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The Adolescents' Habitual Use of New Media: The Mapping of New Media Habit Indonesian Adolescents

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Abstract
The future of the world, culture, and style will be owned by digital native. For that reason, the comprehension of the life, behavior, and habit of adolescent as the digital natives becomes a significant issue to be observed. So far, there is no any comprehensive and massive data related to adolescent habitual use of media in Indonesia. TNS data called "Digital Life", commonly used by researchers related to mass communication or marketing communication in digital era, only perform the general data of people who use Internet access which are categorized into simple attitude group without specifically related to adolescent users. The absence of national baseline related to the adolescent habitual use of media in Indonesia causes the difficulty for formulating policy, framing regulation, or implementing a suitable program for the future of Indonesian adolescent. It also effects on the struggle of solving various cases of media use violation by adolescents. The research formulated in this article is how is the pattern of Indonesian adolescents' habitual use of media as digital native. Media habit in this case includes media accsess, media use, and media consumption of new media. The research method is quantitative. The data collection is done through questioner by using simple random sampling.

Keywords: mass communication, new media, digital natives, media habit, media access, media use, media consumption, pattern of adolescents habitual, adolescents interactional.

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Introduction

I. Research Background

The development of technology of communication has caused several consequences in our everyday life. It has shaped a new media which provide an easy way to communicate and remove the space-and-time-limitation. This change of mode of communication, undeniably, influences the change of lifestyle of the society. Along with the domination of media and it role for society, clearly, the change of lifestyle is not only experienced by adult. The strong penetration of technology of communication causes the younger generation to have their own way of living their life, which is different from their older generation.

In the context of the new media, the younger generation, in this case adolescent, is categorized as digital native, or also known as net generation, digital generation, or millenials. John Palfrey and Urs Gasser (2008) further interpret the characteristic of digital natives as an individual who was born aftter 1980 (the digital era), an era when digital technology such as Usenet and bulletin board system are available online. This generation makes use of digital network technology access and has a skill and knowledge about computer (YPMA, 2011). They have common cultural norm which is created through a shared experience in the intents interaction using the new technology of communication of the new media.They think, live, create norm, and develop future vision differently from their older generation, the generation before the digital era. More specifically, they have a habit of using media- both as a passive user and active user- with a completely different pattern from the older media users. The future of the world is the world of digital natives. The culture and lifestyle of the future is shaped by the culture and lifestyle of digital natives. The question is how much we understand about life, habit, and habits of Indonesian children as digital natives in Indonesia? So far, there is no comprehensive and massive data available related to Indonesian children media habit. TNS data known as "Digital Life", commonly used by researchers to do their research related to mass communication or marketing communication in digital era, only perform the general data of people who use Internet access all over the world which are categorized into simple attitude group without specifically related to adolescent users (YPMA, 2011). Even if there is any exploration further from just the number of users, the baseline use by most of researchers are small partial group of researchers in local context with sporadic system and various kind of instrument from different kind of indicator of variable.

The nonexistence of national baseline related to Indonesian adolescent media habit causes the difficulties both for government and other domestic and foreign research groups to design a or to implement an effective regulation for the future program of Indonesian adolescent. In many cases of violation happened in the past, the experts find it difficult to do a massive research to come into a comprehensive result and recommendation because of the non-existence of national baseline of the Indonesian adolescent habit as a stepping stone. The Indonesian association of communication study, known as *Asosiasi Program StudiIlmuKomunikasi Indonesia* (ASPIKOM), has an awareness to give a contribution to the future of the digital native. By observing the non-existence of data, ASPIKOM design a research program to explore the Indonesian digital native media habit. By creating a network with other communication department all over the country, ASPIKOM has reliable resources to

undertake survey related to *digital native* media habit all over Indonesia. Through the contact of Communication department in every area in Indonesia involved in this research, the need of representative national baseline of Indonesian adolescent media habit can be comprehended.

II. Research Questions

Based on the need of national baseline of Indonesian adolescent media habit as digital native, the research question for this study is formulated as follow:
"How is the pattern of Indonesian adolescent media habit?"

Media habit can be interpreted in a various senses, it includes media access, media use, and media consumption. As digital native, the interaction between adolescent and media is more specified into new media. New media is defined as "..unique forms of digital media, and the remaking of more traditional media forms toadopt and adapt to the new media technologies" (Flew, 2005:3-4). New media is classified into traditional media based on the aspect of "digitisation, convergence, interactivity, networks &networking". Therefore, everything based on the internet and digital technology such as handphone/smartphone, internet, social media and all of its features **including** digital camera, DVD/CD player, online radio, videogame, *file sharing software*, **plus** the whole activities involved such as taking picture, sending email, texting, sharing file, downloading, *posting, updating, networking*, etc are categozied as the new media.

Through the clear distinction of types of media, media activities, and the exploration target, the research questions are specified as follows:
1. How is the new media being accessed by the adolescents in Setiabudi sub district?
2. How is the new media being used by the adolescents in Setiabudi sub district?
3. How is the daily life practice of new media use in the adolescents in Setiabudi sub district, particularly in term of entertainment, business and the consequences of the new media?

III. Objectives of the Research

Based on the research question formulated above, the objectives of this research are:
1. To observe how the new media is being accessed by the adolescents in Setiabudi sub district
2. To figure out how the new media being used by the adolescents in Setiabudi sub district.
3. To comprehend the daily life practice of new media use in the adolescents in Setiabudi sub district, particularly in term of entertainment, business and the consequences of the new media

IV. The Significance of the Study

The study is intended to produce national baseline related to the adolescent media habit in Setiabudisubdistrict as a digital native. This baseline will be a part of Indonesian baseline data along with the result from other members of ASPIKOM.

V. Literature Review

Us, Internet, and Information Society

The history of human civilization has taught us a lot of things. One of things is the fact that civilization is not static-we are revolving society. The first phase of civilization is the hunting society, marked by nomadic lifestyle. Next is pastoral society which was marked by the massive farming lifestyle. After centuries of living pastoral lifestyle, the ability of human conquering the nature became a mechanical power which resulted to a revolution to the next phase: Industrial society. Nowadays, every activity done by human being is dominated by production activity and information exchange, therefore the society of this era is called as Information society.

The emergence of technology has changed and brought society went through several phases of civilization. Theoretically, the cultural change of the society as the impact of the development of technology is discussed based on itstechnological determinism scope. The theoretical views on this scope are framed based on the assumption that technology has caused social change—therefore media of communication is seen as one of type of technology which has possibility "..to change everything in the society" (Straubhaar&LaRose, 2004:26). There are several variations of theoretical views related to technological determination. Even though some of them equally assume that massive change occurs as the impact of the emergence of technology, several variations have different emphasize both on social and cultural technological impact as the cause.

In the contexts of communication, Straubhaar&LaRose (2004) further interpret that there are main theories reveal the variation of technological determination penetration; medium of the message, technology as the dominant impulse, and media drive culture. The details of explanation of each variation are as follows.

First, the theory of technological penetration as the medium of message is revealed by Communication expert from Canada, Marshall McLuhan. On his book "Understanding the Media" (1964), frames that the new technology of communication has a role in determining the culture of society. Further, he defines "... it is the form of the media, rather that theircontent, that matters" (Straubhaar&LaRose, 2004:26). Even though McLuhan was not experiencing the era of internet, his "global village" phrase on his classical book explaining the impact of electricity in creating personal relationship in massive scale is still valid until today.

Second, technology is the dominant impulse in the society. In the scope of Technological Determinism, technology is assumed to have a huge influence both in the level of individual habit and in the industrial level. Further, technology has an enormous role in changing cultural and social behavior of the society. This is the phenomena happens in the society nowadays, where technology—including the new media—creates new habit and changes, or even ruins, the old habit.

Third, technology is media drive culture. The emergence of technology changes the society's lifestyle.Since the role of technology of media and telecommunication is dominating, thus the culture and lifestyle of the society are oriented based on the media.

Various kind of technology of communication has revolved the world. The peak of the revolution is the present condition where the digitalization and internet emerge, from the first generation of computer, World Wide Web invention, to the creation of social media. Since then, the new terminology is created: new media.

New media is the most recent development of technology of media and telecommunication. The main key point which differentiates new media and traditional media is the 'digitization &convergence', 'interactivity', and 'networks and networking' characteristic. Not only digital media, new media is also categorized as "developmentof unique forms of digital media, and the remaking of more traditional media forms toadopt and adapt to the new media technologies" (Flew, 2005:3-4). Internet—including its whole transformation is categorized as the new media. The transformation of internet itself happens in three waves. Josep R. Dominick characterized the first wave as Web 1.0 (1995-2003), where the use of internet became a passive consumers and consume all texts which has been provided by the content producers. It has static characteristic. In Web 2.0, the most revealing characteristic is the existence of sharing process and collaboration. The position of the user in this case is seen as more active. While in Web 3.0, social media is seen as the most significant characteristic. It completely changes the role of public users.

Adolescent as the Audience of the New Media

The adolescent period is one of period of an individual person where a lot of changes happen. This period is started by several important characteristic changes, such as independency (being more independent individual who are not depended on the family), sexual interest, self-awareness, etiquette and moral awareness (SalzmandanPikunas, 1976 dalam Yusuf,2004:71). This period is a transition period from childhood into adulthood. It means that in this period, healthy adolescent period will bring positive adulthood in the future (Yusuf, 2004:71). To achieve that thing, therefore some psychologist identify tasks of adolescent development as follows:

1. Accept their physical appearance with its various range of quality
2. Achieve emotional independence from the parents and other authority figures.
3. Develop interpersonal communication skill and learn to socialize with their peers or other peole, both as an individual and as a group.
4. Find the role model to create their identity.
5. Accept who they really are and have a self-esteem toward their own ability.
6. Strengthen self-control based on priority scale, principle, or philosophical view of life.
7. Have an ability to leave the childish behavior. (Kay dalam Yusuf, 2004:72-73)

In those tasks, it clears that the environment plays important role in the adolescent life. In the model of traditional parenting, the environments are categorized as; family, friendship network, and neighborhood. But, nowadays, with the domination of media in the human life, the pattern of traditional parenting has been challenged by the existence of media. Once the leave their family, teenagers—evenchildren—has media as their new "caretaker".Through media, adolescent learn about real life experience and at the same time learn about socialization norms in the society—based on the reality framed by the media.

Dealing with media, adolescent reveals their dynamic characteristic. Basically, they are curios, unstable, and easily affected by the media (The Habibie Center, 2010 : 7).On the other side, they are familiar with technology, open minded to a new thing, and more idealistic. It is often argued that young people growing up in the presence of Internet andnew media are 'techno savvy'. They are assumed to posses new media attitudes andskills which older generations do not... This new generation has been positivelycharacterized as 'the Net Generations' (Tapscott, 1998) or 'Digital natives' (Prensky,2001), or 'Millenials' (Howe & Strauss, 2000) due to their often unquestioned proficiency of in accessing and using technology and new media.(Zimic, 2009:1)

Even though the claim of 'techno-savvy' is considered to be problematic in several studies, it is undeniable, the adolescent is the dominant user of gadget and telecommunication. "As early adopters of new media, youth are in many ways the defining users of the new media" (Montgomery, 2000:61). The adolescent of this generation is 'net geners', who have their own uniqueness. "Their brains have developeddifferently. Their brains process fast-moving images differently" (Tapscott, 2009 quoted from Zimic, 2009:131).

The consequence from the different way of thinking is on the norm, habit, and the behavior of the adolescents who were born in this digital era. Tapscottelaborate the "8 Norms of Internat Generation" as follows:

1. Freedom
- Highly appreciate freedom in expressing and making decision.
2. Customization
- Modify whatever thing they face—includingtechnology—to personalize it as unique as their personality.
3. Scrutiny
- Accustomed with the information access, so it is easy for them to track vatious sources of intended information or study.
4. Integrity
- Appreciate the value of honesty, transparency, and have a high expectation of etiquette.
5. Collaboration and Relationship
- As the multitasking generation, they should be accustomed with various kind of information and other network information.
6. Entertainment
- Apply an entertaining approach in producing or consuming information.
7. Speed
- Prioritizing speed in working on a something—and expecting everything is done quickly.
8. Innovation
- Disagreeing the entire standard and conventional thing. Accepting challenge and new idea and being innovative.
(YPMA, 2011:2-3)

Participating in online media is one of character which differentiates adolescent of this era from the previous era as the digital native. ShentondanMcNeeley (1997), elaborate several motives in participating in online media are as follows:

1. A chance to create friendship and relationship which is assumed to be more difficult created in offline community.
2. A skill to shape an identity
3. Spread out a new idea among other people who have the same point of view.
4. A chance to meet people who has the same interest-no matter how strange is the interest.
5. The search for romantic or sexual relationship.
6. A chance to express opinion and point view which is impossible to be done in mainstream media because of lack of access.
   (Flew, 2004:69)

In fact, from all of the motives mentioned above, we have no idea the most common and dominant motive which become the main motive for adolescent to participate in the online media. In Australia, 96% school homework done by adolescent student are done by involving internet- both in a big or small scale. The same case happens in England, where the main function of Internet use among adolescent students is to do research and search for other things based on their interest. Meanwhile, in 2009, The Educational Department of United State for the first time figured out that the average performance of students who do online study is higher than students who do face-to-face study. "Nearly half of European11-16 year olds say that they find it easier to be

themselves on the Internet than whenthey are with people face-to-face" (Carwardine, 2011).It shows that when online media is used for education, it will give positive result. Sadly, on the other side, As it is previously predicted, the socialization ability of adolescent in the real world is decreasing-along with their intense interaction in virtual life.

Adolescent is a period of identity discovery, a period where an individual explores their skill to 'play' several role to find the most suitable identity for themselves. It is expected through the discovery of identity in this period will shape a stable personality for their adulthood. But in reality, the discovery of identity exploration goes wrong. Nowadays, the discovery of identity interpreted by Flew (2004: 69) as "... a greatly enhanced scope for play, deception, and the adoption of different and multiple personas that online communities enable".

Youth Protection Roundtable Tool Kit elaborates another risk of online contact by adolescent (2009) are: harmful advice, identity theft, moneytheft/phishing, commercial fraud, grooming,bullying, disclosing private information, andprofiling(Wilson et. al., 2011:133).
These kinds of risk is problematic and should be solved.
The main thing should be considered in solving this problem is what kind of activity done by adolescent in the media interaction—especially with the new media.

We are still at the early stages of piecing together a more holistic picture of the role of the new media in young people's everyday life... what is generally lacking in the research literature overall is the understanding of how new media practices embedded in broader social and cultural ecology. Although we have a picture of technology trends on the one hand, and spotlight on specific youths population and practices on the other, we need more work that brings these two pieces of the puzzle together.(Ito et.al., 2008:10)

Digital Youth Projectdeveloped by Ito, et.al (2008)define several important aspects related to the activities done by adolescents in the new media, as follows:

1. Genre of participation

Genre of participation is based on the type of involvement or the convention of the users of the new media which are different from each other. Genre of participation is a way to identify, interpretatively, a set of social characteristics, culture, and technology which are known as practice by the users. Genre of participation are differentiation into:

a) Friends-driven participation,is a type of interaction or negotiation practice which is done daily by the adolescents to people around them, especially to their peers. The main intention of this activity is strengthen friendship relationship.

b) Interest-driven participation,is a type of interaction or media practice which is based on the main interest of the users. This thing is done through specific activity, niche, or marginal identity. The adolescents differentiate the interest-driven participation into 'the geeks', 'the freaks', musician, artist, and the 'dork' which is identified as a smart, different, creative, and generally socially marginalized from other adolescents.

In the end, this participation genre resulted into three different adolescent involvement with media; hanging out, messing around, andgeeking out. Hanging out, the media users as the part of real life interaction which is done face to face. Messing around, the media intensively use media to explore specific interest—and as the consequence they interact and socialize with other users who has similar interest.

2. Participation in networked publics

This term explain the participation in the public culture which is supported by online networking. 'Networked publics' is a terminology refers to an active participation from social network distributed for the dissemination of culture and knowledge as the main theme.

Related Studies

The adolescent profile as the users of media considered as one of the topic in audience study. Some studies focus on the media habit which is developed by media, along with the demography and the psychographic of adolescent as new media users. This kind of study normally is a part of quantitative market research.Some parts of the study is related to this study based on its concern on specific characteristic from specific audience segmentation.

Synovate's studies in some Asian countries (including Indonesia), presented in Asia Pacific Media Forum 2006, shows that in 2006, Indonesia was still dominated by television (60%) instead of internet (19%). This condition is contrast to the present condition. There are several interesting facts point out through the research. In the activity of 'downloading into mobile', the age group of 20-29 years old is the most dominant one (51%), followed by 15-19 years old age group (15%). In the case of duration of media use the age group of 20-29 years old is still in the first position (2.9hours per day), followed by 15-19 years old age group (2.5 hours per day)(Susatyo, 2006)

Study related to New Media Usage in several European countries indicates the decreasing role and popularity of television. However, most of the respondents being observed still mention that television is their first option to get information. In fact, 82% of respondents mention that they still watch television on daily basis. On the other side, the use of internet is growing rapidly. From 56% of respondent who admit to use internet, 41% of them use it for surfing every day. The number of adolescents who use internet is increasing from 2010 to 2011. In 2010, the percentage is 68% and it increases into 80% in 2011 (LPSOS, 2011).

Based on the observation of internet use in Indonesia, TNS on 10th of October 2010 published their study entitled "Digital Life". The result of the research shows that 70% of internet users in Indonesia use internet to access social media as the main activity. Another research done by *YayasanPengembangan Media Anak* (YPMA) on March 2011figures out that internet is introduced to the adolescents by their parents and teachers, some of them even learn it autodidact.

To serve in virtual life, Indonesian digital native use several gadgets, such as PC, laptop, hand phone, or Blackberry. Every day, in average, they spend 1.5-3 hours on internet. The most popular website for the adolescents is Twitter as the most accessed social network. Sadly, the media literacy level of Indonesian digital native is not equal to their internet navigation skill (YPMA, 2011:5-6). Same thing is also found in the study of internet use in Bandung, in the middle of 2010. Even though the adolescent intensively interact to their peers in the virtual life, the digital native in the city do not have sufficient media literacy—and so does their parents.
(Astuti, 2011:27).

VI. Research Method

The survey method is used for this research through questionnaire distributed to respondents in several cities. The number of sample represents the number of population in one city/municipality for the adolescent age category (15-19 years old) and has an educational access, by using random sampling which was determined by Yamane formula.

It is decided that in every area a member of ASPIKOM should distribute 400 questionnaires to 400 respondents. Based on that decision, in DKI area, there will be several universities involved. For Central Jakarta, Communication Department of UnikaAtma Jaya and Fikom of Dr. MoestopoBeragama University contribute to give 80 respondents, which means each university contribute to give 40 respondents. However, based on the field exploration, Communication Department of UnikaAtma Jaya contributes 79 respondents.

Description of Communication Department of Atma Jaya Catholic University

In this research, every university is given a chance to develop their research based on their main interest. The Department of Communication of Atma Jaya Catholic University decided to explore the study on SMA and SMK students (same level as high school students) in Setiabudi sub district, South Jakarta. The population of SMA and SMK students in the area are taken from several schools:

- SMA Negeri 3
- SMA Negeri 43
- SMA Negeri 79
- SMK Yaspen
- SMK RPI
- SMK Budi Asih
- SMK DaarulUlum
- SMK Respati
- SMK Muhammadiyah 15

The number of population is based on the number of students live in the Setiabudi sub district. Sample is determined based on accidental sampling technique. This research is a descriptive research, which describes the indications, characteristics, or attitude observed through indicator variable.

There are three different aspects as the variables of this reserch:
1. Media Access Variable
The possesion and way of accessing the new media as the measurement.

2. The use of New Media Variable
media use and the intensity of new media use are used as the measurement of this variable.
   New Media Practice Variable:

   the additional variable from Communication Department related to the focus on entertainment, business, and the impact of the new media.

The role and function of new media in the daily life will be used as the measurement of this variable. Based on the need, the data will be set up based on the relevant measurement scale.

VII. Analysis

The main objective of this research is to create a baseline related to the media habit of Indonesian adolescent as digital native. This part contains the analysis of the research which will perform the result about the adolescent attitude in using the new media: the mapping of the habit of Indonesian adolescent in using the new media with the focus on its role and function in daily life, especially in the term of entertainment, business, and its negative effect: In the practice of new media in the daily life of Indonesian adolescents, especially based on the entertainment consideration, the Indonesian adolescents prioritizing internet speed, easy access, and up to date contents. Other reasons such as economical reason, trend, and influence from their peers are not considered as the main reasons of media practice by respondent. The most common way of getting entertainment is done by googling/searching through other searching engines rather than looking for influence from other media (such as tv, radio, newspaper, magazine, book, etc). Other than a recommendation from a friend, another media such as website and public advertisements (in mall, hotel, plaza, tourists' attractions, etc) are less influential for adolescents.

Further, the observation of daily practice of media use by Indonesian adolescent in term of business done by the respondents show that the most popular businesses are hobby, fashion, and accessories (souvenirs& other products), automotive, food, art (music, film, dance, painting, etc), electronic, cosmetic and service.

In the new media practice in the adolescents' daily life, it is found out that pornography is one of the highest negative effects from the internet mentioned by the respondents. Another negative side effects mentioned by the respondent are hacking (hacking the system without permission/stealing) and plagiarism (copying other people's work without any copyrights). While small portion of the respondents mentions that negative information is another negative effect of the internet. It includes online bullying, mean commentary, verbal and audiovisual violence, inappropriate content, racial, religious, and ethnical conflicts.

However, there are several different result performed on the survey about the negative thing known by the respondent from internet, negative thing experienced by the respondent from internet, and negative thing happen to other people known by the respondents. In the case of negative thing known by respondent from internet, pornography is considered as the most negative thing with 74.8% percentage. Meawhile, for the negative thing experience by respondents through internet, negative commentary from other users is in the first position with 39% of percentage. The hacking problem done by the hacker who ruin or illegally access website system is mentioned by 59% of respondent in the case of negative thing happen to other people in internet. It means that pornography is the most common negative effect of the internet based on the respondents' opinion, even though this problem is not always experienced by respondent or other people known by respondents.

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State Responsibility toward the Embodiment of Education Rights Protection of Disabled Community

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Introduction

International law has place a distinguished position for state in its position as one of the member of the international law subject. The rights given has a strongest nature among other international law subject. This issue is supported by the existence of legal personality as owned by state itself.[1] The Montevideo Convention 1933 has named special characteristic that must owned by state, so that it will obtain its authority to the fullest, which are : defined territory, government, permanent population and capacity to enter into relation with other state, [2]yet this four category has resulted on the distinction of sovereignty that state has, instead of the other subject.

Sovereignty in its nature has allow state to have sovereign right to the fullest in its territory over person, object, and activities that happen in its territory, yet when it is cross another border of another state, it is become limited since it has been regard as a respect toward the equality and independency of other state.[3] Related with the sovereign right of a state itself, and since it has its authority over its territory, the right of state is to conduct well living of its people rights fulfill through the role of the government as one of the media. What means by right is related to the guarantee of rights that obtain from every person since he/she born into the world[4].

Human rights are moral principles or norms that describe certain standards of human behavior, and are regularly protected as legal rights in municipal and international law.[5] They are commonly understood as inalienable fundamental rights "to which a person is inherently entitled simply because she or he is a human being,[6] and which are "inherent in all human beings" regardless of their nation, location, language, religion, ethnic origin or any other status.[7]They are applicable everywhere and at every time in the sense of being universal,[1] and they are egalitarian in the sense of being the same for everyone.[3] They require empathy and the rule of law[8] and impose an obligation on persons to respect the human rights of others. They should not be taken away except as a result of due process based on specific circumstances, and require freedom from unlawful imprisonment, torture, and execution.

The doctrine of human rights has been highly influential within international law, global and regional institutions.[3] Actions by states and non-governmental organizations form a basis of public policy worldwide. The idea of human rights[8] suggests that "if the public discourse of peacetime global society can be said to have a

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[7] urns H. Weston, March 20, 2014, Encyclopedia Britannica, human rights, Retrieved Aug. 14, 2014

[8] Merriam-Webster dictionary, [3], Retrieved Aug. 14, 2014, "rights (as freedom from unlawful imprisonment, torture, and execution) regarded as belonging fundamentally to all persons

common moral language, it is that of human rights." The strong claims made by the doctrine of human rights continue to provoke considerable skepticism and debates about the content, nature and justifications of human rights to this day. The precise meaning of the term right is controversial and is the subject of continued philosophical debate[9] while there is consensus that human rights encompasses a wide variety of rights such as the right to a fair trial, protection against enslavement, prohibition of genocide, free speech, or a right to education, there is disagreement about which of these particular rights should be included within the general framework of human rights; some thinkers suggest that human rights should be a minimum requirement to avoid the worst-case abuses, while others see it as a higher standard.

One of the right that is important for the well being of every person is the right to obtain well education, and what means by every person is every person comes to any ages that has put their goal to obtain education, yet it also included the right of difable person to obtain such education right. The right to education is a universal entitlement to education. This is recognized in the International Covenant on Economic, Social and Cultural Rights as a human right that includes the right to free, compulsory primary education for all, an obligation to develop secondary education accessible to all, in particular by the progressive introduction of free secondary education, as well as an obligation to develop equitable access to higher education, ideally by the progressive introduction of free higher education.

The right to education also includes a responsibility to provide basic education for individuals who have not completed primary education. In addition to these access to education provisions, the right to education encompasses the obligation to rule out discrimination at all levels of the educational system, to set minimum standards and to improve the quality of education.

The right to education is reflected in international law in Article 26 of the Universal Declaration of Human Rights and Articles 13 and 14 of the International Covenant on Economic, Social and Cultural Rights. The right to education has been reaffirmed in the 1960 UNESCO Convention against Discrimination in Education, the 1981 Convention on the Elimination of All Forms of Discrimination Against Women, and the 2006 Convention on the Rights of Persons with Disabilities

In Europe, Article 2 of the first Protocol of 20 March 1952 to the European Convention on Human Rights states that the right to education is recognized as a human right and is understood to establish an entitlement to education. According to the International Covenant on Economic, Social and Cultural Rights, the right to education includes the right to free, compulsory primary education for all, an obligation to develop secondary education accessible to all in particular by the progressive introduction of free secondary education, as well as an obligation to develop equitable access to higher education in particular by the progressive introduction of free higher education. [10] The right to education also includes a

[9] Macmillan Dictionary, human rights - definition, Retrieved Aug. 14, 2014, "the rights that everyone should have in a society, including the right to express opinions about the government or to have protection from harm
[10] Beiter, Klaus Dieter (2005). *The Protection of the Right to Education by International Law*. Martinus Nijhoff Publishers. pp. 226–227.

responsibility to provide basic education for individuals who have not completed primary education. In addition to these access to education provisions, the right to education encompasses also the obligation to eliminate discrimination at all levels of the educational system, to set minimum standards and to improve quality. The European Court of Human Rights in Strasbourg has applied this norm for example in the Belgian linguistic case. Article 10 of the European Social Charter guarantees the right to vocational education.

The term difable means different abilities and often mistaken with the condition that limit someone to conduct one action, yet the condition that difable person faced is bring to such bitter some reality that usually also occurs with the right to obtain fair education.[11] International regulation has established the UN Convention on the Rights of Persons with Disabilities to provide legal shelter for guarantee the rights of persons with disabilities. Indonesia as a part of the international community also provides regulation of Law number 4 of 1997 concerning disabled people. Though within the existence of these regulation, various problems related with their right fulfillment in the equity of education, it still trails behind. The legal standing of disabled right s protection has been regulated in UN Convention on the Rights of Persons with Disabilities especially as regulated in article 24 on Education, yet this Convention also provides comprehensive shelter for the disabled community interests. Meanwhile in Law number 4 year 1997 also provides such regulations that apply in Indonesia, yet it has not given some specific regulation as the UN Convention on the Rights of Persons with Disabilities did.[12] Regarding the action for the model to provide the equality of education rights for disabled community. Therefore based on this explanation, this paper attempt to analyze and to find the concept of justice related with state responsibility for equal education right of difable person and the model of inclusive education as a model to fulfill equality of difable person education right.

Explanation

The Concept of Justice in the State Responsibility for Equal Education Right of Difable Person

Justice in its broadest context includes both the attainment of that which is just and the philosophical discussion of that which is just. The concept of justice is based on numerous fields, and many differing viewpoints and perspectives including the concepts of moral correctness based on law, equity, ethics, rationality, religion, and fairness. Often, the general discussion of justice is divided into the realm of societal justice as found in philosophy, theology and religion, and, procedural justice as found in the study and application of the law.[13]

The liberal concept of justice is an interpersonal one resolution of conflicts between individuals. Individuals can suffer or perpetrate wrong. Individuals can be punished,

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[11] Moyn, Samuel (2010). *The last utopia: human rights in history*. Cambridge, Mass.: Belknap Press of Harvard University Press.

[12] Ishay, Micheline R. (2008). *The history of human rights : from ancient times to the globalization era*. Berkeley, Calif.: University of California Press.

[13] Durham, H. (2004). ""We the People: The Position of NGOs in Gathering Evidence and Giving Witness in International Criminal Trials". In Thakur, R, Malcontent, P. *From Sovereign Impunity to International Accountability*. New York: United Nations University Press.

protected and granted restitution. Justice is an interpersonal thing. It consists in upholding that which is right and due as between persons. Social justice, which involves society and groups, is a concept, which is directly antagonistic to the liberal idea. It is a concept, which is nebulous and non-achievable. Its proponents increase state power to affect it, with counterproductive results.[14]

Disability, of course, can be understood very differently across different communities and cultures. In order to pursue a coherent approach to addressing inclusive education for children with disabilities, a definition of disability is required. Article 1 of the CRPD describes persons with disabilities as those who have longterm physical, mental, intellectual, or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others'.[15] This approach is consistent with the WHO's International Classification of Functioning, Disability and Health, known more commonly as ICF, which conceptualizes a person's level of functioning as a dynamic interaction between her or his health conditions, environmental factors, and personal factors. It defines functioning and disability as multidimensional concepts relating to:[16]

• The body functions and structures of people
• The activities people do and the life areas in which they participate; and
• The factors in their environment that affect these experiences.

Both approaches allow for a broad approach to disability which acknowledges the importance of the context and environment in enabling or disabling individuals from participating effectively within society best interests of the child, the optimum development of the child and the right of the child tobe heard and taken seriously in accordance with age and maturity.

These principles need to underpin all actions to promote the right of children withdisabilities to education. In addition, it is necessary to take account ofall other relevant rights. For example, many children with disabilities will continue to experience barriers in realising their right to education, unless measures are taken to provide early assessment and access to early years provision, to tackle prejudice and discrimination, to provide protection from bullying and violence, and to develop appropriate support and services for families.[17]

A rights based approach to education is informed by seven basic principles of human rights. These principles need to be applied in the development of legislation, policy and practice relating to the right to inclusive education:[18]

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[14] "Corporations and Human Rights". Human Rights Watch. Archived from the original on December 15, 2007. Retrieved January 3, 2008.
[15] The United Nations, Office of the High Commissioner of Human Rights, What are human rights?, Retrieved Aug. 14, 2014
[16] Burns H. Weston, March 20, 2014, Encyclopedia Britannica, human rights, Retrieved Aug. 14, 2014
[17] Danny Danziger & John Gillingham, "1215: The Year of Magna Carta"(2004 paperback edition) p278
[18] Hannum, Hurst (2006). "The concept of human rights". *International Human Rights: Problems of Law, Policy, And Practice*. Aspen Publishers. pp. 31–33.

• Universality and inalienability:

Human rights are universal and inalienable, the entitlement of all people everywhere in the world. An individual cannot voluntarily give them up. Nor can others take them away

•Indivisibility:

Human rights are indivisible. Whether civil, cultural, economic, political or social, they are all inherent to the dignity of every person

• Interdependence and interrelatedness:

The realization of one right often depends, wholly or in part, on the realization of others.

•Equality and non-discrimination:

All individuals are equal as human beings, and by virtue of the inherent dignity of each person, are entitled to their rights without discrimination of any kind.

•Participation and inclusion:

Every person and all people are entitled to active, free and meaningful participation in, contribution to and enjoyment of civil, economic, social, cultural and political development.

•Empowerment:

Empowerment is the process by which people's capabilities to demand and use their human rights grow. The goal is to give people the power and capabilities to claim their rights, in order to change their own lives and improve their communities.

•Accountability and respect for the rule of law:

A rights based approach seeks to raise levels of accountability in the development process by identifying 'rights holders' and corresponding 'duty bearers' and to enhance the capacities of those duty bearers to meet their obligations.

When governments across the region ratified the CRC and signed or ratified the CRPD, they undertook to take all necessary measures to ensure that the rights they contain are realised. This involves action:[19]

•To fulfil the right to education

-for example, by ensuring that quality education is available for all children, promoting inclusive education, and introducing positive measures to enable children to benefit from it, for example, making physical adaptations to buildings, proving

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[19] John Rawls, *A Theory of Justice* (revised edition, Oxford: Oxford University Press, 1999), p. 266

accessible transport, adapting the curricula to the needs of all children, and providing necessary equipment and resources.[20]

•To respect the right to education

–for example, by avoiding any action that would serve to prevent children accessing education, for example, legislation that categorizes certain groups of children with disabilities as uneducable, school entry testing systems that serve to categorise children with disabilities as not ready for school.

•To protect the right to education

-for example, by taking the necessary measures to remove the barriers to education posed by individuals or communities, for example, resistance by teachers to accepting children with disabilities, or violence, abuse or bullying in the school environment[21]

Inclusive Education As a Model of Equal Education Practice

Education for All (EFA), which represents an international commitment to ensure that every child and adult receives basic education of good quality, is based both on a human rights perspective, and on the generally held belief that education is central to individual well being and national development.[22]

UNESCO defines inclusive education as 'a process of addressing and responding to the diversity of needs of all learners through increasing participation in learning, cultures and communities, and reducing exclusion within and from education. It involves changes and modifications in content, approaches, structures and strategies, with a common vision which covers all children of the appropriate age range and a conviction that it is the responsibility of the state to educate all children.[23]

Inclusive education is not a marginal issue, but is central to the achievement of high quality education for all learners and the development of more inclusive societies.

Equivalent and systematic learning opportunities in a wide range of school and additional educational settings, despite the differences that might exist.Inclusive education provides a fundamentally different pedagogical approach to one rootedin deviance or difference. In other words, it stresses[24]:

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[20] ohn Stuart Mill, *Utilitarianism* in *On Liberty and Other Essays* ed. John Gray (Oxford: Oxford University Press, 1991), Chapter 5.

[21] ed Honderich, *Punishment: The supposed justifications* (London: Hutchinson & Co., 1969), Chapter 1.

[22] Michael Braswell, and John Fuller, *Corrections, Peacemaking and Restorative Justice: Transforming Individuals and Institutions* (Routledge, 2014).

[23] Beiter, Klaus Dieter (2005). *The Protection of the Right to Education by International Law*. The Hague: Martinus Nijhoff. p. 19. ISBN 90-04-14704-7.

[24] Beiter, Klaus Dieter (2005). *The Protection of the Right to Education by International Law*. Martinus Nijhoff Publishers. pp. 21–22.

a. the open learning potential of each student rather than a hierarchy of cognitive skills;

b.reform of the curriculum and a cross cutting pedagogy rather than a need to focus on student deficiencies;

c.active participation of students in the learning process rather than an emphasis on specialized discipline knowledge as key to teachers expertise;

d. a common curriculum for all, based upon differentiated and/or individualized instruction, rather than an alternative curriculum being developed for low achievers;[25]

e.teachers who include rather than exclude.Radical changes are required in education systems, and in the values and principles of the people involved in delivering education, if the world's most vulnerable and disadvantaged children are to realise their right to gain access to their local school

f. Central to an inclusiveapproach are a commitment to Putting inclusive values into action valuing every life equally.

g. Helping everyone feel a sense of belonging

h.Promoting children's participation in learning and teaching

i.Reducing exclusion, discrimination and barriers to learning and participation

j.Developing cultures, policies and practices to promote diversity and respect foreveryone equally[26]

k.Learning from inclusive practice to share the lessons widely

l.Viewing differences between children and between adults as a resource for learning

m.Acknowledging the right of children to locally based high quality education

n. Improving schools for staff and parents as well as children.

o. Emphasising the value of building positive school communities as well achievements

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[25] John Rawls, *A Theory of Justice* (revised edition, Oxford: Oxford University Press, 1999), p. 266.
[26] James Nickel, with assistance from Thomas Pogge, M.B.E. Smith, and Leif Wenar, Dec 13, 2013, Stanford Encyclopedia of Philosophy, Human Rights, Retrieved Aug. 14, 2014

Conclusion

The road for providing sufficient education for difable person nowadays is not a long winding road for every state to fulfill, since state has the right of authority to do such action. Yet for the fulfillment of justice in this issue need only not such thing, but also the existence of certainty and benefit for all education bearer. Therefore, regarding the action for the model to provide the equality of education rights for disabled community, it will needs three aspects, which are : substance, meaning that Indonesia will need a subsidiary regulation to apply the protection of disabled community specifically, structure means there is needed a model of inclusive schooling that provides equality for all the disabled community.

The Power of Social Machines

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Abstract
The main issue of this paper concerns the future of social machines, analyzed as united system of computers and people. Starting from existing social networks as Facebook, Twitter, Wikipedia etc., which have an enormous impact on every aspect of our lives, and thanks to an explosion of modern technologies, the opportunity for creation of new generation social machines is becoming a reality. Here proposed analysis presents the social machine as a class of relationships between individual and social behavior on one hand, and between hardware and software of computer systems on the other hand. The emergence of social machines can be expected to fundamentally change the way in which such properties and functions of the social systems are built. In this context, here presented concept about social machines appears as a contemporary model for unifying both computational and social processes. In this article are explained the characteristics that describe and differentiate current social machines when viewed as a collective enterprise. The paper also focuses on some basic hardware and software tools, which can be included as components of social machines. Here are discussed the trends towards optimal configurations of software and hardware architectures, needed for right social machines functioning. Finally, authors present their future work researches, offering plans to engage with the broader Web community of professionals and volunteers.

Keywords: Social machine (SM), Internet of Things (IoT), Social intelligence, Crowdsourcing, Software engineering, Web languages, Semantic Web, Web Services.

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Introduction

Nowadays is reached out the moment as yet the accruals in WWW quantities lead to new changings and transformations about the qualities of social networks toward social machines.

The definition of a social network according to Oxford English dictionary asserts that "social network is a network of social interactions and personal relationships." Some authors consider first emerged social networks (Facebook, Twitter, Wikipedia, Galaxy Zoo etc.) as early pioneers, covering the social machine concept. But as is well seen from Oxford English dictionary this SM definition is devoid of technical nuance as priority. This definition is based mainly on two kind of interaction:

- interaction among people with one another - here is included every interaction in which human been is engaged throughout his life comprising friends, families, colleagues, and those he randomly encounter.
- interaction between members and groups of society through contemporary modern interfaces as computers, internet, phones and mobile smartphones, notebooks, I Pads, crowd sourced social media, robots etc., which turns our world into intelligent sociotechnical system.

With the advent of the information age and the ubiquitous use of the Internet, there is an unprecedented development of computer technologies in the last few decades. In the early 1990s, computers used to be programmed by programmers and used by business consumers. The Web, and the enormous human participation in it, changed this boundary. The distance between today's social networks and a world in which humans can be empowered to use these promising technologies (social machines) may seem so great that bridging the gap is almost unimaginable. But we remember that twenty years ago the notion of an interlinked Web of documents that spanned the world seemed like an unrealizable dream, and a decade ago the Semantic Web vision seemed like science fiction. Instead of dividing process between the human and computer parts of the collaboration, modern researchers of the information era draw a line around them and explore each such assembly as a united system of digital and human components, named social machine. Therefore, there is a need of models and theoretical perspectives to start the understanding of this new phenomenon, named social machine.

In looking to the future, our focus is not primarily in terms of the cyber-infrastructure of high-speed supercomputers and their networked interconnections, but the even more powerful human interactions enabled by the next generation of social machines. Exploring this new generation of social machines can take artificial intelligence and computer science researchers into the design of new algorithms and interfaces, into new approaches to distributed inferences, and into developing new declarative languages and programming tools. By adding social filters and parameters to social networks, there raise some possibilities to provide needed context to filter, analyze, and qualify transmitted data. Recently, the efforts of scientists in this area are turned to design the interaction between all elements of social machines: between machine and human, between humans mediated by machines, and between machines, humans and the data they use and generate. In order to pin down what constitutes a social machine, and establish the boundaries of this emerging field of research, there is a need to explore the relationships between social machines and related topics such as

social networking, software engineering, web engineering, crowdsourcing etc. In the next generation social machines one of the most interesting issues is the Internet of Things (IoT). When we talk about the early internet in the 1990s, we mean about a billion users to the internet, primarily via their desktops. In the 2000s, we had the second wave, which connected about two billion people to the Internet through their mobile devices.   In the course of the next ten years with the Internet of Things will be connect from 20 to 50 billion or more things. While all these possibilities, that IoT offer are very exciting, we certainly can't lose track of the challenges here. Now, these have obviously been significant challenges in the internet as we know it. But we look at IoT from the overall perspective of our society as a whole, we appreciate that there's going to be significant benefits to human existence, to our health, and to the environment. The power of the social machines comes from the notion that a machine is not just a computer which has some users, but rather it is a purposefully designed sociotechnical system comprising machines, different devices and connecting geographically dispersed people.

In this article, the remaining sections are organised as follows. Next part emphasizes on a unified point of view with the main purpose to define, describe and implement a SM. Here is proposed mathematical model (formula), which attempts to reveal the complex functionality of SM. Section "Internet of Things (IoT) - the next mega-trend technology" explains the characteristics of a new transformational trend over the next five to ten years, which will change our world, creating the foundation for more powerful business models - Internet of Things (IoT), named also Internet of Everything. Here are discussed the trends towards optimal configurations of software and hardware architectures, needed for right functioning of social machines. In the next section the Social machine paradigm is characterized as a result of the convergence of six different visions: Hardware & Software, Social intelligence, Crowdsourcing, Social network as WS, Social computing, and Social machine Observatory. The challenges regarding Social machine as sociotechnical system, lie in finding appropriate ways to not only describe the data, but also describe what it means to be a Web Observatory projects, which may also include the methodologies, tools that underpin the projects. Last section focuses on some basic hardware and software tools, which can be included as components of social machines. Here are discussed the trends towards optimal configurations of software and hardware architectures, needed for right functioning of social machines.   The paper concludes with proposed future work researches, offering plans to engage with the broader web community of professionals and volunteers.

Mathematically over social machines

In order to build theoretical model of social machines, it is necessary to describe and formulate their existence. So, most of researchers in this area accept following definition, which mathematically presents a SM as a n-tuple:
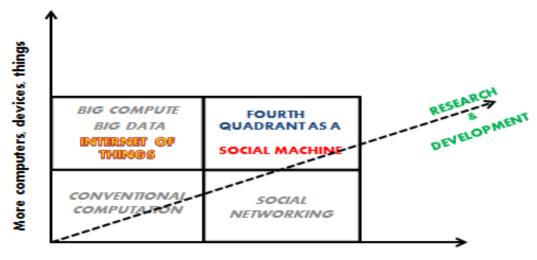
$$SM = <Rel, WI, Req, Resp, S, Const, I, P, O> \qquad (1)$$

SM comprises a specific abstract entity containing an internal processing unit (P) and a wrapper interface (WI) that waits for requests (Req) from and replies with responses (Resp) to other social machines. The processing unit receives inputs (I), produces outputs (O) and has states (S). Social machine connections define temporary or

permanent relationships (Rel) with other SMs. These relationships are established under specific sets of constraints (Const). Actually, social machines are defined as tuples of input, output, processes, constraints, states, requests and responses. This supposes the need for modern types of hardware and software tools to manage these new challenges.

Internet of Things (IoT) - the next mega-trend technology

The Internet of Things (IoT), named also Internet of Everything, will be a new transformational trend over the next five to ten years, which will change our world, creating the foundation for more powerful business models. In the very near future, as a part of SM architecture, IoT uses different interfaces to gather valuable data from a growing collection of connected devices – cars, hospital beds, bicycles, home appliances, vending machines, mobile devices etc. IoT is the platform, contributing to the transformation of government, businesses and society through the next big thing - internet of things adoption. M2M is also considered as integral part of the Internet of Things, bringing more benefits to industry and business.

Contradictory to the case "Are superior artificial intellects sitting on higher stage compared to human beings brains or not?", discussed by Nick Bostrom, in this paper is taken notice mainly of the problem about collective (collaborative) interactions among people, machines and data as a core of social machine unified paradigm. On Fig. 1 are shown those transformations (quantitative and qualitative), that present social machines into the top right quadrant. This fourth quadrant marks the epistemological and ontological boundaries and limitations of both the quantitative and qualitative paradigm, which define SM. The open questions and highlights, connected with socio-technical framework development of the Internet of Things (IoT) are following:

Fig. 1 Fourth Quadrant Diagram

- complex investigation of mutual interaction between social and technical aspects of the IoT, by highlighting the co-evolution, interaction, and interface, which constitute the next generation network environment.
- challenges in prediction, assess, designing, deploying, and sustaining the diverse components of the IoT, and the providing snapshot of modern approach to meeting this challenge.
- creation of concept how the IoT can be designed and situated within human-centered contexts.

Unified components of social machine

According to author's concept the Social machine paradigm is characterized as a result of the convergence of six different visions: *Hardware & Software, Social intelligence, Crowdsourcing, Social network as WS, Social computing, and Social machine Observatory.* To visualize this convergence, below is used a appropriate diagram that illustrates author's approach. In this way, it is possible to clearly highlight and classify the main concepts, technologies and standards with reference to the various visions of social machines.

Social intelligence

Social intelligence (human and computational intelligence) helps web connections between people, computers and data to create systems much more powerful than the component parts. Collective intelligence provides possibilities for social context that turns internet information into knowledge. The new generation social machines will have at their disposal a web of *linked data.* They will be able to find things in the easiest way, leading to the rapid emergence of new ideas, products and services, disrupting existing business models. Big linked data describes a method of publishing structured data so that it can be interlinked and become more useful.
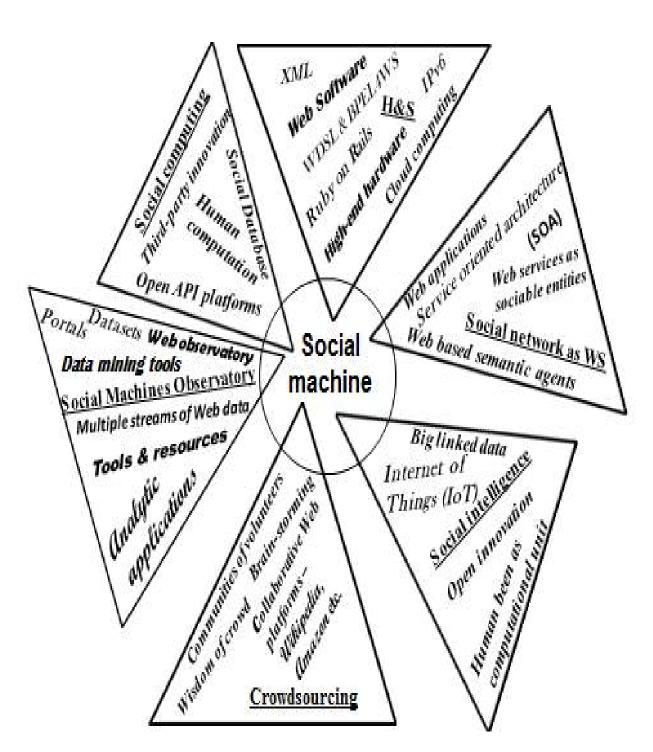
Fig. 1. Social machine unified paradigm as a convergence of appropriate components

On the fig.1 is shown an abstraction model of SM that could be used for specifying new applications and services. Here are depicted the different sides of this process of convergence. *Open innovation* is a part of social intelligence and human activities. It allows everyone to participate and contribute to the generation of new insights, content and knowledge. It also challenges those who have a vested interest in closed data and methods, restricted markets and knowledge. Abstracting the physical product into a series of services available on a network opens the door to further innovation by others. More than this, removing the barriers to others' imagination may add a feature that entices it. The vision of *human been as computational unit* refers to research efforts that integrate people, in the form of human-based computing, and software in

one composite system. This vision relies on systems that make use of human abilities for computation to solve problems that are trivial for humans, but complex for machines.

Social network as WS

Web based semantic agents are a research effort and represent an approach in which semantic web technologies are used to improve the meaning of Web Services descriptions and to facilitate the interactions of loosely-coupled Web Services. The involved Web Services interact with each other to decide who will be responsible for treating a specific request. Under this SM perspective, these Web Services represent *services as sociable entities* that are related in communities. Despite wide acceptance of Web services (or *SOA*) in distributed business applications, the absence of human interactions is a significant gap for many real-world business processes. The authorized institutions have introduced specifications that consider human interaction in the compositions of services in *Service oriented Architecture (SOA)* environments. Web applications could be run in just about any contemporary language you choose such as PHP, Ruby on Rails, C#, and others. *Web based semantic agents* are a research effort and represent an approach in which semantic web technologies are used to improve the meaning of Web Services descriptions and to facilitate the interactions of loosely-coupled Web Services. The involved Web Services interact with each other to decide who will be responsible for treating a specific request.

Social Machines Observatory and Social computing

A Web Observatory portal brings together Web communities to contribute or engage with *datasets* (Big data) and visualization applications. It also provides links to dataset and resources, hosted in remote locations. The architecture of *Social Machine Observatories* could include linking support to remote datasets in other locations, hosted in other Web observatories. The new organization of W3C, the Web Science Trust (www.webscience.org) proposes to create a global "Web Observatory", called *Social Machine Observatory*. Web observatory engage Web communities with *Big linked datasets* and analytic researches via dedicated *portals*. Web observatories include following parts of resources: *portals, datasets, applications, tools.* The growth of the Web Observatory as a social-technical activity is something that requires both bottom up involvement, as well as the help and support of a top-down framework that can help support and guide the community with standards and best practices. Reflecting on the current progress of the Web Observatory community, the W3C community group, the commitment of the various academic institutions and ongoing work of the individuals exhibit the characteristics of a translating Web activity, driven by common goals and incentives. The different casestudies in a Social Machines Observatory need to be based on: interacting and competing with others; being designed, born and co-evolving; variable in size, purpose and intent; reflecting the trends towards cyber-physical and

machine-to-machine systems. There has been much effort invested in developing the necessary infrastructure to support storing, accessing, and querying large-scale Web streams, which an increasing emphasis on offering streaming access and *analytics* across multiple streams of Web data. In this paper are analyzed tools such as the Web Observatory to gather, analyse and arrange web data individually but also

forming part of a growing global collective network of social machine Web observatories through which new insights and new approaches to analytics are being developed.

Social computing is a new technology, which consists of social data bases, based on XML or Web API platforms, social networking websites, video sharing, etc. These technologies have allowed users to interact and collaborate with each other by storing and sharing various types of content, including messages, photos and videos. *The open API Platforms* allow developers to handle with social-networking sites, access information and media, posted by their users. API Platforms also create other applications and services, on top of the platform, that aggregate, process, and generate content based on users interests. The combination of social information from multiple sources has enabled the creation of a novel breed of applications and service based on social data. Such *social data bases* can provide social knowledge to support other applications in their decision making processes. Many portals for *third-party innovation* let the imagination of the *communities of volunteers* run in unpredictable directions. *Human computation* is an other component of the social machine and lets organizations outsource tasks, traditionally performed by specific individuals or experts teams to an undefined group of remote workers over the internet. This vision refers to research methods that integrate the whole internet society, in the form of human computation, and software into one united system.

Crowdsourcing

Crowdsourcing is a relatively new launched feature, where people with common area of interests and expertize gather together to solve problems by collective thinking and create a virtual *community of professionals and volunteers*. Here exists the necessity to manage and moderate the online community and do quality control. The typical example of crowdsourcing is OS Linux, based on sharing resources and outputs among widely distributed, loosely connected contributors, who cooperate with each other without relying on either market indications or chef's commands. Wikipedia, a multilingual encyclopedia, being created by about fifty thousand and more volunteers, is other particularly effective example of the power of crowdsourcing. According to this idea of crowdsourcing everyone individual on the planet has the rights to vote for everything - from the choice of parliament in his country to solutions of the problem about tiger's population. Giving an opportunity customer to create an ongoing dialog generates a better product built on the basis of *brain-storming*. The way to help the development of modern innovations is realized by empowering more people to create social machines in increasingly sophisticated directions through *wisdom of crowd (WoC)*.

Hardware and Software Tools for Social Machines

One of the most important components of the SM is the *hardware* environment, which is used to send/receive, write, save and execute the applications. The main problem in these heterogeneous networks is the finite number of IP addresses, which are available. As an exercise of mind, IPv4 has about 4.3 billion IP addresses. The set of IP addresses has been exhausted. The good news is a creation of a new addressing scheme, named *IPv6* that practically allows 4.8×10^{28} IP addresses. Running an application on the hardware device implies that the CPU, RAM, I/O and the other

resources, involved in computing process, have sufficient speed and processing power. If there is a lack of processing power and memory, a good option is to use the resources of cloud computing technology. Web applications are generally deployed in textual form, using representations such as HTML, XML, CSS and JavaScript source code. The shift to dynamic representations and languages has a significant impact on development process, integration testing and deployment practices of social machines. The trend towards web-based software will continue and even strengthen in the future. Conventional binary software simply cannot compete with a *web software* in which worldwide software distribution is effectively free and the new software versions can be completed and released – without compilation, linking, installation and/or rebooting. All this happens in a matter of seconds or minutes rather than months or years. The *WDSL/BPEL* languages specify the description and behavior of business processes as long as the activities of these processes are connected with corresponding Web services. The behavioral aspect describes the dynamics of a service type, for example using states, control flow, conditions, and exceptions. BPEL4People extends BPEL from orchestration of Web services alone to orchestration of role-based human activities. High level languages such as Java, Python, and C++ are very sophisticated and promising for use in social machines. For example, Apple iPhones run only applications written in Objective C. Samsung Galaxy and HTC mobile phones support applications under Android operating system. Actually, software engineering researchers have paid little attention to the evolution of XML and web technologies in general. The second version of XML – XML 1.1 provides syntax for the resource description framework (RDF), a language to express data in a relational way aiming for a "semantic web". The whole set of web software tools (WSDL, BPEL, UDDI, WS-CDL etc.) mandatory work with metalanguage XML. Nowadays exists a new technology, which offers modern prospective for application development – *cloud computing.* A cloud based application model has at least the most important advantage- it opens the world of social machine application development to a much larger audience of users.

The road ahead

In this paper is introduced a model, meant to conceptualize the formation and structure of social machines (SM). The authors explore several pioneering methods of supporting purposeful human interaction on the World Wide Web, leading to new phenomena SM. This article sets up a researcher to be involved in this modern scientific and practical area. The authors of this paper have already proposed nontraditional approach for fast XML navigation using algebraic tools. It contributes to advanced efforts in the making of an easier user-friendly API for XML transformations in future standards of XML that will be used in social machines. This way, the user can avoid the difficulties about the complicated language constructions of XSL, XSLT and XPath languages, which is the main purpose to make easy data transfer in social networks and especially in social machines. The authors suggest a different point of view about the creation of advanced XML parser to avoid the bottleneck that characterizes the languages XSLT/XPath for XML transformations. The implementation of so proposed method in the area of SM could accelerate the various types of XML message-based communications concerned WSDL, UDDI, BPEL, REST, SOAP etc. The proposed approach is different and faster in comparison to other query and transformational languages in respect of their definition, expressiveness and search techniques. When algebraic XML parser is used, it

accelerates the whole process with approximately 30% against traditional SAX parser. The next steps in this science area will require a set of minimum standards of what it is supposed to be a Web Observatory. These standards will help almost all aspects of SM such as the big linked data, SM analytic applications, SM tools, Internet of Things (IoT), and many other topics. The future work in Technical University of Sofia is going towards to solve the problem about the necessity for using a common SM language to describe the entities that will be shared across different Web Observatories and to provide common vocabulary to describe datasets, projects and appropriate tools for SM.

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A Research and Development of Prevention of Primary Students' Inappropriate Behavior from Internet by Self-Regulation Technique

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Abstract

A research and development of prevention of Primary students' inappropriate behavior from internet by Self-Regulation technique was conducted by 3 objectives as: 1) to study current situation of primary students' internet use and risk of inappropriate behavior 2) to synthesize children's self-regulation procedure and 3) to compare inappropriate behavior of student between use and not use self-regulation technique. Research procedure were divided to 2 phrases, first, was survey research from randomized 270 students by a questionnaire. Second, was experiment research with 29 participants experiment group and 28 participants control group. Data were analyzed by frequency, percent, mean, SD, and independent t-test. Research results follow: 1. 3 way of Primary student internet use behaviors in difference level. The most way was for academic purpose, entertainment, and communication, respectively 2. student's inappropriate behavior included aggressive, pornographic, impropriety, and contact with stranger 3. primary student self-regulation consist 3 steps included 1) aim setting, 2) self remind, and 3) action to themselves 4. student in experiment group who used self-regulation technique had inappropriate behavior less than control group with .05 statistical significant.

Keywords: A research and development, inappropriate behavior, Self-Regulation technique, primary student

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Introduction

Since year 2000, most social activities are expressed on Information Technology. Electronics process such as collecting, analyzing and searching data are general activities can performed by everyone. The main instruments of those activities unavoidably use are computer and internet (Malithong, 2000). The internet is a network which connect the whole world into uni-network. Several types of internet information used to support users' needs that cause of easier to communicate in which part of the world by real time. Furthermore, the number of Internet use is growing explosively worldwide, with 44.8% Internet users coming from Asia alone (Ayub, Hamid, and Nawawi, 2014)

Using internet are perform in several types such as communication and searching data even in business, mass communication, and importantly in education (Meesuk, 2013). In education, the internet can provide support in various types of learning: expository, active, and interactive. However, the literature has been more concerned with studying with variables determine general internet usage in education, than it has been with researching the specific determinants of internet usage for each one of these types of learning in particular (Castano, Duart, and Sancho-Vinuesa, 2015). Since, internet determinants for learning and considered an important skill to acquire in 21th century societies, and at the same time one of the greatest potentialities of internet usage in the teaching-learning process (Beauchamp & Kennewell, 2010; Meesuk, 2013)

Advance in computer technology have enable the internet to serve as a platform not merely to seek information, but also to exchange ideas and knowledge with other users, and obtain expert opinion via email, teleconferencing, chatting and other avenues, Nevertheless, the advent of social network sites such as Facebook, Twitter, Socialcam and others that include chatting and online games (Ayub, Hamid, and Nawawi, 2014) Those are change the perception on Internet use from one that is associated with learning to that socializing facility. Such website applications have resulted in the Internet being used for three purposes contain academic, communication, and entertainment activities (Meesuk, 2013).

Several studies have been conducted to identify the use of internet among youth and student in situation of education. For instance, Jackson et al. (2006) found primary student use the internet as instrumental for studying, in addition they use the internet for other purposes such as e-mail, visit website, and online games. Chen and Fang (2007) study on young people in Hong Kong found that the internet was used for different purposes such as for making friends, shopping, listening to music, having fun, completing homework, and searching for information on further education. Hawi (2012) conducted a research on 883 school students in Lebanon. The results report 84.2% student used the internet for communication and e-mail, 65.7% for information search, and 51.8% for entertainment such as online games and music.

The spread of Internet use has enabled individuals to carry out several daily activities, particular communication, through this media. The increase of Internet use for communication purpose lead to changes in cultural and social structure that modern individuals have become lonely individual having troubles to establish healthy social relation and experiencing social deviances (Ozgur, Demiralay, and Demiralay, 2014).

Common uses of the Internet during childhood include communicating (i.e., email, chat), accessing information (i.e., visiting websites), and playing games (Johnson, 2006). According to Johnson and Johnson (2008), children who used the internet at home for learning and communicating demonstrated better language and metacognition than children who did not. A popular use of the Internet for both children and adult is playing game. Playing game effects to children, Van Deventer and White (2002 cited in Johnson, 2010) reported 10- and 11 year-old video gamers noted extremely high level of self-monitoring, pattern recognition, and visual memory. Similar with DeBell and Chapman (2006) concluded that Internet Use promote cognitive development in children specifically in the area of visual intelligence, where certain computer activities, particularly game, may enhance the ability to monitor several visual stimuli at once, to read diagrams, recognize icons, and visualize spatial relationships. But however, playing video games has also been linked to childhood distractibility, over-arousal, hostility, and aggression.

Internet use during childhood occur at home, school, and in community. In comparing home-based and school-based computer activities, at home, children choose their own activities, have comfort time for exploration, visiting website, game, and learn incidentally. In contrast, at school, children has been controlled, teacher control activities, computer time limited, and learning is teacher-directed. Burnett and Wilkinson (2005) conclude that creative problem solving was evident in home-based, but not necessarily school-based, use of Internet.

Using Internet lonely is one of the leading troubles of today's human being. Problematic Internet use of students who use Internet more frequently than others. (Ozgur, Demiralay, and Demiralay, 2014) (e.g., indecent chatting, make appointment with stranger, aggressive behavior, and low academic achievement). From problems as mention can not control by neither parents nor school. Importantly, the students supposed to control or regulate themselves into appropriate behavior as called in term of self-regulation. Moreover, when student seek information through the Internet, their criteria and strategies for accessing information and their self-regulation have been further suggested as important issues to be discussed (Cheng, Liang, and Tsai, 2013).

Self-Regulation

Self-regulation is one of the frequently studied concepts in the fields of education, psychology, and neuroscience. Although those studies have different particular, theoretical contexts and variables (Tanribuyurdu and Yildiz, 2014). Many study results demonstrate the importance of self-regulation in the development, learning, and social relationship of the individual.

Zimmerman (2008) claimed that self-regulation is a proactive process that enables learners to acquire academic skill (e.g., goal setting, choosing strategies, and self-monitoring of one's own progress. In traditional, students' self-regulation has been suggest to play a role in academic achievement. But, to adapt and integrate the possibilities of plentiful sources of information, media, and materials offered by the Internet, students' self-regulatory skill have also been emphasized and their positive influences on learning performance have been documented (Cheng, Liang, and Tsai, 2013). Tanribuyurdu and Yildiz (2014) summarized definition of self-regulation in different meaning as the capacity of the individual to delay or suppress behavior, tendencies and desires, abide by social rules, control and regulate emotions, focus on goal-directed stimuli and maintain attention. Another meaning of self-regulation is the ability of one to control physical functions and emotions, direct and focus attention.

As proposed by Pintrich (2004), a student's self-regulated learning generally involves four phases, namely: 1) planning 2) monitoring 3) controlling and 4) reflecting. Akyoa and Garrison (2011) interpreted self-regulatory learning through of metacognition which consists of three dimensions: knowledge of cognition, monitoring of cognition, and regulation of cognition. While knowledge of cognition reflect students' awareness as learner and their motivation to learn, monitoring and regulation of cognition indicated their reflective metacognition states (i.e., assessment of task or asking for clarification) during the learning process. Similar Cheng et al. (2013) propose the idea of two level of self-regulation. While one is *basic self-regulation,* which refers to self-awareness of planning how to implement tasks (i.e., planning), the other is *advanced self-regulation*, which refers to following actions for supervising and regulating processes and evaluating outcome (i.e., monitoring, controlling, and reflecting).

Ruwiwatanawong (2012) conduct an experiment on grade five student. The study reported effects of self-regulation on mathematics achievement score that experiment group had higher score than control group with .05 statistical significant and participants tend to seek of knowledge, change themselves to be better, and adapt their behavior in appropriate way. Moreover, they are active, sympathy, and satisfy things they did to hit the goal by systematically.

Self-regulation develops in early childhood and positively affects positive social behavior, school readiness, academic achievement and the ability to show greater empathy. Furthermore, individuals with high level of self-regulation have lower risk of drug use, antisocial behavior (Tanribuyurdu and Yildiz, 2014). Promoting the development of self-regulation in childhood is critical as it has a key role in learning, development and socialization. In order to support the development of self-regulation in children, these skills should be individually assessed and evaluated. There is a need for process to promote children's self-regulation development and, thus, to ensure that

they are socially, emotionally and cognitively ready for living with computer technology and Internet attack. Moreover, establishing adaptive appropriate behavior and prevent of inappropriate behavior from internet by Self-Regulation technique are important.

Research questions

This research has conducted by research questions follow: 1) do primary students use Internet for? 2) how primary student has process of self-regulation? 3) do primary students in experiment group have less inappropriate behavior?

Research objectives

A research and development of prevention of primary students' inappropriate behavior from internet by self-regulation technique was conducted by R&D method to 1) study current situation of primary students' Internet use behavior and risk of inappropriate behavior emerge from using Internet 2) synthesize the primary students' self-regulation procedure and 3) compare the emersion of primary students' inappropriate behavior between student who does and does not apply self-regulation technique.

Research Methodology

Methodology divined into 2 phase include phase I survey phase, and phase II experimental phase. The sequence of research as follow:

Phase I was conducted by documentary research merge with survey research to investigate the first and second objective.

Population

Population of the research is 51,759 primary students in Chachoengsao province, Thailand

Sample

The sample of phase I was 270 primary students calculated by G*power 3.1.9.2 with 0.95 power of X^2 estimate goodness of fit test, effect size was 0.3. the sample size has been calculated from the program was 220. Although, researcher conducted sample in each group equally for convenience to collecting data. Each group was divided by school size; small, medium, and large. Research designed 90 participants in each school size, the final sample was 270 primary students, 50 more than calculated. The aim of design was 50 more data would be used to compensate when the questionnaire would not return.

Research instrument

The instrument in phase I was a questionnaire asking about the primary student's internet use behavior and risk of inappropriate behavior emersion. The questionnaire consisted three parts include general data (gender, grade, place they use internet, etc.),

15 items of internet use behavior (academic, communication, and entertainment), and 12 items of risk of inappropriate behavior emersion (aggressive imitation, watching sexual media, using internet in impropriety period, and make appointment/meeting with stranger). Quality of questionnaire was explored by internal consistency reliability, the scale in part 2 was .886 and part 3 was .920 respectively.

Data analysis

Data were analyzed by descriptive statistics; frequency, mean, SD.

Phase II was conducted by experimental completely randomization design with control group to investigate the third research objective.

Sample

The subjects of the study were 57 primary students from Chachoengsao Primary Educational Service Area 1 and 2. Stratified sampling technique was conducted 28 students from Wat-Thepnimitr school and 29 students from Wat-Samrom school.

Research instruments

The instruments on phase II were; student self-regulation task sheet, teacher and student's self evaluation of the student's inappropriate behavior emersion report.

Data analysis

Data were analyzed by mean different comparing by independent t-test.

Research results

The research results as follow by research objective were:
1. current situation of primary students' internet use behavior and risk of inappropriate behavior emersion found that students have all 3 type of internet use behavior in different level. They use internet once or twice a week. The most behavior type was use internet for academic ($\bar{x}$ =.95, SD=.90), later was for entertainment ($\bar{x}$ =.73, SD=.91), and last for communication ($\bar{x}$ =.35, SD=.70). Furthermore, primary students perform inappropriate behavior emersion in all items include aggressive imitation, watching sexual media, using internet in impropriety period, and make appointment/meeting with stranger in daily live.

2. primary students' self-recognition procedure reported 3 main steps with 2 sub-divisions in each step namely; *step 1 targeting* include 1) identify target behavior and 2) classify of target behavior emersion, *step 2 self-monitoring* include 1) report emersion of target behavior with practitioner and 2) report emersion of target behavior by themselves, and *step 3 action to themselves* include 1) evaluate themselves compare with the aim that they specified and 2) reinforce themselves by positive action such as praise or reward themselves.

3. results of comparing primary students' inappropriate behavior between student who does and does not apply self-regulation technique found mean of inappropriate

behavior score of subjects before apply self-regulation technique of control group ($\bar{x}$ =1.46, SD=.51), and experiment group ($\bar{x}$ =1.86, SD=.63), has no different statistical significant as shown in table 1

Table 1. mean of inappropriate behavior score of subjects before apply self-regulation technique between control group and experiment group comparison

	N	mean	SD	t	Sig.
Experiment group	29	1.86	0.63	1.88	.07
Control group	28	1.46	0.51		

The average of inappropriate behavior score of subjects in experiment group between before apply self-regulation technique ($\bar{x}$ =1.86, SD=.63), was higher than after apply self-regulation technique ($\bar{x}$ =1.33, SD=.48), has different statistical significant (p< .05) as shown in table 2

Table 2. mean of inappropriate behavior score of subjects in experiment group between before and after applied self-regulation technique

	N	mean	SD	t	Sig.
Before	29	1.86	0.63	-2.25	.04
After	29	1.33	0.48		

The average of inappropriate behavior score of subjects after apply self-regulation technique of control group ($\bar{x}$ =1.33, SD=.48), and experiment group ($\bar{x}$ =1.93, SD=.96), has different statistical significant (p< .05) as shown in table 3

Table 3. mean of inappropriate behavior score of subjects after apply self-regulation technique between control group and experiment group comparison

	N	mean	SD	t	Sig.
Experiment group	29	1.33	0.48	-2.15	.04
Control group	28	1.93	0.96		

Discussions

From the research results, researcher raise 3 interesting founding had been discussed:
1. current situation of primary students' internet use behavior was use internet for academic the most, later was for entertainment, and last for communication. Because school assign student to do tasks that finished by computer and internet (searching information, complete their homework, etc.). Moreover, primary teachers encourage their students use internet both in school and at home for academic tasks (Malithong, 2000; Krinate, 2006; U-wethwatana, 2006). Similar, Meesuk (2013) reported students perform internet use behavior in academic style more than others.

2. primary students perform inappropriate behavior found in all types include aggressive imitation, watching sexual media, using internet in impropriety period, and make appointment/meeting with stranger in daily live. Because the content of internet media emphasized entertainment and funny content, especially, online games are interested to children (Dahla, 2009). Furthermore, passed study reported aggressive behavior of primary student up on situation, they will imitate behavior of the model that they interested (Jamjit, 2009; Suksomsod, 2008). Refer to imitation theory, children will choose content from internet by themselves, that easy to imitate aggressive behavior, watching sexual media, using internet in impropriety period, and make appointment/meeting with stranger in daily live (Meesuk, 2013).

3. results study of inappropriate behavior from internet of subjects in control and experiment group that found subjects in control group perform less inappropriate behavior when attend to self-regulation activities. Because of process of self-regulation procedure include setting target, planning, monitoring, and control their behavior to change to aim that they desired. The outcome of the procedures cause student personal benefits, they will hold process of self-regulation procedure. (Rattanajarn, 2004; Sangthong, 2007).

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Needs of the Provinces on the Academic Services of Higher Education Institutions to Promote and Support the Enhancement of Learning

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Abstract

The purpose of this research was to study and compare on the needs of province committees on the academic services of higher education institutions to promote and support the enhancement of learning, in four aspects : 1) the academic knowledge, 2) the providing training, 3) the providing advice or as a consultant, and 4) development and system learning. The samples of this study were 130 personnel of 10 provinces of Thailand included Kampaengpetch, Chantaburi, Chaiyaphum, Nan, Petchaburi, Phuket, Yala, Lamphun, Surin and Amnatcharoen. They were classified by their gender, status, and provinces. The research instruments used in this study were Likert's 5 rating-scale questionnaires with the reliability of 0.946. Mean, standard deviation, t-test, one way analysis of variance, and Scheffe's test were statistically used for data analysis. The findings of the study indicate that:

1. The needs of the province committee on the academic services of higher education institutions to promote and support the enhancement of learning in each aspect and an overall aspect were at a high level.

2. The province committee male and female, showed significant differences in their opinions on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

3. The province committee, who had different status, showed significant differences in their opinions on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

4. The province committee, who had different province, showed significant differences in their opinions on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

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Introduction

The mission of higher education institutions is to produce graduates, research, academic services, and the preservation of arts and cultural. Higher education institutions should be involved in troubleshooting and foster a strong sense of community and local authorities. Cooperation individuals, organizations and institutions in the community and society to participate in the development of teaching and learning as well as heritage and cultural preservation and way of life in accordance with their requirements and needs of the community. [1] Management operations of higher education in various fields. It must be carried out to perfection.

A factor of academic excellence is an important mission all institutions need to be developed in both academic and professional development in conjunction with the local community and society. The role of universities in society, it must be a pillar of society and rely on academic and community empowerment. [2]

In the year 2011, Office of the Higher Education Commission with the idea of implementing "One University One Province" the idea that the reforms in higher education institutions must make to live in a materialistic approach obviously. Due to recent social expectations about higher education as a center of knowledge and high level of lead and guide the society to change and better development. By performing the role of universities as institutions of higher education to Engaged Higher Education, with major activities include: 1) the establishment of Knowledge Management for Provincial Development 2) development of Academic lines to serve society, 3) a citizen of the students and 4) creating the atmosphere for the adaptation of higher education institutions. [3]

Quality Learning Foundation (QLF) of Thailand has a mission to support education reform in the second decade ahead effectively. In 2012, QLF was assigned to the project "good teacher" is the teacher's space operations cover 77 provinces in Thailand with the aim to improve their quality of education and promote participation of provinces. Of the operation is that the selection process has 10 provinces with the teachers are good quality included Kampaengpetch, Chantaburi, Chaiyabhum, Nan, Petchaburi, Phuket, Yala, Lamphun, Surin and Amnatjaroen. So QLF has a policy to promote the province as hosts of educational development with the goal of custom province by means of integrated cooperation of all sectors in the province, including the integration of resources such as personnel, equipment, locations and budget in the area are already etc. QLF would be the host agency support, both academic learning, provincial and operating budget of 3 million to 10 provinces. This is the key

mechanism for improving the quality of learning to work. The various sectors together determine the overall success or vision of education in the province in the future 5 – 10 years that the province will be changed from the present, however with any person or agency to help create change. [4]

So, this research interested in the development of academic services of higher education institutions to promote and supports to enhance learning for the provinces. According to the data obtained as a guideline in carrying out the mission of higher education institutions that reflect the needs of the local community in the areas of academic services of higher education institutions to promoting and enhancing the learning development of children and youth in area residents. As well as the importance of higher education institutions located in different regions to support this matter further.

Research Objective

The purpose of this research was to study and compare the province committee's on needs of the academic services of higher education institutions to promote and support the enhancement of learning, in four aspects : 1) the academic knowledge, 2) the providing training, 3) the providing advice or as a consultant, and 4) development and system learning.

Research Methodology

1. The populations of this study were 130 personnel of 10 provinces of Thailand.
2. The research instruments used Likert's 5 rating-scales questionnaire [5] with the reliability [6] of 0.946. The instruments of this research have 3 parts 1) the general information such as sex, status, and province, part 2) is the opinion on the academic services of higher education institutions to promote and support the enhancement of learning with 5 rating-scales and the last one is opinion free.
3. Statistics used for the data analysis is mean, frequency, percentage, standard deviation (S.D.), t-test, one way analysis of variance, and scheffe's test were statistically. [7]

Research Result

The purpose of this research was to study and compare the province committee's on needs of the academic services of higher education institutions to promote and support the enhancement of learning, in four aspects : 1) the academic knowledge, 2) the

providing training, 3) the providing advice or as a consultant, and 4) development and system learning. The findings of the study indicate found as shown in the table 1-5

Table 1: The General Information

Classified	Quantity (n)	Percentage
Gender		
- Male	76	58.46
- Female	54	41.54
Total	**130**	**100.00**
Status		
- Chief Executive of the Provincial Administrative Organization	10	7.69
- Chair of provinces committee to promote and support the enhancement of learning	10	7.69
- The provinces committee to promote and support the enhancement of learning	10	7.69
- A worker in the area	100	76.93
Total	**130**	**100.00**
Provinces		
- Kampaengpetch	13	10.00
- Chantaburi	13	10.00
- Chaiyaphum	13	10.00
- Nan	13	10.00
- Petchaburi	13	10.00
- Phuket	13	10.00
- Yala	13	10.00
- Lamphun	13	10.00
- Surin	13	10.00
- Amnatcharoen	13	10.00
Total	**130**	**100.00**

Table 1 has shown that the general information, the most populations are male, status is a worker in the area and the provinces are equal all.

Table 2: The opinion of provinces committee on needs of the academic services of higher education institutions to promote and support the enhancement of learning each aspect and overall aspect

Enhancement of Learning	n = 130	
	$\overline{X}$	S.D.
1. the academic knowledge	4.15	0.61
2. the providing training	4.12	0.62
3. the providing advice or as a consultant	3.99	0.55
4. development and system learning	3.96	0.55
Total	**4.05**	**0.54**

Table 2 has shown that the needs of province committee on the academic services of higher education institutions to promote and support the enhancement of learning in each aspect and an overall aspect were at a high level.

Table 3: Compare the opinion of provinces committee on needs of the academic services of higher education institutions to promote and support the enhancement of learning classifications by gender

$\overline{X}$	=	Mean		S.D.	=	Standard Deviation
t	=	t-test		p	=	p-Value

The academic services of higher education institutions	Male n = 76		Female n = 54		t	p
	$\overline{X}$	S.D.	$\overline{X}$	S.D.		
1. the academic knowledge	3.46	0.67	4.46	0.63	2.54	0.003
2. the providing training	3.89	0.54	4.76	0.67	3.46	0.001
3. the providing advice or as a consultant	3.87	0.55	3.78	0.53	3.44	0.001
4. the development and system learning	3.55	0.45	4.02	0.56	2.89	0.021
Total	3.69	0.55	4.25	0.60	3.08	0.001

Table 3 has shown that the province committee, who had different gender showed significant differences in their opinion on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

Table 4: Compare the opinion of provinces committee on needs of the academic services of higher education institutions to promote and support the enhancement of learning classifications by status

F	=	Statistics test in F-distribution	SS	=	Sum of Squares
MS	=	Mean Squares	df	=	Degree of Freedom
p	=	p-Value			

The academic services of higher education institutions	Source of Variance	df	SS	MS	F	p
1. the academic knowledge	Between group	2	8.38	2.79	9.64	0.001
	group	127	149.51	0.29		
	Total	129	157.89			
2. the providing training	Between group	2	4.20	1.40	4.86	0.001
	group	127	148.65	0.28		
	Total	129	152.85			
3. the providing advice or as a consultant	Between group	2	8.92	2.97	8.52	0.001
	group	127	180.17	0.34		
	Total	129	189.09			
4. the development and system learning	Between group	2	1.36	0.42	6.53	0.001
	group	127	142.31	0.27		
	Total	129	143.58			
Total	Between group	2	2.39	0.79	3.70	0.001
	group	127	111.22	0.21		
	Total	129	113.62			

Table 4 has shown that the province committee, who had different status showed significant differences in their opinion on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

Table 5: Compare the opinion of provinces committee on needs of the academic services of higher education institutions to promote and support the enhancement of learning classifications by provinces

F   =   Statistics test in F-distribution   SS   =   Sum of Squares
MS =   Mean Squares   df   =   Degree of Freedom
p   =   p-Value

The academic services of higher education institutions	Source of Variance	df	SS	MS	F	p
1. the academic knowledge	Between group	3	1.86	0.93	3.08	0.001
	group	126	156.03	0.30		
	Total	129	157.89			
2. the providing training	Between group	3	18.46	9.23	7.96	0.001
	group	126	170.63	0.33		
	Total	129	189.09			
3. the providing advice or as a consultant	Between group	3	10.62	10.31	7.64	0.001
	group	126	168.47	0.32		
	Total	129	189.09			
4. the development and system learning	Between group	3	7.73	3.68	13.99	0.001
	group	126	136.21	0.26		
	Total	129	143.58			
Total	Between group	3	4.10	2.05	9.96	0.001
	group	126	109.51	0.21		
	Total	129	113.62			

Table 5 has shown that the province committee, who had different provinces showed significant differences in their opinion on the academic services of higher education institutions to promote and support the enhancement of learning in each and an overall aspect.

Conclusion

The success of the academic services of higher education institutions to promote and support the enhancement of learning for provinces to success and true, Therefore depends on 4 factors: 1) all parts of the higher education institutions to have the spirit and commitment to together, 2) people in the province and higher education institutions to have a sense of shared ownership division made 3) requires federal agencies to support local agencies seriously and integrated with other units, and 4) although some provinces and higher education institutions have social power and with the people of the province already, but to accomplish learning of the province to create a mechanism that drives real.

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A Study of Effies a Dissolved Oxygen Test Kits in the Water for Science Laboratories on the Method of Measure

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Abstract

There were two purposes of the study : 1) to development the Dissolved Oxygen Test Kits(DO Test Kits) in the   water for   Science Laboratories on "The Method of Measure Dissolved Oxygen in the Water (DO)" . The researcher made the Producer by using Manganese Sulfate to oxidize oxygen content that dissolved in water and made the solution was high class different color follow oxygen quantity that dissolves in the water. 2) to study satisfy the DO Test Kits of science teachers to measure dissolved oxygen in the water.

The results of the research were as follows:

1)The DO Test Kits were able to measure DO of the water range DO_0- DO_8. When using the DO Test Kits to measure DO of the water compared with the value measuring DO of the water measured by standardized from DO Meter. It was found that the value   DO of water measured by DO Test Kits could be estimated accurately at 98% confidence interval .

2) The teachers 'satisfaction preferring to used the DO Test Kits was at the high level.

Keywords: Dissolved Oxygen Test Kits, DO Test Kits for Science Laboratories , DO Test Kits for Secondary school

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Introduction

At present, the enrichment of the community has caused water quality problems in the source water pollution. The population has more volume, resulting in a waste contaminating the water was plenty more to follow. As a result, the amount of dissolved oxygen (DO) in rivers and canals down the animals that live in the water to hypoxia and even death. The local residents have been aware of the value. DO of water from their own. It was very important because water quality monitoring as a way to prevent, control and monitoring of water resources was to take the information used in planning and management of water resources for maximum benefit.(1)

DO measurement of water use Azide Modification method, which was more complicated to use chemicals and many require a huge budget. In addition, the measure requires the skills of titration. Then the values derived to calculate the answer. But if the measure lacked such skills measurement results will be inaccurate. Alternatively, DO Meter can be used to measure the amount of dissolved oxygen directly but DO Meter expensive schools can not provide for appointment of teaching.(2)

The above mentioned problems, the researcher is interested to develop the series DO Test Kits up to lower prices and science teachers can be created manually. To apply for laboratory science. The method for measuring dissolved oxygen in the water. And use it as a tool to do a science project to measure the DO of water resources in the community. This will result to the conservation of water resources to achieve sustainable development in the future. (3)

Research objective:
1) to development the DO Test Kits for science laboratories on "The Method of Measure Dissolved Oxygen in the water (DO)" .
2) to study satisfy the DO Test Kits of science teachers to measure dissolved oxygen in the water.

Research method:
The study was accomplished through two stages of operation;

1) The Development of DO Test Kits improved of the Azide Modification Method by the chemical reaction between the solution of Manganese Sulfate with Alkali-Iodide-Azide were added to water samples to measure. The water samples will change colors vary according to the amount of dissolved oxygen in the water.(4)

2) Brings color of the water samples were DO_0- DO_{10} to create the the color strips standard used to measure the amount of dissolved oxygen in the water. Then remove the color strips standard to determine the similarity with the color of water samples from five people of color experts By the IOC average value of them must be higher than 0.51.

3) Trial the DO Test Kits were developed to measure water samples with the DO_0-DO_{10} 20 times / sample measurement compared with standard DO Meter were used to calculate the percentage accuracy of the measurement by setting the criteria to higher than 95%.

4) Trial the DO Test Kits were developed to measure the DO of sample water from natural sources, water from the waste water treatment and water from water supply of the Bangkok compared to Standard DO Meter to find out the percentage accuracy of the measurement

5) A science teacher with expertise in teaching the dissolved oxygen in the water 20 people used DO Test Kits were developed to measure water samples to study the satisfaction preferring to used DO Test Kits such tools

Results

The results of the research were as follows:
The DO Test Kits were consisting of 1) the solution of Manganese Sulfate 2) the solution of Alkali-Iodide-Azide 3) the glass bottles, volume 15 ml 2 bottles.4) the color strips standard 5) Manual series DO Test Kits.

Figure 1: This is the DO Test Kits were Development

 Preparing the solution of manganese sulfate are as follows: dissolved Manganese Sulfate (MnSO4.4H2O) 410 g into the distilled water, the volume of 1000 ml., And then filtered with a filter paper and then applied to the measurements.
 Preparing the solution of Alkali-Iodide-Aazide are as follows: dissolve Sodium Hydroxide (NaOH) 420 g and Potassium Iodide (KI) 100 g into the distilled water volume 1000 ml., And then applied to the measurements.
Manual DO Test Kits were developed a way to measure the following:
 1) Add water the desired sample measurement into the glass bottles to fill the bottles.
 2) Drop the solution of Manganese Sulfate in water samples measurement 5 drops.
 3) Drops of the solution of Alkali-Iodide-Azide into a bottle of water samples measuring 5 drops.
 4) Then close the lid and shake the jar of water samples measuring about 15 times, then set the bottle for 1 minute.
 5) Then take a bottle of water samples to determine the color with the color strips standard DO read the measurement and interpret of measurement results from the manual.

DO(mg/l) 0.00   1.00   2.00   3.00   4.00   5.00   6.00   7.00   8.00   9.00   10.00

Figure 2: This is the color strips standard was created by the color of the water samples were DO_0-DO_{10}.

Table 1: Shows that the Color expert commentators to determine the similarities between the color of water samples were DO_0-DO_{10} with color strips standard created.

DO mg/l	0.00	1.00	2.00	3.00	4.00	5.00	6.00	7.00	8.00	9.00	10.00
Agree	5	5	5	5	4	4	5	5	4		
quite agree					1	1			1	1	
Disagree										4	5
IOC	1.00	1.00	1.00	1.00	0.8	0.8	1.00	1.00	0.8	-0.8	-1.00

Table 1 The commentators color experts have commented that the colors of the water sample were similar to the color strips standard created, but the color strips standard of DO_9 and DO_{10} the color that was difference can not be used in detecting DO measurement of the water.So the DO Test Kits of developed can be used to measure he amount of dissolved oxygen in the water its was between DO_0-DO_8 only.

Table 2: Shows that the percentage accuracy of the measurement of the DO test Kits were developed to test water samples DO_o-DO_8 compared Standards DO meter.

Water samples	DO of the water sample prepared (mg/l)	N	The average of DO was measured by the DO Test Kits (mg/l)	The average of DO was measured by the DO Meter (mg/l)	The percentage accuracy of the measurement (%)
1	0.00	20	0.00	0.00	100
2	1.00	20	1.00	1.02	98
3	2.00	20	2.00	2.03	98.50
4	3.00	20	3.00	3.08	97.33
5	4.00	20	4.00	4.11	97.27
6	5.00	20	5.00	5.09	98.20
7	6.00	20	6.00	6.10	97.83
8	7.00	20	7.00	7.16	97.71
9	8.00	20	8.00	8.16	98.00
				Total average	98.09

Table 2 The percentage accuracy of the measurement of the DO Test Kits were developed to test water samples DO_o-DO_8 compared Standards DO meter were as follows: 100%,98%,98.50%,97.33%,97.27%,98.20%,97.83%,97.71%,98.00% and total average 98.09% respectively.

Table 3 Shows that the percentage accuracy of the measurement of the DO test Kits were developed to test water samples from natural sources, water from the waste water treatment and water from water supply of the Bangkok compared to Standard DO Meter.

Water samples	N	The average of DO was measured by the DO Test Kits (mg/l)	The average of DO was measured by the DO Meter (mg/l)	The percentage accuracy of the measurement (%)	
water samples from natural sources					
1	20	4	4.05	98.05	
2	20	5	5.12	97.60	$\overline{X} = 97.88$
3	20	5	5.10	98.00	
water from the waste water treatment					
1	20	0.00	0.00	100	
2	20	2.00	2.05	97.5	$\overline{X} = 98.25$
3	20	4.00	4.11	97.25	
water from water supply of the Bangkok					
1	20	7.00	7.17	97.57	
2	20	7.00	7.15	97.85	$\overline{X} = 97.64$
3	20	8.00	8.20	97.50	
			Total average	97.92	

Table 3 The percentage accuracy of the measurement of the DO test Kits were developed to test water samples from natural sources, water from the waste water treatment and water from water supply of the Bangkok compared to Standard DO Meter. and total average were as follows: 97.88%, 98.25 %, 97.64% and 97.92 % respectively.

The satisfaction of the series DO Test Kits were developed a science teacher with expertise in teaching the dissolved oxygen in the water was divided into five areas: 1) ease of used 2) performance measurement 3) created by yourself and low prices 4) high safety for users 5) can be used for the experiment Science Laboratories on the Method of Measure DO in the water Assessing issues such as Rating Scales 5 levels using the following:

1 = very low
2 = low
3 = medium
4 = high
5 = very high.

Table 4 Shows that the satisfaction preferring to used DO Test Kits of the science teacher with expertise in teaching the dissolved oxygen in the water

Areas	N	1.00	2.00	3.00	4.00	5.00	$\overline{X}$	Levels
ease of used	20			1	16	4	4.35	high
performance measurement	20				15	5	4.25	high
created by yourself and low prices	20				13	7	4.35	high
high safety for users	20			1	14	5	4.20	high
can be used for the experiment Science Laboratories on the Method of Measure DO in the water	20			1	12	7	4.30	high
						Total average	4.29	high

Table 4 The average satisfaction preferring to used DO Test Kits of the science teacher with expertise in teaching the dissolved oxygen in the water was divided into five areas: ease of used, performance measurement, created by yourself and low prices, high safety for users and can be used for the experiment Science Laboratories on the method of measure DO in the Water and total average were as follows: 4.35 high, 4.25 high, 4.35 high, 4.20 high, 4.30 high, and 4.29 respectively.

Conclusion

The DO Test Kits were developed with the following property:

1) The DO Test Kits were developed by using a simple method of measuring students and the general public can be used to measure the DO of water. Because the determination of the solution to reaction only two kinds Compared to DO Test Kits consist of the Pollution Control Department of Thailand reaction solution in three types and components used Sulfuric Acid , which was harmful to the user.(5) ,created by yourself and low prices estimate 3 US dollars per set.

2) The DO Test Kits were developed able to measure DO of the water range DO_0-DO_8. When using the Dissolved Oxygen Test Kits to measure DO of the water compared with the value measuring DO of the water measured by standardized from DO Meter. It was found that the value   DO of water measured by DO Test Kits could be estimated accurately at 98% confidence interval. It had efficiency enough to measure DO of water for public and secondary school students and can used as an experimental series for finding the DO of water.

3) The teachers 'satisfaction preferring to used the DO Test Kits was at the high level. Shows that the DO Test Kits were developed appropriate to be used for teaching in the water for Science Laboratories on "The Method of Measure Dissolved Oxygen in the Water.(6)

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Factors Affecting the Development of Graduates Toward the ASEAN Economic Community for Faculty of Technical Education RMUTT in Thailand

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Abstract
The objective of this article was to analyze the factors affecting toward educational management of the ASEAN Community in Faculty of Technical Education, Rajamangala University of Technology Thanyaburi (RMUTT), Thailand. The notion of organizational behavior proposed by Robbins was used as the research framework and the approach of educational management of the ASEAN Community was constructed by the researchers. A questionnaire survey was adopted to collect the required data. The unit of analysis was the Faculty of Technical Education, RMUTT. The sample consisted of 114 people including educational personals and instructors. The descriptive statistics and the multiple regression analysis were used to analyze the data.

The findings revealed that the faculty factors at all levels, namely personnel, group, and organization, all were at high. The factor of educational management for the ASEAN Community was also at a high level. Regarding all individual aspects, it was found that participation in education, curriculum and teaching and learning were the three high-rated factors affecting toward educational management of the ASEAN Community. Considering of other factors, it was found eight key variables affecting the educational management of the ASEAN Community in Faculty of Technical Education, RMUTT. They comprised organizational culture, communicative abilities, resources and technology, teamwork, leadership, policies and practices and self - development.

