pretend or exaggerate their abilities. This is seen when Mrs. Coles accepted that members of her family did not know how to play the grand piano that they had recently acquired. They were also considerate when they purchased a folding screen so that Mr. Woodhouse would feel comfortable while visiting their home (p.191)

Refined manners are another quality of a gentleman. Manners are a very crucial element of the Highbury community as people try to live up to the expected conduct of a gentleman because visitors are welcomed politely (Keen, 2002, p. 20). We see this when Jane, Frank, and Mrs. Elton are treated kind when they come to the village even though Emma and Mrs. Weston have negative perspective towards Mrs. Elton. People tolerated the faults of others, for example, the chatty nature of Miss Bates, the hypochondria of Mr. Woodhouse, and Emma's snobbishness. Members are required to be civil towards one another such that Emma insults Miss Bates at Box Hill; Knightley informs her of the bad conduct, and she takes steps towards correcting it. Some community members make it their duty to ignore insults so that they can uphold the community wellbeing. For example when the Martins are kind to Harriet despite her arrogance towards them when she rejected getting married to Robert Martin saying that he was a mere farmer.

Gentle individuals should also possess a polite discourse. This value is depicted when gentlemen treat other people in a respectful way without showing off or taking advantage. Thus, they do not force people to do things that they do not wish to do. Politeness is one of the constituents of a superior social standard that these people should possess. They portray self-respect and intellectual refinement which is eminent in their unrepressed yet fragile manners (Keen, 2002, p. 25).

People of true gentility should observe etiquette. They were required to learn basic rules for relating to other people, for instance, one should not be too demanding when being hosted by another family. Emma lacked this quality and Knightley was quick to point out to her that she lacked it when she insulted Miss Bates. She also despised people of the lower class but came to learn that Coles' family that she hated was courteous and kind.

Good education is also an indicator of gentility. Victorian individuals asserted that gentlemen were people who were educated in liberal arts that were based in Latin in a public school such as Eton, Harrow, and Rugby. The origins of such an individual would matter less, and through education, one automatically became a gentleman (Keen, 2002, p. 30). In Emma, Frank is a well-educated individual that had been adopted into a wealthy family thus gaining an upper-class status quo.

Jane Austen's Emma portrays gentility in several ways. Emma is a daughter of Woodhouse that is a wealthy family in the village of Highbury. She has great family connections, has large income that is not reliant on labor, owns the property, and is highly ranked because her only social peer is Knightley, the highest ranked gentleman in the village. She is the central character in this story. Her most eminent character traits are good-looking physique, high-spirited demeanor, intelligence, and spoiled by her father. She is the mistress of her family because her mother died when Emma was young and her elder sister had been married. She, therefore, belongs to the genteel class by birth. She portrays values that are expected of people in this class by showing compassion to the poor such as donating soup to the Martins. She shows support and love to her father despite his valetudinarian mannerisms (Keen, 2002, p. 430). However, she fails the test of true gentility because she is a strong supporter of the class system and despises the people of the lower ranks. She makes many mistakes because she believes she is always right. It is her conviction that she is the most superior person in the area and fails to act the part through her inferior manners. She ridicules Mr. Knightley for not riding his carriage and opting to walk as well as mingling with farmers. She expected him to flaunt his superiority and avoid modesty (Academic Brooklyn, 2009). The mistakes she makes that are not expected of the gentry include prejudiced mistakes such as when she exercises her powers, she misjudges that Rev. Philip Elton liked Harriet Smith, Frank Churchill liked her rather than Jane Fairfax; Harriet liked Frank rather than John Knightley, and Knightley liked Harriet instead of her. She takes pleasure in making matches for other people in the village while at the same time being a snob who cannot accept people based on their kindness and mannerisms. Juliet McMaster states,

> Emma is one who specializes in social discrimination and makes prompt though often inaccurate judgments about the social station of the people around her (1997, p. 118).

The novel follows Emma as she journeys towards achieving the qualities of the true gentry in her character that

match her high rank in the society. She grows in awareness of herself and the people around her as time progresses. Her lack of experience makes her vulnerable to making mistakes because she has only lived in Highbury under the shelter of her protective father. She has a hard task of breaking free from the restrictions that her pride has placed upon her, the perception her father has given her of herself, and the inadequate and unreliable perspective of Highbury. She needs to do all this without neglecting her intelligence, self-worth, her family, and her society (McMaster & Copeland, 1997, p. 159). In the quest for true gentility, Emma learns that the Coles, whom she despised so much because of their low social position, were people of good moral conduct due to their kindness and courtesy. The presence of Mr. Knightley gives Emma a person to look up to as the measure of maturity that she struggles to attain. This is because he was the only person that surpassed her in social class ranking thus he could offer her some guidance. Emma is quoted saying "Mr. Knightley loves to find fault with me, you know," and Mr. Knightley says "Emma knows I never flatter her." Mr. Knightley goes on to correct Emma after the Box Hill incident when she was rude to Miss Bates. He says, "This is not pleasant to you, Emma-and it is very far from pleasant to me; but I must, I will-I tell you the truths while I can..." The problems that had been caused by wrong class perceptions are overcome when everyone corrects their character and takes up their rightful places in the social hierarchy.