Keywords : educational management, ASEAN Community

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Introduction

Big changes for the country that the transition to a member of the ASEAN Community in 2015 has many benefits to the UK in terms of economic, social and cultural stability. Everyone must be aware and appreciative of readiness to change this. The significance of the study. One way to create a foundation of knowledge. Understanding and application of knowledge to be used to cope with globalization. That will impact on ASEAN as one. Like a candle flame to medium winds of globalization and seduces be used to beat Thailand. It may be just a glimmer of light waiting to fizzle out in the end if we are ready and prepared for the changes that will occur efficiently.

Therefore, the ASEAN foreign policy strategy to accelerate the drive. The education strategy ASEAN-driven approach to the preparation of the ASEAN countries to achieve the goals. The potential to build a prosperous future of ASEAN. Which is a key priority of the ASEANN vision changes reflect evident in many countries, including Thailand is a country in South East Asia to accelerate the development and recognizes the importance of education. has always been driven by continuing to raise the country's progress and prepare. ASEAN's population into the workforce and labor market world. The Higher Institute of Thailand, it is necessary to reassure the community. That can develop knowledge and graduates to respond to national development strategies, the more that will create the capacity to compete internationally. The development of the industry and service sectors. Career Development Quality of Life And well-being of local communities. The production and development of graduates into the labor market takes into account the market in ASEAN as well. To achieve the goal of education in institutions. To produce quality graduates. To meet the power needs of the country takes into account the market in ASEAN. However, Although all institutions Accelerating pace dynamically to achieve higher education. That seeks to prepare graduates to the market power of the people. Of the AEC .The university is important in raising the quality of education for the ASEAN Community,but the current state of education in institutions to support the AEC is not as much as it should, as research on the availability of graduates to support ASEAN institutions in PathumThani (Jirawatcharakorn T, 2012) findings. found Ready to graduate to support ASEAN. Institutions in PathumThani province in general is moderate.

The importance and the circumstances mentioned above. Higher education institutions must be planned. Education Management Accelerate the development of graduates to suit the situation, to support ASEAN. Including University of Technology. The philosophy that focuses on the development of manpower. Science and technology with the skills and professional expertise. Strengthen human capital with added value to the country and the region. Its mission is to develop the students to meet the challenges of globalization. Enhancing product that offers higher education to be able to produce and develop graduates with high quality. To increase the competitiveness of the country. Faculty of technical Education mission to improve the quality of graduates to respond to the Higher Education Qualifications Framework (TQF) and an indicator of quality of evaluated various agencies and organizations. Also included will be required to produce and develop students to meet the needs of the market in ASEAN with a focus on teacher professional educational technologists. International standards by the year 2017.

Faculty of Technical Education should be planned to the ASEAN Community, therefore, a need to analyze the factors affecting toward educational management of the ASEAN Community in Faculty of Technical Education, Rajamangala University of Technology Thanyaburi (RMUTT), Thailand. Develop planning to policy and educational management. The monitoring and promoting the implementation, however, consistent with the goals of education within the framework of the ASEAN education. It is expected that the results of such research is empirical data that are useful to management and stakeholders to develop a factor. For more quality And to guide the development of education and educational preparation of plans, policies and plans to achieve the effectiveness of the Board of Technical Education in the production and development of quality graduates. Meet the needs of the labor market in the country and the ASEAN community.

Objective of Research
the study was to analyze the factors affecting toward educational management of the ASEAN Community in Faculty of Technical Education, Rajamangala University of Technology Thanyaburi (RMUTT), Thailand.
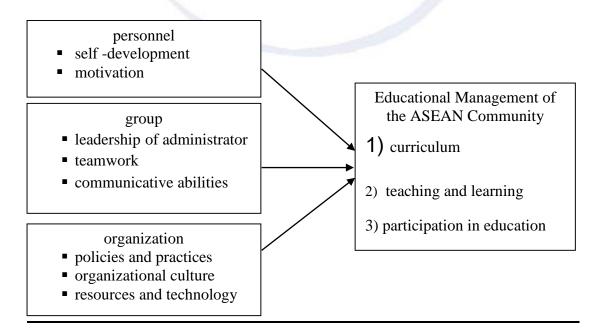
Scope of the research
This research was descriptive research that the study was to analyze the faculty factors at all levels , namely personnel, group, and organization   affecting toward educational management of the ASEAN Community in Faculty of Technical Education, (RMUTT) Thailand .

Conceptual framework
Factors Affecting toward the ASEAN Community of the Faculty of Technical Education, RMUTT, Thailand needs two considerations comprising factors that the notion of organizational behavior proposed by Robbins (2005) was used as the research framework, that the faculty factors at all levels, namely personnel, group, and organization   and   the approach of educational management of the ASEAN Community was constructed by the researchers .

Expected benefits

1. .Academic benefits.
1.1 A presentation of the feedback policy for the production and development of graduates who responded to educational management of the ASEAN community in higher education institutions.

2. Other area.
2.1 Knowledge about the needs to educational management of the ASEAN Community in higher education institutions and the participation of all sectors.
2.2 An educational institution can be used as a guide to plan effective strategies and effectiveness in a systematic and concrete that the study to compare development gap**.**

Research Mythology

The research was focused on two types of data collection, quantitative data and qualitative data. The scope of the study: (1) information from the documentary research (2) data from survey research.

Population and sample.

Population and the sample was unit of analysis consists of administrators, lecturers and staff of in faculty of Technical Education, Rajamangala University of Technology Thanyaburi (RMUTT), Thailand which selected through a purposive sampling technique. the sample was 114 people.

Tool for research.

Research tool was a questionnaire that divided into 3 parts 1) general inquiries
2) query on factors affecting toward the faculty of Technical Education consists of self –development , motivation, leadership of administrator ,teamwork ,
ommunicative abilities, policies and practices, organizational culture, resources and technology that the quality of reliability was 0.0882 and 3) query on educational management of the ASEAN Community consists of curriculum, teaching and learning , and participation in education that to determine the quality of reliability was 0.921.

Data collection

This research, the researchers collected data from questionnaires. The questionnaires were sent and collected manually.

Data analysis.

Researchers used questionnaires to determine the integrity. We analyzed a total of 114 copies. 75 percent to be analyzed. By applying the data were analyzed as follows:
1. Analysis of the data obtained from the literature and related research. The data were content analysis
2. Basic data of the sample Analyzed using descriptive statistics such as frequency and percentage.

3.   Analysis of the variables were mean (μ) and Standard Deviation (σ)

4.   The multiple regression analysis after finding out the relationship of factors affecting toward the ASEAN Community of Technical Education.

Research summary

The researchers conclude the findings below

1) The study of the factors of the Faculty of Technical Education findings revealed that the personnel level has a variable level of performance at a high level. Sort by average self –development and motivation. The group level has a variable level of performance at a high level, leadership of administrator has the highest average, team work and communicative abilities , respectively. And the organizational level has a variable level of performance at a high level, policies and practices with the highest average. Followed by organizational culture and resources and technology, respectively.

2) The study of Educational Management of the ASEAN Community of Faculty of Technical Education findings revealed that the overall level of performance at a high level.

3) The study of factors affecting toward the ASEAN Community of the Faculty of Technical Education findings revealed that the correlation coefficient between variables that were associated with the educational management of the ASEAN Community. Correlation coefficients between 0.399 to 0.765, with regression coefficients of the were eight variables chosen according to priority of significance as follows: 1) organizational culture 2) communicative abilities 3) resources and technology 4) teamwork 5) leadership of administrator 6) motivation 7) policies and practices and 8) self –development have predictive of educational management of the ASEAN Community of Technical Education of 75.40 percent and the error of the forecast or estimate of $.868$ .The regression equation or predicting equation of raw scores and   standard scores were as follows:

Variables	b	S.E.b	Beta	t	Sig.
Constant	.229	.513		.447	0.00
organizational culture (X8)	.642	.130	.694	4.924	0.00
leadership of administrator (X5)	.328	.151	.361	2.169	.036
resources and technology (X6)	.328	.127	.301	2.269	.032
teamwork (X3)	.292	.133	.284	2.196	.033
motivation (X2)	.232	.177	.194	1.994	.049
policies and practices (X7)	.230	.161	.191	1.959	.049
self –development (X1)	.229	.064	.195	1.938	.043
communicative abilities (**X4**)	.206	.063	.279	3.294	.002

R = .868 , R Square = .754, F = 16.832

The regression equation or predicting equation of raw scores was:

$$Y´ = .229 + .642(X8) + .328(X5) + .328(X6) + .292(X3) + .232(X2) + .230(X7) + .229(X1) + .206(X4)$$

The regression equation or predicting equation of standard scores was:

$$Z´Y = .694(X8) + .361(X5) + .301(X6) + .284(X3) + .194(X2) + .191(X7) + .195(X1) + .279(X4)$$

Discussion

Researchers have discovered a key point of the research is discussed below.
1. The study of Educational Management of the ASEAN Community of Faculty of Technical Education findings revealed that the overall level of performance at a high level, considering that the teaching and learning, the participation in education and curriculum at a high level in all aspects. Because educational management to administrators, instructors and educational personnel which need to prepare together in the same direction all partner that consistent with research Jirawatcharakorn T. (2012) The Readiness of the Development of graduates in Higher Education Institutions in Pathumtani province, Thailand to support the AEC Found that the availability of the University Overall the moderate.

The teaching and learning that most depictions of content taught in English.The use of English in teaching is to train students to become more familiar with. Trying to create a classroom atmosphere that is very interesting with some lectures in English to students. And encourage students to present their work in English.In addition, the instructor is trying to introduce new learning relevant. Some texts are in English with content knowledge for students to learn on their own that consistent with research Subin Yurarach (2013) The Quality Development of Thai Graduates' to ASEAN that to develop Thai graduates' attributes qualified to ASEAN to support the ASEAN community in 2015 needs two considerations comprising careers and graduate attributes which ASEAN expects, especially to develop English skills (listening, speaking, reading, writing) for effective communication among ASEAN countries.

Curriculum found that the courses are in English, then in accordance with the University's existing defined. The course will be held in General Education,but in the course of study should have contained the requisite degree in English at least one subject. The Board's policy is to develop a curriculum to meet with the preparation for the ASEAN community more. By improving or open a new course. Both the English

and Asian languages. This is to allow teachers and students to develop the language skills at the same time providing opportunities for students to study in more than two languages may be classified under the category of elective courses is not directed to. Only as an alternative that consistent with research Subin Yurarach (2013) The Quality Development of Thai Graduates' to Curriculum should accelerate the development or improvement of the quality of the course is to provide students "skills" is required in each course by requiring students to select at least three languages, including Thailand and the official language in the region 2 other languages, such as a classroom. Thailand and English, Bahasa, etc., in the course of activities for students.

 In English throughout the event. But life experience directly to the student's level. Thailand activities between students and foreign students. The Board has promoted cooperation with other networks with universities abroad. It is in the form of exchange between faculty and students abroad. The format may be provided under the program of the University or the form of the transfer of credits. It depends on the individual case, the Board of the University who have made the network agreed to make that happen for you. And should push to encourage forms of exchange between faculty and students has increased and continuous.

The participation in education. A collaboration between the industry in producing graduates and faculty. To mobilize resources and budget from the community. External agencies to support education. According to the education reform in the second decade, a project focused on decentralization. As well as the Involvement of parents, communities, the private sector. (ministry of Education, 2010 .Consistent with Sporn (1999) said that the university will receive from the network. Every sector participation. The collaboration is permanent. Allows guests of the University are motivated to learn. And with the knowledge on how to do a good job. This makes it possible to create and take advantage of the high. For Research, Innovation and Technology Teaching And service-oriented The importance of the implementation of high quality at low cost. But the needs of society Have very high quality standards. And the use of computer technology, more and more information. (Noftsinger, 2002)

2. Analysis of Factors Affecting Education for the AEC of the Board. Industrial Education University of Technology Researchers have discovered the key points from the discussion of the research found that organizational culture (Organizational Culture) is a variant of the organization to predict Education for Members of ASEAN's Faculty of Engineering. Highest priority The organizational culture It takes time to build a strong cultural influence on the beliefs and values of the organization. Changes take to change a belief. And executives to focus on culture as much as possible. Whether administrators need any organization. Management must take into account the culture of the organization. Including personnel, strategy, vision, it must be appropriate to the culture. Organizational culture was also instrumental in the organization, which leads to changes need to be a member of the organization's explanation or understanding. (Denison, 2000)therefore, the transition to the ASEAN community is all that matters. Awareness of the importance consistent with Lucid nimble trader (2008) stated that the changes that occur in the society must be adjusted to the inevitable. Based on traditional social existence. Lack of education is to create new knowledge. But society is emulating. Dominated economic and political thought of ourselves as a society with a unique capability in low competition. Hence, the

management is the most important role in the management of organizational culture in terms of development. The maintenance and changes Administrators should change the culture of learning. Different value systems to promote learning. Based on the concept of Marquardt (2000).

Including organizational climate that emphasizes the value and reward learning. The division of responsibility in learning thoroughly. A trust And emphasizes the freedom of self (Autonomy) promote innovation. Reinvention risk taking create budgetary commitment to training and development of creative collaboration and continuous service improvement. Responsible for the change quality of work life, consistent with the concept of Srisa (2007) said that the development of what the state can do is set a goal of producing clear. And if any of the students to produce quality, it should have won, or sponsored by the state itself. Create an educational culture that focuses on quality education. Institutions should consider the potential to improve education on par with other countries to reduce their children to study abroad. And development of the country as the educational center of ASEAN. Based on such findings Educational agencies to conduct a study on the educational reform and implemented in line with the agreement of ASEAN education. Should be considered to be the main factor in the quality of education and educational institutions. Educational efficiency Producing graduates to meet the needs of the labor market. And participation in education. It may need to be considered. The strategy of each institution itself for competition to occur in the future. (Barbara Leigh Smith, Jean MacGregor (2009) Pak Tee Ng (2008) By creating a culture seriously the initiative to improve the quality of education. Consistent with the principles of higher education institutions Clark (1998) That said, the Institute of Higher Education at the enterprise or business activities must take the initiative to do something new.

To find innovative step into their business operations in order to be in stable condition in the future and as a university that can stand on its own. What is important to the administration for 3 reasons: 1) There are 2 modern mechanical systems) is a process that creates quality educational and self change as entrepreneurs institutions. Would affect the effectiveness of education in international standards. In addition, the findings about leadership. Another variable to predict the level of education to the ASEAN community consistent with O. Michael, Michael Schwartz, Ludmila Cravcenco (2000) have discussed the management of quality education to accommodate the changes. Be a result of the leadership of professional administrators consistent with Bush, T. (2008) and Anna Saiti (2012) that the key factors that contribute to quality education is a corporate executive education with academic leadership. It is important that schools and other development along the second decade of education reform and in accordance with the terms of ASEAN and tend to the needs of the world to be successful.

Suggestions.

1. The results of this research showed that education to ASEAN found that the course is still in the process of developing courses with credits between the institutions of higher education institutions in ASEAN or the authorization to open. Courses in English, so the management and related agencies should push the policy into action quickly. As a result, the study supports the ASEAN community. The leading organization in the production of a pragmatist to international standards.

2. Results from the analysis of the various factors involved in the study to find out the AEC first priority is culture affect education in ASEAN . Administrators should create a culture of creative academic better that will impact on the reform of higher education to support the ASEAN Agreement and the trend of higher education of the next world.

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Analysis of Recreation Satisfaction, Motivation, and Consumer Behavior at the 99-Peaks Forest Trail to Pursue Sustainable Forest Management in Taiwan

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Abstract

Sustainable national forest management is a day-to-day business as well as long term process in Taiwan. There are eight forest districts in Taiwan and they have common management problems to encounter huge demand in forest recreation from the surrounding communities. The Nantou Forest District has made more than 20 forest trails for general public in the past 10 years. Recreation satisfaction and the associated management problems on 14 trails were examined by a five-professor team in the past one year. The working method consists of counting trail visitors, interview with community leaders and trail visitors, and questionnaire were collected on a trail-by-trail basis. The SPSS has been implemented for statistical analysis and results were obtained to solve forest management problems encountered in all 14 trails, especially, the famous 99-Peaks Forest Trail. The t-test and ANOVA were used for verifying recreation satisfaction, motivation, and consumer behavior. The obtained results indicate recreation satisfaction is in the high level and management prescriptions have been implemented properly to make forest trails safe and attractive to the general public, in the meantime, sustainable forest management can be pursued as well.

Keywords: National Forest Trail, Recreation Satisfaction, Consumer Behavior, Forest Management

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Introduction

Since 2003, Forestry Bureau has made 14 national forest trails and there are over 60 regional trails in 4 areas in North, Middle, South and West and for general public to have a recreation activity with good reputation (Chyi-Rong Chiou, 2005; Hong-Zhong Lin, 2009). Most trails are adopted by local communities due to limited resources of Forestry Bureau, and the communities also afford the costs of management and maintenance because they usually have places to sell local agricultural products as part of the source of funding. Mei-Hui Chen (2003) indicated that improving the overall environment of communities, increasing life quality, developing communities' economical industry and creating a win-win between industry development and community development as well as forming partnerships with community residents in order to work together to promote biodiversity conservation, forest eco-tourism and the revitalization of the village economy for sustainable management of the communities. Manning (1985) pointed out that people participate in recreational activities is to meet a variety of tourism motivation and if we can classify visitors into groups abased on their motivation, which will be great reference for recreation area planning and management and more likely meet their needs of diverse experiences. For sustainability of communities and trails, it is very important to understand consumer behaviors of their willingness to revisit and recommend their recreation location and its influence factor.

Users' "consumer behavior" means their "willingness to revisit" and "willingness to recommend to other people," etc. intentions. Ross and Iso-Ahola (1991) indicated that motivation and satisfaction of recreation are to understand the core concept of users' "consumer behavior" and recreational motivation also has an impact on satisfaction. (Chong-Hong Wu,2007；Kuan-Chu Chen,Yu-Dong Lin, 2006；Yoon and Uysal, 2005).

Forest trails can help people get close to nature, to provide residents of recreation places, but also to protect natural ecosystems provide ecological research and environmental education (Hong-Zhong Lin, Chiung-Hui Chiu, 2006) In addition, the forest trails also help the local development of eco-tourism, reviving the local industry and to promote employment of residents (Kun-Ming Wu,2004；Hong-Zhong Lin, Chiung-Hui Chiu, 2006);Therefore, many communities in Taiwan aggressively develop community forest trails or natural trails (Hsueh-Cheng Liao,Hung-Chong Lin, Xinag-Li Lin,2008) . Management units should collect the satisfaction data of user experience in order to understand the pros and cons associated trails to improve service quality, improve recreation motivation and satisfaction as well as increase their willingness to revisit and promote community development.

Research Regions and Methods

1. Research Area

The study took 99-Peaks Forest Trail as the research objective (Figure1). It was planned by the Nantou Forest District Office and built along the ridge line, a full-length of 1930 meters with walking round trip time of about 100 minutes. After National Highway six opened had increased high availability of the tails. (Hong-Zhong Lin, Chiung-Hui Chiu, 2006) The trails were adopted by the local communities for maintenance and cleaning work. It not only provides the public people leisure and exercises as well as stress-lifting, but also increase the chance for people to experience nature and environmental education (Hong-Zhong Lin, Chiung-Hui Chiu, 2006).
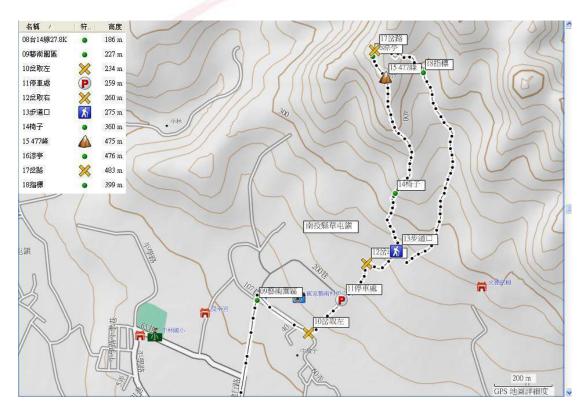
Figure 1. Location of 99-Peaks Forest Trail (from data on internet)

2. Research Methods

In this study, literature analysis and field tour were performed first to have a better understanding of regional forest trails. Later we had the questionnaire design and content of questionnaire is divided into (1) basic attributes of the respondents; (2) Interaction between respondents and the trails; (3) the motivations of the respondents for trails; (4) the satisfactions of the respondents for trails; and (5) the respondents' intentions to revisit and recommend for trails. Revisit Intention. In part

of satisfaction scale, five intervals of Likert scale was adopted in questionnaire with ranking in descending order, 5 represents very satisfied and 1 represents not very satisfied.

The study used accidental sampling method to collect data. Sampling survey was aimed to users of research area and conducted from November 2013 to May 2014, and there were 2,077 people within 32 days. Total 116 valid questionnaires were collected and analyzed with statistical analysis software SPSS.

3. Results Analysis and Conclusions
3.1 Descriptive statistics of trail visitors
3.1.1 Gender

Among 116 respondents of trail users with 57 females (49.1% to total) and, 59 males (50.9% to total), showing the number of males and females were very similar shown in Table 3.1. Hiking and walking in trails are general accepted and favorite activities for general public (Forestry Bureau, 2012) so that the user's gender distribution is also quite similar.

Table 3.1 User frequency by Gender

Gender	Headcounts	Percent (%)	Cumulative Percent (%)
Female	57	49.1	49.1
Male	59	50.9	100

3.1.2 Age

For age distribution of trails' users, the numbers under 30 years old were 18 people (15.5%); the numbers of age 30 to 40 years old were 16 people (13.8 %); the numbers of age 40 to 50 years old were 18 people (15.5%); the numbers of age 50 to 60 years old were 47 people (40.5%); the numbers of age above 60 years old were 17 people (14.7 percent), as shown in Table 3.2.

From Table 3.2, users of trails form 50 to 60 years old accounted for 40.5%, indicating the group owned most users, and the remaining age groups were almost the same. Users' age above 50 were 64 people (55.2%) and lower than age 30 were 18 people (15.5%).

Taiwan reached the standard aging society in 1993. With the approaching of aging society today, the average age of domestic hiking population are between 40 to 60 years old. The study also found that trail visitors also focus on the elderly.

Table 3.2 User frequency by Age

Age	Number of people	Percent (%)	Cumulative Percent (%)
30 years old	18	15.5	15.5
30-40 years old	16	13.8	29.3
40-50 years old	18	15.5	44.8
50-60 years old	47	40.5	85.3
60 years old	17	14.7	100

3.1.3 Residence

User frequency by residence was shown in Table 3.3.Outside tourists accounted for 68.1% with79 people, followed by neighboring communities at 19% with 22 people as well as local residents accounted for 12.9% with 15 people.

Table 3.3 User frequency by Residence

Living	Number of people	Percent (%)	Cumulative Percent (%)
Local residents	15	12.9	12.9
Neighboring residents	22	19.0	31.9
Outside tourists	79	68.1	100

3.1.4 The average monthly number of times with the use of this trail

Monthly frequency of trails usage less than once accounted for 70.7% with 82 people. 1-2 times accounted for 22.4% with 26 people; 3-4 times accounted for 4.3% with 5 people; 5-8 times accounted for 1.7 % with 2 people; more than 9 times accounted for 0.9% with 1 person, more than 2 times accounted for 6.9% % as detailed in Table 3.4. Use trails on holidays accounted for 76.7% ranked highest; non-holidays accounted for 4.3%, not certain accounted for 19% as detailed in Table 3.5.

Table3.4 Monthly Average trails usage

Use times	Number of people	Percent (%)	Cumulative Percent (%)
Less than 1	82	70.7	70.7
1-2 times	26	22.4	93.1
3-4 times	5	4.3	97.4
5-8 times	2	1.7	99.1
More than 9times	1	0.9	100

Table3.5. Usage number on Holidays

Day use trails	Number of people	Percent (%)	Cumulative Percent (%)
Holidays (Saturday and Sunday included national holidays)	89	76.7	76.7
Non-holidays	5	4.3	81
Not Certain	22	19.0	100

3.2 Recreation motivation, satisfaction, and consumer behavior
3.2.1 Recreation motivation on visiting the forest trail

Use trails motivation to "word of mouth" accounted for 52.6% of the largest, followed by "Fun with friends "of 38.8% and "recreation" (34.5 percent), "sports " (29.3%), " family to experience outdoor activities," accounting 8.6%, "enjoy solitude," 4.3%, "other" (1.7%), as detailed in Table 3.6.

Table 3.6 Motivation on visiting

Year Age	Word of mouth	Fun With friends	Recreation	Sports	Family to experience outdoor activity	Enjoy solitude	Others
30 years old	6	6	8	5	1	0	1
30-40 years old	7	5	8	8	0	0	0
40-50 years old	11	5	5	5	3	2	0
50-60years old	25	22	13	13	5	1	1
60 years old	12	7	6	3	1	2	0
Total	61	45	40	34	10	5	2
Percent (%)	52.6	38.8	34.5	29.3	8.6	4.3	1.7

3.2.2 Satisfaction on visiting the forest trail

Table 3.7 explained overall satisfaction of 99-Peaks Forest Trail by trail visitors. Dissatisfied and very dissatisfied accounted for 2.6%, and very satisfied, satisfied and no idea accounted for 97.4%. 2.6% of total is not satisfied with safety of trails.

1. Resource Satisfaction: Satisfaction of resources along the trail divided into biological resources, the non-biological resources and cultural landscape resources. Very dissatisfied with biological resources and non-living resources accounted for 0.9% and cultural landscape resources were dissatisfied very and dissatisfied with 3.5% (detailed in Table 3.7).

2. Trail design: dissatisfied and very dissatisfied with 3 items of comfort space to trail, trail length (walking the whole time) and walks slope were 1.7%, 4.3%, 3.5% respectively (as detailed in Table 3.7), 99 Peak Forest   trail status for people to use trails or walk the entire trail length in terms of time that very satisfied, satisfied and no idea accounted for 95.7% 。

3. Trail related facilities: the trail-related facilities satisfaction analysis was consisted of 4 items-explain the facilities, gazebo and chairs, signs and explanatory signs, pavement and railings. Dissatisfied and very dissatisfied on above four items accounted for 4.3 % to 6.9%, (detailed in Table 3.7).

Dissatisfied and very dissatisfied with linking road convenience were 10.4%. In fact many people came to trails via linking road for its convenience. Dissatisfied and very dissatisfied with parking lot were 8.7%, but in front of trail entrance, 99 Peak

Ecological Park adjoining road side and parking lot of art can be stopped 30 cars which can resolve parking problems.

Table 3.7 Satisfaction on visiting the 99 Forest Trail (%)

Project	Very satisfied	satisfied	No idea	Not satisfied with(A)	Very dissatisfied(B)	Dissatisfied and very dissatisfied (A + B)
Overall satisfaction	19.0	57.8	20.7	1.7	0.9	2.6
Trail security	26.7	60.3	10.3	2.6	0	2.6
Biological Resources	22.4	58.6	18.1	0	0.9	0.9
Non-living resources	35.3	50.0	13.8	0	0.9	0.9
Cultural landscape resources	18.1	45.7	32.8	2.6	0.9	3.5
Comfort of trail	31.0	47.4	19.8	1.7	0	1.7
Trail length (Total time taken)	17.2	60.3	18.1	3.4	0.9	4.3
Gradient of trail	17.2	56.9	22.4	2.6	0.9	3.5
Instructions	13.8	42.2	39.7	3.4	0.9	4.3
Pavilion seat	21.6	51.7	20.7	4.3	1.7	6.0
Signs and interpretative signs	17.2	50.0	26.7	5.2	0.9	6.1
Pavement and railings	18.1	55.2	19.8	6.0	0.9	6.9
Parking lot	12.9	51.7	26.7	7.8	0.9	8.7
Convenience of traffic	19.0	46.6	24.1	9.5	0.9	10.4
Gain of creature knowledge	13.8	47.4	30.2	7.8	0.9	8.7
Geography and Geology	14.7	57.8	23.3	4.3	0	4.3
Biological evolution	16.4	42.2	34.5	6.0	0.9	6.9
Ecosystem composition	14.7	45.7	32.8	6.0	0.9	6.9

As shown in Table 3.8 in satisfaction of the statistical results showed that the use non-living resources ranking first at 4.19 of average value, followed by trail security, an average of 4.11; the trail space comfort level of average value at 4.08 ranked third. This showed 99 Peak Forest Trail is with beautiful scenery, fresh air and safe

for people to hike. The lowest average item was commentary facility, an average of 3.65 indicated the satisfaction is still inclined to be satisfied.

Table 3.8 Satisfaction Content List on visiting the 99 Forest Trail

Satisfaction contents	Average	Standard deviation
Non-living resources satisfaction	4.19	.733
Trail security	4.11	.682
Comfort of trail	4.08	.759
Satisfaction biological resources	4.02	.698
Overall satisfaction	3.92	.736
Length and time taken	3.90	.750
Gradient of trail	3.87	.752
Pavilion seat	3.87	.860
Pavement and railings	3.84	.823
Geography and Geology	3.83	.726
Signs and interpretative signs	3.78	.824
Cultural landscape resources	3.78	.803
Convenience of traffic	3.73	.908
Parking lot	3.68	.830
Ecosystem composition	3.67	.832
Biological evolution	3.67	.852
Gain of creature knowledge	3.66	.845
Instructions	3.65	.794

Notes: (1) Very satisfied with 5 points; (2) satisfied with 4 points; (3) Normal with 3 points; (4) dissatisfied with 2 points (5) Very dissatisfied with 1 points

3.2.3 Consumer Behavior on Visiting the Forest Trail

The study acquired that the information sources of forest trail were mainly introduced by relatives or friends, which occupies for 66.4%; 13.8% for internet, 12.9% for local residents, 11.2 for journalism, 8.6% for traveling books, 8.6% for found by own, and 5.2% for programs on television, which are listed in Table 3.9.

Table 3.9. The analysis of information sources of forest trail

Gender	Relatives	Internet	Local residents	Journalism	Traveling books	Found by own	Programs on TV
Female	38	6	4	4	2	4	1
Male	39	10	11	9	8	6	5
Total	77	16	15	13	10	10	6
Percentages	66.4	13.8	12.9	11.2	8.6	8.6	5.2

The visitors of forest trail willing to recommend the trail to others is occupied for 96.6%, while ones who would not are 3.4%, which are listed in Table 3.11. The visitors would use the trail again is occupied for 94.8%, and ones who would not are 5.2%, which are listed in Table 3.12.

Table 3.11 The statistics of persons willing to recommend the trail to others

Recommend to others	Persons	Percentage (%)	Accumulated percentage (%)
Yes	112	96.6	96.6
No	4	3.4	100.0
Total	116	100.0	

Table 3.12 The statistics of persons would reuse the trail

Use the trail again	Persons	Percentage (%)	Accumulated percentage (%)
Yes	110	94.8	94.8
No	6	5.2	100.0
Total	116	100.0	

3.3 The effect of background variables to satisfaction by t-test
3.3.1 Gender

The visitor satisfaction of different genders (p>0.05) revealed no significant difference after analyzing, which indicated the visitor satisfaction of 99 Peaks Forest Trail has no difference between genders. The statistics are listed in Table 3.13.

Table 3.13. The analysis of visitor satisfaction of different genders to forest trail

Sources of variable	Gender	Subjects	Means	Standard Deviation	t value	p
Creature resources satisfaction	Female	57	4.05	.742	.535	.593
	Male	59	3.98	.656		
Non-living resources satisfaction	Female	57	4.16	.774	.814	.649
	Male	59	4.22	.696		
Cultural landscape resources	Female	57	3.77	.846	-.052	.959
	Male	59	3.78	.767		
Trail security	Female	57	4.05	.666	-.922	.359
	Male	59	4.17	.699		
Comfort of trail	Female	57	4.16	.751	1.121	.265
	Male	59	4.00	.766		
Instructions	Female	57	3.67	.831	.267	.790
	Male	59	3.63	.763		
Distance and time taken	Female	57	3.93	.821	.468	.641
	Male	59	3.86	.681		
Gradient of trail	Female	57	3.84	.841	-.401	.689
	Male	59	3.90	.662		
Pavilion seat	Female	57	3.82	.909	-.566	.572
	Male	59	3.92	.816		
Signs and interpretative signs	Female	57	3.88	.847	1.305	.195
	Male	59	3.68	.797		
Parking lot	Female	57	3.74	.813	.710	.479
	Male	59	3.63	.849		
Pavement and railings	Female	57	3.84	.841	.076	.940
	Male	59	3.83	.813		
Convenience of traffic	Female	57	3.81	.811	.868	.387
	Male	59	3.66	.993		
Gain of creature knowledge	Female	57	3.65	.896	-.075	.940
	Male	59	3.66	.801		
Geography and Geology	Female	57	3.81	.718	-.299	.766
	Male	59	3.85	.738		
Biological evolution	Female	57	3.65	.855	-.288	.774
	Male	59	3.69	.856		
Ecosystem composition	Female	57	3.72	.840	.595	.553
	Male	59	3.63	.828		
Overall satisfaction	Female	57	3.95	.742	.358	.721
	Male	59	3.90	.736		

Note: * = $p < 0.05$

3.3.2 Age

Table 3.14 showed the visitors of 99 Peaks Forest Trail in different ages have significant differences on satisfaction of Gain of creature knowledge (F=3.497, p<0.05); Scheffe post hoc revealed the satisfaction of Creature knowledge provision of visitors under 30 years old is obviously higher than visitors in 30-40 and 50-60 years old.

Table 3.14. The analysis of visitor satisfaction of different ages to forest trail

Sources of variable		Sum of square	Freedom	Mean sum of square	F	Scheffe method
Creature resources satisfaction	Between	1.101	4	.275		
	Within	54.864	111	.494	.557	
	Sum	55.966	115			
Non-living resources satisfaction	Between	.967	4	.242		
	Within	60.861	111	.548	.441	
	Sum	61.828	115			
Cultural landscape resources	Between	2.319	4	.580		
	Within	71.853	111	.647	.896	
	Sum	74.172	115			
Trail security	Between	.818	4	.205		
	Within	52.725	111	.475	.431	
	Sum	53.543	115			
Comfort of trail	Between	1.152	4	.288		
	Within	65.149	111	.587	.491	
	Sum	66.302	115			
Instructions	Between	1.945	4	.486		
	Within	70.564	111	.636	.765	
	Sum	72.509	115			
Distance and time taken	Between	1.353	4	.338		
	Within	63.406	111	.571	.592	
	Sum	64.759	115			
Gradient of trail	Between	3.034	4	.759		
	Within	62.026	111	.559	1.358	
	Sum	65.060	115			
Pavilion seat	Between	5.146	4	1.286		
	Within	79.914	111	.720	1.787	
	Sum	85.060	115			
Signs and interpretative signs	Between	1.019	4	.255		
	Within	77.154	111	.695	.366	
	Sum	78.172	115			
Parking lot	Between	1.388	4	.347		
	Within	77.810	111	.701	.495	
	Sum	79.198	115			
Pavement and	Between	.638	4	.160		

railings	Within	77.250	111	.696	.229	
	Sum	77.888	115			
Convenience of traffic	Between	2.552	4	.638		
	Within	92.163	111	.830	.768	
	Sum	94.716	115			
Gain of creature knowledge	Between	9.199	4	2.300		1>2
	Within	73.008	111	.658	3.497*	1>4
	Sum	82.207	115			
Geography and Geology	Between	2.977	4	.744		
	Within	57.575	111	.519	1.435	
	Sum	60.552	115			
Biological evolution	Between	3.721	4	.930		
	Within	79.831	111	.719	1.294	
	Sum	83.552	115			
Ecosystem composition	Between	2.603	4	.651		
	Within	76.949	111	.693	.939	
	Sum	79.552	115			
Overall satisfaction	Between	3.275	4	.819		
	Within	59.027	111	.532	1.539	
	Sum	62.302	115			

Note: * = p<.05. The ages were divided into 5 levels (1) Under 30, (2)30-40, (3)40-50, (4)50-60 (5) above 60

3.3.3 Residence

Table 3.15 showed no significant differences on the satisfaction of visitors lived in different residences (p>0.05) after analyzing, which indicated the visitor satisfaction of 99 Peaks Forest Trail has no difference between residences.

Table 3.15. The analysis of visitor satisfaction of different residences to forest trail

Sources of variable		Sum of square	Freedom	Mean sum of square	F	Significance
Creature resources satisfaction	Between	.387	2	.194		
	Within	55.578	113	.492	.394	.675
	Sum	55.966	115			
Non-living resources satisfaction	Between	1.649	2	.824		
	Within	60.179	113	.533	1.548	.217
	Sum	61.828	115			
Cultural landscape resources	Between	.775	2	.387		
	Within	73.398	113	.650	.596	.553
	Sum	74.172	115			
Trail security	Between	1.484	2	.742		
	Within	52.059	113	.461	1.611	.204
	Sum	53.543	115			
Comfort of trail	Between	2.655	2	1.328		
	Within	63.646	113	.563	2.357	.099
	Sum	66.302	115			
Instructions	Between	1.087	2	.544		
	Within	71.421	113	.632	.860	.426
	Sum	72.509	115			
Distance and time taken	Between	.694	2	.347		
	Within	64.065	113	.567	.612	.544
	Sum	64.759	115			
Gradient of trail	Between	2.275	2	1.138		
	Within	62.785	113	.556	2.048	.134
	Sum	65.060	115			
Pavilion seat	Between	.195	2	.098		
	Within	84.865	113	.751	.130	.878
	Sum	85.060	115			
Signs and interpretative signs	Between	.069	2	.035		
	Within	78.103	113	.691	.050	.951
	Sum	78.172	115			
Parking lot	Between	.994	2	.497		
	Within	78.205	113	.692	.718	.490
	Sum	79.198	115			
Pavement and railings	Between	2.582	2	1.291		
	Within	75.306	113	.666	1.937	.149
	Sum	77.888	115			

Convenience of traffic	Between	2.240	2	1.120	1.368	.259
	Within	92.476	113	.818		
	Sum	94.716	115			
Gain of creature knowledge	Between	.427	2	.213	.295	.745
	Within	81.780	113	.724		
	Sum	82.207	115			
Geography and Geology	Between	1.129	2	.564	1.073	.345
	Within	59.423	113	.526		
	Sum	60.552	115			
Biological evolution	Between	.774	2	.387	.528	.591
	Within	82.778	113	.733		
	Sum	83.552	115			
Ecosystem composition	Between	.866	2	.433	.622	.539
	Within	78.686	113	.696		
	Sum	79.552	115			
Overall satisfaction	Between	1.015	2	.508	.936	.395
	Within	61.287	113	.542		
	Sum	62.302	115			

Note: $* = p<0.05$. The averages of monthly visiting days are divided into 5 levels, (1) below 1 (2) 1-2 (3) 3-4 (4) 5-8 (5) above 9.

3.3.4 Average number of monthly visiting days by trail visitors

Table 3.16 showed no significant differences on the satisfaction of visitors with distinct average number of monthly visiting days after analyzing, which indicated the visitor satisfaction of 99 Peaks Forest Trail has no difference between number of monthly visits.

Table 3.16. The analysis of visitor satisfaction of different number of monthly visits variable

Sources of variable		Sum of square	Freedom	Mean sum of square	F	Significance
Creature resources satisfaction	Between	.387	2	.194		
	Within	55.578	113	.492	.394	.675
	Sum	55.966	115			
Non-living resources satisfaction	Between	1.649	2	.824		
	Within	60.179	113	.533	1.548	.217
	Sum	61.828	115			
Cultural landscape resources	Between	.775	2	.387		
	Within	73.398	113	.650	.596	.553
	Sum	74.172	115			
Trail security	Between	1.484	2	.742		
	Within	52.059	113	.461	1.611	.204
	Sum	53.543	115			
Comfort of trail	Between	2.655	2	1.328		
	Within	63.646	113	.563	2.357	.099
	Sum	66.302	115			
Instructions	Between	1.087	2	.544		
	Within	71.421	113	.632	.860	.426
	Sum	72.509	115			
Distance and time taken	Between	.694	2	.347		
	Within	64.065	113	.567	.612	.544
	Sum	64.759	115			
Gradient of trail	Between	2.275	2	1.138		
	Within	62.785	113	.556	2.048	.134
	Sum	65.060	115			
Pavilion seat	Between	.195	2	.098		
	Within	84.865	113	.751	.130	.878
	Sum	85.060	115			
Signs and interpretative signs	Between	.069	2	.035		
	Within	78.103	113	.691	.050	.951
	Sum	78.172	115			
Parking lot	Between	.994	2	.497		
	Within	78.205	113	.692	.718	.490
	Sum	79.198	115			
Pavement and railings	Between	2.582	2	1.291		
	Within	75.306	113	.666	1.937	.149

	Sum	77.888	115			
Convenience of traffic	Between	2.240	2	1.120		
	Within	92.476	113	.818	1.368	.259
	Sum	94.716	115			
Gain of creature knowledge	Between	.427	2	.213		
	Within	81.780	113	.724	.295	.745
	Sum	82.207	115			
Geography and Geology	Between	1.129	2	.564		
	Within	59.423	113	.526	1.073	.345
	Sum	60.552	115			
Biological evolution	Between	.774	2	.387		
	Within	82.778	113	.733	.528	.591
	Sum	83.552	115			
Ecosystem composition	Between	.866	2	.433		
	Within	78.686	113	.696	.622	.539
	Sum	79.552	115			
Overall satisfaction	Between	1.015	2	.508		
	Within	61.287	113	.542	.936	.395
	Sum	62.302	115			

4.1 Attributes of trail visitors

By recording the visitors visited 99 Peak Forest Trail from November to May in the next year, the gender distribution was even and the visitors were mainly consisted of non-local middle and old age; the average visiting day was below 1 per month, majorly visited on holiday. The main motivation was to exercise and view the wild scenes.

4.2 Recreation motivation of trail visitors

52.6% of the visitors were visiting the trail for "Reputation" which was accounted to the most, followed by "Having fun with friends", "Recreation" and "Exercising". In addition, the pursuit of physical, psychological and social needs was also the motivation of visitors to achieve self-fulfillment.

4.3 Satisfaction of trail visitors

In terms of satisfaction, Non-creature resources stood as the first, followed by Trail safety and Comfort of trail, which were between satisfied and very satisfied. The geographical, geological scene, security and comfort of the trail were approved by most of the visitors. The average of general satisfaction was 3.92, while 2.6% of the visitors imputed dissatisfied and very dissatisfied. The items received low satisfaction

were Parking lot, Gain of creature knowledge and Instructions. These items may be a future reference for relative authorities to improve in the future.

4.4 Consumer behavior of trail visitors

In terms of the source of trail information, introduced by relatives or friends was the main methods, followed by Internet; the transportation was mainly by sightseeing bus and midsize vehicles; 96.6% of visitors would recommend the trail to others and 94.8% would visit again.

4.5 Satisfaction of trail visitors from different backgrounds

After adopting the methods of independent-sample t test and one way ANOVA, the results showed no significant difference on satisfaction between genders, residences and average numbers of monthly visiting days. The satisfaction of Gains of creature knowledge had a significant difference in ages. The Scheffe post hoc indicated the satisfaction under 30 years old was higher than 30-40 and 50-60.

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Sustainable Management for a Long-Term Caring Center Taking Community Service as a Moderating Role

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Abstract
There were more than 2.6 million people older than 65 years in Taiwan. It consisted of 11.15% of the whole population. Long-term caring for senior persons in Taiwan is now a booming business that delicate business prescription is a must for any private institution. No more than 48 beds in the institution is the legal constraint that makes a long-term caring center in a position, very difficult to maintain a sustainable business. From one study in 2010, it indicated that community service is one of several ingredients to pursue sustainable management. The objective of this thesis was to take community service as a moderating role to achieve sustainable management for a private long-term caring center. In the mean time, senior persons can maintain lifestyles of health and sustainability (LOHAS). 107 persons older than 45 years old had been interviewed at their home and Likert's five-point questionnaire was collected for further study. The SPSS statistical package had been used for statistical analysis. Three aspects consisting of engagement in community activities, acceptance of community service, and daily living capability had been verified by t-tests, ANOVA, reliability analysis, and correlation analysis. The obtained results identified the vulnerable groups who need urgent community service, even taking care by official social workers. Follow-up prescriptions for the neighboring communities at a long-term caring center are now can be performed on a daily basis as well as long term management.

Keywords: Long-term care, Sustainable management, Community service, Lifestyles of health and sustainability (LOHAS)

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Introduction

Due to the advanced medical technology and better hygienic environment, the average live of people become longer (Chen, 2011). The function of human daily life mechanism, immunity and organ of body will become weakness while people become older (Tsay & Wang, 2008). Many chronic diseases will appear in elders, such as cancer, cardiopathy, diabetes mellitus and hypertension (Lin & Hsu, 2004). Besides diseases, there are more and more elders with disabilities in aging society (Chen, 2011). The issues of health care of elders become more and more important (Kao & Chen, 2005).

Taiwan has stepped into aging society in recently years. According to Ministry of Interior, there were more than 2.6 million people older than 65 years in Taiwan. It consisted of 11.15% of the whole population (Ministry of the Interior, 2013; National Development Council, 2014; Interior Ministry CEPD, 2013).

In Taiwan, the elders with disability of daily activities almost have 6.7% of elder population. The requirements of long-term care facilities increased due to the increase of elder population (Chen, 2011).

In 2012, the numbers of facilities of long-term care in Taiwan were 1,045 (Ministry of the Interior Department, 2013). There are three kinds of long-term care facilities, such as long-term care institution, nursing institution and caring organization. The usage of long-term care institutions, nursing institutions and caring organizations in Taiwan were 74.1%, 76.3%, and 66.9% respectively (Chi, 2003; Yang *et al*., 2006).

Many developed countries have use "Aging in Place" as the guiding principle for devising elderly care policy. Aging naturally in the community has been a key ingredient in maintaining self-respect, independence and quality of life for the elders (Wu, 2005; Fu, 2005). The goal is to develop supportive services locally with the intention of helping the elderly stay in the local community as long as possible. In Taiwan, supportive services to help the elderly staying at home are seriously not enough (Yang, 2002; Wu, 2005; Chiou *et al*., 2004).

To improve the quality of long-term care facilities, their quality of service should be enhanced and improved through the external assessment processes. Such that long-term care facilities can provide high quality services to the elders (Lin, 2013; Chen, 2002).

To maintain sustainable management for a long-term caring center, and to enhance "Aging in Place" policy, it was the key ingredient that community service has been taken as a moderating role (Lee *et al*., 1995; Liaw & Chen, 1998). The objective was to pursue sustainable management of a long-term caring center and high quality services for the elders in the neighboring communities (Singer, 1982; Walker *et al*., 1987; Wellman & Frank, 2001).

Materials and Method

Samples were collected from the elders of neighboring communities of a long-term caring center in Tainan City, Taiwan. 107 persons older than 45 years old had been

interviewed at their home and Likert's five-point questionnaire was collected. The basic parameters include gender, age, marriage status, education, financial condition, live place, and health conditions. Community activities, available community services have been personal involved, and their daily activities were the major topics have been studied in detail.

Personal community activities were reviewed as the following ten questions:

A1. My personal community activities are someone's persuasions.
A2. Community activities are not my own intensions.
A3. Community activities are boring.
A4. I always took fragments of the whole community activities.
A5. I take part in all the community activities.
A6. I enjoy in all the community activities.
A7. I like to share my experiences of community activities.
A8. I always pick those my favor community activities.
A9. I pay my whole heart on all community activities.
A10. I always invite someone to community activities.

In aspect of receiving community services, types of community services were described as following 10 items:

B1. Food delivery
B2. Friendly visiting
B3. Greeting phone call
B4. Home services
B5. Walking together
B6. Medicine prescription purchasing
B7. Grocery purchasing
B8. Hospital visiting accompany
B9. Pay home services
B10. Other services.

The 11 questions on daily living activities are listed as followings:

C1. Need someone to help to eat
C2. Need someone to help to bath
C3. Need someone to help to clean up
C4. Need someone to help on dressing
C5. Need someone to help on toilet
C6. Need someone to help on walking
C7. Need someone to help on shopping
C8. Need someone to help on housekeeping
C9. Need someone to help on using telephone
C10. Need someone to help on medication
C11. Are there problems with memory.

The SPSS statistical package had been used for statistical analysis. Descriptive statistics, t-test, and Pearson's correlation had been analyzed. Three aspects consisting

of engagement in community activities, acceptance of community service, and daily living capability had been verified by t-tests, ANOVA, and other statistical processes.

Results and Discussion

ANOVA analysis was used to estimate the different age intervals. The result was showed in Table 1. There are insignificant differences in engagement on community activities and recognition of community service at variant age intervals. In daily living capability, the elders with age older than 70 years need more help than that below 50 years old, especially need help for eating, cleaning, shopping, housekeeping. They also need help on medicine and using telephone. The elders older than 70 years old need somebody to remind their memory.

Table 1: Long-term care requirements analysis in different age groups

	F test	P value	Scheffe Method
A. Engagement in community activities	0.747	0.526	
B. Acceptance of community service	1.129	0.341	
C. Daily living capability			
C1. Need someone to help to eat	3.240	0.025*	4 > 2
C3. Need someone to help to clean up	3.647	0.015*	4 > 2
C7. Need someone to help on shopping	3.696	0.014*	4 > 2
C8. Need someone to help on housekeeping	3.487	0.018*	4 > 1
C9. Need someone to help on using telephone	3.413	0.020*	4 > 1
C10. Need someone to help on medication	3.318	0.023*	4 > 1
C11. Are there problems with memory	4.252	0.007**	4 > 1

Remark: N=107, *: $p<0.05$, **: $p<0.01$.
1: 41-50 years old, 2: 51-60 years old, 3: 61-70 years old, 4: more than 70 years old.

In marriage status analysis, the result was showed in Table 2. In engagement in community activities aspect, elders who's marriage end in divorce have lower motive to join community activities. In acceptance of community service aspect, elders with marriage end in divorce have more requirements than others, especially in friendly visiting, greeting phone call, home service and medicine service. In daily living capability, widow or widower have more requirements in bath helping and telephone using help.

Table 2: Long-term care requirements analysis in different marriage status

	F test	P value	Scheffe method
A. Engagement in community activities			
A5. I take part in all the community activities.	4.562	0.005**	1 > 4, 2 > 4, 3 > 4
A6. I enjoy in all the community activities.	5.095	0.003**	1 > 4, 2 > 4, 3 > 4
A7. I like to share my experiences of community activities.	5.337	0.002**	1 > 4, 2 > 4, 3 > 4
A8. I always pick those my favor community activities.	4.278	0.007**	1 > 4, 2 > 4, 3 > 4
A9. I pay my whole heart on all community activities.	2.801	0.044**	1 > 4, 2 > 4, 3 > 4
A10. I always invite someone to community activities.	5.601	0.001**	1 > 4, 2 > 4, 3 > 4
B. Acceptance of community service			
B2. Friendly visiting	4.012	0.010**	1 > 2, 4 > 1
B3. Greeting phone call	5.297	0.002**	1 > 2, 4 > 1
B4. Home services	2.838	0.042*	1 > 2
B6. Medicine prescription purchasing	3.780	0.013*	1 > 2, 4 > 1
C. Daily living capability			
C2. Need someone to help to bath	2.752	0.046*	3 > 2
C9. Need someone to help on using telephone	3.219	0.026*	3 > 2

Remark: N=107, *: $p < 0.05$, **: $p < 0.01$.
1: single, 2: married, 3: widowed, 4: divorce.

Table 3 shows the long-term care requirements of elders with different education background. In engagement in community activities aspect, illiteracy elders who like to invite people to join community activities, and share with people. In acceptance of community service aspect, illiteracy elders have more requirements than others, especially in food delivery, friendly visiting, greeting phone call, home service and medicine service. They also need people to walk with them, purchase helping and need company to visit hospital. In daily living capability, illiteracy elders need someone to help them dial telephone.

Table 3: Long-term care requirements analysis in different education status

	F test	P value	Scheffe method
A. Engagement in community activities			
A4. I always took fragments of the whole community activities.	2.664	0.026*	2 > 1
A7. I like to share my experiences of community activities.	2.701	0.025*	1 > 4
A10. I always invite someone to community activities.	3.103	0.012*	1 > 4
B. Acceptance of community service			
B1. Food delivery	5.735	0.000**	1 > 2, 1 > 3, 1 > 4
B2. Friendly visiting	4.307	0.001**	1 > 2, 1 > 3, 1 > 4
B3. Greeting phone call	4.268	0.001**	1 > 2, 1 > 4
B4. Home services	5.387	0.000**	1 > 2, 1 > 3, 1 > 4
B5. Walking together	5.954	0.000**	1 > 2, 1 > 3, 1 > 4
B6. Medicine prescription purchasing	4.838	0.001**	1 > 2, 1 > 3, 1 > 4
B7. Grocery purchasing	3.752	0.004**	1 > 2, 1 > 3, 1 > 4
B8. Hospital visiting accompany	6.884	0.000**	1 > 2, 1 > 4, 3 > 4
C. Daily living capability			
C9. Need someone to help on using telephone	2.485	0.036*	1 > 5

Remark: N=107, *: $p < 0.05$, **: $p < 0.01$.
1: illiteracy, 2: literacy, 3: elementary school, 4: junior high school, 5: senior high school, 6: college and above.

Analysis of financial conditions was showed in Table 4. There are insignificant difference in engagement in community activities and daily living capability. In acceptance of community service, elders with financial condition less than NT$ 20,000 have more long-term care requirements, including food delivery, friendly visiting, greeting phone call, home service, transportation service, medical service, purchase service, etc.

Table 4: Long-term care requirements analysis in different financial conditions

	F test	P value	Scheffe method
A. Engagement in community activities	0.948	0.439	
B. Acceptance of community service			
B1. Food delivery	6.209	0.000**	1 > 3, 1 > 4, 2 > 3
B2. Friendly visiting	5.304	0.001**	1 > 3, 2 > 3
B3. Greeting phone call	3.154	0.017*	1 > 3
B4. Home services	4.134	0.004**	1 > 3
B5. Walking together	3.374	0.012*	1 > 3
B6. Medicine prescription purchasing	5.097	0.001**	1 > 3, 1 > 4
B7. Grocery purchasing	2.729	0.033*	1 > 3
B8. Hospital visiting accompany	3.181	0.017*	1 > 4
B10. Other services	2.727	0.033*	1 > 3
C. Daily living capability	1.221	0.307	

Remark: N=107, *: p <0.05, **: p <0.01.
1: less than NT\$ 20,000, 2: NT\$ 20,000 to NT\$ 30,000, 3: NT\$ 30,000 to NT\$ 40,000, 4: NT\$ 40,000 to NT\$ 50,000, 5: more than NT\$ 50,000.

Table 5 shows analysis of live status. In engagement in community activities, elders live with spouse and live alone have higher motive to join community activities than elders live with fixed family member. Elders live with foreign workers like to share with others about community activities. In acceptance of community service, elders live alone have much more long-term care requirements, including friendly visiting, greeting phone call, home service, walking accompany, medicine help, grocery purchase help.

In daily living capability, elders live alone almost need all kinds of help. In daily living capability aspect, elders live with foreign workers have the lowest requirement because foreign workers take care everything for them.

Table 5: Long-term care requirements analysis in daily activities

	F test	P value	Scheffe method
A. Engagement in community activities			
A5. I take part in all the community activities.	3.995	0.005**	1 > 2, 4 > 2
A6. I enjoy in all the community activities.	4.484	0.002**	1 > 2, 4 > 2
A7. I like to share my experiences of community activities.	3.918	0.005**	4 > 1, 6 > 4
B. Acceptance of community service			
B2. Friendly visiting	3.255	0.015*	3 > 1, 4 > 6, 6 > 2
B3. Greeting phone call	3.542	0.009**	4 > 1, 4 > 6
B4. Home services	4.800	0.001**	4 > 2, 6 > 2
B5. Walking together	3.646	0.008**	4 > 2, 6 > 2
B6. Medicine prescription purchasing	3.375	0.012*	4 > 1
B7. Grocery purchasing	6.365	0.000**	4 > 1, 4 > 6
C. Daily living capability			
C1. Need someone to help to eat	3.353	0.013*	4 > 6
C2. Need someone to help to bath	3.566	0.009**	1 > 6, 4 > 6
C3. Need someone to help to clean up	3.960	0.005**	1 > 6, 4 > 6
C4. Need someone to help on dressing	4.363	0.003**	1 > 6, 4 > 6
C5. Need someone to help on toilet	4.955	0.001**	1 > 6, 2 > 6, 4 > 6
C6. Need someone to help on walking	9.856	0.000**	1 > 6, 2 > 6, 4 > 6
C7. Need someone to help on shopping	4.911	0.001**	1 > 6, 2 > 6, 4 > 6
C8. Need someone to help on housekeeping	5.162	0.001**	1 > 6, 2 > 6, 4 > 6
C9. Need someone to help on using telephone	3.652	0.008**	1 > 6, 4 > 6
C10. Need someone to help on medication	4.458	0.002**	1 > 6, 4 > 6

Remark: N=107, *: $p < 0.05$, **: $p < 0.01$.
1: live with spouse, 2: live with same family member, 3: live with family member shift, 4: live alone, 5: live with relative, 6: live with foreign worker.

Table 6 shows requirement analysis of health status. There is insignificant difference in engagement in community activities. In acceptance of community service, elders with bad health status need more long-term care requirements, especially in food delivery, friendly visiting, greeting phone call, walking accompany. Elders with good health have less long-term care requirements than elders with bad or terrible health.

In daily living capability, elders with bad health need more help in daily life, especially need help for cleaning, bath, shopping. In daily living capability aspect, elders live with foreign workers have the lowest requirement due to the foreign domestic helpers almost will take care everything for them.

Table 6: Long-term care requirements analysis in health status

	F test	P value	Scheffe method
A. Engagement in community activities	0.955	0.435	
B. Acceptance of community service			
B1. Food delivery	6.293	0.000**	4 > 1, 5 > 1, 4 > 2
B2. Friendly visiting	7.565	0.000**	4 > 1, 5 > 1, 3 > 2, 4 > 2, 5 > 2
B3. Greeting phone call	6.979	0.000**	4 > 1, 5 > 1, 3 > 2, 4 > 2, 5 > 2
B5. Walking together	4.101	0.004**	4 > 2, 5 > 2, 5 > 3
B8. Hospital visiting accompany	2.950	0.024*	4 > 2, 3 > 2
C. Daily living capability			
C2. Need someone to help to bath	3.463	0.011*	3 > 2
C3. Need someone to help to clean up	3.700	0.007**	4 > 2
C5. Need someone to help on toilet	3.631	0.008**	3 > 2, 4 > 2
C7. Need someone to help on shopping	4.157	0.004**	4 > 1, 3 > 2, 4 > 2
C8. Need someone to help on housekeeping	4.475	0.002**	4 > 1, 4 > 2
C9. Need someone to help on using telephone	2.815	0.029*	3 > 1
C10. Need someone to help on medication	3.315	0.013*	3 > 2
C11. Are there problems with memory	2.597	0.041*	4 > 2

Remark: N=107, *: $p<0.05$, **: $p<0.01$.
1: excellent, 2: good, 3: common, 4: bad, 5: terrible.

In this study, community services like food delivery, friendly visiting, greeting phone call, home service, walking accompany, medicine help, visiting hospital accompany, have high correlation coefficient with each other. It was identified that financial condition of elders is not good and they usually live alone. Further proper tasks should be taken by persons and agencies who or which may be interesting or obliged.

Conclusion

The obtained results identified the vulnerable groups who need urgent community service, even taking care by official social workers. Follow-up prescriptions for the neighboring communities at a long-term caring center are now can be performed on a daily basis as well as long term management.

(1) Identifying the potential customers of long-term caring centers
Long-term caring centers could find their potential customers by carrying out community service such as food delivery. Through this process, good relationship between caring centers and local residents would be established naturally and firmly.

(2) What the effective services long-term caring centers should provide
Long-term caring centers should take the population characteristics into consideration and provide suitable localized community service. This study found out that not every community service can meet the needs of the elders; therefore, long-term caring centers should offer other types of community services to make more and more aged residents take part in the services.

(3) Time and manpower are essential elements in community service
Long-term caring centers should cooperate with other charities and medical groups to perform community service regularly. By doing this, the image of long-term caring centers would be improved and promoted.

(4) Social welfare assistance
Through community services offered by long-term caring facilities, the local residents' daily activities would be recorded and reviewed in detail. Long-term caring centers could measure blood pressure and blood sugar content of local people without any charge. Basic health data can be collected in order to improve their living quality.

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Sustainable Management and Environmental Limitation in Recreational Raft Industry at Cigu Wetland in Taiwan

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Abstract

Cigu wetland is one of few well preserved wetlands in Taiwan. It covers 2,997 hectares including the Cigu lagoon. The Cigu lagoon is now a famous eco-tourism site and recreational raft is the key component attracting tourists to enjoy their leisure activities at Cigu wetland and its neighboring communities. The objective of this thesis was to address the broader aspects of recreational raft industry at the wetland not only fishery recreation use but in the long term to achieve sustainable management of the wetland. Qualitative analysis has been performed. Content analysis and triangulation have been implemented to achieve consistency results. A SWOT analysis and the NVivo package have been used to discuss in five aspects consisting of law, environmental constraints, recreation satisfaction, resource integration, and ecological sustainability. The obtained results indicate that the law prohibits more than 45 passengers per raft should be modified to accommodate more tourists on a single raft. The depth of raft sightseeing courses is safe only on the southern bay course. It is recommended that all raft courses should be maintained at very safe level all year round. Recreation satisfaction is the main responsibility of the 12 existing rafting companies to hire more professional workforce on ecology interpretation and conservation. All 12 rafting companies should be confined to a union that can be working efficiently. Application of limits of acceptable change should be implemented to pursue ecological sustainability at the Cigu wetland.

Introduction

Motivation of the Research

In 1993, Cigu Lagoon and salt pans of administrative areas in Cigu District and Jiangjyun District would be developed as petroleum and steel manufacturing sites under BinNan Industrial Development Plan. In response, over 100 local NGOs and environmentalists launched a "Save Cigu Wetland and Black-faced Spoonbills" movement to protect the wetland, which had provoked heated debate and demonstration of the pros and cons between economic development and environmental conservation. Local coastal residents were influenced directly and intensively because they were living by fishing and lagoon breeding fish, shrimp and shellfish, oysters and other seafood. For the fishing rights and maintaining livelihoods, their protesting voice can be witnessed by their actions in public hearings.

To demonstrate their determination to protect coastal area , Cigu lagoon and as their rights to live and work, fishermen in Cigu district established the "Cigu Coastal Preservation Association" on November 23, 1997, calling for concerning ecosystem of Cigu lagoon and assisting oyster farmers to sell out non-contaminated oyster as initial motivations with providing ecological experience tours and recreation service of fresh fishing & tasting seafood as their selling points: by using rubber raft carrying people to introduce lagoon environment of oyster breeding, experience leisure of fishing with fishnets, study of mangroves ecology closely and enjoy all kinds of egret families hiding in the mangrove forest; by landing Wuantsuliao Shoal to enjoy the thrill of riding waves and sand stepping, taste freshly baked oysters or sweet clams soup, etc. local cuisine.

In the time of pursing life quality, outdoor activity and ecological tour, it is necessary to improve quality of public service & leisure experience and to provide a reliable and safe environment of recreation tourism for people. Therefore, the study explored that making sure and clarifying the consisting of law, passenger safety, environmental education, resource integration and ecological sustainability, etc. operation references and environment constraints for those rafting companies who run recreational fishery in Cigu Lagoon.

Purposes of the Research

The purposes of the study are as follows:
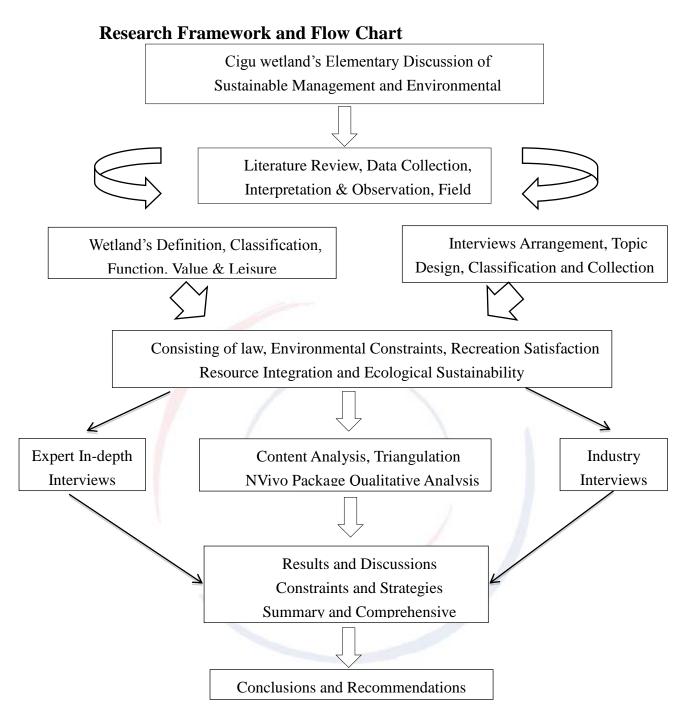
First, to discuss Cigu wetlands' environment constrains and sustainable management to clarify the interdependence among the administrative authority, the rubber raft industry and the aquaculture and seek how to improve;

Second, to explore the current legal basis and status of recreational raft industry and have field tests to faithfully reflect survey data of channel depth to make sure courses' deposition for passengers' travel safety;

Third, to collect, analyze and summarize information of expert in-depth interviews, industry interviews, observation, field tests of courses in order to achieve sustainable development of Cigu wetland in five aspects-consisting of law, environmental constraints, recreation satisfaction, resource integration and ecological sustainability. According to conclusion of the research, we had proposed strategies to remove environment constraints and suggestions and methods for sustainable development of Cigu wetland as reference to assist government to make tourism policy, maintain tourism safety, enhance environmental education and increase innovation and quality of the industry 's service content.

Raft Distribution and Filed Tests of Course in Cigu Lagoon

Research Framework and Flow Chart

Cigu wetland's Elementary Discussion of
Sustainable Management and Environmental

Literature Review, Data Collection,
Interpretation & Observation, Field

Wetland's Definition, Classification,
Function. Value & Leisure

Interviews Arrangement, Topic
Design, Classification and Collection

Consisting of law, Environmental Constraints, Recreation Satisfaction
Resource Integration and Ecological Sustainability

Expert In-depth
Interviews

Content Analysis, Triangulation
NVivo Package Qualitative Analysis

Industry
Interviews

Results and Discussions
Constraints and Strategies
Summary and Comprehensive

Conclusions and Recommendations

Method

The study was based on collection and observation of wetland usage as well as literature review. Also, we personally visited and recorded experts and raft industry's 'opinions about current operation status, faced problems their expectation and viewpoints of future ecological leisure tourism of recreational leisure fishery Raft Industry. The interviews framework included five aspects-consisting of law, environmental constraints, recreation satisfaction, resource integration, and ecological sustainability, which were collected, summarized and discussed in detail by

qualitative research methods in order to actually outline, integrate and cross – check on respondents' views & opinions with and discussion of the thesis for exploring the substantive issues and achieving the expected results.

Research Objectives

The interviewees were public policy formulation and implementation personnel, recreational fishery rafts industry, interpreters, fishermen's association officers, local heads of boroughs & neighborhoods, directors and fishermen, street vendors.

Range of Cigu Wetland

(A) Geographic Location:

Cigu wetland is located at Southwest coast of Taiwan, south to the Tropic of Cancer and about 25- km-long coastline.

Figure 2.1.1 Range of Cigu wetland (modified from Google Maps data)

Data Collection

The study adopted "in-depth interviews", "observation", "filed tests of channels" and so on method to collect research data from December 14, 2013 to April 13, 2014, a total of 11 respondents.

As to field tests of channel depth, first we had sampling tests of quay depth of Hailao, Mangrove Channel, Wuantsuliao Shoal, Lioukong, Longshan, and Xiliao and Xiliao Inspection Office, and then based on the tidal flow every 15 days a large high tide cycle characteristics, we tested again by afternoon up at low tide time on new moon of April 15 and the full moon of April 29, a total of eight sampling points with each field test for contrast verification of tidal stability in order to improve the reliability of the measured data.

Date Collation

At the end of the interviews, the recording content of interviews was personally written into transcripts with remarks of interviews time, location and other information.

Date Analysis

This data analysis of study is aimed to achieve the followings:

1. A comparison of the data consistency of the expert interviews, the industry's interviews, the other respondents and the observation;
2. A comparison of the data consistency in different time of the expert interviews, the industry's interviews, the other respondents and the observation;
3. A comparison of the data consistency in different expert interviews, the industry's interviews, the other respondents to increase the reliability and validity of the research data;
4. According to data of field tests, a faithful presentation is given to the status of the navigation in the course by the comparison chart.

Based on the interviews, observation, literature review and field tests' results of quay and channel depth to obtained followings:

1. Colleting domestic relevant laws and practical regulations and summarizing the present development of recreational fishery raft industry for exploring legitimacy of raft tourism;
2. Using SWOT to analyze the business operation status of the industry and proposing improvement and related recommendations;
3. Consolidating laws and regulations of Cigu lagoon district's administration responsibility, experts' in-depth interviews and industry interviews, field observation, and filed tests of channel depth and so on measurement ways to summarize environmental constraints of Cigu wetlands and propose strategies for reasonable exploitation and sustainable development of the wetland.

Results Analysis and Discussion

After nearly a year of planning, literature review and expert in-depth interviews, industry interviews, observation, participating and field tests of channel depth, data collection, summaries of various information and discussions with advisors many times, the study propose the interviews framework included five aspects-consisting of law, environmental constraints, recreation satisfaction, resource integration, and ecological sustainability for environmental constrains and sustainable management.

The thesis adopted used SWOT analysis for industry's' pros and cons and NVivo for consolidation of interviews data. Qualitative analysis had been performed to do research of diversified subjects and to inspect results of questions' depth and breadth of the issues to faithfully carry out the contents and findings of the study.

SWOT Analysis of Raft Industry

Table 3.2 SWOT Analysis of Raft Industry

Pros and Cons / Internal & External Environments'	Pros	Cons
Internal Environment	Advantage (Strength) Owners are local fishermen and familiar with the geographical environment and marine ecological introduction. Rubber rafts are reformed from fishing raft to save cost of new make. They won the oyster farming to reduce procurement costs. Most of the staffs are relatives and friends to have strong cohesiveness. Every tour has its own feature without disturbing each other. Providing local fresh cuisines to increase the customer base. Making good use of public space to eliminate the purchase cost of land. Cooperating with the authority's activity to increase exposure.	Disadvantages (Weakness) The lack of marketing ability and negative attitude. Price competition of industry results in decrease of operating profit. Limited dock space causes dispute of area. Routine interpretation without new ideas. The lack of experiential activities of water itineraries. The lack of corporate image and innovative activity. The low paid caused talents were not willing to stay long
External Environment	Opportunity (Opportunity) Southwest Coast National	Threat (Threat) Regulations for

	Scenic Area Administration and Taijiang National Park were set up and increasing public facilities and professional seminars and other eve. Regulations related to recreational fishy industry were modified to moderately extend the recreational maritime space Broadened road and quality improvement of construction. The rise of cross-industry alliance or model of union cooperation Increase of tour guide in foreign to attract oversea visitors. Regulations for Environmental Education were passed to increase the visiting motivation and frequency from government offices and schools. A spread of recreation departments in university provides diversified business management and resource planning advisory services and collaboration opportunities. Blue Highway network was established and connect a series of scenic spots to provide convenient transport vehicles.	Recreational Fishery have many restrictions on coastal recreation. Unpredictable climate changes affect the substantial profit. The government budget cannot be placed on time, lack of public facilities and improvement of sanitation. Fail to control visitors amount caused crowded situation and lower quality of tourism... Visitors failed to fulfill the responsibility of environment protection endanger the landscape resources, forming negative examples. The lack of accommodation facilities to retain consumers attracted by other tour spots in the same region, reducing the revenue. Marine pollution, decreasing fish resources, channel deposition, sea sand loss, etc. problems to be overcome. Tour bus asked for commission, causing bad cycle and profit erosion.

Conclusions and Recommendation

Conclusions of the study are as follows:

For actual operation demand and with vessel's permission of innovative raft material and safe structure, it is suggested to modify "Tainan City Lagoon District Authority Regulations for Recreational Fishery Vessel and Management" of which Article 8, second 1 and 2 , the limit of 45 people carried by recreational fishing vessels in order to improve operational efficiency of the industry.

According to results of quay depth in tide difference of this study: Xiliao pier is danger of stranding low tide there and Hailiao pier and South Bay pier are within safety coefficient; among four channels, only South Bay whole course is within the safety factor. As to management of fishing rights, the responsible authority should introduce principle of "Protecting the legal and prohibiting the illegal" to ensure sustainable development of fishery resources.

To cooperate with the implementation of the Regulations for Environmental Education, the industry must strengthen the service personnel's content and expression skills of interpretation in order to let visitors understand the interdependence relationship between the individual and the environment for achieving reasonable usage of resources and ecologically sustainable development.

For resource integration of (a) government authority should reach one universe administrative functions of environment improvement of the lagoon,   development objectives and public constructions, etc. public policy aspect to make the best integration; (b) the industry should set up an industrial alliance to reach requirement of tourism satisfaction and secure industry services at reasonable profit gains.

For ecological sustainability (a) The authorities should consolidate ecological resources category in Cigu Lagoon and draw ecological resources distribution map to list the ecological resources and species that are vulnerable, rare and needing protection; (b)   use LAC (acceptable change of the theory of constraints) to provide innovated services content and guide visitors recognize the ecological resources and its particularity and deeply understand the importance and necessity of ecologically sustainable development.

Recommendations to relevant Administrations

Fishery agency should timely propose a more objective calculation formula to replace current maximum numbers of passenger inference. In counselling relationship of aquaculture industry management, agricultural authorities should follow the Regulations for Fishery with the principle of "Protecting the legal and prohibiting the illegal" to perform public right to build a reasonable and effective management system, and maintain the natural ecological cycle of lagoon. As to channel dredging works, water resource agency should appoint y professional units to conduct a comprehensive survey of deposition status of lagoon in details to deal with the problems and set up monitoring systems and channel benchmarking system to improve the safety of raft course for ensuring the safety of tourists.

As to integration of administrative operations, each agency should regularly review issues in their own jurisdiction and establish an emergency contact window for quick response to avoid waste of administrative resources.

For public construction, it is recommended to do the short, medium and long-term planning based on overall demand of the lagoon not just the case of construction requirements. Also, management agency should make manage guide or use regulations for use of public facilities maintenance and based on "user pays "principle to charge a fee as a source of funds in order to reduce the burden on the government budget provision.

Available resources of environmental education will be provided by interpretation guide service, education seminars and academic seminars, of which guide material, methods, personnel training and educational place will be planned by experts and scholars with most natural ways to allow visitors to understand the true meaning of sustainable utilization of resources.

Recommendations to the raft industry
Changing mindset: the government provides public facilities and parking equipment of pier for the industry, and they should do their best to maintain responsibility of management.

Utilizing resources properly cherishing the operating environment, improving professional service skills and training professional personnel in system are the key success factors for the lagoon raft industry to compete with others.

To improve the operating facility and provide high quality service environment are the goals for the industry to continuously work on.

The industry also need to cooperate with the government's education policy advocacy of ecological maintenance and sustainable use of resources concept to design the content of tours and interpretations to take responsibility of engaging business in recreational leisure industry of ecological tourism and guide visitors to know the environment and experience it for tourists to care for the environment from the bottom of their heart.

Suggestions for Future Research

It is suggested that the following study can explore the imbalance of sand's sources and its amendment for improvement and solution.

It is s suggested that the following study can modify or well-use aimed tools, such as utilizing high-resolution space images to locate and mark out the channel siltation location, or hiring assistant surveying personnel to give advance training in order to increase the surveying accuracy of data and provide reference to the relevant units and industry for raise the discrimination degree of safety.

Analysis of Trail Visitors When They Pay Visit to a National Forest in Taiwan

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Abstract
Management of hiking trails on national forest is very important business in Taiwan. Trail visitors are demanding higher quality of forest trail experience making official foresters to take delicate management prescriptions on forest trails. Budget and man power are the primary two concerns. With limited budget and man power, some of old and dangerous forest trails have to be closed for the general public. Then, the other existing trails can be managed efficiently such that forest trail visitors are happy and sustainable forest management can be pursued. The 14 forest trails at Nantou Forest District had been investigated in the passing year and 11 forest trails were verified as suitable for this study. When trail visitors are paying visit at national forest is one of the key components to be solved in detail. Forest trails are open all year round so visitors tally should make at least in a one-year period. However, sampling is the only alternate if all 11 trails have to be investigated in one year. The objectives of this thesis was to investigate all 11 trails in the passing year and visitor information for every single trail can be used in daily forest trail management at Nantou Forest District. Sampling and questionnaire were performed on visitors, community leaders, and foresters at every trail. EXCEL and SPSS statistical package were implemented for data processing and statistical analysis. Pearson correlation analysis had been used to verify the final results. Only the 99-Peaks forest trail was discussed in detail, hour by hour for workdays and holidays separately. The final results have been submitted to Nantou Forest District and the working procedure can be implemented on all 16 trails to investigate visitors when they pay visit year round. The contribution of investigation by hour can be efficient, time saving, and cost effective to pursue information on trail visitors all year round.

Keywords: National forest trail, correlation analysis, consumer behavior, sustainable forest management

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Introduction

With the rapid economic boost in the world, the life standard of people has greatly upgraded. However, the working pressure also increases in an enormous degree, which causes modern people to face more stress ever than before. Hence, learning how to manage stress effectively has become a major issue in today's society. People need more leisure activities to relax themselves, so there has been raising emphasis placed on mental. This phenomenon led to the enrichment of the leisure activities.

People require something to escape from the tedious working and get refreshed for the purpose of going back to work and earning money. In Taiwan, two-days-off-per-week was legislated and came into effect in 2001, which means more holidays were available for people to utilize. Therefore, the demand for leisure activities, such as traveling and mountain climbing, soared in a prompt pace. On holidays, it is very common to see a number of people participating in leisure activities in many outdoor and indoor places.

One of these places is the nature trail, a path through an area of the countryside that is intended to attract the walker's attention to interesting plants, animals, and other features. According to the report, there are more than one hundred nature trails in Taiwan, inclusive of national and private ones. Catering to the rising demand for mountain hiking in Taiwan, Forestry Bureau embarked on planning and designing national and regional natural trail system in 2002, which was put into construction in 2003. During the process of construction, Forestry Bureau did its best not only to preserve the original scenery but also to place emphasis on the humanity and natural resource along the natural trails (Forestry Bureau, Council of Agriculture Executive Yuan, 2005).

Regional trails, though not as famous as national ones, play a crucial role in experiencing natural trails for local people. Most of the regional trails are established in the rural areas; therefore, they are closer for those who live nearby. Due to the accessibility, local people tend to use neighboring natural trails, which enables them to complete the trail tour in one single day. Hence, regional natural trails would be local people's first choice but not national natural ones.

Management of hiking trails on national forest is very important business in Taiwan. Trail visitors are demanding higher quality of forest trail experience demanding official foresters to take delicate management prescriptions on forest trails. Budget and man power are the primary two concerns. With limited budget and man power, some of old and dangerous forest trails have to be closed for the general public. Then, the other existing trails can be managed efficiently such that forest trail visitors are happy and sustainable forest management can be pursued.

The 14 forest trails in the Nantou Forest District has been investigated in the last year and 11 forest trails were chosen as suitable for this study. When trail visitors are paying visit at national forest is one of the key components to be solved in detail. Where there is a forest trail with no visitor at all for several days, weeks, even months, it may be the right time to close it for good. Then, budget and man power can be allocated to other frequently visit trails.

Forest trail management demands visitor information in detail. How many visitors for a given day, weeks, month, season, and the whole year at every single forest trail is very useful if it is available. All forest trails are open to the general public year round. It is impossible to close a single trail whenever it is safe and accessible. With limited budget and man power, it is almost out of question to investigate the 11 trails all year round, seven days a week, 6 AM to 5 PM. Some more proper measures should be taken to pursue the pattern of trail visitors when they pay visit on national forest at the Nantou Forest District.

Visiting natural trails, one of the experiences of the eco-tourism, involves the process of knowing environmental knowledge by experiencing and participating. During the process, the media are critical in bridging the gap between you and educational information. Media come in many forms, such as pamphlets, clips, etc. According to the research, interpretive signs and panels as well as pamphlets are the most acceptable for visitors for the reason that they are easy to access and utilize (Zhang, 1985). Interpretive panels and printed matters are quite effective and low-cost media, so they are widely used in recreational sites (Lin, 1995). However, no interpretive media are perfect and need evaluating and improving over and over to deliver information and knowledge effectively and efficiently (Wang, 1986; Zhang, 2002). As a result, the evaluation of the interpretive media is taken into consideration when designing a well-organized recreational site.

The aim of this research is to analyze the visiting intentions of trail visitors and the interpretive facilities at natural trails of national forest, and then discuss the relationship between these factors. To be specific, the following purposes would be presented in this essay:

(1)   To understand the using condition of natural trail visitors.
(2)   To analyze the satisfaction of natural trail visitors.

Methods

Taiwan Forest Bureau (TFB) is in charge of national forest management in Taiwan. There are eight forest districts under jurisdiction of TFB. Nantou forest district office is one of the eight government agencies to manage national forest in central Taiwan. The famous Sun Moon Lake is under its jurisdiction. The Nantou forest district has 16 forest natural trails available for the general public. A five-professor team from Taiwan Shoufu University has been invited to investigate 14 forest natural trails in the passing year. There are two forest trails next to Sun Moon Lake were investigated for this study. Only 11 forest natural trails were collected adequate and enough data for further analysis.

In addition, a survey was conducted in 99-PeaksForest Trail in Nantou County to document the number of visitors in different time periods of a day, and then analyzed the data collected to get the visiting record. All the subjects were selected in a random order.

It is very simple that how many visitors on every forest natural trail for one year round in one season, one month, one week, even, one day are available to solve problems encounter in a daily business and long term forest management is highly

desirable. With limited budget, sampling method had to be modified to acquire sufficient and effective information on trail visitors.

Field investigation was working for six months on every single forest natural trail. The working procedure has been approved by Nantou forest district in advance. It was decided that two weekends and two weekdays have to be investigated for every month, and six hours work per day for at least six months. Trail visitors were tallied on every single forest trail. Tally on visitors one by one is not an easy task because some trails have several entries and exits. Special measures had been taken to encounter the identified problems.

Questionnaire was collected on 11 forest trails and the SPSS statistical software package has been implemented for statistical analysis. Descriptive statistics, correlation analysis, and regressions were conducted and further analysis was performed to provide information for prescriptions of trail management at Nantou forest district.

Questionnaire was scaled by Likert five-point scale and collected on 11 forest trails. Personal interview with trail visitors, local community leaders, and official foresters were conducted by professors as a part of the final report.

Based on the theory and the literature review, three major purposes of this research are listed in the followings:

      (1)   visiting frequency on weekdays and weekends
      (2)   visiting frequency on diverse weather conditions
      (3)   visiting frequency on different time periods of a day

Results and discussion

A survey was conducted from November 2013 to July 2014 to receive the questionnaires to acquire information of trail visitors. The number of valid questionnaires is 458. The statistical analysis was carried out based on 458 valid questionnaires, and the results about the gender, age and habitat are displayed in the following. Among those trail visitors, 40.4% of the visitors were females while 59.6 males. Speaking of ages, there were 85 people whose age under 30, 75 people between 30 and 40, 114 people between 40 and 50, 123 people between 50 and 60, and 61 people above 60. 38.4% of trail visitors come to visit natural trails less than one time in a month, 22.5% of trail visitors come to visit natural trails one to two times in a month, 17.5% of trail visitors come to visit natural trails three to four times in a month, 7.6% of trail visitors come to visit natural trails five to eight times in a month, and 14% of trail visitors come to visit natural trails more than nine times in a month. Moreover, 49.5 % of trail visitors go trail walking on holidays while 12.7% on workdays. Besides, 37.9% of trail visitors go to natural trails on either holidays or workdays.

The results showed that the number of visitors on holidays is almost five times the one on non-holidays, which clearly indicates that holidays, when people have more personal free time, do play a compelling role in affecting people's decisions in using natural trails or not. As for the time period visitors called at the natural trail. 81.7% of

visitors on holidays and 91.1% of visitor on non-holidays used the 99-Peaks Forest Trail in the morning. One thing worth noticing is that on non-holidays, visitors at 8:00 and 9:00 accounted for 76.7% of the total visitor number. This phenomenon implies that visitors on non-holidays mostly were from neighboring areas, so they could arrive early, finish the trail walking, and go back to start their work. On holidays, visitors accounted for 37.7% of the total visitor number at the period of 8:00 to 9:00, which is half the ratio on non-holidays. On the other hand, visitors on holidays at 10:00 to 12:00 accounted for 44% of the overall visitors, which is much higher than that on non-holidays (14.4%). These results lead us to two conclusions. One is that most visitors on holidays did not come from nearby regions, and it took them time to reach the trail. The other is that those who have less personal time on weekdays go outdoors on holidays and use the natural trail. People who work on weekdays tend to sleep late on holidays, so they use the natural trails in just the same time period as outsiders. No matter what the reason was, time periods obviously caused discrepancy in the number of visitors on holidays and non-holidays.

Conclusion

From the research results, it was found that there are some crucial factors which impacted the visiting intentions of trail visitors.

1 Impact of Workdays and Holidays

First of all, workdays or holidays would have an impact on visitors' intention to take a tour or not. The obtained results show that visitors visit the trail on holidays much more than workdays. A lot of people would take advantage of holidays to participate in leisure activities. Natural trails usually can't be easily accessed by public transportation, children and the elder need somebody to drive cars to take them there, and parking lot is very important for general public to visit natural trails.

2 Impact of Weather Conditions

The second impact factor is weather. According to the obtained data, 93.6 % of trail visitors visited on sunny and cloudy days while the percentage plummeted to 6.4 on raining days. The result is neither surprising nor unexpected since raining days do hindrance to not only people but also the recreational sites. Raining would make the accessibility of natural trails tougher for people, and natural trails would become muddy which cause inconvenience to visitors. One thing to be noted is that Taiwan is an island and it rains nearly one-third of a year, the maintenance of natural trails is a problem due to the damages caused by rain.

Visiting Pattern Hour by Hour

The third factor, visiting pattern hour by hour for every single day, was pursued in detail. Tally of visitors was performed on an hour-by-hour base. It is verified that visiting patterns are different on holidays and workdays on an hour-by-hour basis.

It can be concluded that the main contribution of the thesis is to provide the forest administrators with the detailed visiting information on the 11 forest trails. Hopefully, the authority concerned may take advantage of the data and management prescriptions can be taken to enhance the experience of trail visitors.

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Female Consumers Behavior Analysis and Marketing Strategy for a Beauty Spa

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Abstract

Beauty SPA is now a very popular leisure activity for female consumers in Taiwan. Consumer satisfaction and loyalty is very important for beauty SPA management. The objectives of this thesis were to pursue female consumer behavior at a beauty SPA shop such that beauty shop management can be taking right market prescriptions and marketing strategy can be profitable and sustainable. SWOT analysis for beauty SPA industry used to identify factors that are favorable and unfavorable to achieve management goals. Staff recruit had been identified as one of the key issues. Sampling and questionnaire had been performed and 200 effective samples had been collected. The SPSS statistical package was used for descriptive statistics, independent t-test, ANAOVA, Pearson correlation analysis, and principal component analysis. The main components consisting of lifestyle of consumers, consumer behavior, and promotion of beauty SPA service have been discussed. Reliability analysis with Cronbach's alpha indicated that the three components are suitable for this study. Female consumer is more financially independent and they can decide their beauty SPA activities by their own. Promotion of beauty SPA service is a good marketing strategy as well.

Keywords: Beauty SPA, Beauty shop management, Marketing strategy, Experiential Marketing, Consumer behavior

Introduction

Because of the rapid development of the economy, Beauty SPA is becoming more important in today's society. Facing the competitive has brought female increasing pressure both physically and mentally, so they hope to relax their body and mind by enjoying a beauty SPA resulting in a widespread booming of beauty SPA shops.

Through literature discussion, the study explored the theories regarding origin and development of beauty SPA shops and the female consumer behavior as well as had a segmentation analysis of its market status in order to establish a complete research framework as reference for industries to join changing.

Taking a beauty SPA shop management in Southern Taiwan as an example to explore the marketing strategy of beauty SPA shops for female consumers, the purpose of the study is to analyze whether there are difference of marketing strategy in female consumers' life style and consumer behavior in present situation and development of beauty SPA industry in Southern Taiwan as well as to explore the market position of beauty SPA shops in order to adopt effective marketing strategies for enlarging female consumers' market and providing a foundation of practice study.

Method

We had an investigation into female consumers' using beauty care SPA products or courses in the Southern Taiwan mainly (Chiayi, Tainan and Kaohsiung). At the same time, we also interviewed 2 beauticians working in the industry.

The research was to discuss the life style, consumer behavior of using beauty SPA product (course) and the relationship between the impact of marketing strategy and consumer behavior of using beauty SPA product (course) when female consumers' had their SPA Beauty activity. The research framework adopted three dimensions and their connection to others shown as Figure 1.
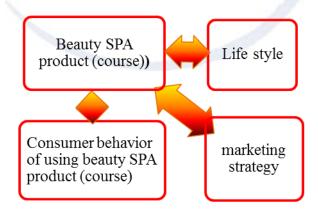

Figure 1   Research Framework

Questionnaire and Measurement

In addition to consumers' basic information, according to influence factors designed content was divided into three parts: first part of female consumers "life style", the second part for consumer behavior of using beauty SPA product (course) , and the

third part of the impact of marketing strategy for consumers to buy beauty SPA product (course)

Implementation process of Research

Questionnaire was distributed to female consumers who had experienced or been to SPA shops or kept using SPA shop product (course) in Southern Taiwan area. 200 effective questionnaire s was collected and we also interviewed 2 beauticians in the industry.

Statistical Analysis of Data

After completing questionnaire collection, we used Excel for initial data processing and SPSS package for statistical analysis of data including descriptive statistics, independent t-test, ANAOVA, Pearson correlation analysis. Besides, we compared results of interview contents from beauty SPA business runner with collective questionnaire data.

Analysis Results and Discussions

Formal questionnaire was distributed to beauty SPA shops, clothing Stores and school teachers and a total 200 valid. After item analysis, the missing values are within 0.01, and the standard deviation is within 1.5.

Analysis of Sample Structure

The basic information of respondents and "life style", " consumer behavior of using beauty SPA product (course) " and " impact of marketing strategy for consumers to buy beauty SPA product (course) " are analyzed as follows.

      (A)   Analysis of demographic variables

Among the respondents who have high intention to use beauty SPA products (course), age " 31 to 40 " year-old-female consumers ranked first and followed by age " 41 to 50 d" , accounting for 65% of total and they are the most important female customers for beauty SPA marketing. The education level of "University (College)" was the highest at 52%, which shows that female consumer group of using beauty products (SPA) is highly educated. By occupation, survey female worked in "Business or service " industry accounted for 40% of total and followed by" Civil Service Employee " at 17.5%, of which result was different from literature that " Civil Service Employee " is the majority, indicating economic changes will affect the consumer groups. Consumers with monthly income "NT$25,100 to NT$ 50,000" ranked first at 64.5%, indicating female customers with higher income have more money to enjoy the leisure activity of beauty. Married female accounted for 60.5% and skin care or stress-out were their major selections of using beauty SPA products (courses) in life. Work experience in "16 years" accounted for 29.5% and followed by "6 to 10 years" accounted for 24.5%, showing female consumers to have beauty SPA as leisure activities must have certain economic ability.

      (B)   Analysis of consumption characteristics of beauty SPA shops

      (C)

Respondent female consumers generally thought the acceptable price of beauty SPA products (course) is about NT$1000 per lesson. For headcount of having a beauty SPA activity each time, "One person" ranked first accounted for 68.5%, and 70.5% of the female consumers went to beauty SPA shops average 1 ~ 2 times per month. Therefore, how to improve the customers' consumption frequency is what the industry should take into account in their marketing activities. Time period of "13:00~18:00PM" was the peak hours for SPA service, also confirmed by beauticians. They hope consumers can book next consumption in advance after finishing current consumption in order to have a well time arrangement. If there is a time conflict, beauticians will advance and inform consumers   and find the suitable time frame for a win-win situation.