Jane Austen portrays a gentleman as an individual that respects his or her position in the society by acting with a superior standard. The picture that she paints is a realistic society where characters form relationships and interactions in the societal context. She passes the message that gradations in social stratification play a crucial role in the proper and orderly functioning of the society. She had expectations that her reader would be more sensitive towards the social stratification thus she created characters that had an obsession and awareness of social classes. She shows the pretenses that exist among the high class that is termed as gentlemen as they try to ascertain their position in the society. This is shown through the existence of all kinds of people belonging to different social ranks in the society of Highbury (Academic Brooklyn, 2009). They include the phony aristocratic Churchill, legislative body of the gentry class, the affluent class, a lawyer, the apothecary Mr. Perry, the tenant farmer Robert Martin, the gypsies, servants, poor families such as the Clarks, and the land workers. Austen also points out that individuals could rise from the lower classes to become gentry. Examples from the novel include the Weston and the Coles who were initially traders.

> The Coles, who "were of low origin, in trade, and only moderately genteel" (Austen, 1816, 1993, p. 190). (Whose point of view is being expressed in the quotation, Emma's and/or the narrator's?) With the increase of their income, the Coles changed their lifestyle to imitate the classes above them; they employed more servants, enlarged their house, and gave dinner parties to which they invited the "regular and best families (Austen, 1816, 1993, p. 190)

The opposite is also true, whereby wealth can be depleted and the people that were once rich find themselves among the poor. For example, when Ford visits Jane at the Bateses the narrator points out the changed conditions,

> The appearance of the little sitting-room as they entered, was tranquility itself; Mrs. Bates, deprived of her usual employment, slumbering on one side of the fire, Frank Churchill, at a table near her, most deadly occupied about her spectacles, and Jane Fairfax, standing with her back to them, intent on her pianoforte (Austen, 1816, 1993, p. 153)

Austen's views are expressed when she says that Highbury tolerated the intermixing of classes as compared to London because The Highbury Whist Club comprised of gentlemen and half-gentlemen (p. 182) The point put across is that peace and happiness come from being acquainted with and accepting class distinctions. Her writing clearly shows the distinction between the rich and the poor in the society. For instance, the poor people are not able to cater for their basic needs such that they steal hens from the rich. In the text Mr. Woodhouse complains that he has lost "*six good hens*" while the rich are eating, dancing, celebrating, and drinking at Weston's wedding party (Austen, 1816, 1993, p. 71). In addition, the picture is painted of the poverty that existed to those who were not gentlewomen or men as Mr. Woodhouse's carriage moves across the city "Past a couple of ramshackle cottages of extraordinary squalor, a couple of ragged barefoot children have come out to gawp at them" (p.79).

The author clearly marks the contrast that existed between the Woodhouses' social class that was more superior, their gentle conduct, and nobleness and the inferior social position of the poor villagers. The gentry is her major focus during the writing of the novel. The working class and servants are merely mentioned as part of the décor and they lack any form of recognition. Even Emma and Knightley's wedding is criticized by Mrs. Elton in such a way that shows it was not up to standard.

> The wedding was very much like other weddings, where the parties have no taste for finery or parade (…)"

p. 313) (…) and Mrs. Elton, from the particulars detailed by her husband, thought it all extremely shabby, and very inferior to her own."Very little white satin, very few lace veils; a most pitiful business! Selina would stare when she heard of it. – But in spite of these deficiencies, the wishes, the hopes, the confidence, the predictions of the small band of true friends who witnessed the ceremony, were fully answered in the perfect happiness of the union (Austen, 1816, 1993, p. 313).