Factors affecting customers' purchase of beauty SPA products (courses)

A. Consumers' lifestyle

Results showed the concept of paying attention to health in life accumulatively accounted for 89.5% and feeling under pressure in work or living in daily life was 78%, which indicated females in double income family were under pressure from both work and family matters so respondents used do SPA, massage and acupressure to release life pressure accounted for 67.5%. Agree on the beauty SPA is to relax and enjoy the was 54% and agree very much with 38%, together accounted for 92%, which shows beauty SPA can increase   female consumers' life quality..

B. Consumer behavior

89.5% of female respondents like service personnel to provide perfect service and get the right advice; 91.5% of respondents think beauty SPA shops' environment very important, implying female consumers hope service personnel can solve their problems and complaints immediately and like beauty SPA shops to be a restful and relaxing place.

C. Effective promotion of the beauty SPA service

From the table, female respondents acquired the message of beauty SPA from handing out advertising billboards and the media accounted for 60% ; their purchase of beauty SPA products (courses) were affected by experts and professionals accounted for 68% and   information on internet affected their purchase intentions accounted for 73%; Their purchase experience of beauty SPA products (courses) will help their next buying intentions and decisions accounted for 71.5%; therefore, whether physical channels can provide experience of trial course will benefit beauty SPA products (courses) marketing.

Reliably Analysis of Research variables

Reliability Analysis of Variables

For consumers "life style", "consumer behavior of using beauty SPA products (courses) " and " marketing strategy of affecting consumers' purchase   of beauty SPA products (courses) ", first we adopted independent sample t test to obtain dimensions and used reliability analysis to check. The value of dimensions' reliability was the standard of acceptance level, and the acquired Cronbach's Alpha Values were 0.857, 0.937 and 0.872, respectively, showing reliability of dimensions is acceptable. .

Table 1   Reliability Analysis of Dimensions for Beauty SPA

Variables	Lifestyle	Consumer Behavior	Marketing Strategy
Cronbach's Alpha Value	.857	.937	.872

Conclusions and Recommendation

Based on surveyed respondents' information and results of statistical analysis of the research, we proposed below conclusions and recommendations as reference to marketing strategy for beauty SPA shop runners.

Research Conclusion

According to results of data analysis and three dimensions –lifestyle, consumer behavior and marketing strategy, we obtained following conclusions:

A.   Consumers' lifestyle

From respondent information of female consumers, we know present women are busy on both work and family which might bring modern plague (such as depression and bipolar disorder) so enjoy a beauty SPA has become the most joyful and comfortable ways of leisure since their recreation activities are not alike men's.   Regarding the marketing strategies of promoting beauty SPA products (course), it is suggested to use major popular media channels like TV and internet with high care marketing advertisement as the theme with slogans' wording of health, relaxation and pressure-lessening to attract female customers' attention and carry out an effective marketing campaign.

B.   Consumer behavior of using beauty SPA products (courses)

In addition to beautician professional ability, beauty SPA shops should also build a trust relationship with female consumers to increase their interests in. Interview contents and questionnaire data show that the current operation model of beauty shops are mostly in a small scale, the business mainly depends service techniques and skills

of beauticians, and   environment and atmosphere of shops is also an evaluation item for female consumers female before consumption.

C.   Marketing strategy of affecting customers' purchase of beauty SPA products (courses)

Customers want to have a full understanding of product contents because of implementation of commodity labelling law and government regulations of adhesion contract so beauty SPA shops' marketing strategy need to take above into consideration and each products (courses) should be with clear indication of contents, procedure and price labeling, which will affect customers' purchase of e of beauty SPA products (courses).

5.2 Suggestions on future Research

Recommendations for future research can divide into two parts, namely on practical development and scholar study.

A. Suggestion on practice development of beauty SPA

The current beauty SPA shops have entered a mature market with intense competition on the market, the largest competitor, the most diversified product style and features. The market has reached saturation point, the price may be reduced or minimized and profits to be decreased. Therefore, there are a wide ranges of channels at this stage, beauty SPA shops should improve their service level in channels and adopt reminding advertising to maintain its own brand status. Also, vertical or and horizontal strategically alliances can have   an effective integrated marketing and well establish the brand image of strategic alliance related companies for creating create brand value

B. Development new markets: marketing planning for high-tech industry or high-end consumer groups and marketing strategy with t health concept for age over 50 years-old- elders.

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A Glimpse on the Anatomy of the Tribulations and Successes of the Chinese-Filipino in Lanao del Norte

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Abstract
This paper is an attempt to provide a glimpse on the lives of the Chinese Filipinos or simply "*Tsinoys*" in the province of Lanao del Norte as they face various challenges in their "new community" since leaving their homeland. Their role and contributions in the province has been considerably of significance especially when it comes to economic development. Despite being just a minority in their "new community", the methods, attitudes and skills these Chinese Filipinos have in conducting commercial trading activities contributed to their economic dominance. By exploring the lives of selected Chinese Filipino families in the province, this paper gives an insight on how they were able to adjust and adapt to their "new community". The researchers conducted personal interviews along with the data and documents gathered to substantiate the qualitative approach to this paper. However, the study conducted focuses only in the province of Lanao del Norte. A small group of "overseas Chinese" started to settle and engage themselves with the locals of the province in the late 1850s. And being the minority, they experienced challenges such as social exclusion from the community, political deprivation from the colonial government, cultural refusal to assimilate with the locals and the implementation of policies and law that attempts to curb their economic control. Furthermore, this paper only presents the tribulations and successes of the Chinese Filipinos in the province of Lanao del Norte and does not reflect the general conditions of the Chinese Filipinos in other places in the Philippines.

Keywords: Chinese Filipino, Tubod, Iligan City, Philippines, Tsinoy, frugality, merchants,

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Introduction

The economic development of the Philippines cannot be completely discussed without mentioning the Chinese in its context. They played a significant role in changing the commercial trading activities in the country from being a small time street vendors in rural areas to become owners of corporations in large urbanized places. Moreover, most conglomerates and corporations of today are owned and managed by the Chinese. In spite of their economic dominance in the community, the Chinese were still classified as a minority group, comprising just around 1.3%[1] of the total population. However, their rate of success in the world of entrepreneurship together with their refusal to assimilate to the culture of the locals, have been contributory to the development of some anti-Chinese attitudes and policies.

The Chinese have been labeled and depicted by the Spaniards as disloyal, coward, quiet, selfish and cunning. The socio-cultural resistance displayed by the Chinese towards the Spanish society provided suspicion from the colonial government to question their loyalty. Policies were drafted and implemented to either force the Chinese to assimilate or to segregate them from the society. As a result of such policies, the Chinese were viewed as cowards and became quiet because of the fear that they would become the targets by the colonial government to be expelled and deported from the country. And finally, their talents and skills in "*doing business*" have given them the image as cunning and selfish. This is because of the emergence of a class distinction, wherein it portrays the natives as poor and rural, while the Chinese as rich and urban (Weightman, 1967). Hostilities and discriminations against the Chinese and even to the Chinese Filipinos were prevalent especially to larger urbanized places in the country such as Manila, Iloilo, Cebu and Davao. But despite such attitudes and feelings against them, it didn't prevent the Chinese from establishing their footholds in their "*new community*".

The Setting

The province of Lanao del Norte is located in Northern Mindanao, along the northwest and southwest coast of the Mindanao Island. It has a total land area of 3,824.79 square kilometers, which comprises almost 19% of Region 10. The province is bounded by Iligan Bay on the North, the provinces of Lanao del Sur and Bukidnon to the East, Illana Bay and the Celebes Sea to the South and Southwest, and the province of Zamboanga del Sur and Pangil Bay to the West. Lanao del Norte serves as the bridge that connects Western Mindanao to the Central and Eastern Mindanao.

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[1] From the 2005 census conducted in the Philippines, out of 87, 857, 470 from the total population, there are only 1,146,250 Chinese in the country

Figure 1. Location of Lanao del Norte. © Google maps

Methodology

This paper employs the qualitative method to provide a closer look into the lives and experiences of the Chinese Filipinos in the province of Lanao del Norte. The information about the tribulations and successes are shared and narrated by the Chinese Filipinos themselves along with some of the locals in the area. Observation to the community was made since the researchers are from the province. Personal Interviews were conducted to both the locals and the Chinese Filipinos to incorporate their oral history and gives more substance to the data collected.

Literature Survey.

Supporting data and information were also carefully reviewed from books, academic journals, thesis, and from the internet search engines. For this survey, a list of key terms was made and examined the located sources that are related to the study.

Data Collection.

In addition, archival method of research is also applied, utilizing the information and data extracted from the documents gathered from various government offices, the National Library in the Philippines, University libraries and from the community themselves.

The Overseas Chinese in the Philippines

The earliest contact between the Filipinos and the Chinese cannot be definitely determined, although there have been several studies and researches conducted that the regular trade between the two dates back as early as the 10th century. This claim was supported in the *Song Shi[2]* and *Chau Ju-Kua's Chu Fan Chi[3]*. The trade contact

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[2] History of the Song Dynasty which was published around 1343-1374)

[3] Chau Ju-Kua was appointed as Commissioner on Foreign Trade in the 12th century and wrote in his account Chu Fan Chi the first detailed description on the trade contact between China and the Philippines.

between the two communities can also be affirmed to the geographical distance between Philippines and Taiwan. The two are not only just Asian neighbors but are the closest of neighbors with only 52.8 kilometers of waters that separates them (Hsiao, 1998).

Although there have been contacts between the Chinese and the Filipinos early in the 10th century, it was during the arrival of the Spaniards in the Philippines in the late 16th century that provide lucrative economic opportunity for many male Chinese. It stimulated the migration of Chinese in the country in larger numbers than ever before (Wickberg, 1962). Since the Spaniards were focused in the maritime commercial trading with Mexico, it gave the Chinese the opportunity to engage in retail trade and later were able to dominate the commercial activities in the country. As a result, the Spaniards became dependent on them and considers them economically important (Wickberg, 1962). However, despite such importance to the Spaniards, the increasing number of the Chinese in the country became potential threats to the colonial authority.

A separate community was created by the Spanish authority to segregate those Chinese who refuse to be converted to Christianity and resisted assimilation to the majority society. These Chinese were then resettled in a *Pari'an[4]* outside from the main community but were still kept under the watchful eye of the Spaniards. By 1754, the concern towards the increasing number of Chinese prompted the Spanish authorities for the expulsion and deportation of non-Christianized Chinese in the country. Thus, the fear of deportation forced a number of Chinese to allow themselves to be converted and assimilated to the majority society. However, the living condition of the Chinese began to have a liberated atmosphere during the American rule in the Philippines. It was described that the Chinese benefited most during the American rule despite the fact that the Chinese were not given the same equal rights with both the Filipinos and the Americans when it comes to the utilization of natural resources. Still, the Chinese managed to become influential to the economic life of the country since the Americans imposed less restrictions during their regime (Tan, 1993:28).

The Birth of Chinese Filipino or "*Tsinoys*"

Economic opportunities have greatly attracted the Chinese despite the implementation of policies and laws against them. Assisted by a kin-based migration network, the Chinese in the Philippines used any means to the immigration policy to allow their friends, relatives and families to enter the country. As a result, the number of Chinese in the Philippines have greatly increased between the years 1899-1939[5] as shown in the chart below.

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[4] An exclusive area where non-Catholic Chinese were confined. It was during the rule of the Spanish Governor-General Gomez Perez Dasmariñas that the Pari'an in Manila was established in 1582. The Spanish authorities wants to keep these Chinese away from the locals to prevent a possible collaboration that might challenge their rule.

[5] The 1899 was a semiofficial figure on the estimated population of the Chinese in the Philippines as the Schurman Commission has relied on the testimony of a Chinese Capitan Don Carlos Palanca Tan Quien Sien; 1903 was the first comprehensive census conducted using the criteria of country of birth; in 1904, the archipelago-wide registration of Chinese residents; the 1918 census used the criterion of citizenship; the 1921 was from the Wood-Forbes Commission Report; 1933 was from the unpublished report of the Philippine Bureau of Health; in 1935, from the Chinese Economic Bulletin; and the 1939 was from the registry of the Chinese consulate in Manila.
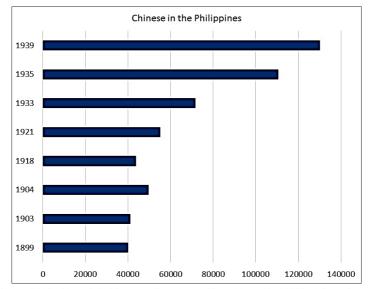
Figure 2. Number of Chinese in the Philippines from 1899-1939. © Wong, 1999

In the Post-War period from 1946 to 1975, the Philippine government does not have a consistent policy on the 600,000 Chinese that were accounted in 1972. The Chinese in the Philippines were the most legally undigested group in all Southeast Asia (Tan, 1993: 29). The *"Filipinization"[6]* and the emergence of Filipino Nationalism have contributed to the formulation of anti-Chinese policies which resulted in the acquisition of Philippine citizenship by the Chinese in the following legal venues: 1) the Congress under the American regime passed the Philippine Act in July 1902[7], 2) Philippine-born offspring of Chinese fathers and Filipina mothers[8], and 3) the naturalization of the overseas Chinese through the Letter of Instruction No 270[9] (Wong, 1990).

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[6] The concept of giving the rights of running the government to the Filipinos during the American regime.
[7] Stating in Section 4 that all inhabitants of the Philippines who were Spanish subjects on the 11th day of April 1899 shall be deemed and held citizens of the Philippine Island
[8] Whose parents were not legally married, as based from the Philippine Supreme Court ruling that the nationality of the child should follow that of the mother
[9] Naturalization of deserving aliens by decree under the regime of President Ferdinand Marcos which was signed on April 11, 1975,

Nationality	1970 No.	%	1971 No.	%	1972 No.	%	1973 No.	%	1974 No.	%	1975 No.	%
Chinese	94,963	86.2	96,090	85.9	98,305	86.8	119,062	86.1	105,453	86.1	90,401	83.0
American	9,554	8.7	9,951	8.9	9,377	8.3	11,537	8.3	9,947	8.1	11,601	10.7
Spanish	1,114	1.0	904	0.8	779	0.7	1,062	0.8	780	0.6	757	0.7
Indian	1,392	1.3	1,333	1.2	1,364	1.2	1,625	1.2	1,469	1.2	1,482	1.4
British	499	0.4	595	0.5	528	0.5	956	0.7	843	0.7	975	0.9
German	462	0.4	487	0.4	462	0.4	548	0.4	441	0.4	417	0.4
Belgian	274	0.2	289	0.3	307	0.3	307	0.2	277	0.2	243	0.2
Mixed Nationalities	1,939	1.8	2,135	1.9	2,094	1.8	3,169	2.3	3,191	2.6	2,932	2.7
Stateless	29	—	27	—	26	—	46	—	34	—	52	—
TOTAL	110,226	100	111,811	100	113,243	100	138,311	100	122,435	100	108,860	100

Figure 3. List of Nationalities who became naturalized Philippine citizens. © Wong, 1999

Chinese Filipinos in Lanao del Norte

It was around in the late 1800s that Chinese Filipinos began to settle in the province of Lanao del Norte. The City Registrar's Office in Iligan states in their record that the first group of Chinese arrived in 1885. The residential and travel restrictions towards the Chinese were not that strict, resulting to the formation of Chinese communities in several places of the country. In Lanao del Norte, the migration of the Chinese can be attributed to the following: 1) to seek better opportunities and lucrative locations for commercial trading, 2) to search for a better atmosphere away from the unjust prejudices they experienced, and 3) some of them were part of the "*deportados*" (Ngo, 2010).

Since most of the locals were into the labor sectors such as farming, fishing, constructions and government workers, the Chinese were able to engage in the commercial trade as merchants and middlemen without facing such competitions. The Chinese began to have their own retail store or simply called "*sari-sari store*[10]" while others became laborers or vendors. In the 1918 census conducted by the Philippine Commission in Iligan, there were only sixty-five (65) Chinese (55 males and 10 females) out of the total population of 4,635, comprising only 0.1%. These Chinese were confined in a *Pari'an* near the Spanish fort named Fort Victoria but were given freedom to merge with the locals. However, despite such freedom, the Chinese were not permitted to move in and out of the area until 1917 when the fort was destroyed by a great flood (Ngo, 2010).

Tribulations and Successes in the Province

A social distance emerged between the migrants and the locals because of the differences in language, customs, traditions and culture. The locals seem to developed distrust towards the Chinese Filipinos and on the other hand, the Chinese Filipinos has anxiety towards the locals (Omohundro, 1975). Such trials faced by the Chinese

[10] Popular term used in the Philippines referring to small retail stores with assorted merchandises.

Filipinos in the province are categorized as: Social Exclusion, Economic Dominance and Educational Challenges.

Social Exclusion

Despite becoming a Philippine citizen by virtue of naturalization, still, the locals in the province displays an apparent suspicion and distrust towards the Chinese Filipino. These suspicions and distrusts manifested by the locals towards the Chinese Filipinos points to the following issues: the question of their loyalty, the possibility being used as tools for the spread of communism and their choice of isolation to the majority society (Langbid, 2014).

Such issues emerge from the perception of the locals that these Chinese were a dangerous group. Although the Chinese were often viewed as less than dirt as an individual, however, as a collective group, they were perceived as a precursor of communism (Weightman, 1967). For the locals, the reservations towards the Chinese Filipino can be summed up by this statement:

> *"These Chinese should not be trusted for they are cunning and are not truly a Filipino. Why would they bring their culture in the province and refuse to adapt to our culture? Is it because their loyalty and allegiances remains with China? They are probably here to spread Communist ideas."*[11]

The refusal of the Chinese to assimilate to the Filipino society was one of the reason why they were deliberately segregated from the majority society. This action towards the Chinese left a lasting effect that made the Chinese to isolate themselves from the Filipino society by choice (Weightman, 1967). This can be observed to the practices, language, customs and traditions they have which basically were foreign in the Philippines. With such observations, the locals in the province justifies their impression towards the loyalty of these Chinese Filipinos:

> *"Coming to our province, they should have adapted the customs and practices as a form of respect.. Instead, they brought with them their culture and even established their own cemetery and school. This just shows their strong connection with China than the Philippines."* [12]

Furthermore, in the mid-20th century, the Chinese Filipinos were almost excluded from various socio-cultural activities in the province. This was the result of the *Nationalization* and *Filipinization* by the Philippine government to develop that Filipino Nationalism (Langbid, 2014). For this attempt, policies and laws were passed by the government to restrict and curtail the involvement of "*aliens*" and to encourage the Filipinos to take control of the society. These policies prohibits the Chinese Filipinos to own a land and were strongly encouraged to assimilate to the Filipino society (Ngo, 2010). As a response, some of the Chinese Filipinos have taken local women as their "*common law wife*" who will then purchase a land under her name. Such move often led to the impression that local women were just used to legally

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[11] Personal interview with a 67 year old local businessman who requested to keep his identity unknown.
[12] Personal interview to a 77 year old local housewife who grew up in the province.

acquire land property. On the other hand, it was the only way for the Chinese Filipinos to start their business by acquiring lands legally. Moreover, the Chinese Filipinos were also the targets of "*corrupt*" officials who tries to extort money by using deportation and expulsion as threats (Ngo, 2010).

> *"There were officials who extorts money every time a Chinese renews his Alien Certificate of Registration (ACR). If they refuse, these officials will then submit a deportation report against the Chinese. Because of fear, most of the Chinese had to comply with the demands from the officials. Others no longer renewed their ACR and had to change his name to a Filipino name."[13]*

The restrictions from the laws imposed by the Philippine government and the actions of "*corrupt*" officials towards the Chinese Filipino have provided realization that the only way their community could survive and further develop was to unite. Thus, they created an elaborate network of social and economic relationships based on lineage, hometown, surname, commerce, trade and cultural and political associations. Such associations have boosted and maintained a sense of communal identity and cohesiveness in an environment that is sometimes hostile to them (Wong, 1999).

Figure 4. Sample Alien Certificate of Registration. © Google Images

In 1930, the Lanao Filipino-Chinese Chamber of Commerce[14] was founded and became the biggest and most important defense association of the Chinese Filipinos in the province (Legaspi and Vergara, 1996). The association later spearheaded the establishment of the Chinese Language School and the Chinese Cemetery in the province to preserve the Chinese culture and practices for their children.

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[13] Personal Interview with Mr. Roger Suminggit, whose father was a pure Chinese.
[14] Founded by Mr Sy Seng Tiok, who became its first president, as a merchant association for the Chinese businessmen.

Figure 5. The Lanao Filipino – Chinese Chamber of Commerce, Inc Office in Iligan City. © Ngo, 2010

Economic Dominance

The economic position the Chinese Filipino have in the province greatly contributes to some hostilities from the locals. From rice milling business to retail stores, the Chinese Filipinos have been dominant when it comes to entrepreneurship. Their "*way of doing business*" combines with their being frugal, makes them a successful businessmen than the locals. Their frugality have been the reason why they were described by the locals as "*Tihik*" or "*Kuripot*", which is a local term for being very thrifty (Langbid, 2014). However, their "way of doing business" seems to have an impression from the locals.

> *"These Chinese would usually resort to have an under the table transaction in order to allow them to continue with their business despite of clearly violating some rules when it comes to conducting trade."[15]*

When the Philippine government amended its policy to nationalized retail trade through the passage of the Retail Trade Nationalization Law and the Rice and Corn Trade Nationalization Law[16], the Chinese were hit the hardest (Tan, 1993). This is because retail trading was their main income generating activities. The severity of the restrictions towards the Chinese have resulted to the practice of bribery to allow them to continue with their business. Such actions have been cited by the locals as proofs that the Chinese were dishonest when it comes to business (Weightman, 1967).

> *"The strict restrictions that have been imposed to us (the Chinese) in doing business greatly affected our family. My parents had to do something in order for us to have something to earn, otherwise, we won't have anything to eat. Our family were just simply doing what we had to do to survive."[17]*

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[15] Personal Interview with a 54 year old local businessman who owns a hardware store.

[16] These laws were attempts by the Philippine Government to curtail and exclude all foreigners from the business, allowing only companies owned by Filipinos to operate.

[17] Personal Interview with Mr Santiago Ong, an upholstery owner, whose parents were both Chinese

For the Chinese in Lanao del Norte, such laws did not prevent them from engaging in trade with the locals. A number of Chinese transferred the ownership of the business to the members of their family who were naturalized. For others, they had no other option but to close their business resorting to alternative ways to earn money.

> *"My father decides to sell hotcakes and pancit (cooked noodles) along the streets of Iligan just to earn some money. Others were into shoe shining, scrap collectors, and farmers. While some of his friends even became household helpers and street vendors in other municipalities to make ends meet."[18]*

The letter of Instruction No. 270 under President Ferdinand Marcos rejuvenated the Chinese (now Chinese Filipinos) as they became naturalized citizen of the Philippines (Langbid, 2014). The commerce and trade in the province soon became their playground again as they were now able to renewed the business they operated. Retail stores, hardware, restaurants, rice mills, bakeries were almost controlled by the Chinese Filipinos. This economic dominance of the Chinese Filipinos when it comes to commerce and trade, came into clash with the rising Filipino middle class, who in turn, regards the Chinese Filipinos as business rivals and an obstacle (Weightman, 1967). To some locals, they accused the Chinese Filipinos of cheating when it comes to business. Although the locals admits that the presence of the Chinese Filipinos have been very significant, there were still some speculations and suspicions against them.

> *"From the time the Chinese opened their store, I noticed that they were selling their goods at a cheaper price than the average price value in the market. Sometimes they even had this buy one take one offer, and still gained profit from it."[19]*

The Chinese "*way of doing business*" requires one to have patience and the perseverance in dealing with customers. Most of the time, their business is a family-operated type wherein every member of the family were expected to help. Such attitudes and practice contributes to the higher rate of success of the Chinese Filipinos in business. Despite being ridiculed or verbally abused by the locals, the stores of the Chinese Filipinos were still patronized by the locals compared to other stores.

> *"My parents taught me everything when it comes to business transactions, especially in dealing with people. Our business is operated by the whole family to inject to our mind the value of how hard it is to earn at an early age. My father always remind me with the idea that no matter how small our profit in a day will be, as long as it is continuous, it is much better than earning bigger profit but seldom."[20]*

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[18] Personal Interview with Prof. Rodolfo Yu, a retired professor from MSU-IIT
[19] Personal Interview with a 63 year old Filipino businessman who owns a retail store
[20] Personal Interview with a 55 year old Chinese Filipino businessman who manages a grocery store

Educational Challenges

The aspiration of the overseas Chinese to educate their children and to rear them as true-blooded Chinese paved way for the conceptualization of establishing a Chinese school in the country. However, establishing a private Chinese education was prohibited during the Spanish rule. The Anglo-Chinese School, which was first Chinese school in the Philippines, was only established in 1898 (Sussman, 1976).

With some anti-Chinese attitudes and feelings in the province, it was never easy for the Chinese to establish a Chinese Language School in the area. The suspicions from the locals have made it difficult for them, especially to their children, who were sometimes targets of ridicule from the society. The popular term "*Intsik wakang, baboy tikangkang*"[21] was commonly used to mock and ridicule the Chinese.

> *"During our younger years, my brother and I were sometimes the targets of jokes from our neighbor. They call us "Intsik waking", and in that time, we don't even know what that means. We didn't mind them since they were our playmates. But sometimes other kids also tried to call us such names."*[22]

In 1938, the Chinese in Lanao del Norte had concentrated their efforts for the establishment of a Chinese school. This move was then spearheaded by the association with the support of the Chinese community in the province. Since there were only a few Chinese at that time, the school started with only a little more than ten students and operates in the same building with the association. Before the outbreak of the war, the Chinese educational system was patterned with China's educational system. However, in 1951, when the school was re-opened, it adopted Taiwan's educational system.

Figure 6. Lanao Community School in 1951. © LCHS, 2010

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[21] Literally means "*Bow-legged Chinese, overturned pig*", the pig represents a piggy bank that states the Chinese is already poor since his piggy bank is overturned.
[22] Personal Interview with a 46 year old Chinese businessman.

In 1947, the Chinese were given favorable news regarding the operation of schools. The Treaty of Amity between the Philippine Government and the Koumintang[23]gave the two countries the liberty to establish schools for the education of their children. During this period, majority of the Chinese Schools were registered, financed and controlled by the Taiwan Government with the assistance of local Chinese businessmen (Sussman, 1976). This eventually lessen the perception of the locals connecting them to Communism but still there were those who distrust them.

> *"Chinese education was introduced to spread the idea of Communism. By using the Chinese language as the medium of instruction in school, it is clear that they do not want other people to understand what they were discussing. Chinese have strong connections with China, and that's the reason why they wanted to bring the Chinese education and culture here in the province."[24]*

With the attempt of the Philippine Government for the Nationalization on all aspects of the country, the Chinese school was not exempted. In 1972, the Philippine government amended its policy concerning schools which Filipinized all private schools in the country. The policy would Filipinize the administration, supervision, instruction (that includes textbook control) and service staff of all schools run by foreign nationals. This was just the start because by January 1973, when the new constitution was ratified, it states in Article XV, section 8 (7):

> *"Educational institutions other than those established by religious orders, mission boards and charitable organizations shall be solely owned by citizens of the Philippines, or corporations or associations' sixty per centum of the capital of which is owned by such citizen."*

The Lanao Chinese School (renamed Lanao Community School) had to impose new regulations. Despite being considered a Chinese language school, the medium of instruction was restricted to English and Tagalog. Chinese language studies were limited to around 12 – 15 periods only per week. Even the choice of textbooks had to be approved by the Department of Education (Quimbo, 1987). However, for the Chinese, regardless of the new regulations imposed, still had to encourage their children to carry on with their Chinese education by means of tutorials and private lessons (Ngo, 2010).

> *"The need for the next generation to continue to use and value the language and culture of the Chinese is still very important. My parents would always tell me to always be proud of our culture and by that, I also need to impart to my children the value of the Chinese language and culture for them to also understand their grandparents. Although at this time, it may be*

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[23] Was then the official government in mainland China after the Second World War
[24] Personal Interview with a 54 year old local businessman who owns a hardware store.

> *difficult, but still, I am encouraging my children to speak in Chinese especially inside the house.”[25]*

For the non-Chinese locals in the province, the establishment of the Chinese School will only eventually result in the separation of Filipino and Chinese youth (Sussman, 1967). This concept also holds true in the province since the locals perceived the Chinese school as an exclusive institution for the Chinese. And also, the propagation of the Chinese language will just create this Chinese identity that separates itself from the community.

Concluding Notes

As Chester Hunt (1956) stated that this behavior was the result of the three hundred years of Spanish rule and a half century of American regime that creates a Filipino attitude which is oriented away from the culture of which it is in territorial proximity and towards the standards of the West. Forced to leave their homes because of dire conditions, the Chinese Filipinos seeks greener pastures in the Philippines for economic opportunity and stability. Although they had no intentions at first of making the country as their permanent home, regulations and restrictions have prompted some of them to obtain Philippine citizenship to avoid deportation and expulsion from the government. The geographical proximity of the country to South China attracts many immigrants, especially to places where economic opportunities are abundant. This led to the increasing influx of the Chinese in the Philippines who then were seeking economic opportunities to various places in the country.

The policies and the attitudes of the community towards the Chinese Filipinos clearly varies on the society they are in. the Chinese Filipinos in large urban places experience a harsher anti-Chinese attitudes compared to those who are in small urban areas such as in Lanao del Norte. The years of colonization under the Spaniards, Americans and even a short era of the Japanese have contributed to the emergence of a Sino phobic attitude. Despite becoming a Philippine citizen, the Chinese Filipino in Lanao del Norte still experience distrust from the locals by bringing and practicing their culture into their new society. Also, the entrepreneur skills and their “*way of doing business*” have been the reasons why they became the targets by the locals. Policies and laws were passed to curtail their involvement in the business activity. In spite of being blamed or used as scapegoats by the society, the Chinese Filipinos still remains dominant when it comes to the economic control in the country. And lastly, their objective of teaching their children with the language and education from their homeland was also restricted but it does not prevent them from introducing a Chinese education in the country. Despite such attitudes and feelings against the Chinese Filipinos in Lanao del Norte, they were able to overcome such challenges and remains a vital member of the society until at present.

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[25] Personal Interview with a 61 year old Chinese businessman who is a member of the association

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The Reasons for Women's Labour Force Non-Participation; Empirical Evidence from Turkey

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Abstract

As is well known fact that women's full integration into the labour market plays a key role for their personal and social development and also serves to increase the general economic efficiency of the country. However, Turkish women's participation in paid work is at the lowest level among the European Union countries. According to the latest official statistics the labour force participation rate is 71.05 % for males and 30.8% for females (TUIK, 2015). The existing literature relating to women's labour force participation in Turkey is mostly based on analyzing main determinants of the participation decision and the nature and the characteristics of women in labour force (Gedikli, 2014; Dayioglu & Kirdar, 2010; Ercan and et al; 2010; Goksel, 2012, Ilkkaracan, 2012). There has been paid a little attention to the analysis of female labour market inactivity especially the reasons of women's non-participation in the labour market. Therefore the purpose of this study is to examine the characteristics of non-working women in Bandirma in Turkey. Using micro level data, we explores the main determinants of non-working decision of women specifically, the role of family age, income, education, dependent child age, marital status, and also social and traditional norms. The results indicate that being married, childcare responsibilities, education, and social and traditional norms are very important factors that affect women's decision to work. The findings of this study aim o provide useful material for policy makers and researchers to specify policy implication to increase women's labour participation in Turkey.

Keywords: women's labour force non-participation, gender, Turkey,

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Introduction

As is well known fact that women's full integration into the labour market plays a key role for their personal and social development and also serves to increase the general economic efficiency of the country. However, the important characteristic of the Turkish labour market over the past decades has been the low participation of females in the labour force. According to the official statistics although the male labour participation rate of 71.5% is close to developed countries average, but the female labour participation rate, which is 30.8%, makes Turkey to be the lowest among OECD countries (TUIK, 2015). Expectedly, women's share in employment is also low in Turkey. Share of women and men's employment in total employment is 26.8 and 65%, respectively.

The low labour force participation rate of female in the Turkish labour market has been recognized and investigated by many researchers (Ilkkaracan, 1998; Tansel 2002; Ince & Demir, 2006; Taymaz 2010; Goksel, 2012). These studies emphasize that the reason behind this low participation rate can be categorized into several factors, such as the on-going structural changes in the Turkish economy. During the last 50 years Turkey has been experiencing huge transformation from an agriculture economy to an industrial one. This has been accomplished with fast urbanization and has affected the composition of the labour force. In addition there have been social changes, such as increasing educational attainments and opportunities and sectoral changes that moving from agricultural sector to service or industrial sector entails. In Turkey, migration from rural to urban affected negatively the female participation rate more than males because, while women have traditionally a source of employment in agriculture as unpaid family workers, they cannot participate in urban labour force after the migration (Palaz, 2005).

Other factors such as unemployment rates, economic crises, low educational attainments and skill levels of women, and prevailing cultural norms that exclude women from associating with non-kin males may also play a role in the low participation rates of women in the Turkish labour market (Dayioglu, 2000; Ince & Demir, 2006; Goksel, 2012). In addition, the failure of official labour statistics to cover workers in the informal sectors needs to be taken into account when analysing the patterns of the female labour force participation rate in urban areas where uneducated and unskilled women work in informal sectors.

In addition, according to latest data, 59% of women who are not in labour force had stated that this situation is a result of their engagement with domestic affairs. When the wages of women are lower than the reservation wages (the total value of services women produce at home), women give up participating in labour force (TUIK, 2015). Ozar and Gunluk-Senesen (1998) examined the factors influencing women's decision not to enter the labour force in urban Turkey and found that the role of women as "wives and mothers" in the household is the most important determinants of non-participation of women. They state that "the gradual fall in fertility rates since the 1950s does not seem to have a significant impact on women's labour force participation. The widely accepted norm is that looking after children is the responsibility of women and lack of child-care facilities are considered to have a significant impact on this outcome" (Ozar & Gunluk-Senesen, 1998; 322). In consistent with these findings Palaz (2005) finds that the most important reason not to

enter the labour force is being a housewife for women (71.2 %). Other reasons such as being student, retired or disabled and ill etc. have little effect on not to enter labour force. However, for men, being retired and student are the most important factors not to join the labour force.

The existing literature relating to women's labour force participation in Turkey is mostly based on analyzing main determinants of the participation decision and the nature and the characteristics of women in labour force (Gedikli, 2014; Dayioglu & Kirdar, 2010; Ercan, Hosgor & Yilmaz, 2010; Goksel, 2009; Ilkkaracan, 2012). There has been paid a little attention to the analysis of female labour market inactivity especially the reasons of women's non-participation in the labour market. Therefore the purpose of this study is to examine the characteristics of non-working women in Bandirma in Turkey. Using micro level data, we explores the main determinants of non-working decision of women specifically, the role of family age, income, education, dependent child age, marital status, and also social and traditional norms. The findings of this study are intended to provide useful material for policy makers and researchers to specify policy implication to increase women's labour participation in Turkey.

The remainder of this paper is as follows; we discuss the materials and methods in the next section. In the third section, we present the findings of descriptive statistics, and the association between non-participation decision to paid work and demographic variables such as gender, year at school, marital status, having children and also cultural norms. The final section draws concluding remarks and some policy implications.

Materials and Methods

This descriptive study on decisions of women's non-participation into labour force was conducted in Bandirma where located in the southern Marmara region of Turkey and a district of Balikesir, with 143,000 inhabitants (TUIK, 2015). Bandirma is acommercial centre and its harbour serves as a transit point for trade between Istanbul and Izmir. There is also agriculture produced in the surrounding areas, producing products like cereals, meat and sheep wool and meat, cattle, grain and mineral boracites.

The target population for this study is defined as non-working women living 50,000 dwelling in the central of Bandirma. The minimum required sample size was determined using Cochran's sample size determination formula. It was calculated as 420 based on the data collected using a categorical instrument with an acceptable margin of error of 5% and an alpha level of 0.05 (Cochran, 1977). The survey was anonymous and asked respondents to take part in the study between March and June in 2013. In total, 420 questionnaires were delivered and 390 of them returned. The initial examination of the returned questionnaires showed that five were incomplete; these were therefore excluded from the data analysis process. The number of usable questionnaires was 385.

The data collection instrument used in the study was developed by considering earlier studies conducted with similar purposes. It consisted of three major sections. The first section sought information about the demographic characteristics of non-working

women in the variables of age, education and marital status, marital age, and age of children. The second section elicited information about the economic status of non-working women in the family in the variables of number of households, monthly income of family, number of working in the family, being a paid employment previously. The third section of the instrument sought information about social and cultural values of non-working women in the variables of the control of household income, sharing the responsibility for childcare and chores in the family, and the most favourable sector for women. The fourth section of the instrument discovered the main determinants of non-working women's paid work in the variables of intention to working in a paid job, the reason of leaving their paid job for previously working women, the reason not to enter the paid work, and the reason of inability to find work.

Data analysis was performed using the Statistical Package Program for the Social Sciences (SPSS version 15.0). The frequency and percentage distributions and Pearson chi-square analysis were used to accomplish our objectives stated in the first section of the study.

Research Findings

The findings on demographic characteristics of the study group are as follows; of 385 women in the sample, the majority were married (81.8%), and the rest were divorced, widowed or single. Most women's marital age was between 19-22 (43.8%), while 29 % of women were married before age of 18 and less than 18. Fifty-two percent had children between age of 18 and over, 24 percent had children between age of 7-17 and only 14 percent of women had children between age of 6 and less than 6. A large portion of the respondents (34%) were age between 40-44 and over 45 years old. In terms of education, 5.5% of the respondents were only literate. A large portion of the respondents (36.4%) held an elementary school, 18.4 % secondary school, and 28.6% high school degree while only 10.2 % had university education.

Table 1. Demographic Characteristics of Non-Working Women

Age	Number	%
≤29	43	11.1
30-39	101	26.2
40-49	129	33.5
≥50	112	29.2
TOTAL	385	100.0
Education		
Literate	21	5.5
Elementary School	140	36.4
Secondary School	71	18.4
High School	110	28.6
Vocational School	19	4.9
University	24	5.3
Total	385	100.0
Marital Status		
Married	315	81.8
Single	23	5.8
Divorced	10	2.6
Widow	37	9.6
TOTAL	385	100.0
Marital Age		
≤ 18	112	29.0
19-22	169	43.8
23-29	83	21.5
≥ 30	21	5.7
TOTAL	385	100.0
Age of Children		
0-6	53	13.8
7-17	92	23.9
≥ 18	199	51.7
No children	41	10.6
TOTAL	385	100.0

Table 2 indicates the information about the economic status of non-working women in the family. According to the survey result about 60 percent of women had nuclear family refers to the family group consisting of 3-4 number of households. From the table, the majority of family (69.6 %) had only one working person and only 18.7 percent had two working person in the family. This result is not surprising though women in this research group are not in paid employment. When we consider monthly income of family only 11.4 percent of the family's monthly income is very low at the level of minimum wage and less than minimum wage. About 60 percent of family have between 1000 TL and 3000 TL monthly income which are middle income level and nearly 13 percent of family have high income level in the research group. Fifty-three of the respondents stated that they have no paid employment experiences at all. On the other hand forty-six percent of women said that they had working experiences previously and most of these experiences occurred as full time employees (21 %) and casual workers (13 %).

Table 2. The Economic Status of Non-Working Women in the Family

number of households	Number	%
1	16	4.2
2	65	16.9
3	98	25.5
4	129	33.5
5	60	15.6
≥6	17	4.4
TOTAL	385	100.0
monthly income of family		
Under minimum wage	2	0.5
Minimum wage	42	10.9
750 - 1000 TL	50	13.0
1000-1500 TL	80	20.8
1500- 2000 TL	79	20.5
2000- 3000 TL	81	21.0
3000 - 4000 TL	20	5.2
≥4000 TL	30	7.8
TOTAL	384	99.7
number of working in the family		
Retired	23	6.0
1 person	268	69.6
2 person	72	18.7
3 person	17	4.4
4 person	4	1,0
5 person	1	0.3
TOTAL	385	100.0
being a paid employment previously		
Full time employee	85	22.1
Fixed term employee	14	3.6
Self-employed	27	7.0
Casual workers	50	13.0
Unpaid workers	2	0.5
Being a paid employment in total	178	46.2
Not being a paid employment before	207	53.8
TOTAL	385	100.0

Table 3 demonstrates the social and cultural values of non-working women which also shows us social and traditional beliefs in Turkey. Nearly half of the respondents in our study said that their household income's control doing by their husband. On the other hand about 34 percent of women expressed that their family income's control decisions made by together with their husbands. From the table, a majority of respondents (87.5 %) think that family responsibilities such as childcare and house work duties should be shared with spouse, only 12.5 percent of women believe that these kinds of duties should be done by women. According to the women in this study group the most desired and ideal sector for women to work were services (75.8 %). Women think that service sector is more suitable for women that industrial and agricultural sectors.

Table 3. Social and Cultural Values of non-working Women

	Number	%	for
control of household income			
My husband	178	46.2	
My own self	66	17.1	
Together	134	34.8	
TOTAL	378	98.2	
Sharing the responsibility for childcare and chores in the family			
Family responsibilities should be shared with spouse	337	87.5	
Family responsibilities should be done by woman	48	12.5	
TOTAL	385	100.0	
The most favourable sector for women			
Industry /Manufacturing	16	4.2	
Agriculture	22	5.7	
Service	292	75.8	
Others	52	13.5	
TOTAL	382	99.2	

Table 4 indicates that the most important reasons for previously working women to leave their paid job is getting a married (12%), low wage (10%), and having children (8 %). It seems that the reasons such as personal, being fed up with work and being fired or closing down have little effect on women's decision.

Table 4. The reason of leaving their paid job for previously working women

Reasons	Number	%
Marriage	48	12,5
Low wage	39	10.1
Having a children	31	8.0
Close down	11	2.9
Be fired	10	2.6
Being fed up with work	10	2.6
Discouraged	7	1.8
Personal reasons	6	1.6
Husband's no permission	6	1.6

Why some women participate to the labour market while others do not? What are the factors shaping the women's decision of participating paid work? These two questions answered by women in this study as follows; Sixty-four percent of women affirmed that they have no intention to work in a paid job, but thirty-six percent of women do want to work in the labour market. Women who do not want to participate into labour market asked why they do not want to work, most of them said (22.9 %) it is their own choices. Second important reason were household chores (22.3 %), and 10.9 % of women said their husband did not give permission to work them. Other reasons such as being fed up, inadequate education and worse working conditions also some effect on women's decisions.

Table 5. The reason not to enter the paid work

Reasons	%
My own choice	22.9
Household chores	22.3
Husband's no permission	10.9
Other	6.5
Being fed up with work	4.4
Inadequate education	2.9
Worse working conditions	1.3

Some of women in research group (36 %) who wanted to work in the labour market believe that having less experiences and less education are the most important reasons of inability to find a job. Respondents think that third important reason for inability to find a job is being too old. This reason is not surprising as our sample group's average age is 40 and over 40's. In addition women assert that being married and interrupting of work make difficult to find a job in the labour market. Some women also mention that they do not know how to find a job in proper way. Finally minority of respondents think that being a woman is the reason of inability to find a job.

Table 6. The reason of inability to find a job

Reasons	%
Less experience	69.8
Less education	67.6
Being too old	50.8
Being married	48.8
interruption of work	39.6
To not know the way to job search	37.2
Being a woman	26.6

Chi-square was computed in order to examine the relationship between women's decision of non-participation into labour market and selected demographic characteristics. The results of analysis showed that there were statistically significant relationship between women's decision of work and age ($\chi2$=80.87, p=.000), education ($\chi2$= 27.24 p=.000), age of children ($\chi2$= 38,29 p=.000) and marital status ($\chi2$= 27,89, p=.000). Being married, less education and increasing age decrease the women's decision of participation into labour market. According to the non parametric test results women who had high school degree want to work on the other hand married women and women age 40 and over are reluctant to enter labour force. While it is expected that the presence of young children decrease women's labour supply as non-affordable child care facilities outside the family, in this study contrast to previous studies we found that women who had children age 7 and 17 and 18 and over do not want to participate into labour market however women who had young children age 6 and less than six want to work in the labour market. This could be the factor of economic need and age of women who are relatively younger than women who had older children.

These findings are also consistent with previous studies involving women's labour force participation decision. For instance, Ozar and Gunluk-Senesen (1998) have analysed the reasons of not participating to the labour force for Turkish women and explored that women's role, as wives and mothers was the most important factor influencing the women's labour supply decisions in urban areas of Turkey. In same manner, Lisaniler and Bhatti (2005:) studied determination of women's labour force participation in North Cyprus and found that marital status is an important factor which increases the value of non-market activities for women. Women are expected to become a good mother and a homemaker while men are expected to be the breadwinner and the head of the household in patriarchal family structures.

The research results of present study also lead to the conclusion that women's education level is the one of the main factors determining women's labour supply decisions. The higher the level of education, higher gets the likelihood of women's participation. As mentioned previous studies (Lisaniler & Bhatti, 2005; Palaz, Karagol & Masatci, 2006; Goksel, 2009; Ilkkaracan, 2012) neoclassical economists consider education as the key determinant of women entering economic life there is a positive relationship between the level of education and the labour force participation rates.

In terms of age our result also are similar to early studies of women's labour force analysis which emphasize the labour force participation rate of women rise steadily

and reach a small peak at the age of 20-24 and begin to fall from this age category. This reflects that the majority of women do not or cannot re-enter the labour market after an interruption in employment (Ozar & Gunluk-Senesen, 1998; Palaz, 2005).

According to the economic status of non-working, a statistically significant relationship was determined between women's decision of non-participation into labour market and monthly income ($\chi 2$= 23.57 p=.001). On the other hand there is no significant relationship between women's decision of non-participation into labour market and number of households, and number of working in the family. Increasing household monthly income decreases the women's participation into labour market. Since women are mostly expected to be the homemaker and the caretaker, the reservation wage (the value woman places on her time at home) has been high for women preventing the participation of women to the labour market (Lisaniler & Bhatti, 2005:211).

In terms of social and cultural values of non-working women, we found that there is a significant relationship between women's decision of non-participation into labour market and the control of household income ($\chi 2$= 41.2 p=.000) and sharing the responsibility for childcare and chores in the family ($\chi 2$= 74.1 p=.000). This result reflects to the traditional division of work overburdens women with the unpaid reproductive tasks i.e. cleaning, cooking, child and elderly care etc. that women are usually restrained from the labour market. As is mentioned in previous studies conservative cultural values negatively affect women's working decision (Kardam & Toksoz, 2004; Contreras & Plaza, 2010; Goksel, 2012; O'Neil & Bilgin, 2013). For instance Contreras and Plaza (2010:27) states that "the more the women have internalized machista and conservative cultural values the less they participate in the labour market". Furthermore O'Neil and Bilgin (2013) shows that traditional roles and patriarchal mentalities lead to lower women's willing to participate into labour market.

Concluding Remarks

The purpose of this study is to examine the characteristics of non-working women in Bandirma in Turkey. We made a descriptive analysis using the statistics drawn from the questionnaire in the city of Bandirma and its peripheries. Using our survey, we explored the main determinants of non-working decision of women specifically, the role of family age, income, education, dependent child age, marital status, and also social and traditional norms. A profile of women in the research area can be drawn as 40 and over 40 years old married women with an under high school degree and had children age 18 and over.

The findings of the study suggest that age, education, age of children, marital status, household monthly income, and social and cultural values are very important factors that affect women's decision to work. Women in this study states that the most important reasons of leaving their paid job is getting a married low wage and having children. The responsibilities attributed women by cultural and traditional values such as looking after children and household duties also affect their participation to the paid work. Women who have lower education skills and less training have difficulties to find decent job for living. Additionally some of women believe that

having less experience and less education are the most important reasons of inability to find a job.

Our observations from this survey lead some implications for public policy. The first implication is related to education and human skills of women. In fact, women have disadvantages to find decent work in labour market due to their lower educational level. In addition, women lack of experience and low skills prevent women to start up a decent and regular job. Increasing women's education and human skills can help to build confidence to look for paid job in labour market. Therefore, as it is being done today in Turkey, Government can provide direct education for women and support private provision by tax incentives and grants. Incentives such those would lead to increase women's participation into paid work.

The second implication is related to household responsibilities of women. Government can also help women by providing childcare facilities because as Kau and Rubin (1981) suggest they are very important instruments to increase women's participation into paid work. We believe that raising women's educational attainments and reducing and equalizing the burden of household responsibilities and childcare activities could have pervasive effects greater than any other policies such as affirmative action or equal employment opportunity strategies, to increase women's labour force participation. In addition, policies to harmonize employment and family responsibilities for women and men to promote egalitarian sharing of domestic and community responsibilities are very important to increase women's participation as well.

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Corporate Tax Aggressiveness, Corporate Governance and Firm Value: Evidences from China

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Abstract

Tax represents a significant cost to shareholders as well as to the firms, and it is generally expected tax aggressiveness are preferred. However, this argument ignores potential non-tax costs that could be associated with tax aggressiveness, especially those arising from agency problems and asymmetric information. This study investigates whether the tax planning activities is valued by shareholders as beneficial upon the nexus of institutional arrangements in place in China. An innovation of this study is making use of available tax reconciliation data to examine the effects of tax planning activities conducted by Chinese listed firms. This study investigates whether the tax planning activities is valued by shareholders as beneficial. Using a hand-collected sample of 229 publicly-listed firms for the financial years 2006-2012, we develop measures of abnormal book-tax differences (BTDs) as proxies for corporate tax aggressiveness. We find that the aggressive tax behavior is not perceived by shareholders as a value enhancing activity but in fact is value reducing. A consistent negative association between firm value and tax planning activities is found which is robust to a wide number of different controls and specifications as well as the inclusion of corporate governance measures; and the results are consistent with the agency cost theory of tax planning of Desai & Dharmapala (2006).

JEL classification: G30, H26, M41

Keywords: Tax Aggressiveness, Corporate Governance, Firm Value, China, Book-Tax Differences

1. Introduction

Tax planning activities are of significance both in terms of costs and tax savings. A wider concern related to governments' concerns over corporate tax avoidance is the issue of equity or fairness. For example, in the China the main statutory corporate tax rate has fallen from 33% in the 2006-7 tax years to 25% for the 2013-14 tax years. This is presumably as a consequence of tax competition among governments, and the relative mobility of corporate profits, relative to other tax bases, in terms of their ability to choose where taxes become payable. If corporations are additionally able to aggressively manipulate how much profit they declare for tax purposes, then this raises political issues. Companies must trade off political costs of tax avoidance with the cash flow gains in lowered tax payments (Zimmerman, 1983). If political costs of tax aggressiveness are low (for example, because "everyone is doing it"), then the incorporation of tax considerations into corporate governance arrangements may be one means by which companies may be encouraged to "pay their fair share" of taxation.

This study examines shareholders' valuation of corporate tax aggressive activities. In the absence of access to confidential tax return data we use the term tax aggressiveness or tax planning to describe the activities designed to maximize tax payment in order for tax benefits. Although tax reduction can lead to higher after-tax profits, in the real world, given the existence of uncertainty and information asymmetry, the objective of after-tax return maximization should encompass not only explicit taxes but also implicit taxes as well as other non-tax costs. Beyond the necessary resource allocation costs (that opportunity costs where resources are spent on tax management that could have gone to capital expenditures or R&Ds), there are additional costs associated with tax management such as political costs, disclosure costs, agency costs and financing costs, these implementation costs include legal costs, planning advice and risk (Minnick & Noga, 2010). A decline in reported earnings may affect managers' compensation and other interests, potentially leading to inconsistencies between interests of managers and those of shareholders and therefore increase agency costs. Similarly, Hanlon & Slemrod (2009) suggest political and financial costs are associated with tax aggressiveness. A well-known example of political cost with tax management is the board of directors of Stanley Works, Inc. reversing a decision to move its headquarters offshore to save tax dollars after being attacked by local politicians and media for the move (Minnick & Noga, 2010). Desai and Dharmapala (2009) suggest that earnings manipulation can be facilitated when managers undertake efforts to reduce corporate tax obligations via their study of the link between tax sheltering and various types of managerial opportunism. As a result, tax aggressiveness by firms is of wider public interest in terms of whether or not is valued by shareholders and investors.

The measure of tax aggressiveness used in this study is initially defined as abnormal book-tax differences arising from opportunistic differences due to managers' choice in accounting and tax purposes. Tang & Firth (2011 and 2012) define normal BTD (NBTDs) as the mechanical differences arising from the divergent reporting rules for book and tax purposes, signaling the extent of accounting-tax misalignment; alternatively, abnormal BTD (ABTDs) reflect the opportunistic differences due to managerial choices in accounting and tax reporting. The potential components of

BTDs are estimated by regressing BTDs on factors associated with normal BTD and are used to forecast normal NBTDs, and the unpredicted residual component considered to represent abnormal BTDs (Tang & Firth, 2011). In our study, we advances a new, refined method of separating firm book-tax differences (BTDs) into 'normal' and 'abnormal' components, we follow their concepts and disentangle BTDs into NBTDs and ABTDs that take account of the uniqueness of Chinese accounting and tax systems, by using a sample of Chinese listed firms from 2006 to 2012 and data drawn from the *Accounting Standard 18* (ASBE, 2006) tax reconciliations. The refined proxy for tax aggressiveness is examined against the measures of firm value as an analysis of shareholders' valuation of corporate tax aggressiveness. It should be recognized that there is no perfect measure of aggressive tax activities and different measures have their own strengths and weaknesses and none are inferior or superior to the other.

The contribution of this study is four fold. Firstly, we add to a stream of research providing evidence of effects of BTDs for financial reports in terms of the increased attention on firms' tax aggressive activities. To our knowledge, this is one of the few studies investigating shareholders' valuation of Chinese firms' tax aggressiveness and provides insights into corporate behaviors and the response of shareholders. The prior literature is mainly U.S. or U.K. based and does not necessarily translate to the Chinese context, the conclusion suggests the tax-related institutional and policy differences between Chia and most U.S. research when interpreting existing research. Secondly, this study follows the approach of Tang & Firth (2011) by using tax-effect BTDs and taking advantage of information available in the notes to tax reconciliations to model the book-tax differences and decompose between mechanical differences (NBTDs) and opportunistic differences (ABTDs). Previous studies have generally relied on a lower level of disaggregation such as Desai & Dharmapala (2006) and Frank *et al.* (2009). Thirdly, by applying recently available tax reconciliation data required under *Accounting standard 12 Income Taxes* (ASBE, 2006) and a sample of Chinese A-share listed firms in contrast to the study of Tang & Firth (2011),this study provide a new insight into the differences between income for financial reporting purposes and income for tax reporting purposes and non-conforming tax planning activities. Finally, the analysis is conducted over a seven year period thereby recognizing that the composition of aggressive tax activities and managers' attitudes towards tax aggressiveness may vary over time.

In sum, using a sample of Chinese listed firms from 2006 to 2012, we find evidence of a negative relationship between the level of tax aggressiveness and the proxy for firm value. The result is robust to a wide number of different controls and specifications as well as the inclusion of corporate governance measures, and the negative relationship is not moderated by corporate governance mechanisms, in consistent with the results found in UK setting (Wahab & Holland, 2012). The findings are also consistent with the agency cost theory of tax planning (Desai & Dharmapala, 2006).

The remainder of this study is organized as follows: Section 2 reviews the relevant literature. Section 3 discusses the research methods. Section 4 outlines our sample and empirical models as well as the results, followed by a conclusion in section 5.

2. Literature review

There is widespread concern and interest over the determinants and consequences of corporate tax aggressiveness. For example, Shackelford and Shevlin (2001) advocate research on the determinants of tax aggressiveness, and Graham (2008) calls for research to examine why firms do not pursue tax benefits more aggressively. These are definitely important research topics, but an important related issue is that there is no universally accepted empirically operational definition of tax 'aggressiveness'. In this section, discussion will be focused on the measurement of tax aggressiveness, primarily from financial statement data. As a broad range of proxies are currently applied in the literature, and the precise nature of the proxy used in tax aggressiveness research will have important policy and business implications, careful consideration needs to be given to whether the measure chosen in this study is appropriate for the particular research questions to be addressed.

In studying corporate tax planning and tax aggressiveness using publicly available information, it is difficult to obtain direct information about practices that may be proprietary in nature, sensitive or perhaps even illegal or bordering on illegality. Tax returns of individual corporations are not publicly available, and financial statements do not disclose the nature of underlying sheltering structures, which limits policy analysis and research on tax avoidance and aggressive tax strategies based on publically available data sources (Garbarino, 2011). Because of this, attempts to measure the extent to which a corporation engages in tax sheltering must use indirect measures, centered upon publicly-disclosed levels of tax expense, profitability and other accounting variables.

Tang& Firth (2011 and 2012) demonstrates that BTDs is value relevant for China's emerging market, and the current BTD literature suggest that BTDs may inform users of financial statements the extra unobservable information about managerial manipulation other than mechanical information about the divergence in accounting rules and tax laws (e.g. Mills,1998, Mills &Newberry 2001, Plesko, 2004, McGill & Outslay 2004). Furthermore, the study of earning management conducted by firms to balance tradeoffs among various tax incentives, tunneling incentives and financial reporting incentives on the choice between book-tax conforming and non-conforming tax management, which in turn influence opportunistic behaviors of managers in corporate reporting (Firth, Lo & Wong, 2013), suggest that book-tax differences are associated with upward tax management, which further validate the informational content of book-tax differences in tax planning.

There are two ways to measure total book-tax differences. On the one hand, the income-effect total book-tax differences are calculated as differences between after-tax book income and an estimate of taxable income (or the ratio between them) or, equivalently, the difference between what a firm *would have* paid, had all of its book income been subjected to tax, and what it *actually* paid. This measure usually includes all pre-tax book-tax differences, tax accounting accruals, research and development tax credits and other items which do not affect either income number but will affect (and cause errors in) estimates of taxable income from financial statements operating in jurisdictions with different tax rates (Hanlon & Heitzman, 2010); a common measure to estimate BTDs in most studies in US context is to estimate taxable income by grossing up the extracted firm's reported tax from financial

statements by a 'relevant' tax rate (e.g. Manzon & Plesko, 2002; Armstrong *et al.* 2012; Rego & Wilson, 2012; Khurana & Moser, 2013). On the other hand, the so-called 'tax-effect' BTDs which employ prima facie income tax expense minus current tax expense and the numerical example for comparison between these two measures can be seen in Tang & Firth (2011). These two measures of BTDs only differ in the matter of the statutory tax rate if a single statutory rate is applied; however, problems arise from the presence of multiple statutory tax rates in a jurisdiction. We follow the approach of tax-effect BTDs suggested by Tang & Firth (2011) as evidences that tax-effect BTDs are particularly appropriate in China due to the fact that Chinese firms are subject to variation in tax rates arising from differential favorable government tax treatment and are required to declare corporate income tax on an individual firm tax reporting basis.

Tax planning activities is of significance to both shareholders and firms. Traditionally, shareholders would like to minimize corporate tax payments net of costs in order to achieve firm value maximization, in other words, shareholders wants firms to be optimally aggressive in their tax reporting to benefit themselves. However, the underlying motivation has been questioned. It is argued by Desai & Dharmapala (2006) that a form of agency costs, for example, an information asymmetry between shareholders and managers in terms of corporate tax sheltering activities, can facilitate managers acting for their own interests resulting a negative relationship between tax aggressiveness and firm value; and a positive relationship between book-tax differences and Tobin's Q is found only for well-governed firms in Desai & Dharmapala (2009). Prior studies examining the association between the measure of tax aggressiveness and stock performance of firms provide evidences consistent with a negative relationship between tax aggressiveness and future firm performance (Lev & Nissim, 2004; Hanlon, 2005; Wahab & Holland, 2012). In contrast, some studies find no direct association between related measure of tax aggressiveness and measures of firm value; this may be due to the effect of unquantifiable non-tax costs (Cloyd, Mills & Weaver, 2003).

The empirical studies suggest that on average there is negative valuation implication of tax aggressiveness. In this study, we look for the association between book-tax differences and several measure of firm value in Chinese context, in order to study shareholders' valuation of tax aggressiveness. This study contributes to the growing book-tax differences literature, including the branch that examines the shareholder value of tax planning activities. Meanwhile, we will examine whether the valuation effects of tax aggressiveness depending on firms' *ex ante* strength of corporate governance, following the studies of Desai & Dharmapala (2009) and Wahab & Holland (2012). The finding can have direct policy implications for shareholders and tax authorities in monitoring and controlling tax planning activities of firms.

3．Research Method

3.1 Corporate tax aggressiveness measure: estimating NBTDs and ABTDs

BTDs are designed to measure the extent to which a firm is able to avoid paying tax on its accounting income. It is argued that the divergent rules between GAAP and tax laws are the most basic factor the drives BTD. However, besides the mechanical differences between GAAP and tax laws, BTD could also arise from tax avoidance

and/or earning management activities (Mills & Newberry, 2001; Desai & Dharmapala, 2006, 2009; Frank *et al.* 2009; Wilson, 2009; Chan *et al.* 2010; Tang & Firth, 2011; Armstrong *et al.* 2012; Badertscher *et al.* 2013). A more comprehensive analysis of BTDs would make BTDs as arising from following three sources:

> BTDs=difference between book income and taxable income
> = *mechanical BTDs + income due to non-tax conforming earning management + income from tax sheltering*

Some studies have attempted to use a residual approach decompose BTDs into 'normal' BTDs (mechanical differences between tax rules and financial accounting standards) and 'abnormal' BTDs (residual from total BTDs result from opportunistic differences due to managerial choices in accounting and tax rules), see details in Desai & Dharmapala (2006, 2009), Frank *et al.* (2009) and Tang & Firth (2011).This study advances a new, refined method of separating firm book-tax differences (BTDs) into 'normal' and 'abnormal' components by taking advantage of the information that is provided in the notes to the published financial statements. We follow their concepts and improve upon the existing literature, the purpose of our next step in measuring the extent of tax avoidance is to determine the a 'normal' level of BTDs in Chinese context that arise as a result of systematic differences between financial and tax reporting in order to arrive at an 'abnormal' BTDs by deducting this from total BTDs, in a way that takes the known features of uniqueness of Chinese corporate tax system into account. A reconciliation of pre-tax profit and tax expense allow us to avoid the measurement errors inherent in estimating BTDs which is relevant for income-effect BTDs (See details in Tang & Firth, 2011). The hypothesized drivers for these BTDs take into account of the tax adjustment items on tax forms of Chinese income tax laws are listed in Appendix 1.

(Insert Appendix 1)

As a result, the estimation equation is as follows:

$$BTD_{it}=\alpha_0+\alpha_1 TURNOVER_{it}+\alpha_2 OPE_{it}+\alpha_3 OPEPROFIT_{it}+\alpha_4 TOTALPROFIT_{it}+\alpha_5 LAG1 PROFIT_{it}+\alpha_6 LAG2PROFIT_{it}+\alpha_7 INV_{it}+\alpha_8 ASSETS_{it}+\alpha_9 INTEREST_{it}+Year+IND+\varepsilon_{it}$$

--------Equation (1)

The dependent variable BTD_{it} is the sum of the BTD categories in Appendix 1 disclosed by our sample firms. For consistent comparisons across the pre and post 2008 tax reform periods, all BTD values are rescaled by dividing their respective corporate tax rate for each firm-year observation. The variables to control for mechanical differences are collected from firms' financial statements including (e.g. Dai & Yao, 2006; Manzon & Plesko, 2002; Frank *et al.* 2009; Wilson, 2009; Tang & Firth, 2011) the net sales ($TURNOVER_{it,}$); the operating expenses (OPE_{it}); the operating profit before interests and taxes ($OPEPROFIT_{it}$); the pre-tax profit ($TOTALROFIT_{it,}$); the prior one-year lagged pre-tax profit ($LAG1PROFIT_{it}$); the prior two year lagged pre-tax profit ($LAG2PROFIT_{it}$); the total investment income(INV_{it});the total assets which is measured by its logarithmic form ($ASSETS_{it}$) and the finance interest income ($INTEREST_{it}$). YEAR and IND are the Year and industry dummies. α is the regression intercept. All variables are scaled by the lagged total assets except for ASSETS and robust standard errors by clustering on each firm (Chen & Al-Najjar, 2012) are applied. Finally, our tax aggressiveness measure "Abnormal BTD" or "ABTD" hereafter is calculated as the actual BTD minus the

fitted values of this BTD regression model, which is also the residual ε_{it} from this OLS regression.

3.2 Shareholder's valuation tests

We employ several market-related valuation proxies taken from prior literature, including Tobin's Q in the model. Within this literature studying the value implications of corporate tax planning, it has become the standard to use Tobin's Q to measure firm value (Desai & Dharmapala, 2009). The measure of Tobin'Q[1]is included with its definition of q is discussed below. The control variables are mainly related to agency costs and information asymmetry as well as several firm-specific characteristics in line with taxation literatures (Desai & Dharmapala 2009; Wahab & Holland, 2012; Tang & Firth, 2012) for example, dividend payout ratio (DP), capital intensity (CAPINT), leverage (LEV), earning management (EM), dummy variable for tax loss (LOSS), and firm size (LNTA). The initial model incorporating the proxy for tax planning and related control variables as follows in equation (2):

Tobin's $Q_{it} = \alpha_{it} + \beta_1 ABTD_{it} + \beta_2 LEV_{it} + \beta_3 EM_{it} + \beta_4 LOSS_{it} + \beta_5 LNTA_{it} + \beta_6 DP_{it} + \beta_7 ROE_{it} + \beta_8 CAPINT_{it} + YEAR + IND + \varepsilon_{it}$

---equation (2)

To assess whether the corporate governance factors have potential effect on the valuation of corporate tax planning, the above model is extended by including three corporate governance related variables INST, INDEP and OC following the studies of Desai & Dharmapala (2009) and Wahab & Holland (2012) as follows:

Tobin's $Q_{it} = \alpha_{it} + \beta_1 ABTD_{it} + \beta_2 LEV_{it} + \beta_3 EM_{it} + \beta_4 LOSS_{it} + \beta_5 LNTA_{it} + \beta_6 DP_{it} + \beta_7 ROE_{it} + \beta_8 CAPINT_{it} + \beta_9 INST_{it} + \beta_{10} INDEP_{it} + \beta_{11} OC_{it} + YEAR + IND + \varepsilon_{it}$

---equation (3)

The final model is extended by the inclusion of three interaction variables ABTD*INST, ABTD*INDEP and ABTD*OC by multiplying a firm's tax planning variable by INST, INDEP and OC variables respectively, in order to assess whether the relationship between tax planning and firm value is moderated by the strength of firms' corporate governance structures.

Tobin's $Q_{it} = \alpha_{it} + \beta_1 ABTD_{it} + \beta_2 LEV_{it} + \beta_3 EM_{it} + \beta_4 LOSS_{it} + \beta_5 LNTA_{it} + \beta_6 DP_{it} + \beta_7 ROE_{it} + \beta_8 CAPINT_{it} + \beta_9 INST_{it} + \beta_{10} INDEP_{it} + \beta_{11} OC_{it} + \beta_{12} ABTD*INST_{it} + \beta_{13} ABTD*INDEP_{it} + \beta_{14} ABTD*OC_{it} + YEAR + IND + \varepsilon_{it}$

---equation (4)

[1]Tobin's Q (TOBINQ1) that is applied for the main regressions in Table 4 is measured as market value A divide by ending total assets, where market value A consists of market value of equity plus market value of net debt, net assets is used to calculate the market value of the equity, denoted by null if the numerator has no value. We also apply another measure of Tobin's Q (TOBINQ2) as a robustness test, which is calculated as market value B divide by ending total assets, where market value B consists of market value of equity plus market value of net debt, negotiable share price is used to calculate the market value of the equity. Regressing TOBINQ2 into the independent variables in model 1, 2 and 3 produce qualitatively similar coefficients to the results reported inTable 4. Furthermore, industry-adjusted Tobin's Q (Firth *et al,* 2013) is also applied in the main regression models, the results are unaffected.

The dependent variable Tobin's Q_{it} is the proxy for the market value. $ABTD_{it}$ is the residuals from the BTD model in equation (1) which stands for abnormal BTD[2]. Corporate governance variables include: $INST_{it}$ is the percentage of institutional investor shareholding, $INDEP_{it}$ is the number of independent directors on the board and OC_{it} is the total percentage of top 10 shareholder shareholdings as ownership concentration measure. We further include a set of control variables, industry dummy IND and year dummies YEAR in the models. We include LEV_{it} to measure a firm's leverage level in order to capture the impact of the firm's capital structure on firm risk and the extent of the tax shield of debt (Hanlon *et al*, 2008; Frank *et al*, 2009; Armstrong *et al*, 2012),which is measured as total liabilities divided by total assets. We include DP_{it} which is measured as dividend per share divide by earning per share and $CAPINT_{it}$ which is measured as fixed assets divide by total assets to control for agency costs and information asymmetry. We include $LOSS_{it}$ to capture a firm's current profitability and whether loss firms have greater incentive to engage in aggressive tax strategies (Chan *et al*., 2010; Tang and Firth 2011; Badertscher *et al*, 2013), which is a dummy variable that equals to 1 when a consolidated entity has a loss in the current year t and 0 otherwise. The log of total assets as a measure of $LNTA_{it}$ is added to capture changes in the scale or size of the firm and also as a proxy for the benefits of tax sheltering (Wilson, 2009; Armstrong *et al*, 2012; Tang & Firth, 2012; Khurana & Moser, 2013). The return on equity ROE_{it} is added to control for firm's profitability. Finally, measure for earning management (EM_{it}) measured as the difference between profit before tax and operating cash flow is added to control for Chinese listed firms' engagement in earning management for financial reporting purpose, due to the fact that ABTD can be indicative of both earning management and tax management (Mills and Newberry, 2001; Phillips *et al*. 2003; Hanlon, 2005; Frank *et al*, 2009; Tang and Firth, 2011; Firth *et al*., 2013).

4. Empirical results and discussion

4.1 Sample and models

We collect data on financial statements and corporate governance from the CSMAR database from 2006 to 2012 as BTDs data were not available before 2006. Panel A of Appendix 2 outlines the sample selection procedures. The sample by year and by industry is shown in panels B and C. Table 1 reports the summary statistics and correlation matrix for the variable applied in the BTDs. Panel B of Table 1 shows that, regardless of the positive and negative BTDs, the mean BTD is biggest in 2008 which indicates strong tax management responding to the change of tax laws. Table 2 shows the descriptive statistics of the variables in equation 2 to 4 in Panel A and Pearson correlations among these variables in Panel B. We test for multi-collinearity by calculating variance inflation factors and all of the VIFs are under 10, which suggest that multi-collinearity does not appear to be a potential problem.

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[2] For robustness check, we also repeat all regressions using ABTD based on unadjusted BTD values calculated from equation 1. Our findings are unaffected.

4.2 Results

Table 3 reports the BTDs model OLS regressions as in equation (1). Six out of eight variables are significant in OLS regression, the signs on TOTALPROFIT, INV and ASSETS are positive and the signs on OPEPROFIT, LAG1PROFIT and LAG2PROFIT are negative. The model explains around 45% of the variations in BTD. As a robustness check, we also run separate regressions for positive and negative BTDs and find similar results. This indicates that our model is a good fit for tax management in either direction. We use the residual calculated from the BTD model in equation (1) as the "abnormal BTD" measure ABTD, our proxy for tax aggressiveness.

Table 4 reports our basic results on shareholders' value and tax aggressiveness. The first two models show that a significant negative association between tax planning and firm value, which is robust to control for firm-specific characteristics (model 1) and corporate governance measures in model 2. The results is consistent with Desai & Dharmapala's (2006) agency cost theory of tax planning that that managers are provided incentives for own benefits at the expense of shareholders when there is a lack of transparency associated with tax planning activities. The positive significant coefficient with respect to INST is consistent with Yuen & Zhang (2008) and Yang, Chi &Young (2011) on the increasingly effective monitoring role played by Chinese institutional investors. It can be argued that the negative relationship between tax planning and firm value may increase non-linearly (Hanlon & Slemrod, 2009; Wahab & Holland, 2012), as a result, model 1 and 2 were re-estimated with the inclusion of square term defined as ABTD*ABTD, the inclusion of this quadratic tax planning variables did not change the results reported previously (See Table 4).

Model 3 incorporate[3] three interaction variables ABTD*INST, ABTD*INDEP and ABTD*OC to examine whether the relationship between tax planning and firm value depends upon the strength of corporate governance mechanisms. The results shows that the previously negative significant relationship between tax planning and firm value still holds, in contrast with studies of Desai and Dharmapala (2009). The three interaction variables contribute little in terms of their additional explanatory power when comparing the adjusted R^2 for model 3 with that of model 2. As an additional test of the potential effect of corporate governance structure, model 1 was examined separately for firm-years observations with high and low levels of institutional ownership, with regard to the 'high' and 'low' corporate governance effectiveness, following the studies of Desai and Dharmapala (2009), where high institutional ownership is defined as being a fraction that exceeds the median value of its institutional ownership. The results are reported in the final two columns of Table.

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[3]The recent change in Chinese tax regime that reducing the corporate income tax rate from 33 percent to 25 percent, that was effective in 2008 provided an opportunity to explore whether shareholders change their valuation of firms' tax planning activities in response to the change in tax enforcement (Jimenez-Augueira, 2008; Yuan, McIver & Burrow, 2012). It was conjectured that the outcome of those tax changes was to increase the value that shareholders attached to tax planning in the post-2008 period due to the more stringent tax regulatory environment and benefits from tax rate reduction. TR is a dummy variable with 1 stands for period 2008 to 2012 and 0 stands for period 2006 to 2007, and The interaction term (TR*ABTD) between TR and ABTD, is our main variable of interest. The model is as follows with unbalanced panel data from 2006 to 2012: Tobin's $Q_{it} = \alpha_{it} + \beta_1 ABTD_{it} + \beta_2 LEV_{it} + \beta_3 EM_{it} + \beta_4 LOSS_{it} + \beta_5 LNTA_{it} + \beta_6 DP_{it} + \beta_7 ROE_{it} + \beta_8 CAPINT_{it} + + \beta_9 TR_{it} + \beta_{10} TR*ABTD_{it} + YEAR + IND + \varepsilon_{it}$. Due to the insignificance of the variable of interest TR*GOV, the regression results are not reported)

Both estimations report negative relationship between tax planning and firm value, although coefficient on ABTDs is significant in the subsample of high levels of institutional ownership. In contrast to Desai and Dharmapala (2009), these results suggest that corporate governance structure does not mitigate the negative relationship between firm value and tax planning even in the case of 'high' (well-governed) governance firms (Wahab & Holland, 2012).

5. Conclusion

Recent widespread earning manipulations, tax sheltering activities and pervasive accounting scandals have drawn much attention from academics, regulators and users of financial information. Prior studies have documented that large book-tax differences are' red flags' to investors, tax authorities as well as credit agencies (Lev & Nissim, 2004; Hanlon, 2005; Wilson, 2009; Ayers *et al.* 2010).

The study examines the shareholder valuation of tax aggressiveness, as it is not clear whether benefits of firms' tax planning activities accrue to the firms' shareholders or its managers in the Chinese corporate environment, while the latter party exploit the tax aggressive positions for the own benefits at the expense of their firms' shareholders due to the separation of ownership and control. This study extends the existing literature in China with its unique institutional characteristics that are different from those in the developed world. This study follows the approach of Tang & Firth (2011) by using tax-effect BTDs and taking advantage of information available in the notes to tax reconciliation to model the difference between income for financial reporting purposes and income for tax reporting purposes and decomposing between mechanical differences (NBTDs) and opportunistic differences (ABTDs). Based on a hand collected sample of 229 publicly listed Chinese firms over the 2006 to 2012 period, the basic idea of this study is to refine the procedures to estimate normal and abnormal BTDs from a firm, the fitted value from the modeled regression give rise to NBTDs and the residuals are the ABTDs which are presumed to arise as a result of earning management and tax planning. This residual approach is of significance to isolate managers' opportunistic behaviors and the empirical evidences provide new insights to help explain the informational content of book-tax differences. Then we will use the refined decomposition of tax liability to examine the relationship between abnormal BTDs and the proxy for firm value.

Our empirical conclusion extends prior studies that aggressive tax behavior is not perceived by shareholders as a value enhancing activity (Desai & Dharmapala 2009; Hanlon & Slemrod, 2009; Wilson, 2009) but in fact is value reducing (Wahab & Holland, 2012). A consistent negative association between firm value and tax planning activities is found which is robust to a wide number of different controls and specifications as well as the inclusion of corporate governance measures; and the results are consistent with the agency cost theory of tax planning of Desai & Dharmapala (2006). With regards to the shareholder valuation of tax aggressiveness, the inferences were based on an association test which may cause problem due to the omitted correlated variables; meanwhile, the factors used to capture the corporate governance structure are far from perfect and further criteria imposed to split firms into subgroups are required by researcher (Jimenez-Augueira, 2007).

Appendix 1: Hypothesized drivers of BTDs

	Category of BTD	Hypothesized Drivers of Category	Proxy variables
1	Income not taxable	Investment income and Finance income	INV_{it} $INTEREST_{it}$
2	Expenses not deductible	Industry membership; operating expenses.	OPE_{it}
3	The effect of the application of a different tax rate to income, either because it is generated abroad or because it is subject to a different domestic tax rate	Profit before exceptional items; turnover; total assets all by geographical segment.	$TURNOVER_{it}$ $ASSETS_{it}$ $OPEPROFIT_{it}$
4	Prior year adjustments	Prior two years' lagged pre-tax profit.	$LAG1PROFIT_{it}$ $LAG2PROFIT_{it}$
5	Utilization of brought-forward tax losses (Recognition of previous unrecognized losses)	Current period pre-tax profit and two lags of pre-tax profit.	$TOTALPROFIT_{it}$ $LAG1PROFIT_{it}$ $LAG2PROFIT_{it}$
6	Current period tax losses carried forward (Current period unrecognized losses)	Current period pre-tax profit and two lags of pre-tax profit.	$TOTALPROFIT_{it}$ $LAG1PROFIT_{it}$ $LAG2PROFIT_{it}$
7	Taxation of capital gains and losses	Accounting gains on sale of fixed assets	N/A
8	Other permanent differences	Try a combination of the previous drivers	N/A

Appendix 2: Sample selection

Panel A: pooled sample	
Firm-year observations for both A share and B share firms between 2006 and 2012	10640
less observations without annual reports	315
Less B-shares observations have the same data with A shares	294
less observations with insufficient data to calculate book-tax differences (firms did not disclose the tax reconciliation in their notes to financial statements)	8818
Less observations in financial and insurance industries	133
Final sample	1080
Panel B: sample by year	
2006	106
2007	127
2008	156
2009	170
2010	195
2011	193
2012	133
Panel C: Sample by Industry	
Farming, forestry, animal husbandry and fishery	0
Mining	67
Manufacturing	491
Utilities	71
Construction	36
Transportation and warehousing	133
Information technology	54
Wholesale and retail trade	43
Finance and insurance	0
Real estate	106
Social service	46
Communication and cultural industries	16
Conglomerates	17

Table 1: Descriptive statistics for the BTD model

Panel A: Descriptive statistics for BTD model

Variables	Obs	Mean	Std. Dev	Max
BTD	1080	0.014	0.288	7.800
TURNOVER	1080	0.724	0.488	3.604
OPE	1080	0.673	0.489	3.543
OPRPROFIT	1080	0.061	0.067	0.339
TOTALPROFIT	1080	0.059	0.069	0.665
Lag1PROFIT	1052	0.051	0.072	0.763
LAG2PROFIT	1024	0.087	1.469	46.981
INV	1022	0.010	0.022	0.279
ASSETS	1080	-1.532	1.675	3.738
INTEREST	1074	0.002	0.002	0.016

Panel B: Descriptive statistics for BTDs

	Full sample BTDs		Positive BTDs		Negative BTDs	
Year	Obs	Mean	Obs	Mean	Obs	Mean
2006	106	0.034	77	0.050	29	-0.006
2007	127	0.008	92	0.014	35	-0.007
2008	156	0.051	86	0.096	70	-0.005
2009	170	0.023	91	0.048	79	-0.006
2010	195	-0.005	125	0.007	70	-0.026
2011	193	0.001	119	0.004	74	-0.004
2012	133	0.000	70	0.004	63	-0.004
2006-2012	1080	0.015	660	0.029	420	-0.008

Variable definitions are as follows: BTD is the reported tax-effect total BTDs; OPE is the operating expenses; OPEPROFIT is the operating profit before interests and taxes; TOTALPROFIT is the pre-tax profit; LAG1PROFIT is the prior one year lagged pre-tax profit and LAG2PROFIT is the prior two year lagged pre-tax profit; INV is the total investment income; ASSETS is the log of (total assets divided by the average total assets across the whole sample); INTEREST is the finance interest income.

Table 2: Summary statistics for variables in shareholder value and ABTD model

Panel A:Summary statistics for variables

Variables	Obs	Mean	Std Dev	Min	Max
TOBINQ	1046	1.591	1.960	0.397	57.510
ABTD	958	0.000	0.008	-0.055	-0.030
LEV	1054	0.519	0.201	0.014	1.375
EM	1054	-0.628	0.099	-0.452	0.905
LOSS	1073	0.072	0.259	0.000	1.000
LNTA	1054	10.038	0.726	7.325	12.336
DP	721	0.766	5.859	0.001	154.410
ROE	1044	0.077	0.334	-8.889	0.661
CAPINT	1054	0.305	0.210	0.000	0.861
INST	1024	0.454	0.257	0.000	0.982
INDEP	1044	0.369	0.064	0.091	0.800
OC	1051	0.635	0.178	0.148	1.018

Panel B: Pearson Correlation Matrix for ABTD model

	TOBINQ	ABTD	LEV	EM	LOSS	LINA	DP	ROE	CAPINT	INST	IN
ABTD	-0.308										
LEV	-0.151	0.132									
EM	0.081	0.194	0.097								
LOSS	-0.016	-0.087	0.165	-0.192							
LNTA	-0.318	0.289	0.298	-0.039	-0.084						
DP	-0.021	0.065	0.014	-0.001	0.131	0.045					
ROE	0.022	0.082	-0.133	0.109	-0.367	0.072	-0.107				
CAPINT	-0.082	0.049	-0.090	-0.352	0.125	0.132	0.054	-0.038			
INST	0.031	0.013	0.039	-0.043	-0.131	0.295	0.007	0.102	-0.012		
INDEP	-0.067	0.077	0.162	0.106	0.035	0.248	0.029	-0.057	-0.151	0.015	
OC	-0.158	0.161	0.013	-0.179	-0.065	0.503	0.048	0.083	0.227	0.066	0

Table 3: Estimated coefficients from BTD model

Dependent Variables	BTD	Positive BTD	Negative BTD
	(1)	(2)	(3)
OPE	0.000	0.000	-0.001
	(0.24)	(0.41)	(-0.36)
OPEPROFIT	-0.091***	-0.119***	-0.058**
	(-4.89)	(-5.76)	(-2.14)
TOTALPROFIT	0.169***	0.155***	0.144***
	(8.71)	(7.48)	(3.92)
Lag1PROFIT	-0.017***	-0.004	-0.022***
	(-3.09)	(-1.04)	(-3.18)
LAG2PROFIT	-0.020***	-0.013**	-0.016
	(-2.77)	(-1.96)	(-0.77)
INV	0.063***	0.049***	0.004
	(3.39)	(3.28)	(0.15)
ASSETS	0.001***	0.000	0.002***
	(4.10)	(0.25)	(4.47)
INTEREST	-0.155	-0.269***	-0.023
	(-1.55)	(-2.58)	(-0.15)
Intercept	0.002*	0.004***	0.000
	(1.82)	(2.94)	(-0.03)
Observations	958	586	372
R-square	0.448	0.512	0.453
Year dummies	controlled	controlled	controlled
Industry dummies	controlled	controlled	controlled

Note: All variables are scaled by total assets except total assets itself. Numbers in brackets are reported t-statistics based on robust standard errors. *,**,*** denote significance at 10%, 5% and 1%, respectively. Variable definitions follow Table 1.

Table 4: shareholder value and tax aggressiveness where ABTD is the residuals from BTD model

	Shareholder value and tax aggressiveness	Potential effect of corporate governance factors on valuation of tax aggressiveness	moderating strength of corporate governance structure on the relationship between firm value and tax aggressiveness			moderating strength of corporate governance structure on the relationship firm value and tax aggressiveness
				High institutional ownership	Low institutional ownership	
Year	2006-2012	2006-2012	2006-2012	2006-2012	2006-2012	2006-2012
Dependent variables	TOBINQ 1	TOBINQ 1	TOBINQ1	TOBINQ 1	TOBINQ 1	TOBINQ1
ABTD	-0.225***	-0.186***	-1.31***	-0.235**	-0.058	-0.186***
	(-3.54)	(-3.16)	(-3.80)	(-2.55)	(-1.12)	(-3.02)
ABTD*ABTD						0.137**
						(2.31)
LEV	-0.731***	-0.9***	-0.66***	-1.54***	-0.046	-0.662***
	(-3.65)	(-4.18)	(-3.63)	(-4.54)	(-0.26)	(-3.23)
EM	0.046	0.192	-0.02	0.019	0.891*	0.09
	(0.12)	(0.52)	(-0.26)	(0.03)	(1.96)	(0.24)
LOSS	0.363**	0.238***	0.263***	0.719***	-0.06	0.297*
	(2.07)	(3.22)	(3.3)	(4.24)	(-0.15)	(1.93)
LNTA	-0.341***	-0.367***	-0.434***	-0.337***	-0.409***	-0.341***
	(-7.28)	(-6.52)	(-8.74)	(-4.31)	(-8.44)	(-7.74)
DP	0.007***	0.006***	0.04**	0.007***	0.012	0.005***
	(3.77)	(3.2)	(2.07)	(3.87)	(0.6)	(3.61)
ROE	3.58***	2.87***	1.93***	3.75***	1.91***	2.95***
	(7.18)	(6.36)	(4.7)	(5.68)	(3.66)	(6.43)
CAPINT	-0.221	-0.301**	-0.304**	-0.305	-0.047	-0.152
	(-1.49)	(-1.99)	(-2.10)	(-1.44)	(-0.30)	(-1.03)
INST		0.966***	1.01***			
		(7.99)	(7.99)			
INDEP		-0.047	-0.126			
		(-0.14)	(-0.34)			
OC		-0.858***	-0.849***			
		(-4.03)	(-4.27)			
INST*ABTD			-0.663***			
			(-2.76)			
INDEP*ABTD			1.525*			
			(1.94)			
OC*ABTD			1.39***			
			(3.26)			
Intercept	4.685***	5.41***	6.10***	4.89***	5.424***	4.67***
	(9.72)	(11.23)	(12.44)	(6.05)	(10.29)	(10.31)

Observations	663	641	644	379	284	663
R-square	0.459	0.525	0.577	0.513	0.502	0.48

Note: All variables are deflated to control for any scale effects. Numbers in brackets are reported t-statistics for respective coefficients. Model results are based on robust standard error to control for heteroscedasticity and serial correlation. Asterisks *,**,*** denote two-tailed statistical significance at 10%, 5% and 1%, respectively. Variable definitions: ABTDit are derived from BTDs model, figures in ABTDit are all multiplied by 100 for scale effects; TOBINQit is measured as market value A divide by the ending total assets; OCit is the ownership concentration, INSTit is the institutional shareholding; INDEPit is the percentage of directors who are independent; LEVit is the leverage ratio; LOSSit is a dummy variable that is equal to 1 if firm i reports a loss, where loss is net income before extraordinary items and 0 otherwise; EMit is the earning management measure which is calculated as profit before tax-operating cash flow; LNTAit is log of the total assets at the fiscal year-end t; ROEit is return on equity which is proxy for firm profitability; DPit is the dividend payout ratio which is calculated as the dividends per share divide by earning per share; CAPINTit is the capital intensity, which is calculated as the fixed assets divide by total assets; Year and industry dummy variables are also included in models.

iafor

Table 6: Other measures of Market Value

Year	2006-2012	2006-2012
Dependent variables	CFO	VOL
ABTD	-0.139**	0.014**
	(-2.04)	(2.39)
LEV	-0.632***	0.098***
	(-3.22)	(3.58)
EM	0.09	0.193***
	(0.19)	(3.96)
LOSS	0.112	0.018
	(0.55)	(0.66)
LNTA	-0.324***	-0.059***
	(-5.64)	(-8.13)
DP	0.006***	-0.004*
	(3.67)	(-1.77)
ROE	2.07***	0.138**
	(3.19)	(2.18)
CAPINT	-0.027	0.05**
	(-0.16)	(2.35)
Intercept	4.62***	0.931***
	(8.13)	(12.48)
Observations	663	641
R-square	0.293	0.718
Year dummies	controlled	controlled
Industry dummies	controlled	controlled

Note: All variables are deflated to control for any scale effects. Numbers in brackets are reported t-statistics for respective coefficients. Model results are based on robust standard error to control for heteroscedasticity and serial correlation. Asterisks *,**,*** denote two-tailed statistical significance at 10%, 5% and 1%, respectively. ABTDit are derived from BTDs model in previous section, figures in ABTDit are all multiplied by 100 for scale effects; CFOit is the cash flow capacity measured as cash flow from operating activities divide by ending total assets; VOLit is the volatility of monthly return which measure total risk associated with a firm's stock price.

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Sino-Japanese Cultural Trade Development Status Quo and Its Influencing Factors
- Empirical Analysis Based on the Gravity Model

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Abstract

This paper, based on the analysis of the Sino-Japanese cultural trade situation，applies the gravity model into the field of cultural trade, from the point of view of the empirical analysis to study the impact of cultural trade factors, to identify appropriate measures to promote the further development of cultural trade. Studies have shown that although relatively rapid growth of the Chinese culture and trade volume, from the view of China's exports to Japan, the cultural trade situation of Chinese-Japanese can be described as extremely severe. And the Sino-Japanese cultural creative product similarity index is relatively high, which is illustrate the trade relation of creative products between the two countries is competitive. Through empirical analysis found that the trading partners' GDP, population and cultural distance have a significant impact on China's cultural trade. From this point of view, there is great potential for the development of cultural trade between China and Japan, and put forward corresponding policy recommendations.

Keywords: Sino-Japanese cultural trade   Gravity Model   Influencing factors

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Part I Introduction

1.1 Background and Significance

Under the promotion of economic globalization, cultural trade has become an important part of international trade. Cultural trade occupies an increasingly large proportion of a country's total trade. An economic crisis let the eyes of the global re-gathered in this area.

The development of a country's cultural trade can not only promote the development of the national economy, which has profound economic value, but also promote their own culture to the world, which can enhance the people of the world understanding their own culture.

In the process of building a moderately prosperous society in history to achieve the great rejuvenation of the Chinese nation, accelerating the development of cultural industries and trade, and developing of socialist advanced culture is a status and role of the global, is an inherent requirement to speed up the socialist modernization, is an important content for China to achieve political, economic, social and cultural development, and to build a harmonious society. To develop the China's cultural industry we must accelerate its outward internationalization process, and enhance the competitiveness of China's cultural industry internationally.

After World War II, the gravity model is becoming an important tool to study bilateral trade amount. The one hand, it has made some progress on the total amount of trade between countries, industry trade within countries regions and trade between regions within countries. The other hand, it faced with the embarrassment of the lack of a solid theoretical foundation, it also for a long time did not get the attention of mainstream economics.

This article let gravity model be applied to the field of cultural trade, from the point of view of the empirical analysis to study the impact of cultural trade factors, in order to identify the appropriate countermeasures to promote the further development of cultural trade.

Part II. Review of related literature

Anne-Ce´lia Disdier • Silvio H. T. Tai •Lionel Fontagne´ •Thierry Mayer (2010), focus on bilateral trade in cultural goods and investigate its determinants. Furthermore, they use trade in cultural goods as a proxy for countries' cultural proximity and study if countries with proximate cultural tastes have more intense bilateral exchanges. Their estimations show a positive and significant influence of cultural flows on overall trade, suggesting that regulations fostering domestic cultural creation might have impacts going beyond what is generally expected.

Li Kunhong, Zong Ping (2011) thought China has a wide range basis of cultural trade. However, the current Sino-Japanese cultural trade, China is in a deficit position. Through the study of the characteristics of the development of the cultural industry in China and Japan show that the main reason for China's cultural trade disadvantage is the cultural products are too single, lack of cultural talents, the high cost of cultural creativity, lack of support for cultural policy. In order to reverse the situation of the weak competitiveness of China's cultural trade, China should develop cultural products with brand effect, develop cultural creative talent, build a sound financing system, strengthen protection of the network of intellectual property rights and create the local cultural emotion in the whole society.