Austen uses the narrator's voice to show irony of class distinctions when the most noble individuals could not pull off a grand ceremony. It was easy for Weston to point out the different things that were not right with the wedding and thus gossip about it. There were specific clothes and accessories that people were supposed to dress in on such occasions so that they could resonate with the societal expectations. This shows the social distinction that existed in the society when Jane Austen wrote the novel. The refined and civilized etiquette of the members of the high society is put into question by the author when she shows that they gossip (Mullan, 2012). Mrs. Elton criticized Emma's wedding by pointing out what was lacking. She has heard this information from Mr. Elton her husband, and now she was passing it to Selina. These individuals were Emma's friends hence they were expected to be happy for her, not criticize and laugh at her. Class distinctions pose serious complexities when it came to social interactions for instance, Emma does not approve Robert Martin as Harriet's suitor because of his occupation as a farmer. Austen puts across the point that gentility is not achieved merely through birthright and wealth or connections, but that it lies in one's mind through their integrity, moral conduct, wise discernment, being respectful, and being kind towards all people irrespective of their social status (Mullan, 2012 p. 300). She continues to put forward the idea that women could be independent and fulfilled without having to depend on men. This is shown when Emma has no intentions of getting married and is satisfied as a single woman. She gets agitated when Mr. Knightley proposes as the author points out that Emma was almost sinking due to the agitation of that moment. Mr. Knightley continues to say,

> I cannot make speeches, Emma. If I loved you less, I might be able to talk about it more. But you know what I am. You hear nothing but truth from me. I have blamed you and lectured you, and you have borne it as no other woman in England would have borne it. Bear with the truths I would tell you now, dearest Emma, as well as you have borne the..But you understand me. Yes, you see, you understand my feelings...(Austen, 1816, 1993, p.314).

The proposal was well thought of but Emma had no interest in getting married at that point. In a society that puts importance on wealth and rank, women could break free and become gentlemen in their own right without being viewed as extensions of the property of men.   For example, when in the carriage to Weston's wedding, Miss Taylor, Emma, and her father are talking when he says that he has lost some chicken to thieves and now Miss Taylor. This shows how Miss Taylor, a worker, was equated to a material property. The plights of women are further explored as Austen shows how they get depressed when they lose social status and the shame that they go through at all the tiny embarrassments that accompany their social segregation. This happened to gentlewomen such as Miss Taylor who was Emma's governess, Mrs. Goddard the mistress of Highbury school, and the Bates who were widowed and another a spinster daughter (Fowkes & Tobin, 1988, pp. 413-430).

Emma's view of being a gentleman is much different than that of other members of the society. She views people strictly by their social classes and poses pre-judgment upon each one respectively. When the novel begins she is sure when she says that

> she knows who are the chosen and the best in the village of Highbury, the second-set individuals like Miss Bates, and those beyond the pale like the farmers.(Austen, 1816, 1993, P. 190)

She refers to the Coles as low in origin as well as trade and thus they were not fully genteel. The Coles, however, get more money and rise the ranks to afford a lifestyle of the genteel class. They "employed more servants, enlarged their house, and gave dinner parties to which they invited the "regular and best families" (p. 190).

Emma viewed their rise in rank with a lot of suspicion and lack of acceptance while the other members of the genteel class like the Westons and Mr. Knightley accepted them and were more than willing to associate with them. Emma views the role of a gentleman as being considerate to the poor and engaging in charitable activities. She saw this as a duty of the people who belonged to her social class so she looked for ways that could relieve these people of their suffering. The author says that she was

> compassionate: and the distresses of the poor were as sure of relief from her personal attention and kindness, her counsel and her patience, as from her purse. She understood their ways, could allow for their ignorance and their temptations, had no romantic expectations of extraordinary virtue from those for whom education had done so little, entered into their troubles with ready sympathy, and always gave her assistance with as much intelligence as goodwill (Austen, 1816, 1993, p. 94)

Emma also believed that the people who had fallen in social ranks due to unexpected circumstances were still part of the genteel class. This is evident when she is willing to associate with the Bates and exchange gifts with them. Emma also believes that true gentility means co-existing in harmony with one's neighbors even though the parties lack a mutual understanding of one another. This is seen through the relationship that she has with her father. However, Emma failed to desire to please other people. This character trait makes the reader wonder whether this is what she perceived gentility as. She was not pleasant to Mr. Knightley in their business relationship when Mr Knightley wanted to change a route that passed through the meadows. She is for the idea but he says to his brother that "I would not attempt it if it were to be the means of inconvenience to the Highbury people" (p. 110).

Emma also viewed a gentleman as the guy who was ready and willing to give a hearty compliment to her or another woman. She judged others according to their awe of her. This is shown when she refuses to grow fond of her brother in law because he looked at her "without praise and without blindness" (p. 99). She is, however, pleased with Mr. Frank because of how he treated Mrs. Weston as shown by the author's words,

> It was not merely in fine words or hyperbolic compliment that he paid his duty; nothing could be more proper or pleasing than his whole manner to her—nothing could more agreeably denote his wish of considering her as a friend and securing her affection (Austen, 1816, 1993, p.181)

At the end of the novel, Emma acknowledges that she viewed the position of a gentleman in a wrong perspective and that she is willing to change when she says that she was wrong in pairing people up. She says, "It was foolish, it was wrong, to take so active a part in bringing two people together" (p. 134) She notes that she is willing to change and writes some resolutions including engaging more in reading and her passion for drawing art. This marks her point of maturity from the little-disillusioned girl to a realistic woman of character.

Mr. Knightley has different views on what it takes for a person to be a true gentleman. He was humble and modest considering the vast amount of the property that he owned. The author says that he had inherited Donwell Abbey estate, a large family fortune that his family had possessed. He was the eldest son of his family, and his brother had moved to London to make some wealth for himself. The author says that "It was a sweet view—sweet to the eye and the mind. English verdure, English culture, English comfort, seen under a sun bright, without being oppressive." (p. 70) He prioritizes behavior and manners when learning about any individual. He detects delusions easily among the other members of the society and corrects it immediately. Thus, he is at the forefront in correcting Emma and becomes her role model when she desires to change. He also notes that Mr. Elton is not behaving in a way a true gentleman should when he seeks a bride with money. Thus he cautions Emma against matching Elton with Harriet because she will end up being disappointed. He tells her that she will have done harm to herself than good to other people as she continues to meddle in their affairs adding that she was filling Harriet's mind with delusion. Mr. Knightley views Mr. Martin as a member of gentility despite his occupation as a farmer. He warms Emma against persuading Miss Harriet not to be married by Mr. Robert Martin who is of a lower social status. This is illustrated in chapter eight whereby Mr. Robert is rejected by Emma but accepted by Mr. Knightley. He also suspects Mr. Frank's motives and later realizes that there is something that's not right between Mr. Frank and Miss Jane Fairfax. As a true gentleman, Mr. Knightley was not afraid to correct Miss Emma. Emma admires him and states "Mr. Knightley's air is so remarkably good that it is not fair to compare Mr. Martin with *him*. You might not see one in a hundred with a *gentleman* so plainly written as in Mr. Knightley." (p. 153) Mr. Knightley also is free of exaggeration. He never flatters Emma because he understands that she is delusional and thus does not wish to take part in that fantasy.

Despite the fact that many members of that society keep giving Emma praises, he does not get influenced to do so because he knows it is not the truth. He takes steps to encourage her to change, and when she makes resolutions to change, he notes that she had a list of books she wanted to read but lacked the drive to do so, "I have seen a great many lists of her drawing up at various times that she meant to read regularly through" (p. 98) Emma also enjoyed painting but she adds touches of beauty that are not present in reality. Thus, Knightley corrects her by pointing out that she had painted Harriet too tall the very opposite of what Mr. Elton had commented that it was a perfect resemblance of Harriet and no one could draw as nice as she did, "I do not know anyone who draws so well as you do," Mr. Knightley also maintains grace at all times and he expects that all gentlemen should behave similarly. When Emma hurts the feelings of Miss Bates, he quickly tells her that what she had done was wrong and she lacked grace. He says to her, "How could you so unfeeling to Miss Bates? How could you be so insolent in your wit to a woman of her character, age, and station?" (p. 190) He also portrays true gentlemanly behavior by partaking in acts of kindness and not boasting about it. He is also calm because he never seeks to be witty, the center of attention, or a big entertainer. He, however, manages to remain social by talking to all people whether genteel or those of a lower class and talks about many topics without insinuating his

superiority. He offers transport to the Bates whenever they need it so that they cannot feel the pain of their lowered social status. He also visits Emma's father and tolerates his boring conversations about the weather and health.

Mr. Knightley's view on being a gentleman is a person of integrity at all times. He placed himself the custodian of genteel manners and is opposed to people that do not live up to these standards. While talking to Emma, he discusses the matter about Frank refusal to visit his father and seems very upset about it. He says,

> There is one thing, Emma, which a man can always do if he chooses, and that is his duty; not by maneuvering and finessing, but by rigor and resolution. (Austen, 1816, 1993, p.100)

He also reprimands Frank when he flirts with other women because he is engaged, saying

> So unlike what a man should be!—none of that upright integrity, that strict adherence to truth and principle, that disdain of trick and littleness, which a man should display in every transaction of his life. (Austen, 1816, 1993, p. 203)

He also enjoys chivalry as seen when he dances with Harriet to save her from the embarrassment of being rejected by Mr. Elton. He attends all functions that are required of him despite there being a possibility that he will not always enjoy the company. The author notes that he adjusted his mannerisms to please people, for example,

> Mr. Elton must compose his joyous looks, and Mr. John Knightley disperses his ill-humor. Mr. Elton must smile less, and Mr. John Knightley more, to fit them for the place. Emma only might be as nature prompted, and show herself just as happy as she was. To her, it was real enjoyment to be with the Westons. (Austen, 1816, 1993, p. 118)