The use of gravity model in China—Jin Zhesong (2000) with the most simplified gravity model analysis of China's exports going and its size positively correlated with the other country's economic size and income level, negatively correlated with geographic distance. Gu Kejian (2001) thought that when construct the gravity model of China's trade, we must consider the transitional economic influence the trade flows. According to the above principles, China's trade gravity model construction should be introduced a promote variable of export-oriented trade diversion.
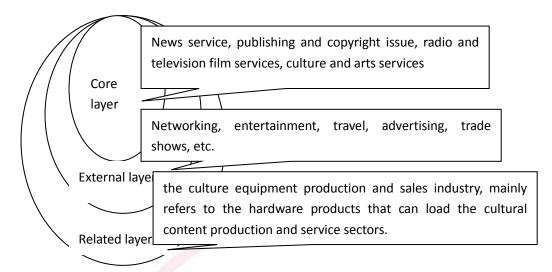
Qu Xiaoru, Han Lili(2008), took bilateral cultural trade data from 1992 to 2008 and with nine countries and regions as the sample, and used gravity model to an empirical test of the impact factors of the China's culture merchandise trade. The results showed that: Trading partner economies of scale, the purchasing power of residents, land area, application of technology level, and cultural distance have a positive impact on the export of cultural goods in China; The trade objects country's terms of trade and geographic distance are negatively correlated with export scale of cultural goods. The size of China's economy, the purchasing power of residents, as well as with trade partners to join the same free trade area and other factors have little effect on their culture merchandise exports.

Part III. Introduction of cultural industry and cultural trade
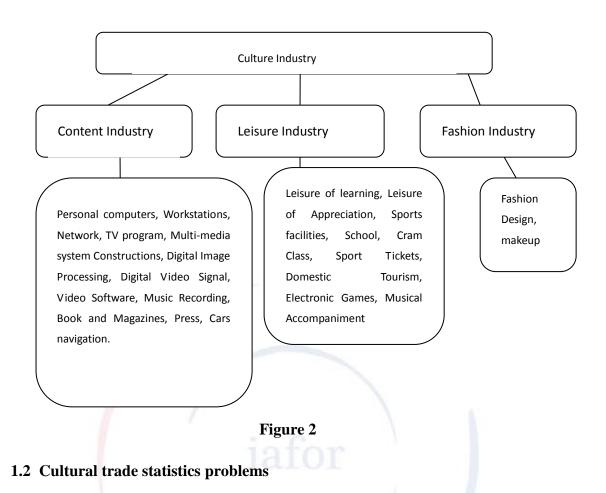
3.1 The definition of the cultural industry

UNESCO on the definition of "cultural industries"："Cultural industries" refers to the production of tangible / intangible artistic and creative industry. Through the development and utilization of cultural assets and cultural industries can provide the knowledge-based products / services, thereby creating wealth and increase revenue. In March 2004, China's first definition of "cultural industries". Task Force developed "culture and industry classification standard", promulgated and implemented by the National Bureau of Statistics. According to the "culture and industry classification standard", cultural industry refers to the activities of cultural, entertainment products and services for the public, as well as a collection of activities associated with these activities. " National Bureau of Statistics also divided cultural industrial categories

into three levels of the core layer, the external layer and related layer, as shown in Figure 1:

Figure 1

In Japan, the culture industry is called as the "entertainment and sightseeing industry", which contains the content industry, leisure industry and fashion industry. In 1998, "Japan Modern Terminology Elementary Materials" defined the concept of "culture industry" as that with the rapid development of industrialization, Japan's national income has obtained vigorous enhancement. In recent years, Japan has preferred to use the term of "Content Industry" to substitute for the "Cultural Industry", which is actually putting more emphasis on the cultural content of the cultural products. The classification for Japan's cultural industry is showed as follows.

Figure 2

1.2 Cultural trade statistics problems

All countries in the world of cultural trade statistics caliber are inconsistent, which formed different definition standard.

What internationally accepted is the international trade statistics standard UNESCO Framework for Cultural Statistics (FCS), It divided the current international circulation of cultural goods and services into 10 categories, which are as follows: Cultural heritage (coded as 0); prints and literary works (1); Music (2); Visual Arts Performing Arts (3); (4); film and photography (5); Radio and Television (6); social and cultural activities (7); sports and games (8); environment and natural (9)

The international generic "Harmonized Commodity Description and Coding System" (HS) has become an important foundation and tools of the International Trade Administration.

According to categories of commodity production, natural attributes and functional use, HS divided cultural goods into 21 categories and 97 chapters. A total of six headings and subheadings, and constitute of 4 levels. The cultural products focus on the 49th chapter, chapter 95 and 97 chapters, and other cultural commodity dispersion in other category.

This paper will employ the statistics from the HS.

Table 1：

Chapter 49	books, newspapers printed pictures and other printed matter, manuscripts, typescripts and design drawings
Chapter 95	toys, games, sporting goods, and parts and accessories
Chapter 97	works of art, collectibles and antiquities

From: "Annual Report of China's foreign trade in culture (2012)"

Part IV. Sino-Japanese Cultural Trade Development Status

4.1 The Development Status of China's culture trade

Under the impact of the U.S. subprime mortgage crisis and the European debt crisis, the world economic growth slowed down. Global trade market demand became weak. The growth of China's import and export had fallen sharply. On the contrary, Trade in cultural products grew conversely, which continued to maintain high-speed growth.

The China's cultural products trade develops rapidly, Trade volume rose from $ 3.93 billion in 2002 to $ 14.53 billion in 2011. It increased 2.7 times in the 10 years and continued to maintain a trade surplus.

Table 2:2009 - 2011 the foreign trade of China's main cultural products (Unit: million dollars)

		Printed publication	Audiovisual product	TV program	movie
2005	Export	32.8718	2.1101	-	0.0122
	Import	164.1833	19.3302	-	1.6916
	Net-ex	-13131.15	-1722.01	-	-1.6794
2006	Export	36.3145	2.8498	-	0.1740
	Import	180.9753	30.9729	-	15.1335
	Net-ex	-144.6608	-28.1231	-	-14.9595
2007	Export	37.8747	1.8052	-	0.1569
	Import	211.0546	43.4028	-	27.0795
	Net-ex	-173.1799	-41.5976	-	-26.9226
2008	Export	34.8726	10.133	17.9565	0.0971
	Import	240.6162	45.5883	65.3730	25.3640
	Net-ex	-205.7416	-44.575	-47.4165	-25.2669
2009	Export	34.3773	0.6112	13.4266	0.2784
	Import	245.0529	65.2708	72.6671	33.1690
	Net-ex	-210.6756	-64.6596	-59.2405	-32.8906
2010	Export	37.1101	0.4717	31.0387	0.1833
	Import	260.0860	113.8271	63.5945	27.3931
	Net-ex	-222.9759	-113.3554	-32.5558	-27.2098
2011	Export	39.055	0.25	33.3667	0.197
	Import	283.733	130.85	68.364	29.44
	Net-ex	-244.678	-130.6	-34.9973	-29.243
2012	Export	45.3	0.29	38.74	0.2285
	Import	329.13	151.79	79.302	34.1504
	Net-ex	-283.83	-151.5	-40.562	-33.9219

From: "Annual Report of China's foreign trade in culture (2012)"

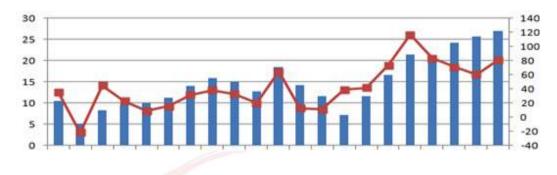The status quo of China's foreign cultural trade

1. The scale of the trade of cultural products maintained rapid growth, exports account for absolute dominance.

China's cultural products trade showed rapid growth in the first three quarters of 2012, import and export volume reached 16.65 billion U.S. dollars and there is an increase of 66.9% over the same period last year. Among this, cultural exports amounted to $ 15.56 billion, an increase of 66.8% over the same period last year, accounting for 93.5% of the total import and export trade. Imports totaled $ 1.09 billion, an increase of 67.8% over the same period last year. Trade surplus totaled 14.48 billion U.S.

dollars, an expansion of 66.7% over the same period last year.

From January 2011 to September 2012 China's total import and export of cultural products, and a year-on-year trend (Unit: 100 million dollars & percents)
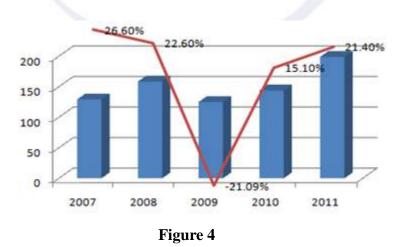

Figure 3

From: Customs Information Network statistics （2012）

2.   The pace of development of China's cultural trade lagged behind the overall growth of the country's foreign trade

According to Statistics 2000-2010, China's import and export of goods trade grew substantially, the average annual growth rate at 22.4%. While, the increase of the core cultural exports fluctuated considerably. Therefore, its development is very unstable.

China's total trade of core cultural products and growth rate (Unit: 100 million U.S. dollars & percents)

Figure 4

From: "The annual report of the import and export situation of China's cultural products and services" of trade in Services Division of the Ministry of Commerce. （2011）

3. The higher proportions of exports are visual arts, highlighting the trade structure of China's cultural products is not balanced.

Visual arts as low-value-added, labor-intensive products, which are China's cultural products export main varieties. These products' exports totaled 10.38 billion U.S. dollars, accounting for 62.3% of China's total exports of cultural products. While the core culture of knowledge and technology-intensive products such as audio-visual media, printed materials had a smaller proportion and processing trade is the main mode of production. It illustrates the uneven development of the structure of China's cultural products trade.

Table 3:

2012 first three quarters of China's import and export of cultural products

	total volume of imports and exports		exports volume		imports volume		
	dollar	rate	dollar	rate	dollar	rate	
Visual arts	104.7	65.7	103.8	66.2	0.9	26.8	
prints	25.5	9.9	21.4	8	4	21	
Audiovisual media	17.1	5317.2	16.4	165,475.9	0.7	135.5	
Audio and video products	6.4	232.5	2.9	208.5	3.5	255.5	
Cultural Heritage	0.5	379	0.04	260.9	0.5	393.1	
others	12.4	11.4	11.2	10.7	1.2	18.6	

From: the Customs Information Network statistics （2012）

3.2 Comparison of Sino-Japanese cultural creative products trade

Since the 1990s, with the rapid development of the global creative economy, the cultural creative industries in many countries and regions have become the strategic industries and pillar industries, and also become strategic choice of many countries to revive economic growth, stimulate employment and increase social cohesion.

According to the Statistics released by United Nations Conference on Trade and Development (UNCTAD) in December 2011 "Creative Economy Report 2011", in 2002-2010, the global creative product exports average annual increased by 8.85%, creative services exports average annual growth at rate of 14.15%. It has become one of the fastest growing areas of international trade, global exports of creative products in 2010 reached 383.208 billion U.S. dollars. Creative exports of high growth in Asia, China and Japan are the world's major cultural creative product exporting countries. China is the most world's exports of creative goods country and its creative merchandise exports accounting for 25.5% of the world in 2010. The United States is

the largest export market for the cultural creative products in China and Japan. Compared with Japan, China is more dependent on the U.S. market.

Table 4:Sino-Japanese cultural and creative products export trade

item	country	2008	2009	2010	
exports on the world market (million dollar)	China	84807	75740	97754	
	Japan	6988	5224	5828	
exports on the U.S market (million dollar	China	25160	21788	27725	
	Japan	1205	1020	1084	
exports to the U.S. accounted for	China	29.67%	28.77%	28.36%	
	Japan	17.24%	19.52%	18.60%	

From: the China Cultural Trade Annual Report (2012)
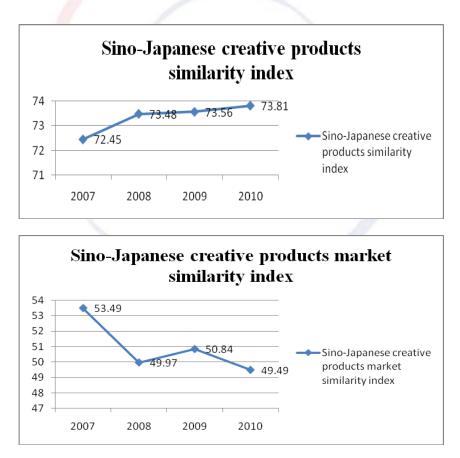
Figure 6 (uint: percents**)**

From: the China Cultural Trade Annual Report (2012)

The figure 6 reflects the date the product similarity index is greater than the market

similarity index. The creative product exports' product structure and market structure is similar, which determines their creative products trade relations mainly in competition.

At the same time, the Sino-Japanese creative products similarity index in recent years with a downward trend illustrates that there have been awareness of the intense competition, and they began to take an alienation competitive strategy on the creative product consciously.

Part V. Gravity model in the application of cultural trade

The thought of gravity model was originated from Newton's law of gravitation. The gravitational force between two objects is proportional to their quality, while it is inversely proportional to the distance between them.

Tinbergen (1962) first applied it to the field of international trade research, using a simple form of the model to measure the bilateral trade flows. He used GDP to replace the quality and used the distance between countries to replace the centric distance between the substances. He drew a conclusion after modeling that the trade flows from one country to another country mainly depends on the country's economic size and geographic distance between the two countries.

The most basic form of trade gravity model:

$$X_{AB}=\beta_1（GDP_A GDP_B）/\beta_2 DIST_{AB} \qquad (1.1)$$

Where X_{AB} represents the flow of bilateral trade between country A and country B，GDP_A, and GDP_B represent the size of the economy of these two countries，$DIST_{AB}$ is used to measure the distance between the two countries, 2 represents for proportionality constant. The model shows that the scale of bilateral trade flows between the two countries is proportional to their total economic output and is inversely proportional to the distance between them.

To get the gravitational estimated equation, we usually transformed into logarithmic linear style just as formula 2.2

$$\ln X_{AB}=\lambda +\beta_1 \ln（GDP_A GDP_B）+\beta_2 \ln DIST_{AB} +\varepsilon \qquad (2.2)$$

Where λ, β_1 和 β_2 are undetermined coefficients. We expect sign of β_1 is positive. The greater scale of their economies, the greater the amount of bilateral trade between them. β_2's sign is expected to be negative. The two countries are farther apart, the volume of trade is smaller. Random error term ε contains all possible factors that affect the amount of bilateral trade.

Later on, scholars added other variables to the basic model to calculate the impact of the amount of bilateral trade by other factors. Linnemann (1966) introduced the population as variables into the model, Bergstrand (1989) introduced per capita income and exchange rate and dummy variables into the model, letting the model contains more variables. Frankel (1997) regarded real GDP and distance as the elements of the standard of the gravity model. At the same time, he added some elements such as common border, common language, per capita GDP and whether it is belong to the Trade Union so that become a complete form of the gravity model.

It is important to consider some special virtual factors into the cultural trade, the extremely important factor is – qualitative the difference of cultural background. Some scholars defined it as the use of different languages (Wang Luyao, Luo Wei, 2010). Some scholars calculated different countries' cultural dimension data which is provided by the official website of Professor Hofstede (songs Ruxiao Han Lili, 2010).

Part VI. The empirical analysis

6.1 The basic assumption for the influencing factors of cultural trade

1. **The scale of economies**: Cultural products (services) need a certain level of income to support. When a national reached a very high level of material living standards, its demand for spiritual life will increase. Foreign GDP is the gross domestic product of a country. It an important indicator that reflects of a country's economic size. Generally assumed that it is positively correlated with the purchase of cultural products (services), countries with higher gross national product, the stronger purchasing power and the greater the volume of trade.

2. **The size of the population:** In general, in the same other conditions, countries or regions with large population size relative to the small population size whose purchasing power is stronger absolutely. In addition, the structure of the population also affects the spending power of the economy. To the relatively low level of education groups there are some limitations and cognitive difficulties of their foreign cultural awareness. While to the relatively high level of education groups there is a desire for external culture, and they absorb and digest foreign culture more easily so that their demands for cultural products (services) are relatively strong.

3. **Geographical distance:** The distance to a certain extent is able to reflect the cost of transaction size and the difference of the preference. The remote geographical distance will not only increase the cost of the contract signed, but also will increase the cost of the contract performance. Generally speaking, the more distant place is, the larger cultural trade transaction costs; otherwise smaller. Therefore, we expect the farther geographical distance, the less cultural trade.

4. **Cultural distance:** In the world, each nation has its own unique cultural background. The similar cultural background means that the lower barriers to entry. Luostarine (1980) had already proposed the concept of "cultural distance". He thinks that "cultural distance" refers to those on the one hand to create knowledge needs between the home and host countries. On the other hand it is the sum of the element which has hindered the flow of knowledge. Actually it is a problem of the differences on cultural background. In short, the exports of one country's cultural products (services) are more easily accepted and loved by the people of another country, the greater the scale of a country's exports of cultural products (services).

6.2 Variable selection and data sources:

1. Dependent variable:

We select the trade volume of China's cultural products (services) of 16 major trading partners in 2011 as the dependent variable. According to the classification of cultural products from the previously mentioned HS, we calculate the three categories centralized on cultural goods import and export volume. (11 countries including: Australia, Canada, Japan, France, South Africa, Brazil, Spain, Hong Kong, China, New Zealand, Romania, the United States, Argentina, Russia, Saudi Arabia, South Korea, Germany).

2. Independent variable:

a) The scale of economies (GDP) and the size of the population (POP), whose data is from the IMF on April 17, 2012 issued "2011 countries/regions of the world GDP and population situation".

b) The geographical distance (DIST): We gain the data from the query system of Huangjin Yiyuan Website, which measures China and world city latitude and longitude. The standard is the shortest distance between Beijing and other countries' capital.

c) Cultural distance (SCC): the closeness of countries / regions to Chinese culture as the standard. Such as Japan, South Korea, Hong Kong which belongs to the East Asian cultural circle, and these countries / regions are assigned the value 1. Other countries which are far from the Chinese culture are assigned the value 0.

Illustration: Factors include the level of technology and trade conditions also have impact on the volume of cultural trade. But due to the references, the influence of these factors is not significant. This article excludes these factors, analyzing the mainstream factors on the impact of China's cultural trade.

6.3 Model:

$$\ln(\text{Ex})=\alpha+\beta_1\ln（\text{GDP}）+\beta_2\ln（\text{POP}）\beta_3\ln（\text{DIS}）+\beta_4\text{SCC}$$

In this paper, we use the method of least squares (OLS) on the base of multiple linear regressions on cross-sectional data. What we get is:

Dependent Variable: MAOYI
Method: Least Squares
Date: 03/05/13   Time: 10:10
Sample: 1 16
Included observations: 16

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-11.43985	5.049052	-2.265742	0.0446
GDP	1.562669	0.302276	5.169674	0.0003
POP	-0.872780	0.360699	-2.419691	0.0340
DIST	0.182835	0.482199	0.379169	0.7118
SCC	1.378102	0.854734	1.612317	0.1352

R-squared	0.818117	Mean dependent var	1.823967
Adjusted R-squared	0.751978	S.D. dependent var	1.536355
S.E. of regression	0.765133	Akaike info criterion	2.552774
Sum squared resid	6.439721	Schwarz criterion	2.794208
Log likelihood	-15.42219	F-statistic	12.36960
Durbin-Watson stat	2.508466	Prob(F-statistic)	0.000467

The model may have autocorrelation, but more often autocorrelation exits in the model of time-series data.

The cross-sectional data more easily exits heteroscedasticity. Under the condition of $H_0=\beta_1=\beta_2=\beta_3=\beta_4=0$, nR^2 progressive degrees of freedom for the X^2 distribution. Given the remarkable level of α, compare nR^2 the $X_\alpha(5)$, if $nR^2> X_\alpha(5)$, reject H_0, that is to say model parameters at least one significant non-zero, then there is heteroscedasticity, The result obtained is shown below.

White Heteroskedasticity Test:

F-statistic	1.588512	Probability	0.264807
Obs*R-squared	9.305294	Probability	0.231474

We can see at the 5% level of confidence significant, so accept the null hypothesis, there is no heteroscedasticity.

The regression result shows that DIST and SCC's t values do not pass the inspection.

The multicollinearity problems may exist between the explanatory variables. We use correlation coefficient to judge multicollinearity. We draw correlation coefficient of DIST and SCC is -0.63836, that is to say there is a significant correlation between geographical distance and cultural distance. Thus, excluding the insignificant explanatory variable DIST, we get the final results of the regression.

Dependent Variable: MAOYI
Method: Least Squares
Date: 03/05/13   Time: 10:17
Sample: 1 16
Included observations: 16

Variable	Coefficient	Std. Error	t-Statistic	Prob.
C	-9.648999	1.719920	-5.610143	0.0001
GDP	1.527264	0.277046	5.512668	0.0001
POP	-0.814857	0.314880	-2.587834	0.0238
SCC	1.100783	0.426247	2.582501	0.0240

R-squared	0.815740	Mean dependent var		1.823967
Adjusted R-squared	0.769675	S.D. dependent var		1.536355
S.E. of regression	0.737331	Akaike info criterion		2.440759
Sum squared resid	6.523888	Schwarz criterion		2.633906
Log likelihood	-15.52607	F-statistic		17.70842
Durbin-Watson stat	2.579839	Prob(F-statistic)		0.000105

The final regression results show: from the analysis of variance F statistic can test whether the regression equation is meaningful. Because the model P <0.001, we believe that the entire regression equation is statistically significant. R^2 value is 0.815740, these value are acceptable for a cross-sectional study.

6.4 Analysis and interpretation of the statistical results:

1.   The GDP's regression coefficient is 1.527264, which is illustrated there is a positive correlation between trade scale and GDP. It is statistically significant at the 1% level of significance. This result demonstrates that China's trading partner for every 1% increase in GDP, its culture merchandise trade increased to 1.527264%. GDP is always the most important factor of cultural trade. The impact on the volume of cultural trade is the most significant. The level of a country's economy will directly determine the size of the demand for foreign cultural goods (services). It is consistent with expectations.

2.   The population is also statistically significant. But its regression coefficient is -0.814857, so there is a negatively correlated with the scale of cultural trade. That is to say the population of the trading partners increase, China will reduce its cultural trade with them. Although this is not consistent with our expectations, we can see that the population of developed countries is declining, while the cultural trade with China

is increasing.

3. In the final results, the variable common cultural background's regression coefficient is 1.100783. There is a positive correlation between the scale of cultural trade and cultural distance. And it is also statistically significant. This shows that the cultural background of the similarity degree for every 1% increase between China and the trading partner, their volume of trade in cultural goods will increase 1.100783%. Common cultural background plays a positive role in cultural trade. Historical origins, cultural identity, a common point on the human environment are conducive to the generation of the same preferences, and are also conducive to cultural trade.

Part VII. Basic conclusions and policy recommendations

7.1 Basic conclusions:

From the regression results of the gravity model, we can see that GDP and cultural distance are the most important factors that affect the cultural trade. In addition, the size of the population is also quite significant. We can easily draw a conclusion that Chinese cultural products should be imported and exported to the country whose size of the economy is large and the cultural distance is similar to China. Only in this way can it promote the development of the cultural trade's overall scale.

Under the current situation, Japan's GDP in 2011 ranked third in the world, which is a considerable economic entity. At the same time, Japan and China have the same root of culture genes. Japan was influenced by traditional Chinese culture since ancient times, and many of its aspects are in common with Chinese culture. That is to say the two counties can accept each other's cultural products more easily. This is more conducive to promote the development of cultural trade between the two countries.

It can be seen from Sino-Japanese cultural trade development status, Japan's cultural trade has developed very mature. China can study and learn in many aspects such as government policy and industrial scale from Japan. Through the cultural trade with Japan, China will have a very big improvement in the cultural industry structure.
However, there are some obstacles of the cultural trade between the two countries. Such as bilateral cultural export product structure and market structure are similar, which exist intense competition.

In summary, there is great potential of cultural trade between China and Japan. Through the development of cultural trade between the two countries, we hope that it can promote economic relations with each other in order to digest the possible conflict factors and to maintain a healthy and stable bilateral political relation, which has practical significance.

7.2 Policy recommendations:

1. For the Japanese market, we should "find differences in common".

We should start to be conscious of taking competitive strategy on cultural creative products. This requires innovation on the existing basis. It not only needs innovative ideas, but also relies on the power of technology to improve the attraction of entire cultural industry and cultural commodities.

Based on the specific interdependent and complementary relationship between the Sino-Japanese cultural products, China should comply with the laws of economic development and play comparative advantage in labor-intensive products. We should fully tap the export potential of the traditional culture and crafts products and gradually move to the high-end chain, seeking cultural industry structure upgrade.

2. To strengthen government's policy which support for cultural industries.

Japan, based on the "national competitive advantage", through government-led cultural industries policy, leads cultural industry leap-forward development. At the same time, promoting their cultural enterprises to go outside, Japan has won a place on the trade market in the world culture.

In the promotion of foreign trade in culture, the Chinese government should convert ideas, do service and support work, focus on enterprises' subjectivity and initiative, and encourage and guide the outstanding cultural enterprises to go outside. Such as the implementation of a moderate protection and participate in the competition; moderate subsidies and reduce the cultural discount; balance between originality and outsourcing. Thereby, we can win broader international market.

3. Cultivating innovative talents, and promoting the exchange and introduction of talents between the two countries.

To establish a talent training mechanism, to broaden the pathway of talent selection, and to improve the multi-level educational model related to the field of local cultural trade. In addition, in order to improve the overall quality of employees as soon as possible, we can introduce high-end talents of this aspect from local. At the same time, in conjunction with the some common features in the industrial operation of the cultural industry and other industries, we can also introduce outstanding management talents in other industries to enhance the personnel strength of the emerging markets of cultural trade. This requires building more mechanism of studying and accessing between the two countries to promote the continuous exchange of talent and learn from each other.

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The Global Ummah as a Communicative Strategy: Power and Identity in the Organization of Islamic Cooperation.

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Abstract

The Organization of Islamic Cooperation's status as an international organization articulating the collective interests of Muslims was copper fastened by its role in the Danish Cartoon controversy of 2005-2006. Since then the OIC has become a prominent actor in the international arena, especially with regard to matters relating to Muslims in minority communities. The analysis considers the discursive construction of the 'ummah' throughout the period following the establishment of the OIC in 1969 and connects this to the emergence of collectively adopted normative position vis-a-vis minority rights for adherents of Islam domiciled in Western nations. The analysis suggests that the OIC has capitalized extensively on discourses legitimized through the communitarian philosophical tradition. This is considered in conjunction with two other communicative strategies. The first relates to voting patterns by OIC member states with respect to the 'Defamation of Religions'. The second relates to the construction and reproduction of a coherent 'ummah' through the establishment of an Islamophobia 'observatory'. The construction of the 'ummah', of a transnational Muslim identity community representable through an interstate organization, displaces an earlier statist organizational orientation and is sustained primarily through the reproduction of a hostile 'other' in the form of what might be referred to as 'the Occident'. Consistent bloc voting was apparent in two UN fora with respect to the 'defamations' of religion, which are specifically orientated towards defending Islam. The Muslim 'ummah', as articulated through the apparatus of the OIC, is a fragile construction contingent on a tripartite strategy of de-emphasizing national identities and pluralism among OIC member states, a sustained critique of the Occident as an organizing principle, and collective action at the interstate level around a perceived defence of broadly shared symbols.

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We examine the role of the Organisation of the Islamic Cooperation (formerly Conference; hereafter OIC) in international affairs. While the OIC is self-consciously not a religious organisation (see OIC, 2009), it is a political entity mobilised around a distinctly confessional bias. It claims to be the 'collective voice of the Muslim world' and endeavours to 'safeguard and protect the interests of the Muslim world' (OIC, 2010). The following section begins by drawing on scholarship into Islam's formative period and connecting emergent themes with contemporary idealisations of a de-territorialised and transnationalised religious 'community' – the ummah. The two questions guiding the study relate to a) understanding the function of the concept of 'ummah' as a politically infused marker in late-modernity, and b) to understand how the OIC discursively navigates the constraints of member states' national interests relative to transnational organizational objectives, chief among these being its dual 'representative' functions vis-à-vis the world's adherents to Islam and the Muslim majority states that constitute its membership.

A Genealogy of the Late-Modern 'ummah'

The idea of ummah as a transnational confessional collective, embodied in the international organ of the OIC, has gained increasing currency in the OIC's institutional rhetoric throughout its organizational evolution since 1969. The OIC lays explicit claim not only to representation of majority Muslim states in international politics but also to the interests of Muslim minorities in non-Muslim states. The concept has its roots in the earliest accounts of the foundations of the Islamic faith and the constitution of the first political entity founded by Muhammad. The study focuses on the strategies extant in the construction and reproduction through official discourse of the idea of the 'ummah' and charts its evolution and manifestation in collective action by a prominent international organisation. Tensions between the putative transnational solidarity of the ummah and the particularities of member states and national interests are thrown into relief through the following analysis in order to focus on its constructed and contingent reality.[1] Drawing on Critical Discourse Analysis the study focuses on the role of opposition in sustaining the coherence of the OIC. The study then considers examples of how the idea of transnational solidarity is developed and deployed in order to mobilise collective action and support the interests of particular actors in international fora. Our study relates specifically to the pursuit of the 'Combating Defamation of Religion' resolution by OIC member states, which has been passed in the United Nations Human Rights Council and the United Nations General Assembly over several years (see Grinberg, 2006).

Methodology and Method

The analysis examines naturally occurring data from the archives of the OIC using a combined qualitative-interpretive approach (Yanow and Schwartz-Shea 2006) that is chiefly rooted in Critical Discourse Analysis (Fairclough 1995, 2007). Specifically, the study considers the official discourses (Burton and Carlen 1979) that emerge through the reports, communiqués and declarations produced by the OIC in two

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[1] These are also dealt with by al Ahsan, 1992

distinct strands. Official discourse refers to the production (and reproduction) of documents by institutions and organizations whose authorship is attributed to the institutional/organisational collective. Relative to the revival of the idea of the 'ummah' the study draws on naturally occurring data such as the declarations and communiqués that are released following the conclusion of intergovernmental or ministerial meetings by the member states of the OIC. These data represent the agreed intergovernmental consensus of OIC member states on broad issues and – importantly from the point of view of this study – the self understanding of the OIC and its member states' relationship to that organization and the wider international world. The second strand has to do with a more recent development and is viewed here as an ancillary but no less important strategy in the reproduction of the 'ummah'. Prompted by the Danish Cartoon controversy of 2005-2006 the OIC has established an 'Islamophobia Observatory' and since 2008 it has published annual reports which are submitted to the intergovernmental organs of the OIC as well as being made publicly available on the OIC website. These reports, ostensibly documenting the plight of Muslim minority populations domiciled in western democracies, also facilitate scholarly analysis of discursive constructions of self-understanding and meaning within the OIC. Both textual analyses are conducted using the principles of Critical Discourse Analysis (Fairclough 2007), which permits examination of the textual, discursive and social practices evident. The variation in applying CDA notwithstanding this analysis focuses specifically on the construction of 'self' and 'other', the use of contrast and equation. The emergence of discursive patterns and constructions is then connected to overt manifestations of collective action by the OIC (through its member states) within other international fora, specifically the United Nations Human Rights Council and the UN General Assembly. Through examination of OIC initiated actions through key member states in both fora, the study highlights the connection between the OIC's normative imperative and the practices of OIC member states.

The 'ummah' – and its uses

The embryonic conceptualisation of an Islamic ummah (or community of believers) occurred in the formative period of Islam's establishment. Unlike concepts such as the 'house of peace' (Dar al Islam) and the 'house of war' (Dar al Harb), which emerged during the Abbasid period (mid 8th to 13th Century CE; see Afsaruddin, 2008: 118ff), the ummah is closely associated with Muhammad's actions at the city of Medina. When Muhammad fled to Medina after persecution in Mecca he unilaterally set down the Constitution of Medina (also the Charter of Medina). The early ummah as manifest in Medina included both 'believers' (Muslims) and Jews. It was, in short, a multi ethnic and multi-faith community bound together in the face of hostility (see Afsaruddin, 2008: 6-7; Rippin, 2005: 47-48). In this document the traditional ties of blood and kin were subordinated to the primacy of allegiance to the political community and, among believers, to the Islamic faith (see Watt, 1968: Appendix; Afsaruddin, 2008; Rippin, 2005; Gibb, 1978; Levy 1971). A new claim of identity was established in the Constitution of Medina. In the face of conflict, Muhammad redrew the affective boundaries of community, elevating adherence to the new faith above other ties, and simultaneously set out prescriptions for interaction between Muslims and non-believers (specifically, Jews and pagans). Watt (1968: 5) notes that several distinct themes emanate from this formative political document:

- Believers and dependants constitute a single community (ummah) and this expressly included Jews
- Members of this community are enjoined to show complete solidarity against crime and not support criminals, even if they are near kinsmen, where a criminal act is against another member of this community
- Members are to show complete solidarity against unbelievers in peace and war

The crucial importance of the document was that, among Muslim believers, ethnic or tribal loyalties were now subsumed under loyalty to the 'religious' community, establishing a mode of solidarity along a religious (Islamic) axis. It was the reorientation of affective ties from ethnic or kinship to the confessional and religious that paved the way for the establishment of an 'imagined' Muslim community that, at its height, would span a considerable geographic distance and include a myriad of ethnic and tribal distinctions (Rahman, 1966: 19, 72). However, the idea of a coherent ummah has never been realised (see Roy 2004), not least because of the prevalence of scholastic, sectarian and theological or juridical distinctions from the period following the death of Muhammad. Contemporary invocations of the concept of ummah are not so much a reflection of a reality as an effort to construct it. Roy offers the useful term 'neo-ethnic' to describe the notion of ummah in contemporary Islam (Roy, 2004 pp. 124ff).

Roy (2004, 2007) argues that this active construction of a transnational community of believers – the ummah – is a recent and largely unsuccessful attempt to deal with the consequences of (late-) modernity, globalisation and secularisation. 'Islam' and 'Muslims' have always been divided along multiple lines, both religious and non-religious. Aside from the various schools of thought and sectarian divisions between Sunni, Shia and Sufi, ethnic and nationalist divisions persist, even in Europe, where mosque attendance is often along ethnic or nationalist lines (Maréchal, 2003: 82; see also Roy, 2004: 43ff). Roy does point to the transversal dimension to Islamic (or Muslim) identity: the decoupling of religion and territory; de-culturalisation, the rise of the individual adherent and the crisis of traditional religious authority (Roy, 2004: Ch 1). He further contends that the notion of a single 'Muslim culture' cannot withstand critical analysis, because it has no content beyond basic tenets (Roy, 2004: 129). Ultimately, the ummah exists because believers identify with it (Roy, 2004: 198). It is not necessary, in this analysis, to rehearse these divisions, tensions and disaggregations of the ideal of an ummah. It is merely sufficient to acknowledge that these cross-cutting cleavages exist. For our purposes, drawing on insights into the problematic of 'identity' as a factual category (Hollinger, 2006; Brubaker, 2004; Brubaker and Cooper, 2000), it is only necessary to consider the *political uses* of the 'ummah' concept – as an instrument of transnational (even global) solidarity construction – in the contemporary context of late modernity.

In what follows, analysis is concerned to examine the discursive strategies deployed to shore up the ummah concept and examine its practical deployment in international politics. The aim of the study is to chart the evolution of that organization's use of the concept as a communicative strategy relative to the context of later modernity. The communication is not – as will be clear – directed merely outward from the aggregate 'Islamic self' to the wider world. In the vein of Burton and Carlen's 'official discourse' (Burton and Carlen 1979) it is also about reflectively communicating the

idea of solidarity among majority Islamic states to this putative 'Islamic self'. In the end, it is a concept that only has traction through the studious silence of the OIC with respect to the highly relevant issues of diverging national interests, not to mention the matter of minority rights within the OIC's member states. The record of OIC member states in this regard is poor, and retrograde (see Houston, forthcoming). Nevertheless, the discourses of 'minority', xenophobia, Islamic/Muslim solidarity and the active (re-) construction of 'The West' as an organizing principle, are all central to the OIC's communicative strategy.

The OIC and the emergence of the 'ummah'

Founded in 1969 following the arson attack on the Al Aqsa Mosque in Jerusalem, and presently comprising of fifty-seven nations, at its inception the OIC committed itself, *inter alia*, to fulfil several key objectives on behalf of member states. At this point it is pertinent to trace the (re-) emergence of the ummah as a concept in international affairs.

In its seminal statement the OIC heads of state declared that their 'common creed' and their 'unshakeable faith in the precepts of Islam' constituted a 'powerful factor [in] bringing their peoples closer together and fostering understanding between them' (OIC, 1969). There is acknowledgement of the 'fraternal and spiritual bonds' and 'the heritage of their common civilisation' (OIC, 1969), but while there are certainly overt references to the basis of the OIC's conceptual basis, a clear assertion of an Islamic identity or the existence of a transnational ummah is markedly absent. Similarly, the Lahore Declaration, issued at the conclusion of the second Islamic Summit in 1974 (OIC, 1974), makes no mention of the ummah, or community of believers. It is a distinctly 'intergovernmental' document. The OIC, as a community of *nations*, is manifestly premised on the Westphalian paradigm, as evinced by the invocation of the United Nations Charter and the unambiguous respect for national sovereignty (and by extension the non-interference principle) in both these earlier documents. The OIC's Westphalian roots are further entrenched in the revised organisational Charter, which commits the OIC and its Member States to the purposes and principles of the United Nations Charter (OIC Charter, 2008: Article 2.1).

In fact, the first mention through official communiqués of the ummah does not occur until the third Islamic Summit, held in Mecca, Saudi Arabia in 1981 (OIC, 1981). The Final Communiqué from the Mecca conference fulsomely employs and elaborates on the concept of ummah:

> It is our conviction that the Ummah of 1000 million people, composed of various races, spread over vast areas of the globe and possessing enormous resources, fortified by its spiritual power and utilizing to the full its human and material potential, can achieve an outstanding position in the world and ensure for itself the means of prosperity in order to bring about a better equilibrium for the benefit of all mankind (OIC, 1981)

By subsuming national, ethnic and even sectarian differences beneath the aggregate '1000 million people' strong believing community the OIC shifts focus from 'inter'-national relations to 'trans'national relations, juxtaposing the collective of Islam with the 'other'. The individuation of member state citizens (as '1000 million people')

emphasizes the numerical strength of the aggregate of Islamic adherents and simultaneously downplays their internal differences and distinctions. It makes no mention of the populations included within these national jurisdictions that are not Muslim. These peoples are one in faith and their 'various races' are spread across the globe as components of – and subsumed within – a larger 'Islamic' whole. The reconfiguration of the global landscape now embodies a simultaneous unification (of all 'Muslims') and implicit division (from 'non' Muslim). Following this claim upon the affective dimension of the citizens of Muslim majority countries the idea of ummah subsequently takes root in the OIC's Islamic summit documents, gradually increasing in frequency throughout the 1990s. Projecting our analysis forward to the Third Extraordinary Summit, again at Mecca, in 2005, the concept infuses a greater range of documents and is illustrative of the extent to which the concept has become embedded and regularized in the discourses of the OIC.

> Protecting our Islamic identity, our basic values, and the higher interests of the Ummah can only be achieved through the sincere loyalty of Muslims to true Islam and their commitment to its original principles and values as their cherished way of life (OIC, 2005a).

The 2005 Makkah Al-Mukarramah Declaration goes on to state that:

> [O]nly too aware are we of the internal and external threats that have helped to exacerbate the Ummah's current plight, as they not only menace its very future but also that of the whole of humanity and civilization (OIC, 2005a).

The 2005 Mecca Islamic Summit was significant by virtue of the extent of introspection conducted by the organisation on the predicament of many majority Muslim countries. Reflecting on the findings that emerged from a series of United Nations sponsored reports on human development indicators in Arab countries (the UNDP Arab Human Development Reports) the 2005 Mecca summit also put forward a ten year development plan. In addition to calls for greater political will, joint 'Islamic Action' and the imperative to promote a moderate and tolerant version of Islam, combating Islamophobia and reform of the OIC, the ten year plan also included proposals to expand economic cooperation between Member States, intra-organisational trade, the establishment of an Islamic Development Bank, investment in higher education and science, ensuring greater rights for women and children, and increasing cultural exchange between Member States (OIC, 2005b). What is pertinent for our analysis is that the normative basis of this was the expressed need for the member states through the OIC to:

> [T]ake joint actions within the framework of the OIC, based on common values and ideals so as to revive the Muslim Ummah's pioneering role as a fine example of tolerance and enlightened moderation, and a force for international peace and harmony (OIC, 2005b).

The reference to 'pioneering role' recreates the putative idealised past as an example of the essentialised identitarian core, represented as a basis of cultural esteem. Implicitly denied by this official discourse, is the association of Islam with backwardness and cultural stasis, both of which are implied by the conclusions of the UNDP reports. In addition to the assertion of institutional primacy in this endeavour,

the OIC communiqué demonstrates this recurring tension between the imperatives of the nation state and the ideal of a transnational, primordial (neo-ethnic), ummah continues into the present.[2] The leaders of the fifty-seven Member States were also now the 'leaders of the Muslim Ummah' (OIC, 2005b). Reporting on the ten year plan, the Secretary General of the OIC drew attention to the conclusions of the plan's authors. Chief among these was recognition that 'there was no conflict between the Islamic and contemporary universal values' (OIC, 2005c), and that in order for the plan to be implemented successfully, and while respecting national sovereignty 'solidarity between [Member States] needed to be strengthened' (OIC, 2005c). He further iterated that:

> With the enormous challenges posed by globalisation, the scholars[3] stressed the necessity for Muslims to act with unity and speak with one voice through the instrument of the OIC. As the only overarching Organisation for the Muslim world, the OIC has the potential to play a major role in creating a brighter and prosperous future for the Ummah if certain reforms are implemented (OIC, 2005c).

The Islamophobia Observatory

A second strategy by which the strengthening of the ummah construct was achieved is through the projection of a dichotomy between 'Muslims' and 'others' – invariably 'the West'. The strategy's discursive basis lies in its fundamental reliance on the discourses of minority rights, victimization, oppression and marginalization. Principle among these is the regular annual release since 2008 of an Islamophobia Report by the Islamophobia Observatory, an ancillary organ of the OIC. These reports, published on the OIC's website in PDF and formally submitted to the OIC's Council of Foreign Ministers, collate and highlight incidences of xenophobia and perceived disrespect for Islamic symbols which were, until the 2014 report, exclusively concerned with incidents in western countries.

Qualitative analysis of the texts reveals several strategies of identity construction. Three are discussed and analysed here. First, there is the active reproduction of dichotomy between Muslims and non-Muslims, and included within this distinction are citizens of other states who are Muslim adherents. The Observatory reports are infused with the conceptual trope of Muslims as a single community of believers regardless of the distinctions between states, or between member states and non-member states. Filtered out are the various ethno-nationalist and sectarian divisions among believers.

Equally, a strong distinction is made between what might for shorthand be referred to as the 'occident' (Europe and the United States/North America, 'the West', 'western') and the 'Muslim world'. What is subsumed within the latter are – again – the various cleavages within Islam and among Muslim adherents as well as the various non-

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[2] Again, al Ahsan is a useful, if partisan, guide to these tensions (al Ahsan, 1992).
[3] 'Scholars' refers to the authors of the Ten Year Plan.

Muslim minorities living within OIC member states. The sole orientation of the observatory is westward (or occidental) from the 'Islamic' centre, and the exclusive and exhaustive concern of all the reports is with tracking extensively both the simultaneous treatment of Muslim minorities in western countries and the tenor of non-Muslim discussion of the Islamic religion. In its cataloguing of incidents of Islamophobia, the observatory reports do not distinguish categories of hostility. For example, there is no discernible distinction between the xenophobic discourse against Muslims as a visible minority or physical attacks on Muslim as a neo-ethnic category and the range of criticisms levelled at the Islamic religion per se as a set of ideological precepts. The reports conflate these distinct categories in order to collocate the maltreatment of Muslim citizens (or migrants) with critical attacks on the Islamic religion by non Muslim commentators.

Omitted from the reports up to 2014 are any discussions or analyses of similar issues relative to Muslim minorities living in non-western nations. The close tracking of minority rights violations in Europe does not, until this point, extend to other world regions outside the putative 'ummah'. Not until the 2014 report does the observatory finally examine the question of Myanmar's Rohingya population. Despite the fact that anti Muslim xenophobia had reached much more lethal levels in Myanmar than in the whole of the occidental context it is noteworthy that the positioning of the Rohingya issue within the 2014 report occurs *after* the discussion of the situation of Muslims in the occident. The OIC has retained the prioritization of Muslim minority issues in the west despite the clear (and somewhat late) recognition of considerably more significant problems in a proximate non-western state.

Prominent in the reports is the discourse of hostility emanating from within this occidental 'other' (juxtaposed to the Islamic 'self') and the corresponding invocation of both human rights and minority rights to highlight the discrepancy between acceptable standards and actual lived experience. There is no discussion or analysis of the question of sectarian violence perpetrated upon one confessional community by the other (for example, Sunni-Shia conflict). The discrimination suffered by Shias in Sunni majority states (and vice versa), or even the discrimination suffered by minority sects such as Yazidis or Sufis – a clear form of religious discrimination – is notably absent.

From the point of view of intertextuality there is extensive importation of the discourse of multiculturalism along with frequent invocations of tolerance, dialogue and peace. The philosophical standoff between liberals and communitarians in recent decades, along with the conceptual repertoires of post-colonial theory and human rights, has provided a legitimacy enhancing framework permitting the normative conditions for the OIC's Islamophobia to find a discursive grounding. The conditions of possibility for the production of the reports lie in the framework provided by the evolution of international norms which have evolved from the post war period.

What is also absent within any of the reports is any reference to the situation of non-Muslim minorities in Muslim-majority (and therefore OIC member) states. None of the observatory reports can examine this issue as these reports are constrained by the premise of Islamophobia. This is perhaps explicable as a result of the clear confessional bias of the OIC itself. Nevertheless, given the extent of the trade in minority and human rights discourse, the absence of any reference to

Drawing together the focus on discursive elements to the OIC's official discourse the invocation of international norms regarding treatment of minorities and their one-sided application to Muslim minorities domiciled in the western context comes through strongly in the documents. The strategic importance of the rhetoric and framing of issues by the OIC has the net impact of bolstering a sense of collective purpose and organisational coherence. The deliberate and wholesale omission of non-ideal types, to say nothing of member state culpability for violations within the 'ummah', sustains the 'ummah' mythology and identitiarian coherence. The OIC's official discourse has the net impact of sustaining a sense of solidarity both organisationally and collectively, primarily through the emphasis (and arguably, the construction) of external hostility.

Manifestations in Practice: The 'ummah' in action

Even before the OIC's introspection evident in the 2005 Mecca summit, and the commitment to deepen coordinated action that emanated from its proceedings, the OIC had been acting through its member states and the organisation's Secretary General on a range of issues in the international arena.[4] The 1994 International Conference on Population Development in Cairo, and the follow-up conference in 1995 in Beijing, permitted the OIC and member states to take positions on issues such as the empowerment of women and the provision of reproductive rights including abortion (See Houston 2012 for discussion). These international policy discussions, pushed by the support of key member states, afforded the OIC an opportunity to begin finding its voice in the international arena. The policy position of Muslim majority countries and the OIC as an international institution was invariably concerned with the restriction of measures to improve women's access to reproductive health, and to conceptualize the ideal for women's social role as homemakers and bearers of children. The OIC and its members assumed a religiously inspired and conservative stance on such issues, asserting its conservative ideal of women and their role vis-a-vis the family and motherhood (see Houston, 2012). OIC Member States also sought to impede the contribution of LGBT civil society associations to a United Nations Special General Assembly on HIV/AIDS prevention. The impact of Islam, mobilised through the coordination of majority Muslim states and Islamic socio-political movements, has not always been progressive or tolerant. Here we analyse one pattern of OIC and Member State intervention in particular that allows us to observe how this solidarity manifested itself on the international arena.

In 2006 the discredited United Nations Commission on Human Rights had been replaced by the Human Rights Council (hereafter the Council). Almost immediately the OIC's foremost, high profile members continued concerted action to utilise the forum to effect interest realisation. Throughout the period 2006 to 2010 the Human Rights Council regularly voted through a non-binding resolution on 'Combating Defamation of Religion'. Consistent within the wording of each of these resolutions was the urge to ensure that states take 'resolute action' to prohibit the dissemination

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[4] Not the least of these was the issue of Palestine, which is not examined here.

of 'racist and xenophobic ideas and materials aimed at any religion'. Islam/Muslims were and remain to date the only religious tradition mentioned by name, and they have explicitly referred to the declarations or communiqués of the OIC in resolution preambles. The pattern of voting practices is revealing, as it indicates a significant and consistent polarisation of states within the Human Rights Council.

Table 1: United Nations Human Rights Council Voting Patters – Resolution concerning 'Combating Defamation of Religions' 2007 (4th Regular Session) to 2010 (13th Regular Session).

Year (Session)	In Favour	Against	Abstentions
2007 (4th Session) Resolution 4/9	Algeria, Azerbaijan, Bahrain, Bangladesh, Cameroon, China, Cuba, Djibouti, Gabon, Indonesia, Jordan, Malaysia, Mali, Mauritius, Mexico, Morocco, Pakistan, Philippines, Russian Federation, Saudi Arabia, Senegal, South Africa, Sri Lanka, Tunisia (24)	Canada, Czech Republic, Finland, France, Germany, Guatemala, Japan, Netherlands, Poland, Republic of Korea, Romania, Switzerland, Ukraine, United Kingdom of Great Britain and Northern Ireland (14)	Argentina, Brazil, Ecuador, Ghana, India, Nigeria, Peru, Uruguay, Zambia (9)
2008 (7th Session) Resolution 7/19	Azerbaijan, Bangladesh, Cameroon, China, Cuba, Djibouti, Egypt, Indonesia, Jordan, Malaysia, Mali, Nicaragua, Nigeria, Pakistan, Philippines, Qatar, Russian Federation, Saudi Arabia, Senegal, South Africa, Sri Lanka (21)	Canada, France, Germany, Italy, Netherlands, Romania, Slovenia, Switzerland, Ukraine, United Kingdom of Great Britain and Northern Ireland (10)	Bolivia, Brazil, **Gabon**, Ghana, Guatemala, India, Japan, Madagascar, Mauritius, Mexico, Peru, Republic of Korea, Uruguay, Zambia (14)
2009 (10th Session) Resolution 10/22	Angola, Azerbaijan, Bahrain, Bangladesh, Bolivia, Cameroon, China, Cuba,	Canada, Chile, France, Germany, Italy, Netherlands, Slovakia, Slovenia, Switzerland, Ukraine,	Argentina, Brazil, Bosnia and Herzegovina, **Burkina Faso**, Ghana, India, Japan, Madagascar,

	Djibouti, Egypt, Gabon, Indonesia, Jordan, Malaysia, Nicaragua, Nigeria, Pakistan, Philippines, Qatar, Russian Federation, **Saudi Arabia, Senegal,** South Africa (23)	United Kingdom of Great Britain and Northern Ireland (11)	Mauritius, Mexico, Republic of Korea, Uruguay, Zambia (13)
2010 (13th Session) Resolution 13/16	**Bahrain,, Bangladesh**, Bolivia (Plurinational State of), **Burkina Faso**, China, Cuba, Djibouti, Egypt, Indonesia, Jordan, Kyrgyzstan, Nicaragua, Nigeria, **Pakistan**, Philippines, **Qatar**, Russian Federation, **Saudi Arabia, Senegal,** South Africa (20)	Argentina, Belgium, Chile, France, Hungary, Italy, Mexico, Netherlands, Norway, Republic of Korea, Slovakia, Slovenia, Ukraine, United Kingdom of Great Britain and Northern Ireland, United States of America, Uruguay, Zambia (17)	Bosnia and Herzegovina, Brazil, **Cameroon**, Ghana, India, Japan, Madagascar, Mauritius (8)

The block voting was reflected in the parallel passage of the 'Combating Defamation of Religions' resolution through the United Nations General Assembly. In General Assembly voting the vast majority of OIC Member States supported the resolution and, combined with votes from other non-aligned states, its adoption was secured by a consistently wide margin.

Table 2: General Assembly Resolutions 'Combating Defamation of Religions': Voting Patterns (OIC Member State votes are given in brackets)

General Assembly ('Combating Defamation of Religion' Resolution)	In Favour	Against	Abstaining
60th General Assembly 2005 (A/RES/60/150)	101 votes (50 OIC votes)	53 votes (2 OIC votes)	20 votes (1 OIC vote)
61th General Assembly 2006 (A/RES/61/164)	111 votes (52 OIC votes)	54 votes	18 votes (1 OIC vote)
62nd General	108 votes	51 votes	25 votes

Assembly 2007 (A/RES/62/154)	(52 OIC votes)		(1 OIC vote)
63rd General Assembly 2008 (A/RES/63/171)	86 votes (51 OIC votes)	53 votes	42 votes (2 OIC vote)
64th General Assembly 2009 (A/RES/64/156)	80 votes (50 OIC votes)	61 votes	42 votes (4 OIC votes)

There are, therefore, two dimensions of strategy evident. The first is the clear strategy of the OIC to utilise the weight of Member State votes to a) further enhance the profile of the OIC as the main organ of Muslim representation internationally, and b) to ensure that Islam – as a broadly defined system of beliefs and practices, is accorded the status of protection equivalent to 'human' rights in international affairs. The persistent inclusion of specific references to Islam is a clear manifestation of significant bias on the part of those who put forward the motion. Secondly, Islam/Muslim has emerged as a prominent – arguably, a predominant – category at international level and within nations that are receivers of inward migration from OIC Member States. The instability of identitarian categories has allowed religious definitions to become predominant. This strategy of culturation and confessionalisation of plural societies has potentially salient implications for other identity categories in national contexts, such as gender and class. The predominance of this confessional category is potentially insensitive to complex variations (and fluctuations) in belief patterns and the tensions between gender and belief.

The consistent promotion of the 'Combating Defamation of Religion' resolution is not so much an objective, still less altruistic, defence of human rights as it is an internationally coordinated rationalisation of national domestic policy concerning the primacy of Islam within a tangible hierarchy of religions and beliefs in majority Muslim states. In short, despite the absence of any central doctrinal authority, and despite the persistent disaggregation of the ummah ideal along ethnic, nationalist, sectarian and doctrinal lines, the idea of a community of believers is sustainable – but only in the broadest sense, and primarily as a strategic instrument in order to realise particular objectives within the international arena.

In the case of Islam, a religion with no monolithic institutional or organisational global presence, the international system afforded a useful platform for manifestations of corporate Islam to coordinate their actions across national boundaries. This has only been possible relative to problems definable in broad terms, usually when questions of collective Islam's relationships with non-Islamic entities are prominent. This was the case in relation to the idea of 'defamation' of religions, and the OIC was prominent in efforts to have satirical depictions and offensive statements concerning the tenets and/or symbols of the faith brought under the umbrella of 'Islamophobia'. However, disparity between international rhetoric and national practices arguably supports the reasonable conclusion that 'defamation' of religion is aimed at protecting Islam from critical scrutiny in light of practices associated with or attributed to that faith, and in light of the difficulties encountered by some contemporary minorities in OIC states. Interests and power have determined how both these organised forms of religion relate to the global/international system, and the result has not been

contingent on an objective reality. Rather it has been contingent on how those concepts have proved useful to particular perspectives on reality.

Conclusion

The Organization of Islamic Cooperation (OIC), a collective institutional voice of Muslim majority states, the normative impetus to assert the integrity of Islam and the consolidation of minority Muslim adherents in non-Muslim majority states diverges radically with the discursive and political marginalization of minorities within OIC member states. We find that the ethic of justice is closer to Spinoza's (and Foucault's) than the abstract concept of justice espoused by Chomsky. The appropriation of minority rights and concepts of religious freedom are strategically deployed in order to defend Islam from negative portrayal and Muslims from perceived injustice in (mainly) Western advanced democracies. The principles underpinning the OIC's assertive defence of Islam and minority Muslim groups in non-Muslim majority states are not in evidence at member state level. A survey of the most prominent states in the OIC shows that all of them exhibit and embody significant deviations from the political ethic in evidence at the transnational institutional level. The invocation of universal standards is a strategic device, rather than an expression of a universally grounded ethic.

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Exploring Determinants of Voting for the Helpfulness of Online Consumer Product Reviews reviews

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Abstract

With the growth of e-commerce, online product reviews have become a major information source in consumer purchase decisions. However, anyone can easily provide product review in the manner of anonymous, which may lead to the enormous amount of reviews available for consumers and the manipulation behavior of reviews by vendors. Therefore, many website owners have invested in rating systems that allow consumers to provide and read product review not only on product per se, but also on the credibility of the review content and reviewer. It is estimated that this simple question "Was this review helpful to you" brings in about $2.7 billion additional revenue to Amazon.com (Spool, 2009). In other words, the "helpfulness" feature of online product reviews helps consumers cope with information overloads and facilitates decision-making. A few recent studies have explored the helpfulness of online customer review, but we still know very little about why a customer perceives a particular review to be helpful or not helpful. The study use consumer reviews for restaurant service at ipeen.com to analyze how the content of reviews (content-based) and the reputation of the reviewer (source-based) impact reader's helpfulness voting. From the content-based feature, word depth and picture count have a significant effect ($\beta= 1.24$; $p<.05$; $\beta= 0.16$; $p<.001$) on helpfulness voting, thereby supporting H1 and H2. From the source-based feature, reviewers reputation and exposed website have a significant effect ($\beta= 0.91$; $p<.001$; $\beta= 2.82$; $p<0.001$) on helpfulness voting, thereby supporting H3 and H4.

Keywords: eWOM, Online product review, Source credibility, Helpfulness.

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Introduction

The Internet has dramatically transformed that the way consumers shop and the way they exchange products/services consumption experiences (Grewal and Lev, 2009). Everyone can share their opinion and experiences regarding products and/or services with complete strangers who are socially and geographically dispersed (Duan, Gu & Whinston, 2008). This electronic form of word-of-mouth (eWOM), online consumer review, can be defined as a peer-generated product and/or service evaluations posted on company or third party websites. Evidence suggests that online reviews have become a valued and influential information source in consumer purchase decisions (Gu et al., 2012). Before deciding to purchase a specific item, consumers now have online access to many reviews posted by several consumers (Zhao et al., 2013). However, anyone can easily post product review in the manner of anonymous, which may lead to the enormous amount of reviews available for consumers and the manipulation behavior of reviews by vendors (Dellarocas, 2006; Hu et al., 2011). This raises the question of why consumers would trust the information provided by strangers and how trust is formed among consumers themselves.

Rating systems that invested by website owners for consumers to provide and read product review not only on product per se, but also on the credibility of the review content and reviewer (Chen et al, 2008). Website owners have commonly used review "helpfulness" as the primary way of measuring how readers evaluate an online review. It is estimated that this simple question "Was this review helpful to you" brings in about $2.7 billion additional revenue to Amazon.com (Spool, 2009). Based on the accumulated helpfulness votes a review receives, amazon.com could use its proprietary algorithm to automatically rank and pick out those most helpful reviews and feature them at the top of the review section (Wan and Nakayama, 2014). As a result, the "helpfulness" characteristic of online reviews helps consumers cope with information overloads and facilitates decision-making. A few recent studies have explored the helpfulness of online customer review, but we still know very little about why a customer perceives a particular review to be helpful or not helpful (Wu et al., 2011).

Besides, WOM plays a more important role when the product in question is more risky or uncertain and when consumer's involvement with it is higher (Bensal and Voyer, 2000). However, most current studies focus on WOM impact on low-involvement products like books and CDs, but not high-involvement products such as services (Gu, Park and Konana, 2012). To do this, we use consumer reviews for restaurant service at ipeen.com to analyze how the content of reviews(content-based) and the reputation of the reviewer(source-based) impact reader's helpfulness voting. The goal of this study is to investigate the effects of online review factors on perceived helpfulness from the content quality and the source credibility.

The rest of the paper is organized as follows: the author presents the literature review focusing on helpfulness of online consumer reviews, followed by a discussion of the research hypotheses. The methods and results are presented next. The paper concludes with a discussion of the results, suggestions for marketing research and practice for future research

Literature Review and Hypotheses

Helpfulness of online consumer reviews

Voting a consumer review as helpfulness could increases the likelihood of a review to be read by others. Zhu and Zhang (2010) indicate that the helpfulness score reduces uncertainty about product/service quality, which is an important issue on online marketplaces. A helpfulness of consumer review means that a consumer has actually read the content of review and process for positive and negative evaluations (Morgera, 2014). That is, this particular review provides more or better information relative to others (Weiss et al. 2008). The information provided contains valuable message that is deemed influential for readers and their buying decision process. Recently, scholars have found that consumers are greatly concerned about the content and the source of online consumer reviews when they evaluate the helpfulness of the reviews (Connor et al., 2011; Forman et al., 2008). Li et al. (2013) further summarized that prior studies on online consumer review primary focused on two features of online product review. The first feature focuses on the evaluation of consumer review helpfulness from the perspective of content-based feature. The second feature centers on the assessment of consumer review helpfulness from the perspective of source-based feature. Consequently, the author believe that the content and the source of online consumer reviews are worthy of examination. Fig. 1 shows the proposed research model.
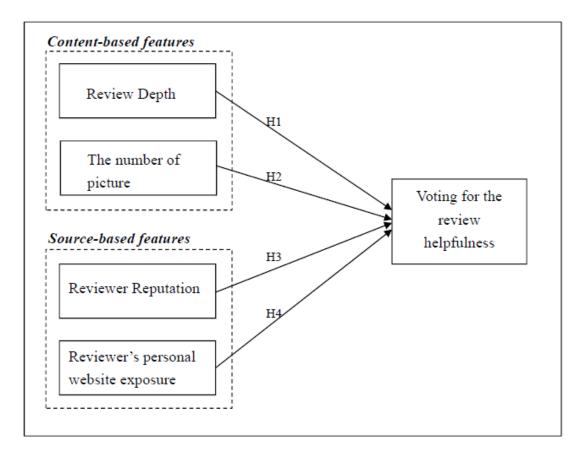
Figure 1: Research Model.

Content-based features

In content-based features, researchers usually adopt the concept of diagnosticity to understand that how readers judge the usefulness of consumer reviews (Li et al., 2013). The content features of consumer review include the ***review depth*** and ***the number of pictures***. Compared to shorter reviews, longer reviews likely contain more information. Mudambi and Schuff(2010) found that longer reviews were associated with higher review helpfulness rating. High review depth increases the amount of information available to the consumer which helps in the process of making a purchase decision. Additionally, the length of a review may also reflect the reviewer's involvement. The more involved a reviewer is, the more likely he/she will offer quality information that assists others' in purchase decisions (Pan and Zhang, 2011). At the same time, readers' perception of a reviewer's involvement may also influence their evaluations of the review. Alone with the same logic of inference, the picture number of a review also has a positive influence on the reader's evaluation of helpfulness. Therefore, the author posits the hypothesis below.

Hypothesis 1: There exists a positive relationship between review depth and voting for the helpfulness

Hypothesis2: There exists a positive relationship between number of picture and voting for the helpfulness

Source-based feature

The source-based features concentrate on the authorship of consumer reviews to explore that how readers assess the usefulness of consumer reviews (Li et al., 2013). In the context of online consumer review, the content features of consumer review include the ***reviewer reputation*** and ***reviewer's individual website exposure***. According to the literature of social psychology, message-source characteristics have long been known to influence readers' judgment, behavior and perception (Chaiken, 1980). Source credibility plays an essential role in adopting online information (Briggs et al., 2002). Thus, the exposure of reviewer's identity and activity level in online community can be assumed to have positive effects on the credibility of a review (Beak et al., 2012). This study uses the grade of contribution as measures of reviewer's reputation. Therefore, the author posits the hypothesis below.

Hypothesis 3: There exists a positive relationship between reviewer reputation and voting for the review helpfulness

Hypothesis 4: There exists a positive relationship between the exposure of reviewer reviewer's personal website and voting for the review helpfulness

Research Methodology

In order to collect data and test our research model, the author chosen a third party restaurant review site iPeen.com.tw (http://www.ipeen.com.tw/) as research context. Restaurant service is a high involvement product on which consumers usually spend a considerable amount of time searching for information to make the right decision (Gu et al., 2012). iPeen is one of the biggest restaurant review platforms in Taiwan. Any registered member can post review and leave comment on restaurants. We created automated agent to automatically download web pages containing consumer review of restaurant service and reviewer's information from iPeen.com.tw (see Table 1).

Table 1. Data Collected from ipeen.com.tw

Data collected	Definition	Instrumentation of model variables
Word depth	Number of words in a review message	Numerical value (scale)
Picture accounts	Number of pictures in a review message	Numerical value (scale)
Reviewer reputation	The summary of reviewers' post contributions	Numerical value (scale)
Reviewer website exposure	Whether or not reviewers exposed their individual website	Numerical value (1 = website exposed, 0 = website not exposed)
Helpfulness	Number of positive answers to question asking if the review is helpful	Numerical value (scale)

Data analysis and result

Table 2 presents the descriptive statics of the consumer reviews used in this research. In total, our dataset consist of 1,133 consumer reviews for restaurant service in Taiwan. On average, each consumer review receives 22 voting helpfulness from readers, which contains 1,117 words and 21 pictures to demonstrate consumer's consumption experience in a restaurant service. This result indicates that a consumer review of restaurant service usually combine pictures with description of consumption experiences. The average grade of reviewer reputation in the collected data was 12.47. In addition, a total of 61.2 percent of the 693 reviewer were exposed their individual website, and 38.8 percent of the 440 reviews were not exposed their individual websites (see Figure 2). Finally, Table 3 provides a correlation matrix for these variables.

Table 2. Descriptive statistics for consumers reviews.

Variable	N	Minimum	Maximum	Mean	Standard Deviation
Usefulness	1,133	0	214	20.16	17.782
Word Depth	1,133	2	6135	1117	777.428
Picture account	1,133	0	130	21	16
Reviewer reputation	1,133	1	35	12.47	8.239
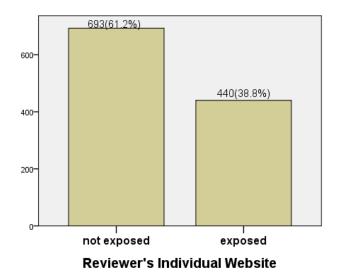
Figure 2. the frequency of reviewer's individual website exposed and not exposed

Table 3. Correlation Matrix (N =1,133)

Variable	(1)	(2)	(3)	(4)	(5)
(1)Log(Word Depth)	1				
(2)Picture account	0.648	1			
(3)Reviewer reputation	0.301	0.299	1		
(4)Exposed individual website	0.141	0.056	0.035	1	
(5)Helpfulness	0.292	0.325	0.491	0.044	1

Ordinary Linear regression model was performed in PASW 22.0 to analyze the hypotheses. The regression results showed that all four paths in this model were significant at $p<.05$. The four constructs jointly explained 28.3% of the variance in helpfulness of consumer review. From the content-based feature, word depth and picture count have a significant effect (β= 1.24; $p<.05$; β= 0.16; $p<.001$) on helpfulness voting, thereby supporting H1 and H2. From the source-based feature, reviewers reputation and exposed website have a significant effect (β= 0.91; $p<.001$; β= 2.82; $p<0.001$) on helpfulness voting, thereby supporting H3 and H4.

Table 4. Regression results for helpfulness (N =1,133)

Variable	Coefficient	Standard Error	Standardized coefficient	t-value	Sig.
(Constant)	-5.379	4.869		-1.105	0.270
Log(Word Depth)	1.239	0.552	0.076	2.224	0.025
Picture account	0.161	0.035	0.153	4.556	0.000
Reviewer reputation	0.914	0.057	0.425	15.913	0.000
Reviewer's individual website	2.821	0.927	0.078	03.044	0.002

$R^2 = 0.283$

Conclusion and Implications

Overall, our regression analysis suggests that the customer rating of a restaurant service on iPeen is positively correlated with the helpfulness of the review. This study also has managerial implication. First, e-business firms may attempt to encourage positive WOM from existing customers as part of their marketing strategy. The website manager should evaluate the helpfulness as a priori, and utilized the consumer review more strategically. Second, given the importance of review content, website manager needs to think about mechanisms to encourage not only more positive customer reviews but also more information-rich reviews that are helpful to further customers. Third, reviewer reputation has highly impact on reader's helpfulness voting. E-business firms should pay more attention on those reviewers and try to build good interactions. Finally, our findings encourage researchers to consider the intrinsic complex interaction effect between the review source and review content when investigating the impact of reviews on consumers in future research.

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Acknowledgements

The Bridge between Problems and Solutions in Design: Taking a Toddler's Case as an Example

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Abstract

Problem solving in Industrial Design is focused on the realization of ideas. At the end, the ideas are applied as practical design solutions for product development. Designers generate ideas to solve problems based on their past experiences and creative thinking. However, there has been a gap between problem identification and solution generation within the design process. The bridge between problems and solutions is not clear yet. Thus, it is reasonable to study how designers find solutions.

The purposes of this research include (1) investigating design problems and solutions related to a toddler in order to show how solutions are found out; and (2) build the relationship among design problems, solutions, and their bridge. The first purpose provides designers with clues that help them to effectively solve problems as well as generate solutions based on the identified design problems. The second purpose makes it possible that designers can apply the most appropriate clues to bridge problems and solutions according to the attributes of problems. This research takes design problems related to a toddler as an example because the authors have less bias on such problem type that they are not familiar with.

Keywords: design problem, problem solving, problem identification, solution generation

1. Introduction

As technology has been progressing, lifestyles have become more rich and diverse whereas new changes have also spawned new problems, therefore many problem-solving strategies and methods have been created. In the field of design, designers usually use procedures and techniques to solve design problems, such as Brainstorming (Rawlinson, 1981), Synectics (Gordon, 1961) and KJ method (Kawakita, 1986). Additionally, the TRIZ method, which is a systematic innovative problem-solving theory, can help to solve technical contradictions in engineering (Terninko, Zusman & Zlotin, 1998). However, specific studies suggest that creative thinking methods require constant evaluation and improvement (Baxter, 1998), thus, an approach for effectively solving problems creatively and finding problem-solving strategies and methods is a crucial part in design research.

Currently, designers tend to find design problems, and use the results of the assessment and selection to set the problem-solving direction during a design development process. The designers must select specific problems to be solved in order to meet the needs of the users. Therefore, design-problem evaluation is of chief importance in the design process.

Design novices usually use their personal experience and rational design methods to solve design problems. However, when faced with a new problem area, without previous experience or with unfamiliar context, they do not know how to start. For example, if the design object is a particular group such as the elderly, infants or disabled people, their conditions must be considered by novice designers in a divergent approach including physical, mental, and cognitive ability, even though it is difficult for novices to truly understand the lifestyle and thought of the target group in order to fit their needs. Therefore, solving design problems, generating critical problem-solving ideas and understanding more-direct relationships between design problems and existing solutions have been difficulties and challenges of design education.

In view of this, the main purposes of this study is as follows: (1) to research the screening criteria for design problems related to toddlers by applying classification and scoring methods (2) to provide novices a set of cues or shortcuts for thinking and generating design solutions.

2. Literature Review

2.1 Research related to toddlers

(1) Observation of toddlers' behavior

The process of observation can be divided into (Tsai, C. M., Hong T. F., Qiu Q. H., Lu Y. M., Zhang M. J., 2008, pp.6-13):

 (a) Attention
 (b) Observation of target and environment
 (c) Subjective intervention and record
 (d) Judgment of behavior

Observation is the first step in understanding the user, but it is difficult to understand the behavior of infants and young children due to their limitations including their language skills and expression. Simultaneously, due to immature development of children's body movements, their expressed actions are all similar. Furthermore, the behavior of children is susceptible to emotional influence, so it is improper to judge their behavior simply based upon their emotional expression.

Additionally, due to individual differences, toddlers have their own unique behavioral patterns, so observers have to maintain an objective attitude during observation.

(2) Cognitive development of toddler

From a perspective of the cognitive development theory, the Swiss psychologist Piaget (1962; 1972) considered that the development of preschool children can be divided into two periods: the first stage, Sensorimotor, covers birth to 2 years. During this time, infants and toddlers learn and understand by accepting stimulus under the action and reaction through body movement and sensory perception. The main development in this stage is concrete thinking and reflex action. For example, children cannot understand the language and the use of abstract thinking and symbols. Children can explore things, through a specific object, by using their senses and movements, such as touching, grasping and sucking, etc. Reflex action responds to accepted stimuli directly rather than becoming influenced by conscious thinking. Infants and toddlers learn by doing: looking, hearing, touching, grasping, and sucking. The learning process appears to begin with coordinating movements of the body with incoming sensory data. Piaget's second stage of development is known as the Pre-Operations Stage, which was believed to have affected children aged between 2 to 7 years old.

2.2 Research related to classification methods

(1) Grounded Theory

Grounded theory is a method through systematic data collection and analysis in order to generate a theory. Strauss and Corbin (1990; 1998) considered there are three distinct processes of analyzing data involved in grounded theory. There are: open

coding, axial coding and selective coding. In the three-phase method, the purpose of open coding is to categorize data while axial coding is to identify core categories through the development of relationships between the categories. In selective coding, analysts are charged with the task of verifying the core category and other categories (Figure 1). In terms of applying the method in design problems, the framework of the problems generated in the initial step helps the researcher to identify the core category of the problems.

Because the core category has more connection than the other categories, it is more influential. As a result, if the problems in the core category are solved, it is possible that the problems of other subcategories can be solved simultaneously by distinct aspects of phenomenon such as causal relationship. In other words, understanding the relationships between different problem categories can help the researcher to select important problems. In terms of problem selection in design field, if we can solve the fundamental and essential problems first, then we can prevent other problems generated. In addition, it provides researchers to discuss the level of the core problems involved in relationship to the width or depth of other problems.

(2) Card Sorting

Card sorting is to find out valuable improvements of collecting and classifying of data. Ross and Murphy (1999) believe that subjects tend to classify objects by their own thoughts rather than classify by scientific taxonomy. Therefore, the card sorting method can be used to understand the cognitive differences between designers and users. However, if items can be classified into more than two categories, it is difficult for users to categorize.

(3) Kawakita Jiro Method, KJ Method

Kawakita (1986) developed KJ method in his anthropological writings. The purpose of KJ method is to generate new ideas to establish an ordered system or structure from chaotic data. In the process, subjects write their ideas on cards and then sort the related cards into the same groups and name each of them (Figure 2.a). Finally, analysts can develop clusters of similar properties. Classified patterns made by KJ method can be analyzed by a correlation between groups to see the overall structure. Vacancies in the configuration spaces of the layout provide the analysts an understanding of previously insufficient direction to generate new ideas (Fig 2.b) (Ohiwa , Kawai, & Koyama, 1990; 1997).
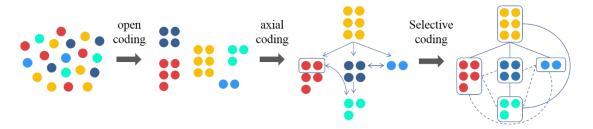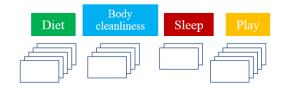

Figure 1. Process of analysis in grounded theory

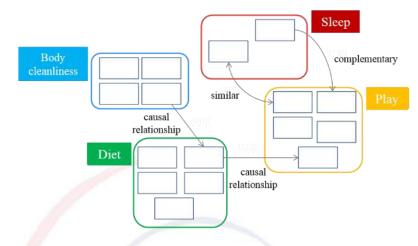Figure 2.a. Process of KJ method

Figure 2.b. Process of KJ method

2.3 Score screening method

(1) Metrics for measuring ideation effectiveness

Shah and Vargas-Hernandez (2003) proposed two new methods measurement for concept scoring. There are: novelty and variety. Novelty is a measure to evaluate unusual or unexpected ideas compared to other ideas. If characteristics are less predictable, the level of novelty is higher (Table 1). Variety is a measure of the different types of functional forms in the process of idea generation. If the types of forms are more, the level of variety is higher (Figure 3).

Although severe problems seldom happen and they are usually ignored, they could lead to irreversible consequences if we do not deal with them. Therefore, during the assessment, analysis should be based on "severity" of the problem as an important classification, just as "novelty" is the measurement of evaluating concept.

According to the measure of "variety" which helps to understand what type of forms of ideas and how many types of ideas, "universality" can be used as one of assessment criteria when analysts screen problems. In everyday life, users usually have similar problems which occurs in diverse place and situations. It means that the problem has higher level of universality, so it is an essential part in design field to identify common problems which always happened in our life.

Table 1. Measurement procedure of novelty

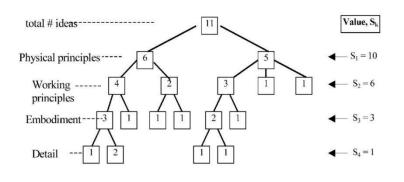| J	Attribute	Novelty sub-score S_i		
		$S_i = 3$	$S_i = 7$	$S_i = 10$
1	Propulsion	Jet	Turbine	Other
2	Medium	Ground	Air	Other
3	Motion	Wheels	Fly	Other
4	Parts	1	2	2+

Figure 3. Measurement procedure of variety

(2) Concept Selection in Flexible Design Strategies

Concept selection is a process to select the best combination of the highest performance and lowest cost from various concepts (King & Sivaloganathan, 1999, p. 329). The purpose of the method is to assess the compatibility of concept combination objectively by using the compatibility matrix, so analysts not only can eliminate the problem-solving concept which is not suitable in the design project but also can see the relative utility of each concept from the values (Figure 4). If a concept with compatibility of high scores, then it is the basic needs of common core which can help concept selection. Function is used to evaluate concept in the method, as during problem assessment, criterion is used to estimate the problems and the possibilities of combination between different problems. It also helps to develop new solutions when concepts generate.
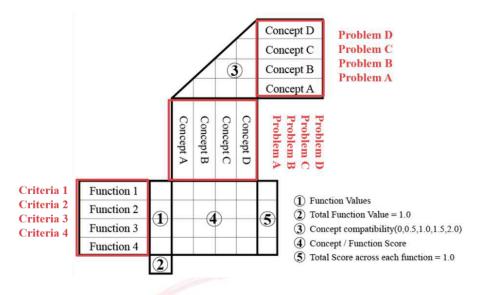
Figure 4. Application of concept selection in problem assessment

(3) Problem-solving approach of design problems

From the point of view of cognitive science, people want to achieve a specific purpose, while suitable approaches can not be used in a condition, and then the activity they engage in, are called problem-solving (Li, Li, Wang, & Zhao, 2007). According to the Ideal problem-solving method developed by Bransford and Stein (1984), the process of problem-solving can be divided into the following five stages: (1) to confirm the problem; (2) to define and describe the problem; (3) to explore the possibility of solving strategies; (4) the implementation of the policy; (5) to review and evaluate (Figure 5).

Problem-oriented innovative design, which aims to improve the performance of existing products or systems, will affect the product or system for the problem of the main function to solve. Therefore, TRIZ is the most suitable method which can improve the performance of existing products or systems by applying contradiction matrix and innovative principles of TRIZ.
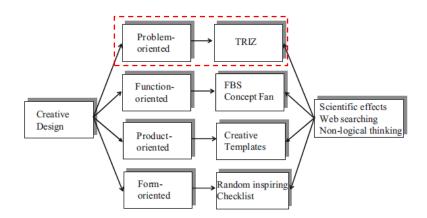
Figure 5. Category and strategy of innovative design

(4) Theory of Inventive Problem Solving (TRIZ)

In basic principles of TRIZ, the researchers begins to transform the problem as the corresponding general problem in TRIZ, and then apply the general solution of TRIZ to their specific problems in order to find the solutions. Generally, in the first stage of TRIZ problem solving process, the secondary problems are removed in order to clearly define the core problems, and then the analyst begins to conceptualize the characteristics of the ideal answer. During the conceptualization, problems require to be disassembled as basic components in order to understand the most basic form of each component. In addition, TRIZ developed out of 76 standard solutions can be used as a reference to help concept generated.

3. Procedure

This study would be based on event sampling (Martin, 1999), to observe a two-year-old toddler in a variety of different types of places by activities he participating. In addition, the researcher interviews with parents to discuss different situations in order to understand the daily life of child care, while the research recorded the process though photos, record and notes, to found problems in the toddler's life.

Based on the literature review, two researchers classified the problems according to distinct properties by using card sorting and KJ method. Design problems were selected and scored while the criteria were established in order to select important representative design problems. According to the selected design problems, the researchers sequentially generated the solution-oriented concepts which depend on what kinds of products in market and how parents improve the problems for each problem. In the next phase, the researcher immersed herself in exploring the relationship between the problems and the related solutions in order to find problem-solving cues.

4. Analysis

4.1 Problem classification

By observation and interview, the researcher collected 156 problems and then defined them. The design problem is observed in accordance with the different locations and different types of activities. Problems in the category "indoor" are divided into the subcategory of "Home" and "Superstore". Furthermore, the problems are classified according to three distinct properties of "behavior", "product" and "environment", while the problems were sorted into subcategories, shown in Figure 6.
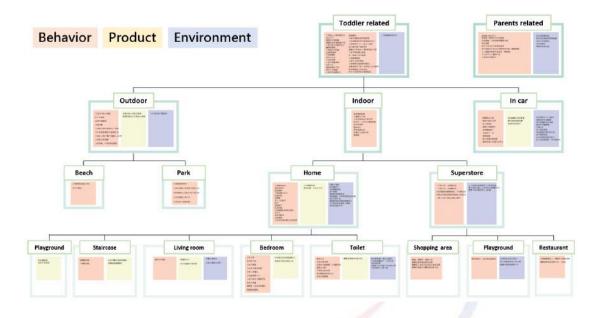
Figure 6. Process of problem classification

4.2 Criteria of problem evaluation

In order to select the most important problems in terms of users for designers to solve, the problems collected through observation and interviews were conducted to understand the needs, and then the criteria were set for the assessment of the important problems. This study provides the six criteria to assess problems respectively:

(1) Occurrence of high frequency
(2) To occur widely in different locations
(3) Damage of personal safety
(4) Difficulty of subsequent treatment
(5) To have an influence on others
(6) To remain traces of damage

The first and second criteria are to assess the frequency of a problem happened in the same place and whether it occurs in different locations respectively. In other words, the two criteria can measure a problem in terms of the breadth of problems. Furthermore, the third and fourth criteria are to assess the level of severity of an occurring problem, that is to say, whether the problem will cause personal injury and if the subsequent process is difficult or the processing time is longer. Finally, the fifth and sixth criteria are to measure whether a problem derived from user behavior will cause other sub-problems. The former is to explore whether a user's problem would affect others or even generate more follow-up problems. The latter is when a problem has influence on objects and environment, whether the problem would cause damage or indelible traces. For instance, the problem" a toddler as a user disassembles objects or breaks a glass cup" fits the sixth criterion because people need to fix the objects and clean the broken glass after the problem occurred.

Furthermore, the values of 0 and 1 are used to evaluate if a problem meets a criterion in accordance with the six criteria, while the total score of one problem is six. According to the assessment method, the result of a part of the problems is shown in Table 2. The higher is the total score of a problem, the more important is the problem. Therefore, the important problems can be selected by the result. For example, the problem "a toddler rips off Band-Aids from his body" fits many evaluation criteria and the problem has 5 points, so it can be selected as the important design problems.

Table 2. Result of scoring problems

Criteria Problem	1	2	3	4	5	6	Total Score
child fall from bed	1	0	1	1	0	0	3
child go up and down stairs dangerous	1	1	1	1	0	0	4
Toddler tore Band-Aid from his body	1	1	1	1	0	1	5
Adult closed the door awakened child	1	0	0	0	0	0	1

After evaluating each problem through the criteria and calculating the total scores, the result shows that there is no 6-pointe-problem; the number of 5-point problems are 3; the number of 4-point problems are 33; the number of 3-point problems are 65 points; the number of two-points problems are 24, and the number of one-point problems are 11. The problems which have more than 3 points are selected as the important design problems while there are 94 problems in total. However, 50 design problems have to be selected in this stage, so this study screened 3-point problems again from different categories based on the previous result of the classification because the diversity of the problems have influence on the difference of solutions. The 50 important problems are selected for the follow-up study.

4.3 Collection of existing products and solutions for parents

On the base of the selected 50 important problems, the solutions of each problem are sequentially generated from existing products. In order to ensure the diverse thinking in the further research, two or more solutions must be generated for each problem, which includes existing product solutions or parents' solutions. In spite of that existing brands have a variety of design of the product appearance, toddler-related products in the market are taken as an example according to the purpose in this study and judgmental sampling. For example, the solution such as Band-Aids with cartoon

images is collected from existing products based on the problem "a toddler rips off Band-Aids from his body" while the solution fit toddlers' own preferences, so they do not want to rip off them.

Through interviews with parents in the process, the solutions from parents are collected by understanding the way which parents resolve the solution, and the solutions, which is the use of the existing environment and lower cost, are not limited to product-related solutions. For example, the parents' solutions such as "drawing toddler's favorite cartoon images on the Band-Aid" and "sticking the stickers above the Band-Aid on their body" for the problem "a toddler rips off the Band-Aid on his body". However, after the collection of solutions, there is only one solution or no solution for some specific problems, the insufficient number of its solution can affect the relation between design problems and solutions due to the diversity of solution, so the problems which lack of related solutions were deleted, and the last 35 problems are selected in this stage.

4.4 Establish the relationship between solutions

In this study, grounded theory is used to analyze the design solutions of 35 problems while the open coding and axial coding are used to encode the classified solutions. Through the exploration of the relationship between the categories, the correlation between problems and solutions is organized and analyzed. In this phase, the solutions are inducted and the solution are classified in the categories of "happened before" and "happens after" according to the occurring time of problem.

4.5 Build problem-solving approach

Through the analysis on the design problems and solution, the solutions of similar properties were classified in the same group. For example, the solutions such as Band-Aid with cartoon images, a toy car seat combined a shopping cart and toddler syrup, are all for the improvement of child care by fitting their own preferences, therefore, they are classified in the same category. In addition, based on 40 TRIZ inventive principles and the complementary TRIZ inventive principles from *Matrix 2003: Updating the TRIZ contradiction matrix* (Mann, D., Dewulf, S., Zlotin, B., & Zusman, A., 2003), this study takes the advantage of the 77 TRIZ inventive principles to make research and development of 11 problem-solving approaches.

According to TRIZ inventive principles and the analysis of the relationship between problems and solutions, this study presents 11 approaches to solve the problem, as shown in Table 3. The first approach "to make it modular" is to separate an object or a plan into each part to make it modular, easy to assemble and disassemble, or to split into sections. With reference to the problem "toddler throws objects on the ground", if the approach "to make it modular" are used to generate ideas, the solution like assembled cars of Lego building blocks can be generated because it can be re-assembled even if it is thrown on the ground. Additionally, the approach "to change the local" is to change the local of an object or a plan on order to make each part perform different or complementary functions. For example, the solution of toddler non-slip socks with rubber soles can prevent toddlers falling on the floor. The third approach "to merge" is used to merge the same or related items or plan to make it act together simultaneously.

"To pre-buffer" is prior to buffer in order to remove or mitigate a problem. For instance, the solutions of putting lazybones on the ground and desk corner cushion are used to reduce the risk of falling from a bed and hitting in the head respectively. "To advance prevention" means beforehand to compensate or use an alternative way to remedy the relatively low reliability of an object or a plan. For example, in order to let toddlers quit the habit of sucking fingers, a nail biting treatment, which is the bitter liquid, is used on toddlers' fingers, so toddlers would not want to suck due to the bitter taste of their fingers. "To make it adjustable or changeable" means an object can be adjusted or changed in order to achieve the best results, that is to say, an object can be split to make it movable, folding or removable, in order to increase their freedom. Removable toddler car seat cover, for example, can improve the problem that it is hard to clean food scraps dropped in a car seat gap. "To meet user's preferences and ability" means the improvement according to abilities and preferences of target groups, for instance, toddlers usually want to rip off Band-Aids on their body, but after using existing products of Band-Aids with cartoon images, toddlers do not want to rip off the band aids because of the cartoon images. In addition, a toy car seat combined a cart toddlers want to sit in the car seat to prevent them climbing out of the shopping cart.

The approach "to import isolated objects or mediator" means isolated objects or mediator which can gather negative part are imported, or making an object or a plan itself can isolate from the negative part, such as the smell of diapers can be isolated by diaper pails. The approach "to remove or modify the part causing the problem" is to remove the object or the source of the problem, or modify the part causing the

problem in order to preventing it occurring. For example, pants diapers as existing products, can improve the problems that the bed is soiled with pee from a leaking diaper when toddlers sleep due to adhesive tape of disposable diapers losing stickiness. The approach "to reduce the sensitive or enhance the anti-harm" means the reduction of the extent of the damage or the increase of resistance, for example, disposable nappy bags with fragrance can reduce users' sensitivity to smell the diapers. The approach "to limit problem occurred" means certain conditions are set to limit an object or a plan, so that the problem cannot occur, such as baby safety gate blocking dangerous actions performed.

Table 3. Problem-solving approaches based on TRIZ inventive principles

TRIZ inventive principles	Problem-solving approaches
01 Segmentation	01 To make it modular
03 Local Quality	02 To change the local
05 Merging	03 To merge
09 Preliminary Anti-Action	04 To pre-buffer
11 Cushion in Advance	05 To advance prevention
15 Dynamics	06 To make it adjustable or changeable
61 Adapt a tool to a person	07 To meet user's preferences and ability
64 Isolation/ insulation	08 To import isolated objects or mediator
67 Remove or modify the source of harm	09 To remove or modify the part causing the problem
69 Increase resistance to harmful effect	10 To reduce sensitive or enhance the anti-harm
77 Block dangerous action	11 To limit problem occurred

5. Conclusion

This study presents the six evaluation criteria of the design problems related to toddlers as follows: (1) occurrence of high frequency, (2) to occur widely in different locations, (3) damage of personal safety, (4) difficulty of subsequent treatment, (5) to have an influence on others, and (6) to remain traces of damage.

In addition, this study proposed 11 problem-solving approaches based on the relationship between design problems and solutions, as follows: (1) to make it modular, (2) to change the local, (3) to merger, (4) to pre-buffer, (5) to advance prevention, (6) to make it adjustable or changeable, (7) to meet user's preferences and ability, (8) to import isolated objects or mediator, (9) to remove or modify the part causing the problem, (10) to reduce sensitive or enhance the anti- harm, (11) to limit problem occurred. Therefore, design novices can come up with concepts to solve problems by applying different approaches. In the follow-up research, researchers can discuss the utility of the problem-solving approaches and explore the correspondence between design problems, problem-solving approaches and solutions.

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Professionals' Perceptions of the Quality of the Transnational Higher Education in Sri Lanka

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Abstract
This paper discusses the professionals' perceptions of the quality of the transnational higher education in Sri Lanka. The main research questions focus on the priorities for quality in relation to the foreign degree awarding institutes of Sri Lanka and to what extent that the foreign degree awarding institutes of Sri Lanka implement and maintain quality in their institutes. Three different stakeholder groups, namely, lecturers and the senior managers of the foreign degree awarding institutes and the officials of the government organizations related to higher education were included in the sample. This study employed a vertical case study and the data were collected using a questionnaire survey. The findings revealed how quality can be understood differently by various stakeholder groups and the consequences of these various understanding to the quality of these institutes. Furthermore, the difficulties that these institutes face when implementing and maintaining quality were identified and a bank of solutions were suggested to these stakeholder groups by analyzing the data. It was evident from the results that the foreign degree awarding institutes of Sri Lanka face many issues related to quality due to lack of supervision from the government and their respective foreign providers. Since there is very limited research in this area, this paper may serve as a guide to quality of the transnational higher education of Sri Lanka.