He portrays a different character trait from Emma who does not enjoy social visits and avoids the chatty Miss Bates opting for the laid back Jane Fairfax. He believes that a man must fulfill his duties and says, "There is one thing, Emma, which a man can always do if he chooses, and that is his duty" (p. 141) When he decides to marry Emma, he first corrects her behavior which shows that he was willing to see her change for the better. He also makes the decision to move into her home where she lives with her father. This is a big step of sacrifice because Mr. Woodhouse was a boring old man who talked about the same subject over and over again. He is willing to take this sacrifice for the sake of his relationship with Emma. The only time Mr. Knightley doubted his abilities as a gentleman was when he said.

> My interference was quite as likely to do harm as to do good. It was very natural for you to say, 'What right has he to lecture me?' and I am afraid very natural for you to feel that it was done in a disagreeable manner. I do not believe I did you any good. The good was all to myself, by making you an object of the tenderest affection to me. I could not think about you so much without doting on you, faults and all, and by dint of fancying so many errors, have been in love with you ever since you were thirteen at least. (Austen, 1816, 1993, p. 394)

He felt that he was not good enough to give correction to Emma. Mr. Knightley's view of a gentleman is, therefore, evident in his character throughout the novel and he is a perfect example of true gentility.

3. Conclusion

From the above discussion, it is clear that the meaning of the word gentleman has changed from its original meaning. The different ages of human civilization have placed different meanings to this term to suit the needs of the lifestyle at that age. While the modern man describes a gentleman as a person of courteous behavior, the aristocracy man defined the gentry as a social class that was below the esquires and above the Yeomen. In the Victorian age, the society was seeking a change of morals. The general conduct had been ruined for trivial pleasures, so to alter human behavior, there was a shift towards the deeply religious gentleman (Gilmour, 1981, p. 238). He was soon replaced by the masculine and sports-oriented gentleman who shied away from humanities subjects. In the industrial revolution, it became increasingly difficult to identify the distinguishing factor for gentlemen. There had been intermarriages that had mixed classes. The people found it easier to penetrate the gentlemen class so that they could attain some form of recognition in the society. They, therefore, amassed wealth through trading activities and vast lands hence acquiring the title of self-made gentlemen (Greenblatt, 2012, p. 200). This phenomenon of the stratified society is put into perspective by Jane Austen's novel, Emma written in 1916. Qualitative research was helpful in gaining more knowledge about the subject matter. With the help of focus groups and individual interviews with historians, the researcher gained a lot of insight about the topic of gentility, its origins, application, and modern-day use. Through it, we indulge in a village called Highbury that encounters changing times in the way of life. We journey with the protagonist Emma as she

embarks on self-discovery and the meaning of a true gentlewoman and gentleman. She learns how to conduct herself through the example of a man named Knightley who eventually marries her.

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Chinese Folk Photographic Creations of Western Photographers

Ting Zhou[1]

[1] Fine Art School, Nanjing Normal University, 1st Wen Yuan Road, Nanjing 210046, Jiangsu, China
Correspondence: Ting Zhou. E-mail: 13851830020@163.com

Abstract

Folk cultures contribute to the important composition of the traditional culture in China, a multiracial ancient civilization enjoying a profound history. Folk photography opens a window for the world to enable people in other countries to understand China as well as its traditional culture. Western photographers have created a large amount of folk photographs during over a century of corresponding development. These works mean not only great significances to the documentation and heritage of Chinese folk cultures but also enormous contributions to the communication of Chinese folk cultures towards the global community. The paper reviewed the Chinese folk photographic creations of western photographers from mid-19th century to early 21st century, and discussed the connotations and meanings of these works.

Keywords: Chinese folklore photography, Western Photographers, Folk cultures

1. Introduction

As an important composition of the traditional culture of one nation, folk cultures profoundly illustrate the history and culture of the nation. Folk photography is a new photographic category (Sun, 2014) concerning the folklore researches and photographic art displays. Focusing on the folk items, such photographic activities provide great realistic significances to the rescuing and protection of folk cultures. Folk photographs can be created on all-embracing materials, including characters and clothes, residential architectures, life etiquettes, religious rites, etc. Photographic documents are more specific and direct than the text form, which is particularly significant in the protection and communication of intangible cultural heritages (Tao, 2012).

China is a worldly ancient civilization consisting of 56 nations, making the folk cultures of nations the important part of the Chinese culture and the shared spiritual fortune of the Chinese nation (Tan, 2004). A variety of distinctive and colorful national cultures have emerged in the 5000 years old history of Chinese nation. Over the more-than-100 years from mid-19th to early 21st century, massive western photographers embarked on Chinese lands to create a great amount of folk photographic works. They have expressed the attention towards the Chinese folk customs, which are traditional, nation-oriented and regional, and the passion towards Chinese traditional culture through the artistic approach of folk photography (Qi, 2005).

2. The Infancy Stage

Chinese folk photography sprouted in the 19th century when westerners carried photographic equipment to take portraits as early as the end of the First Opium War. They brought home a lot of scenic and architectural photos taken in the South China. Foreign photographers were allowed to take pictures in a limited territory of China before the 1870s. Restrictions were set on, besides of the range of motion, the types of photographs to a great extent, namely only pictures of ancient architectures and characters were permitted for foreign photographers. After the Second Opium War, China alleviated such restrictions. Western photographers were able to travel around China to take photos in their favorite way. Many photographers transmitted their focuses from scenes and architectures to the folk customs. Their best representations include American photographers Reverend Justus Doolittle and Luther Knight, British photographer John Thompson, and French photographer Albert Kahn.

Reverend Justus Doolittle, the American missionary who was fulfilling his works in the Southeast China during the mid-19th century, published his 1968 collection Social Life of the Chinese to document Chinese etiquettes and religious cultures of that time. In 1868, British photographer John Thompson set out a journey from HK to China mainland via Guangzhou, Shantou, Xiamen, Shanghai, Ningbo, Beijing and the Central Plains of Middle China. He created and released photo collections including Illustrations of China and Its People. These photographs delivered the living conditions and national customs of Chinese people to the entire world.

Folk-custom photographs account for a large proportion in his works. Covering a wide range of subjects, he had various humanity and social pictures of the late Qing Dynasty, including the local customs of nations, ancient architectures, religious cultures and production activities, recorded in large format, e.g. "The Manchu Bride in Beijing" (Figure 1) and "The Peddler Selling Fruits" (Figure 2).

Figure 1: The Manchu Bride in Beijing (Gen 2011)   Figure 2: The Peddler Selling Fruits(Gen 2011)

American teacher Luther Knight took plenty of realistic photos on his faculty in Sichuan during the early 20th century, documenting the social environment when living and working in Sichuan and the folk customs where he traveled, which involved precious details regarding lives, farm works, businesses and trades, etc. Back then, Chinese society was in transformation. After the invasion of western powers following the Opium War, various sectors of modern China society under the governance of Qing Dynasty went through drastic changes and reforms, which resulted in the transformation of all sectors including the modern folk customs in China. It was in above historical background that Luther Knight stepped onto the tough yet noble path of examining the Sichuan national cultures. Knight recorded the folk customs of Sichuan from multiple perspectives including the lives, farm works, businesses and trades, etc. Among his photos, there were "Qingyang Temple Fair" that revealed the living folk, and the "Ox Sacrifice in the Beginning of Spring" that revealed the farm work folk. His works offer not only the experiences of the epoch development and historical reforms, but also the understanding towards many folk customs with local characteristics. These images are, in addition to the demonstration and description of historical customs in Sichuan between the late Qing Dynasty and early Republic of China, one evidence for the development of Chinese modern photography (Zhou, 2016).

In 1909, French photographer Albert Kahn began his once-in-a-lifetime Chinese visit from Shanghai, during which he successively travelled by Qingdao, Tianjin, Beijing, Hankou, Nanjing and other cities and finally ended the visit with the voyage from Shanghai to HK. Hundreds of color photographs were taken in four regions of China by Mr. Albert Kahn and his photography team, consisting of the earliest color photographs about China discovered until now. These aged photographs, despite of their long histories, remain breathtaking and provide the touchable images of China in the early 20th century. The ancient Beijing courtyard houses, Confucian Temple, stores, weddings, street scenes, city gates and other subjects in his photographs have reproduced Chinese local customs and architectures of a century ago.

In 1927, China and Sweden jointly organized "The Sino-Swedish Scientific Expedition to the North-Western Provinces of China", which was the first large-scale expedition jointly founded by China and foreign scholars. Researchers applied cameras to document the special geographic environment, ancient city ruins and local folk customs in the Northwest China during the examination. These precious photographs about the living conditions of minor nations have recalled our attention on the western territory.

3. The Steady Growths

The decades between 1930 and 1950 are called the golden age of news photography, during which important magazines and weekly publications gained a large population of readers by photographic works. The Magnum

Photos was started in 1947 by Henri Cartier Bresson and Robert Capa, both of whom were important western photographers focusing on Chinese cultures. Cartier Bresson arrived in China in 1948 to take photographs and formulate reports about the country of that time. His one-year residence in China included six months before the collapse of the Kuomintang and six months after the birth of New China. The pictures he captured became valuable historical materials for keeping authentic records of the great transformation in Chinese history. Besides of the historical reforms, they also obtained plenty of photos regarding the establishment of China and the lives of people, exerting influences on generations of Chinese photographers. Figure 3 shows people practicing Taiji outside the Imperial Palace.