Keywords: Quality, Higher education, Sri Lanka

1. Introduction

Quality in higher education is in paramount importance to a developing country like Sri Lanka, because "The world economy is changing as knowledge supplants physical capital as the source of present (and future) wealth" (The International Bank for Reconstruction and Development / The World Bank, 2000). Higher education provides the required knowledge and skills to nations and thereby prepares the countries to face global challenges successfully. The university education in Sri Lanka is mainly centered around the public universities of Sri Lanka. However, as Education Times (2015) indicates out of 250,000 students who sit for the G.C.E A/L examination 150,000 students become eligible for free government university education. Unfortunately, the Sri Lankan universities have the capacity to cater only about 20,000 students and therefore the other students have to look for alternative education opportunities. Private higher education institutes of Sri Lanka that are mainly involved in the transnational higher education in Sri Lanka seem to play a vital role in facilitating these disadvantaged students. Private higher education institutes contribute to the Sri Lankan higher education with a share of 12%.

Quality in private higher education of Sri Lanka is crucial for many reasons. Firstly, these institutes have to maintain quality to sustain their existence in the higher education sector because several political parties and student unions of government universities oppose the establishment of private universities in Sri Lanka (World Bank, 2009). Secondly, the quality will increase the image of these institutes. Thirdly, quality higher education will produce students who can contribute to the development of the country effectively. The private higher education institutes mainly offer foreign degrees in Sri Lanka and thereby engage in transnational higher education. Since there is no government body to regulate quality of these institutes it is necessary to investigate the implementation and maintenance of quality of these institutes. Various professionals' perceptions can bring out an insight to quality of these institutes and therefore, this study considered the perceptions of the lecturers and senior managers of the private institutes and the officials of three selected government organizations in Sri Lanka. The following research questions were designed to investigate the quality of the transnational higher education in Sri Lanka.

1. What are the main priorities for quality in relation to the private higher education institutes of Sri Lanka?

2. How do the private institutes of Sri Lanka implement and maintain the main criteria of quality in their institutes?

3. What are the difficulties that these private institutes face at their attempt to implement and maintain quality and what are the possible solutions to those problems?

2. Literature review

2.1. What is Quality?

Quality is a highly debatable term which can bring out multiple meanings (Mishra, 2006). Many researchers (Kalayci, Watty, & Hayirsever, 2012; Mishra, 2006) discuss the five definitions of quality identified by Harvey & Green (1993) in relation to higher education when investigating quality of higher education. These five definitions are as follows.

1. Quality as exceptional: Exceeding high standards.
2. Consistency: Having 'no defects' and "doing things right at the first time".
3. Fitness for purpose: The service should fit to the stated purpose.
4. Value for money: Quality equates with its value.
5. Transformative: Qualitative change of the students.

Of the many quality gurus who contributed to quality, Juran is identified as the father of quality (Stephens, 2005) and according to Stephens (2005) he added a human dimension to quality (Stephens, 2005). The Quality Control Handbook is one of his major contributions to the quality field. Juran defines quality as "fitness for use or purpose" (Bank, 1992, p. 71, quoted in Beckford, 2002, p. 106) and this concept appears to be useful when deciding quality of the higher education of Sri Lanka. Ball (1985) also argues that quality should be identified as 'fitness for purpose'. Juran highlights a quality trilogy namely, quality planning, quality control and quality improvement (Beckford, 2002) and his views on these aspects are beneficial to this study since this study focus mainly on quality implementation and maintenance of the foreign degree awarding institutes of Sri Lanka. It is necessary to plan quality of these institutes because "quality does not happen by accident, it has to be planned" (Logothetis, 1992, p.62, quoted in Beckford, 2002, p. 106) and quality control is essential to maintain quality of these institutes and thereby assure the survival of these institutes of Sri Lanka. Constant improvement is also necessary to cater to the numerous requirements of various stakeholders such as students and the government. This study utilizes Juran's ideas to some extent to explore quality of the foreign degree awarding institutes of Sri Lanka.

2.2. Priorities for quality

The implementation and maintenance of quality in higher education can be understood well by investigating how the institutes implement the priorities for quality in their institutes. However, the existing studies did not identify the priorities for quality in relation to transnational higher education in Sri Lanka. The Quality Assurance and Accreditation Council of Sri Lanka (QAA) which monitors the local degree programs of Sri Lanka employs eight aspects to review each institution and each program (Stella, 2007) and they are as follows.

Institutional aspects are:

University goals and corporate planning, Financial resources and management, Research, Quality management and administration, Quality assurance, Learning resources and student support, External degree programs and University/Industry/Community/Other extension activities.

Program aspects are:

Curriculum design, content and review, Teaching, learning and assessment methods, Quality of students, including student progress and achievement, The extent of student feedback qualitative and quantitative, Postgraduate studies, Peer observation, Skills development and Academic guidance and counseling (Stella, 2007, p.30).

Even though these aspects may provide an understanding of the possible priorities for quality in the transnational higher education sector of Sri Lanka, more research is necessary to understand the priorities for quality in depth with regard to the foreign degrees.

2.3. Quality implementation in Sri Lanka

According to Peiris & Ratnasekara (n.d.) of the Quality Assurance and Accreditation Council of University Grants commission of Sri Lanka some private higher education institutes do not provide quality education to the students and thus, wreck the future of their students. They argued that 'even in the case of actual foreign university affiliations, the poor quality education provides results in many students failing examinations and finally abandoning the course after paying a large sum of money (Peiris & Ratnasekara). Since there is limited research on the transnational higher education of Sri Lanka it is necessary to conduct more research in this area.

2.4. Difficulties and solutions

A study conducted by Deloitte & Touche LLP and affiliated entities (2011) identifies top ten issues that the higher education institutes face as follows.

1. Over budget and underfunded – As funding declines, cost management is key
2. The rivalry intensifies – Competition to attract the best students heats up
3. Setting priorities – The danger of making decisions in the dark
4. Moving at the speed of cyberspace – Technology upgrades are needed across the board
5. Rethinking infrastructure – A renewed focus on asset optimization
6. Linking programs to outcomes – Where training and market demand intersect
7. The best and the brightest – Attracting and retaining talented faculty
8. A sustainable future – Enhancing environmental performance
9. Education for all – Tackling diversity, accessibility and affordability
10. Regulations and reporting – New responsibilities require better disclosure

(Deloitte & Touche LLP and affiliated entities, 2011, pp. 4-26)

The above ten issues can be a barrier for the implementation and maintenance of quality in higher education institutes. Peiris & Ratnasekara (n.d.) suggests some proposals to improve the quality of Sri Lankan higher education institutes as follows.

1. Imposing legislation for private higher education of Sri Lanka which should include registration, licensing and accreditation.
2. A modification to the current Universities Act by allowing the QAA Council to conduct external quality assessments and accreditation of private HEIs.

The above mentioned solutions may also help in improving the transnational higher education of Sri Lanka.

3. Methodology

The study employed a questionnaire survey and 150 lecturers and 60 senior managers participated in the survey from five higher education institutes which engage in transnational higher education. Also, 60 governmnet officials in higher education were taken to the sample. The questionnaires were used since they are cost-effective and can get to a large sample within a short period of time (Thakur, 2005). This study adopted a vertical case study as Vavrus & Bartlett (2006, p 96) highlights the vertical case study as "a means of comparing knowledge claims among actors with different social locations in a vertically-bounded analysis". Thus, this study attempted to compare the local level which was represented by the lecturers and the senior managers with the national level that was represented by the government officials. The study adopted the random sampling method to collect data as everyone in the population should get a chance to be selected to the sample. Since all the questions were open ended, the data were analyzed using the NVivo qualitative data analysis software and significant themes were identified from the data. The findings are presented in this paper by summarizing the responses and also by using participants' quotes where it is necessary.

4. Findings and analysis

As the findings revealed a large number of lecturers identified student assessment, lecturer qualifications, resources, student input and finacial support as priorities for quality with regard to these institutes. The senior managers identified lecturer competence, Improving students' deep learning, curriculum, student admission and finacial support to the students as priorities for quality. The majority of the government officials who represented the national level identified curriculum, employability of students and their contribution to the development of the country, student assessment, proper student entry criteria and financial support to students as priorities for quality. It could be seen from the findings that the priorities of the national level are somewhat differnt to the local level as the governmen officials mainly focus on broader level national goals. However, the priorities of all the three stakeholder groups could be categorized into three main themes. They are namely, teaching and learning, student admission and financial support. The implemetation and maintenance of the priorities for quality are discussed below under these key themes.

Teaching and learning

Several lecturers stated that their institutes lack qualified lecturers and facilities such as new books and new teaching equipments. Some lecturers also revealed that the reseach facilities in their institutes are very limited. A large number of lecturers stated that they adopt proper assessment methods. The exams which were coupled with the assignments were considered as a way of safeguading quality of these institutes.

Several lecturers also highlighted the importance of adopting practice which make students aware about the rules, regulations and the guidelines of the institutes. This will lead to the improvement of the quality of learning of the students. A lecture asserted:

> If there is a deadline we have to work according to that deadline. In that case we should communicate with them, we should make them aware of the procedures, rules, standards, regulations in advance. That has to be informed to the student before. Also, other stakeholders, lecturers, everything has to be informed. For example, if they are not able to send us the marks of the assignments on time, we should tell them what penalties will be there. In that case, we can maintain it.

Proper communication increases the transparency of the institutes and thereby brings a positive impact on the quality of the foreign degree awarding institutes in Sri Lanka. It was revealed from the findings that the lecturers should receive proper training programs to improve their inter-personal skills while the students receive proper student counseling.

The senior managers stated that they hire competent lecturers, and thereby they attempt to improve students' deep learning. As many senior managers argued the lecturers' competence is strongly related to the students' deep learning. A large number of senior managers stated that their curriculum meets local as well as the international job market requirements. However, the government officials believed that the curriculum of these institutes does not meet the local needs in full as they do not provide many programs in hard sciences. The study of Stephen (2007) in relation to quality and the relevance of the foreign degrees offered in Sri Lanka also highlights that these institutes mainly provide Business and Information technology related programs. The findings from the government officials imply that these students' contribution to the development of the country is not up to the expectations of the government officials. However, several officials belived that these students' English language competence make them employable in the private sector in areas such as Marketing and management. It appeared from the findings that the government officials' perceptions are somewhat different from the senior managers indicating that proper communication and regulation are necessary to improve the image of these institutes in relation to the quality.

Student admission

The lecturers highlighted the importance of recruiting students who meet proper entry levels. The majority of the lecturers and the senior managers stated that their institutes meet proper entry levels. However, the government officials believed that many of

these institutes tend to recruit students who do not meet the entry levels in order to increase their numbers. This view highlights how the national level views can be different from the local level views in relation to the student admission.

Financial support

Many lecturers pointed out how the students have to undergo difficulties due to lack of financial support from the institutes and the government. They suggested that the institutes should provide more scholarships to these students with the help of the foreign providers and the government. The senior managers also admitted that they do not provide adequate financial benefit to the students since they have to consider about their profit levels. They stated that the government can provide loans to the students. Several government officials stated that the institutes should obtain the help from their foreign providers to provide finacial assistance to the students.

5. Conclusion

This study which investigates the professionals' perceptions of the transnational higher education of Sri Lanka revealed a number of issues that the transnational higher education in Sri Lanka face in relation to quality. The professionals identified teaching and learning, student admission and financial support as three important priorities for quality. The findings from the professional revealed that there is a lack of communication between students, lecturers, and the senior managers. This issue had a negative impact on students learning. The government officials thought that the quality of teaching and learning of these institutes is low compared to the government universities. Several lecturers also supported the above idea by highlighting that some institutes do not provide sufficient facilities and resources. However, the senior managers believed that their institutes provide adequate quality levels in relation to teaching and learning. While the government officials thought that the admission procedures of these institutes are not tuff, many lecturers and the senior managers believed that their institutes meet high standards in their entry levels. All the three stakeholder groups admitted that the students do not receive adequate financial support from the institutes or from the government. This study suggested that these institutes should provide training programs to their lecturers to improve inter personal skills. It was also suggested that proper counseling programs for the students is required to improve their communication skills. The lecturers and the senior managers also suggested that it is necessary to establish a regulatory body to monitor their institutes so that they can improve their image and convince the national level authorities. The lecturers and the senior managers stated that there is a need for more financial support from the government in terms of student loans. Since there is limited research in this area this study may serve as a guide to quality of transnational higher education of Sri Lanka.

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Opinion Formation under the Two-Step Flow Model and the GR Game Framework

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Abstract

The Gür game, an artificial game, associates voters in the game with finite state automata and a moderator with a reward function. The "two-step flow communication model", a hypothesis based on empirical studies and then popular in marketing and diffusion research, addresses that audience may not receive the influence from the mass media directly, instead mediated by "opinion leaders" to their followers. In this paper, we seek to discover the roles of opinion leaders and individuals following one or more opinion leaders with distinct opinions under the Gür game framework and the two-step flow model. Each follower is associated with a finite state automaton to reflect the state of mind. An opinion leader has a reward function to predict the probability of any follower changing the state of mind after he/she updates status or comments on an issue. Different from the standard Gür game model, multiple moderators are involved in the proposed model.

We examine a scenario with two groups led by two opinion leaders with opposite opinions on an issue, and explore the parameters of group size, the role of overlapped followers and opinion convergence speed. We discuss when a group led by a dominated and opinionated opinion leader converges faster than a group with a weak leader, how the overlapped followers influence the group with a weak leader. In addition, we explore how parameters mentioned above influence opinion formation when a smaller group is formed inside a larger group in the Gür game framework.

Keywords: Opinion formation, Gür game, Two-step flow communication model

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Introduction

People usually hold opinions on numerous topics, from politics to restaurants, new products and so on. These opinions can be either the results from their experience or influenced by others. With the development of Web 2.0 platforms and the popularity of social medias, more and more people use social media to interact with friends, form friendships, share their interests and opinions on some issues, and so forth. By interacting with each other, people's opinions might be influenced.

In this paper, we seek to discover the roles of opinion leaders and individuals following one or more opinion leaders with distinct opinions in the media influence under the Gür game framework and the two-step flow model. The two-step flow model, is a one-way information/influence moving process as stated by Burt (1999) and has no detail in the structure of influence networks. We are interested in modelling how individuals follow one or more opinion leaders on an issue (Figure 1). An opinion leader can be also a follower of other opinion leaders. We start with a simple scenario with only two groups led by two opinion leaders with opposite opinions on an issue, and explore the parameters of group size, the role of overlapped followers, opinion leaders' prediction on the probability followers changing minds, and opinion convergence speed. In order to consider the opinion leaders' prediction on the probability followers changing their minds, we take advantage of the Gür game in which eventually there will be approximately some fraction of followers holding the same opinion with their leader. We discuss when a group led by a dominated and opinionated opinion leader converges faster than a group with a weak leader, how the overlapped followers influence the group with a weak leader. To start with, we review the two-step flow model proposed by Katz and Lazarsfeld (1955), and the Gür game introduced by Tsetlin (1973).
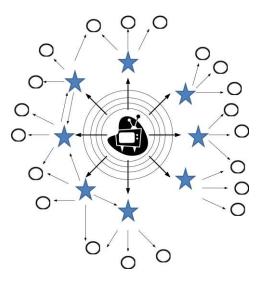

Figure 1: A schematic diagram of opinion leaders and followers where stars and circles represent opinion leaders and their followers respectively.

Two-Step Flow Communication Model

The two-Step flow communication model, a hypothesis based on empirical studies, proposed by Katz and Lazarsfeld (1955), sought to address the influence from the mass media may not be received by audience directly, instead mediated by "opinion leaders" (Merton, 1957) to their followers as illustrated in Figure 2. "Opinion leaders" was defined as "individuals who were likely to influence other persons in their immediate environment". They showed the analysis in various decision-making scenarios ranging from political campaigns to movie-going, fashion etc. that individuals may be influenced more by group leaders than the mass media. It is worth noting the model emphasized that *opinion leaders are to be found on every level of society and presumably, therefore, are very much like the people whom they influence* (Katz, 1957). In other words, opinion leaders can be public figures such as journalists or celebrities, or ordinary people who are more exposed to mass media compared with their relatives, co-workers and friends. After the introduction of the two-step flow of communication, it started to gain increasing interest in some communities such as marketing and diffusion research (Watts & Dodds, 2007), etc. Burt (1999) commented that *the "two-step flow" of communication - a process of information moving from the media to opinion leaders, and influence moving from opinion leaders to their followers - became a guiding theme for diffusion and marketing research.*

However, as Watts and Dodds (2007) showed that the roles of opinion leaders, and the network structure and how exactly opinion leaders influence their followers in the two-step flow model are not clear. By conducting a series of simulations, Watts and Dodds (2007) concluded that generally most of social change is driven by easily influenced individuals influencing other easily influenced individuals not by opinion leaders, and only under some exceptions opinion leaders participate more in triggering large-scale cascades. Not surprisingly, the two-step flow of communication hypothesis is not fully supported by the simulations conducted by Watts and Dodds (2007), because the set-up of simulations is totally different from the description of the two-step flow model or more precisely since the characteristics of opinion leaders cannot be reflected in the simulations. Wu et al. (2011) re-examined the two-step flow model using the feature of Twitter known as "Lists" to distinguish between elite and ordinary users, and found that Twitter data considerable agreed with the two-Step flow model. But it's important as Watts and Dodds (2007) argued that the importance and necessity of assumptions regarding the rule of interpersonal influence (the details of who influences whom and how), the structure of influence networks and so on are required for validation rather than just a hypothesis according to empirical studies.
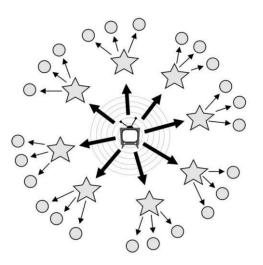
Figure 2: The schematic diagram of the two-step flow of communication hypothesis where stars and circles represent opinion leaders and their respective followers respectively. Figure extracted from (Watts & Dodds, 2007).

Gür Game

The Gür game, a fascinating artificial game introduced by Tsetlin (1973), associates agents in the game with finite state automata. Imagine that we have a moderator and many voters in a room to play the game. Each voter is aware of the moderator only. Voters do not communicate with each other. On each round of the game, the moderator asks voters to vote yes or no simultaneously and the moderator counts the fraction f of yes votes. A reward function $r(f)$ only known by the moderator, is generated to reward or penalize each voter independently. The reward function is bounded $0 \leq r(f) \leq 1$. At the end of each round, every voter is independently rewarded (with probability $r(f)$) or penalized (with probability $1-r(f)$) one dollar regardless what he votes. Each voter decides what to vote on the next round based on if he is rewarded or penalized on the current round. After enough trials, the fraction of yes votes is exactly f^* in which the maximum of the reward function occurs. No matter how many voters there are, approximately f^* of them vote yes after enough trials. A reward function can be any function. It is can uni-modal, discontinuous, multi-modal, etc. A typical reward function is shown in Figure 3.
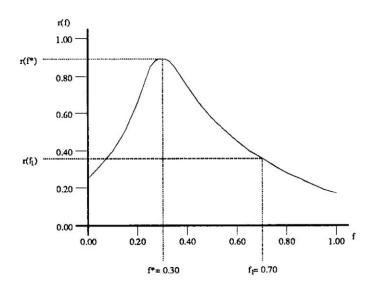
Figure 3: A typical reward function. Figure extracted from (Tung & Kleinrock, 1993).

Let's start the Gür game with a simple automaton with two states (1 and -1), called $L_{2,2}$ (Tsetlin, 1973). The state diagram is shown in Figure 4. If the current state is 1, the automaton outputs A_1; otherwise, it gives output of A_0. If the automaton is rewarded, it stays in the same state in the next round. If the automaton is penalized, it changes the state in the next round. Design of the $L_{2,2}$ faithfully addresses the encouragement to choose an output producing a reward and the discouragement to choose an output producing a penalty.
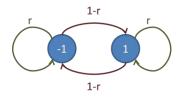
Figure 4: Automata design of $L_{2,2}$. Figure redrawn from (Tselin, 1973).

To generalize the $L_{2,2}$ automaton, Tsetlin (1973) gave the automaton more than two state, the automaton $L_{2,2n}$ with 2n states, said has a memory size of n as shown in Figure 5.
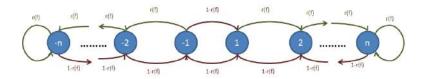

Figure 5: Automata design of $L_{2,2n}$. Figure redrawn from (Tselin, 1973).

Similar to the $L_{2, 2}$ automaton, if its current state is the negative numbered state, A_0 is output; otherwise A_1 is given. The $L_{2, 2n}$ automaton follows the following state transition rules:

if an automaton is rewarded

if its current state is n or -n,
    stay in the same state
else if $1 \leq$ current state, $i \leq$ n-1,
    next state $= i +1$
else if -n+1 $\leq$ current state, $i \leq$ -1,
    next state $= i -1$
else
if current state is -1,
    next state $= 1$
else if current state is 1,
    next state $= -1$
else if $2 \leq$ current state, $i \leq$ n,
    next state $= i -1$
else if -n $\leq$ current state, $i \leq$ -2,
    next state $= i +1$

With the Gür game further discussed by Tung and Kleinrock (1996), it starts to gain increasing interest in some communities such as wireless sensor networks (Iyer & Kleinrock, 1996; Liu et al., 2011; Zhao et al., 2006), etc. Due to the description of the game, people employ only one moderator in a system, which implies only one reward function is invoked during the computation. However, the Gür game is not restricted to have only one moderator in a system. For example, we can designate leaders of different communities as the moderators in networks and nodes in the network are allowed to join different communities.

Opinion Formation Model Under Two-Step Flow And Gür Game Framework

Opinion formation is a complicated process that cannot be easily predicted by a set of rules of individual minds. However for an opinion leader, he/she is able to know how well followers are convinced by him/her (followers do not necessarily agree on the leader) and membership of followers through conducting survey or long-term observation. Thus we perform an analysis on opinion formation based on the Gür game rather than defining a set of rules for individuals. The roles of opinion leaders and their followers can be represented as moderators and voters in the framework of the Gür game. Under the framework of the Gür game, each opinion leader is associated with a reward function that reflects the probability of each follower changing the state of mind after the opinion leader updates the status or commenting on an issue. Followers are considered as voters in the Gür game and associated with finite state automata that represent the state of mind of followers. As mentioned before, the proposed model uses the two-step communication flow model that means the influence only moves from opinion leaders to their followers and satisfies the rule of the Gür game that each voter is aware of the moderator only. Below we give a more detailed explanation how the proposed opinion formation model integrates with the Gür Game.

Integration with the Gür Game

To start, each opinion leader op_i is associated with a reward function $r_i(f_i)$ which is used for the probability that each follower will change the state of mind to believe his leader more firmly or not. A reward function $r_i(f_i)$ is generated to reward or penalize each follower independently and only known by the opinion leader op_i. At the time step j, the opinion leader op_i updates his status. op_i can predict the probability of each follower changing the state of mind based on the fraction of the number of followers who agree on his opinion, which collected at time step $j-1$. At the end of each round, each follower of op_i is independently rewarded (with probability $r_i(f_i)$) or penalized (with probability $1-r_i(f_i)$) regardless whether he agrees on op_i or not. In the scheme, a reward represents op_i 's comment or update on an issue matches the mind of a op_i 's follower who agreed on op_i or mismatches the mind of a op_i's follower who disagreed on op_i. Likewise a penalty represents op_i's comment or update on an issue does not matches the mind of a op_i's follower who agreed on op_i or matches the mind of a op_i's follower who disagreed on op_i.

Each follower is associated with a finite state automaton (as shown in Figure 6) as his or her states of mind. If a follower's current state is positive, he/she agrees the opinion leader op_i's opinion; if it is negative, he/she disagrees op_i. The more positive the current state is, the more the follower is convinced by op_i. The more negative the current state is, the less the follower is convinced by op_i. Each follower changes the state after his/her group leader updates the status or comments on an event or issue. If a follower receives a reward from his/her opinion leader, he will stay in the state n or -n if he is in either of the states; otherwise, he will change the state from k to $k+1$ if the current state k is positive, or from k to $k-1$ if the current state k is negative. If a follower receives a penalty from his/her opinion leader, he will change the state to 1 or -1 if he is in either of the states; otherwise, he will change the state from k to $k+1$ if the current state k is negative, or from k to $k-1$ if the current state k is positive. Roughly, a follower changes the state of mind away from the center if he is rewarded, and toward the center if he is penalized.
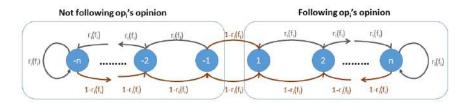

Figure 6: Using a finite state automaton to represent a follower's state of mind.

In summary, we sought to present how each follower is associated with finite state automata as shown in Figure 6. If each state is associated with a mind state and the positive states represent the faithful degree of agreeing on the group leader's opinion, a follower with the state n (Figure 6) can be considered as the most faithful to his leader's opinion. Similarly if the negative states represent the degree of disagreeing on the group leader's opinion, a follower with the state -n can be regarded as the most non-faithful to his group leader's opinion. After a group leader updates the status or comments on an event or issue, his/her follower is independently rewarded (with probability $r_i(f_i)$) or penalized (with probability $1-r_i(f_i)$) regardless whether he agrees on op_i or not.

Case Studies

To examine the proposed framework, we start with a simple scenario, as shown in Figure 7, that two opinion leaders with opposite opinions on an issue have their respective followers and some followers join both groups. Then we discuss the scenario that a smaller group is formed inside a larger group, as shown in Figure 8. We investigate how the parameters of group size, the role of overlapped followers, the prediction of changing mind by opinion leaders, and opinion convergence speed influence opinion formation. The variables are defined as follows:

$S_{1,j}$: the number of op_1's followers at time j where op_1 is the opinion leader of group G_1.

$S_{2,j}$: the number of op_2's followers at time j where op_2 is the opinion leader of group G_2.

$S_{12,j}$: the number of individuals who are members of both groups G_1 and G_2 at time j.

$P_{1,j}$: the fraction of op_1's followers convinced by op_1, $0 \le P_1 \le 1$ at time j.

$P_{2,j}$: the fraction of op_2's followers convinced by op_2, $0 \le P_2 \le 1$ at time j.

P_1^*: the fraction of op_1's followers eventually convinced by op_1, equivalent to f_1^* in the Gür game.

P_2^*: the fraction of op_2's followers eventually convinced by op_2, equivalent to f_2^* in the Gür game

Y: the number of op_2's followers who only follow op_2 but eventually convinced by op_1 at time j.

All the above variables can be functions of time. In other words, nodes can change their membership, a new node can join the system, and leaders' prediction varies by time. Note that the case studies below will be discussed under the condition that reward functions, $r_1(P_1^*) = r_2(P_2^*) = 1.0$.

Case 1: Two groups with some common followers

To start, we assume the group G_1, as shown in Figure 7, converges first. If $P_2^* S_{2,j} > S_{2,j} - S_{12,j} \times P_1^*$, the group G_2 will not reach the optimal $(P_2^* S_{2,j})$ under the Gür game framework. Total number of people who eventually agree with op_1 is $P_1^* S_{1,j} + Y$ where $Y = (S_{2,j} - S_{12,j}) \times (1 - P_{2,j})$. Total number of people who eventually agree with op_2 is $(1 - P_1^*) \times S_{1,j} + P_{2,j} \times (S_{2,j} - S_{12,j} \times P_1^*)$.

If $P_2^* S_{2,j} \le S_{2,j} - S_{12,j} \times P_1^*$, the total number of people who eventually agree with op_1 is $P_1^* S_{1,j} + Y$ where $Y = (S_{2,j} - S_{12,j}) \times (1 - P_2^*)$. Total number of people who eventually agree with op_2 is $(1 - P_1^*) \times S_{1,j} + P_2^* \times (S_{2,j} - S_{12,j} \times P_1^*)$.
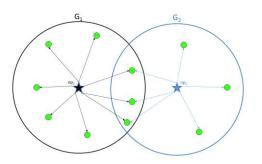
Figure 7: Two groups with some common followers where stars and circles represent opinion leaders and their respective followers respectively.

Case 2: A small group formed in a big group

Assume the group G_1, as shown in Figure 8, converges first. Total number of people who eventually agree with op_1 is $P_1^*S_{1,j}$. Total number of people who eventually agree with op_2 is $(1-P_1^*)\times S_{2,j}$.

Conversely, we assume the group G_2, as shown in Figure 8, converges first. If $S_{1,j}-P_2^*S_{2,j} < P_1^*S_{1,j}$, the group G_1 will not reach the optimal $(P_1^*S_{1,j})$ under the Gür game framework. Total number of people who eventually agree with op_1 is $(1-P_2^*)\times S_{2,j} + P_{1,j}\times(S_{1,j}-S_{2,j})$. Total number of people who eventually agree with op_2 is $P_2^*S_{2,j} + (1-P_{1,j})\times (S_{1,j}-S_{2,j})$. If $S_{1,j}- P_2^*S_{2,j} \geq P_1^*S_{1,j}$, the total number of people who eventually agree with op_1 is $(1-P_2^*)\times S_{2,j} + P_1^*\times(S_{1,j}-S_{2,j})$. Total number of people who eventually agree with op_2 is $P_2^*S_{2,j} + (1- P_1^*)\times (S_{1,j}-S_{2,j})$.
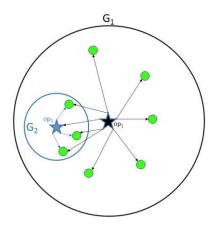

Figure 8: Two groups with some common followers where stars and circles represent opinion leaders and their respective followers respectively. G2 is in the G1.

Conclusions & Future Study

In this paper, we discussed the opinion formation in terms of the final number of each opinion leader's followers by taking advantage of the Gür game framework. Under the Gür game framework, each follower is associated with finite state automata as shown in Figure 6, and each state is associated with a mind state. Furthermore, two cases have been analyzed to better understand the applications of the Gür game in opinion formation.

In the future, we will conduct a series of simulations to validate the analysis and discover more in regard to the roles of reward functions of the Gür game and the number of mind states. The analysis and simulations for more than two groups will be conducted as well.

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Portable Monitoring Devices Using IR Technology and their Social Impact

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Abstract
Portable monitoring devices are widely used by people from different sectors of the society and their use is steadily increasing. Health monitoring and environmental monitoring have drawn the attention of many personnel as key monitoring areas that need major improvements. Targeting these advances, infrared (IR) technology has used to develop the imaging – type two – dimensional Fourier spectroscopy which has incredibly high potential to succeed in both areas.

Imaging – type two – dimensional Fourier spectroscopy is a simple optical configuration which used IR as input light source, a camera as the detecting device, a variable phase filter as phase changer, and few more lenses. First, sample is illuminated using light source and reflected or transmitted lights send through a lens called objective lens. Then, these lights are directed to the phase filter which has movable part and stationary part. Using this, part of the incident lights are delayed before sending to a camera through lens called imaging lens. The camera collects lights which have different intensities. Finally, absorbed wavelengths of light can be found using Fourier Transform and they can be used to calculate measurements.

In health monitoring, blood glucose measurement and haemoglobin testing are main targeted areas. Since the proposed system is non-invasive, it is pain-free method. Initially system was tested with biogenic substances obtained from mouse ear and then experiments were carried out for glucose measurement at laboratory conditions. This device will release painful experience of blood glucose measurement by millions of diabetic patients.

This system works like telescope. Therefore, broad views of environment can be taken and those tomographic images show the comprehensive details of heat distribution in that area. This heat pattern can be used for many predictions about selected environments and plants in that area. Therefore, portability, easy and accurate measurements will improve people's understanding about their surroundings.
Two portable systems, one has the size equivalent to human finger and other weighs around 500 g, have already been developed. Socially, this system has the potential to change many areas in our society from health monitoring to environmental monitoring.

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Introduction

In the daily living space, measurement of the biological-substance distributions such as sebum can be realized by the proposed method of imaging-type 2-dimensional Fourier spectroscopy [1]. The proposed method is a near-common-path phase-shift interferometer, has the strong robustness for mechanical vibrations. So, the spectrometer can be produced as very simple optical configuration without anti-vibration mechanism. Therefore, the spectrometer's size can be controlled under the 50*50mm and the weight is only about 200 grams. Moreover, the phase shifter is a core part of the spectrometer, and it is constructed by the low-price bimorph type long stroke actuator which is depending on the vibration control of the piezoceramic in proposed method. It is appropriate as the actuator of the phase shifter from the evaluation results of the actuator straightness and position accuracy. As we know, the Fourier spectroscopy has high light utilization efficiency. Additionally, in proposed method we do not use optical part to limit the field angle, which is different about the conventional FT-IR. So, the light utilization efficiency is higher than FT-IR. Therefore, the low price microbolometer can be used in the optics as the imaging sensor. From the above reasons, the low-price, compact and high portability spectrometer can be produced using the proposed method. Furthermore, take advantage of the 2-dimensional spectral imaging which can be obtained by the proposed method. As another mid-infrared Fourier spectroscopy's characteristics, the measurement targets are not need be illuminated. Because of the radiation heat which emitted from the measurement targets can be used as the source light. So, the wide-field view and omnidirectional spectroscopic images can be obtained, if a hyperboloidal mirror is installed as the objective lens [2].

In this report, the principle of the proposed method was explained in the second chapter. In the third chapter, the high performance evaluations of the portable spectroscopy apparatus have been discussed by using the CO_2 laser spectroscopy results in the mid-infrared region. In the fourth chapter, the phase shift correction method was explained. At the end, we demonstrated the feasibility of the mid-infrared imaging of whole human faces without active illuminations.

Imaging-type 2-dimensional fourier spectroscopy

Figure 1 shows the schematic optical diagram of the imaging-type 2-dimensional Fourier spectroscopy. That is a near-common-path phase-shift interferometer where a phase shifter, known as variable phase filter has been installed at the optical Fourier transform plane. The variable phase-shifter has two mirrors. One is the movable mirror which is actuated by bimorph type piezoceramic and the other is the fixed mirror. The arbitrary phase difference can be given to the half of the light flux by the variable phase filter.
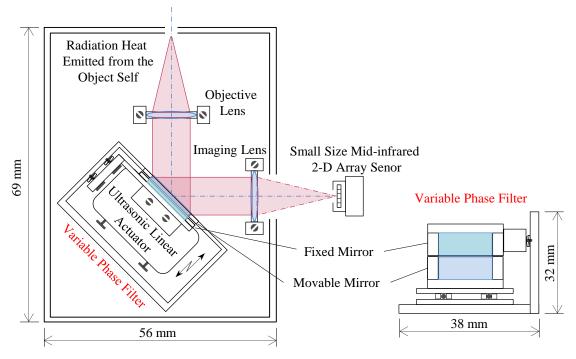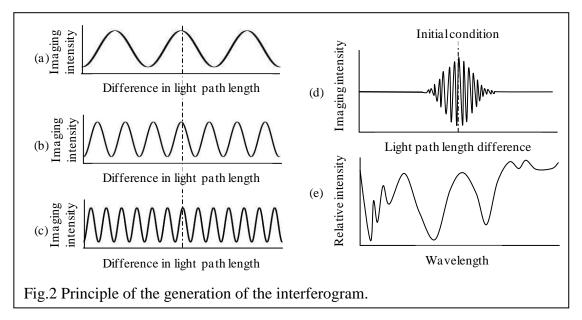
Figure 1. The schematic optical diagram of the imaging-type 2-dimensional Fourier spectroscopy

The radiation heat which emitted from the measurement targets is collimated by the objective lens; the collimated rays are reflected by the variable phase filter which is installed on the optical Fourier plane at 45 degrees. Then the reflected rays are imaged on the mid-infrared 2 dimensional array sensor which is installed on the image plane by imaging lens. The interference-intensity-changes which are interferogram can be obtained at every pixel by the mid-infrared 2 dimensional array sensor.

The variable phase-shifter gives an arbitrary phase difference at a half flux of climated objective rays. As an initial condition, the phases of every ray emitted from single bright points are equal and form the bright interference image. If half wavelength phase-difference is given to the half flux of objective beams, two fluxes are interfered each other on imaging plane and weaken each other as interference phenomenon. In this case, the intensity of formed points becomes to be low. And then, if single wavelength difference is added to the half flux of objective beams, two half fluxes are strengthen and form bright-points with high intensity. If we use monochromatic light as a light source, the simple cosine waveform of interference-intensity changes is observed in accordance with the amount of phase-shift value. For spectroscopy, we use the polychromatic light as a light source. For long wavelength components, cyclic changes of interference intensity become to be low frequency. Intensities of short wavelength components changes with high frequency. Sum of these multiple-cyclic interference-intensity-changes form the interferogram at every pixels simultaneously. As mentioned previously, because the interferogram consists of multi-frequency waveform, we can acquire the relative intensities at each frequency analysis by mathematical Fourier transform algorithm. As we know, the conventional Fourier spectroscopy, we can convert into spectroscopic characteristics which are the relative intensities at each wavelength by inverted value of frequency.

General idea of the interferogram-generation by the spatial phase-shift

In this section, we explain the concept of the interferogram generation by the spatial phase-shift. The interferogram is formed with the interference phenomena of the multiple wavelengths. First, we describe the spatial-phase-shift interference phenomenon of the monochromatic light. In this case, the interference fringe is formed as the periodical change of the imaging intensity.

Fig.2 Principle of the generation of the interferogram.

The graph (a), (b), (c) in the figure 2 show the example of the imaging-intensity changes. The graph (a) shows the interference fringe of the long wavelength component. And the graph (b) illustrates the intensity distribution of the middle wavelength light. The graph (c) is the case of the short wavelength. The interferogram is the synthesized waveform that is formed as the summation of these multiple waveforms. In these graphs, the broken line points the initial condition with the no-phase difference. Because the phase-difference is zero for any kinds of wavelength at the initial condition, the interference intensity is strengthened in every wavelength. Thus, the amount of interferogram, that is the summation of these interference intensities, shows the maximum value at the initial state. Away from the initial state, the interference intensity is periodically changed as the sinusoidal wave in accordance with the amount of the spatial phase-shift. In case of the long wavelength component as shown in the graph (a), the interference intensities change in low frequency in accordance with the amount of the spatial phase-shift. Thus, the spatial frequency of fringe pattern of long wavelength component is low. On the contrary, the interference intensity changes spatially in high frequency in the short wavelength component as shown in the graph (c). The spatial frequencies of fringe pattern are different with the wavelength. Therefore, the summed waveform of these multiple spatial frequency becomes to be the DC component away from the initial state. As the result, the interferogram shown in the graph (d) is generated by the spatial phase-shift. And then, by computing the Fourier transform, we can obtain the relative intensities in each wavelength as shown in the graph (e). This distribution of the relative intensities describes the spectroscopic characters.

The portable Mid-infrared Fourier Spectroscopy Apparatus

The portable mid-infrared Fourier spectroscopy apparatus is shown in figure 3. The germanium lenses which have high transmission in the mid-infrared region are used in the optics. The microbolometer (Maker: FILR, Type: Quark 336) was used as the 2 dimensional imaging sensor. The variable phase shifter was actuated by the low-price bimorph type long stroke actuator (Maker: Technohands CO., Ltd, Type: TULA XDT50-045, Stroke: 4.5mm). The proposed optics is a near-common-path phase-shift interferometer with the strong robustness against mechanical vibrations. So, the proposed optics can be constructed as simple optical configuration without anti-vibration mechanism. From the above reasons, the low-price, compact and high portability spectroscopy apparatus can be achieved by using the proposed method. Moreover, the spectroscopic imaging can be realized not only under a prepared environment such as laboratory, but also under the unstructured environment such as outdoor.

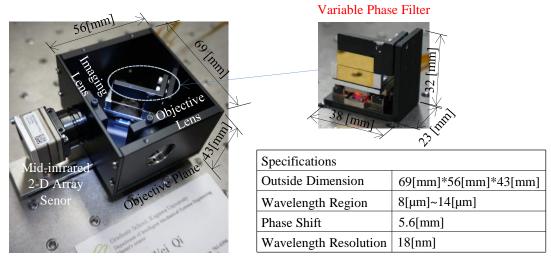| Specifications	
Outside Dimension	69[mm]*56[mm]*43[mm]
Wavelength Region	8[μm]~14[μm]
Phase Shift	5.6[mm]
Wavelength Resolution	18[nm]

Figure 2. The portable mid-infrared Fourier spectrometer and specifications
Fig. 3 The portable mid-infrared Fourier Spectrometer and specification

Performance evaluations of the portable mid-infrared spectroscopy apparatus

The performance of the portable mid-infrared spectroscopy apparatus is evaluated by obtaining the line spectrum of CO_2 laser (Maker: Access Laser, Wavelength: 10.6 [μm], Half bandwidth: 0.5 [μm]). The mid-infrared light emitted from the light source CO_2 laser transmitted the pinhole which was installed on the measurement plane. The phase difference was given to the half of flux by the variable phase filter. The interferogram was gotten by the mid-infrared 2-dimensional array sensor on the imaging plane. That is shown in figure 3. Then, the spectroscopy characteristics can be obtained using the mathematical Fourier transform algorithm. As the figure 3 shows, the line spectrum of CO_2 laser can be confirmed at the wavelength 10.6 μm with the half bandwidth 0.5μm. That is same as the specifications of the light source CO_2 laser. So, the proposed the portable mid-infrared spectroscopy apparatus can obtain the mid-infrared Fourier spectroscopic imaging. That was demonstrated by obtaining the line spectrum of a CO_2 laser.

Interferogram

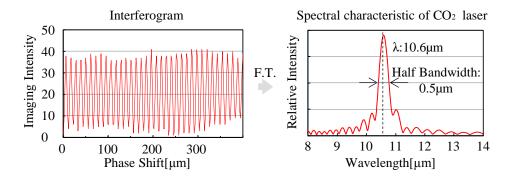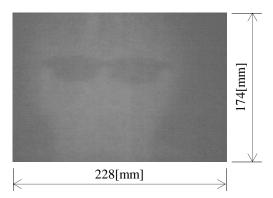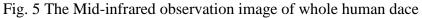Spectral characteristic of CO₂ laser

Fig. 4 Obtainedline spectrum of CO2laser by portable mid-infrared Fourier spectroscopy apparatus
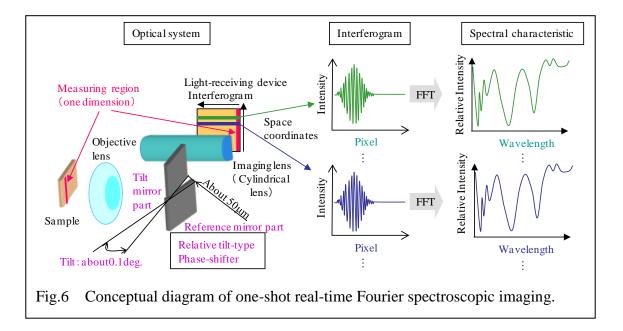
We demonstrated the feasibility of the mid-infrared imaging of the whole human face without active illuminations. The radiation light was emitted from human heat (Temperature: around 300K). In this evaluation, to measure the whole face area, the optical magnification of the conjugate imaging unit was set to 0.025×. Using the mid-infrared camera (Maker: FILR, Type: Quark 336). The observation image of a whole human face is shown in the figure 7. In the future, the spectroscopic image of a whole human face will be obtained and the quantitative measurement will be conducted.

Fig. 5 The Mid-infrared observation image of whole human dace

One-shot Fourier Spectroscopic Imaging

Figure 6 shows the optical path of the proposed Fourier spectroscopic imaging that is based on the spatial phase-shift as the transmission type. The left side and the right side picture show the side and top view of the proposed method respectively. As shown in the side view, the objective beam is collimated by the objective lens and form the image in a line (perpendicular to the paper). And as shown in the top view, we introduce the relative-type phase-shifter into the infinity optical-imaging system. The objective beam reaches to the imaging plane to be inclined with respect to the principal axis. The relative-type phase-shifter is constructed with the two kinds of mirror as show in Fig.3. One is the reference mirror and another one is the tilt mirror. The tilt mirror is relatively inclined to the reference mirror. Thus, the relative phase-difference between the half fluxes of objective beams is given by the spatial phase-shift. Therefore, the wavefront of the two objective beams reach the imaging plane with arbitrary angle in accordance with the inclination of the tilt mirror. The relative

incident angle between these beams gives the amount of spatial phase-shift proportional to the spatial distance on the imaging plane. Thus, without the mechanical phase-shifter as time-domain method, the change of interference intensity with the phase-shifted value, that is called interferogram, is spatially formed in a line on the imaging plane with high time resolution.

Fig.6   Conceptual diagram of one-shot real-time Fourier spectroscopic imaging.

As shown in Fig.3, in each horizontal pixel-line, the interferograms are formed as the interference fringes by the spatial phase-shift. In other words, the spectroscopic characters are expressed as the periodical line-and-space fringes. And then, after these interferograms are calculated by Fourier transform algorism, the spectral characteristics are obtained in each horizontal pixel-line. Thus, we can realize the one-dimensional Fourier spectroscopic measurement with one-shot imaging.
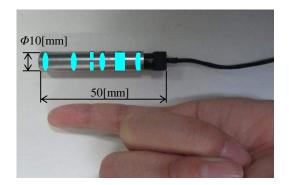

Fig.7   The trail product of the little-finger-size one-shot spectroscopic tomography.

Advantages of proposed method over the imaging type 2-dimensional Fourier spectroscopy

In previous study, we proposed the imaging type 2-dimensional Fourier spectroscopy. This is the time-domain phase-shift-interferometer between the object lights. Because the imaging-type 2-dimensional Fourier spectroscopy is the near-common-path interferometer, the one of the advantages is the strong robustness to the disturbance inside the optical system. And because this optical system doesn't use the reference light, the optical equipment can be constructed as the simple structure with high portability. And, based on the imaging optics, this spectroscopic imaging secures the high spatial-resolution.

But the disadvantage of this technology is the low time-resolution caused by the time-domain phase-shift operation. To apply this method into the unconstructed environment, the temporal fluctuation of the target object, such as atmospheric disturbance, is the main issue. To improve the low time-resolution, we introduce the spatial phase-shift interferometric method into this method. In this proposed method, the phase-shift interference phenomenon is generated spatially in a moment. For this purpose, we assign the one dimension of the light receiving device to the spatial-phase-shift space. Thus, this method is capable of the one-shot measurement of the one-dimensional spectroscopic imaging.

Social Impacts

Number of diabetic patient around the world has increased over 285 million in 2010. Controlling the blood sugar level of those diabetic patients has the utmost importance to avoid endangering their health further. Hence daily monitoring is the way to get a feedback about the current condition and non-invasive, quick method is preferable. However, main impediments of having daily monitoring are availability of simple and efficient equipment and the fear due to the pain of using existing systems. Most hospitals around the world uses needle to take out bloods for testing and which may be painful but amount of pain will mainly depend on the skill of nurse who is taking blood. Portable equipment that we propose here is mainly using non-invasive techniques which ultimately release the pain of patients. Moreover, portability and easiness, and sound technique will make our equipment more efficient. Therefore, it is quite obvious that this equipment will make huge impact on diabetic patients around the world.

One-shot Fourier spectroscopic tomography utilizes the advantage of confocal effect that can limit the measuring depth into the focal plane. Moreover, the spectral line-imaging with high time resolution can be realized by one frame data without mechanical phase-shift operation. In the result, the proposed method is suitable for multi-components and moving biological-tissues. And, the beans-sized and low-price spectroscopic unit that can be installed into smartphones will be available as commodity. It means that we can use this equipment as a healthcare sensor with smart phone or iPhone and ultimately 1.75 Billion smart phone users around the world have an incredible opportunity to check and track their health condition with mobile phones. This will improve the awareness about them and finally will boost the whole health care sector around the world.

Conclusion

The portable mid-infrared Fourier spectroscopy apparatus has been proposed. The high performance evaluations of the portable spectroscopy apparatus have been discussed by using the CO_2 laser spectroscopy results in the mid-infrared region. For improving to the short wavelength spectroscopic measurement, the phase shift correction method was explained. At the end, we demonstrated the feasibility of the mid-infrared imaging of whole human faces without active illuminations. In the future, the phase shift correction will be conducted and the spectroscopic image of a whole human face will be obtained. One-shot type fourier spectroscopy was introduced and advantages and disadvantages were discussed. Finally social impact of these devices were discussed.

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Children and Domestic Violence: The Perspective of Abused Women in Malaysia

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Abstract
Domestic violence has been regarded as a significant social and public health problem in many countries. Notably, the impact of such victimization experiences may have adverse consequences not only for the victims, but their children, families, friends as well as the whole of society. The purpose of this study is to explore the abused women's experiences regarding how domestic violence affects the well-being of their children. The approach to empirical research adopted for this study is one of a qualitative, semi-structured interview methodology. The primary source was drawn from face to face interview with 25 women who identify themselves as experiencing domestic violence at some point in their marital relationships. All of the participants were aged between 19 and 65 years.

Via the thematic analysis, five important themes were revealed to be the impact of domestic violence on children, as described by the participants. The themes include negative feelings towards abusive father, dangerous complication during pregnancy (to unborn child), neglected children, protective behaviours as well as juvenile delinquency. Fragments of excerpts and quotations acquired from the participants were used to represent the research findings as the themes emerged. In brief, the results conclude that domestic violence not only affects the women who are abused, but also imposes negative effects on the growing children.

Keywords: Domestic violence, spousal abuse, family violence, child abuse

Introduction

Domestic violence is often described as a family-centred problem and generally understood as patterns of abusive and coercive behaviour which may cause physical injuries, psychological and emotional disturbances, sexual intimidation as well as financial oppression of the victim. In fact, it is portrayed as the act of maltreatment of one's partner by the other in the context of an intimate relationship. A similar definition, described by Healey, Smith and O'Sullivan (1998), is that acts of violence and abusive behaviours are used by adults to control and dominate their intimate partners, and is thus classified as domestic violence.

There are many definitions for domestic violence, which may differ from one another depending upon the perspective of the definer(s). Straus and Gelles (1990) argued that proper definitions of domestic violence are essential, since without accurate description the problems related to the occurrence of violent domestic incidents seem to get more severe. The World Health Organizations (WHO) defines violence in the following way:

> "Violence is the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community, which either results in or has a high likelihood of resulting in injury, death, psychological harm, mal-development or deprivation" (WHO, 2009).

The Women's Aid Organisation of Malaysia (WAO) states: "Domestic violence is an abuse of power. It is when one partner, usually a boyfriend or husband, attempts to control and dominate the other, usually a girlfriend or wife through violence, threat of violence, or by controlling the couple's finances and social life" (WAO, 2009). Meanwhile, the All Women's Action Society Malaysia (AWAM) defines it as: "The incident when a partner, former partner or family member attempts to control and dominate a person through violence, the threat of violence or other means of control such as deprivation" (AWAM, 2009).

In contrast, both of the above definitions by WAO (Malaysia) and AWAM considered the violence acts which occurs within non-marital couples, although in Malaysia, domestic violence is only regarded as the violence occurring among intimate partners who are either spouses or ex-spouse of a legal relationship as stated in the Domestic Violence Act 521 (1994) [DVA]. The definition of domestic violence in the Act means the commission of any of the following acts (Domestic Violence Act 521, 1994: 6):

    a) willfully or knowingly placing, or attempting to place, the victim in fear of physical injury;

    b) causing physical injury to the victim by such act which is known or, ought to have been known would result in physical injury;

    c) compelling the victim by force or threat to engage in any conduct or act, sexual or otherwise, from which the victim has a right to abstain;

    d) confining or detaining the victim against the victim's will; or

    e) causing mischief or destruction or damage to property with intent to cause, or knowing that it is likely to cause distress or annoyance to the victim, by a person against

        i. his or her spouse;

        ii. his or her former spouse;

iii.   a child
iv.   an incapacitated adult; or
v.   any other member of the family

Section 2 under Laws of Malaysia: Domestic Violence Act 1994, Act (521), (1996) refers to the term *spouse* as a person who has gone through a form of ceremony which is recognized as a marriage ceremony according to the religion or custom of the parties concerned, notwithstanding that such a ceremony is not registered.

Section 1 under Laws of Malaysia: Domestic Violence Act 1994, Act (521), (1996) defines *child* as a person below the age of eighteen years who is living as a member of the offender's family or of the family of the offender's spouse or former spouse, as the case may be.

Incapacitated adult means a person who is wholly or partially incapacitated or infirm, by reason of physical or mental disability or ill-health or old age, who is living as a member of the offender's family. [Section 2, Laws of Malaysia: Domestic Violence Act 1994, Act (521)], (1996).

At present, the Domestic Violence Act 521 (1994) is officially applicable to all Malaysians regardless of their religion. However, in the matter of divorce petition related to partner violence, Muslims are bound to file the case via the Islamic Religious Affairs Department (for *Sharia* Law) whereas non-Muslims need to seek advice from the National Registration Department (for Family Law).

Review of the Literature

A number of studies have found that children who are involved in abusive relationships may also directly be abused (Holt, Buckley & Whelan, 2008; Jarvis, Gordon & Novaco, 2005) and exhibit behavioural problems in their lives, such as in the social and emotional aspects of their functioning (Levendosky & Graham-Bermann, 2001). According to the National Report of Health and Violence (Malaysia) 2006, children who are exposed to an abusive relationship are more likely to be aggressive and show higher risks of psychological problems such as anxiety, depression, as well as low self-esteem.

Cummings, Pepler and Moore (1999) examined the patterns of family aggression and behaviour problems in children exposed to domestic violence. Primarily, the study was focusing on gender differences in children who were exposed to family violence. The study involved 242 mothers and 378 children recruited from shelters for battered women from a few cities in Canada. Participants were compared between a violent family and a non-violent family. For the latter group, there were three sub-categories involved, namely a homeless group, a single-mother group and a two-parent group. As hypothesized, the study confirmed that children from the shelter category were rated as having higher levels of behaviour problems than other comparison groups. It was clear from the findings that girls from a violent family had shown greater maladjustment problems and required more clinical interventions rather than the boys from the same group. This result was rated by the mothers within the shelter families in which parenting practices may also be affected due to the battering situation.

In line with the above review, previous studies have reported that families with domestic violence are prone to have problems in parenting (Holden, 2003; Levendosky & Graham-Bermann, 2001). Evidently, the work of Flach, Leese, Heron, Evans, Feder, Sharp and Howard (2011) concludes that women who had violence experiences during pregnancy were more likely to have children with behavioural issues. Their subjects were 13,617 women in the United Kingdom. Taken together, this study placed significance on the effect of domestic violence on child behaviour. What is surprising is that the study found that behavioural problems among children can be evident as young as 42 months old of age.

Closely linked to this issue, it is believed that parent-child bonding may be impaired owing to the frequent arguments, disputes as well as conflicts occurring within the family. Abused mothers often find it difficult and challenging to provide supports and a sense of security to their children in the event of violence. Jarvis, Gordon and Novaco (2005) point out that the relationship between the mother and their children was significantly associated with maternal depression. Children, on the other hand, may intervene and take responsibility to protect their victimized parent (Jones, 2008). In the article titled 'Parenting in battered women: The effects of domestic violence on women and their children', Levendosky and Graham-Bermann conclude:

> "Perhaps even if the mother is able to maintain adequate parenting, the changes in her affect and mood could have deleterious effects on her children's emotional well-being. For example, the child may worry more about the mother." (Levendosky & Graham-Bermann, 2001: 184)

Methods

The present study is exploratory and descriptive in nature. In Malaysia, many issues regarding domestic violence are still under-researched; including the experiences of abused women. It was decided that the best method to adopt for this investigation was to employ qualitative methodology. This method was used in order to obtain new insights into Malaysian women's experiences of living in abusive relationships. According to Strauss and Corbin (1990), by using qualitative research as an approach a better understanding can be acquired about the phenomenon studied.

Owing to the sensitivity of the issue, the context of the research, as well as a number of practical constraints that lay in the study, non-probability sampling method with a purposive sample type has been employed. Purposive sampling was chosen as the sampling framework in the study because this strategy is often used on interviews with specific groups of people in applied social research. In addition, purposive sampling provides the researcher with more opportunity to fully understand the participants (Polit & Beck, 2004).

Real names or other identities were not used in any documentation in order to maintain confidentiality. In the result's section, identification of the participants in the interview transcripts would occur by use of pseudonyms. Data analysis was performed by software called NVIVO version 8.0. Furthermore, the researcher also compared volumes of 'observational data' sourced from the interview notes with the actual interview transcriptions during the coding process. Observational data includes participants' non-verbal signs, researcher's reflections as well as observations at the time of the interviews. This type of information is useful to generate in-depth descriptions and thorough analysis of the research data.

Research Findings

The experience of domestic violence is believed to negatively affect the children. As a matter of fact, children involved in the violent relationships may also be directly and indirectly abused. Therefore, incidents of child abuse among families with domestic violence are a common subject and many behavioural problems have been evident among the children who are exposed to the abusive relationship. The women in the study too had explained the reactions of their children towards the abusive father. The women said:

> *"I pity my children. They lack of their father's love. They have been staying with someone outside the family. Of course things are not the same. My eldest child is grown up but simply refuses his father, whereas the second child never knew the father".* (Aton)

> *"My children neither bothered to ask about their father nor grumbled about wanting to see him. They don't have that feeling of love towards their father although I've never talked bad about him. Anyway, they are all grown up now and they know how to judge him for themselves".* (Raihana)

> *"My children still remember until today of how my husband used to beat me. He told me not to retaliate or else I'll get a swollen face and bleeding lips. It makes no difference to my children whether he is around or not".* (Junaidah)

> *"Both of my daughters hated their father because of the abuse. They refuse to go to their father's house although he came to fetch them. I guess that's the effect".* (Patimah)

The bonding between the father and the children should have been established at the point of the pregnancy itself. However, in most domestic violence relationship, this would not be the case. In fact, for some women the violence escalates over the period of the pregnancy trimesters. Arni and Rita argue that the husbands were insensitive towards the hormonal changes and seemed like not bother at all about their current situation. The beatings continue as they said below:

> *"Two months after my pregnancy was confirmed, I suffered nausea and vomiting quite badly. He didn't try to understand my condition and still wanted me to do normal house chores and to please him as usual. He easily got irritated when I was pregnant. He would just beat me for even small mistakes".* (Arni)

> *"When I was pregnant with my second child, he often came back home with a bad temper. Our financial status was very critical at that time. We had to think about the child we already had and the unborn child, at that time. He always beats me. There was one time when we had a fight and he choked me until I couldn't breathe. I was very scared at that time if anything should happen to my unborn child".* (Rita)

As for Nor, her husband's drug habit had made her expecting period awful:

> *"He was addicted back to drugs. We were penniless. He had no job. I think that was the main reason. He always come back home 'high' and started to talk nonsense and behave aggressively. He still beat me up although I was 8 months pregnant. I felt horrible during my pregnancy period".* (Nor)

Ikin recalled her tragic story:

> *"I had two miscarriages in my early years of marriage because of the beatings from my husband. My family-in-law knew what happened but they tried to pacify me. They said it's probably not our turn yet to have a child. During my third pregnancy, I was more careful and spent most of my time with my mother-in-law. Even though, the same thing happened again. As a result, my child was born premature but I am happy the child is safe".* (Ikin)

As the women struggle to deal with the situation at home, the children on the other hand may worry and feel responsible to protect their mother. Yusnah and Tina revealed:

> *"My children remember about the abuse until today. My eldest child who was eight years old at that time told me not to go against my husband or else my face will get swollen again. He said that my husband will beat me even harder if I retaliate. He was afraid that I might die. My face was always swollen at that time because of the beatings".* (Yusnah)

> *"Even though my child is still small, he understands what's happening around him. There was one time when my husband was beating me, my child bit his leg and told him to let go of me. I was so touched. Thereafter, whenever my husband wanted to let go of his anger, he would break all the things in the house. He seldom beats me anymore nowadays".* (Tina)

In fact, parenting issues are likely to take place in families with domestic violence. The quality time that the family is supposed to spend is often limited by disputes, arguments as well as quarrels. Joyah regretted her negligence:

> *"Nowadays, I give priority to my children because I had often neglected them due to my marital problems. If I had not neglected them in the past, they too can become successful like others. I regretted what happened".* (Joyah)

As well, Rosy felt the same way:

> *"I have not found peace inside me due to many fights I had with my husband. I admit that I have neglected my children's education. I cannot control my daughter's behaviour anymore. She is wild and has ill feelings towards men. My children follow their own path".* (Rosy)

Yuna, on the other hand felt some kind of relief as she has no children with the abusive husband. She uttered:

> *"When I was in Penang, I took him to see a psychiatrist. I think that's the effect of the accident. I try my best to look after him. He was on epilepsy medication. Unfortunately, he didn't want to continue to take his medicine. Then he started to lose control of himself. He beats me up every day. Luckily I had no children with him. I can't imagine having kids in this sort of unhealthy relationship".* (Yuna)

Domestic violence may cause the retaliation by the children. Many abused women in the study perceived there is a strong linkage between the children and negative behaviours such as physical aggression, delinquency and verbal abuse. Furthermore, the children also reported being involved in school truancy and cigarette smoking at a very young age. The following quotations are used as evidence to describe the circumstances:

> *"Angah is my second child. He watches his father doing the beatings. He follows suit and does it to his youngest sibling, my fourth child. He kicks and beats his siblings. He is just like his father. I always scold him because I don't want him to follow his father's footsteps. He is a hot-tempered man".* (Siti)

> *"When we opted for the divorce, we had to go to court several times. I didn't know that my child was often absent from school. There was once when she was absent for almost two weeks… and the teacher called home. I was so angry when I found out the truth. She said that she was so tensed up and that was why she didn't go to school".* (Raihana)

> *"A teacher came and complained to me that my child likes to talk rudely to his friends. That's the problem, because his father does the same at home when we get into a fight. All sorts of bad words will come out of his mouth. I often advise my children to mind their words when talking. Not to start cursing their siblings. It's a sinful thing. I don't know what happens when I'm not watching".* (Ain)

> *"My eldest and my fifth child are very stubborn. I don't have any problem with the rest because they listen to what I say. My eldest child likes to get into a fight in school. When his teacher reported this to us, my husband got angry at me. The same goes with my fifth child. He was caught smoking in the school's toilet. At that time he was only in Form one (13 years old). Now, he is in Tunas Bakti School (juvenile rehabilitation centre). I hope he changes when he is released later on".* (Halimah)

Discussions and Conclusion

In relation to the outcomes of domestic violence on children, it was believed that the abusers used violence to control their female partners at every point in their marital relationships. There were no exceptions for the women, not even with the presence of the children in the households. Unfortunately, the children may also be at risk of harm since in the mother's womb. In this study, the abused women felt themselves to be powerless in protecting their unborn child.

Subsequently, the women's sense of powerlessness continually hampers the attempts to safeguard the children from the abuser. As the children grow up with the exposure to violence at home, many of those children have reflected their dissatisfaction, retaliation as well as self-rebelliousness in terms of emotional and behavioural difficulties. Therefore, young children living with domestic violence should benefit from the professionals and informal supports in the community so as to help families and children deal with these negative situations. In this particular study, several participants highlighted the negative effects of domestic violence on their children, predominantly the young children. The mothers claimed to suffer a sense of

powerlessness and feelings of being overwhelmed which had contributed to their inability to respond appropriately to their children's needs.

Theme 1: Negative feelings towards abusive father
The results of this study indicate that domestic violence affects paternal-child bonding. During the interviews, a number of negative reactions regarding the child-father relationships were described. Firstly, the children did not bother to ask about their father's whereabouts although the father was not around for quite some time. Secondly, the children just refused to have contact with the father. And thirdly, the relationships were lacking in feelings of love as a result of the children's hatred and anger. However, these results have not previously been described. In Guille's (2004) paper, a comprehensive review of the literature found that there has been a lack of attention to the issue of father-child relationships in domestically violent families.

Similarly, the researcher also found no research discussing this negative bonding issue directly from the (abusive) father-child perspective. The closest related issue concerned the significance of the father (perpetrator) in the children's lives (Peled, 2000; Bunston & Crean, 1999), the quality of parenting (Mullender, Hague, Iman, Kelly, Malos & Regan, 2002; Levendosky & Graham-Bermann, 2001) and parenting by abusers (Bancroft & Silverman, 2002). It was demonstrated in a quite revealing finding from Mullender *et al*. (2002) which demonstrated that paternal-child interaction experiences were described by the children as being characterised by feelings of fear, confusion, sadness as well as disappointment.

Theme 2: Dangerous complication during pregnancy
In relation to unborn children, the prevalence of domestic violence during pregnancy was further recorded in the study. The correlation between domestic violence and pregnancy is interesting because for some women participants the abuse was in fact initiated, and further escalated, over the period of their pregnancy. Almost half of those who were interviewed reported that they had been exposed to various kinds of violence including physical abuse during pregnancy. This finding supports previous research into this area which links domestic violence and pregnant women. (Flach *et al*., 2011; Kratochvil, 2010; Sricamsuk, 2006; Gazmararian, 1996). Although a Malaysian study found the prevalence of domestic violence among pregnant women was low in percentage (Jahanfar, Kamarudin, Sarpin, Zakaria, Abdul Rahman & Samsuddin, 2007), other studies showed that this vulnerable 'mother-to-be' group somehow face violence with higher risks in comparison to the general female population (Awusi, Okeleke & Ayanwu, 2009; Sricamsuk, 2006). Failure to report the incidents of domestic violence hampers data collection on the number of pregnant intimate partner violence victims (Rodriguez, Bauer, McLoughlin & Grumbach, 1999).

Jasinski (2004) in the article entitled 'Pregnancy and domestic violence: A review of the literature' discusses the interdisciplinary empirical research on pregnancy-related violence. The review of the studies indicated that prevalence rates of pregnancy-related violent victimization vary due to variables such as research designs, the violence measurements used and differences in the populations sampled. Further results demonstrated that the association between direct effects of violence on the health and well-being of both mother and the unborn child were negatively correlated. The result of this current study may be explained by a number of different factors.

These include the possibility of the abuser's increased stress over the impending birth of the unborn child due to financial difficulties, or the hormonal and physical changes of the women being unfavourable to men, and the decreased capacity to self-defence due to the physical discomfort of carrying a child, which makes the women become vulnerable to such abuse perpetrated by their male partners.

Theme 3: Neglected children
A few women in the study commented on how much they regretted their 'negligence' regarding these young children. The women admitted to not paying attention to the emotional needs of the children as well as losing their authority and control over them. This may become another potential issue within the parenting context in domestic violence families that is worth investigating. In this study, a household plagued by domestic violence was found to foster negligence towards the children. The mothers reported that the marital conflicts had affected their parenting capability since they failed to utilise any quality time together with the children, as well as the distraction caused by the fights.

In particular, the women acknowledged the importance of their children's education where they thought this should be their main concern for the youngsters' future. It is encouraging to compare this finding with that by Holden (2003) who found that maternal stress and depression among mothers may severely compromise their emotional energy and the time they had available for their children. Other studies highlighted that abused women may be unable to encourage their children's normal developmental transitions, and their sense of basic trust and security in contrast to non-abused mothers due to the 'nature' of the violent relationships they live in (Levendosky & Graham-Bermann, 2001).

Theme 4: Protective behaviours
One unanticipated finding was that some of the children had expressed their sense of insecurity by protecting the mother as an alternative. A few women participants recalled some 'touching moments' regarding how their children act in response to the father's violent behaviour. This result may be explained by the fact that some children may feel very worried and frightened of what may happen to their mother if the violence is continually repeated. This often means that the children's sense of safety and security is undermined. The consequences of mediation, however, probably led to the experience of child abuse and maltreatment. It is believed that children intervening between the parents reflected a strategy of the children attempting to safeguard their mother's safety.

Edleson, Mbilinyi, Beeman and Hagemeister (2003) research found that the frequency of children intervening in the conflict was between 10 and 30 per cent. Meanwhile the Jarvis *et al.* (2005) study showed that 70 per cent of abused mothers reported child intervention in violent incidents. Indeed, there is a similarity between the attitudes expressed by the children who grew up in abusive homes in this study and those described by Goldblatt (2003). Goldblatt (2003) proposed that children and young people describe different ambivalent thoughts towards their father and their mother respectively. As opposed to the fearfulness notion for their male parent, a sense of obligation to protect was established for the mother. Furthermore, the views regarding children interfering in regards to protecting the abused mothers in this study is similar

to the previous literature, which suggests that children intervening to defend their mother may often result in child battering (Hilberman & Munson, 1978).

Theme 5: Juvenile delinquency

A strong relationship between the impact on children's attitudes and domestic violence has been reported in the literature. Much empirical evidence suggests that growing up in an abusive home environment can contribute to behavioural and social problems among the children (Bauer, Herrenkohl, Lozano, Rivara, Hill & Hawkins, 2006; Lundy & Grossman, 2005; Cunningham & Baker, 2004; Kitzmann, Gaylord, Holt & Kenny, 2003; Laing, 2000; Edleson, 1999). Comparable findings were reported by most of the women participants in this study wherein the association involving domestic violence and children's negative behaviours was noticeably linked. The current study found that the negative behaviours in children as described by the mothers included physical aggression, delinquency, verbal assault, smoking and habitual truancy. Concerns over the domestic violence effects on the children's behavioural and emotional problems has also been expressed in other research on young children by Kitzmann, Gaylord, Holt and Kenny (2003), Jarvis *et al*., (2005) as well as in Lundy and Grossman (2005).

The findings of the Kitzmann *et al*.'s study in 2003 found that children who are affected by domestic violence experiences are likely to demonstrate negative attitude problems, academic impairment as well as problems with temperament. Jarvis *et al*. (2005) on the other hand concluded that children's post-traumatic stress disorder (PTSD) symptoms were found to be associated with the frequency of physical violence incidents whilst the behavioural problems were related to maternal psychological functioning factors (i.e. depression, anxiety and anger). This also accords with the earlier observations, which showed that almost 20 per cent of the sample of the US children who were exposed to domestic violence was identified as 'troubled' children. At school for example they were reported as not complying with the rules of the school, being delinquent, frequently acting in an aggressive manner, as well as displaying emotional dysfunction such as sadness and symptoms of depression (Lundy & Grossman, 2005).

Possibly, the exposure to an abusive environment at home may also internalize the children's violent behaviour as acceptable techniques for them to use in interaction and socialization with others. However, it is believed that every child will respond differently to inter-adult physical aggression and the responses may vary according to numerous factors such as age, sex, ethnic group, religion as well as the family dynamics. The findings obtained in the study may be served as suggestive but not definite explanations because further inquiry is warranted for this particular issue of behavioural adjustment among children from violent families in the context of Malaysia.

As a conclusion, the damage wrought by domestic violence problem extends far beyond the women themselves. Perhaps the most affected individuals, besides the women themselves, are the children who grow up in abusive homes. The exposure of children to domestic violence, stated by some authors as the 'witnessing' of the assaults, involves seeing physical injuries, broken furniture as well as overhearing arguments (Cunningham & Baker, 2004; Mullender, Hague, Iman, Kelly, Malos & Regan, 2002). Thus, based on the evidence revealed, it can be concluded that violence

in relationships frequently contribute to several forms of adverse outcomes in the women victim's life with no exception on her children.

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The Power and Importance of the State after the Global Economic Crisis in Relation to the Concept of Neo-Weberian State

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Abstract
As a result of the economic crisis started in 2007-2008 the public began to look longingly in the direction of the state. Pushed aside by the dominant model of the New Public Management and the critique of bureaucratic administration, it suddenly became a lifeline for failing banks and other financial institutions. The society and the growing group of researchers began to see the need to restore the power of the state.

One of the most widely discussed proposals in recent years was the concept of the Neo-Weberian State developed by Christopher Pollitt and Geert Bouckaert . The authors present the concept of combining the best elements of the New Public Management (e.g. the professionalization of public services and focus on goals rather than procedures) and the Max Weber's Bureaucratic Model (e.g. the role of the state as the main coordinator of solutions for new global problems).

In this article the author analyzes the reasons for increase of expectations with respect to the state. At the same time the author presents the reforms carried out in selected countries that are consistent with the model of the Neo-Weberian State. This issue is particularly important in connection with the greatly limited resources at state's disposal as a result of the neoliberal reforms and above all, globalized financial markets. So the question arises, whether the model proposed by Pollitt and Bouckaert is able to meet this challenge? How the states should be reformed in order to avoid copying the negative elements of the old models?

Keywords: Neo-Weberian State, administration, New Public Management, public services, reforms.

Introduction

At the end of the first decade of the 21st c., as a result of the turmoil in the global markets, we were faced with the spectre of the greatest economic crisis since the Great Recession of 1929-1933. The crisis, originally initiated by the collapse of the mortgage market in the United States, quickly spread out to more countries, causing significant perturbations on a global scale.

As a result of the economic crisis and the on-going debate on its causes, many experts and politicians were prompted to initiate a discussion on the need to redefine the role a state should play in a modern economy. Relegated to the role of an observer taking care of ensuring the most favourable conditions for the "invisible hand of the market", it did not have sufficient capacity to prevent the growth of a speculative bubble, amidst the growing fear of potential allegations anticipated to be hurled at it by the free-market advocates. After the economic meltdown, declining financial institutions began to look imploringly in the direction of the state for support (Barofsky 2012).

Public outcry and some experts contributed to an increase in general sentiment for extending the regulatory role of the state, as well as changing the way it actually operates. In terms of the theory of public administration this translated into a critical assessment of the currently dominant model of New Public Management, as deviating far too much from the original vision of administration, as put forward by Max Weber. An attempt to have these two approaches fused, with a view to ultimately extracting from them the most effective solutions, was undertaken by Christopher Pollitt and Geert Bouckaert, who proposed the concept of a Neo-Weberian State (Pollitt & Bouckaert 2011). Considering a growing interest in this theory, the Author shall strive to present the ways in which some solutions deemed compatible with this theory have been implemented in selected countries, against the background of the Global Economic Crisis.

In the first part of the paper the Author shall briefly address the origins and effects of the Global Economic Crisis at the end of the first decade of the 21st c., which proved tangibly instrumental in having the existing models of the economy and the state revised.
In the second part the Author shall outline the key assumptions of the concept of the Neo-Weberian State, as put forward by Pollitt and Bouckaert in their book *Public Management Reform. A comparative analysis of New Public Management, governance, and the Neo-Weberian State* (Pollitt & Bouckaert 2011). The main emphasis shall rest on demonstrating the differences between this model and the currently dominant ones.
The third part shall address the reforms, either planned or actually carried out in recent years, that actually happen to fall well within the conceptual scope of the proposed model of the Neo-Weberian State. Those reforms shall be explicated on the US and EU turf, respectively. This shall facilitate a preliminary assessment whether the proposal presented by Pollitt and Bouckaert is actually reflected in the actions undertaken by the policy makers.

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The Global Economic Crisis as the result of a weakened role of a state

In terms of its geographical origins, the Global Economic Crisis should be attributed to the United States, where in the 1980s the process of gradual deregulation of the financial and banking sector commenced. This culminated in the adoption of the bill on the modernization of the financial services sector in 1999 (i.e. The Gramm-Leach-Bliley Act), actually allowing for any mergers of financial institutions, which in due course turned out to be rather fateful. At the same time the US government was largely responsible for stimulating the mortgage market, actually motivating the financial institutions to offer credit facilities also to the indigent citizens, inter alia through corporate entities like Fannie Mae and Freddie Mac (Beck & Możdżeń 2011).

In public awareness real estate property has become one of the safest and also the most profitable ways of investment for the future. Persons which have so far avoided the risks and entrusted their money to the banks as the time deposits, or put their trust in the alternative, yet relatively safe financial instruments, began to respond to overall euphoria ruling the market. The financial sector, much driven by its paramount desire to maximize the profits at whatever it took, quickly spotted an opportunity to gain substantial benefits to be derived from the strong demand for real estate property. It is for this very reason that the banks and the mushrooming financial institutions loosened up their stringent requirements on the borrowers that did not boast sufficient capacity to take on such a substantial commitment.

Financial institutions have begun to recognize the problem of having in their portfolios a steadily growing share of loans that did not bode well (i.e. offer good prospects) for the future. Bank staff put in charge of managing those risks came up with the idea of converting the danger of losing solvency by their customers into an extra profit. The receivables due from the defaulted mortgages began to be combined into packages and subsequently sold off to any potentially interested parties. In order to improve overall credibility of these products the audit companies granted them their certificates with a positive credit rating. Over time, these derivatives grew to become so complex in their structure that very few people were actually able to understand what in fact they were buying, and - even more importantly - what sort of risks were entailed in such a purchase.

Despite the warning signals starting to appear with regard to the prices on the real estate market which seemed to be rising at an alarming rate, those had been downplayed to a large extent. As a result, in 2007, there finally was a collapse of the mortgage loans market in the United States. The bankruptcy of Lehman Brothers a year later, and the sale of the shares of Bear Stearns and Merrill Lynch banks at the surprisingly low prices caused a widespread panic and overall financial crisis, which quickly spread further afield from the United States, causing massive turbulences on the international arena. In the era of globalization and spreading of McWorld, as pointed out by B. Barber, all financial markets in fact make up a closed system of interconnected vessels. If one of the markets should break down, the crisis will rapidly spread out to another, causing the entire system to be affected in no time at all (Barber, 2008).

Analyzing the above referenced course of events it might well be concluded that one of the main causes of the Global Economic Crisis were the animal spirits, whose existence in the economy was pointed out by J. M. Keynes, while with regard to the crises of the recent decades this was also recalled by G. Akerlof and R. Schiller (Akerlof & Schiller 2009). In their view, they can be divided into the five aspects of animal instincts that have contributed to the collapse of the financial system. These are:

1) Confidence and its multipliers. One of the reasons that speculative bubbles appear is due to the excessive confidence of the market players. On the one hand, we are dealing with financial institutions that offer assurances of financial security and an absence of any risk related to the specific services offered by them, while on the other, potential customers who put their trust in professional competence of financial advisors and analysts. Faith built on such shaky foundations may only too easily turn into panic, though. When a strong market slump occurs, it is bound to have the trust seriously undermined, as well as become instrumental in radically transforming the society's prevalent moods.

2) Fairness. This factor is directly linked to the previous one. The persons who bought toxic debt securities had trust in overall integrity of the representatives of financial institutions. Additional premise behind these instruments were the actual ratings issued by the independent (at least in theory) audit firms. A sense of justice clearly made itself felt even after the outbreak of the crisis, when general public actually held a pretty negative view of subsidizing the failing banks out of the public funds.

3) Corruption and bad faith. Creative accounting, corruption and other types of conduct in bad faith make up the other elements of everyday life embraced by some of the giants of financial industry which came to light during the economic downturn and contributed to their downfall. Even though it seemed that a relatively recent Enron debacle would become a warning to potential followers, in reality a powerful temptation to make a fast buck became just all too strong to be resisted.

4) Money illusion. G. Akerlof and R. Schiller point out that contrary to classical theories, people usually perceive the nominal and not the real value of money. We are faced with such an approach, inter alia, when concluding contracts of employment, credit agreements, buying bonds, or in accounting.

5) Stories. The decisions actually made by the people are substantially impacted by the tales that have come to their attention. Every day we learn the new anecdotes, which we are only too eager to share with others. Passed from mouth to mouth over time they become increasingly detached from reality. They can contribute both to spreading euphoria and pessimism, thus increasing the swings in public sentiment, i.e. either facilitating a growth of the speculative bubble, or instilling blind panic in the public.

One of the principal causes of these aspects of animal spirits coming to the fore, which also fit in perfectly with the current situation, is deemed a weakening role of the state as a market regulator. Both in the case of the United States, as well as Europe, a decisive intervention of public institutions proved absolutely necessary. On the one hand, the private banks expected financial support from the state, while on the other, the society was opposed to the financing of failing financial entities, generally

associated with unbridled greed and looking after their own interests only, out of the public taxes. Therefore, in order to reconcile the interests of both sides, it was necessary to make changes in the perception of a financial market at large, which would effectively preclude similar cases, whereupon animal spirits would effectively highjack common sense.

The Concept of the Neo-Weberian State

The concept of the Neo-Weberian State is relatively new and its definition is not yet firmly established in the literature. This concept originally appeared in the domain of social sciences, where the state was perceived as a process whose shape was determined by the external factors. The key publication in terms of popularising this trend is the work of C. Pollitt and G. Bouckaert *Public Management Reform A Comparative Analysis - New Public Management, Governance, and the Neo-Weberian State*. The authors present the concept of the Neo-Weberian State in terms of the functioning of a state, as well as the modernization processes taking place within public administration. This publication provides the foundation for further exploration of this paradigm, and it is the one to which most of the cited authors actually refer.

The Neo-Weberian State may be defined as the state whose functioning is effectively underpinned by the Weberian model of public administration, updated with the elements of New Public Management and governance. Such a state functions on the basis of eight principles - the first four are derived from Max Weber's bureaucratic traditions, while the remaining ones are borrowed from the concept of New Public Management and New Public Governance:

1. The centrality of a state - the role of the main coordinator of activities aimed at solving the problems of global nature (e.g. environmental hazards, aging population, etc.).
2. Reform and enforcement of administrative law - it should play a key role in the modernization of the basic principles shaping up the relationship citizen - state.
3. Retaining the concept of public service - maintaining the elements that are characteristic for it, e.g. status, culture, and organizational principles.
4. Representative democracy - the basis for legitimacy at all levels of government administration.
5. Focus on the citizens - abandonment of the focus on the internal rules and procedures, characteristic of the Weberian approach, in favour of the focus shifted onto catering for the needs and expectations of the external players.
6. Additional public consultations and direct involvement of the citizens - supplementation of the representative democracy with the instruments facilitating active public participation within the scope of activities undertaken by the state.
7. Focus on the results - the need to change the way administration resources are managed, so that officials are held accountable primarily on the basis of the results actually achieved, rather than being assessed in terms of their compliance with applicable procedures.
8. Professional management - training the officials to become professional managers who can effectively address and meet the needs of the citizens (Pollitt & Bouckaert 2011).

According to C. Pollitt and G. Bouckaert, the combination of the best elements of the Weberian approach and New Public Management should contribute to the creation of an efficient, modern state well capable of effectively addressing the needs of its citizens. Even though at first glance the key assumptions seem to be correct in the utmost, some issue was taken with the perspective they adopted with regard to the reforms. Such an approach was put forward by W. Dunn and D. Miller, who claimed that the concept of the Neo-Weberian State (as well as New Public Management) was indeed a vast territory, flawed with numerous ambiguities, and generally leaving quite a lot to imagination.

It tends to ignore the mixed or clearly inefficient results achieved by the organizations managed in line with its principles. It embodies the technical-utilitarian perspective, in most aspects reminiscent of instrumental rationality espoused by Max Weber, which he had highlighted, criticized, and was clearly afraid of, as it could prove instrumental in curtailing democracy and individual civil liberties. Both New Public Management and the Neo-Weberian State ignore other forms and contexts of rationality that are relevant to administrative reform in the democracies (Dunn & Miller, 2007, p. 352-353).

Weaknesses of the Neo-Weberian model are also recognized by L. Lynn. His criticism is mainly resultant from a negative attitude towards the models generalizing the evolution of the administration. As a result, they misrepresent the actual picture of the process of reforming the public administration system. Lynn justifies this by way of emphasising the importance of local cultural factors that are rather hard to be included in this particular approach to theoretical modelling. The differences encountered between the respective administrative cultures modify both the process itself, and the results obtained through its application. That is why creating general models in line with the one-size-fits-all principle is so hazardous, and actually poses a tangible threat to liberal democracy. This risk is actually embedded within the very process of having the classical model of bureaucratic organization modified (Lynn 2008).

These criticisms are not fully justified, however, as C.Pollitt and G. Bouckaert point out that in practice there is no such thing as a comprehensive reform of the state, or the actual modus of its operation. We always have to deal with a string of scattered activities carried out by many players. There is no single leader and no single vision (Pollitt & Bouckaert 2011). In this way they imply that the models of the Neo-Weberian State, New Public Management or New Public Governance may not be treated as rigidly structured, ready-made solutions.

Despite the criticism, however, L. Lynn takes due note of the reasons why reforming the dominant model of New Public Management is necessary, and the solutions aimed at increasing the role of the state steadily gain popularity. New Public Management promoted by global capitalism may be sensitive to democratic forces, because it lacks social legitimacy - the concept of citizens, their civil rights and participation is almost non-existent within the debate addressing this issue. Under the influence of discontent increasingly more frequently voiced by the electorate in some countries, some attention has eventually been paid towards the reforms aimed at having the actual scope of participation of their citizens extended.

L. Lynn concludes that the Neo-Weberian State model offers interesting opportunities both in terms of theoretical considerations and the actual implementation of public policies. In his view, the reform of public management falls primarily within a national domain. In a world of globalization the state's response to social changes will take place in a similar manner until the society resolves that it is high time the fundamental changes be implemented. At this point, not only the instruments wielded by the state, but also its functions shall become the subject of evaluation (Lynn 2008).

The literature on the subject also offers some analyses focusing on the European turf. M. Potůček believes that modern European states are Neo-Weberian in character, as they combine classical Weberian model with the new solutions in the field of management. Thus he believes the concept of the Neo-Weberian State to be the currently functioning system, and not the paradigm of governance or a management model (Potůček 2008). On the other hand, W. Drechsler actually deems the Neo-Weberian State to be the hope for the old continent. Certain elements of this approach are detected by him in the activities of the EU administration. In his view, at the European Union level we are faced with the process of departing from New Public Management and returning both to the values and the framework of reference offered by Max Weber's classical bureaucracy (Drechsler 2008).

T. Randma-Liiv believes that this paradigm may offer the right solution for the countries of Central and Eastern Europe, allowing to achieve a compromise in the area of key values, very much of importance for modern and efficient administration, i.e. flexibility and stability (Randma-Liiv 2008). L. Matei and S. Flogaitis write in a similar vein, recognising the Neo-Weberian model as the only solution in the era of post-New Public Management, representing a synthesis between legalism and managerialism (Matei & Flogaitis 2011).

From the review of literature on the subject there emerges a concept of the Neo-Weberian State as a response to the problems arising from the "hollow state". This situation stems both from the on-going globalisation process and the ensuing blurring of the borders, as well as the growing importance of the international corporations. The weakening role of the state, caused by the steadily advancing processes of decentralisation, and the emergence of supranational bodies like the European Union which deprived the Member states part of their autonomy, is not deemed without a significance either.

Let us now examine to what extent the solution proposed by C. Pollitt and G. Bouckaert can help counteract the factors that contributed to the outbreak of the Global Economic Crisis. As a starting point, let us assume the examples of animal spirits, as represented by G. Akerlof and R. Schiller:
1) Confidence and its Multipliers.
A well-functioning state, based on the cadre of highly qualified officials intent on carrying out public tasks, should inspire the public's confidence and become the guarantor of respecting the principles governing the financial markets. In the event of excessive euphoria and rapidly growing speculative bubbles, the state should take specific measures aimed at cooling down the economy, whereas in the event of incipient escalation of panic, the ones aimed at calming down the raging emotions by strengthening overall supervision over the financial institutions. Being aware that a

strong state actually takes care of their vital interests, the citizens will react with much more calm to the unexpected collapses on the financial markets.

2) Fairness.
In order to ensure this element it is also necessary to ensure the functioning of the competent supervisory state authorities, operating well in line with the effectively structured administrative law. The prospect of being inevitably held accountable to the public institutions endorsed by society should be an important factor in curtailing any illegal practices, as pursued by some financial institutions.

3) Corruption and bad faith.
Like the sense of justice and fairness the experience of the Global Economic Crisis demonstrates that the institutions tasked with controlling the market players are essential in order to effectively prevent creative accounting, corruption and other anti-social behaviour. While trying to deal with this problem, it is essential to ensure that the approach of the officials is actually focused on the expectations of the citizens, as well as effective communication, i.e. informing the citizens on all the measures being actually adopted, as this may also tangibly contribute to the development of overall trust and legitimacy.

4) Money ilussion.
As regards the juxtaposition of the nominal vs. the real value of money, the only reasonable solution seems to consist in having the society properly educated, in conjunction with the adequately structured legislation. Competent clerical staff may be of some help in this respect, just as long as it strives to cooperate with the public, while in the event of making the new law, seeks to take into account the real value of money, thus at the same time representing the vital interests of the citizens.

5) Stories.
With respect to the last of the factors characterizing the animal spirits, it should be duly noted at this juncture that the state happens to be one of the most competent institutions in spinning the tales. It may shift the centre of gravity, e.g. from the narrative of efficient markets, to the narrative of social values, economic inequality, the plight of the working class, and the nature of civic society. It should therefore be borne in mind how big a role in the case of the tale-spinning is played by all sorts of anecdotes and rumours that tend to spread very easily in a world of global social networks, mass media, and self-appointed experts boasting a strong influence over public opinion. It may only be hoped that the professionalization of public administration and citizens' active involvement in the operations pursued by it would help control potential consequences resultant from passing on such tales.

The reforms after the Global Economic Crisis and the concept of the Neo-Weberian State

This section shall address the extent to which the reforms implemented over the past few years in response to the Global Economic Crisis actually fit in with the concept of the Neo-Weberian State, in due consideration of the eight key principles, as outlined earlier on. In view of the vastness of this particular issue, the focus rests on the specific measures undertaken by the United States and the European Union.

The United States, as the cradle of the current economic crisis, were faced with the task of bringing the economic collapse under control as soon as possible. Given the previously pursued policies, whereupon high priority was given to ensuring a minimum possible intervention in the markets, thereby ensuring free competition, having this situation altered was extremely hard to accomplish in the view espoused by those in power. Under the pressure of public opinion, both in the United States, as well as on the international scene, the decisive steps were ultimately decided to be taken. A legislative bill passed in 2010 introduced the most significant changes in the financial sector for more than three decades. On the one hand, this reform introduced additional regulations on mortgage lending and the transactions in derivatives, while on the other, it introduced brand-new solutions with regard to the supervision of the corporate bodies involved in the actual pursuit of such activities.

From the perspective of the Neo-Weberian State, it is this last element that is particularly noteworthy. The creation of the Consumer Financial Protection Bureau, and the appointment of a special team of regulators, reporting directly to the US Treasury, tasked with determining the type of collateral required from the banks, fit in perfectly with the key assumptions of the model proposed by C. Pollitt and G. Bouckaert. They demonstrate the quest to have the role of a state as the central coordinator of measures aimed at combating the crisis appreciably increased, endorse the importance of the reform of currently applicable administrative law (a reference to the principles of a Neo-Weberian state model, as derived directly from Max Weber), as well as for representing the interests of the external players, or the professionalization of managers (the reference to the key precepts of the Neo-Weberian State, as directly derived from New Public Management and New Public Governance).

In this case, these are mainly the vital interests of the citizens, but also those of properly functioning financial institutions, which have become the other victims of the economic collapse, even though indirectly so. Despite the revolution introduced by this reform, it is worth noting that in fact the changes were intended to have been much more radical, although a strong lobbying response from Wall Street ultimately prevented this from happening. This only highlights the extent to which the role of the state has been weakened by the decades of New Public Management model in operation. Prospective restoration of the dominant role of the state will still require years of negotiations, as well as will depend primarily upon the determination of the government in power and prevalent public attitudes.

The Global Economic Crisis to a large extent has also left its mark on the European Union's public finances. As a result of the strong economic links between the United States and the countries of the Old Continent, we had to deal with a significant deterioration of the situation in most of the Member States. Just as in the United States, private banks on the verge of bankruptcy began to clamour for public aid. In view of the potentially grave consequences, the insolvency of such large entities would certainly bring to the citizens, business ventures, and ultimately to the entire economy, the respective states were forced to yield, to a greater or lesser extent, and grant them financial support. This in turn expanded the already inflated debts of some countries (e.g. Greece, Ireland, Portugal, Spain and Cyprus) and forced them to drastically cut public spending, thereby tangibly contributing to the recession. In the

context of this crisis, the European Commission (2014) enumerated, inter alia, the following weaknesses in the functioning of the European economic system:
- Lack of surveillance of competitiveness and macroeconomic imbalances
- Weak enforcement of the law
- Slow decision-making capacity

These conclusions are very much reminiscent of what has been observed in the United States. Also over here, the financial institutions whilst taking undue advantage of the weakness of the European Commission, or the individual Member States, went on bending applicable legislation, and so the speculative bubbles appeared, inter alia, on the real estate market (vide Spain and Ireland).

Painful consequences of the collapse of public finances within the European Union forced the authorities to adopt some radical measures, as massive debt in some Member States posed a tangible risk of a collapse even in the most affluent countries of the Community. Very much like overseas, it was decided to strengthen the supervision over the financial markets. To this end the following three bodies were established:
- European Banking Authority (EBA) - responsible for the issues related to the supervision of banks, with particular emphasis on their recapitalization
- European Securities and Markets Authority (ESMA) - focusing on the supervision of capital markets and the rating agencies and trade repositories operating on them
- European Insurance and Occupational Pensions Authority (EIOPA) - serving a similar role on the insurance market.

An emphasis is also being placed on increasing security for the bank customers, which falls well within the trend espoused by the Neo-Weberian State, i.e. more attention being paid by public institutions to the citizens' needs, and is instrumental in developing trust in the state.

Referring to the entire body of reforms planned by the European Union, it might well be concluded that a major emphasis is put upon the application of the solutions compatible with the majority of the eight principles characteristic of both Max Weber's bureaucracy (centralization of power, increasing the significance of legal regulations), as well as of those relating to New Public Management and New Public Governance (external focus on the citizen and the effects of management professionalization).

Conclusion

The above referenced reforms implemented in the United States and in the European Union demonstrate that the concept of C. Pollitt and G. Bouckaert, at least to some extent is reflected in the reality, and fits in rather well into the current trends on the functioning of the state in the face of global threats. Similar changes involving the establishment of the new supervisory bodies, modernization of the law, professionalization of the civil service, or focusing on the citizens, and on the results rather than on the procedures, may be encountered in most countries that had been affected to a lesser or greater extent by the economic crisis at the beginning of the 21st c.

When assessing the reforms implemented within the respective states in terms of their consistency with the concept of the Neo-Weberian State, particular attention should be paid to whether these elements are also characteristic of Max Weber's classical bureaucracy, New Public Management and New Public Governance. This is essential, as it must be borne in mind that the model itself is basically just a collage of their positive elements. In the Author's view having those postulates invoked may make an important contribution to counteracting the negative effects of the animal spirits within the economy at large, whereas in the event of a nightmare scenario, may also limit its negative effects.

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A Powerful Tool to Engage a Multi-Generational Workforce

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Abstract

This research examines the generational differences in an engagement model. A survey of 539 respondents was carried out where the unit of analysis is Malaysian employee from different organisation in Peninsular Malaysia. This study is backed by well-established theory from social psychology - the social exchange theory. IBM Statistical Package for Social Sciences (SPSS) Statistics 20 was used to perform exploratory factor analysis (EFA), reliability tests, and preliminary correlation analysis. In addition, IBM SPSS Analysis of Moment Structures (Amos) 18 was used to test the hypotheses of the study. Results also show that each generation reacts differently to the motivators of employee engagement. To engage Boomers, employers should focus on reward and recognition from the immediate supervisor and colleague. For the engagement of Generation X, leaders can consider implementing work-life balance programme as well as reward and recognition from the Management. In order to engage Generation Y, what they want is just reward and recognition from the immediate supervisor and colleague, as well as work-life balance. All these lead to finding new and more harmonious ways of establishing working relationships and engaging the employees for all generations.

Keywords: baby boomer; engagement; generation x; generation y; motivator

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Literature Review

In their quest to gain an edge over their competitors, organisations realise the need to shower attention upon the executors of the organisational strategies - the employees. Employees who exhibit greater heights of engagement contribute to their organisations with higher individual task performance (Rich, Lepine, & Crawford, 2010) - which naturally contributes towards improved organisational performance. Fundamentally, engaged workers are said to be more innovative, productive and prepared to put in more effort than expected (Arnold & Evangelia, 2008). Organisational engagement refers to corporate individual members' attachment to their roles (Kahn, 1990). Two years later, Kahn (1992) further describes organisational engagement as behavioural drive into a mental state to be present.

According to May, Gilson, and Harter (2004), engaged employees are often completely engrossed in their job and may not realise the duration and effort they have put in. In a nutshell, work engagement refers to a satisfying working mind-set, distinguished by vigour, dedication, and absorption. Vigour not only refers to dynamism but also to mental resilience while at work. Dedication is about being committed in one's task, with a zeal for working. Absorption in one's work is characterised by determination and concentration at work, where one is unable to detach from work, is unaware of time passing by and their concentration reflect being married to their job (Schaufeli, Salanova, González-romá, & Bakker, 2002). Briefly, engaged employees are active and passionate about their work.

Therefore, it is important to identify the drivers of work engagement to enjoy the benefits of having an engaged workers. Although, many studies have explored variables that may influence the level of work engagement among employees (Arnold & Evangelia, 2008; Arnold B. Bakker, Schaufeli, Leiter, & Taris, 2008), most previous studies on work engagement did not address the transforming workforce. This research more deeply into these differences, looks into the varied generational views based on the core values of job characteristics, reward and recognition; and work-life balance. In addition, this research looks into the recently introduced concept of work engagement of different generational cohorts at work. The purpose is to formulate an engagement model based on these generational needs. The drivers considered in this research are reward and recognition, and work-life balance.

Reward and Recognition
Employees are expected to engage themselves at work when rewards and recognition are given to compensate for their role performances. This theory explains that people implicitly or explicitly involved in a cognitive process by asking themselves "What is in for me?" when deciding whether to engage in a certain behaviour. Total rewards are found to be positively related to employee engagement as per (A. B. Bakker & Demerouti, 2008).

Work-Life Balance
Work-life balance is a common term used at present workplace. Contrary to popular belief, work-life balance is not about having a balance of time spent on both work and life aspects as different individual at different life stage have different priorities. It is about proper prioritising between work and life. Work refers to matters pertaining to

career and ambition. Life can be leisure, family or spiritual development. Thus, work-life balance is defined as one's capability to meet both career's and family's needs / demands, including non-work tasks (Parkes & Langford, 2008).

Baby Boomers
Baby Boomers, the second generation in the workforce, also known as Boomers or Me Generation, were born into the world that was just getting over the two world wars (Elsdon & Lyer, 1999). They were born from year 1946 to 1964 (Jenkins, 2008) and are the workaholics among all (Crumpacker & Crumpacker, 2007). They feel that work is an anchor in their lives resulting in high degree of loyalty.

Generation X
Generation X, also known as X-ers or 13th Generation born from year 1965 to 1980, values flexibility and work-life balance. This generation would go for a lower paying job that provides work-life balance (Glass, 2007). They are loyal to themselves rather than their workplace; prefer to do work for themselves as they experienced their parents being layoff, where they learnt that sacrifice does not ensure stable family life and permanent employment (Gursoy, Maier, & Chi, 2008).

Generation Y
Generation Y, being the youngest cohort into the working world; also called Millennial, Internet Generation, Generation Next or Net Generation (Glass, 2007), dot.com generation (Yu & Miller, 2005) or the N-Geners by (Tapscott, 1998).

Methods

Sample Treatment
This is a cross-sectional research, as data was gathered at a single point in time. It was carried out in organisations situated in Peninsular Malaysia. This research focuses on Baby Boomers, Generation X and Y.

Questionnaire
A total of 578 set of questionnaires were collected. This number clearly exceeds the required sample size of 300 respondents for Structural Equation Modelling (SEM) - giving this study an acceptable sample size. Random sampling was employed.

Findings / Discussion / Conclusion

As far as generation preference is concerned, reward and recognition from the immediate supervisor and colleague seems to be the greatest motivator for the Boomers followed by autonomy. To reiterate, the Boomers feel left out in training opportunities. In fact, some revealed that they have not attended training for years and they feel that they will not be getting any as they are about to retire. As for Generation X, nothing beats work-life balance as they were raised to value work-life balance upon seeing their parents. In addition, Generation X is all for getting reward and recognition from the Management. Gen Y, the youngest of all, values reward and recognition from the immediate supervisor and colleague, followed by work-life balance.

This research proves that employee engagement must be supported and encouraged for all generations in an organisation to bring out the best in them to maximise organisations' success. Employers now need to pay more attention to create an engaged workforce in today's competitive economy.

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Historical Notes on Forts and Floods in Colonial Iligan

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Abstract

The Sendong experience in 2011 was not the first major destructive flood in the recorded history of Iligan. Historical sources reveal that Iligan was hard-hit by typhoons in colonial times causing rivers to overflow to its adjacent plains, washing out strategic posts such as the Spanish forts, built at the river-mouths of Bayug and Iligan. These typhoons were called huracan and in the uplands, mangas were also mentioned, waterspouts which were dreaded because of its rage and destruction. A great flood was also experienced in 1916, significant enough to be etched in written narratives but seems to be forgotten in the contemporary memory of the people.

This paper therefore is a modest attempt to revisit the available written sources which speak about the flood experiences of the riverine presidios of Iligan set during its colonial past. These selected flood disasters had already transpired and its ruins buried in antiquity, however, not given much attention in historical scholarship thus the initial recapitulation of these unfortunate yet historically-significant events through historiography. This study aims to underscore the effect that environment, natural disasters like typhoons and floods cause to the courses of events in history as in the case of Iligan City.

Keywords: fort, flood, river, Colonial Iligan

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Introduction

The tragic experiences caused by natural calamities such as the typhoon *Sendong* in 2011 can still be found in the print media - in the front pages of notable newspapers - and still linger in the web today alongside the tragedies caused by typhoon Yolanda that devastated Leyte in 2013. People continues to connect them to the old, mythical stories they know about floods in the past, yet with the presumption among present Iliganons that the city could still be a flood-free area. This idea of a flood-free Iligan came out because of the long period of "calmness", almost forgetting in collective memory that once upon a time, floods existed and reveal circumstances of the developments in the area especially in colonial times. Before *Sendong* strikes, people seem to believe that Iligan could be one of the safest places to live in Mindanao at least when talking about typhoon threats. But going back to historical sources might lead to other reflections.

Sendong **Draws Out an Almost Forgotten Past**

Typhoon *Sendong* is known internationally as Typhoon *Washi* which started as a tropical depression on December 13, 2011 in the West Pacific Ocean about 2, 150km due east by the Southern Philippines. *Washi* only intensified marginally but never surpassing tropical storm intensity as it trailed due west towards the island of Mindanao (Lang, 2011, para. 8).

The American National Aeronautics and Space Administration (NASA) reported that *Sendong* made landfalls on the east coast of Mindanao in the afternoon of December 16 as a moderate tropical storm. Nevertheless, it spawned a huge blow on the island. Heavy rains caused mudslides and flashfloods that resulted many deaths. Data from the National Disaster Risk Reduction and Management Council (NDRRMC), the Department of Social Welfare and Development (DSWD) of Region X and BALSA Mindanao[1] conveyed a death toll of over 2,000 (Alcantara and Lawagon, 2013, p. 16). In this catastrophe, Iligan and its neighboring city Cagayan de Oro suffered the most. In Iligan, the force of flooding comes from Mandulog and Iligan River. They overflowed and wrecked whatever hampers its course towards the direction of Iligan Bay.

In the Philippines, PAGASA or the Philippine Atmospheric Geophysical and Astronomical Services Administration, Weather Forecasting Section is responsible for forecasts of tropical cyclones that enters in the Philippine Area of Responsibility (PAR). But in the case of *Sendong*, most of the affected residents claim that they received poor warnings and thus were caught by surprise. This is on top of the passivity of the people in Mindanao, where typhoon is a rarity. In Cagayan de Oro for instance, the local disaster council admitted that it was not convened before *Sendong* smashed into Northern Mindanao with local officials saying that storms did not usually pass their way (Severino, 2011, para.1). Most of the tropical cyclones that made their landfall in the country passes through Luzon and Visayas areas. The Manila Observatory said that around 35 cyclones crossed Mindanao in the last 65 years (from 1945 to 2010), an average of one tropical cyclone every two years

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[1] BALSA Mindanao or Bulig alang sa Mindanao/Help for Mindanao is a relief and rehabilitation campaign led by various organizations

(*Preliminary Analysis on Extreme Weather Event Tropical Storm Sendong*, 2011, para. 13).

Indeed, typhoon in Mindanao was rare but today, there is no assurance to it anymore. What happened in 2011 was an eye-opener not only to simple folks but it also gets the interested researchers back into writing especially about natural disasters and their implications through time – the distant and recent past. Historical sources can give clarity in the many assumptions of people and through them people could reflect on migration patterns, disaster risk approaches, thoughts on urban planning and development, and even political and military dynamics. Herein lies the significance of this present study.

Methodology

This inquiry made use of a combination of archival and field research methods. Most of the information of this qualitative research are pieced together from both primary and secondary accounts. Historical sources produced by colonizers were examined using 'Cracks in the Parchment Curtain', an approach developed by William Henry Scott (1982, p.1-2). Old photographs and maps were also retrieved as supporting documents. Most of these were sourced out from the libraries of MSU-IIT, the Filipinas Heritage Library and the National Archives of the Philippines. Digitized copies of primary sources that were available in online journals and archives were also downloaded for reference.

For corroboration and validation, oral interviews were conducted with authorities in various government agencies using interview tools. Auxiliary disciplines were referred to validate assumptions presented on this paper. These data were subjected to analysis and interpretation and using historiography, the extracted information were used for the writing of this paper.

Summary of Findings and Analysis

Iligan: A Place of Descent

Iligan is an urban city situated in the northern portion of Mindanao, an island in Southern Philippines. It covers an area of 81, 337 hectares, which is subdivided into forty-four (44) barangays (Iligan City Government, 2012). Below is a figure showing the vicinal location of Iligan City in the Philippine archipelago.
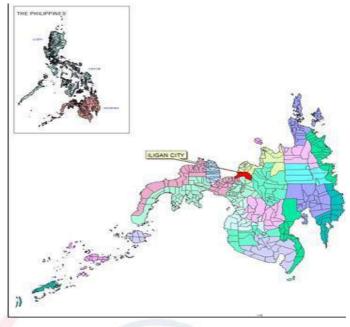
Figure 1: Iligan City is a charted city of the lone
district of Lanao del Norte, a province of Northern
Mindanao ©Palattao and Almario, 2014

Physically, Iligan is characterized with plains, hills, coves and mountains. It has three (3) principal rivers which all empty to the bay of Iligan: the Agus river, Mandulog river and Iligan river. The city generally enjoys a good climatic condition and its precipitation is evenly distributed all throughout the year (Iligan City Government, 2012).

Demographically, the area recorded a total population of 322, 821, based on the 2010 census (Palattao and Almario, 2014, p. 9). It is a highly-urbanized city. The first settlers of the place as noted by Tangian (2011) called themselves as *Higaonon*, coming from the *Binukid* terms 'higa' (dwell), 'gaon' (highland) and 'non' (people) (p. 101). It literally means highland dwellers.

The naming of Iligan was originated by the *Higaonon*. The former came from the term 'ilig', which means 'to descend'. These mountain dwellers would go down to the area to engage in various economic activities. Their frequency of going down to the area made them call it Iligan, meaning, a place of descent (Acut, 1989, pp. 29-30).

Figure 2: Market Day at Iligan, one Saturday in 1900, showing economic exchanges
at the river-mouth of Iligan
©Russel, 1907

Iligan: A Fortress of Defense

In "Spain in the Philippines", Cushner (1971) related that Spanish colonizers made a slow but steady process of Christianization in the northern region of Mindanao (pp. 87-88). In Iligan, the first Spanish contact was in 1625, when the Recollects started preaching in Bayug. Pagans concentrated in the said village but missionaries noticed few Christians. Presumably because earlier, Pedro Manooc of Dapitan who was baptized as a Christian, subdued the village of Bayug (Blair and Robertson, trans., 1903, p. 117).

The place called Bayug is traditionally identified in both oral and written literature as the oldest settlement in Iligan. It is an island, located west of the mouth of a river of the same name. Bayug River is connected with Mandulog River, which flows from the interior and empties to Iligan Bay. Below shows the location of Bayug in Iligan.

Figure 3: Bayug, now part of Barangay Hinaplanon, Iligan City,
is 3.7 km. away from the central business district of Iligan City
©http://www.iligan.gov.ph/wp-content/uploads/2012/11/bayug-300x251.jpg
(retrieved: April 6, 2015)

Figure 4: A closer look of Bayug island showing a river flowing in its eastern side

The evangelism of Fray Juan de San Nicolas, a Recollect minister in Bayug resulted for a tribal leader named Dolomoyon to give his children for baptism, although he remained in his paganism (Blair and Robertson, trans., 1903, pp. 94). These advances infuriated Maguindanao, an Islamic sultanate which exercised suzerainty in the region since 1500. Majul (1971) said that Islamization process was underway during the same period that was facilitated by the Moslem neighbors like Borneo and Moluccas. (pp. 1-6). Thus, Islamized tribes, scornfully called Moros by the Spaniards, led punitive and preemptive attacks to the villages that had succumbed to Christianity and the Spanish rule. This made Spaniards establish fortified settlements called *presidios.*

Bayug which was vulnerable to the retaliatory attacks of the Moros of the lake region, called Malanaos was therefore fortified. It was also used for the launching of military expeditions to the lake region, located just above Iligan. Thus fortification of Bayug began in 1639. As detailed by Blair and Robertson (1905), it happened after the victory of the Lanao expedition under Capt. Francisco de Atienza de y Vaňez, the *Corregidor* of *Caragha.* They said:

> …Captain Don Francisco de Atienza fortified the village of Bayug with stockades, left his adjutant to defend it and retired to his province of Caraga… (p. 104)

It was presumed that this fort in Bayug was along the river-mouth of Mandulog which had natural barriers and the native settlers lived in proximity. However, none of the Spanish texts called this fort in Bayug with a proper name. This didn't make it less important as it was bolstered in few occasions.

In 1640, after the fiasco of building a fort in Lanao, Capt. Pedro Vermudez de Castro and his men, with the services of Fray Agustin de San Pedro, carried out a bloody vengeance toward the combined forces of the Moro tribes and thereafter

> …Captain Vermudez, having been despatched, finished burning and destroying the little that had remained in order not to expose the troops to another and more severe siege, he considered that expense and fatigue as a useless thing and *determined to retreat and with those arms and stores to fortify Bayug. He left the arrangement of it to the skill of Father Fray Agustin* who so conducted the retreat in the marches of the men and in the transportation of the artillery that he did not lose a single man, although there were ambushes and dangerous passes… (Blair and Robertson, trans., 1903, p. 113)

Accordingly, Spaniards withdrew to Bayug and *El Padre Capitan* toughened its fort with the materials supposedly used for the lake region. He also erected another fort *upon the bar of the river of Iligan* and left it garrisoned with Adjutant Francisco Alfaro (p. 113). This second fort was called Fort Francisco Javier, after the namesake of the Apostle to the Indies of the Society of Jesus. This goes to show that the Recollects who pioneered in getting to Bayug, Iligan and even to the Lake region, since 1625, was replaced by the Jesuits as evidenced by the nomination of the fort.[2]

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[2] The Jesuits and Recollects fought for ecclesiastical and territorial jurisdictions in Mindanao. The rivalry was appeased by the intervention of Manila, which awarded the western portion of the island to the Jesuits and the opposite direction to the Recollects. The points of boundaries were the Suluwan point in the North and the Cape Augustin in the South. Iligan is found west of the demarcation line, thus, became Jesuit.
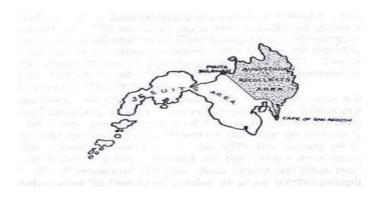
Figure 5: The Division of Mindanao between the Jesuits and the
Recollects, the area of Iligan belonging to the Jesuit ©Demetrio, 1995

As disclosed by Spanish sources, the location, shape and size of the stone fort in Iligan showed the following features:

> …The village is upon the shore at the foot of the great Panguil between Butuan and Dapitan, to the south of Bohol, north from Malanao, at the mouth of a river with a dangerous bar. The fort is dedicated to St. Francis Xavier, the Apostle to the Indies, in the shape of a star; the wall is two varas (6ft) high and half a vara thick and it has a garrison with artillery and weapons... (Blair and Robertson, trans., 1903, pp. 68-69).

In terms of its specifications as a military garrison, Barrantes (1878) added that:

> … what is called San Francisco Javier is situated near the entrance of the river at eight (8) degrees, three (3) minutes latitudes septentrional and one hundred sixty-two (162) degrees, twenty-seven (27) minutes longitude east, distance from Manila, one hundred thirty-two (132) leagues and a half to the southeast, is made of lime and cut stone with raised embankment with a figure somewhat star-shaped. It had a seven hundred forty-four (744) feet enclosure at whose center is an elevated structure (*caballero*) square in shape at thirty (30) feet front, at whose side can be seen the angles providing of the fort, ten (10) pieces of cannons of various minor calibers, eleven (11) pinsotes, forty-nine (49) muskets and harquebuses constitute its armament… (p. 129)
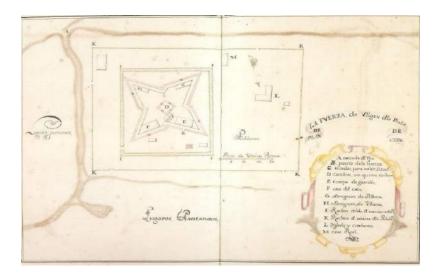
Figure 6: Fort Francisco Javier according to the Valdes Tamon report in 1738

Loyre (n.d.) referred the role of the fort in Iligan as crucial. Its strategic location required defending the eastern side of the Panguil Bay and Iligan Bay with its rivers flowing to the coast. It was revealed that the rivers of Northern Mindanao were the swift escapes of the Moros from the passing Spaniards along the coast. These rivers are Linamon, Larapan, Liangan, Maigo and Maranding. The first four rivers drain to the Iligan Bay while Maranding to Panguil Bay. The fort in Iligan had to conduct clearing operations in those outlets, to keep the activities of their enemies checked (pp. 163-174). Thus, it carried a gigantic task as far as the prevention of the movements of the Moros to the coasts on their way to Visayas, is concerned.
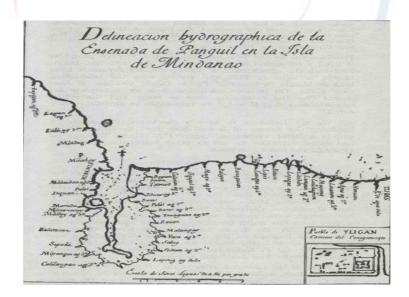
Figure 7: The Bays of Iligan and Panguil in Northern Mindanao mapped out by Father Paver, a companion of Fr. Ducos in 1754.
©Bernad, 1968

Figure 8: a closer look of the fortified village of Iligan in 1754 ©Bernad, 1968

Challenges and Chaos

Iligan encountered various challenges in performing its supposed defensive role. One of which was food scarcity. Although there were implicit references of grain fields plagued with locusts (p. 68) and farming in groups of 25-30 men according to Loyre (n.d.), however, it was found out that the practice of agriculture was often upset by Moro assaults which climaxed during the years 1750-1760 (Loyre, n.d., p. 163).

Bernad (2004) wrote that in 1752, the fort in Iligan was besieged by two-thousand (2,000) Moros for two (2) months. The blockade broke off only when a flotilla from Cebu arrived, forcing the attackers to retreat (p. 81). From five hundred (500) tributes of Iligan in 1751, the fort was down to hardly sixty (60) inhabitants in 1753 (Blair and Robertson, trans., 1903, p. 163). The gravity of these circumstances led for the building of another fort in Misamis, so that in conjuncture with Iligan, they could both seal off the Panguil Bay. Also an armada was dispatched in 1754 composed of three galleys namely, Santo Niňo, San Phelipe and the Triunfo, José Ducós, the parish priest of Iligan, who was given the title 'Captain-General', assumed military command of this Spanish fleet in July of 1754 (Bernad, 2004, pp. 82-88) and under his leadership, Iligan became relatively peaceful.

It was around those years when the Jesuits came out with the first printed map of the Philippines by Father Pedro Murillo Velarde in 1734.

Figure 9: The Mother of Philippine Maps, the Velarde map (1734) ©Quirino,

Figure 10: a closer look of the 1734 Velarde map
showing the island of Mindanao in the 18th century

The map shows the towns and settlements established by the Jesuits and the missions opened up for evangelization. The map is also seen with veins representing river systems and markings of terrains in the region. Iligan is spelled Yligan where Agus and Bayog rivers are found in the area. What is noticeable is a triangular shape marked east of Yligan River. There is also one in the location of Cagayan. Though crudely-shaped, but the symbols suggest the presence of a fort, something that was common between the two. But at the river-mouth of Bayog, the symbol for a fort is

non-existent. It can be recalled that Recollects fortified Bayug in 1639 and 1640. What does this mean? Where did the fort in Bayug go?

The Fort in Bayug: Sunk By a Flood?

As early as 1655, the Jesuits wrote that in their territories in Mindanao, they only had two forts. As Blair and Robertson (1903) stated:

> …His Majesty possesses two forts in this great island, that of Yligan and that of Samboangan, to which two priests of the Society attend. Father Ygnacio Navarro attends to that of Yligan, and Father Nicolas Cani to that of Samboangan… (p. 59)

There was no mention of Bayug as another fort, despite the fact it was part of the Jesuit territory. In the absence of other plausible reason, oral tradition usually points out to a destructive flood which buried the fort underwater. This must be the explanation why it wasn't reflected on the 1734 Velarde map.

Floods had been common even during Spanish Philippines. Floods occur in the country during typhoons or depressions which usually fall in the months from November to January as reported by Buencamino (n.d., p. 391). In Mindanao, they are too experienced especially while low pressure areas (LPA) cover the island in the rainy months.

River floods happen following an excessive rain that could overwhelm the river and send it spreading to its adjacent land that is called a floodplain (National Geographic, n.d.). According to the Manila Observatory (n.d.), the rivers in the Philippines, with few exceptions, are generally short, sluggish and shallow, a predisposition which makes river flooding common in the country. On the other hand, coastal flooding is triggered during a strong typhoon or a tsunami that results the sea to surge inland - a phenomenon experienced when Typhoon Yolanda struck the Philippines in 2013. These flood disasters that incur massive damages and losses in properties and lives are considered a national calamity in the Philippines.

This and the location of the fort in Bayug that was beside a river, increases the likelihood that the wooden fortification was washed out by a river flood. A geo-hazard survey in 2011 following Typhoon Sendong in Iligan which came out with a map shown below, further supports this claim.
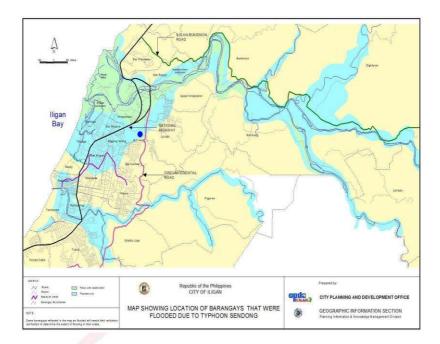
Figure 11: Map Showing the Flood-prone Areas of Iligan
Retrieved from:https://www.sheltercluster.org/sites/default/files/docs/
Iligan_Map%20of%20flooded%20areas%20(Barangays.jpg
Accessed: April 13, 2015

The map tells that Iligan is naturally a flood-prone area because of the river systems which cut across its expanse. Especially, the areas near to Mandulog and Iligan Rivers which are colored blue, they are the most disposed to flooding. On lands where Mandulog River drifts in particular, the susceptibility is high with the Bayug Island directly located at the trajectory of the river. Bayug is shaded green indicating that flooding on its ground might bring ruin.

This map seems to give the widely-held speculation of a flood submerging the Spanish fort in Bayug credence. It probably happened during a typhoon, a prolonged rain or even a waterspout. Miguel Selga (n.d.) wrote that from 1639 to 1655, years after Bayug was fortified, there were at least five (5) destructive typhoons that raged over the islands. But due to the absence of instruments, authorities weren't able to trace the origins of these typhoons nor locate its trajectory. They could only feel and see its wrath. In Manila, during the June 27, 1639 typhoon, witnesses saw how strong winds carried small boats up in the air (p. 33). The locals labeled this phenomenon as *buhawi* which was also seen in Visayas and recorded in writing in 1668 by the Jesuit Fr. Francisco Alcina (Borrinaga, 2014, p. 11). Unfortunately, this weather disturbance was too experienced in the Lanao area. Spanish accounts stated:

> …Heavy storms of wind and water are experienced on this lake (Lanao), and are called mangas by sailors and bohaui by the natives a form of storm-the waterspout-which was much dreaded because of its fury and ravages… (Blair and Robertson, trans., 1903, p. 92)

Interestingly, the portrayal of waterspouts resonates in the testimonies of survivors of Typhoon Sendong in 2011. They related how a 'buhawi' spilled out the river to the banks, causing flashfloods on the adjacent plains of Mandulog or Bayug River. The latter was the heavily-damaged area in Iligan in the aftermath of Sendong. It was where the wooden Spanish fort once stood.

Fort Victoria and the Advent of the Americans

It looks like its location that was susceptible to river flooding was a dilemma to Iligan as the years progressed. The Augustinian Recollect compilation called "Sinopsis" recounts an occurrence sometime in 1780[3]. Accordingly, the Order had to move the old town of Iligan as it was "eaten up by the sea"[4] (Ruiz, 1925, pp. 286-287). It was set at the east bank of Iligan River, facing the Iligan bay (see figures 7 and 9). The record further reported that there was a construction of a fort which used to be in the left side of the river and is now in the right. Sources attribute this new fort as the Fort Victoria, built during the time of Gobernadorcillo Remigio Cabili (Cabili, n.d., p. 9)

Figure 12: Fort Victoria in quadrilateral shape, in contrast to the star-shaped Fort
Francisco Javier,
Source: Filipinas Heritage Library

Fort Victoria supplanted the star-shaped Francisco Javier, although no longer standing on the same location. Bautista (1968) reinforced the role of fort Victoria as a scene of a local uprising, considered as a spinoff of the Philippine Revolution of 1896. This proved futile as the unfolding of events in the capital, led to the entrance of USA in the Philippines. By virtue of the Treaty of Paris of 1898, Philippines was ceded to US as a colony (pp. 252-256).

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[3] The Augustinian Recollects replaced the Jesuit missionaries in Iligan as the latter were expelled from the Spanish empire in 1768.
[4] This area was reclaimed by the City government of Iligan during the administration of Mayor Camilo P. Cabili (1960-1984) to serve as a marketplace

When Americans arrived in Iligan, initial observations of the former towards Iligan was not very assuring. Russel (1907), in her travel accounts, mentioned a Headquarters Building and she furthered:

> …In front of it (headquarters), reaching to the left for some distance, stood along, single row of cocoanut-palms, so tall that the green foliage was far above the top of the house, making the trees look like stiff bouquets in absurdly long wooden holders. At the foot of these trees water, blue as indigo on wash day, lashed itself into a white fury against the stonework of the pier… (p. 92)

The Americans proceeded to work from what was left by the Spaniards. Infantrymen were detailed to dig the trench (Russel, 1907, p. htt93). It is deduced that parts of Fort Victoria as shown in the 1903 image may have been reworked through American efforts. An American military camp was also established called Camp Overton, located west of the city, near the old Spanish road to Lanao. Iligan was still seen useful as a gateway for the Americans to the Malanaos, described as the most warlike people in Mindanao (Acut, 1989, p. 70).

Figure 13: the military road to the lake region from Iligan in 1903
Source: http://www.morolandhistory.com/09.PG-
Camp%20Vicars/camp_vicars_p1.htm
(retrieved: July 7, 2015)

The Deluge of 1912 and 1916

Americans during their occupation, put Iligan under the following administrative structures: Military government (1899-1903), Moro Province (1903-1913) and Department of Mindanao and Sulu (1913-1920) ("Muslim-American Relations in the Philippines, 1899-1920", 2014, pp. 98-108). Fort Victoria was still standing,

serving its purposes, with Camp Overton. The latter would go down in years for a while. The Spanish fort Victoria would give up; not to a foe but to a flood.

In November of 1912, a typhoon struck the country which approximately claimed 15,000 lives. On November 24, strong winds were felt that vented itself over Samar area then two days after, on the 26th and 27th,[5] the tempest made a landfall and left a terrible wreckage on its pathway. The magnitude of the typhoon and the destruction it produced made waves and even appeared on the pages of Washington Herald on its November 30, 1912 issue:

Figure 14: the Washigton Herald which headlined about the Philippine typhoon in 1912, Source: http://chroniclingamerica.loc.gov/lccn/sn83045433/1912-11-30/ed-1/seq-1/ (retrieved: April 15, 2015)

The image is barely readable but the text about the Philippines reports:

> ...15,000 DIE IN PHILIPPINE STORM. That 15,000 persons were probably killed and wounded in a typhoon that swept the Philippine islands last Tuesday was reported yesterday in cable dispatches to the Bureau of Insular Affairs… (Ocampo, 2014, p. 10)

The path of the storm was towards the direction of Visayas, but the wall of the storm was surmised to be around the vicinity of Northern Mindanao, as shown by the image below

[5] Francisco Demetrio, Historical Jottings of Mambajao, Camiguin, Misamis Oriental , from 1887-1929
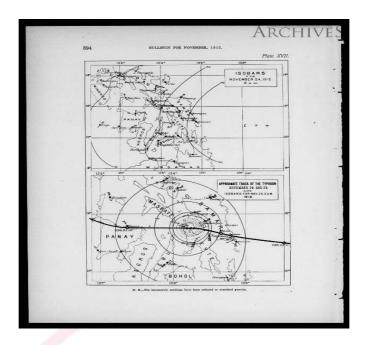
Figure 15: the pathway of the storm that hit the country on November 24-25, 1912
and its isobars.
© Manila Observatory Archives (retrieved: April 14, 2015)

Four years after, another strong typhoon visited the country on January 22-24, 1916.
Observatorio de Manila[6] projected the track of the typhoon which was shown on the
map below:
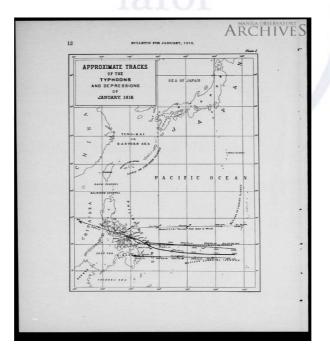
Figure 16: the approxiate track of the typhoon that fell on January 1916
©Manila Observatory Archives (retrieved: April 14, 2015)

[6]The Manila Observatory or Observatorio de Manila, established in 1865, became the official
weather forecasting station during Spanish Philippines. It was reestablished in 1901 by the
Americans as the Philippine Weather Bureau.
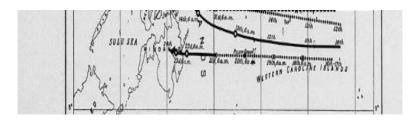
Figure 17: a closer look of the trajectoy of the typhoon which directly hit the island of Mindanao, where Iligan is. ©Manila Observatory Archives (retrieved: April 14, 2015)

The typhoon in January 1916 which directly hit Mindanao and lingered for two days (23-24) was the most remarkable which happened in Mindanao in recorded memory. The strength of the storm can be gauged based on this statement:

> …Generally considered as the worst and most destructive experienced in many years in that island (Mindanao). The losses were enormous. In Lanao, many strong bridges were washed away, a great number of roads were destroyed or greatly damaged and the crops, particularly in the low valleys, were either totally or particularly lost… (Buencamino, 1920, p. 391)

In the neighboring city of Cagayan de Oro, the three-day typhoon caused the Cagayan River to overflow. The suspension bridge called Puente del General Ramon Blanco was washed out by the rampaging waters. In Bukidnon, a barrio called Mapait was abandoned as the strong winds wrecked their place. The people in exodus found a new settlement, three kilometers away, in Danatag (Montalvan, 2004, pp. 100-102).

Acut (1989) wrote that in Iligan, the effects left by the typhoons of 1912 and 1916 were irremediable. The Spanish fort Victoria that was along the Iligan River which withstood the tests of time and tribulation for half a century, was destroyed by the power of flood. Wars and insurrections failed to tear the fort down. It was the turbulence of flood waters that submerged it leaving no trace as a memorial of its military exploits. Even in the Bayug area, the flood altered the watercourse of the river. Until that time, the river drifted to the area of barangay Sta. Felomina. But the great river flood directed it towards barangay Santiago.

> …This place (Bayug) used to be a solid plain. The site where the present Bayug hanging bridge was only a small brook about a step wide. The route of the Mandulog River was at Pandan, a part of Barangay Santa Felomina… (Acut, 1989, p. 22).

Conclusion

One interesting aspect of Iligan's history is that its location was repeatedly recognized by colonizers as important for their pacification campaigns in the back region. As shown in the accounts, it served as a strategic location for both the Spaniards and Americans, thus explaining the presence of forts: that of Bayug, Fort Francisco Javier and Fort Victoria. Serving their expected purposes came not without problems though manageable. However, it never came easy when challenged by nature – in this case by the power of flood. Nature has proven it so many times already in human history that it is a formidable force man has difficulty to control much more evade. In this study there were at least four times of flood occurrences that brought considerable effect to the established forts and other strategic areas such as the poblacion. These precedence falsify the widely-held notion that Mindanao is safe and Iligan is a typhoon and flood-free area. Shortly after the Sendong tragedy, the local government declared parts of Bayug as a "no man" and "no-build" zone. Perhaps Iligan could still be a much safer place to live but not without heeding to what past circumstances and lessons provide.

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English as an International Language in Japan: A Threat to Cultural Identity?

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Abstract
Language performs many important roles in society by allowing people to form and maintain groups as well as transmit information. Language also composes a core component of our self-identity and mental structures. English is currently the most widely spoken language in the world (Crystal, 1997) and thus the role of English as an international language (EIL) has received much academic attention, particularly in relation to its effect on local languages and the possibility of language shift and extinction. Phillipson (1992) in particular has argued that EIL is imperialistic and diminishes local languages. In this paper I will outline the roles that language plays both on a societal and individual level, particularly in regards to Japan. English is currently the dominant foreign language in Japan, being taught in schools from the fifth grade onwards. There is also large demand for native English speaking teachers, reflected by the popularity of English conversation schools as well as the use of assistant language teachers in classrooms. I will specifically examine the role of EIL in Japan in regards to educational and corporate policies, as well as the effect of EIL on Japanese language and culture. I argue that Japanese is not threatened by English due to the large homogeneous population of Japanese speakers, the strength of their cultural entities, and the high prestige of the Japanese language in Japan. Thus, while English has out-competed other foreign languages to represent internationalization in Japan, Japanese will remain dominant.

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Introduction

Language performs many important roles in human society. These include the formation and maintenance of distinct societies or groups, the sharing of ideas within and between groups, as well as individual self-identity. With language playing such important roles in societies and people's lives, it is important to critically examine the effects of national language policies on the culture and identity of members of different language groups.

English is the most widely spoken language in the world. According to Crystal (1997) the total number of English speakers worldwide is estimated to be as high as 1.68 billion. Of these, Graddol (1997, p. 8, p. 10) estimates that the number of L1 (native) English speakers (372 million) is second only to Chinese (1,113 million), and that there are an additional 375 million L2 (English as a second language) and 750 million EFL (English as a foreign language) speakers in the world. As a result of this worldwide popularity, the role of English as an international language (EIL) has received a great deal of attention from academics.

Opinions regarding the role of EIL are varied. Phillipson (1992) has argued that English is imperialistic, and serves to benefit those in power while diminishing other languages. However Crystal (1997) takes a much more optimistic view of the role of English, and claims that it is democratic due to a lack of explicitly coded class differences. Finally, Wardhaugh (1987) takes the middle view that English is neutral as it is not tied to a specific group due to its widespread use.

In this paper I will look at some of the roles language plays in societies and argue that EIL cannot be separated into exclusive categories such a democratic, imperialistic, or neutral. Finally, I will specifically examine the role that EIL plays in Japan.

The roles of Language

Language has many roles in our lives. In addition to simply sharing information and ideas between individuals, language is tied to the formation of societies and people's place within them. Some researchers even go so far as to claim that language can affect a person's way of thinking and even health.

Language and society

Certainly, communication of some type is necessary to maintain the bonds that keep people together, as well as to direct people's time and energy toward mutually supportive endeavours. Language is also necessary for communicating ideas and values within a society and evolves along with it. As Holmes (2013, p. 348) states, "...language provides a means of encoding a community's knowledge, beliefs and values, i.e. its culture." Thus not only is language necessary for the functioning of society, it is a fundamental aspect of the society itself.

Language and identity

Language is also fundamental to a person's identity. "We also indicate aspects of our social identity through the way we talk. Our speech provides clues to others about

who we are, where we come from, and perhaps what kind of social experiences we have had." (Holmes, 2013, p. 2).Variations in language use can mark us in terms of age, social position, and geographic origin, to name but a few groups within a common language speaking community. Nunn (2013) notes that individuals can be members of multiple sub-communities within a larger speech community and that speech variation contributes to a sense of solidarity within these groups. Nunn gives the example of the vocabulary of cricket enthusiasts being largely incomprehensible to non-cricket fans from the same overarching speech community, while cricket fans from other cultures and nations would be able to understand the conversation clearly. This reveals the fundamental importance of language on both an individual and society level.

Language and mental structures

According to Holmes (2013, p. 358) "Most sociologists agree that language influences our perceptions of 'reality'." However there is a range of opinion as to the degree to which this is the case. Proponents of linguistic determinism such as Benjamin Lee Whorf, make the strong claim that "...people from different cultures think differently *because* of differences in their languages." (Holmes, 2013, p. 343) while most others believe that languages merely influence perceptions and thoughts (linguistic relativity). In a recent example of a stronger linguistic determinism claim, Chen (2013) found that people who spoke languages which have strong grammatical distinctions between the future and present (such as English) were likely to save less money and adopt more health-adverse behaviours such as smoking, than people whose language has weaker distinctions between the present and future (such as Mandarin), despite living in the same country and sharing religious, educational, and economic backgrounds. Holmes (2013, p. 343-344), provides several examples of studies that support the idea of linguistic relativity by suggesting that the ways in which children group objects in terms of colour and shape, or understand number concepts, are related to differences in their native language.

This link (whether deterministic or relativistic) between language and mental structures highlights the importance language plays in our lives. This link also raises the question of the effect on individuals and the society they live in, of changes to the status of a language or its loss.

Language Shift and Extinction

According to Grenoble and Whaley (1998, p. vii) "...there are somewhere between 5000 and 6000 languages spoken in the world today." They go on to quote Krauss (1992) as saying that "over 4000 of the world's languages will cease to be spoken by the end of the next century." (Grenoble and Whaley, 1998, viii)

There are many reasons for language extinction. These can include a small population of speakers, government repression (Grenoble and Whaley, 1998), a loss of prestige for the language, or a loss of domains where it is utilized (Holmes, 2013). This can be a gradual process, in which the domains (such as government, business, school, or the marketplace) in which the language had been used are taken over by a more dominant or prestigious language. As the number of domains where the language is used decreases, so does the vocabulary and the incentive for newer generations to learn it.

Eventually, as the older generations pass on, the language dies with them.

Language death has been lamented for many reasons. Intellectually, the loss of linguistic diversity and the data this can provide for testing theories of language development (Hale, 1998), as well as insights into the human mind (Mithun, 1998), is tragic. As well as losing insights into human mental structures, language loss can be devastating for communities due to the inseparable link between language, culture, and self-identity (Jocks, 1998). This loss can also lead to poor self-confidence and contribute to poor educational and socio-economic performance by affected individuals (Holmes, 2013).

Due to its prominence as an emerging international lingua franca, English has often been seen as complicit in the loss of other languages, as I will discuss further below. Language death is not an inevitable consequence of contact with new languages, however. While language shift requires bilingualism (you can't have a language disappear without something to replace it with), it is possible to maintain a language as long as people maintain pride in their ethnic and linguistic identity (such as through religion or a rich literary tradition) and there is a strong community to support it (Grenoble and Whaley, 1998; Holmes, 2013).

The Role of English as an International Language

English is currently the dominant language of many different domains such as academic publishing (particularly in regards to science and technology), international organizations (such as the World Bank and ASEAN), business, and the Internet (Crystal, 1997; Graddol, 1997).

While the increasing use of English around the globe is well known, there is a wide variety of opinion over the role English plays. Three such roles (democratic, imperial, and neutral) are examined below, although I argue that ultimately, there are many problems with attempting to fit English into a single role.

English is democratic

The spread of English has been seen in a positive light by many. The following quote appears to suggest that the very structure of English makes it a superior choice for language learning.

> "There have been comments made about other structural aspects, too, such as the absence in English grammar of a system of coding social class differences, which make the language appear more 'democratic' to those who speak a language (e.g. Javanese) that does express an intricate system of class relationships."
> (Crystal, 1997, p.8)

However, this quote appears overly optimistic about the democratic qualities of English. As noted previously, language is tied to our social identity. A lack of formally encoded class structure in English does not mean that class differences are not apparent in our speech. As long as class exists, it will make itself felt in language.

Even those who support the idea of linguistic determinism would be unlikely to go so far as to say that existing social class differences will disappear simply through a change in language.

However, it could also be argued that by having access to a widespread language such as English, it is easier for minority groups to be heard on the global stage. Of course, the fact that minority language communities are forced to adopt the language of a more powerful (economically, militarily, or demographically) group to find a voice points to the issue of imperialism and power imbalances in regards to language, as I will address in the next section.

On the other hand, it could be argued that in a situation where certain languages or ethnicity have been privileged in the past, that the common adoption of an outside language such as English could lead to a more equal playing field for all, as everyone would need to use a common second language. There may be some truth to this, although there is also the risk that English ability can itself become a new class marker, if the ability to obtain quality instruction is limited to those from privileged backgrounds (Nunan, 2003).

English is imperialistic

The imperialistic nature of English has long been a concern of many academics.

> "What is at stake when English spreads, is not merely the substitution or displacement of one language by another but the imposition of new 'mental structures' through English. This is in fact an intrinsic part of 'modernization' and 'nation-building', a logical consequence of ELT." (Phillipson, 1992, p. 166)

The imbalance of power inherent in EIL is illustrated by Kachru (1985). He divides nations into three groups: An "inner circle" of nations with English as a first language (such as the UK or the USA), an "outer circle" where English is a common second language (such as Singapore or India), and an "expanding circle" where English is learned as a foreign language (such as Japan or Korea). Traditionally, English has been "owned" by the inner circle nations, with new words originating there and then spreading out to be adopted by those in the outer and expanding circles. There is also a bias in favour of inner circle English varieties over outer circle ones among expanding circle learners, as well as a view within outer circle countries that their English is somehow inferior (Sato & Suzuki, 2007). However, Nunn (2007, p. 12) claims that the idea that new English words can only be created in inner-circle nations is "no longer workable in our age of international communities and the preponderance of actual English use by and often between non-native speakers."

There are also direct financial benefits for inner circle nations such as the UK. For example, British Council chair Lord Neil Kinnock (in Graddol, 2007, p. 4) states that "The English language teaching sector directly earns nearly £1.3 billion for the UK in invisible exports and our other education related exports earn up to £10 billion a year more." Also, Grin (2005) concluded that if the EU were to adopt a policy of using English as the lingua franca of all its member states, there would be a 17-18 billion

Euro annual benefit to the United Kingdom. This benefit would be due to the UK not needing to invest additional resources in language learning, translation of documents, as well as having a competitive advantage due to other parties having to put more time and effort into communication with them. However, this report is specific to the EU situation, and the same advantages would be conferred on any nation whose language was chosen by the EU. Thus the issue is hegemony rather than English itself. In other situations English could function as a more neutral choice to prevent one linguistic group having hegemony over the others.

However, the US and Britain will not be powerful forever. Graddol (2007) even argues that the global spread of English could end up putting monolingual native English speakers at a disadvantage as English becomes less of a specialized skill, but rather a new baseline. Graddol argues that as English spreads, the costs of learning it decrease, while the costs for other languages remain the same, making it more costly for native English speakers to become multilingual. Also, there is a trend of fewer international students studying in the UK, with correspondingly fewer economic benefits for the UK.

In addition to economic benefits to inner circle countries, Phillipson (2008, p. 264) seeks to link EIL directly to Americanization, the neoliberal policies of George W. Bush and "...unsustainable consumerism, violence, and linguistic neoimperialism." However, English as a language can express a multitude of views, even if the majority follow certain norms, and new or competing ideas and philosophies can be expressed in English. English speakers, and inner circle countries for that matter, do not all share the same philosophies and political agendas, nor do politics in one country remain static.

Ultimately Phillipson fails to recognize that English evolves, and there is much to be said for a future in which inner circle English is not the dominant form. As Graddol (1997, p. 3) states "the centre of authority regarding the language will shift from native speakers as they become minority stakeholders in the global resource. Their literature and television may no longer provide the focal point of a global English language culture, their teachers no longer form the unchallenged authoritative models for learners."

English is neutral

The following quote outlines many of the justifications for considering English to be a neutral language.

> "...since no cultural requirements are tied to the learning of English, you can learn it and use it without having to subscribe to another set of values […] English is the least localized of all the languages in the world today. Spoken almost everywhere in the world to some degree, and tied to no particular social, political, economic or religious system, or to a specific racial or cultural group, English belongs to everyone or to no one, or it at least is quite often regarded as having this property." (Wardhaugh, 1987, p. 15).

It is true that the spread of English has made it more neutral in many regards. In English-speaking countries such as Canada, continual influxes of immigrants from around the world and their adoption of English has changed the nation's ethnic and religious makeup such that English in Canada is no longer associated with only ethnically British immigrants. Also, in multi-ethnic and multilingual nations such as Malaysia or India, where perceived favouritism toward one group by the government can lead to unrest, English can serve as a "neutral" language (or at least one that is equally unfair).

It will be interesting to see if, in fact, English becomes so localized that inner-circle countries will need to study a new variety of "global" English in order to communicate outside their own countries. Already some have been working to create standardized global English (Acar, 2007) as well as simplified versions of English to speed language learning such as "Globish" (Nerriere, 2004) and the "Special English" used by Voice of America.

Conclusions regarding the role of EIL

In conclusion, the role of EIL is complex, with evidence to support and challenge all three positions outlined above. A language can never have only one role. It evolves over time and can have different roles in different situations simultaneously. Ultimately, it is important for those involved in teaching English to examine the role of English in their own local situations. With this in mind, this paper will specifically examine the role of English in Japan.

English in Japan: A Case Study

While examples that support and contradict the three positions outlined above can be found around the world, what is the case in an expanding circle nation such as Japan, the country where the author resides?

Language policy in Japan

Education policy in Japan is determined by the Ministry of Education, Culture, Sports, Science and Technology (MEXT). Currently, English is mandatory between Grades 5 and 12 (MEXT, 2011). The government also hires many Assistant Language Teachers (ALTs) from predominantly inner-circle countries (particularly the United States) to work with the Japanese English Teachers (JTEs). ALTs are often employed through the Japan Exchange Teaching (JET) programme. This program has two equally important functions; improving international relations and teaching English.

The teaching of English in Japan has expanded over recent years despite a questionable success rate in terms of improving the average Japanese person's English communication ability (Nunan, 2003). According to the Commission on the Development of Foreign Language Proficiency (2011, p. 3), "Foreign languages activities were newly introduced in elementary schools, while the number of English classes in junior high schools was increased by about 30 percent; as for senior high schools, classes conducted in English and other innovations were introduced." Furthermore, the Global 30 Project seeks to increase the number of foreign students studying in Japanese universities by offering degrees with classes taught in English

(Hashimoto, 2013).

With this expansion of English occurring in Japan, does Japan face the same issues of language demise as have been explored in previous sections?

Is the Japanese language threatened by English?

The short answer to this question is no. As previously explained, factors that contribute to language extinction include a small population of speakers, government repression, a loss of prestige for the language, or a loss of domains where it is utilized. None of these factors are currently issues in Japan.

According to the CIA factbook (Accessed 2015), Japan is an ethnically homogeneous nation, with 98.5% of Japan's large population of 127 million people being ethnically Japanese, followed by Koreans (0.5%) and Chinese (0.4%). There is little need, or even opportunity, for Japanese to use English while in Japan (thus a perceived need for ALTs in classrooms is to provide such opportunities for students). As an island nation with such a large linguistically and ethnically homogeneous population, Japanese is unlikely to be displaced by English. There is certainly no government repression of standard Japanese (the national language), although there has been past repression against minority languages spoken in Hokkaido and Okinawa in favour of standard Japanese (Bugaeva, 2010). The Japanese language is also highly regarded by its speakers in Japan, and there is a well-established Japanese literary tradition and varied popular culture to maintain its prestige.

That is not to say that English (and other foreign languages) have not influenced Japanese. There has been an increase in English words in Japan, particularly as new technologies are introduced. However, many of the words have been transformed into uniquely Japanese ones that can be nearly incomprehensible to native English speakers. Some examples of this *wasei-eigo* include *salaryman* to refer to businessmen, or *pasokon* to refer to a personal computer. Likewise, English has been influenced by Japan, with Japanese words such as *karaoke* incorporated into English.

However, while Japanese is likely safe as a language, what effect does the teaching of English have on Japanese identity and culture?

Is Japanese culture and identity affected by English?

Japanese culture, much like the language, is in a strong position. Japan has done a remarkable job of maintaining its distinct culture in the face of modernization and globalization, and is in fact a strong cultural exporter to inner-circle nations such as America, particularly in regards to video games and animation. While American cultural exports such as Disney are very popular in Japan, they are typically released in Japanese. And although English phrases have a tendency to appear on clothing and other products in Japan, they are mostly for cosmetic reasons, and are often understood neither by the Japanese nor by English speakers

Furthermore, Japanese English textbooks (at least at the elementary and lower secondary school level) are designed in Japan according to targets set by MEXT rather than by inner-circle nations. The emphasis is on sharing Japanese culture' rather

than simply learning foreign culture, with many of the stories featuring Japanese people or subjects popular with the domestic audience. For example, MEXT (2014, p.1) has stated that English education should "enrich educational content in relation to nurturing individual's [sic] sense of Japanese identity (focus on traditional culture and history among other things)." This can be an encouraging sign of the ability of the Japanese to design English for their own local needs.

Also, new mental structures are not so much imposed on Japanese students, as sought out. The goals of foreign language education (as outlined by MEXT, 2011) are not only to be able to communicate, but also the "heightening [of] students' awareness of being Japanese citizens living in a global community and cultivating a spirit of international cooperation."

Essentially, Japanese policy makers feel that as a result of Japan's traditional insularity, Japanese students are not exposed to alternative ways of thinking. Thus English is not only a tool for communication, but a way of fostering innovative thinking and creativity in future generations. However, simply learning English for 3 hours a week is unlikely to change a lifetime of Japanese social indoctrination.

Is English dominant in Japan?

Following the end of the Second World War, Japan has been dominated militarily by the USA, but has this dominance also extended to the linguistic level? Perhaps it is best to say that English is dominant in regards to non-Japanese languages in Japan rather than to Japanese itself. In expanding circle countries, such as Japan, Kachru (1985, p. 12) states that "understanding the function of English in this circle requires a recognition of the fact that English is an international language and that it has already won the race in this respect with linguistic rivals such as French, Russian and Esperanto." In Japan, English is the most likely other language to see on official signs or heard on announcements. Also, as mentioned in the previous section, English appears on many products and private signs (despite often being incomprehensible to native-English speakers) because it is highly regarded. This emphasis on English exists despite the large numbers of Chinese and Korean tourists and residents in Japan. Although, due to ongoing tensions between these two countries and Japan over conflicting land claims and Japanese military action in the early 20th century, English (representing current western allies) may seem a more neutral language politically to promote, in addition to being a more universal language and thus more pragmatic.

As a gross generalization, the Japanese tend to see the world in terms of "Japan" and "everything else". Foreigners are not thought of as Americans, Europeans, or Africans, but rather as *gaikokujin* (other country people). In this context English is the representative of non-Japanese languages, so English represents internationalization in all its aspects, rather than just a language. For example, currently in elementary schools, English is not taught in "English class" but in "Foreign language activities class" In fact Hashimoto (2013, p. 28) goes so far as to argue that English instruction in Japan (such as the Global 30 Project) preserves Japanese as a national language as "…the degree programmes offered in English do not constitute part of the normal university curricula, but are aimed at bringing Others from overseas to educate them as Others in a carefully tailored but isolated environment."

Despite massive public investment in English education, English is not present in most domains in Japan, except as an occasional convenience for the small non-Japanese English-speaking community. However, English has become increasingly dominant in academia and the Japanese multinational business community. Maeda (2010) notes that Japanese companies such as Rakuten and Uniqlo have switched to English for internal communications on a company-wide level. This is done because the companies are expanding world-wide and it is important for executives in multiple countries to communicate together. However, Maeda also notes that this development may favour those with language abilities over those with other equally important business skills and hurt the companies in the long run. Regardless, Japanese is not widely spoken outside of Japan and the Japanese economy is heavily based on international exports. Thus there are many practical reasons to learn a foreign language, and English is often considered the best choice.

Unfortunately, the English language profession is currently dominated by inner circle nations. This dominance is reflected in the preference for native-English teachers over non-native ones, despite having little or no training in teaching English. However, in the case of public schools, many JTEs often have very low levels of English ability (Nunan, 2003) and so the importation of native speaking ALTs by the JET programme is understandable. However, the lack of outer circle English teachers in Japan reflects the prestige attached to inner circle teachers. There is also a preference for inner circle ALTs from a diplomatic and economic point of view, as the purpose of the JET programme both to teach Japanese students about foreign cultures and English, but also for the ALTs to return to their home countries with knowledge of and hopefully warm feelings toward Japan (Metzgar, 2012). Thus the JET programme is a form of soft-power wherein the Japanese government seeks to promote goodwill within foreign countries and so the selection process for ALTs represents more of a political calculation regarding which countries it most wishes to influence rather than solely a question of which variety of English is best to learn. This may change in the future due to economic reasons. For instance, Japanese are increasingly studying English in places such as the Philippines at a fraction of the cost of studying in America (McGeown, 2012).

Conclusion

Language plays many important roles in terms of the formation of individual identity and mental structures, as well as the maintenance of society. However languages can also be threatened by the spread and adoption of other languages such as English.

English is currently the most widespread language in the world, and there is much conflicting evidence with regard to the exact role EIL plays. Thus it is possible for English to have democratic, neutral, and imperialistic roles simultaneously.

In Japan however, English is seen as a practical means to enhance international economic competitiveness, as well as expanding students' mental structures. While dominant in some business contexts, English cannot realistically be considered a threat to Japanese, as it has been to other languages. This is due to the large homogeneous population of Japanese speakers, their strong cultural identity, and the high prestige of the Japanese language in Japan.

Ultimately, in Japan, national language policy favours English over other foreign languages because English has out-competed them. It is simply pragmatic to learn English due to its widespread use and the economic and military power of primarily English-speaking allied nations such as the USA. Hopefully, as English use expands, the linguistic dominance of inner-circle nations such as the USA will likely diminish. Japan has invested significant resources into English education and ideally in the future speakers will accept the validity of Japanese English, and concentrate on communicative competence between speakers rather than successfully mimicking an inner-circle accent. If Japanese people have the self-confidence necessary to make use of the resources they've invested in English learning, they will have a useful tool for international exchange on their own terms.

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Empowerment or Disempowerment of Middle and Lower Level Managers as Efficient Model of Managing in a Manufacturing Company in Poland

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Abstract
During the field studies concerning job satisfaction and commitment, the authors observed that there were no fundamental differences between answers provided by middle and low level managers and ordinary workers, concerning determinants of these phenomena: they showed the same low level of empowerment and complained about the same items to a comparable degree.

The authors conducted the survey in a manufacturing plant with foreign investment by a worldwide operating company, located in Poland (Lower Silesia) in the Spring of 2014. The sample consisted of 81 workers, 25 administrative staff and 11 managers, thus general n=117. The chi-square test of independence, a p-value calculated by Monte Carlo simulation were used to determine whether or not and in which spheres the questioned managers differed from the workers and administrative staff. Consequently, the authors show that in conditions similar to those encountered in the analyzed manufacturing plant, centralization of power may be considerably high and managers of the middle and lower level may be more similar to workers in many respects. Next, the possible reasons for that "disempowerment" in terms of the so-called "end-of-the-pipe model" structure are given and discussed. The authors show also that some kind of remedy can be found in such situations using the simplest empowerment strategy – the so-called suggestion empowerment, as well as TQM or Lean Management practices (e.g., quality circles, 5M, TPM).

Keywords: empowerment, disempowerment, job satisfaction, managers, manufacturing, Poland

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Introduction

Locating manufacturing plants in countries where labor costs are lower than in home (mostly highly developed) markets, but which offer adequate technical culture and accessibility to the market of well-educated personnel at the same time, is a common practice in Europe. The "export" products of Poland, as a receiver of investments of this type, are, for example, car spare parts (in 2013, the export of these goods accounted for EUR 7 billion; in Poland, there are about 900 such firms in operation, whose revenues from sales reach EUR 14 billion), vehicles (production at the level of about EUR 22 billion), buses, tramcars, trains (in 2013, the factories located in Poland exported over 3.3 thousand buses, 25% of which were destined for Germany), furniture (in 2013, Poland was the third biggest exporter of furniture in Europe and ranked the fourth in the world, following China, Germany and Italy; in the same year, Poland's export of furniture accounted for EUR 6.9 billion), household equipment (Poland is the biggest manufacturer of household equipment in Europe, exporting over 85% of the appliances manufactured in the country; the value of sales abroad amounted to EUR 3.398 billion in 2013), yachts (every year Polish boatyards produce over 22 thousand yachts, of which about 6 thousand are luxury vessels; the average value of a yacht produced in Poland ranges between EUR 50 and 60 thousand) (GUS 2015).

The countries (Sweden. Holland, Germany), which are homes to the head offices of the firms that operate abroad are very often well-known for participative and involving forms of management (Wheeler, 2002), as well as a high level of empowerment of their employees. Still, the question arises whether the same forms of management are applied in the countries, where these firms locate their manufacturing plants? The multiplicity of production companies operating in Poland, which have their headquarters abroad, causes the question to acquire a considerable social importance, and – as one could rightly say – also to be of economic significance. The presented case study does not aspire to offer a "typical" case, but is designed to illustrate the situation of a specific enterprise with the head office based in Sweden. However, the authors' observations point to the fact that there are many more cases which are similar to that described in this paper. It needs underlying that apart from the will of the head offices of firms, related to introducing or not introducing the involving forms of management, the role of a determinant is played also by the inclination and mentality of workers in the country, in which the investments are located. The authors made use of a statistical analysis (the chi-square test of independence, a p-value calculated by Monte Carlo simulation) with the aim not to verify general hypotheses, but to obtain a picture of a concrete company and to support statements relating to it, which imply a relatively low level of empowerment of employees and – what is significant – a lack of differences in this respect between management and ordinary workers and other employees. In the article, possible consequences of applying such a model of managing a production company are discussed, ones that can be described in categories of the level of satisfaction with the performed job and commitment to work.

1. The managerial role in an organization and its potentially privileged position as regards empowerment in relation to executive roles

The managerial personnel, due to their special role played in enterprises, which means being a representative of the owner's interests, are naturally expected to occupy a privileged position in comparison with the other groups of employees. It is members of the management who – on the average – have higher salaries than common workers and who perform managerial functions in relation to the latter (planning, organizing, motivating, taking decisions and controlling). Possessing a better access to information, a better knowledge of company's organization, its targets and norms which are binding in it, as well as a sense of exerting an influence on the course of things, the managerial personnel hold a potentially better position from the point of view of the level of empowerment. It is for this reason that the authors decided that comparing opinions expressed by managerial personnel and by other groups of the employed in enterprises on issues which could be connected with dimensions of the phenomenon known as empowerment, would bring us closer to answering the question whether, in reality, managers are empowered to a greater degree than other groups of employees or they are not. The very analysis of managers' opinions itself would be of little reliability since it would lack any referential results in this respect.

2. Empowerment

Empowerment, in the functional sense, as a process, refers to "how the intrinsic motivation and self-efficacy of people are influenced by leadership behavior, job characteristics, organization structure, and their own needs and values" (Yukl, 2006). Empowerment is also perceived in connection with delegating authority. It is, at the same time, a state caused by the fact that superiors, in a conscious and planned (or intuitive) way, have handed part of their power (including formal and/or informal authority) over to employees who are placed on the same or a lower rung of the organizational structure (Bugdol, 2006). Empowerment is also defined as raising in employees a sense of efficacy, confidence and helping to overcome inabilities so as to motivate the inferiors to enthusiastically perform their duties (Blanchard, Carlos, Randoloph, 2003). Thus, the aim of empowerment is seen both in inner motivation, the "can do" attitude, and enthusiasm in doing one's job. The degree of empowerment is determined by its four dimensions: information relating to results obtained by the organization (organization's performance), system of rewarding based on results obtained by the organization, and the possibility of exerting an influence on decisions that remain in relation with the direction in which the organization progresses and its results (Bowen and Lawler 1995). The lowest level of empowerment is – at the same time – the so-called "suggestion empowerment", that is giving to workers a chance of expressing their suggestions and recommendations. The next level is "job commitment", at which a worker can influence the way of performing the job in their own workplace, whereas "high commitment" means an impact which the employed have on management and their involvement in processes of managing their own organizational unit, so – in other words – broad participation. In the framework accepted in the present study, empowerment reflects what meaning employees assign to their own work, their ability to perform work in a competent manner (competence), what sense of exerting an influence on the way in which they perform the work they have (self-determination), as well as regulations and resolutions concerning work in

the organization in general (impact) (Conger and Kanungo, 1988; Thomas and Velthouse, 1990).

3. Antecedents and consequences of empowerment

The factors which influence empowerment can be divided into six categories as follows: individual traits, the task environment, the social structural context, the organizational environment, structural mechanisms and leadership strategies (Barnes, 2013). Moreover, the following, in particular: task interdependence, responsibility, work for a superior who has a wide span of control, the participative climate at work, low ambiguity of tasks and roles in the organization, favor empowerment (Barnes, 2013). Yet, empowerment is not only a natural consequence of situational factors: it is sometimes used as a tool when an inappropriate attitude towards tasks performed by employees destroys effectiveness and efficiency of work (performance). Managers attempt then to achieve effectiveness and innovativeness through developing a favorable, positive attitude to work among their inferiors, as well as through building a positive vision of their company as a place of work. Also, in the situation where we come to deal with team work, which requires cooperation, empowerment turns out to be useful and valuable a tool.

In the authors' opinion, in the case of enterprises which operate in a number of markets and which have their headquarters abroad, an important factor that influences the fact whether or not empowerment is applied, and if so – to what extent it is (as it is shown, it is of a gradual character) are expectations on the part of the headquarters, regarding the role played by the given plant. It is either the typically re-creative, executive, role, most frequently – production, or it is accompanied most often by an innovative role, or still – that of a leader in certain selected projects relevant for a whole group. In the literature of the subject, the first model is referred to as the "end of the pipe", while the other one – an "integrated network" (Bartlett, Ghoshal, 1989). In the conditions of the former, a fairly natural and the most important area of managers' concern will be realization of plans in compliance with those delineated by the concern, connected with suitable cost and quality levels. In such conditions, empowerment can, in the authors' opinion, fade into the background, while the model of strict supervision and absolute primacy of current results will prevail.

Among the consequences of empowerment there are categories which cannot pass undervalued by any manager or any employer. Studies show a positive impact of empowerment on work satisfaction and effectiveness of work (performance) (Hechanova, Alampay, Franco, 2006). There exist premises to think that also organizational commitment, turnover intent and organizational citizenship are connected with application of empowerment (Hechanova, Alampay, Franco, 2006). However, it can be believed that there occurs not a simple relation of resulting and implication, but rather we come to see a circular relation between the above-mentioned factors, a feedback and multi-directional inter-relations of the circulatory and network character (the factors simultaneously determine others and are determined by them themselves).

In this place, it is worth mentioning that empowerment is treated nowadays more as a program or programs for whole organizations (empowerment programs) than individual actions of individual managers perceiving the need to introduce this tool

into life. Detailed, applicable tools in empowerment programs are the following: self-managed teams, democratic structures and processes, employee ownership of the company.
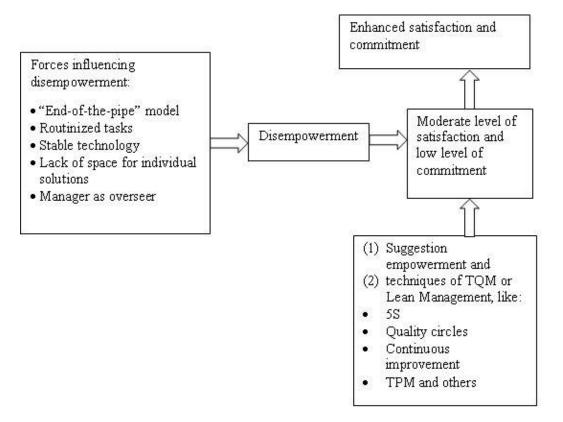
4. The case study

The examined company represents the automotive branch and is a manufacturing company which is an investment of a concern with the central head office in Stockholm (Sweden). The other production departments are located in the USA, Canada, Sweden, Germany and in China. The plant is sited in Lower Silesia (Poland) and employs about 130 people, including the administrative personnel. The firm only sporadically and to a very little extent applies methods of group work, which are typical of many management methods, e.g., TQM.

It could be thought, as it is expressed in the introduction, that managerial posts, independent of the level of management, are in a privileged position in terms of empowerment, in comparison with other posts, particularly those non-managerial ones. Our case study shows, however, that in companies, in which the "end-of-the-pipe" model is used, in which we come to deal – as regards the operational sphere – mainly with routinely executed tasks and stable technology designed abroad and implemented in countries, in which the investments of the production character are realized, the managerial personnel somehow remain at the very bottom of the organizational hierarchy and can play a solely re-creative role, here referred to as "manager as overseer". In such a situation, managers or leaders of production may only very little differ from rank and file executing workers as regards the degree of empowerment. They are indeed workers, whose duty is to see to that discipline is followed, norms are applied and concrete results are achieved. There is no space in these positions for a conceptual activity, since the production is to a high degree "programed". And it is most likely that this must be so as it conditions the effectiveness of activity.

It can be said that the low level of empowerment is an important cause behind the low level of satisfaction and affective commitment – the lack of identification with the firm and workplace, as well as insufficiency in treating it in a personal manner. It is worth mentioning that a positive relation between the level of satisfaction and involvement was observed in empirical studies (Saridakis, Torres, Johnstone, 2013). Consequences of a low level of affective commitment are serious: work is done without enthusiasm, in a solely re-creative way, it is impossible to count on actions reaching beyond standard duties, therefore activities based on workers' commitment, such as aiming at achieving a high level of quality, are difficult to be implemented. How then should the low level of satisfaction and affective commitment be dealt with in situations which are similar to that characterized above?

The figure 1 below illustrates a model framing of the situation in the examined company, which results from the authors' general observations made during the field research carried out in the company. This model can be regarded as an illustration of the conclusions relating to the situation found within the group of company's workers, which are supported by qualitative data in the experimental part of the article ("Data and method"). It is not only in a model way that the dependences between the level of empowerment and satisfaction and involvement were inserted in it, but also a set of

tools was proposed, including practices which pertain to the areas of suggestion empowerment, lean management, or TQM. They can potentially cushion the effects of the "end-of-the-pipe" model.

Figure 1: Relations binding empowerment, satisfaction and commitment – a model framework for the examined enterprise, together with a proposal relating to the range of application of tools which serve to raise the level of commitment.
Source: authors' own elaboration.

5. Potential role of TQM practices from the point of view of the level of workers' satisfaction

It is indicated, in the literature of the subject, that certain organizational values, such as trust and empowerment (which is a consequence of the former), are vital from the point of view of making use of the full potential of such approaches towards managing, e.g., TQM (Bugdol, 2013). The authors believe that also – in return – the problem of a low level of empowerment may be compensated through using work techniques that are based on workers' commitment, e.g., techniques included in TQM or Lean Management, which is reflected in the figure 1 presented above. Work in quality circles, especially that concerning work organization, coordination, organization of workplaces, offers an opportunity to generate such ideas and solutions that will be real and will provide a chance of being implemented. Work of teams can be directed towards these areas which are not stiffly regulated in technology, and which are the responsibility of the factory's board of managers. This can enhance workers' innovativeness, both in managerial posts and regular workers' positions, raising the level of affective commitment. As M. Bugdol's studies show (2005), TQM practices, in particular, those remaining within scope of group work and consultative styles of management, are very poorly represented in Polish production plants and

their reception by workers (in the so-called shop floor) is generally positive, although it is not a remedy to solve all problems (Glover, 2000).

6. Data and Method

All of the employed workers were asked to take part in the survey. The study was realized in October 2014, with the use of survey questionnaire (workers – Paper and Pencil Interview, managers and administration – Computer-Assisted Web Interview). All in all, the questionnaires were filled by n=117 respondents (11 managers, 25 administration workers and 81 workers).

Participants graded their answers on a five-item scale: strongly disagree, somewhat disagree, neither agree nor disagree, somewhat agree, strongly agree. The examination of the structure of answers was conducted with the use of chi-square test of independence, and a p-value calculated by Monte Carlo simulation (Mansfield, 1987, Smith, Forster, McDonald, 1996). Monte Carlo simulation was implemented because the sample size was small. If the significance level α were established as 0.05, then definitely the p-value being less than 0.05 would lead to the rejection of the null hypothesis.

Table 1: Operationalization of individual components of empowerment in the form of statements evaluated by the respondents

Components of empowerment	Statements (reference to the component of empowerment is given in italics)
"**Meaning** is the value of a work goal or purpose judged in relations to an individual's own ideals or standards. Meaning involves the perception that a task or activity is of value to oneself. Meaning is also seen as the fit between the requirements of the job tasks and one's own values, beliefs, and behaviors" (Barnes, 2013)	My team appreciate my work and I feel important in it – *belief in the significance and sense of the performed work*
"**Competence**, or self-efficacy, is an individual's belief in his or her capability to perform work activities with skill" (Barnes, 2013)	In my team we concentrate on chances and positive sides, not on problems – *belief in success and own capabilities*
"**Self-determination** is an individual's sense of having a choice of initiating and regulating actions over one's own work" (Barnes, 2013)	Workers' suggestions relating to improvement of effectiveness of the team's work are seriously taken into consideration by the management – *conviction regarding possibilities of influencing the way in which one's own work is performed*
"**Impact** is the degree to which an individual can influence strategic, administrative, or operating outcomes at work" (Barnes, 2013)	My company, in a decisive way, takes into account my goals and values – *conviction regarding an individual being able to influence the organizational system as a whole*

Source: authors' own elaboration.

The most significant question revealed by the results of the study, being an illustration of the reality of the examined enterprise, is that in none of the components of empowerment (meaning, competence, self-determination, impact) are there any statistically significant differences observed in the answers given to the questions by either workers, managerial staff or administrative personnel. According to the leading idea of this article, it could be expected that managerial personnel should perceive both their own work, its motivating character, their own capabilities of influencing the course of things, their attitudes towards work, etc., in a significantly different manner and more optimistically. Nevertheless, there is not much that differs the managerial staff from common workers as far as concerns, inclinations and hardly optimistic perception of the reality are concerned. In our opinion, this is a derivative of the low level of empowerment: the managerial staff are virtually completely similar to ordinary workers. The distribution of the answers referring to the dimensions of empowerment is presented in the four tables below, with the numbers of individual factors. Despite the fact that the factor of meaning proved to be statistically insignificant, it is worth underlining that it is solely in this dimension that managers are slightly more convinced of the significance that their own work has than ordinary

workers. The value p=0.08 could basically be regarded as significant if we were to accept a different level of this significance (α=0.1). As regards the other dimensions there are not any distinctive differences. It concerns both the "can do" attitude (prevalence of the answers in the negative and expressing indifference over those which can testify to the belief in one's own abilities and success) and the conviction that the company treats the employee in a serious way (prevalence of the negative and indifferent answers over those accepting this statement) and that it gives him/her a chance to influence the course of things (prevalence of the answers in the negative and expressing indifference over those accepting this statement, with the exception of the group of managers; still the difference statistically insignificant).

Table 2: My team appreciate my work and I feel important as part of it (statement relates to meaning)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	0	0	11	11
Administrative Staff	4	8	13	25
Workers	14	24	43	81
Total	18	32	67	117

χ^2=9.124, p=0.080
Source: authors' own calculation (SPSS).

Table 3: In my team we concentrate on chances and positive sides, not on problems (statement relates to competence)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	4	2	5	11
Administrative Staff	10	8	7	25
Workers	22	27	32	81
Total	36	37	44	117

χ^2=2.723, p=0.530
Source: authors' own calculation (SPSS).

Table 4: Suggestions offered by workers with reference to improvement of team's work effectiveness are seriously taken into account by the management (statement relates to self-determination)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	1	3	7	11
Administrative Staff	8	11	6	25
Workers	22	24	35	81
Total	31	38	48	117

χ^2=6.104, p=0.180
Source: authors' own calculation (SPSS).

Table 5: My company definitely takes into account my goals and values (statement relates to impact)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	3	5	3	11
Administrative Staff	12	7	6	25
Workers	27	37	17	81
Total	42	49	26	117

χ^2=3.076, p=0.580
Source: authors' own calculation (SPSS).

A similar situation is noticed to occur within the sphere of satisfaction which workers declare in connection with the performed work. The differences in respect of the structure of the responses provided in the cross-section of three groups of workers are not statistically vital. Generally, it can be concluded that the number of people satisfied with the performed work is constantly higher than the sum of those who are

not contented or do not have their opinion on the issue; yet, the level is still hardly satisfactory. This situation is illustrated in the contingency table inserted below.

Table 6: Generally speaking, I am satisfied with this job (statement relates to job satisfaction)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	1	4	6	11
Administrative Staff	7	5	13	25
Workers	9	16	56	81
Total	17	25	75	117

χ^2=6.324, p=0.190
Source: authors' own calculation (SPSS).

The following two statements concern the emotional relation with the firm and the personal meaning from the point of view of the respondents, which is directly linked to the so-called affective commitment. Still, the last statement reflects the so-called normative commitment. The former means – in the simplest framework – the will to take up such a job, taking interest in its content and resulting involvement in its performance. On the other hand, normative commitment, to a great extent results from the need to reciprocate loyalty towards the employer and also from the subjective treatment of the employee by the employer who, among others, invests in the development of the former (Allen, Meyer 1990). As we can see, both affective commitment and the normative commitment remain on a low level in the examined company and do not display any differences at all through the cross-section of the surveyed groups: work does not hold any greater emotional meaning to any of the examined groups of employees. Similarly, they feel only very little obliged to be loyal towards the firm in which they are employed.

Table 7: I feel emotionally connected with the firm for which I work (statement relates to affective commitment)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	4	3	4	11
Administrative Staff	8	8	9	25
Workers	20	37	24	81
Total	32	48	37	117

χ^2=2.496, p=0.657
Source: authors' own calculation (SPSS).

Table 8: The firm for which I am working at present holds a personal significance for me (statement relates to affective commitment)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	5	4	2	11
Administrative Staff	12	8	5	25
Workers	26	41	14	81
Total	43	53	21	117

χ^2=3.319, p=0.503
Source: authors' own calculation (SPSS).

Table 9: One of the reasons why I continue to work here is that I feel morally committed to the company (statement relates to normative commitment)

	Strongly disagree, somewhat disagree	Neither agree nor disagree	Somewhat agree, strongly agree	Total
Managers	6	2	3	11
Administrative Staff	12	9	4	25
Workers	34	31	16	81
Total	52	42	23	117

χ^2=2.019, p=0.768
Source: authors' own calculation (SPSS).

7. Conclusions and recommendations

The case study presented in this article, of a manufacturing plant which belongs to the automotive branch and which is localized in Lower Silesia in Poland, makes it possible to formulate the following synthetic conclusions:
1. In production enterprises having their head offices outside the country where the investment is located there occur cases of managing based on the "end-of-the-pipe" model, in which the managerial personnel of lower level basically do not differ from ordinary workers as regards the level of empowerment, which should itself be defined as low.
2. Disempowerment appears to be the preferred model of managing for the examined company (and, as it can be inferred, also for many comparable enterprises having similar characteristics).
3. Disempowerment appears to be so effective a model that at present there are no attempts undertaken to apply a higher level of empowerment of workers.
4. Job satisfaction remains on a moderate level, which can prove that the lack of empowerment can have its source also in the lack of workers' expectations regarding its introduction.
5. Affective commitment and normative commitment of employees of the company remain on a low level and are apparently connected with a rather instrumental-utilitarian treatment of the employed.

6. In the authors' opinion, to a certain extent, the low level of commitment ought to pose an issue of concern to managers, since it can cause disloyalty, a higher level of absence from work, or an unfavorable climate at work which would result in poorer results achieved by the company.

7. The authors can recommend application of the following two groups of solutions, which should contribute to a change in the level of commitment:

8.
   a. Application of empowerment on the first, lowest level, the so-called suggestion empowerment,

   b. Application of methods of team work and inventive techniques within the TQM system or approaches, such as Lean Management, which liberate initiatives and creative approaches, as well as broaden the scope and the sense of freedom of choice in situations, where a relatively "closed" production-logistic system in itself does not offer such a freedom.

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The Role and Tasks of the Bursar on Controlling in Non-Public Higher Education Institutions (HEIS) in Poland

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Abstract

The article is a presentation of empirical research carried out among non-public HEI (hereinafter Higher Education Institutions) in Poland in respect of the bursar's influence on the researched HEI controlling. It also shows the theoretical investigations about the role of accounting as a source of controlling information.

Keywords: accounting, controlling, bursar, management, non-public HEI

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Introduction

Higher Education Institutions in Poland nowadays operate in a dynamically changing conditions, which makes a great hindrance in their efficient management. As a result, they should be run in such a way so as not only to the overcome the obstacles they encounter in their usual activities, but also to meet the challenges of their surroundings. Finance Department / Bursar's office in its essence supports management as regards information and methodology, which helps the managers to make proper decisions. The aim of the present paper is to present the tasks which the Bursar undertakes in non-public HEI controlling with special attention paid to the bursar's impact on the researched units controlling. To achieve this goal, the author resorts to the relevant literature and to her survey research[1].

Accounting as a source of information for controlling
Accounting is seen as one of the most important elements of a unit's information system. From the point of view of information receivers, accounting can be divided into [Nowak, 2001, p.15]:
- financial accounting,
- management accounting.

Financial accounting, also called transactional, is of obligatory character and subject to legal regulations. It provides historical pieces of information (those which refer to the past) in the form of financial reports mainly for external users [Jaruga, Kabalski, Szychta, 2010, p. 36]. According to Wędzki's classification [Wędzki, 2009, p.16] the users are capital stakeholders (financing the business activity – banks, lenders, suppliers, individual investors and other capital donors) and information stakeholders (*i.e.* those in need of information about the business, *e.g.* for carrying out their own business activity of for self-government administration).

Controlling is supplied with information generated from financial accounting [Nowak, 2013, p.21]. Controlling (management accounting)[2] is individualized and subject to internal regulations of a given business unit. It concentrates on delivering information mainly of planning character to external users (managerial board, management, employees). For Nowosielski, the main aim of controlling is to ensure 'pieces of information at all stages of events taking place in a company, namely at the stage of planning, managing and controlling them so that the general purpose of the company and of controlling is realized. The purpose is complemented by integrative and coordinative functions [Nowosielski, 2002, p. 7].

Information generated by financial accounting should be properly transformed and adjusted to the needs of controlling. Especially important is the fact that they are current, reliable, properly aggregated and first and foremost, delivered on time.
Higher Education in Poland

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[1] The results contained in the article are collected as based on the research carried out among a few dozen of non-public HEI in Poland and are a part of a more complex study.
[2] In spite of the fact that management accounting and controlling are commonly seen (mainly by managers) as two different conceptions, it should be noted that they have the same purposes and make use of the same instruments. In German-speaking countries the term 'controlling' is preferred, while 'management accounting' in English-speaking ones. For more on the relations between controlling and management accounting see Janczyk-Strzała E., 2013, pp. 83-84.

Within the last few years there has been a rapid growth in the educational services sector in Poland. By 1990, they were the only state universities, with one exception - the Catholic University of Lublin (Catholic University of Lublin is a non-public university, which is the founding body the Church). Adopted on 12 September 1990. by the Polish Parliament The Act of the Higher Education created a legal basis for the development of non-public education in Poland. Since then, the number of non-public HEIs is growing rapidly. This is shown in Figure 1.
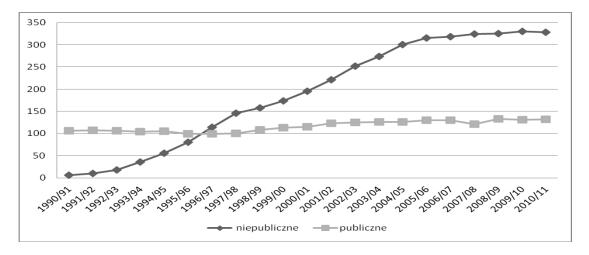
Figure 1. Number of public and private universities in Poland in 1990-2010.

Source: own study based on: HSAY, 1993; HSAY, 1995; HSAY, 1997; HSF, 1998; HSF, 1999; HSF, 2000; HSF, 2001; HSF, 2002; HSF,2003; HSF, 2004; HSF, 2005; HSF, 2006; HSF, 2007; HSF, 2008; HSF, 2009; HSF, 2010; HSF, 2011.

Forecasts statistics also show that over the next 10 years the number of students dropped by about one-third.
The place of bursar's office in the non-public HEI structural organization
Majority of HEI in Poland is of a slender structural organization with many levels on which decisions are taken. It is normally divided into two fields:
- scientific-didactic,
- administrative-financial.
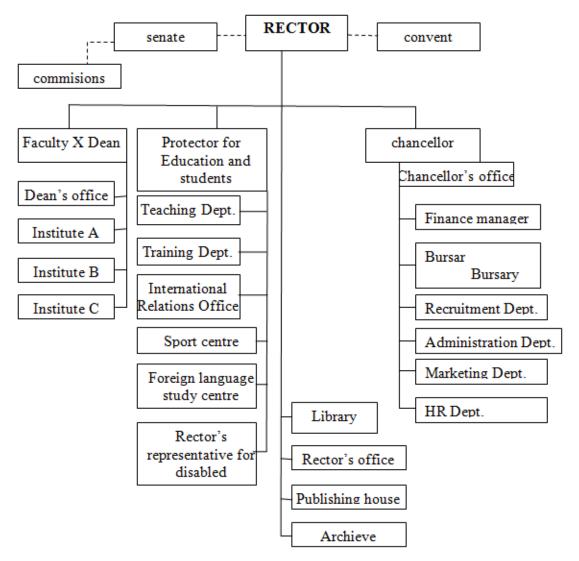
The President (Rector) administers the scientific-didactic field, while the Chancellor the administrative-financial one.
A sample scheme of such structure with respect to non-public HEI, based on Acts on Schools of Higher Education, is presented below (fig. 2).

Figure 2: A sample structure of a non-public HEI.
Source: Janczyk-Strzała E., 2013, p. 49.

Bursar's office, an equivalent to finance-accounting department, is normally in non-public HEI placed in the chancellor's division. It services the HEI's financial management but primarily it conducts accounting and financial records, collects financial incomes, realizes expenses, cash service and prepares finance-accounting reports. The Bursar is in charge of it, and he bears responsibility for the HEI overall finance management and controls its compliance with the law [Janczyk-Strzała, 2013, p.116].

Bursar and HEI controlling - empirical research results
The research covered 54 non-public HEIs examined from June to November 2012, used face to face / paper and pencil interviews and a carefully designed questionnaire.
All of them (HEIs) were allowed to have bachelor studies, 62% master studies, and 15% doctoral studies. 88% of them offer postgraduate studies and 15% the prestigious MBA program. 2 of the researched HEIs grant a postdoctoral degree, and 29% additionally offer specialized trainings.
The collected data allow to conclude that the situation, in which responsibility for property and financial liability, and also the sum total of controlling activities are given

not only to the bursar but to the chancellor or finance director, is not rare (fig. 3). Then, though unofficially, the chancellor is responsible for the given performance, while its actual realization is watched over by the finance director or the bursar. To add, their activities intermingle and support: the chancellor is in charge of the field of strategic controlling, while the bursar and finance director of operative activities.

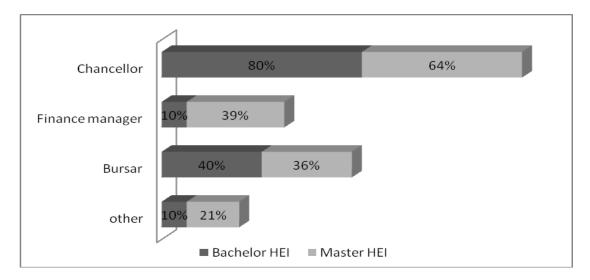**Figure 3:** The persons responsible for HEI controlling activities.
Source: Janczyk-Strzała E., 2013, p.135.

The results of research also show that most often the responsibility for controlling is borne not by one but two persons (table 1.) In Bachelor HEIs[3] the bursar works in the field of finance and accounting and is seen as a main 'controller' (individually or with the chancellor). In Master HEIs the chancellor, as a coordinator and supervisor, integrates the introduced controlling activities. The co-responsibility of the chancellor and the finance manager for controlling activities is observed only in Master HEIs.

Table 1. Persons responsible for HEI controlling activities.

	Bachelor HEI	**Master HEI**
Chancellor and finance director	0%	26%
Chancellor and bursar	5%	13%
Chancellor and others	3%	16%
Finance manager and bursar	3%	3%
Finance manager/ bursar	8%	13%
Others	3%	8%

Source: Janczyk-Strzała E., 2013, p. 136.

The results of the research allow to settle the bursar's role and the tasks which he fulfills when implementing controlling activities and in their later functioning. They primarily refer to:
− indication of possibilities and conditions of obtaining and analyzing finance accounting information (namely accounting books or given financial reports) for controlling, *e.g.* for the analysis of budget realization, measurement of results achieved by respective responsibility centers, planning the demand for financial resources or suggesting the use of financial surplus, optimalisation of costs/results in given ventures/products,
− adjustment of accounting policy to controlling, *e.g.* unification of business year and budget year, matching of chart of accounts to the information need of particular controlling reports, adjustment of analytics to the needs of responsibility centers,
− verification of to date documents and their circulation from the point of view of controlling with respect to making decisions concerning the introduction of possible changes (*e.g.* making additional instruments, information procedures).

The bursar should possess an advisory role both at the stage of implementation controlling ideas and solutions to HEI management process as well as the further functioning of controlling. He proves to be the figure that actively influences the HEI future acting as a 'transmitter' of information and also as a figure actively influencing the HEI future.

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[3] For the purpose of research results presentation, in the present paper a simplification was used, namely colleges (three-year studies) are referred to as Bachelor HEI and universities (five-year studies) as Master HEI.

Conclusion

Considerations and research results presented in the article reveal that the bursar plays an important role in HEI controlling and actively supports the process of its management. The bursar's tasks in this respect are most clearly visible in the sphere of accounting system modeling / shaping which is information basis for controlling. It should also be indicated that the bursar in the finance and accounting sphere does not act on his own but cooperates with others (*e.g.* with the chancellor). In response to pursuing a better use of resources and to still growing need for information, the bursar as a controller supports the process of adjusting the HEI to the changing environment conditions.

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Reconstruction Model of Community Development for Energy Self Sufficient Village

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Abstract
Indonesia's switch from a member of the Organization of the Petroleum Exporting Countries (OPEC) to a net oil importer in the 2000s amid soaring oil price prompted the government to find a new alternative to meet the country's energy demand.

Under the administrations of President Susilo Bambang Yudhoyono, the Southeast Asia's biggest economy began to develop several new and renewable energy resources, including the development of *jatropha curcas* plant oil as biodiesel.
At the time, jatropha biodiesel was planned to be developed through energy-self-sufficient village (ESV) program. The pilot project of this new program was the Tanjungharjo Ngaringan District in Grobogan, Central Java. However, the ESV program in Tanjungharjo ceased to exist in 2009.

The purpose of this article is to explain the various factors that led to the ESV program's failure in Tanjungharjo by using Soft System Methodology (SSM).

Keywords: jatropha curcas, community development, biodiesel, Indonesia, soft system methodology

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Introduction

In 1962, Indonesia joined the OPEC as the Southeast Asia's sole representative at the organization. The soaring energy demand, thanks to the rapid growth in the archipelago, however, forced the country to give up its OPEC membership in 2009. Prior to its withdrawal, Indonesia was already a net oil importer for several years and thus failed to meet its production quota. With this turn of events, the government must switch its attention to the development of new and renewable energy resources, which is also environmentally friendly, to meet the national energy demand.