Figure 3. People Practicing Taiji outside the Imperial Palace (Gen 2011)

Due to various causes, only a limited number of foreign photographers were allowed into China apart from a few press-photographers of foreign news agencies or newspapers from 1948 to 1978. Marc Riboud was the first photographer having permission into China in the 1950s, who later received repeated invitations from Premier Zhou Enlai to visit our country. Over half a century ago, Marc Riboud departed from India for Guangzhou via HK, and travelled up north to capture Chinese sights along the journey, which included his experiences in Wuhan and the Yangtze River Bridge in construction. The multiple photos taken by the famous French photographers have become historical documents of the great changes in China. Marc Riboud visited China for over 20 times since 1957 to witness and record certain historical events. According to his statement, he has wondered on the Beijing Wangfujing Street at higher frequency than on the Avenue des Champs-Elysees. Marc Riboud has left many classical photos about Chinese daily lives, clothes, folk acrobatics, festival performances, etc. His publications include The Three Banners of China and Visions of China.

Along with the Reform and Opening-up, numerous foreign photographers have swarmed into China since 1978 (Yang & Hu, 2015). They have been dazzled at all of the vast territory, profound history, splendid culture and rapid changes in China. As Stewart Franklin, the Director of Magnum Photos, once illustrated about the close relationship between Magnum and China in an interview: "Any photographer interested in recording histories will be attracted by China." French photographer Yann Layma visited China for multiple times since 1985, creating the precious wealth of color photos reflecting China during nearly 30 years. According to insiders, "Most of Chinese pictures published on the foreign newspapers and magazines during 1980s and 1990s were taken by Layma". The artist created over 60 photographic reports and five books about China in a continuous order. A large amount of folk elements were included into the works of Layma. He arrived in the remote valley in Sanjiang Dong Autonomous County in the early 1990s to take a huge batch of vivid photos about the folk customs of the Dong Nation (figure 4). In 2001, he carried out six months of photography at Wudang Mountain in spite of illness, documenting the architectures and history of the mountain. Yann Layma was awarded Legion of Honor in 2005 for his outstanding contributions to the Sino-French cultural exchanges.

Figure 4. The Dong Woman Carrying Children (Gen 2011)

4. The Rapid Development

Photographer Shen Che founded the China Folk Photography Association as the Chairman in 1993. Since then, the term "Folk Photography" has gradually become the name of an independent area. In 1998, the association officially launched the first Humanity Photo Awards of International Folk Photography in China, which was a biennial global competition supported and authorized by the UNESCO with the right to use its logo. Folk photography began to enjoy an expanded concept and the stage of standardized operation and steady improvement when the cross-border communication and integration of Chinese folk cultures had been accelerated thanks to western photographers who were devoting themselves into Chinese folk photography (Yang, 2014). Their representations include Polish female photographer Wiktoria Stefania Wojcieachowska, German photographer Michael Wolf, Russian photographer Viktoriia Rogotneva, etc.

The cloths sector of 2015 Humanity Photo Awards was awarded to the People Wearing Raincoats in Hangzhou created by Polish photographer Wiktoria Stefania Wojcieachowska. The artist captured the rain scene consisting of the facial expressions of people, their different emotions towards the bad weather, the exhaustion, and colorful raincoats snatched by the wind. The photograph has exhibited a unique multi-cultural integration through the varied faces, emotions and physical languages of characters.

One set of pictures displaying the fishing cormorants in Guilin of China was published on the Daily Mail website of Britain in 2015. These photographs were taken by the Russian photographer Viktoriia Rogotneva on the Lijiang River of Guilin, Gunagxi in China. We are able to find the peaceful time outside the noisy world as well as the millennial tradition of the ancient watery region in these photos. Chinese fishermen have maintained a particular morning habit for thousands of years. They train the cormorants to catch fishes, which seize fishes from the depth of water and deliver them onto the crafts in obedience. It is a traditional fishing approach that causes no damage to the eco-environment at all. The pictures establish the harmonious and natural atmosphere with a cormorant, a gaslight, and a fishing net.

Thierry Bornier is a French professional photographer employed by National Geographic who is now living in Yunnan of China after seven years of working and living in New York. He has founded the project Lenscape China to focus on the attractive sights and folk customs in the West China. Thierry Bornier has set foot on various provinces, e.g. Yunnan, Sichuan, Hunan, Guangxi, Tibet, Inner Mongolia and Qinghai, and published several Chinese collections. His works include Fishing in Xiapu Bay, Early Morning Labor, etc.