The issuance of the Presidential Decree No. 5/2006 on National Energy Policy, which is later included in the National Energy Management Blueprint 2006-2025, indicated that the government saw the potential of the new and renewable energy resources development in Indonesia. In the regulation, the energy mix development plan was also stated with 20 percent of fuel usage is expected by 2025, followed by coal (33 percent), natural gas (30 percent), and renewable energy (17 percent). In this context, the new and renewable energy resources may consist of several types, with 5 percent each for biofuels and geothermal, biomass, nuclear, hydro, solar, and wind in the sum of 5 percent, as well as liquefied coal of 2 percent.

In the meantime, one of the new and renewable energy resources that Indonesia already began to develop is bodies. The raw material that was attempted to be developed into biodiesel was japonica curcas Linn (jatropha curcas). While this plant, locally known as *tanaman jarak pagar*, is recognized as medicinal plants, its function as raw material for biodiesel is unobserved.

A type of shrub, the average height of jatropha curcas may reach as high as 6 feet. Jatropha curcas plants live in the tropical and the subtropical area in America, Asia, and Africa. In Indonesia, jatropha curcas live in the forests of West Nusa Tenggara and East Nusa Tenggara. However, in some regions such as Central Lombok, East Lombok, Sumbawa, and Bima in West Nusa Tenggara, the locals have cultivated jatropha curcas plants. (Prihandana, 2007, p: 103-104).

The ideal rainfall that is required by this type of plant to grow is between between 200-1500 mm per year. Jatropha curcas seeds can grow on dry land with poor critical nutrient. Jatropha curcas plants blossom at the age of 6-8 months, with optimum and stable productivity from the age of 5 years. In 1 hectare barren land, this plant can be cultivated as many as 3,300 stems and in normal soil about 2,500 stems; whereas in fertile soil, its density is only about 1,670 stems per hectare. In Indonesia, the development of jatropha plant-based biodiesel was carried out through Desa Mandiri Energi (DME) or Energy-Self-Sufficient Village (ESV) program.

The plan was initially carried out between 2007 and 2010, involved 27 provinces which are the basis of jatropha curcas plant-based biofuel. These villages would then be supervised by several ministries and state-owned enterprises (SOEs). As a form of development scheme, castor oil-based ESV made in the form of plasma-core. Each one of the ESVs has 6 plasmas, of which every single of it has 50 hectares of jatropha curcas plant fields with a production capacity of crude castor oil (Crude Jatropha Oil, hereinafter referred to as CJO) of 25 liters/hour or 100 kg of jatropha curcas seeds/hours.

In each ESV, there is a processing plant or refinery that also acts as the core. The refinery is capable of producing pure castor oil (Purified Jatropha Oil, hereinafter referred PJO) from CJO. Partial results of this PJO would be then returned to the farmers in order to meet their daily energy needs, especially as a mixture of diesel and kerosene substitute. Meanwhile, most of PJO are sold to state electric company (PLN) and biodiesel plants owned by Indonesia's state-owned oil and gas company, PT Pertamina.

However, based on the observations on the presence of castor oil-based ESV, it is apparent that it did not go entirely well. In some areas, the program is stagnant. Some of plant oil-based ESVs are, in fact, no longer running, including Subang, West Java with 180 developers and 10 locations of nurseries; Cirebon, West Java with 200 developers and 10 locations of nurseries; and Banjar, West Java with 245 developers and 5 locations of nurseries. In the Prambanan district and Turi, Sleman, Yogyakarta province, the vast amount of garden plants reduced from 100 hectares in 2006, to 21.2 hectares in 2012.
(http://www.harianjogja.com/baca/2012/03/20/tajuk-masih-ada-harapan-untuk-jarak-172002, accessed in Januari 2013, 14.22 WIB).

Another example is the failure of the ESV program in Tanjungharjo Village, District Ngaringan in Grobogan, Central Java. The village was where the President Susilo Bambang Yudoyono inaugurated the ESV program in 2007, assisted by state-owned agribusiness firm, PT Rajawali Nusantara Indonesia (RNI). In the area, there is a mill (processing plant) for castor seed processing, which now has stopped its production. Jatropha curcas plantation area, which once covered 45 hectares of land, are now non-existent since local farmers have cut down all crops in 2009.
("Program Presiden SBY, Gagal, Desa Mandiri Energi di Grobogan", http://female.kompas.com/read/2011/03/07/16112734/Gagal.Desa.Mandiri.Energi.di. Grobogan, accessed in Januari 2013, 4:52 WIB).

The processing mill in Grobogan was operated by PT Energi Hijau Lestari, which was "in cooperation" with PT. RNI. The factory itself was supposed to serve as the main purchaser of castor oil in the area. In order to facilitate the farmers for after the harvesting, the government also offered seedling and machinery. From the economic point of view, the failure of the jatropha curcas plant-based ESV program in this area was due to the lack of market for the biodiesel and no particular link between farmers and Pertamina. This occurred as a result of the absence of institutions that could manage the biodiesel production of the farmers as well as lack of assistance from the government to local farmers. The jatropha curcas seeds from the farmers only valued Rp3.000,-/kg (around 40 cents USD per kg).

However, from the technology point of view, the biodiesel produced by the farmers, with various simple distillation equipment, was only able to produce biodiesel with a maximum level of 90 pecent. This percentage is below the requirement from Pertamina, which is around 99.8 to 99.9 percent. From the economic side, the seeds of from the jatropha curcas farmers is only appreciated for Rp3,000,-/kg.

In this research paper, the author would like to explore about the reason why the ESV program in Grobogan was failed. In addition, the author would like to recommend

several points on how to the project from social point of view, with society empowerment model and sustainable development principles.

Research Method

The research methodology used in this article is the soft system methodology (SSM). In general, there are 7 steps that should be done in SSM, which are (Checkland, 2006; Hardjosoekarto, 2012) : Problem situation considered problematic; Problem situation expressed, to describe real problematic situation into a diagram called rich picture; Root definitions of relevant purposeful activity; Conceptual models of the systems named in the root definitions; Comparison of models and real world; Change; and Action to improve the problem situation. This article will not discuss all of the detailed steps, however, the result can be discussed as follows.

Result

The problem situation is considered problematic on the ESV program in Tanjungharjo Village, Grobogan, Central Java. This is concluded after conducting literature study and references, as well as observations, and in-depth interviews with the owners of the issue that is addressed. The in-depth interviews with the owners of the issue were conducted to the Director of Bioenergy for Directorate General of New and Renewable Energy Resources of the Energy and Mineral Resources Ministry, Head of Economic Development Planning Board in Grobogan, Tanjungharjo Village Chief, President Director of PT Enhil, Chairman of Farmer's Group "Ngudi Rejeki" in Tanjungharjo Village, "SOE Care" (RNI, PT Pertamina and state-owned gas firm PT Gas Negara).

Based on the interviews with the Director of Bioenergy, it was revealed that from the very beginning, the directorate general was not deeply involved on the development of ESV program in Grobogan. This directorate general was, instead, forced to be involved for the event where the President of Republic Indonesia inaugurated the ESV program. At that time, the plantation of jatropha curcas in the area was not presentable so they bought mature plants from elsewhere for the event.

The idea of jatropha curcas plant as one of the potential alternative commodities, came from one research in West Nusa Tenggara where the jatropha seed valued to Rp8,000 per kg. Intensive media coverage triggered many communities to grow Jatropha. Whereas the considered reasonable price for jatropha curcas seeds would be around Rp500-1,000,-/kg of peeled seeds, which caused farmers to become reluctant in cultivating jatropha curcas plants. Meanwhile, the government is yet have a system to market jatropha.

The second interview was with Heri Susanto, Head of Economic Division in the Development Planning Board in Grobogan. He was a liaison with the central government during the ESV program. The interview revealed that the area was, in fact, unprepared to become part of the ESV program, yet the President still declare Grobogan as ESV and promised to support with Rp.10 billion of financial aid in 2007.

During the development of this program in 2008, the government asked for implementation guidelines in order to administer the financial assistance. The grant itself consist of Rp 100 million from PT Gas Negara, Rp 50 million from PT RNI, and Rp 9.85 billion from Pertamina. Most of the grants, Rp 5 billion, were used to build a processing factory in Toroh District in Grobogan. Meanwhile Rp600 million were used for operations. Subsequently, the local administration formed 15 farmer groups specified for the development of jatropha curcas. The local administration also performed socialization and group meetings. However, the local administration claimed to never received any guideline so they did not know about the fund flow. Each of the farmer's groups was then asked to open a bank account and the grants were distributed directly to those group. As for the development of jatropha curcas, Grobogan saw this type of plant being planted for around 3.5 million rods. Unfortunately, the plantation process did not go as expected. On top of that, the cost was too high for its cultivation. For every liter of jatropha curcas oil, it will need around 4-5 kg of jatropha curcas seeds. With each kilogram is Rp.1,500,- and adding the processing cost, every liter of jatropha curcas oil will cost Rp8,000,-

In February 2014, interview with the chief of farmer's group "Ngudi Rejeki" in Tanjungharjo Village was conducted. It was then revealed that the initial plan was to deliver peeled seeds of jatropha curcas to PT Enhil, a local mill processing. However, those farmers thought the price (Rp700 per kg) was too low, especially compared to other commodities, such as corn, soybean and rice. It did not worth their effort and cost. Jatropha curcas plants can only be harvested after 6 months. In every single day, the farmers can get 120 kg of unpeeled jatropha curcas fruit. Another problem that was raised was the unclear marketing system and miscommunication with PT Enhil.

In general, the Tanjungharjo Village was never involved in the ESV scheme since the very beginning. It was "coincidence" that the factory (belonged to PT Enhil) located in Tanjungharjo Village, which is the most relevant place for the President to inaugurate the district as ESV. The financial assistance that was announced by the President was neither managed nor known by PT Enhil. Instead, the financial assistance was directly managed by Pertamina. The development of jatropha curcas plants was not cultivated by locals from the very beginning. Instead they only grow them as hedgerow for their houses or rice fields. As the President is visiting the village, machines and raw materials were delivered to the Tanjungharjo Village to give an impression that the cultivation of jatropha curcas was already existed for quite some time.

Based on the interview with the director of PT Enhil (February 15, 2014), it was revealed that the development of Tegalharjo Village as an ESV was initiated by the presence of PT Enhil, originated by Hartono, who like many Indonesians uses only one name, and Rama Prihandana. Founded in 2005, PT Enhil was a private firm with focus on developing jatropha curcas oil as biofuel to meet energy consumption in the village with economical price. This scheme was also expected to generate more income for the villagers who mainly farm rice plants and corn fields.
Both the developmental process as well as the refining of jatropha curcas kernel into jatropha curcas vegetable oil took around two years. During this time, the production reached as many as 700 liters per day. However, when President Susilo Bambang Yudhoyono visited Tanjungharjo Village on February 21 in 2007, problems started to arise. In the visit, which was a part of the announcing of the ESV program and took

place in PT Enhil's office, the President promised to give financial aid to 15 farmer's groups in the amount of Rp 10 billion.

Although the donation ceremony took place during the event, PT Enhil was basically in the dark about the origin of the financial aid, let alone its disbursement as well as distribution. Based on an interview with Evita Herawati Legowo, the director general of oil and gas affairs at the Energy and Mineral Resources Ministry (May 16, 2014), it can be concluded that the ESV national program was initiated in mid-2006 in an extended Cabinet meeting. In essence, the idea behind the ESV program was presented directly by the President. At the same time, the President also announced that he would inaugurate the ESV program in Grobogan as well as holding out the financial assistance to the local farmers.

Subsequently, the President asked Pertamina in terms of the provision of the relief fund to the local farmers. However, after the inauguration of the ESV program, the promised funds was not disbursed immediately. Basically, this case was linked to some technical aspects on the allotment procedures of the donation, which require a coordination between relevant institutions. In the end, however, it was decided that the relief fund would be transferred directly to the accounts of the local farmers.

Based on an interview (May 19, 2014) with a member of the biofuel national team with the Energy and Mineral Resources Ministry and an expert staff of Pertamina president director, Didik, who uses only one name, as well as a member of Pertamina's corporate social responsibility (CSR) team, Rudi Sastiawan (May 20, 2014), it was concluded that the government asked Pertamina for the financial assistance in the amount of Rp 10 billion through CSR.

This was done after the President officially announced the biofuel program in program. However, there was no follow up. A portion of the funds was used to buy a land, to purchase machines, and to build a factory.

Pertamina also attempted to distribute the machines to each farmer's groups so that each groups could produce jatropha curcas oil independently. In addition, the financial assistance was awarded directly to the farmers in cash, transferred to the bank accounts of 14 farmer's groups.

This was done in accordance with the distribution regulation of the Environmental Partnership Program or locally known as Program Kemitraan Bina Lingkungan (PKBL). The application of the financial assistance itself was entirely up to the local farmers. This program was in motion from 2006 to 2009. Pertamina also recommended to the villagers to buy the seeds from Industrial and Refreshment Plant Research Center, locally known as Balittri, under the Agricultural Ministry. During the implementation, Pertamina was only involved in the jatropha curcas oil processing through the newly established union. As for the marketing of the outcome from this production, Pertamina was not involved. In cooperation with Sukabumi Balittri, Pertamina also carried out cultivation training for the farmers with a main focus on jatropha curcas plants.

In general, there were several issues that, according to Pertamina, became the reasons why ESV program did not succeed in Grobogan.

First, the problem with the local administration, which has a crucial role to play in creating a conducive environment where this program could be a success. The local administration, in reality, did not actively present that role. Problems arose when the Regent did not give this program enough support. In fact, the local administration, in this case, was only "represented" by the Local Development Planning Board.

Second, the problem with the human resources aspect, especially in terms of the lack discipline from the local farmers. In this case, the local farmers tend to get easily discouraged when trying to grow jatropha curcas plants. In addition, the local farmers were "unwilling" to process jatropha curcas kernel.

Third, the problem with uneconomical price of jatropha curcas biofuel. In general, this was related to the policy aspect. The economical problem of jatropha curcas biodiesel arose when the government still subsidized fuels and 3-kg LPG. This uneconomical condition was also obvious when one compared the selling price of 3-kg LPG with the production process of jatropha curcas oil. For example, if jatropha curcas kernel in the amount of 1 kilogram was processed, it would only produce 25 percent of oil or 0.25 liter. Whereas in average, 1 kitchen stove would need as many as 2 liters of oil or equal to 8 kilograms of jatropha curcas kernel. Taking into account that the land space belonged to the farmers to grow jatropha curcas plants was only 0.5 hectare, the outcome would be uneconomical. So as when one compare the effort that is needed to produce jatropha curcas oil with the effort that is needed for other activities the farmers generally do. These farmers and villagers may work as motorcycle taxi drivers or grow corns instead yet they would still be able to purchase 3-kg LPGs. As a result, jatropha curcas biodiesel was not competitive.

Fourth, the problem with alleged sabotage to existing factories. Several occurrences such as damages to the processing machine, bolts that were presumably inserted to the machine intentionally to induce damages and later on found, generator cable loss, electrical box panel loss, and cables that were installed backwards, were just a few cases that indicated sabotage.

Fifth, the problem with the environment and the nature of the jatropha curcas plants. In terms of environmental aspect, the selection of certain type of jatropha curcas plants that is suitable with both land condition and climatic condition was also crucial. Based on the experiences in Grobogan, it was shown that jatropha curcas plants would grow even massively when it was not cultivated massively.

Sixth, the problem with the mindset of the farmers and villagers who immediately incline to the business aspect. Those farmers and villagers did not see jatropha curcas oil as an alternative fuel that could be both produced and utilized for their subsistence. In contrast, they saw this as a new commodity that could be sold to generate their income.

This program was divided into 2 forms, large and small scale. As a form of small-scale biofuel development, the ESV program was a part of it. The purpose of ESV program was to have a biofuel development scheme that could be carried out directly by the society. Based on various experiences with ESV programs in many regions, one of the conclusions was that most locals would be oriented to the income aspect.

Another problem that led to the failure of the cultivation of jatropha curcas plants as biofuel raw material was the absence of a transportation system that could pick up jatropha curcas kernel from the farmers and bring it to the big refineries where jatropha curcas could be processed with a capacity 100,000 KL.

In fact, this was a part of the jatropha curcas-based biofuel development national plan in a large scale. The existence of various jatropha curcas oil refineries in many regions, in reality, could not be utilized by the farmers from other regions as a potential market for their jatropha curcas seed product they had produced. The distance between the farmers who cultivate jatropha curcas plants and the large-scale jatropha curcas oil refineries and the absence of a distribution system led to the inability of the farmers to market their jatropha curcas kernel.

In terms of the role of the government, the Energy and Mineral Resources Ministry was indeed not involved in PT Enhil's jatropha curcas oil development. The Energy and Mineral Resources Ministry was only involved towards the ceremony and the declaration of ESV program by the President. Whereas in terms of the problem with the local officials was that, even though they stated their readiness, they did not actually understand fully what were the requirements of a program. This kinds of situation may actually occurred in the case of Grobogan. This condition was evidenced with the absence of the change in mindset within the community that the presence of jatropha curcas plant-based oil could reduce their spending.

In terms of the importance of the change in the mindset of the community, an intensive mentoring with relatively long period of time was necessary. This was due to the fact that, with the so-called "project" pattern, the probability of the project would not be sustained was enormous.

Based on an interview with the founder of the Cooperation "Dian DME", which has 14 jatropha curcas farmer's groups as its members, in Toroh Sub-district (on June 19, 2014), it was shown that the main problem lied on the production cost of jatropha curcas oil, which was simply too expensive compared with diesel. The second problem was that the supply of jatropha curcas plant-based oil was limited. The jatropha curcas plant can only be harvested once every year.

Conclusion

At the macro level, fuel subsidies should be gradually reduced until it is completely abolished. This is basically related to the fact that fuel subsidies has created distortions on energy prices in Indonesia. As a result, other alternative energy resources (including biofuels) were not competitive. Based on an interview with Pertamina (on May 19, 2014), one of the main reasons behind the failure of the jatropha curcas plant oil-based ESV program was the existence of fuel subsidies. The impact was that the jatropha curcas plant oil that was produced were not competitive. In addition, the villagers also preferred fossil-based fuels, especially subsidized diesel because it was easier to obtain at gas stations.

At the micro level, the change of the orientation and the understanding on the importance of alternative energy development as a solution towards energy crisis was the first precondition. Local resources-based alternative energy development to fulfill the energy demand of the villagers for their subsistence was the foremost before distributing the rest to other regions. This idea should be planted to the community so

that they would be willing to meet the "challenges" to develop a local resources-based alternative energy development that is beneficial to meet their energy demands. In addition, it is necessary to give a comprehensive understanding towards the villagers that what they do, in essence, was an integral part of a national energy policy. Hence, the unfreezing stage, just like introduced by Lewin (1951) could be done with burning platform technique. This technique is implemented by building an understanding about the energy crisis that this country face, including Tanjungharjo Village community. This energy crisis is due to the fact that the oil reserves as well as the national crude oil and LPG production are all declining, with 60 percent of the current consumption is fulfilled by imports. The failure to tackle this energy crisis could turn into the increasingly expensive energy prices, including for household needs. The unfreezing stage, in essence, was the precondition to the implementation of the organizing and society empowerment conceptual model. In order to achieve the organizing, a common understanding between the parties is necessary. The main issue of the awareness is the need of a new renewable energy resources development as a part of the national energy security and sustainable environment development toward the community. Although the society currently could easily purchase 3-kg LPG or firewood as household energy sources, this situation cannot be maintained. The wide and uncontrollable use of firewood could lead into the deforestation. This situation calls for breakthrough that may cover the energy demand in a sustainable way. By means of raising the awareness on a sustainable energy need, the process of organizing and community empowerment can be started. In the end, it is expected to push more public participation on this subject.

The method to convey this message can be done utilizing local cultures such as wayang (shadow puppets) or social counseling during local art performances such as Tayub (a social dance from Java). Socialization could also be performed through radio shows or local TV stations continuously. Referring to the persuasion method presented by Goldstein et al. (2008), several methods that can be done were building a fear that often paralyzes. This fear is expected to arouse communications and to stimulate the villagers to take an action to reduce the threat. The fear is that, some time in the future, the villagers will not be able to obtain cheap and accessible energy when fossil-based fuels and LPG completely run out. The same thing will happen to firewood as there will be no more forests in the future if the firewood consumption is not controlled. The next part is where the initiators offer a solution to the problem by doing favors to the people. In doing the persuasion, the initiator may use the sentence "who can help me to find a solution toward the energy problem?" With that, it is expected that the community will accept the invitation to develop an alternative energy without any coercion. If it is needed to persuade several people who are deemed to have influences toward the ESV program success, it can be done through personal requests. It is expected that they will feel "valued" and thus willing to participate in ESV program activities.

In the next stage, the initiators would also need a certainty from the village community, especially the owners of the issue, such as the leaders of the farmer's groups, officials, and village leaders, about their commitment in the development of ESV. If it is needed, the initiators together with the owners of the issue should write a written commitment on the objectives and the plans in relation to the alternative energy development and ESV.

After the commitment from the owners of the issue is formed the initiators should be able to ensure that the six key elements as the foundation to push the public participation can be fulfilled in every steps that will be taken. This is done in order to begin the second stage that Lewin (1951) mentioned, which is the change. Building the compatibility that is built on the basis of trust among the villagers, in essence, could be started from the identification process and social relations mapping at the village itself. Based on the results of the two processes, the development of a more extensive mutual trust can be done. The initiators may take several ways in the process of identification and social relations mapping. Informal discussions, in essence, is the most effective way to achieve that goal. During informal discussions, the stakeholders, especially the villagers, would not feel burdened by the activities. In addition, the initiators may get a better understanding on what are the interests of each stakeholders from these informal discussions. With that, the identification process on what are the benefits from each parties can be generated.

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The Correlation of Imagination and Computer Graphics Ability of Visual Communication Design Majors

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Abstract

This study aims to examine the correlation of imagination and computer graphics ability of visual communication design majors. To obtain a better understanding of visual communication design majors' imagination exhibited before and after the students take related classes, a questionnaire survey with pretest-posttest design was conducted in this study. The consensual assessment technique (CAT) was then employed to assess the students' works as designated by the classes. The consensual assessment and questionnaire analysis results were compared and analyzed to confirm the correlation of visual communication design majors' imagination and computer graphics ability.

Keywords: visual communication design majors, imagination, computer graphics, consensual assessment technique (CAT)

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1. Introduction

The educational philosopher Greene (1995) criticized current teaching for often stifling the imagination and restricting the possibility of different points of view. Thus, Greene reminded teachers that they should go beyond the limited framework of their habits and attempt to get closer to students' consciousness, helping them to gain enough understanding and awareness to make decisions during the process of growth. Only education through imagination, enrichment of thinking resources and improved thinking skills can improve technological and cultural literacy, foster the scientific and technological talent of the future and enhance the research capabilities of the Taiwanese people (Executive Yuan, 2008).

In recent years, the Taiwanese government has been a strong proponent of cultural and creative industries. In response, domestic universities have also established numerous courses to enhance their students' creativity. In particular, departments of visual communication design have become the mainstream for design departments in recent years. In view of this, in this study, we have investigated the relationship between imagination and implementation capabilities in computer graphics in visual communication design students. Through the changes in the students' imagination, we explored the development of imagination in the process of learning computer graphics and the relationship between imagination and computer graphics capabilities. Our specific goals are detailed as follows:

1. To investigate the imagination performance of visual communication design students before and after taking computer graphics courses.

2. To perform expert assessments on students' computer graphics works and compare and analyze the assessment results and the questionnaire analysis results.

3. To explore the relationship between visual communication design students' imagination and their implementation capabilities in computer graphics courses.

2. Literature Review

2.1. Definition and Classification of Imagination

The U.S. educational philosopher Dewey (1980) held that imagination is a kind of ability to see possibilities. He stated that when things are integrated as a whole, imagination is a method of seeing and sensing the workings of the world clearly to transform familiar old things into new experiences. When the human mind intersects with the universe, some degree of risk is always present. This risk is imagination. Imagination allows single concepts to generate rich significance.

Image is the reproduction of sensory experiences from the past in the memory. Imagery is the psychological process by which image forms. Finally, imagination is the psychological process of integrating and combining memories and imagery in the memory to produce new imagery Chang (2003). Literally speaking, imagination is a kind of image seen in the mind's eye. For example, the image of a butterfly appears in the mind when seeing a butterfly. If the butterfly is not in front of my eyes, I can recall its appearance. This is memory, also referred to as the "reproduced imagination." However, art must also include "creative imagination." This is because art must not merely reproduce old experiences but must also add new components to previous experiences.

According to this definition of imagination formulated by numerous scholars, imagination is an abstract thinking activity of humans. It is the ability to reconstruct thoughts and images by analyzing and synthesizing existing knowledge and life experiences. This kind of thinking activity is not limited by any rules, nor is it entrapped by established modes of thinking. Imagination activities can be used to enrich existing things, improve knowledge, and enhance the sensory experience.

Scholars have held numerous views regarding imagination. Chang (1991) indicated that anticipatory imagination is a kind of imagination for the future. Possible future events or how to achieve expected goals are imagined. Examples include rehearsals and practical plans for work interviews or other social interactions soon to come. Imagination is a human instinct that can be divided into three levels according to grade (McMillan, 1995):

1. The Natural Reaction of Imagination
This is the most fundamental imagination reaction. For example, when people think of pickled plums, their mouths involuntarily begin to water. They hear old songs on the radio and cannot help but start singing. These actions are the beginning of the formation of imagination. This is also the lowest level of imagination.

2. Free Images
For example, when we eat plums, we may imagine gardens full of plums and think of peasant women pickling plums. However, this kind of imagination is the reappearance of past experiences, not productive imagination. This is a higher level of imagination.

3. Images of Individual Inner Activity
This kind of imagination development is on a higher level. For example, when dreaming, the inner world appears as if it were real. However, daydreams also belong

to this category. Images, such as castles in the sky and monstrous floods, sweep by. The highest level of imagination is the thinker's creation or design of new associations after integrating images. This is constructive imagination. Industrial inventions, artistic creations, and scientific discoveries all belong in this category.

Regarding the "purpose" of imagination, Li (1996) divided imagination into two types:
"involuntary imagination" and "voluntary imagination." Involuntary imagination is a type of imagination that does not occur freely and where the themes and purposes of the imagined content change. The imagination activities of toddlers are primarily classified as involuntary imagination. Voluntary imagination is a more stable type of imagination with stable themes and purposes. Depending on its nature, voluntary imagination can be divided further into creative imagination, reproductive imagination, and vision (Chen, 1995).

1. Creative Imagination

Imagination that does not rely on "ready-made descriptions" of stimuli in front of the eyes is "creative imagination." Chang (1991) held that creative imagination is the recombination of past experiences in the consciousness. This imagination attempts to surpass past experiences to produce new ideas. Because it produces new ideas for old problems, this type of imagination is also referred to as "constructive imagination." Creative imagination also requires other conditions for its development. Three of these conditions are inspiration from prototypes, active thinking, and inspiration. These conditions allow creative imagination to produce things that depart from the things in front of the eyes. However, a medium to trigger this imagination is also critical to allow the creator to recall a certain picture or event. The images produced by creative imagination are not the same as the stimuli. This is because creative imagination transcends the things in front of the eyes and conduct exploration and discovery in a temporal and spatial field (Arnheim, 1997).

2. Reproductive Imagination

"Reproductive imagination" is imagination based on "ready-made descriptions," such as descriptions in texts or diagrams. Various manifestations occur in the process of reading literary works. Thus, considerable ability to comprehend literary works and rich memory images are crucial (Li, 1996).

2.2. The Development Process of Imagination

Creation is a kind of psychological and intelligence operation. The creative process is also the process of psychological and intelligence operations Wu, Chang, & Rau (2008). Rothenberg (1972) indicated that during the creative process, creative people are unable to note or record their actual thinking and behavior. Ultimately, they often adopt a mythical perspective to treat the inspiration achieved by their creative thinking. However, the source of creation is not merely waiting for inspiration to arrive. Preparatory work before inspiration and evaluation and examination work after inspiration arrives are indispensable processes (Lin, 2012).

The process of artistic creation does not have a fixed model. Creation can occur anywhere and at any time. Chen (2000) indicated that the processes through which artists create art are diverse. Forms imagined internally or observed in the outside word are converted into internal images before ultimately being converted into works to express these ideas. This is a creation process that converts form into thinking before turning the internal into the external.

The social psychologist Wallas (1926) established a four-stage model for the creative process: 1. Preparation: Information related to a problem is gathered and combined with previous experiences and new knowledge. 2. Incubation: Temporarily shelving problems not thoroughly understood while continuing to consider solutions on a subconscious level. 3. Illumination: Sudden inspiration and understanding of the key to solving the problem. 4. Verification: Implementing the concepts from the illumination to verify whether they are feasible.

The scholar Patrick observed the work processes of poets, artists, and scientists and found that their creative processes also fit the four-stage model (Patrick, 1937). In addition, a study by Lin and Huang (2002) indicated that artistic creation must undergo two processes: incubation and cultivation. J.C.H. Chen (1995) also agreed that artists engage in an artistic creation process beginning with the cultivation of imagery and then adding expression, meaning the process starts from the creation of internal thinking to the completion of external objects. This process comprises observation, experience, imagination, selection, assembly, and performance.

Human imagination has both creative and reproduction functions (Spencer, 2003). Imagination can be used on many things. The imagination process reveals that imagination is the psychological process of producing new imagery after the reintegration of experiences and ideas in the memory (Chang, 1991). G.M. Chen

(1995) held that imagination is "the process of processing and reforming existing memory images in the brain to be recombined into new images."

In addition, scholars have indicated that imagination is an "implicit" process structure. For example, after a designer balances an idea with the needs and restrictions of the problem, the problem is redefined to allow the coevolution of the problem and the solution, promoting the generation of imagination in a process rich in information (Liu, 2011). Wang, Ye, and Chiang (2012) stated that among the operations of imagination, "association" and "divergent thinking" occupy the most critical positions in the integration and conversion of individual experiences.

In summary, the research described above indicates that creation occurs when imagination is produced through these processes. The development process of imagination is an implicit structure. The internalization of experiences is similar to the model of artistic creation. Personal experiences are internalized to produce associations and divergent thinking, ultimately resulting in imagination.

2.3. Methods of Assessing Imagination

In her work *Releasing the Imagination*, the U.S. contemporary philosopher of education Greene (1995) indicated that imagination breaks habits and repetition, departing from the inertia of certainty and consistency. Therefore, imagination requires space for liberation. It must not be limited by established concepts. Uncertainty and ambiguity must be allowed to exist in the classroom.

Applying this concept to teaching, Greene (1971) indicated that imagination can allow us to see different modes of existence. She proposed teaching based on aesthetic experiences to stimulate learners' curiosity and to place learners in unknown, unfamiliar states to intersect with others' stories. The surprise or shock generated by such intersections arouses curiosity and imagination.

Developed in the early 1990s by Kujawski, the test of creative imagination (TCI) is currently the most common measurement instrument for creative imagination used by researchers. The content of this test comprises 16 components: 4 straight lines, 4 semicircles, 4 dots, and 4 curved lines. Subjects are asked to use as many of these 16 components as possible to draw an imagined object that they have never seen before. The end product drawn can be a new invention or tool. Finally, the fluency, originality, and flexibility of the subjects' responses are scored to assess the creative imagination of the subjects (Karwowski & Soszynski, 2008).

Scholars have held that smell, taste, sound, and text can be used to stimulate the imagination. However, the primary method of stimulating the imagination is still the use of visual stimulation (Baars, 1993). Trotman (2006) proposed the following methods to allow imagination to be expressed clearly, facilitating its assessment: (1) observe students' emotions, behaviors, and reactions; (2) record conversations; (3) observe interactions between students; (4) collect students' writings and journals; (5) make photographic records; (6) use photographs and images; (7) use animation, videos, and stories; (8) dance; (9) compose music; and (10) improvisation and impromptu speeches.

In summary, imagination can be divided into the following four types based on the degree of independence, novelty, and creativity generated during the process: (1) creative imagination, (2) reproductive imagination, (3) anticipatory imagination, and (4) perceptive imagination. In addition, imagination can be evaluated through teaching activities, imagination testing, and learning records.

In this study, we investigated the relationship between imagination and implementation capabilities in computer graphic design in visual communication design students. Thus, the imagination discussed in this paper is the capability to analyze and synthesize past vested experiences to reconstruct thoughts and images. Past memories or similar experiences can be used to reconstruct things that are not present.

3. Study Design

In this study, we explored the development of imagination to investigate the imagination performance of visual communication design students before and after taking computer graphics courses. Expert assessments of the students' computer graphics works were also performed. The assessment results and the questionnaire analysis results were compared and analyzed. We used these findings to explore the relationship between imagination and implementation capabilities in computer graphic design courses in visual communication design students.

3.1. Subjects
We administered the questionnaire to 72 first-year students in the Department of Visual Communication Design at Shu-Te University. The questionnaire was conducted to the same batch of subjects before and after the course was taught. In other words, we administered the questionnaire once at the beginning of the semester

and a second time at the end of the semester. A total of 144 questionnaires were recovered, 22 of which were excluded because the students did not participate in the assessment of the computer graphics works. Thus, the number of valid questionnaires was 122 (61 questionnaires each on the pretest and posttest). These questionnaires served as the foundation for the statistics.

3.2. Research Instruments

The research instruments and methods used in this study comprise an imagination questionnaire and expert assessments. The research instruments used in each stage are described as follows:

(1) Source of the Imagination Questionnaire

To understand the degree of the students' imaginations, we used the imagination scale developed by Liang, Hsu, and Lin (2014) to measure the imagination of the visual communication design students. The questionnaires were distributed physically for testing and data analysis was performed on the recovered results.

(2) Method of Administering the Self-Assessment Questionnaire for Imagination

To achieve our objective, we administered the questionnaires to the same group of subjects before and after the courses were taught to understand the mechanism of action of the imaginations of visual communication design students. The imagination performance of first-year visual communication design students taking computer graphics courses with regard to "creative imagination," "conceptual imagination," and "reproductive imagination" was compared. We used these results to investigate the correlation between implementation abilities in computer graphics and imagination.

(3) Method of Implementing the Expert Assessments

In this study, the students took 18 weeks of a computer graphics course. Before the course concluded, the students in the course created computer graphics works. We collected these works and invited three experts to perform expert assessments. The assessment scores were divided into a high-score group (at least 80 points), a middle-score group (79 to 60 points), and a low-score group (no more than 59 points) to serve as a foundation for subsequent data analysis.

4. Data Processing and Analysis

4.1. Analysis of the Correlation between Imagination Performance and Implementation Capabilities in Computer Graphics Courses

This section addresses pretest and posttest questionnaire results for three dimensions of imagination:

"creative imagination," "conceptual imagination," and "reproductive imagination." Comparison of the pretest results for the high-, middle-, and low-score groups indicates clearly that the average score of the low-score group was the highest, followed by the middle-score group. The average score of the high-score group was the lowest of the three. We also compared the averages on the posttest. The results clearly indicate that the students improved in creative imagination, conceptual imagination, and reproductive imagination after taking the course. Therefore, the students' implementation capabilities in the computer graphics course had a positive impact on the increases in their imagination.

Table (4-1)

Score Group	Pre/Posttest	Item	Creative Imagination	Conceptual Imagination	Reproductive Imagination	Average
High-Score Group	Pretest	Average	3.547	3.615	3.606	3.529
		N	13	13	13	13
		Standard Deviation	.6801	.9608	.7903	.7441
	Posttest	Average	3.685	3.681	3.708	3.689
		N	13	13	13	13
		Standard Deviation	.5883	.6679	.7614	.6663
Middle-Score Group	Pretest	Average	3.657	3.549	3.779	3.643
		N	34	34	34	34
		Standard Deviation	.8012	.8429	.8205	.8237
	Posttest	Average	3.680	3.654	3.875	3.720
		N	34	34	34	34
		Standard Deviation	.7825	.7731	.8049	.7843
Low-Score Group	Pretest	Average	3.897	3.720	3.929	3.831
		N	14	14	14	14
		Standard Deviation	.7719	.8012	.7271	.7726
	Posttest	Average	3.815	3.617	3.833	3.736
		N	14	14	14	14
		Standard Deviation	.7680	.7679	.7524	.7628

4.2. Analysis of the Expert Assessments and the Questionnaire Analysis Results

The results of the expert assessments of the students' computer graphics works placed 13 students in the high-score group (at least 80 points), 34 students in the middle-score group (79 to 60 points), and 14 students in the low-score group (no more than 59 points). These data are in line with a normal distribution. Based on the overall averages from the analysis results, the low-score group was higher than the middle-score group and the high-score group was lower than the middle-score group. Thus, what we saw was that the average scores were lower as the experts' assessment scores increased. Conversely, when the experts' assessment scores decreased, the

average scores increased. This result was consistent in both pretest and posttest performance. In summary, comparing the pretest and posttest analysis results reveals that the posttest averages all increased significantly (In addition to the low group decreased slightly). This confirms the presence of a significant correlation between students' imagination and their implementation capabilities in computer graphics courses.

5. Results and Discussion

Analysis of the imagination performance of visual communication design students before and after taking computer graphics courses reveals that their imagination was consistently higher than the average (evaluation indicators for analysis were based on 5-point Likert scale). In addition, comparison of the averages between the pretest and posttest indicates clear improvements (In addition to the low group decreased slightly).

Table (4-1) shows the experts' assessments of the students' computer graphics works. Analysis and comparison of the assessment results and questionnaire analysis results reveal a clear correlation between the visual communication design students' imagination and their implementation capabilities in computer graphic design courses. However, this result was a negative correlation. That is, those with higher scores on implementation capabilities in computer graphic design courses had relatively low average scores in comparison to those with lower scores on implementation capabilities in computer graphic design courses.

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Bank Access, Insurance Markets and Financial Structure on the International Risk Sharing

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Abstract

This project re-investigates the extent of international consumption risk sharing across countries and time. While there are some works documenting that financial globalization/openness is related to the degree of risk sharing, we contribute to the current literature by further exploring the role of banking sector outreach and insurance sector development on the extent of international risk sharing. In addition, we also explore whether a country's financial structure (bank-based vs market-based) displays any discernible risk-sharing effect. Overall, the empirical results indicate that, while there is no significant evidence of risk-sharing effect of insurance sector development and financial structure, the impact of financial sector outreach on improving the degree of risk sharing is economically large and statistically significant (especially in the middle-income countries). Moreover, the key finding is robust to a collection of sensitivity checks, e.g., restricted sample, different consumption measures, alternative empirical specifications/approaches, serially correlated errors, endogeneity, and outliers.

Keywords: risk sharing, banking access, insurance market development, financial structure

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Introduction

Whether and to what extent that (consumption) risk can be shared across individuals (Mace, 1991; Cochrane, 1991; Townsend, 1994; Hayashi et al., 1996; Schulhofer-Wohl, 2011), regions (Del Negro, 2002; Demyanyk et al., 2007; Hoffmann and Shcherakova-Stewen, 2011; Balli et al., 2012; Chan et al., 2014), and countries (Obstfeld, 1994; Lewis, 1996; Crucini, 1999; Sørensen et al., 2007; Asdrubali and Kim, 2008a, 2008b; Antonakakis and Scharler, 2012; Artis and Hoffmann, 2012; Baxter, 2012) over time has been an important issue attracting the interest of both academic researchers and policy makers. However, as argued in Lewis (1996), while standard international business cycle models under the assumption of complete markets usually indicate that consumption growth rates should be strongly correlated with each other and more highly correlated than output growth rates, most recent empirical studies have rejected the theoretical prediction of complete risk sharing using both international and intranational data.[1]

In this respect, there are increasing empirical works examining whether/how the extent of risk sharing is related to certain characteristics such as the degree of financial friction/constraints in a country. For instance, Kose, et al. (2009) assess the effect of financial globalization on the degree of international risk sharing over a large group of industrial and developing (emerging) countries. While, theoretically, financial globalization should help countries insure against idiosyncratic risk, Kose, et al. (2009) find no discernible evidence in support of the view that financial globalization improves international risk sharing for developing economies.[2] There is limited evidence that industrial countries attain better risk sharing in the recent globalization era, though. In sharp contrast, Artis and Hoffmann (2008) distinguish between permanent and transitory fluctuations in output (income) because consumption responds mainly to permanent shocks and it is more difficult to insure against permanent than against transitory fluctuations. They find that the ratio of permanent country-specific risk shared internationally through world financial markets has increased significantly, from less than

[1] Starting from Asdrubali et al. (1996), another line of literature focuses on measuring the contribution of alternative channels to overall smoothing, e.g., Sørensen and Yosha (1998), Becker and Hoffmann (2006), Afonso and Furceri (2008), Asdrubali and Kim (2004, 2009), and Balli et al. (2012). According to Asdrubali et al. (1996), capital markets, federal government and credit markets smooth 39, 13 and 23 percent of shocks to U.S. gross state product, respectively. The remaining 25 percent are not smoothed.
[2] Bai and Zhang (2012) demonstrate that the key to understanding this puzzling fact is that existing studies often assume that international financial markets are frictionless, but actual markets are far from frictionless due to incomplete financial contracts and limited contract enforceability.

30 percent before 1980 to more than 60 percent during the 1990s.

Similarly, Balli, et al. (2012) examine channels of international risk sharing, through savings,factor income flows and particularly the role of capital gains between EMU, EU and OECD countries over the 1992-2007 period. They argue that the capital gains channel is under-explored but is important given the quadrupling of foreign assets and liabilities during the era of financial globalization. Specifically, they show that risk sharing from capital gains is about 6 percent for all three groups of countries. Moreover, Fratzscher and Imbs (2009) consider the role of transaction costs in international investment in influencing the degree of international risk sharing, both in a multilateral and bilateral context. Especially, Fratzscher and Imbs (2009) show theoretically that financial assets with large transaction costs are associated with little international risk sharing, and offer empirical evidence in support that the bulk of risk sharing is related to investment in equities and bonds (lower transaction costs), but not to foreign direct investment or international bank loans (higher transaction costs).[3]

In contrast to financial globalization/openness, this project contributes to the existing literature by considering the roles of three additional aspects of the financial institutions andmarkets. Firstly, we assess the role of financial sector outreach in international consumption risk sharing across the world. Among which, we are mostly interested in knowing if the extent of financial sector outreach (banking access), as discussed in Beck et al. (2007, 2008), is related to the degree of international consumption risk sharing. In particular, they use data on the number of branches and ATMs per capita and per square kilometer to capture the penetration of the banking system, and interpret higher branch and ATM intensity as indicative of better access to the use of financial services by households and enterprises. Moreover, they also consider measures on the number of loan and deposit accounts per capita and on the average loan and deposit sizes relative to GDP per capita, and interpret a larger number of loan and deposit accounts per capita and smaller average loan and deposit amounts relative to GDP per capita as indicating the (actual) use of deposit and credit services by a greater share of the population and by

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[3] Hoffmann and Shcherakova-Stewen (2011) find that the consumption risk sharing among U.S. states appears to be higher in booms and lower in recessions. As in Demyanyk et al. (2007), who find that interstate income smoothing increases by approximately 15 percent on average after bank deregulation, Hoffmann and Shcherakova- Stewen (2011) show that banking deregulation enhances consumption risk sharing over the business cycle through improving the ability of small businesses to obtain credit (or, alleviating the financial friction/constratints facing the small businesses).

smaller clients.[4] Data show that barriers to access and use of banking services vary a lot around the world, and theories suggest that lacks of access to (and barriers to use) financial services are commonly the key mechanism for generating persistent income inequality, poverty and slower economic growth, e.g., Honohan (2008) and Beck et al. (2009). Recently, Beck et al. (2014) show that firms in countries with better credit information-sharing systems and higher branch penetration evade taxes to a lesser degree. Thus, we are interested in testing whether financial sector reforms that promote financial inclusion matter for the sharing of consumption risk over time and across countries.

Secondly, we explore whether the development of insurance sector is beneficial for the international risk sharing and consumption smoothing. To date, there are plenty of studies documenting that the advance of financial institutions and markets is strongly associated with higher economic growth, lower growth volatility, and more equal distribution of income, e.g., Levine et al. (2000), Raddatz (2006), and Beck et al. (2007), to name a few. Conceptually, financial development, by alleviating the financial constraints facing individuals and firms, should result in favorable risk sharing across business cycles. Likewise, there are empirical works investigating if better development of banking systems and stock markets is connected to higher level of risk sharing, e.g., Schmitz (2010, 2013). Similarly, it is also argued that "a sound national insurance and reinsurance market is an essential characteristic of economic growth".[5] The recent contributions such as Arena (2008), Lee (2013), and Lee et al. (2013) confirms the aforementioned view that there is a strong and positive insurance-growth nexus. Due to its particular and important role in risk management (identify, measure, manage risk), the insurance markets serve as providers of risk transfer and indemnification, and help handle non-diversifiable risk more efficiently, e.g., Brainard (2008). As such, we will explore whether the development of insurance markets plays any discernible role in the degree of international risk sharing.

Thirdly, we will investigate the relative merits of financial structure on the extent of international risk sharing. While there are plenty of empirical evidences in supporting the view that developments of banking system as well as stock markets enhance economic

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[4] Note that Beck et al. (2007, 2008) distinguish between the access to and the actual use of financial services.

[5] As in Outreville (2013), the quote is acknowledged at its first session of the United Nations Conference on Trade and Development (UNCTAD) in 1964. Moreover, in 2010, insurance companies across the world write US$4,340 billion in direct premiums, which are equivalent to (approximately) 7 percent of global GDP used to purchase insurance products.

growth in general, there exist two contrasting (theoretical) views regarding the relative benefits of banks and stock markets in fostering economic growth. The proponents of bank-based financial systems contend that banking systems are better at boosting economic performance through their comparative skills in producing information and improving capital allocation and corporate governance, ameliorating risk and enhancing investment efficiency, and mobilizing capital to take advantage of economies of scale, e.g., Levine (2002, p. 399). On the contrary, the supporters of market-oriented financial systems emphasize the growth-enhancing role of well-functioning stock markets by raising higher motive to research firms as it is much easier to profit from this information in a large, liquid market, encouraging better corporate governance, and facilitating more efficient risk management, e.g., Levine (2002, p. 400). Empirically, most existing studies offer convincing evidence in support that neither bank-based view nor market-based view is supported by the data, e.g., Beck and Levine (2002), Levine (2002), Demirg¨u¸c-Kunt and Maksimovic (2002), and Ndikumana (2005).[6] Thus, given its importance in the literature, we proceed to investigate whether international risk sharing is better achieved, if any, in a bank-oriented or market-oriented country.

This paper is organized as follows. Section 2 reviews the empirical specification. Section 3 describes the data sources. Section 4 presents our main findings along with additional checks of robustness. Section 5 concludes.

Empirical Models

There are alternative empirical frameworks for testing the hypothesis of international risk sharing. Following Lewis (1996), Baxter (2012), and Fuleky et al. (2014), our main specification for testing the hypothesis of consumption risk sharing can be implemented by running the following (level) regression:

$$lnc_{it} - lnc_t^w = \alpha_i + \beta(lny_{it} - lny_t^w) + \epsilon_{it}$$

(1)

where α_i is a country-specific (fixed) effect, c_{it} (y_{it}) denotes a measure of

consumption (GDP) per capita for country i in year t, and $c_t^w(y_t^w)$ represents the

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[6] However, Tadesse (2002), Luintel et al. (2008), and Yeh et al. (2013) show that financial structure matters for economic performance.

aggregate (world) consumption (GDP) per capita in year t, respectively. In contrast, Asdrubali et al. (1996), Sørensen et al. (2007), and Kose et al. (2009) consider the following (differenced) specification for assessing consumption risk sharing:

$$\Delta \ln c_{it} - \Delta \ln c_t^w = \alpha_i + \beta(\Delta lny_{it} - \Delta lny_t^w) + \epsilon_{it}$$ (2)

where $\Delta \ln c_{it} = ln - lnc_{i,t-1}$, and the other terms are defined analogously. In this framework, the consumption and income indicators entering the regression as per capita consumption growth and per capita GDP growth, respectively.

For both empirical frameworks, the aggregate component of each variable is subtracted from the corresponding country's variable since the aggregate fluctuations can not be eliminated by risk sharing, As a result, the difference between the country's and aggregate component of each variable represents the idiosyncratic (country-specific) fluctuations in that variable. The null hypothesis of (perfect) consumption risk sharing test is β = 0, where β captures the average degree of synchronization between countries' idiosyncratic consumption growth and GDP growth during the sample period. The smaller the co-movement, the more consumption is buffered against GDP fluctuations. Thus, β can be regarded as the degree of the departure from perfect risk sharing. In fact, as suggested by Asdrubali et al. (1996), the scalar 1 − β can be used to assess the extent of consumption risk sharing over the time-period examined. Given a panel data set across countries and over time, standard fixed-effect (FE) and/or random-effect (RE) estimators can be implemented to estimate/test the main coefficient of nterest β.

In order to explore whether financial sector outreach plays any significant role in determining the degree of risk sharing, we extend equation (1) to include an interaction term between the idiosyncratic component of GDP, i.e., ln $y_{it} - y_t^w$, and an indicator of banking access (denoted by 'accessit'). That is, we actually estimate the following regression using panel data:

$$lnc_{it} - lnc_t^w = \alpha_i + \beta(lny_{it} - lny_t^w) + K[access_{it} \times (lny_{it} - lny_t^w)] + \epsilon_{it}$$ (3)

Clearly, the extent of risk sharing is a function of banking access:

$$\frac{\partial(lnc_{it} - lnc_t^w)}{\partial(lny_{it} - lny_t^w)} = \beta + K \times access_{it}$$

When the estimated coefficient of the interaction term K is (significantly) negative, it would offer strong evidence in favor of the hypothesis that greater banking access is associated with higher degree of risk sharing achieved by an economy. In the same spirit of Asdrubali et al. (1996), one can use $(1 - \beta - \kappa \times access_{it})$ to measure the average amount of consumption risk sharing obtained by country i during the time-period t.

In addition to the standard fixed-effect and random-effect estimators, we also check whether our main results are sensitive to the following situations. (i) We allow for the presence of serially correlated errors (of first-order) in equation (1), i.e., $\epsilon_{it} = \rho\epsilon_{i,t-1} + v_{it}$ (ii) We also consider the (potential) endogeneity of the right-hand side explanatory variables, and use their lagged terms as instrumental variables to re-estimate the model. (iii) We check whether our results are driven by the outliers. In particular, we employ two distinct approaches. The first one is the robust regression of Hamilton (1991), and the other one is the fixed-effect quantile (median) regression approach of Canay (2011). (iv) Instead of using the interaction term as in (1), we verify the results using a finite mixture (endogenous switching) model to assess the effect of banking access on the extent of risk sharing.[7]

Data Sources

The key consumption and output (income) data are taken from the World Development Indicators (WDI), World Bank. In particular, we consider the private consumption (household final consumption expenditure), and the public consumption (general government final consumption expenditure). Moreover, the output/income variable is the gross domestic product (GDP). In later analysis, both consumption and output variables are in per capita form.

Following Beck et al. (2007), our first set of interaction variables seeks to measure the extent of financial (banking) sector outreach across countries and over time. More specifically, it includes: (i) commercial bank branches per 1000 per square kilometer ('Branches I'), (ii) commercial bank branches per 100,000 adults ('Branches II'), (iii) automated teller machines per 1,000 per square kilometer ('ATMs I'), (iv) automated teller machines per 100,000 adults ('ATMs II'). Note that these four indicators measure

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[7] Please see Hovakimian and Titman (2006) for an application of the endogenous switching regression to examine the importance of financial constraints for firms' investment.

the degree of financial sector outreach in terms of access to banks' physical outlets. Particularly, the indicators of branches/ATMs per square kilometer and per 100,000 adults help characterize the geographic and demographic penetration of the banking sector, respectively. Higher geographic (demographic) penetration would thus indicate smaller distance (fewer potential clients per branch or ATM), therefore easier access. In addition, it also contains: (v) number of loan accounts with commercial banks per 1,000 adults ('Borrowers'), and (vi) number of deposit accounts with commercial banks per 1,000 adults ('Depositors'). These last two indices measure the use of, rather than the access to, banking services. Generally speaking, it would be expected that a larger number of loans and deposits per capita indicates higher use of banking services. Table A1 provides a list of countries under investigation along with average values of these six banking access indicators for each country, whenever available. Table A2 offers summary statistics and pairwise correlations for these six variables. Note that the correlations are all positive and statistically significant at 1% level.

The second set of interaction variables intends to measure the development of insurance sector. Following Beck et al. (2010), we rely mainly upon two alternative indicators to stand for the size (development) of the insurance sector. The first index is life insurance penetration ('InsLife', proxied by the ratio of life insurance premiums to GDP), and the second one is nonlife insurance penetration ('InsNonlife', proxied by the ratio of nonlife insurance premiums to GDP). These two indicators gauge total premium revenue in life and nonlife insurance business lines relative to economic activity. Since the premium volume is the quantity of insurance coverage times its price, higher volumes thus indicate a deeper insurance market.[8]

The third/last set of interaction variables aims to measure the extent of financial structure, i.e., bank-oriented or market-oriented. Following Levine (2002), three distinct aggregate ndicators of financial system structure are considered. (i) The first one is a measure of the activity of stock markets relative to that of banks, i.e., 'FSA', which is defined as the logarithm of the total value traded ratio (the value of domestic equities traded on domestic exchanges divided by GDP) divided by the private credit ratio (the claims on the private sector by deposit money banks divided by GDP). (ii) The second one is an indicator of the size of stock markets comparable to that of banks, i.e., 'FSS', which is defined as the logarithm of the market capitalization ratio (the ratio of listed shares to

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[8] Instead, however, higher volumes may also represent less competition or efficiency.

GDP) divided by the private credit ratio. (iii) The third one is an index of the efficiency of stock markets relative to that of banks, i.e., 'FSE', which is defined as the logarithm of the total value traded ratio times overhead costs. Accordingly, higher values of 'FSA', 'FSS', and 'FSE' indicate a country is more market-oriented. All the sets of interaction variables are taken from the WDI, World Bank.

Empirical Results

In this section, we first present our key results using the fixed-effect estimator. We first use the private consumption data as our main consumption measure, and equation (1) as our primary empirical specification (Table 1). In addition, we restrict our sample to those countries with population more than 1 million to ensure our results are not driven by the 'small' countries (Table 2). Besides, we re-estimate the model with data on total consumption which is the sum of private and government consumption (Table 3). Further, instead of the level regression in (1), the differenced version in (2) is also estimated (Table 4). Moreover, we take into account the serially correlated errors (Table 5), the problem of endogeneity (Table 6), the possibility of outliers (Tables 7 and 8).

Table 1 displays outcomes for consumption risk sharing as a function of financial sector outreach for the whole sample. We focus on six banking access measures such as 'Branches I','Branches II', 'ATMs I', 'ATMs II', 'Borrowers', and 'Depositors', and experiment with each of these six measures in turn in our empirical analysis as the interaction term. It can be found that all the coefficients on output variable are significantly positive at 1% level across alternative specifications. More importantly, all the estimates on the interaction terms appear to be negative and statistically significant at 1% level across different measures of banking access. Thus, the evidences strongly indicate that the higher the access to and use of banking services in a country, the more the risk sharing within the country, and this main finding is robust to a variety of banking sector outreach indicators. The point estimates on the interaction terms are also economically meaningful. Taking the 'Branches I' index (in logarithmic form) for example,the coefficient is −0.052 which implies that a country increases commercial bank branches per 1000 per square kilometer by 1% will increase consumption risk sharing by about 5.2%. Similar explanations apply for other indicators.

In order to check our results are driven by the presence of small countries, we exclude the economies with population less than one million. Table 2 presents the restricted sample

outcomes. Clearly, the coefficient estimates on output and interaction terms remain virtually unchanged either in a qualitative and/or a quantitative manner. Accordingly, the extra results suggest that our main finding is unlikely to be driven by the inclusion of small economies. In addition, while we use the private consumption as our key indicator (for dependent variable) in Table 1 (and other Tables as well), we also consider the total consumption, i.e., the sum of private and government consumption, to see if our outcomes would change in a substantial way. Table 3 examines this possibility. We continue to find that all the coefficients on the interaction terms are negative in nature and statistically significant at 1% level. As such, it can be concluded that our results are insensitive to the use of alternative measures of consumption. Next, we turn to the differenced version of the empirical specification in equation (2). The results are outlined in Table 4. Overall, we can observe that the coefficients on the interaction terms remain negative as expected and statistically significant at 1% level across alternative banking access measures, supporting the hypothesis that better outreach of financial sector is associated with higher degree of risk sharing across countries and over time.

Since panel data contains both dimensions of cross section and time series. The possible presence of autocorrelated errors in the time-series dimension may invalidate our estimation/testing results and lead to inappropriate, if not incorrect, conclusion. Thus, we re-estimate the model in equation (1) by allowing for (first-order) serial correlation in the error term and report the outcomes in Table 5. It is found that all the estimated parameters on the interactive terms continue to be negative. Except for the 'Branches I' case, coefficients on the other interaction terms are statistically significant at 1−5% level. In addition to the problem of serial correlation, another econometric problem of endogeneity might emerge as consumption and output are likely to be jointly determined, or both caused by a third (worldwide) factor such as financial crisis. In this respect, the conventional fixed-effect estimator is neither unbiased nor consistent. As such, we rely upon the instrumental variable (IV) approach using internal instruments (lagged output and lagged interaction terms) to provide consistent estimates. Table 6 introduces the results. Again, the results are encouraging in that all interaction terms have the expected negative sign and most of them are significant at 1−5% level. In short, the view that better financial sector outreach leads to an improvement in risk sharing survives the problems of serially correlated errors and endogeneity.

Moreover, we check whether our main findings are robust the (possible) presence of outliers by two alternative methods. The first method is the robust regression approach,

and implemented by the Stata command 'rreg'. Basically, the algorithm begins by fitting the regression, calculating Cook's D, and excluding any observation for which D is larger than 1. Then, it performs a regression, calculates case weights from absolute residuals, and regresses again using those weights. Table 7 offers the robust estimation outcomes for equation (1). It can be seen that they are largely similar to the fixed-effect results (Table 1). The coefficients on the interaction terms remain negative and continue to be significant at 1% level. The second method is the recent fixed-effect quantile estimator of Canay (2011). In particular, Table 8 reports the results of the median (50% percentile) regression which is known to be robust to the presence of outliers. Similarly, despite the magnitudes (in absolute values) are generally smaller than those benchmark estimates in Table 1, all the estimated interaction coefficients have the expected negative sign and are highly significant at 1% level. As a whole, our findings of the beneficial risk-sharing effects of banking sector outreach are insensitive to outliers.

Conclusion

This paper investigates the potential benefits of access to and use of financial services, i.e., financial sector outreach, for the patterns of consumption risk sharing across a large panel of countries using a variety of empirical specifications and estimation approaches. By using the most comprehensive data on alternative indicators of banking sector outreach, the empirical results strongly indicate that greater access to and use of financial services is helpful in sharing consumption risk within a country, and the risk-sharing effects are most pronounced in the middle-income economies. The key finding is robust to a variety of checks, including restricted sample, different consumption measures, distinct empirical specification and model, serial correlation, endogeneity, and outliers. However, no significant evidence is detected for the development of insurance sector and financial system structure in determining the degree of consumption risk sharing.

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Table 1: Main Result

	(1)	(2)	(3)	(4)	(5)	(6)
Output	0.996***	1.008***	0.905***	0.900***	1.021***	1.183***
	(0.047)	(0.050)	(0.050)	(0.046)	(0.101)	(0.090)
Output × Branches I	-0.052***					
	(0.011)					
Output × Branches II		-0.058***				
		(0.010)				
Output × ATMs I			-0.034***			
			(0.008)			
Output × ATMs II				-0.020***		
				(0.006)		
Output × Borrowers					-0.028***	
					(0.010)	
Output × Depositors						-0.038***
						(0.007)
Constant	-0.299***	-0.298***	-0.290***	-0.312***	-0.507***	-0.524***
	(0.012)	(0.013)	(0.011)	(0.010)	(0.059)	(0.059)
Countries	146	153	137	145	79	78
Observations	915	1058	835	972	495	441

† The dependent variable is consumption which is measured as $[\ln c_{it} - \ln(c_t^w)]$, and the main explanatory variable is output which is calculated as $[\ln(y_{it}) - \ln(y_t^w)]$. Branches I (II) is the bank branches per 1000 sq km (per 100,000 adults), and ATMs I (II) is the automated teller machines per 1000 sq km (per 100,000 adults), respectively. Borrowers and Depositors denote borrowers and depositors from commercial banks per 1,000 adults, respectively. Standard errors are in parentheses.***and** indicate significant at 1% and 5% level, respectively.

Table 2: Restricted Sample

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.008***	1.032***	0.931***	0.940***	1.033***	1.199***
	(0.047)	(0.051)	(0.052)	(0.049)	(0.099)	(0.087)
Output × Branches I	−0.050***					
	(0.010)					
Output × Branches II		−0.056***				
		(0.010)				
Output × ATMs I			−0.037***			
			(0.008)			
Output × ATMs II				−0.018***		
				(0.008)		
Output × Borrowers					−0.026***	
					(0.009)	
Output × Depositors						−0.037***
						(0.007)
Constant	−0.310***	−0.301***	−0.298***	−0.315***	−0.484***	−0.498***
	(0.014)	(0.016)	(0.013)	(0.013)	(0.062)	(0.061)
Countries	124	130	115	121	73	72
Observations	839	969	758	881	475	421

† Same as Table 1 except that the sample is now restricted to countries with population larger than 1 million.

Table 3: Alternative Consumption Measure

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.077***	1.101***	1.037***	1.030***	1.039***	1.162***
	(0.029)	(0.032)	(0.030)	(0.029)	(0.043)	(0.050)
Output × Branches I	-0.042***					
	(0.009)					
Output × Branches II		-0.064***				
		(0.009)				
Output × ATMs I			-0.031***			
			(0.006)			
Output × ATMs II				-0.044***		
				(0.005)		
Output × Borrowers					-0.038***	
					(0.007)	
Output × Depositors						-0.034***
						(0.006)
Constant	-0.350***	-0.352***	-0.336***	-0.332***	-0.543***	-0.594***
	(0.046)	(0.044)	(0.048)	(0.046)	(0.060)	(0.060)
Observations	915	1058	835	972	495	441

† The dependent variable is consumption which is measured as $[\ln c_{it} - \ln(c_t^w)]$, and the main explanatory variable is output which is calculated as $[\ln(y_{it}) - \ln(y_t^w)]$. Branches I (II) is the bank branches per 1000 sq km (per 100,000 adults), and ATMs I (II) is the automated teller machines per 1000 sq km (per 100,000 adults), respectively. Borrowers and Depositors denote borrowers and depositors from commercial banks per 1,000 adults, respectively. Standard errors are in parentheses. ***and ** indicate significant at 1% and 5% level, respectively.

Table 4: Alternative Specification

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.517***	1.528***	1.556***	1.665***	2.182***	1.858***
	(0.135)	(0.196)	(0.141)	(0.157)	(0.326)	(0.412)
Output × Branches I	-0.204***					
	(0.058)					
Output × Branches II		-0.211***				
		(0.072)				
Output × ATMs I			-0.163***			
			(0.047)			
Output × ATMs II				-0.209***		
				(0.046)		
Output × Borrowers					-0.281***	
					(0.075)	
Output × Depositors						-0.128***
						(0.069)
Constant	-0.014***	-0.015***	-0.013***	-0.012***	-0.011***	-0.017***
	(0.002)	(0.016)	(0.002)	(0.002)	(0.004)	(0.003)
Observations	889	1031	814	950	485	428

† Same as Table 1 except that the dependent variable (consumption) is now measured as

$[\Delta \ln c_{it} - \Delta \ln(c_t^w)]$, and the main explanatory variable (output) is similarly calculated

as $[\Delta \ln y_{it} - \Delta \ln(y_t^w)]$

Table 5: Autoregressive Errors

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.077***	1.088***	1.083***	1.086***	1.059***	1.111***
	(0.031)	(0.034)	(0.031)	(0.030)	(0.045)	(0.056)
Output × Branches I	−0.014					
	(0.010)					
Output × Branches II		−0.024**				
		(0.011)				
Output × ATMs I			−0.015**			
			(0.008)			
Output × ATMs II				−0.026***		
				(0.007)		
Output × Borrowers					−0.029***	
					(0.008)	
Output × Depositors						−0.025***
						(0.008)
Constant	−0.360***	−0.363***	−0.342***	−0.335***	−0.555***	−0.603***
	(0.041)	(0.038)	(0.042)	(0.038)	(0.055)	(0.057)
Observations	915	1058	835	972	495	441

† The dependent variable is idiosyncratic consumption which is measured as $[\ln c_{it} - \ln(c_{wt})]$, and the main explanatory variable is output which is calculated as $[\ln(y_{it}) - \ln(y_{wt})]$. BranchesI (II) is the bank branches per 1000 sq km (per 100,000 adults), and ATMs I (II) is the automated teller machines per 1000 sq km (per 100,000 adults), respectively. Borrowers and Depositors denote borrowers and depositors from commercial banks per 1,000 adults, respectively. Standard errors are in parentheses. ***and ** indicate significant at 1% and 5% level, respectively.

Table 6: Endogeneity Test

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.033***	1.054***	0.936***	0.926***	1.009***	1.111***
	(0.054)	(0.055)	(0.057)	(0.053)	(0.136)	(0.056)
Output × Branches I	−0.056***					
	(0.012)					
Output × Branches II		−0.065***				
		(0.011)				
Output × ATMs I			−0.026***			
			(0.009)			
Output × ATMs II				−0.019***		
				(0.007)		
Output × Borrowers					−0.019	
					(0.012)	
Output × Depositors						−0.039***
						(0.008)
Constant	−0.233*	−0.339***	−0.860***	−0.899***	−0.278	−0.114
	(0.131)	(0.131)	(0.094)	(0.084)	(0.305)	(0.247)
Observations	795	932	715	845	255	370

† Same as Table 1 except that we include the lagged term of dependent variable (consumption) in the model to allow for dynamics. In addition, we also permit the explanatory variables (output and the interaction terms) to be endogenous. Estimation of the resulting dynamic panel data model is carried out by the generalized method of moments (GMM). Standard errors (p-values) are in parentheses (brackets). ***and ** indicate significant at 1% and 5% level, respectively.

Table 7: Robust Regression Results

	(1)	(2)	(3)	(4)	(5)	(6)
Output	0.994***	1.025***	0.881***	0.947***	1.138***	1.196***
	(0.030)	(0.029)	(0.030)	(0.028)	(0.044)	(0.048)
Output × Branches I	−0.059***					
	(0.007)					
Output × Branches II		−0.068***				
		(0.006)				
Output × ATMs I			−0.044***			
			(0.005)			
Output × ATMs II				−0.047***		
				(0.004)		
Output × Borrowers					−0.027***	
					(0.004)	
Output × Depositors						−0.022***
						(0.004)
Constant	−0.233*	−0.339***	−0.860***	−0.899***	−0.278	−0.114
	(0.131)	(0.131)	(0.094)	(0.084)	(0.305)	(0.247)
Observations	908	1055	829	954	492	437

† Same as Table 1 except that estimation results are obtained using Hamilton's (1991) robust approach. Standard errors are in parentheses. *** and ** indicate significant at 1% and 5% level, respectively.

Table 8: Fixed-Effect Quantile Regression Results

	(1)	(2)	(3)	(4)	(5)	(6)
Output	1.078***	1.100***	1.032***	1.032***	1.007***	1.147***
	(0.003)	(0.029)	(0.003)	(0.003)	(0.006)	(0.008)
Output × Branches I	−0.033***					
	(0.001)					
Output × Branches II		−0.047***				
		(0.002)				
Output × ATMs I			−0.019***			
			(0.001)			
Output × ATMs II				−0.016***		
				(0.001)		
Output × Borrowers					−0.023***	
					(0.002)	
Output × Depositors						−0.037***
						(0.001)
Constant	−0.334*	−0.334***	−0.329***	−0.337***	−0.546	−0.577***
	(0.002)	(0.003)	(0.003)	(0.003)	(0.004)	(0.003)
Observations	915	1058	835	972	495	441

† Same as Table 1 except that estimation results are obtained using Canay's (2011) fixedeffect quantile regression approach. Standard errors are in parentheses. *** and ** indicate significant at 1% and 5% level, respectively.

The Unequal Alliance: Explaining the Low Number of Military Coups in Communist States

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Abstract
Why are military coups a rare occurrence in communist countries, despite the fact that democratic, and authoritarian regimes in the developing world have repeatedly demonstrated serious vulnerability to such way of seizing power? Although there is an abundance of scholarly works that concentrated on explaining the nature of military coups, none have delivered a comprehensive analysis of the phenomenon identified above. This paper provides a broader examination of military coups by way of case studies, as well as the creation of new datasets on civil-military relations in communist party-states utilizing both primary and secondary sources. I identify exceptional patterns in the command structure of communist armies that sets them apart from armed forces in other types of political regimes. Specifically, I argue military coups only occur in communist countries when the military leadership perceives the party leadership as impotent and incapable of handling a prolonged domestic crisis driven by the masses that threatens the very survival of the regime.

Keywords: military coup, communist regimes, authoritarian stability.

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Introduction

On 18 August 1991, a group of unexpected guests hurriedly arrived at Soviet President Mikhail Gorbachev's dacha at Cape Foros, Crimea. Sent by Gorbachev's opponents back in Moscow, members of the delegation urged the Soviet leader to take drastic measures and stabilize the crumbling political system. Their demands were clear; Gorbachev must support the declaration of a state of emergency for the whole country and relinquish all powers to the Soviet Vice President (Gorbachev, 1991, p. 20). The conversation ended after a heated exchange between the two parties, and the Moscow delegation left the dacha without getting what they wanted (Gorbachev, 1991, p. 21). The next day, troops under the direction of coup makers from the Soviet armed forces entered Moscow and secured strategic chokepoints. A *pronunciamiento* was released via state television blaming Gorbachev's liberal reforms for the political upheaval and economic downturn that devastated the Soviet Union. The coup makers, now collectively speaking to the public as the State Committee for the State of Emergency in the USSR, better known by its Russian acronym GKChP, were confident that the coup would succeed without any problems. But no one thought that just three days later, the coup would collapse swiftly as it came, making it the second and last military coup ever to occur in a communist state.

The Soviet coup of August 1991 was significant because no one expected such incident to strike at the heart of the Soviet Union, the world's one and only communist superpower. The Soviet military was always understood to be the loyal defender of the state, and the Communist Party of the Soviet Union, or CPSU. Although there were reports on tensions between Gorbachev and the generals (Gelman, 1990, pp. 93-96), a coup spearheaded by the military against the Soviet leader was at the time truly unthinkable because military coups were almost non-existent in established communist states. From 1950 to 2014, there were a total of 481 coups around the world, and only nine occurred in communist states (Author's own tabulations; Powell & Thyne, 2011, p. 255; Powell & Thyne, 2015). This begs the question, why do military coups seldom occur in communist states; despite other regime types have repeatedly fallen victim to such way of seizing power? In this paper, I argue the established relations between the communist party and the military should be characterized as an "unequal alliance" where both parties, bond by their mutual interest in preserving the Leninist single party-state system commit themselves to an alliance with the communist party at the commanding post. Therefore, as long as the communist party is in charge, and its leaders making decisions favorable towards sustaining the party-state system, chances of a military coup that removes the party leader from power is unlikely. In addition, I argue military coups only occur in communist countries when the military leadership perceives the party leadership as impotent and incapable of handling a prolonged domestic crisis driven by the masses that threatens the very survival of the regime.

Country	Coup Date
South Yemen	20 March, 1968
Mozambique	17 December, 1975
Ethiopia	3 February, 1977
Angola	27 May, 1977
South Yemen	26 June, 1978
Poland	13 December, 1981
Grenada	14 October, 1983
Afghanistan	7 March, 1990
Soviet Union	19 August, 1991

Figure 1. Coups that occurred communist states.
Sources: Author's own tabulations; Powell & Thyne, 2011, p. 255; Powell & Thyne, 2015; "Freedom in," 2015.

Literature Review

Although several authors have written extensively on the topic of military coups, none have directly and adequately addressed the question of why there are a low number of military coups in communist countries. Edward Luttwak (1979), in his magnum opus *Coup d'État: A Practical Handbook* briefly examined how the armed forces are controlled in "socialist" states and "people's republics" (p. 115). In *Seizing Power: The Strategic Logic of Military Coups*, Naunihal Singh, using the 1991 Soviet coup as a case study, concentrated more on the key factors determining the successful outcome of a coup. Other scholars like S.E. Finer and Amos Perlmutter explored the relations between the CPSU and the Soviet army but omitted from explaining the question posed above.

Nonetheless, the late Eric Nordlinger proposed a theory in an attempt to decipher how party-states control the armed forces. In *Soldiers in Politics: Military Coups and Governments*, he conceptualized the "penetration model" as a way of controlling the military that differs from the traditional model (where members of the civilian elites are also the military elites) and the liberal model (a professional military that obeys the orders of the civilian government). Nordlinger (1977) succinctly explains the penetration

model as "Civilian governors obtain loyalty and obedience by penetrating the armed forces with political ideas (if not fully developed ideologies) and political personnel" (p. 15). In other words, the penetration model assumes the civilian governor as the more powerful party in the relationship, as it emphasized on the civilian governor's ability to insinuate, and assert one's control of the military. According to Nordlinger (1977), the penetration model is most popular in communist regimes, where official ideology and the loyalty to the communist party have been incorporated and internalized as part of the art of soldiery (p. 17).

Indeed, "the penetration model is a powerful one for buttressing civilian control" (Nordlinger, 1977, p. 17). Moreover, history has attested to the penetration model's power in minimizing the numbers of military coups in communist countries. However, Nordlinger's model does have its flaws. He for one assumes that the penetration is a unidirectional matter where the party has most, if not all the initiative. Such assumption simply discounts the military's power to shape policy, and ignores the bidirectional exchanges, and the penetration of military influence into politics and society. Examples of this abound in the history of communist states. Despite having its ranks filled with political officers and secret agents from the internal security apparatus, the Soviet army seized opportunities to lobby (successfully on several occasions) and reduce the level of control imposed by the Party (Scott & Scott, 1984, pp. 258-266). After propelling the Chinese Communist Party (CCP) into power, the Chinese People's Liberation Army (PLA) played a significant role in both the political arena and society at large. National political campaigns were launched with the PLA at the forefront, and each generation of Chinese leader must win the PLA's loyalty if he wants to rule in a secure environment (Kamphausen, Lai, & Tanner, 2014, pp. 414, 418). This however does not only apply to the two communist titans of Soviet Union and China, smaller states like Vietnam and Yugoslavia also have a military force that has been quite active in politics (Herspring & Völgyes, 1978, pp. 186-194; Adelman, 1982, pp. 68-70). Therefore, I believe Nordlinger's penetration model is a great starting point in understanding civil-military relations in communist countries, but inadequate in illustrating the whole picture.
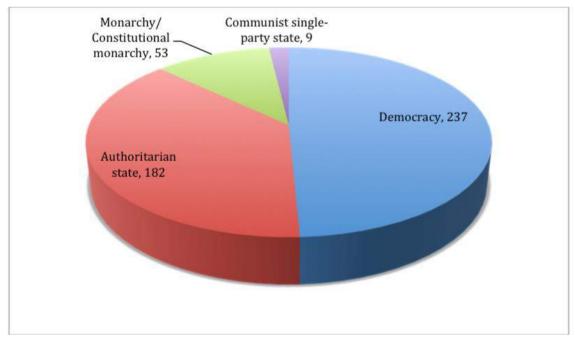
Figure 2. Total number of coups from 1950 to 2014, shown according to regime types.
Sources: Author's own tabulations; Powell & Thyne, 2011, p. 255; Powell & Thyne, 2015.

On the Unequal Alliance

Building upon William Odom's symbiosis model of party-military relations, the best way to understand civil-military relations in communist countries is seeing it through the lenses of a mutually beneficial, yet at the same time unequal alliance. While the communist party asserts its absolute control over the military using a combination of political officers, propaganda, purse strings, promotion, and privileges, the military maintains its autonomy to a certain degree and benefited immensely from safeguarding the party-state system. This is the foundation of the alliance. The demise of the party-state system means the end of this symbiotic relationship where the military has enormous leverage vis-à-vis the civilian government as the guarantor of party power and the strongest defense against foreign and domestic enemies. Therefore, it is natural that the military would opt to keep the party in power instead of forcing a regime change that could well lead to uncertainty. In fact, when surveying the history of communist states, one notice a distinct pattern in which the armed forces, designed to defend the country from hostile foreign forces, is also used to suppress internal uprisings that pose a threat to the state. This clearly shows some of the domestic priorities of a communist state, and its military's commitment to upholding the regime's security in a volatile environment. After all, most of the military's top generals are staunch party stalwarts.

However, the military gets concerned when the party leadership no longer demonstrates a similar degree of commitment to the party-state system, especially in a situation when subterranean popular discontent manifests into open street demonstrations that prolongs

into a political crisis. An alliance is strong when both sides honor its terms. When the leader of an alliance becomes a passive actor, it only encourages the other member of the alliance to act more dominantly and restore the strength of the alliance. A gradual fragmentation of the party-state system, combined with weak and feeble political leaders sends an ominous message to the disciplined military leadership fearful of disorder and a possible disintegration of their own *esprit de corp*. Therefore, it is common to see coups only happen in communist states when there is a major political crisis threatening the system that is staffed with conciliatory political leaders. In the following paragraphs, I would test my hypothesis using case studies of the Polish coup of 1981 and the Soviet coup of 1991.

Before delving into the two cases, I would like to first define the term military coup to differentiate it from similar events such as palace coup, revolution, political assassination, purge, and armed uprising. I define military coup as **an action or a series of actions initiated and led by members of a country's armed forces with the aim of ousting the current government in power and replacing it with a military junta**. Judging by this definition, what occurred in Poland on 13 December 1981 and in the Soviet Union on 19 August 1991 are military coups because the military acted independently and initiated a series of actions that eventually led to the downfall (in the Soviet case, a temporary removal) of the existing government, and the prompt formation of a junta led by high-ranking officers belonging to the armed forces.

On the contrary, the Soviet military's involvement in the overthrow of Lavrentiy Beria, the secret police chief who succeeded Stalin as the leader of the Soviet Union cannot be considered a military coup because of the military's secondary role and its lack of operational independence in delivering the coup de grâce that eliminated Beria as the head of the ruling coterie. In this particular case, Nikita Khrushchev was the chief plotter who orchestrated the entire affair, not the Soviet generals (Knight, 1995, pp. 198-199). Moreover, the arrest of Beria did not bring down the entire government. Therefore, this case may be considered a palace coup, instead of a military coup.

Similarly, the moment when Romanian armed forces turned against Nicolae Ceausescu is another instance where the label of military coup cannot be attached. The military's decision to side with the Romanian protesters cannot be understood independently if not placed in the proper context, that is the Romanian Revolution of 1989. The main driving forces of the Romanian Revolution were the protesters on the streets voicing their grievances against the Ceausescu regime. The military's change of heart was largely due to the magnitude of the demonstrations and the fleeing of Ceausescu and his ruling cabal from the capital (Siani-Davies, 2007, pp. 125-126). Although the defection of the military signified a decisive turning point in a continuum of events that brought the collapse of the Ceausescu dictatorship, the military's secondary role in leading the Revolution makes the classification of military coup a difficult one in this case.

Among the eight communist states that experienced coups, the Soviet Union, and the Polish People's Republic (PPR) are the most representative of the Leninist governing system since with the exception of the small island nation of Grenada, the other six

developing world states that adopted Marxism-Leninism as their guiding ideology or the title of "people's republic" never truly achieved stability to begin with, and were soon embroiled in drawn-out civil and foreign wars that prevented the consolidation of a Leninist government. That makes an analysis of why coups occurred in these countries especially difficult because too many factors besides the governing system are at play here. With that being said, what does the Polish and Soviet cases tell us about the proposed hypothesis? Does it support my claim that "military coups only occur in communist states when the military leadership perceives the party leadership as impotent and incapable of handling a prolonged domestic crisis driven by the masses that threatens the very survival of the regime?"

The Case of Poland

For most of modern Polish history, the military has been the most respected institution because of Poland's peculiar geopolitical situation. Caught between a resurgent Germany to the West and an imperialist Soviet Union to the East, the Polish military, although lacking behind Germany and Soviet Union in advanced technology and numerical superiority, still managed to serve as a deterrent against pressure from both sides. The liberation and subsequent subjugation of Poland towards the end of the Second World War fundamentally changed the role of the Polish military with regard to the state and society. No longer was the Polish military a guardian of national interests from foreign aggressors, it was restructured as a protector of the Soviet-backed Polish United Workers' Party (PUWP) from disgruntled classes of the Polish population (Mitchta, 1990, p. 46). The communist PPR, forced upon the Poles by their Soviet overlord never gained genuine public support. Mass uprisings plagued the PPR's existence. Poland, as a country of vital geopolitical value within the Soviet sphere, continued to be shaken by internal turmoil. Under the command of the PUWP, the Polish army was repeatedly used to quell domestic unrests.

The Polish military's alliance with the Party faced its first trial by fire during the Poznań riots of 1956 that saw resentful workers taking to the streets in demand of bread (Mitchta, 1990, p. 50). With the Party's orders, the military crushed the protests using brute force. In 1968, the military participated in the Warsaw Pact coalition that invaded Czechoslovakia before returning to the domestic battlefield to suppress another massive riot in 1970 (Mitchta, 1990, p. 68). The political settlement of the 1976 crisis averted another bloody military crackdown (Mitchta, 1990, p. 74), but the rise of Solidarity; an independent, nationwide trade union posed the greatest challenge to the PUWP. If the previous protests of 1956, 1970, and 1976 were less coordinated and limited in scale, the Solidarity strikes of late 1970s and early 1980s were highly disciplined and of profound national impact. In fact, when it came to signing-up new members, and mobilizing people to partake in street demonstrations, Solidarity outmatched the power of the PUWP by large margins (Kemp-Welch, 2008, p. 317). The grassroots power of Solidarity and its growing stature in Polish society made its demands hard to dismiss. In fact, Solidarity's overwhelming strength forced the party leadership into negotiations where it must prepare to make concessions to the workers' demand of better working condition and freedom of association. Fearful of losing control over the inflammable situation, the new

General Secretary of the PUWP, Stanisław Kania adopted a conciliatory stance vis-à-vis Solidarity and sought compromise (Paczkowski, Byrne, Domber, & Klotzbach, 2008, p. 245). But negotiations turned from weeks to months of deliberations. The Polish military, without the Party's directive, did not intervene and watched anxiously from the sidelines. Yet the crisis in Poland worried another party even more. Nervous that Poland's descent into near anarchy could trigger a domino effect in the Soviet bloc, the Kremlin leadership urged Kania to deal with Solidarity with an iron fist (Paczkowski, Byrne, Domber, & Klotzbach, 2008, p. 239). But when such pressuring came to nothing, the Soviets threw their weight behind General Wojciech Jaruzelski, the Prime Minister and Minister of National Defense in charge of the armed forces (Paczkowski, Byrne, Domber, & Klotzbach, 2008, pp. 392-394). A career army man respected by the Soviet leadership (Paczkowski, Byrne, Domber, & Klotzbach, 2008, p. 270), Jaruzelski was a dyed-in-the-wool communist and a true believer in the Polish-Soviet alliance (Mitchta, 1990, pp. 61-62). On 18 October 1981 Kania was forced out of his post as the General Secretary of the Party. Jaruzelski took over and immediately began preparing for the imposition of martial law to end the crisis. On 13 December, before the cameras of national television, Jaruzelski announced the imposition of martial law in his typical cool and calm demeanor. A junta was formed to tackle the crisis facing the nation. Staffed with twenty-one high-ranking military officers, the Military Council of National Salvation replaced the normal functions of the government (Jaruzelski, 1985, pp. 30, 34). A few days after, the clampdown on Solidarity began with mass arrests across the country (Mitchta, 1990, pp. 132-133). Poland entered into the era of stratocracy.

The Case of the Soviet Union

If the army of communist Poland had to be purged and remodeled along Soviet lines to make it a governing partner of the PUWP, then armed forces of the Soviet Union could trace its origin as the CPSU's confederate all the way back to the Russian Revolution of 1917. The Red Guards detachments, constituted primarily of armed factory workers, were indispensible in the Bolshevik's seizure of power on 7 November 1917 (Scott & Scott, 1984, pp. 2-3). The civil war that subsequently ensued made the Soviets realized the need for a professional army to face seasoned generals of the old Tsarist regime who commanded the opposing White Army. But the recruitment of officers, called "military specialist," became a source of concern for the Bolsheviks since most of these "specialists" received their education in Tsarist military academies, and fought for the Tsar during the First World War. Suspicious of their loyalty and commitment to the communist ideal, a system of control was instituted with the insertion of political commissars all the way down to the company level (Scott & Scott, 1984, p. 264).

Although the commissar's degree of authority fluctuated throughout history (from countersigning the corresponding military commander's orders during the Russian Civil War to mainly focusing on political education in the post-WWII period), it nevertheless remained a potent force in exerting party influence in the army until the implosion of the Soviet Union. Grouped under the command of the Main Political Administration (MPA), a department of the CPSU Central Committee, the main task of the commissar was to educate the soldiers on political matters, assess the unit commander's performance

according to specific political criteria, and identifying potential party members in addition to singling out political nonconformists (Brzezinski et al., 1954, pp. 9-11). Indeed, although the commissar's power declined as trust between the Party and the military began to cement with time, it still played a vital role in making sure that the entire army is staffed with politically reliable party faithful that will not conspire against the state.

To add another ring of protection against potential troublemakers, the KGB also has its agents planted within the military. The *osobyy otdel*, otherwise known as the OO was tasked with counterintelligence within the Soviet armed forces. Unlike the commissars, which may be considered as the visible eyes of the party given its presence among the Soviet soldiery, the OO was for the most time invisible and difficult to detect. Anyone could be an OO informant. In fact, not only the commanders, but also the commissars themselves had to conduct their daily routines under the watchful gaze of OO personnel (Brzezinski et al., 1954, pp. 54-70).

With such mechanisms in place, the Soviet military resembled in many ways the Soviet society where loyalty to the State was rewarded, and deviance from the officially sanctioned ideology was severely punished. Being a member of the Soviet armed forces carried many perks due to the amount of resources the army could access with ease. In a Spartan society like the Soviet Union, being an officer was a step closer to becoming a part of the elite that enjoyed a relatively comfortable lifestyle apart from the masses (Brzezinski et al., 1954, pp. 45-47). For most of its existence, the Soviet army exercised great influence on political decision-making. The Central Committee of the CPSU always reserved seats for the military top brass, and the Soviet high command's assessment was essential in formulating national policies (Gelman, 1990, p. 88).

But the alliance between the political leadership and the military leadership began to crack after Gorbachev came to power in 1985. Appalled by the rampant corruption in the military and determined to changed the thoroughly militarized Soviet economy, Gorbachev embarked upon a series of reforms – arms reduction, force reduction, and transferring the control of the MPA to the state, just to name a few – that challenged the military's core interests (Odom, 2000, pp. 131, 214-215, 273-280). The generals were not happy with those moves. Moreover, other national policies pushed by Gorbachev, such as Glasnost, *Demokratizatsiya*, and Perestroika deeply shook the Leninist understructure of the Soviet Union that penalized free speech, rejected liberal democracy, and championed command economy. The overhaul of the system opened up the Pandora's box that simultaneously unleashed the forces of economic thievery, demand for political change, and ethnic nationalism (McClellan, 2014, pp. 143-146). The semblance of stability, forcefully backed up by the Party-military alliance for more than six decades was shattered after Gorbachev came to power.

The Soviet Union was in a state of perpetual crisis in its last years. Massive changes in the country made benefactors of the old system uncomfortable and they feared the unintended consequences of Gorbachev's radical reforms. The Soviet President's decision to sign the Union Treaty, which stipulated a further decentralization of power

proved to be the last straw that broke the camel's back. On 18 August, coup plotters in the Russian capital decided to send a delegation to Cape Foros, Crimea to negotiate with the Soviet leader for a solution to the crisis. They demanded Gorbachev hand over his powers to the Vice President and support the declaration of a state of emergency. Gorbachev strongly rebuffed members of the delegation and was placed under house arrest. The next day, a *pronunciamiento* was issued on state television announcing a state of emergency had begun.

In interviews with the coup makers after its speedy termination, they all indicated that the main reason behind the coup was because of Gorbachev's bullheaded insistence on changing the Soviet society, in the process tanking the economy and creating instability that seriously threatened the survival of the regime (Bonnell, Cooper, & Freidin, 1994, pp. 56, 66). Even Yevgenii Shaposhnikov, the Commander of the Soviet Air Force who refused to join the coup admitted the common concerns that permeated the Soviet rank and file, "the [Soviet] Union was cracking, the armed forces were breaking apart and allying themselves with separate republics, and the economy was prey to chaos" (Bonnell, Cooper, & Freidin, 1994, p. 201). Others were even more critical and blunt when it comes to pointing out Gorbachev's errors. The Soviet Defense Minister Dimitrii Yazov, also the chief conspirator of the bungled coup d'état, confirmed that prior to the coup, private discussions were held among the Soviet top brass about the dire situation in the country, in particular "the disintegration of the Party, the economy, growing foreign debt, [and] impoverishment of the people" (Bonnell, Cooper, & Freidin, 1994, p. 57). The conclusion was that Gorbachev was to be blamed since "he had put distance between himself and the Party,… [and] he had betrayed the army" (Bonnell, Cooper, & Freidin, 1994, p. 57). The last point is specially telling given the close partnership the Party and the army had enjoyed as rulers of the Soviet Union, which finally came apart amid the moribund years of that country spent in permanent crisis.

Analysis of the Two Cases

When juxtaposed next to one another, the Polish coup of 1981 and the Soviet coup a decade later exhibit striking similarities with only minor differences. To begin, both countries' army enjoyed close relations with the ruling communist party. Although subordinated to the Party, the military's role as a keeper of communist power made it an indispensible ally of the government. The army therefore, fares quite well in this system, and luxuriates in an environment where political influence and access to precious resources was a privilege.

All began to change however, when a political crisis struck and the party leadership proved incapable of managing the situation. Specifically, Kania's indecision when it came to taking a tougher stance against Solidarity, and Gorbachev's liberal reforms that drew the ire of Soviet generals. Prolonged political crisis is, without a doubt bad news for any government, but such a development is especially troublesome in a communist state because it often involves indignant members of the underclass seeking not mere political reforms but the overhaul of the entire single party-state system. Inaction or propitiative actions by the political leadership during such dire straits worries the other half of the

alliance, i.e. the military, which holds the maintenance of stability as its number one priority. Thus, we see both coups occurring at a time when the Party is incapacitated, or seemingly unable to take any action to turn back the clock. When this happens, the military sees no other options but to take on the assertive role and mount a take over of the government to salvage the system from the edge of precipice.

Of course, there are differences between the Polish and Soviet cases. For one, the Polish colluders had to obtain Soviet support before executing the coup (Paczkowski, Byrne, Domber, & Klotzbach, 2008, pp. 473-474), while the Soviet generals had no need to request for any other party's permission (after all, the PPR was a Soviet satellite). Compared to the Soviet coup, which was conceived by senile bureaucrats, on some occasions in the midst of a drunken stupor (Bonnell, Cooper, & Freidin, 1994, pp. 58-59), the Polish coup was well planned ahead and carried out with precision. But since we are concerned more with the cause of the coups rather than the execution and outcome, these factors do not impact the validity of my hypothesis.

	Poland	Soviet Union
Duration of domestic crisis	July 1980 – December 1981 (>1 year).	c. 1986/1987 – 1991 (>4 years).
Crisis powered by the masses	Yes. Sustained nationwide strikes as a reaction to the government's decision to raise food prices.	Yes. Prolonged nationalist unrest as a reaction to liberal reforms under Soviet leader Mikhail Gorbachev.
Coup planned and executed by high-ranking military officers to restore stability	Yes.	Yes.

Figure 3. Comparing key characteristics of the Polish and Soviet coup.
Sources: MacEachin, 2000, p. 1; Beissinger, 2002, p. 73.

Concluding Remarks
Communist militaries, as guarantors of stability and established interests have similar interests with militaries of other regimes. The reason behind the low number of military coups in communist countries is that the party, as the leader of the unequal alliance, is for the most part keen on maintaining stability and has no qualms in terminating a crisis situation with force, an unsparing character that coincides with the character of the military. Since the party's supremo is also the leader of the state and government, a resolute, authoritative party chief deters the military from intervening via a coup. Vice versa, a weak and incapable leader unable to deal with forces trying to overturn the entire political system forces the military to take action and save the alliance. In summary, the

party and the military are both benefactors of the communist party-state system. Being opportunistic political entities, they will safeguard the system from collapsing as long as it still has some value to hold on to. And if the party is hesitant to take on this role, the military will gladly rise to the occasion.