5. Significances of Creations from Western Photographers

5.1 Documenting Chinese Culture

China is home to one of the world's greatest ancient civilizations. The national culture is an important part of Chinese culture and is shared by all Chinese people. In the long course of history, all Chinese ethnic groups have created a variety of distinctive and colorful ethnic cultures. Compared with written accounts, photographs seem more intuitive and specific in recording, collecting, organizing folklore cultures of all regions and ethnic groups (Jiang, 2008). After the extensive application of photographic techniques in the west world, many western photographers started to explore new grounds for photographic creations. Meanwhile, China remained a closed society of secret social formation and living conditions in the views of foreigners, which invited great curiosity

in European towards the mysterious ancient nation. The mysteries of Chinese ancient society documented in the texts of Travels of Marco Polo further strengthened their curiosity. However, words were ponderous and boring that require people to imagine the pictures illustrated in the texts. After the extensive application of photographic techniques in the west world, many western photographers chose China as their destination of photography.

The feature of photography determines its irreplaceable role in the preservation of folklore. It is through the use of a rich variety of pictures that it records folklore, all states of life, thereby adding a colorful chapter in the preservation and development of national culture. The over-a-century development of Chinese folk photography has witnessed western photographers to create a large number of corresponding works. The accumulation of these photographs have become a goldmine of Chinese folk cultures that offer reliable realism and visibility. There have been a host of outstanding folklore photographic works that have recorded in detail people's living conditions and their customs and activities. They have considerable folklore and philological value (Qu, 2009).

5.2 Propagating Chinese Culture

To some degree, folklore can be regarded as a resource, both culturally and economically. The development of folk resources can take many forms, for example photography which has become an indispensable means in folk resources development thanks to its convenience and ease of operation (Tao, 2012). Folklore photography plays a huge role in the communication of national culture. A lot of folklore is initially communicated through photographs and they are known by people as cultural phenomena. Folklore photography also connects Chinese folklore to the world. It is through the links of photography and economy that folklore receives more publicity. The news media, newspapers and magazines provide platforms for photographers to publicize folklore. Folklore photographs feature in many Chinese and international travel publications, such as Dragon-boat racing, Water-Sprinkling Festival, etc. of which media pictures have been well received in the international community, and which constitute great contributions to the dissemination of Chinese culture (Yang, 2014).

Folklore photography is a universal language shared by people of all races, religions, nations and cultural backgrounds. It facilitates communication, exchange and understanding among different nations, regions and cultures. In today's context of global integration, China must understand the world, and vice versa. In this regard photography can be used as a convenient tool to introduce Chinese folklore to the world. Photography events including HPA have effectively accelerated the cross-border exchange and integration of folklore cultures, and promoted the sharing of the world's outstanding folklore photographic works. At the same time, cross-border communication of folklore photography reflects the characteristics of photography activities in different countries and regions, facilitates the communication of folklore photography between different countries, and thereby realizes resource integration and cultural exchange.

5.3 Broadening the Scope of Photographic Arts

The spiritual and cultural pursuits of human beings have been enriched due to the occurrence of photographic arts. Digital technologies have penetrated into every segment of our lives along with the social development, economic leaps and arrival of information age. People can perceive the direct experience through the intuitive pictures of photographic arts without being limited by languages, nations, countries, etc. But production of excellent works seems still a difficult matter. Photographs are easy to be repetitive (Mao, 2016). Given different economic conditions and cultural backgrounds, 56 ethnic groups of china have developed their unique national psychology, customs, values, religious beliefs, moral customs, lifestyles and codes of conduct. This unique nature of folklore resources determines the richness and diversity of photography themes.

Folklore photography has both broadened the content and enriched the category of photography (Fan, 2010). It isn't equal to documentary photography that records the folklore of ethnic groups using a documentary approach. It's also different from photojournalism. It doesn't entirely fall into the category of art photography since folklore photography doesn't have to focus on light and shadow effects, shooting skills, etc. Rather, folklore photography should be taken as a kind of academic photography in view of the considerable sociological value contained in its cultural connotations and manifestations, so it is worthy of in-depth academic research (Wu, 2016).

6. Conclusion

Modern society is paying increasing attention to the folk photography and attaching greater importance to its value. As a multiracial civilization enjoying a profound history, China possesses rich local colors and folk connotations that are attractive to multiple western photographers. Western photographers have contributed a large amount of prominent photographs and fantastic pictures surrounding the topic of Chinese folk customs during over a hundred years since 19th century. These photographic works play an important role in the

exploration and communication of Chinese folk cultures. In addition to the communication, they further promote the development of Chinese photography, displaying the charm of China by cameras.

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