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ASEAN Framework Agreement on Visa Exemption and Its Impact to the Rise of Transnational Crime in East Java Province, Indonesia[1]

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Abstract

The rise of regional power comes with its consequences. ASEAN as the only regionalism in South East Asia is widely known in promoting ASEAN *Community* as its main purpose with three main pillars i.e : economic community, political and security community and socio-cultural community. In order to support the idea about "integrated community" and accelerate the readiness of state member, especially in preparing the free flow of goods, labour and services, ASEAN launches the ASEAN *Framework Agreement on Visa Exemption.* At one point these ideas about accelerating and integrating ASEAN member especially through people-to-people connection seem perfect; however this scheme provide a new challenge to the security of ASEAN member states, especially the non-traditional threats, such as the transnational crimes. This article examines the impact of regionalism at the regional level to the rise of transnational crimes in the sub-national level. By using the implementation of the ASEAN *Framework Agreement on Visa Exemption* to the member states and its implication on the rise of transnational crime in East Java Province, Indonesia, this paper seeks to : (1) Examines the impact of regionalism at the regional level to the rise of transnational crimes in the sub-national level; (2) Identify the patterns of transnational crime at East Java Province, Indonesia following the implementation of ASEAN *Framework Agreement on Visa Exemption;* (3) To assess the relation between the free visa policy in Southeast Asia region and the rise of transnational crime in sub-national level, especially in East Java Province, Indonesia; and (4) By using the models on anticipating transnational organized crime this paper tries to give the policy recommendation about how to combating transnational organized crime.

Keyword : regionalism, transnational crime, ASEAN *Framework Agreement on Visa Exemption.*

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Overview: Regionalism in Southeast Asia

Regionalism trend in some regions in the world has demanded total adaption amongst its member states in order to attain common goals. In literal sense, regionalism concept originated from word 'region' that has the meaning of "Regional grouping that identified based on geographical proximity, culture, trade and mutually-benefited economic interdependence, communication and participation in international organizations". (Raymond F. Hopkins and Mansbach: 1973)

Referring to the description above, some understanding can be concluded that "region" terminology is the main basis for regionalism. Geographical proximity is the main requirement for regionalism emergence in a region, however it can't be denied that there are some other factors in the development, for example historical proximity, socio-cultural, and intra-region economic interdependence are the other factors influenced regionalism construction. European Union in Europe, African Union in Africa, Mercado Comun del Sur (Mercosur) in South America and Association of South East Asian Nation (ASEAN) in Southeast Asia are some regionalism examples that formed on the basis of geographical proximities.

Association of South East Asian Nations (ASEAN) is an example of regionalism in Southeast Asia. ASEAN was formed in spirit of common history and common fate and in the beginning was founded to create regional stability in Southeast Asia and increase economic development for the member states. To obtain these goals, it needed to create more intense cooperation schemes, one of them is forming ASEAN Community with 3 (three) main pillars, ASEAN Economic Community, ASEAN Security Community and ASEAN Socio-cultural Community, the main argument was to integrate Southeast Asian countries completely, politically, economically and socio-culturally and was planned to be fully realized in 2015.

In practice, all agreement schemes in the regional level were directed to support 3 pillars reinforcement on ASEAN Community. Started with preferential trade agreement signature in 1977, then ASEAN Free Trade Area (AFTA) in 1992, ASEAN Framework Agreement on Services (AFAS) in 1995 and ASEAN Investment Area (AIA) in 1998. All economic agreement schemes in Southeast Asia in the end would conclude with *ASEAN* Community formation. One of the most important schemes that regulated on AEC schemes are free movement of labor, goods and services, it means after AEC realization in 2015 free movement of labor, goods and services will be on a more massive scale in Southeast Asia region. To support this scheme, ASEAN initiated some acceleration mechanisms to ease the ins and outs of labor, goods and services, one of them is visa liberalization for citizens of the member states.

ASEAN Framework Agreement on Visa Exemption launched during The 39th ASEAN Ministerial Meeting July 25, 2006 in Kuala Lumpur is an important scheme made to support and accelerate intra-ASEAN and labor liberalization. In general, this scheme containing free visa regulation for 14 working days since entry date for ASEAN members' citizens traveling across Southeast Asia. ASEAN Framework Agreement on Visa Exemption is a continuation of the ASEAN Tourism Agreement signed on November 4, 2002 in Cambodia and the ASEAN Framework Agreement on

the Priority Sectors signed on 29 November 2004 that overall they're intended to support intra-ASEAN travel. (ASEAN Framework Agreement on Visa Exemption, 2006).

On the one hand ASEAN Framework Agreement on Visa Exemption scheme is seen as a major step in achieving the ideals of ASEAN integration as a whole, namely the integration of aspects of the political and security, economic and socio-cultural. Visa free regulation is considered to be the solution to the administrative barriers that make it difficult for citizens of ASEAN to travel within ASEAN. On the other hand, visa free regulations have also brought negative impact on the security of its member states, particularly when associated with the emergence of a new perspective of looking at the post-Cold War security where other forms of threats are no longer solely be seen as a traditional (military) yet now evolving towards non-traditional threats (non-military). This is reinforced by the growing threat of crime which are cross-border (transnational organized crime). Visa free policy can not be denied would also provoke an increasingly heavy flow of people in these countries so that the possibility of intra-ASEAN movement will be more massive threat of transnational organized crime are also more open not only at national level but also at the provincial level so the urgency to do the mapping of transnational organized crime is becoming increasingly strong. Several ASEAN member countries respond to this visa free policy by strengthening bilateral immigration relations. Among them are Visa Exemption Agreement between Thailand and Myanmar on a limited visa free between the two countries, signed in 2013, while in 2014 Indonesia and Myanmar also co-signed a similar agreement in order to facilitate the flow of tourists between the two countries (Handa: 2014). This fact becomes relevant because at the regional level talks on visa free regulations have evolved towards the establishment of the ASEAN Common Visa governing the imposition of ASEAN member countries' joint which applies for citizens outside ASEAN so that steps to strengthen the security of intra-ASEAN needs formulated.

Conceptual Framework : Transnational Crime

The growth and development of transnational crime (TC) is one serious issue that is now being faced by countries in various parts of the world. Although at first transnational crime is a normal criminal act, but in its development transnational crime has turned into national security threat as the implications of the increase in activity is likely to massive and the impact is "transnational". On the other hand the term "transnational crime" then undergoes expansion of the meaning of being "transnational organized crime" because in some cases the perpetrator is no longer an individual or individuals, but already has a neat organizational structure. Citing the United Nations Convention Against Transnational Organized Crime that transnational crime itself "has serious crime, structured and transnational effect" (United Nations Convention Against Transnational Organized Crime, 2004). Hence, the definition of transnational crime is then based on *"a group of three or more persons that was not randomly formed, existing in a period time, acting in concert with the aim of committing at least one crime punishable by at least four years incarceration, in order to obtain, directly or indirectly, a financial or other material benefit and transnational means not only offences committed in more than one state, but also those that take place in one state but are planned and controlled in another state."* (United Nation Convention Against Transnational Organized Crime, 2004).

The discussion about transnational crime indeed cannot be separated from the initial definition of transnational crime, because this is the definition that will be converging on our starting point when analyzing transnational crime, whether a transnational crime is then seen as an "ordinary criminal act" or as a "security issue". This initial mapping will have implications on how our perspective on transnational crime, model approaches used and the remedial action that can be used to anticipate transnational crime (Ralf Emmers, 2003). The UN itself divides transnational crime into eighteen categories: money laundering, terrorism, theft of art and culture, intellectual property theft, illegal arms trafficking, aircraft hijacking, pirates, cybercrime, drugss trafficking, environmental crime, trafficking of organs human beings, corruption, fraud and financial crimes. (Mueller, 1998). While on the transnational crime convention in the region as outlined in the ASEAN Plan of Action to Combat Transnational Crimes *(*ASEAN-PACTC) in 2002, the type of transnational crime in the sphere of ASEAN cooperation amounted to only 8, namely: illicit drugss trafficking, human trafficking, sea piracy, arms smuggling, money laundering, terrorism, international economic crime and cybercrime (ASEAN-PACTC, 2002).

The wider and more developed the definitions and categories of transnational crime combined with the development of globalization, advances in transportation, communication and financial system on the one hand and the phenomenon of human security on the other hand increasingly making transnational crime more dangerous when compared to ordinary criminal acts. In fact, by exploiting the lack of government control in several *"blind spot area"* such as borders, it is no doubt the effect of transnational crime is not only detrimental to the individual but also the country's sovereignty. For example, in 2009 more than 12 million people estimated as the victims of human trafficking. (Interpol, 2010). If this fact is compared with the growth of other types of transnational crime then we will get a very worrying trend.
Transnational crimes record can be traced since the 1920s in the United States, at that time new characteristics in the general criminal activity appeared, namely: the aggressive nature and scope of cross-border activity identified from the Cosa Nostra in New York. (Calcagni, 2010). Then in the mid-1970s, the United States government identified other new characteristics that criminal acts are not only pursue financial motive alone but also targeted political motives and ideology, on the other hand to handle this new criminal act would not only involve one country to overcome but require joint cooperation between two or more countries to cope.

For several decades later, along with the rapid advances in information technology, communications, and transportation systems provided a significant impact to the increased activity of transnational crime. Later in 1975 for the first time transnational crime became one of the topics discussed in the UN Assembly, although concrete steps of handling the new transnational crimes executed twenty years later with the launch of Palermo Conventions or the United Nations Convention Against Transnational Organized Crime (UNTOC) in 2000. The Palermo Convention contains a comprehensive definition on transnational crime, the crime characteristics are considered "unique" and has the effect of "transnational" as well as transnational crime action plan which was ratified by more than 150 member states in which it then implemented into the national law of each country.

Anticipation Model on Transnational Crime

The increasing trend of transnational crime from year to year in various parts of the world and is characterized by more varied methods of transnational crime requires integrated solution in long-term. There are several models of transnational crimes handling that have been implemented to reduce the spread and impact of transnational crime. Bruce G. Ohr in his journal, titled "Effective Methods to Combat Transnational Organized Crime in Criminal Justice Processes" noted the importance of the legal aspects in combating transnational crime. Reflecting on the experience of the United States in combating transnational crime Ohr offers several mechanisms to combat transnational crime, such as through: (1) The establishment of unit handling transnational crimes such as Organized Crime Strikes Force that perform the function of intelligence, recruiting informants, electronic surveillance to military operations; (2) Establishment and implementation of laws to ensure the eradication of transnational crimes through RICO (Racketeer Influenced and Corrupt Organizations Statute) legislation; and (3) Initiate cooperation at the international level through the signing of cooperation on MLATS (Mutual Legal Assistance Treaties) extradition and the deployment of US law enforcement agencies to other countries in the transfer of knowledge scheme (Ohr: 1999).

In line with the opinion of Ohr, Sheptycki, Jaffel and Bigo through his journal titled *International Organized Crime in the European Union* also saw the need for internal support in combating transnational crime. Using case studies combating transnational crime in Europe, Sheptycki et al offering OCTA method or Organized Crime Threat Assessment. Generally OCTA combines three levels of integration combating transnational crime at the level of legislation, the level of law enforcement and administrative level (Sheptycki et al: 2011). Sheptycki understands very well that one of the shortcomings combating transnational crime at the internal level is the lack of coordination between levels so with the strengthening in all three levels it is expected to combat transnational crime to the maximum.

Unlike Ohr and Sheptycki that emphasize on aspects of integrated handling, both internal and external sides, Jharna Chatterjee offers a different approach in combating transnational crime. In his article "The Changing Structure of Organized Crime Groups" Chatterjee explained that tackling transnational crime can not be generalized into one model. Chatterjee argument is motivated by the fact that the trend of transnational crime in the 21st century is no longer homogeneous, but heterogeneous. The data presented by Chatterjee shows that there is heterogeneity in the types of transnational crime in the various regions of the world. For an example, in African continent the emerging trends of transnational crime are drugsss trafficking and money laundering, in Latin America the trends are human trafficking and drugsss trafficking, while in Asia the trends of transnational crime are people smuggling, human trafficking and counterfeit goods (Chatterjee: 2005). Heterogeneity transnational crime trends in the end also have implications for the proper handling methods are deemed appropriate to combat transnational crime for each region. Therefore Chatterjee adopts alternative methods of combating transnational crime belong to Phil Williams and Roy Goodson based on the heterogeneity through five models, namely: (1) The first model-based political conditions; (2) The second model is based on economic conditions; (3) The third model is based on social conditions; (4) The fourth model is also known as The Risk Management Model; and (5) The
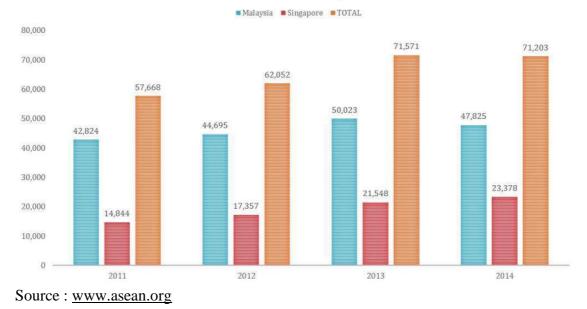
fifth model is Composite Model (William and Goodson: 2002). In the end though Chatterjee adopted Goodson's five models, but he also stressed the importance of synergy between policy makers, law enforcement and the public at internal level as well as the formation of a joint operation schemes at bilateral, regional and international levels to ensure the eradication of transnational crime on maximum and sustainable so that the potential emergence of transnational crime in the future can be reduced to the lowest level.

East Java Overview

In general, viewed from the types and spreading, there is heterogeneity of transnational crime in some regions of the world. As stated previously by Chatterjee that in Southeast Asia human trafficking, drugs trafficking, money laundering and people smuggling are the dominant emerging transnational crimes. While in Indonesia, the transnational crime variants that appeared dominant are illegal immigrants smuggling, drugs trafficking, illegal trade of wild animals, illegal timber smuggling, etc (UNODC: 2013). There is a significant increase in the trend of transnational crime which, if taken from the period of the year 2012 there were 24.502 reported cases of transnational crime to the authorities later increased to 34.513 cases in 2013 (Ananta: 2013).

Of all the provinces in Indonesia, East Java is a province with an area of 47157.72 km2 with an estimated population of 38,268,825 people per year in 2013 (Kemdagri: 2013). While the general crime rate recorded in East Java in 2013 almost reached 35,000 cases within the period of 2012 to 2013. The crime records in the statistics has also included transnational crime that occurred in East Java in that period. In general, transnational crime, as indicated in East Java, among others, human trafficking, people smuggling, drugsss trafficking and cybercrime.

Related to the implementation of the ASEAN Framework Agreement on Visa Agreement, there is increasing trend of the travelers, especially intra-ASEAN.

Source : www.asean.org

Amongst tourists from 9 other members of ASEAN, only Malaysian and Singaporean tourists have significant amount of contribution and have recorded in the statistics. From 2011 to 2014, the amount of tourists from the two countries is increasing following the ASEAN Framework on Visa Exemption in 2006
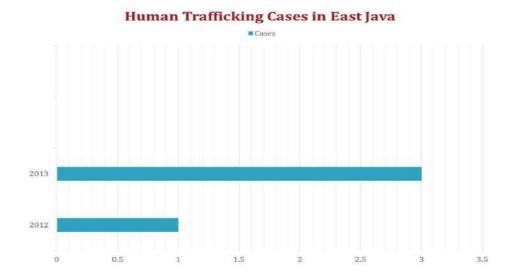
The patterns of transnational crime at East Java Province, Indonesia following the implementation of ASEAN Framework Agreement on Visa Exemption

After the implementation of the ASEAN Framework on Visa Agreement the number of transnational crime cases recorded by the East Java Regional Police tends to increase. This indicates that East Java is one of the provinces that is vulnerable to transnational crime compared to other provinces in Indonesia so the identification of transnational crime in the province of East Java become urgent thing to do, besides to get a comprehensive picture of the mapping of transnational crime in the province. These interventions also created to provide recommendations of what relevant parties need to do especially the government to anticipate spreading of transnational crimes.

First, cases involving human trafficking illegal workers. East Java is one of the largest contributors to migrant workers in Indonesia. A large number of migrant workers is also a source of vulnerability for their illegal workers. Problems commonly faced are incomplete document, falsification of documents, illegal recruitment agency, and mistreatment of migrant workers abroad. The second case is a people smuggling, the smuggling of human activity. Since Tony Abbott served as Australian Prime Minister, the country was no longer willing to accommodate illegal immigrants and asylum seekers, securing patrolling their territories of people smuggling. Therefore, people smuggling crime rate declined since 2013. Third, the case of drugs trafficking. Data from the Ditreskoba (Drugsss Division) East Java Regional Police shows drugsss trafficking trend is increasing every year. In addition, drugs trafficking actors vary, not only from Indonesia, but also from Africa, China, and ASEAN countries such as Malaysia, Singapore, and Thailand. The methods include the handling of police investigations that can be done to disguise as a buyer or a postal employee, arrest the perpetrators, and investigation.

Human Trafficking

According to the East Java Regional Police, one of the highest transnational crimes in East Java is human trafficking. High incidents of human trafficking in East Java region apart from weak oversight was also caused by the fact that East Java is one of the origin provinces with the highest amount of Indonesian Workers (TKI), therefore high mobility also implicates in the high incidence of human trafficking in East Java. Below is the data regarding illegal workers cases affiliated with trafficking in East Java:
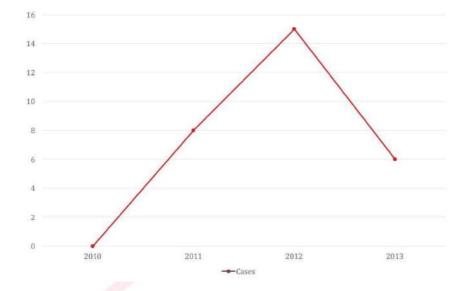
Human Trafficking Cases in East Java

Source : East Java Regional Police, August 29, 2014.

The above table is the quantity of the number of Illegal migrant workers (Human Trafficking) cases which is handled by the East Java Regional Police. The corresponding table, it can be seen that the trend of illegal migrant workers cases from 2012 to 2013 has increased with the details, there is one case in 2012 and in 2013 there were 3 cases with specification document forgery.
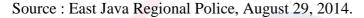
In handling cases of human trafficking or illegal migrant workers, East Java Regional Police perform investigations and cooperation with Indonesian representatices to handle such cases. In general it can be concluded that trafficking in East Java has increased. Neighboring countries such as Hong Kong and Malaysia are the main destinations for human trafficking. This is due to several districts in East Java are the pockets of Indonesian workers so that the mobility of people in East Java province is relatively high.The mechanism of handling such cases of human trafficking in East Java is generally carried out by the police who rely on the cooperation among law enforcement agencies and NGOs who focus on issues of migrant workers.

People Smuggling

A second transnational crime activity that has increased quite high in East Java province is people smuggling. People smuggling cases are popular among asylum seekers to neighboring countries, especially Australia. But the attitude of the Australian Government that firmly rejected these asylum seekers did not reduce the quantity of people smuggling crime. Here are the data on human trafficking in East Java province.

People Smuggling Cases in East Java

Source : East Java Regional Police, August 29, 2014.

The table shows the quantity, the number of cases of people smuggling handled by the East Java Regional Police. Based on the table, in 2010 the number of cases handled by the East Java Regional Police was nil. According to the East Java Regional Police, this is because the unit that handle the case was new, founded since 2011 so data for previous years does not exist. While in 2011, the number of people smuggling cases handled by the police were 8 cases.

For the year 2012, the number of people smuggling cases handled by the East Java Regional Police experience raising as many as 15 cases, with 13 cases are in process and 2 people reported in wanted list. Finally, in 2013, the number of cases decreased to 6 cases with 3 people and 3 other are in process status in the investigation. Broadly speaking, the perpetrators of people trafficking in these cases are foreign citizen who also double as a smuggler and Indonesian citizen who worked as driver. As for the victims mostly come from the Middle East-Africa region and countries in conflict such as Afghanistan, Iraq, Syria, Palestine, Somalia, Kuwait, Iran and one of the Southeast Asian countries namely Myanmar. As for detailed data on the list of suspects, victims and evidence can be found in the appendix.

According to the report compiled by the East Java Regional Police, there are some areas in East Java province that become vulnerability spots of people smuggling cases. The area in question covers Tuban, Madura, Pacitan, Trenggalek, Ngawi, Blitar, Malang and Banyuwangi. People smuggling committed by perpetrators of such cases is done through the land which can be divided into three lines, namely Java North Coast Line, Central pathways via Pacitan and Madiun Line.

Many areas in East Java that have contributed to the distribution of the human trafficking victims received serious attention from East Java Regional Police. To handle this, the East Java Regional Police have a mechanism for handling methods such as law enforcement. Based on data obtained from the People smuggling Unit in East Java Regional Police, the law enforcement are disclosure and investigation
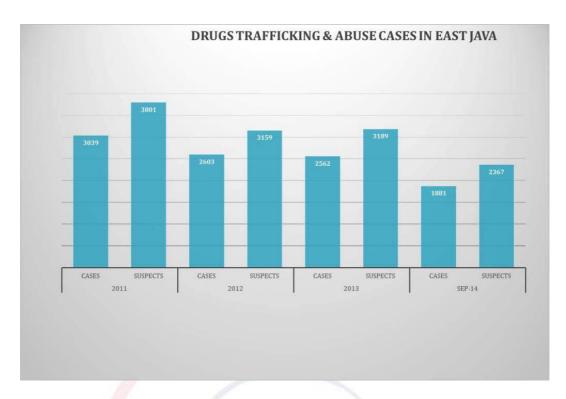
smuggling syndicate, prioritize foreign smugglers or actors, investigate with Extradition Act against immigrants who proved to be a smuggler in the country of destination as well as create database and link chart regarding regional smugglers syndicate.

It can be concluded from above explanation that in general the activity of people smuggling in East Java province experienced stagnation or decline. There are two main things that influence the decline of people smuggling activity in East Java province, the first is handling method performed by the East Java Regional Police based on syndicate disclosure and investigation, they are also supported by some extradition agreement schemes to destination countries of people smuggling. Secondly, on the external side there are fairly proactive policies by Australian government as smuggling's destination country from Indonesia that firmly rejected asylum seekers who, on average, enter Australia through smuggling. Both of these are proven to reduce people smuggling activities in the East Java province.

Drugs Trafficking

Based on data from the Action Plan for the Implementation of Regional Policy and Strategy of Prevention and Combating Drugss Abuse and Trafficking East Java Province Year 2011-2015, distribution of illicit drugss in the ASEAN region and surrounding countries showed significant progress. The spread of drugss abuse in Indonesia in 2008 amounted to 1.99% of the Indonesian population aged 10-59 years. In 2010 the percentage is expected to increase to 2:21% and in 2015 rose to 2.8%, equivalent to 5.1 to 5.6 million people. Based on research results BNN with Puslitkes UI in 2008, one in 20 students/college students in Indonesia have abused drugss.

The flight path between Surabaya - Jakarta included crowded lanes making it easier for the courier, transporting and drugss delivery from Jakarta to Surabaya. Where illicit drugss, shabu-shabu, ecstasy, Heroin, Amphetamine are from Jakarta. Drugss-related crime cases itself in East Java from year to year show increasing trend and the spreading is mostly affected Surabaya, as shown in the tables and data below.

Source : East Java Regional Police, August 29, 2014.

Indonesia is one of the most attractive markets for drugs traffickers because of its vast territory and population. East Java is one of the provinces as the main destination of drugs trafficking in Indonesia. Drugss in East Java will be sent to other areas. Drugs distribution in East Java is starting from Juanda Airport, Surabaya. Then the drugs mostly widely circulated in Surabaya, Madura, Jember, and Malang. In addition, the drugs in East Java will also also circulated to East Indonesia, such as Bali, NTT, NTB, Sulawesi, and Papua.

Drugs trafficking network in East Java comes from different countries, not only from ASEAN countries, but also from Africa, China, and the United Kingdom. Transnational drugs network is a powerful and neat network so it is difficult to track. Methods to circulate the drugs may vary, for example, form a relationship with Indonesian citizen. Then the offender can also pose as tourists or send the package to Indonesia. Most perpetrators are male. Based on the data and interviews results obtained by the authors, it can be concluded that 1) the drugs circulation in East Java is increasing every year, 2) drugs trafficking partially from ASEAN countries such as Malaysia, Singapore, and Thailand, 3) Indonesia, especially East Java is a good market for drugs trafficking. Most drugs in East Java are circulated in Surabaya, Madura, and major cities in East Java. In addition, drugs from East Java also sent to East Indonesia, such as Bali, NTB, NTT, Sulawesi, and Papua.

In the end we can conclude that transnational crimes occurred in East Java have varied trends and nature. Perpetrators and victims of transnational crimes in this paper included human trafficking, people smuggling, drugs trafficking and cybercrime, including not only foreign citizens but also involves civilians of Indonesian nationality. With regard to the focus of this study that try to look at the transnational crime movement of in the region, according to the results obtained from this study we found that perpetrators and victims from ASEAN countries in terms of quantity are

insignificant when compared with the perpetrators and victims from Indonesia or countries in other region.

Based on the data presented above, in general the mechanism on addressing transnational crime only rely on law enforcement on the part of police forces. This means that the police are the only actors who perform the handling of transnasional crime, although in practice they assisted by NGOs that focus on certain issues of transnational crime. The police perform 3 stages in dealing with transnational crime cases, namely investigation, arrest, and examination. However, the police only act on the report and they have limited number personnels, so transnational crime rates could be higher than the data held by the police. If this compared with handling models of transnational crime in fact there are many ways that can be done to anticipate and combat transnational crime. On average the models are based on preventive aspects and sustainable or long-term. For example social model that is done by embracing the local community and empowerment against the transnational crime perpetrators, for example, human trafficking perpetrators who are mostly housewives in areas that become pockets of labor/migrant workers. By involving the community to handle transnational crimes it is expected public would show awareness that transnational crime issue is a common issue. Therefore the program of transnational crime handling could sustain in long term. This will lead to further reduce transnational crime or even eradicate the crime altogether.

Conclusion

The idea to achieve the ASEAN Community and the three pillars, namely, *ASEAN Economic Community* (AEC), *ASEAN Political and Security Community* (APSC), and the *ASEAN Social and Culturual Community* (ASCC) in 2015 has forced ASEAN member states to accelerate and adjust in all sectors to ensure the readiness of the entire sectors in facing the scheme. In order to support the ASEAN Economic Community in which there are the liberalization of goods, services and labor, ASEAN create *ASEAN Framework Agreement on Visa Exemption* scheme where the main objectives of visa exemption for citizens of ASEAN member states are to support intra-ASEAN acceleration and people mobility especially labor. In general, this scheme includes the regulation of visa-free for 14 days starting from entry date for citizens of ASEAN member states who travel in Southeast Asia.

Although this scheme is seen as an advance in the integration of the ASEAN community, on the other side the visa-free regulations have also negatively impacted the member countries, especially when associated with a new perspective of non-traditional security threats that are characterized by the increasing criminal threat from transnational crime. Because it can not be denied visa-free policy would also lure people flow increase between intra-ASEAN countries so the massive threat of transnational crime are also likely more severe. Therefore the research on "Transnational Crime Mapping in East Java Province Post Entry ASEAN Framework Agreement on Visa Exemption for ASEAN Member Countries" is increasingly urgent.

There are some interesting findings obtained from this research. Among these are: (1) of eighteen categories of transnational crimes as published by the UN, there are four types of transnational crime that emerged in East Java, namely human trafficking,

people smuggling, drugs trafficking, and cybercrime; (2) There is increasing trend of transnational crime in East Java after the implementation of the *ASEAN Framework Agreement on Visa Exemption*; (3) On average the origin of transnational crime perpetrators in East Java province, mostly from Southeast Asian countries; (4) Handling methods transnational crime cases in East Java as well as the efforts made by law enforcement still rely heavily on the only actor in this case is the East Java Regional Police. Consequently, on average the handling methods are still repressive hence that model can not be used for long term.

Suggestion

Based on the findings obtained on the previous chapters of this research, there are several suggestions and recommendations as follows:

1. The need to perform transnational crimes mapping in other provinces as a base line study. Due to different spreading of transnational crime in each province, we need different handling models for each province.

2. The need for involving other actors in the handling model of transnational crimes. This is because on average transnational crime that occurred mainly based on social issue (poverty) hence the involvement of other actors in transnational crime would obtain comprehensive mapping.

3. The need to implement a handling model of transnational crime based on various conditions, such as social, economic, political, hybrid, and composites. So the handling could create long lasting impact in the future.

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Policy Implications of Leadership Instability in Contemporary Australian Politics

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Abstract

Australia's Liberal-National Party (LNP) Coalition government under Prime Minister Tony Abbott has already confronted leadership instability, despite its decisive election victory over the Australian Labor Party (ALP) in September 2013. One of the great ironies of contemporary Australian politics is how the conservative LNP has become subject to similar party leadership turmoil which dogged the previous Rudd and Gillard ALP governments.

The recent leadership speculation is the direct result of Abbott's LNP government breaking its election campaign promises; particularly introducing harsh and inequitable fiscal austerity measures, including proposed cuts to health, welfare and education, which have been frustrated by crossbench opposition in the Senate. Never a particularly popular figure, with an abrupt personality lacking sensitivity to the need for policy consultation, Abbott's personal approval ratings have long been in steep decline, with the LNP remaining well behind the ALP in opinion polling.

Facing potential defeat in the next federal election due in 2016, amid a weakening economy, the LNP backbench may well feel desperate enough to mount a successful challenge against Abbott. However, it is unclear whether a new leader would enable enough policy change to allow the LNP to restore trust with the public, given factional and ideological divisions residing within the LNP. While a rapid turnover of Prime Ministers is not entirely unique in Australian history, it does appear that an era of greater volatility has returned to Australia's political landscape, with potentially adverse consequences for effective public policy implementation.

Introduction

Labor's Leadership Saga

It has been generally assumed that the leadership of political parties in Australia politics is relatively stable, with it being fairly uncommon for party leaders, especially prime ministers to be challenged and lose their position outside of elections. In first the 14 years of Australia's Federation, there were eleven Prime Ministers (PMs)(Alfred Deakin of the Protectionist Party three times, ALP's Andrew Fisher twice); and five in seven years between 1966 and 1972, with the retirement of Liberal Robert Menzies, and PMs Holt, Gorton, and MacMahon, until the election of Labor's Gough Whitlam (Ward & Stewart, 2010: 36). More recent history has also challenged the assumption of stable leadership; over the last 13 years, there have been 64 party leadership changes, at the State and Federal level (Liddy, 2015).

At the Federal level, the social-democratic Australian Labor Party (ALP) has suffered the most politically damaging volatility, dramatically demonstrated by the leadership rivalry between former Prime Ministers Kevin Rudd and Julia Gillard. In 2007, the Labor Party led by Kevin Rudd returned to office, defeating the conservative Liberal-National Party (LNP) Coalition government, led by Prime Minister John Howard (Green, 2013:1-2) The Rudd Labor government successfully responded to the Global Financial Crisis (GFC) of 2008, where a stimulus spending package kept the economy out of recession, one of the few developed countries to do so (Megalogenis, 2012: 340-345).

However, Rudd was largely undone by attempting to implement an Emissions Trading Scheme (ETS), aimed at reducing carbon emissions, which the Coalition had proposed in the 2007 election. After attempting to negotiate a compromise ETS with Opposition Liberal Leader Malcolm Turnbull in 2009, the hard-right conservative faction of the LNP (driven by climate change skeptics such as Liberal Senator Nick Minchin), was already dissatisfied with Turnbull's rather aloof and alienating leadership style (which would also be a failing of Rudd's leadership). A leadership challenge was contested on December 1st by Turnbull, Joe Hockey, and Tony Abbott; Hockey was eliminated in the first round, with Abbott elected Opposition Leader in the second round, 42 to 41 against Turnbull (Wanna, 2010 :279).

Confronted by Abbott's more relentlessly aggressive style, Rudd backed down from implementing an ETS, following the failure to achieve a replacement for the Kyoto Protocol at the UN COP15 meeting in Copenhagen. Amid declining opinion polls,

Rudd was successfully challenged by his Deputy   Julia Gillard on June 23rd 2010, becoming the first female Prime Minister of Australia (Kefford, 2013, 137). Following the August 21st 2010 election called soon after (during which Labor's campaign was undermined by damaging leaks from disgruntled Rudd supporters), Gillard negotiated a minority government with the support of the Greens Party and some Independents, after the election result delivered a rare 'hung' parliament (Cassidy, 2010: 105-106, 234-235).

Despite delivering an impressive range of legislation on education and social security, as well as a temporarily fixed price on carbon (remorselessly called a 'carbon tax' and a 'broken promise' by Abbott and the Coalition), leadership speculation dogged the Gillard government, undermining its public image and disrupting any effective political marketing of its policy delivery. Rudd unsuccessfully challenged in February 2012, after which he lost his position as Foreign Minister; an abortive attempt by his supporters in March 2013 also failed. However, as opinion polls continued to decline with an election date looming, as Rudd retained a shallow advantage in public opinion over Gillard, desperate Labor MPs ruefully re-appointed him as Prime Minister after another challenge on June 26th, 2013 (Evans & McCaffrie, 2014: 317-319).

Unsurprisingly, amid this leadership disunity, Labor was decisively defeated by the Abbott-led LNP Coalition on the election of September 7th, 2013. The LNP won 90 out of the 150 seats in the lower House of Representatives; Labor 55, one each to the Greens, Katter's Australia Party and the Palmer United Party, and two independents; the two-party preferred (2PP) vote was 53.5% for the Coalition, and 46.5% for Labor. Under new rules implemented by Rudd after his brief return as PM, where the ALP membership was given a share of the vote as well as Labor MPs, Bill Shorten became Opposition Leader of the ALP, defeating Anthony Albanese (McCallister, 2015: 337).

The Abbott Coalition Government

A Honeymoon Soon Over
Once in office the Abbott Coalition government set about implementing its core campaign promises: repealing Labor's 'carbon tax' and super-profit mining tax; and its controversial Operation Sovereign Borders, turning back asylum seeker boats coming from Indonesia, and continuing to detain asylum seekers arriving by boat in offshore camps, on Nauru, and Manus Island in Papua New Guinea (a practise re-established at the end of the previous Labor government). In doing so, the Coalition could claim it had finally 'stopped the boats', a policy which was generally
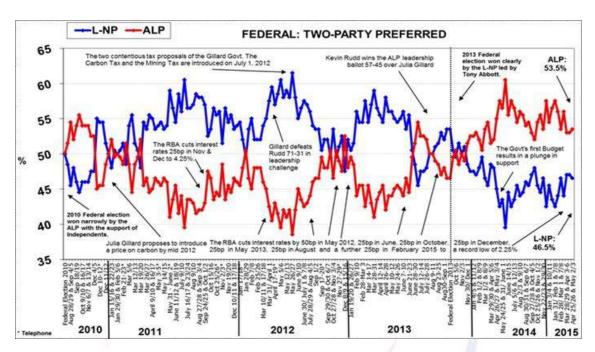
popular among the electorate, although widely criticised by human rights organisations, inlcluding the UNHCR. However, having never been particularly popular among the public, Abbott's support soon began to slip down in opinion polls (Maley, 2015).
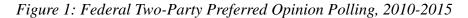
With approval ratings for Coalition soon falling behind the ALP, as early disillusionment with the new government set in, accelerating after the Abbott government's first harsh budget, delivered by Treasurer Joe Hockey in May 2014. Aimed at reducing the deficit, the budget effectively broke many of Abbott's promises in the 2013 election campaign, including pledges not to cut health, education, and welfare spending (Millar, 2015). Many of the budget's measures were blocked in the new Senate, which came into effect from July 2014, following a unique re-election for Senators from Western Austalia in March, after ballot papers for the 2013 election were lost by the Electoral Commission. The current Senate comprises eighteen cross-benchers, the highest number ever, which include: 10 for the Greens, their highest number yet; three initially from the Palmer United Party (PUP), although Senators Jackie Lambie and Glenn Lazarus would soon quit to become independents, after falling out with PUP leader Clive Palmer; one independent (Nick Xenephon); and one each from the Liberal Democratic Party (LDP), the Democratic Labour Party (whose Senator John Madigan would also later separate from his party to stand as an independent); Family First; and the Motoring Enthusiasts Party. The LNP has 33 Senators, the ALP 24 (Wanna, 2015: 280-281)

As the fallout of the stalled budget continued into 2015, Abbott's so-called 'Captain's picks', of unilateral decisions without consulting Cabinet, continued to be unpopular, particularly the decision to restore Australian knighthoods for the Australia Day Honours list on January 26th, extraordinarily awarding one to Queen Elizabeth's husband, Prince Phillip. Only 12.1% of Australians supported this, according to a poll afterwards, with frontbenchers Malcolm Turnbull and Julie Bishop being preferred as Liberal leader, by 45% and 30.5% respectively, indicating their potential as leadership replacements; Abbott only received 18% support (Medhora, 2015).

Reflecting this decline in the public mood, on February 9th 2015, the Liberal backbench brought on a party room vote whether to proceed with leadership ballot; it was defeated 61 to 39, but the fact that up to 40% of backbenchers were prepared to vote against Abbott indicated how rapidly his fortunes had declined, only halfway through a term of office. Abbott was also aided by there being no clear declared leadership rival at this stage; the moderate Turnbull would not have been favoured by

the Liberals' conservatives; Bishop was also held in some suspicion by party hardliners; the candidate most likely to be favoured by the hard right, Social Services Minister Scott Morrison (formely Immigration Minister) did not enjoy enough public popularity (BBC, 2015).

Figure 1: Federal Two-Party Preferred Opinion Polling, 2010-2015

Source: Newspoll

Budget 2015 and Economic Vulnerability

Having survived this political 'near-death' experience, Abbott set about shoring up support among his disgruntled backbench. The 2015 budget delivered in May aimed to repair the political damage of the previous one, providing generous tax cuts to small business and farmers, which were generally well received. The other arm of the Abbott government's supposed political strength, national security, was reinforced in the budget by increases to security and defence spending, and cuts to foreign aid (as well as cuts to the arts, scientific research, and environmental funding. The 'debt and deficit' rhetoric of the 2014 budget, which was ruthlessly applied against Labor when in Opposition, was quietly abandoned, with the Abbott government having the highest proportion of GDP of tax revenue and government spending (25.9%), since the first budgets of the Howard and Rudd governments. A budget surplus is now estimated to be reached in 2020/21, assuming optimistic projections on commodity prices and the Chinese and Indian economies remain bouyant (Koukoulas, 2015).

Labor and the Greens attempted to pressure Treasurer Hockey by citing modelling showing the 2015 budget will have a negative impact on those on lower incomes, as did the 2014 budget. Key budget measures are still likely to be blocked in Senate, particularly those making health and education most costly. Annualised economic growth rates of 2.3% should supposedly aid the government's record on economic performance; however, this is the lowest figure since 2011, and continues a downward trend, down from 3.5% last year. Australia's growth is now ranked 19th in the OECD. Trade figures are also problematic, with the trade deficit for April at $3.888 billion, the largest on record, largely driven by a deteriorating terms of trade, particularly due to falling coal and iron ore export prices. Household incomes and retail sales also have remained flat, so these ongoing pressures on Hockey and the Abbott government on the future of Australian economy will remain a serious concern (Austin 2015).

The Greek/Euro crisis has only fed speculation about the potential ongoing instability of the global economy; but even more of a concern is the recent 30%+ slump in Chinese stock markets, which has already had an impact on Australian share markets (Dyer and Keane, 2015). China's official public debt is 15%, but the total of internally held debt in its 'shadow finance' system, could actually be an estimated 282%. The end of the mining boom, weak domestic activity, and a potential property 'bubble' (used by Coalition as an attempted political weapon against Labor, with Abbott claiming that Shorten wanted to see the value of people's homes collapse) indicates uncertain economic fortunes ahead. This will be extremely troublesome for the Abbott government in the leadup to the next election due in 2016, if the economy continues to slow, which will put pressure on the government to bring on a stimulatory pre-election budget, which will only increase the level of public debt, and raise the deficit, undermining its own self-proclaimed economic credentials (Das, 2015).

As of July 2015, interest rates have kept on hold by the Reserve Bank of Australia at 2%, with unemployment steady at 6%. The Australian dollar reached a six-year low of 73.98 US cents, which counters the effect of the slump in commodity prices to some extent; but, the terms of trade has declined 27% over past two years, as commodity prices have declined. Iron ore is now forecast to reach $48 a tonne, with the price declining by 21% over a week since the Chinese crash. The value of commodity exports – metals, ores and minerals – has now been overtaken again by exports of services, which last occurred in 2009, before the recent mining boom.

This undermines the Abbott government's optimistic plans that economic growth and the resulting revenues will eventually reduce Australia's levels of debt and deficit, and see a return to surplus (Janda, 2015).

Abbott's 'War On Terror' – Key to Political Security?

While backing away from economic stringency, Abbott's pursuit of a stronger appearance on national security has sought to regain support from the public and within his own parliamentary party, and attempts to portray Labor as 'soft' on terrorism and asylum seekers. Soon after the near-leadership vote, the government began exploring a proposed law (known as the *Allegiance to Australia* Bill) to strip dual Australian nationals of their citizenship, if they were found to be supporting terrorist activities. Abbott was backed in this in a letter sent to him by 43 conservative backbenchers, drafted by the instigator of the February challenge. This indicated that Abbott's leadership appeared to be becoming more secure. However, divisions soon emerged within Cabinet over the proposed bill, with leaks to the media revealing that senior Ministers, including Foreign Minister Julie Bishop, Communications Minister Malcolm Turnbull, and even Nationals Agriculture Minister Barnaby Joyce were concerned over giving the Immigration Minister (presently Peter Dutton) powers to revoke citizenship without legal recourse (Rundle, 2015)

The citizenship law amendments have been remorselessly used by Abbott to conflate the issue of national security Labor (and the public broadcaster, the ABC) as weak on terrorism; as with asylum seekers, the Coalition is pandering to its support base and the conservative media (particularly News Corporation), playing on public anxiety and xenophobia. This is a long-running policy approach of the Coalition, going back at least to the Howard government, and the 'War on Terror' following the September 11 terrorist attacks in 2001 (Keane, 2015a). Further divisions over national security emerged among the government later on though, when Turnbull gave an erudite speech warning the threat of terrorism should not be exaggerated, as this into the hands of Islamic State (IS - also referred to by the Arabic acronym *Da'esh*). This classically liberal defence of the tradition of the rule of law and democratic principles in the face of danger was a veiled criticism of Abbott's bellicose rhetoric, with his constant referral to *Da'esh* as a 'death cult', which is 'coming to get us'. In a remarkable exaggeration of scaremongering, Foreign Minister Bishop also called IS a greater threat than the Cold War (despite IS's lack of strategic reach, or nuclear weapons)(Iggulden, 2015).

Following developments in Ireland and the USA which secured rights to same-sex marriage, divisions also were exposed within the Coalition over this issues, where Australia remains the last English-speaking developed country which does not have legal same-sex marriage anywhere in its jurisdiction. The debate over same-sex marriage has become a headache for the socially conservative Abbott. He faces a potential revolt by more moderate Liberal MPs, who have submitted their own private members' bills advocating same-sex marriage, joining those previously submitted by the Greens and Labor, which hopes to divide the Coalition on this issue, given that polls consistently give public support for same-sex marriage at around 70%. Conservative Liberal MPs warn that Abbott will face a backlash if he allows a conscience vote on same-sex marriage to proceed, comparing the issue to the struggle over the ETS, which saw Turnbull replaced by Abbott in 2009. The Liberal rank-and-file branch party members are generally socially conservative, pressuring their MPs to oppose any change. 82 Coalition MPs remain opposed; only 18 support voting for same-sex marriage, while 23 are undecided (Matthewson, 2015).

Serious tensions within the Coalition were again exposed with a recent decision by Liberal Environment Minister Greg Hunt (and the NSW Coaltion government) to approve a $1.2 billion Chinese-owned coal mine in the electorate of Agriculture Minister Joyce, who is firmly opposed tG it going ahead. This dispute within the government followed the release of a lacklustre Agriculture White Paper, with only $1 billion in agriculture support projects announced, instead of the expected $4 billion (Guardian, 2015).

Can Bill Shorten and Labor Get It Together?

It remains to be seen though whether Labor under Bill Shorten can yet effectively exploit these divisions within the government. In an attempt to present an image of constructive bipartisanship, and to avoid being politically outflanked on various contentious issues, the ALP under Shorten has actually cooperated with the government on a range of policies. In the last sitting day of parliament for its winter session, the government voted to amend laws to secure the offshore processing of asylum seekers against a potential High Court Challenge, which was supported by ALP, being fearful of being wedged on national security. Labor also voted with the government for an amendment to ensure there is no mandatory requirement to report the sexual abuse of children in asylum seeker detention camps on Nauru and Manus Island. Labor also supported the formation of the new paramilitary 'Australian Border Force', which has amalgamated Customs law enforcement with Immigration

Department detention services. Labor has also voted with the government to allow stronger internet censorship, through metadata retention (Taylor, 2015).

However, the more the ALP has cooperated with the government, the less Shorten appeals to public, with greater public awareness of Shorten translating into lower approval ratings; bipartisanship has therefore brought no political benefits. A former Secretary of the Australian Council of Trade Unions, Shorten is the least experienced Opposition leader in recent times, only being elected to parliament since 2007, and appointed to the Ministry in 2010. This exposes another cost of the period of Labor Rudd-Gillard rivalry, where many experienced Ministers were driven out, especially after Rudd's return in 2013 (Tingle, 2015). Shorten's dubious role as one of the key factional powerbrokers behind Labor's recent leadership rivalry and challenges was further exposed when Shorten admitted to lying in a 2013 radio interview about his role in the Rudd-Gillard leadership spill; Shorten had then denied he was having talks with Rudd, and was fully supporting Gillard. The history of the Rudd-Gillard rivalry rather inconveniently resurfaced with the recent broadcast of the Australian Broadcasting Corporation's (ABC) documentary series *The Killing Season* (ABC, 2015).

This admission preceded Shorten's appearance in July 2015 at the Royal Commission into trade unions, established by the Abbott government upon its election. Grilled on his previous role as Secretary of the Australian Workers' Union, Shorten admitted a failure to declare up to $40,000 in corporate and union donations for his 2007 election campaign. This was damaging, but unlikely to be politically fateful, given the overall lack of transparency on political campaign donation laws – politicians and parties can issue late, or updated declarations years after campaigns, which Prime Minister Abbott himself has done. Shorten performed fairly confidently under questioning, answering over 900 questions over his two-day appearance (Karp, 2015). Labor claims the Royal Commission, costing at least $80 million, is a political witchhunt, following previous Coalition attempts to tie Julia Gillard to the activies of corrupt trade union officials. Labor countered by raising the recent allegations of Italian Mafia figures making dontations to the Liberal Party during period of Howard government (Cassidy, 2015).
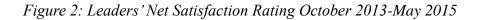
The fallout from the Labor national conference of July 2015 will be another obstacle to overcome in the lead-up to an election year. Contentious issues include confirming policy towards asylum seekers, same-sex marriage, the Free Trade Agreement with China, and carbon emissions, producing a publicly bruising, messy confrontation

between the Left an Right factions; the conference being the most finely balanced since that of 1984, with 196 delegates from the Left faction, 197 from the Right, and four nonaligned (Hurst, 2015). Should nervous Labor MPs again feel desperate enough to mount a challenge against Shorten, if they fear impending electoral defeat, this is now harder to do ironically, after Rudd passed reforms before losing the election in 2013. Leadership challenges in the ALP now require a vote from the membership, as well as the parliamentary Caucus, only after 75% of the Caucus votes to approve a challenge when in government, or 60% of in Opposition. However, entering into another round of leadership instability would be electorally disastrous, with no serious alternative contenders yet emerging at any rate (Bourke, 2015).
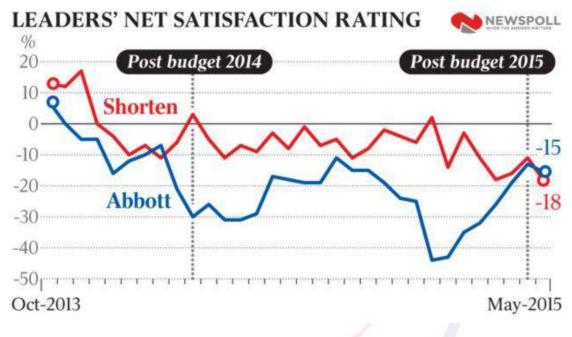
Towards Election 2016

Abbott's measures to improve his support among disgruntled backbenchers appears to have made his leadership more secure, although problems of disunity among his Cabinet persist (Morris, 2015). The cynicism of the electorate is in danger of further deterioration, as Labor and the Coalition become more partisan, and short-term focused, rather than pursue long-term policy debate and reform. This is seen in the ongoing relatively high net dissatisfaction ratings for both Abbott and Shorten (Bowe, 2015). A general election is due sometime in 2016, generally expected to be called by Abbott sometime in the spring. However, it is the perogative of Australian Prime Ministers to call early elections at a time of their choosing; there is already speculation that Abbott may feel tempted to take early advantage of Shorten's recent difficulties, which have tarnished his image. The Liberal Party's federal director has stated an election will be in at least 15 months, so early election talk is speculative at most; there can be no doubt though that Abbott and the Coalition is already gearing up for an election (Borrello, 2015).

With neither Labor or the Coalition, Shorten nor Abbott appealing to the public, the Australian electorate therefore seems doomed to endure another cycle of dissillusionment and cynical weariness with politics, uninspired by either of the major parties. The Greens and other minor parties may thus be in a better position to capitalise on this. Recognising this potential, the Greens have introduced a bill to reform voting for the Senate, which would remove above-the-line party preference deals, and allow optional preferential voting (as in NSW, and other states). This would prevent the likelihood of microparties being elected again with a tiny proportion of the primary vote, as occurred in the last election. This is clear political goal of the Greens to block their 'third-party' rivals, and would also suit the two major parties.

There would be no advantage then in calling an early double-dissolution election (of the whole Senate, rather than the regular half-Senate elections), before such reforms are implemented, as it would only make it easier for more microparties to be elected to the Senate. An early double-dissolution election is therefore unlikely for numerous constitutional and political reasons (Green, 2015).

Figure 2: Leaders' Net Satisfaction Rating October 2013-May 2015
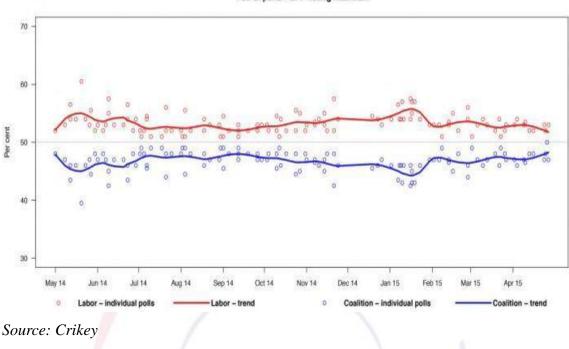
Source: Newspoll

Recent polls show the Abbott government back in a losing position, before the short-lived (and shallow) 'bounce' after the 2015 Budget. Despite ramping up national security threats, and indulging in other 'culture war' rhetoric against the ABC and same-sex marriage, this has not appealed to the public, even though it may play well with the conservative Coalition party base. Both Abbott and Shorten have continued to see their approval ratings decline, with Shorten having overtaken Abbott as preferred PM again. Labor has been ahead of the LNP in 149 out of the last 151 polls, since April 2014; the Coalition has generally been behind in the polls overall since 2013 election (Murphy, 2015).

Figure 3: Two-Party Preferred Voting Intention May 2014-April 2015

Source: Crikey

Conclusion

A Wasted, One-Term Coalition Government?

Tony Abbott confronts a political dilemma; after 'stopping the boats', scrapping the carbon and mining taxes, and abandoning the repair of the 'debt and deficit', his government has only really been left with national security left to run as its major focus. This issue may have already reached its limit of political effectiveness, as well as resulting in a more risky foreign policy (White, 2015). Any other area of important policy reform has effectively been abandoned, as Abbott and the Coalition have been operating as if they were still in Opposition mode – permanently campaigning to damage their political opponents, rather than seriously pursue economic management, a strategy which appears to be being caught out, as uncertainty in the global economy worsens. The Abbott government has abandoned promised policy reform in several core areas: in the financial services industry (as recommended by the Murray Inquiry); the budget deficit (which has increased, along with public debt, from $273 billion to $373 billion, under Abbott's government); media reform; competition reform (as recommended by the Harper Review); superannuation tax concessions; tax reform; housing affordability; climate policy; and infrastructure. Abbott's government is therefore arguably turning out to be less effective than the previous Rudd-Gillard Labor period in office (Keane, 2015b).

However, Abbott remains an effective negative campaigner, despite his relative public unpopularity. Relishing a political fight, he could well mount a successful scare campaign against Labor in the next election, particularly against Bill Shorten, given his similar levels of unpopularity. It has been historically rare for Australian governments to lose an election after only one term in office; however, challenges to a sitting Prime Minister in their first term were also rare, a convention which was overthrown during the politically disastrous rivalry between Rudd and Gillard. It is not out of the question that Abbott will also set a similar standard for political instability and failure.

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Management for Disabled Workers in the Establishment of Fruit and Vegetable Processing Industry in the Upper Northern of Thailand.

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Abstract
This study has applied both qualitative and quantitative method aiming to explore management of disabled worker incubated to fruit and vegetable processing industry in the Northern Part of Thailand. This incubation process aims to match the disabled competency and the demand from the employers with the coordination of supporting staff. The results found that there were 13 fruit and vegetable processing entrepreneurs with over 100 employees required to hire 1 disabled in the ratio of 100:1. There were 7 entrepreneurs hired the disabled as required by laws (53.80%)

The characteristics of the disability hired the most are persons with mobility disability, in the number of 12 personals (92.30%), hearing impairment of 7 persons (53.80%).

The characteristics of fruit and vegetable entrepreneur that hired the disabled shows positive attitude toward the disabled. The score for assigning the right jobs to the disabled is 48 persons or 90.60%.

Government agency founds problems in hiring the disabled as follows: few positions opening for the disabled, qualifications, characteristics and competency of the disabled mismatch with entrepreneur's requirement, lack of active strategy, lack of coordination among stakeholders both form private and public organization.

Government office should create awareness of the disabled's competency and motivate privates sectors in hiring the various disabled. The disabled's competency would be matched with the requirements of the entrepreneurs affecting the higher number of disabled hired to the industry.

Keywords: Disabled employees, Entrepreneurs, Processing fruit and vegetable industry, The Upper Northern Part of Thailand.

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Introduction

All societies comprise various human resource both non-disabled and disabled whether physical or psychological. Some disabled with certain disability type are able to work and show a little participation in the society while the others are unable to at all. Therefore, it is vital to support them in creating opportunities in working as the non-disabled so that they can improve themselves.

Thai government has set up policy and laws to increase the opportunity of the disabled in participating in the workforce on the regular basis. For example, Act of 2550, Employee Protection Act (2541), Rehabilitation of the Disability Person Act (2534) etc. In 2550, Thai government has imposed the laws on the Act of the Support and Development of Disabled Life Quality (2550) stating that company with more than 100 staffs be required to hire the disabled in the ratio of 100:1 aiming to increase the working chance for the disability person.

Therefore, this study aims to explore the efficiency of such laws or the enactment of such laws including the mangement of the disabled workforce whether there is any problems in applying such laws and in which dimension. The results of the study would increase the efficiency of the laws enactment including involving all stakeholders in solving unforeseen problems. Frozen fruite and vegetable industry in the Upper Northern part of Thailand as there are many companies in the industry employed more than 100 staffs (as per to the laws). In addition the Northern part of Thailand is well-known for frozen fruit and vegetable industry due to its geographic competitive advantage which is suitable for planting fruit and vegetable. This has made it the major sources for frozen fruit and vegetable industry. The industry has increase the economic condition in the area as it adds value to fruit and vegetables due to its obsolete nature; moreover, it has created jobs to many people in the area.

To follow such laws, it has incurred the following problems as there are lack of coordinations between personel and related office as follows:

 1. Misunderstanding of society and the disabled person showing that frozen fruit and vegetable industry is unlikely to employ the disabled resulting the ability of the industry to employ the disabled as there is limited information on the disabled workforce.

2. Lack of disabled awareness regarding type of disability, knowledge, competency, skill and experience that are required by the frozen fruit and vegetable industry as there is no mediator in collecting such information and coordinating between the disabled and industry.

Due to such problems, this research is interested in the management of the disabled workforce to frozen fruit and vegetable industry, hoping to match up the requirement and the disabled's characteristics with the support of related office in recruiting the disabled workforce and coordinating between the disabled workforce and the industry.

State of the Art

Industry requires the disability with professional training, matching up with job descriptions required by each company including developing their skills regularly both in working routine or higher skilled work. The disabled should be confident in their working performance and if they have the chance in working they should finish their assignment efficiently to be the model for the next disabled employed. This would increase the motivation in hiring more disabled from private and public scrutinized (the Department of Empowerment of Persons with Disability, 2555) and, in turn, the disabled would increase their participation in the society as the workforce. The government should take the role in setting up related laws and social policy to support and motivate industry in hiring more disabled (International Workforce Organizations, 2553) such as department of employment can match up the type of disability with industry's requirement including the development of the disabled recruitment process such as building up network between local government so that the disabled can register themselves (Wiriya Namsiripongpun, 2554).

Purpose of the study

To explore the disabled employing conditions to frozen fruit and vegetable industry in the Upper Northern Part of Thailand.

To explore the required disability type in frozen fruit and vegetable industry in the Upper Northern Part of Thailand.

To explore type of frozen fruit and vegetable companies desired by the disabled.

To explore the acting of related scrutinized in hiring the disabled to such industry.

To develop the formation of the management of the disabled to the industry.

Expected Benefits

Learning of the disabled employing conditions to frozen fruit and vegetable industry in the Upper Northern Part of Thailand.

Learning of the required disability type in frozen fruit and vegetable industry in the Upper Northern Part of Thailand.

Learning of type of frozen fruit and vegetable companies desired by the disabled.

Learning of the acting of related organization in hiring the disabled to such industry.

Learning of the formation of the management of the disabled to the industry.

Research Methodology

Data Collection
Primary data was conducted by a) interviewing legal staff of the social development and human security department in the Upper Northern Part of Thailand. b) interviewing the owner of frozen fruit and vegetable companies in such area which has employed more than 100 staff in the number of 13 companies c) interviewing the 51 employed disabled in the industry and d) interviewing other related staff who are responsible for supporting the disabled workforce.

Secondary data was conducted by studying related laws in employing the disabled and protections of the disabled in the workforce including other related laws, research and other educational paper.

Data Collection
The In-depth interview was applied in this study to those legal staff from the Department of the Social Development and Human Security in the Upper Northern Part of Thailand, entrepreneur of frozen fruit and vegetable companies with more than 100 staff in the number of 13 companies, the 51 disabled employees who are currently working in frozen fruit and vegetable companies, government staff who are responsible for supporting the disabled to the workforce.

Data Analysis and Tool
Data analysis was conducted by content analysis and the report was descriptive analysis. The synthesis of the result of the study was done on primary data. After the interviewing, such data were scrutinized for its completion and usability and then were analyzed by SPSS.

Result of the study

Part I. The study of employing condition of the disabled to frozen fruit and vegetable industry.

There are 13 frozen fruit and vegetable companies in the Upper Northern Part of Thailand with more than 100 staff imposed by laws to hire the disabled in the ratio of 100:1 (imposed in 2007). Those companies were in Chiang Mai, Chiang Rai, Lumphun, Lampang, Prae, Nan and Mae Hong Son while Phayao was the only province that there was no company employed more than 100 staff.

The number of employees in the company. The majority of respondents employs 100-200 employees in the number of 5 companies (38.50%), the second majority was more than 500 employees in the number of 4 companies (30.80%) and 201-300 employees in the number of 2 companies (15.30%) and the least group were 301-400 employees in the number of 1 company (7.70%). This was shown in Table 1.

The number of the disabled employed. The majority of respondents employed 1-3 disabled in the number of 7 companies (53.80%), the second employed between 4-6 disabled, 3 companies (23.10%), and the least was 7-9 disabled employed, and more than 9 disabled employed, 1 of each (7.70%). Among this, there was no response from 1 company (7.70%).

Ration of the disabled employed. The majority of respondents employed the disabled in the ratio of 100:1 as required by laws in the number of 7 companies (53.80%), the second was more than 100:1 ratio in the number of 5 companies (38.50%). The least respondent group were in less than 100:1 ratio as required by laws (7.70%). The reason for hiring more than 100:1 ratio was that company would like to support the employment status of the disabled and they realized of the disabled potential.

Table 1 Frequency and Percentage of Employees

Number of Employees in the Company	Number	Percentage
100 – 200	5	38.50
201 – 300	2	15.30
301 – 400	1	7.70
401 – 500	1	7.70
More than	4	30.80
Number of Disabled Employed		
1 – 3	7	53.80
4 – 6	3	23.10
7 – 9	1	7.70
More than 9	1	7.70
No response	1	7.70
Ratio of disabled employment		
100:1 as required by laws	7	53.80
More than 100:1	5	38.50
Less than 100:1	1	7.70

Part II: The Study of the disabled type that required by frozen fruit and vegetable industry

Based on the data collection from 13 companies in the upper Northern found that companies normally employed persons with mobility disability in the number of 12 companies (92.30%), the second biggest was hearing impairment group of 7 companies (53.80%), and the least was vision impairment of 1 company (7.70%). None employed persons with intellectual, mental, autistic, or learning disability.

Major job assigned were in operational department in the number of 12 employees (92.30%); i.e., cleaning staff, QA staff, gardener, planting staff, packaging staff, QC staff, driver, guarding staff and house keeping staff. The second majority was in administrative work in the number of 6 employees (46.20%) such as adminsitrative staff, messenger, data input staff, human resource, and procurement staff etc.

With regards to satisfaction of employers, the 5 likert scale has been used comprised knowledge and competency in working, working value, responsibility, and human relations and the results are as follows:

Overall satisfaction

In Table 2, the mean score of satisfaction was 3.87 with working value of 4.15, human relations of 4.08, responsibility of 3.74 and knowledge and competency of 3.51 mean score.

Table 2 Satisfactory Level of Companies in each Dimension

Dimension	Average	S.D.	Satisfactory Level
Knowledge and Competency in Working	3.51	1.144	
			Very
Working Value	4.15	1.331	Very
Responsibility	3.74	1.164	Very
Human Relations	4.08	1.230	Very
Total	3.87	1.194	Very

Knowledge and Competency in working.

From Table 3, the level of satisfaction is in 'very satisfactory' from all sub-dimension with the average score of 3.51. Being able to learn and follow orders is 3.68, the working efficiency is 3.46, working and competency in working is 3.38.

Table 3 Satisfaction of entrepreneur as per knowledge and competency in working

Dimension	Average	S.D.	Level
Knowledge and Competency in Working			
Knowledge and Competency in Working	3.38	1.193	Very
Learning and Following Orders	3.68	1.251	Very
Working Efficiency	3.46	1.198	Very
Total	3.51	1.144	Very

Working Value

In Table 4, the level of working value is very satisfactory with the average score of 4.15, comprising sub-dimension in loyalty with 4.23, punctuality with 4.15 and complying with companies' regulation with 4.08 respectively.

Table 4 Satisfactory Level of Entrepreneur as per to Working Value

Dimension	Average	S.D.	Level
Working Value			
Punctuality	4.15	1.345	High
Following regulations	4.08	1.320	High
Loyalty	4.23	1.363	Very High
Total	4.15	1.331	High

Responsibility

In Table 5, the satisfactory level is in high level in all dimensions with the average score of 3.74 comprising sub dimension of being responsible and prudent in working of 3.77, and being to complete the job on time of 3.69 respectively.

Table 5. The Satisfactory Level of Entrepreneur as per to Responsibility Dimension

Dimension	Average	S.D.	Level
Responsibility			
Being responsible to the assigned job	3.77	1.166	High
Completing the job on time	3.69	1.182	High
Being prudent in accomplishing the job	3.77	1.166	High
Total	3.74	1.164	High

Human Relations

From Table 5, the level of satisfaction is in high level in all sub dimension aspect with the score of 4.08. Being able work as a team has the score of 4.15, being able to adapt to other colleagues and environment of 4.08, and being able to get along with others of 4.00.

Table 6. The Satisfactory Level of Entrepreneurs as per to Human Relations

Dimension	Average	S.D.	Level
Human Relations			
Being able to get along with others	4.00	1.291	High
Being able to adapt to colleagues and environment	4.08	1.320	High
Being to work as a team	4.15	1.345	High
total	4.08	1.230	high

Part III. The study of the desired frozen fruit and vegetable company in the Upper Northern Part of Thailand (Supply Side)

Based on the interviewing of 51 disabled employees from frozen fruit and vegetable industry, it is found that the disabled employees are able to work in all type of frozen fruit and vegetable industry in the number of 37 employees (69.80%), the second group shows their unwillingness to work in the industry of 15 employees (28.30%), fruit and vegetable canned companies in the number of 2 employees (3.80%), only 1 employee work in fermented fruit and vegetable company (1.90%). There was none working in frozen fruit and vegetable company.

Based on Table 7, type of company that disabled employees prefer to work with is company with positive attitude toward the disabled and assigning the right job to the disabled has the same score of 48 employees (90.60%), the second majority is suitable working time of 38 respondents (71.70%), the equality among employees of 37 employees (69.80%), providing housing for the employees of 17 staffs (32.10%), transportation services of 7 staff (13.20%), and the least group was providing suitable facility for the disabled employees of 6 staff (11.30%) respectively.

Table 7 Frequency and Percentage of Desired Employers by the Disabled Employees

Desired Employers	Frequency	Percentage
Positive Attitude	48	90.60
Equality among Employers	37	69.80
Assigning the Right Responsibility	48	90.60
Suitable Working Time	38	71.70
Providing Suitable Environment for the Disabled	6	11.30
Transportation Service	7	13.20
Housing Service	17	32.10

*more than 1 can be marked

Part IV The study of other related agency in the support of the disabled employees in the Upper Northern Part of Thailand.

Based on the interviewing of related government staff who are responsible for enhancing the employing opportunities of the disabled, it is found that
There is only few opening position for the disabled in the companies due to the mismatching of the disabled' knowledge and competency and the companies' requirement. This can be caused by lack of agency representing the disabled and there are various type of disability which has made it more difficult to match.

Lack of active policy/strategy in involving the disabled in the local area which can be explained by lacking of personnel, experience in hiring the disabled, lack of useful information from the disabled and the companies including lack of coordination between employing departments from private and public sectors such as the Organizations of employers and employees, disabled person Organizations, educational Organizations, social benefit Organizations etc.

Lack of tool and disability aids which results in little access to their rights such as lack of hand language interpretator for hearing impairment staff, communication too to vision impairment staff.

Conclusion

The management of the disabled to frozen fruit and vegetable industry in the Upper Northern Part of Thailand should be conducted based on the matching between the disabled's knowledge, competency and the companies' requirement. The government agency must build up positive attitudes toward working competency to entrepreneurs and motivates them to employ more disabled employees such as labelling on the products showing that it was done by the disabled, honouring companies that employ the disabled, including setting active policy

Which government agency is responsible for selecting the disabled who are ready to work for the opening positions. Companies can notify the required characteristics to such agency to the Department of Employment so that the proper training to the disabled can be provided by the Ministry of Social Development and Human Security. This would increase the disabled's competency, hoping to match up with the companies' requirement and would increase the probability of those disabled in getting the job. Ideally, the industry would hire the disabled more than that of required by laws or more than 100:1 ratio.

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Integrating TTF and UTAUT to Explain the Pharmacists' Adopting Intentions of Telepharmacy

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Abstract

Pharmaceutical care involves the process through which a pharmacist cooperates with a patient and other professionals in implementing a therapeutic plan for the quality use of medicines. However, traditional pharmacy were limited by the shortage of the pharmacists and capabilities of communication, the quality pharmaceutical care was not provided effectively.

Previous studies have pointed out the implementation of telepharmacy have potential benefits for improving pharmacy service coverage regardless of where the pharmacist is located. The success of this program depends on the aggressive usages by the pharmacists. Therefore, it's noteworthy to investigate the determinants of pharmacists' intention to adopt telepharmacy in their clinical practice.

By integrating the task-technology fit theory (TTF) and the unified theory of acceptance and usage of technology (UTAUT), this research proposed a telepharmacy adoption model including six constructs for the pharmacists. We conducted a questionnaire survey from 225 pharmacists in Taiwan and used partial least squares (PLS) via SmartPLS to test our hypotheses of the proposed model.

Our results show that both performance expectancy and effort expectancy directly affect the adopting intention of telepharmacy, but the task technology fit will not. However, the antecedent factors of performance expectancy including task technology fit and technology characteristics have significant effect on pharmacists' intentions

indirectly.

This study offers a new perspective and a strategic guide for health care industries on how to promote pharmacists to implement telepharmacy and provide quality pharmaceutical care in their community.

Keywords: Task technology fit (TTF), Unified theory of acceptance and usage of Technology (UTAUT), telepharmacy, pharmacy, telecare

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The Concept of Power in International Relations: Lessons from the Ukrainian Crisis

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Abstract

Russia's ongoing political, economic and most disturbingly military involvement in Ukraine's internal affairs has shaken the world in general and the Eurasian continent in particular. Despite many differences of opinion, most Western scholars tend to agree that Moscow thus demonstrates its adherence to "traditional" concepts of power understood both as status and means of influence projection. The former argument relies on Russia's remarkably high status-awareness due to its relatively recent superpower experience and fear of perceived American hegemony. The latter one underlines its continuous reliance on hard power resources, reminding zero-sum, "spheres of influence" mentality of the late 19th century Europe. Although both these views seem to have much to do with reality, the "power discourse" surrounding the Ukrainian crisis usually mitigates the agency of another side of the conflict. Being one of the largest European countries, Ukraine not only is a potential middle power in its own right, but also presents a new ideational challenge to Putin's Russia, questioning the Kremlin's electoral legitimacy, Russia's European identity, its historical "anti-fascist" credentials, and perhaps most importantly its Russian-ness itself. Thus, although desperately lacking in "harder" (i.e. military and economic) power compared to the huge neighbour, present-day Ukraine contains important "softer" power resources, which might amount to a potentially crippling attack on Moscow's geopolitical vision and official identity projects with possible repercussions for its future stability. These insights would hopefully allow us to better understand both Russia's behaviour and the nature of changes within "power discourse" of theoretical and practical world politics.

Keywords: Ukraine, Russia, international relations, agency, power discourse, hard power, soft power

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Introduction

The ongoing Ukrainian crisis is indeed of utmost importance due to both the actors and stakes involved. At the time of this writing, it is already safe to affirm that the issue is marked by three fundamental "firsts": *the first internationalized military conflict within the traditional borders of Europe (i.e. outside South Caucasus) in the 21st century*, *the first annexation of another country's territory in Europe since the Second World War*, and *the first truly significant confrontation between Russia and the West since the end of the Cold War*. These and other features of the crisis have shocked both the international relations (IR) practitioners and analysts with some of the latter tellingly seeing in it the "unwinding of the post-Cold War order" (Menon and Rumer, 2015). Largely agreeing with this position, the current essay-like paper is composed as an attempt to reflect on the power-related discourse surrounding the continuing conflict in the middle of Europe with particular focus on none other than Ukraine itself which surprisingly has been "lost" within theoretical and practical narrative on the issue. It is hoped that *bringing Ukraine back* into the picture would advance our understanding of the reasons behind the crisis as well as its already present implications for wider regional and global security.

Among many definitions of power within theory and practice of international relations, there are two crucial ones in trying to explain the ongoing Ukrainian crisis. In a nutshell, power as a status or condition implies a certain identity that an actor possesses or attempts to possess. Power as a resource or means of influence projection, however, deals with rather more material features that it demonstrates to substantiate its claims. Based on this general conceptual distinction, the paper presents a consecutive analysis of the main academic positions on the interested parties within the crisis (agency), critically evaluates their main propositions, and highlights the Ukrainian power characteristics that largely continue to be surprisingly neglected, although being central to proper understanding of the ongoing conflict. The principal finding would thus state that *present-day Ukraine not only remains a potential middle power in its own right, but even more importantly presents a qualitatively new ideational challenge to the Putin's regime built in 21st century Russia*. Although this issue indeed is of existential proportions to the Kremlin, the primary sources of it derive precisely from Ukrainian power and identity characteristics, rather than from the Western actors, despite the popularity of the latter position in Russian, American and European academic discourses. In other words, *one should not confuse the issue of Western (non-)military help to Kyiv with the fact that the crucial challenge to Russia comes from the Ukrainian state rather than its alignments*.

Ukrainian Crisis *without* Ukraine: Academic Discourse on the Powers Involved

Besides outright conspiracy theories, there are two principal divergent Ukrainian crisis interpretations conveniently presented in some of the most comprehensive English-language monographs on the issue up to this date (mid-2015). Thus, Andrew Wilson (2014a) emphasizes Ukrainian internal dynamics by presenting the Euromaidan as a "people's power" revolution against the corrupt regime of Viktor Yanukovych, and the subsequent war in the Donbas as popular resistance against revisionist hegemonic power of Russia. His British compatriot Richard Sakwa (2015), however, by mainly applying a structural-realist view, attributes the causes of the

conflict to "multiplicity of power-centres" after the allegedly unfair ending of the Cold War. As these positions would be briefly addressed later, suffice it so say here that in the latter book especially the Ukrainian agency has been subjugated to the Russo-Western relationship dynamics.

Surely, there are important qualifications to warrant such choices and positions. First, *Ukraine indeed has to bear the fair amount of blame upon itself for dismally failing to live up to its promises during the two decades period of post-Soviet independence*. Sakwa, for example, goes as far as in fact outlining two different crises, the "Ukrainian" and the "Ukraine" ones, with the former focused on the contradictions of this country's nation- and state-building projects since independence. Ukraine's repeated comparison with neighbouring and in many ways similar Poland would only strengthen these sentiments. One certainly needs to have in mind, however, that this kind of negative comparison was probably among the main drivers of those who stood and died for their beliefs during the revolution. Contrary to Sakwa's statements, *the Euromaidan indeed had a substantive enough vision of the empowerment of people at its heart*. One only needs to address a multitude of interviews with its direct participants to become sure of this.

Second and perhaps more importantly, the above-mentioned and many other Western scholars are writing about the Ukrainian crisis having in mind both their auditorium and responsibility for their words. Thus, *the whole very complex issue in question is being presented primarily through the relationship between the West and Russia*. Notably, the subtitles of Sakwa's and Wilson's books emphasize "the crisis in the borderlands" and its meaning "for the West", respectively. Either putting more (Wilson) or less (Sakwa) blame on Russia, they both are West-relational in principle and essence. Surely, these contributions are outstanding compared to the notorious and sadly rich academic tradition of representing our case study in such terms as "divided", "unsustainable", "improbable" etc. This position perhaps most prominently was pronounced by late Samuel P. Huntington who described Ukraine as a "cleft country" in one of his most controversial works (1996), and by Zbigniew Brzezinski who (in-)famously put it on his "grand chessboard" as the figure that would transform Russia (1997). Present-day big names in IR studies also share this position which added to their (over-)emphasis on theory would produce rather questionable results, represented by John J. Mearsheimer's (2014) unmistakable accusations to the West for entirely causing the crisis, or many others more or less openly calling for Ukraine's "finlandization" (e.g. Walt, 2015), as if the Cold War had never ended in the first place and USSR had not ceased to exist. Some scholars, creatively applying post-colonial approaches, with good reason call these interpretations of the Ukrainian crisis "orientalism reanimated" (Belafatti, 2014).

To reveal the Ukrainian agency within both the conflict and its solution, there is a need to address the power-related dynamics of other actors involved. Russia would be a natural choice to start with. Despite many differences of opinion, most Western scholars tend to agree that during the crisis Moscow has demonstrated its adherence to "traditional" concepts of power. The former argument relies on Russia's remarkably high status-awareness due to its relatively recent superpower experience and fear of perceived American hegemony. The later one underlines its continuous reliance on hard power resources, reminding zero-sum, "spheres of influence" mentality of the late 19th century Europe. There is, however, a huge discord in vindicating these

positions and actions. On the one hand, Russia is perfectly understood and called a "normal", rather than "revisionist" great power (Götz, 2015). This line of thinking is usually associated with geopolitics, emphasizing Ukraine's "borderland" position locally and Russia's refusal to submit itself to Atlanticist dominance globally (Sakwa, 2015; Tsygankov, 2015). These premises more often than not lead to surprise results as for example stating that the Kremlin was "at most only tangentially responsible" for the crisis (Sakwa, 2015).

On the other hand, there is a position that Russia is an unmistakably revisionist and opportunist power which only understands strength and views any Western weakness as an opportunity to exploit (Kramer, 2015). According to this line of thinking, the Kremlin acted in Ukraine because it could. This was partly a consequence of European division and economic weakness as well as US strategic retrenchment. Russia, however, itself suffered from the "power schizophrenia" that rested on the desire to be both liked an feared by the West (Lindley-French, 2014) as well as from the "world's biggest persecution complex" (Wilson, 2014a) both of which only made matters worse.

I would argue that these widely diverging views should be validated by emphasizing the differences between kind and degree while trying to answer two extremely important questions concerning the Ukrainian crisis. Let us deal with these by first measuring the degree of relevant variables. The first question asks *whether present-day Russia is a revisionist power*? The status-related answer would focus on its role perception in the contemporary global and regional strategic environment. As all analysts would at least agree that Russia is a *post-superpower state*, one probably needs to look first at its relationship with the Soviet past. Sakwa curiously maintains that during the breakup of the USSR its largest component federal republic and socio-political core was sharing the victory with the rest behind the crumbling "iron curtain". This was definitely the feeling of many Russians and especially liberal-minded ones, but looking at the country's current political leadership's rhetoric and actual policies one would find unmistakable signs of pro-Soviet and even pro-Stalinist whitewashing. Thus, the sheer degree of present-day Soviet super-power references and allusions would definitely indicate "phantom pains" deeply entrenched within both the political elites and the society. Contrary to what Sakwa claims, *the Cold War has indeed ended in a defeat, "cold" though it was*, and calling Poland and the Baltic states "militantly revanchist powers" in this context is rather odd, especially having in mind Russia's recent methods of influence projection.

Actually, the means-related answer is a more appropriate one in this particular case. The Russia-friendly view would underline the reactive nature of its actions. The Crimean "episode" is side-lined to such a degree that one of the most blatant violations of international law both during and after the Cold War is presented as "preventative", "natural", "understandable" or even "legitimate". Then follows *the paradox of* de facto *defenders of the spheres-of-influence mentality with its specific post-Soviet version of Russia's special entitlements blaming the West and regional states for "sticking to the Cold War thinking"*. The obvious question from many opponents of this view would be: if Crimean annexation is not a revisionist behaviour, then what is? Notably, even though both sides pinpoint Russia's many internal contradictions, challenges and weaknesses, the former apparently search for "compensations" for these, as though Eastern Europe in general and Ukraine in

particular are somewhat responsible.[1] Hence, *the degree of Moscow's actions would put its current political manifestation in an even higher position in terms of revisionism than its direct Soviet predecessor during the Cold War.*

The second question then logically follows the first. It asks about the degree of Russia's military (hardest form of power) involvement in Ukraine and might be rephrased in the following manner: *to what degree is the conflict a civil war*? The answer to this question is usually focused on the Donbas insurgency side-lining the Crimean issue altogether, thus precisely conforming to the Kremlin's agenda. In that sense, the takeover of the peninsula amounts not only to a "democratically implemented rectification of historical injustice", but also to the actual "saving of it" from the ravages of "civil war". Opponents of this view point to the lies behind all the principal Moscow's justifications for the annexation, i.e. its "eternally Russian" history, alleged persecution of ethnic Russians, the Kosovo analogy, and the "referendum's" democratic essence (Motyl, 2014). In reality, the sheer swiftness of Crimea's takeover suggests that contingency plans had been in place (Götz, 2015). The additional "NATO threat" justification was semi-officially applied later, when the Russian authorities apparently became aware of this position's relative popularity among Western politicians and scholars.

The Donbas, however, was the place that Ukraine opted to fight for. Much has been written about the region's popular choice in Russia-sympathetic accounts, conveniently neglecting the lack of reliable recent opinion surveys and the fact that instability was mostly instigated by "protest-tourists" coming from Russia, and later insurgency commanded largely by Russian citizens. The Kremlin justified its subjects' participation in the war as an "independent personal choice", initiating a crackdown, however, on a fair number of Russians who went to fight for the Ukrainian side, rather than against it. The "Kievan fascist junta" was then accused of indiscriminate killing of civilians, ignoring the fact that insurgents were constantly waging their artillery attacks from civilian areas, and conveniently disregarding natural comparisons between the methods used and results achieved during the Ukrainian "Anti-Terrorist Operation" in Donbas and Russia's own "Counter-Terrorist Operation" in Northern Caucasus.

The most controversial issue, nonetheless, is Russian regular forces' participation during the conflict. Today it has already become safe to conclude that Moscow has been providing the insurgency with military equipment, intelligence data and artillery cover-up in frontier areas throughout the whole period of contingencies. The "Russian onslaught" topic omnipresent in the Ukrainian discourse, however, is a more nuanced one. The units of Russian regular forces were actively participating in the contingencies during the crucial events, probably starting with a sudden reverse of rapid Ukrainian advance in August 2014. Russian regular servicemen captured by the Ukrainians were either dismissed as "lost" during the drills on Russia's territory or renounced as being "currently resigned" from its military and security forces. With time passing by, the Kremlin's "hybrid warfare", so successful in Crimea though it seemed, becomes more and more akin to a historically pretty familiar growing participation in a classic proxy war (Wilson, 2014a). Suffice it to conclude that *if the war in Donbas is a "civil war" it is one of not only Ukraine, but Russia as well*,

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[1] The reverse argument would be plausible though.

though luckily not on its soil. Indeed, despite many Ukrainians' rather understandable current rejection of the objective Russian connections, there are lots of ethnically and linguistically Russian Ukrainians and a decent number of Russian citizens fighting for the governmental forces in Donbas.[2] This fact has become one of the main sources of Ukraine's soft and potentially hard power against its foes.

Let us briefly deal with the most powerful Ukrainian friends or "allies", as perceived by Russia. The European Union (EU) naturally comes first due to the background of the whole conflict. Widely held as a "normative power" and even awarded a Nobel Peace Prize in 2012, it indeed has crucial implications for both Ukraine and Russia. Analysts differ on the EU's exact threat perception for the latter, with some saying that it is understood as a potential great-power centre in the making (Götz, 2015), or alleging that its Eastern Partnership is presumed to be a "Trojan Horse" for the expansion of Western values in general and NATO in particular (Tsygankov, 2015). In fact, a rather original, but nonetheless interesting position states that the enlargement of the EU poses a far greater threat to the Kremlin than NATO, precisely because Russia is struggling to understand new sources of power in the 21st century (Lindley-French, 2014). The Ukrainian crisis further strengthened *the paradox of Eastern Europeans in many senses being more Euro-optimist than the "old Europe"*. Wilson (2014a) is especially vocal in claiming that Ukrainian revolution might be understood as a reminder of older and more vigorous continent. According to him, Ukraine that knows much more about Europe than vice versa, sacrifices blood for its "values", while the EU is unwilling to sacrifice its purse. Russia, on the other hand, is trying hard to sow discord within its institutions by actively supporting Euro-pessimist radicals on both the left and right and using personal connections with many member-countries' economic and political elites.

It is, however, the US that apparently looms large in Russia's rhetoric surrounding the crisis. Moscow is especially vocal by disseminating accusations of Washington's involvement as a penalty for both countries' recent differences across many other issues, ranging from Edward Snowden affair to Syria. The EU is rhetorically challenged with accusations of being mere "clients" or "hostages" of Americans. On the other hand, *both the Russian political elite and population apparently are satisfied with Washington's new attention, reminding them the Cold War era when the principle of "fear means respect" was largely guiding their foreign policy and strategic thinking*. Although talking a lot about America's "revanchism", "strategic fatigue" and "absolute decline"[3], Russia can barely withstand its "smart power" of financial sanctions (Wilson, 2014a). *Its much lauded shift to the East remains to be a wishful thinking at best, and even if successful would amount to a grave security threat due to rising power asymmetry with Asian neighbours in general and China in particular*.[4] The Ukrainians are closely following this rhetoric being quick to remind *the irony of Russia supposedly fighting America on Ukraine's soil by killing "brotherly" Ukrainians*. Let us explore their position in detail.

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[2] The same is true of the protests on the Maidan in both 2004 and 2013-14, as affirmed by Sakwa.

[33] As opposed to a relative one which very much represents today's global geostrategic realities due to (re-)emergence of new power centres with China being the primary among them.

[4] As was observed in my doctoral dissertation "The Clash between China's and Russia's Interests of Regional Hegemony in the 21st Century" (2014).

The Ukrainian Agency: an Existential Threat to Putin's Russia?

To start with, it is important to understand that *the Kremlin is indeed right in viewing Ukrainian revolution's threat to itself precisely due to socio-cultural similarity and geographic proximity between the two*. However, *it is dishonest in two vital respects: first, by blowing up the "fascist" nature of the challenge, and second, by switching the regime interests with those of the state*. Despite its huge potential, Ukraine is no match for Russia in terms of overall economic and military power. As Sakwa (2015) maintains, the country indeed was effectively locked in a developmental stalemate during its independence, and the Orange revolution failed to break the deadlock. However, he is too quick to similarly dismiss the results of the Euromaidan, and curiously fails to notice Russia's disruptive role within these processes. Although being a remorseful middle power failure, Ukraine continues to have some edge over Russia in terms of military technology and diversification of economy. But *its true potential challenge, nevertheless, rests on tremendous "softer" power resources* as would be successively shown below.

Ukraine's ideational rather than material threat to the Kremlin rests on the fact that *Ukrainians are unmatched Russia-watchers and Russia-experts*. Long suffering from a neo-colonial sort of minority complex within a supposedly common Russia-led Orthodox East Slavic world (Kappeler, 2014), the Ukrainians not only were slow to build inside and publicize outside their national and state identities,[5] but also became intimately knowledgeable of Russia's cultural, social, economic and political realities. Post-Soviet Ukraine's identity build-up is reasonably criticized for being too conflictual and exclusive, but I would argue that the crisis turned the issue for the better rather than for worse as often claimed by Ukraine-bashers. In fact, *for the first time it was the issue of ethnic Russians that proved to be a double-edged sword for the Kremlin*, as Ukraine's "state identity" finally began to trump ethno-linguistic divisions with many Russophone and even Russophile citizens unifying against a common very peculiar threat.

Marléne Laruelle (2014) has recently explored the pro-Russian term "Novorossiya"[6] as a live mythmaking process orchestrated by three different nationalist circles to justify the Donbas insurgency. The corresponding ideological paradigms, i.e. "red" (Soviet), "white" (Orthodox), and "brown" (Fascist), however, can only partially explain active participation of non-Slavic fighters within the ranks of separatist forces. Although the motives of ethnic Chechens or Buryats for military involvement apparently differ on a case-by-case basis,[7] the Ukrainians were quick to notice *the irony of non-Slavs defending the "Russian World" in the ongoing "Russian Spring"*[8] *against Slavic Ukrainians, many of whom actually are ethnically and/or linguistically Russian*.

Indeed, ever since one of the so-called Crimean "green men" with characteristically East Asian appearance admitted on camera of belonging to Russia's regular military

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[5] Obvious in the still popular English-language Russophone references of "the Ukraine" instead of "Ukraine" or "Kiev" instead of "Kyiv".

[6] Literally "New Russia".

[7] More on this in my forthcoming article "Between the "Russian World" and "Yellow Peril": (Re-)Presentations of Russia's Non-Slavic Fighters in Eastern Ukraine".

[8] Here "Russian" has an ethno-linguistic (*russkiy*) rather than a state-based (*rossiyskiy*) meaning.

forces back in March 2014, the non-Slavic militants have been both specifically highlighted and mocked at by the Ukrainians who thus challenged the Kremlin's official position on its involvement in the hostilities, and half-jokingly developed the image of a new "Yellow Peril" yet again arriving from Asia to destroy the "cradle of Eastern Slavic civilization". These popular narratives should not be taken for simple Ukrainian ethno-centrism or racism.[9] Rather, *they serve the triple purpose of denouncing Putin's hidden motives and open propaganda,*[10] *validating their European "civilizational choice", and unifying their diverse society against common and well-known "barbaric" enemy.*

This last "orientalization" of the external threat additionally provided a "safety net" to many Ukrainians who (sub-)consciously refused to see the foe among their "Russian brethren" residing under the Kremlin's "yoke". In this case ethnically Russian citizens of the "aggressor state" are being portrayed as deceived by the somewhat almighty and absolutely evil figure of Vladimir Putin, thus conveniently forgetting that big brother mentality and Ukrainophobia are widely entrenched within the Russian society, even despite (or more controversially because of)[11] the huge number of Ukrainian descendants there. This *personification of guilt in the Russian president*[12] is also related with other identities of his state ascribed or questioned by the Ukrainians. For them, Putin is no different from Adolf Hitler, and his country's actions are fascist in both nature and deed. Russia's much lauded "anti-fascism" then becomes even more cynical, reminding Winston Churchill's often-quoted phrase about future fascists disguising as its opponents.

For Euromaidan supporters, Putin's Russia continues to be closely identified with Yanukovych's Ukraine. Their revolution thus was directed not so much against the figure of the-then president, widely hated though he was, but against the corrupt, incompetent and irresponsible oligarchic power framework.[13] Putin's guilt hence lied not that much in supporting the ultimately ousted colleague, but actually in representing the source and powerful ally of this same model known in his country as the so-called "power vertical" or simply the "system" (Wilson, 2014b). *To many more or less sympathetic Ukrainians the neighbouring state was hijacked by the propaganda-savvy and cynical KGB/FSB operatives, outrageously calling their own post-revolutionary and even post-electoral overwhelmingly civilian, less nationalist-represented government "junta".* The Kremlin's much more persuasive argument of an anti-constitutional coup against democratically elected government in Ukraine, however, was countered with claims about the breakup of the social pact with the

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[9] Those doubting should consider the fact of many Crimean Tatars and Chechens currently fighting for the Ukrainian cause. These fighters apparently enjoy much acclaim and respect within both the larger society and members of the military-security establishment, not excluding the marginal nationalist radicals.

[10] This line of argument was literally followed by Simon Ostrovsky, an Emmy-award winning journalist for VICE News, who using open-access photograph service in Russian social media traced the path of an ethnically Buryat Russian regular soldier to and from the war in Eastern Ukraine.

[11] It is curious to notice that within the Russian political and socio-economic spheres the Ukrainian family names (most ending with –o or –uk) usually go together with some of the most extreme and openly propagandistic comments about the post-Yanukovych Ukraine as if these people have something to prove to their country's authorities or themselves. The opposite trend is represented by much less voices with rock-musician Yuri Shevchuk being perhaps the most prominent one.

[12] Perhaps most clearly symbolized by the (in)famous chant of the Ukrainian football (soccer) fans.

[13] Even having in mind the painful post-revolutionary period of largely failing hopes.

people (Motyl, 2014), and the overthrown elites' criminal acts ranging from blatant corruption to violent suppression of the entirely peaceful Euromaidan activists first and killings of their openly belligerent supporters later.

The natural subsidiary Ukrainian response was based on questioning the legitimacy of the Kremlin itself, especially emphasizing the recent electoral cycles there that had been widely recognized as unprecedentedly rigged even by low Russian standards. The Ukrainians were obviously aware that within a new "conservative values project" built to increase the Putin system's popularity after post-2012 legitimacy crisis, it was they that this time served the quasi-internal enemy role created by political technologists to unite the Russian population behind their strongman (Wilson, 2014b). Ukrainian humorous defiance to counteract their neighbour's often impertinent propaganda deserves particular mention. Indeed, many of them quickly embraced outrageous labels largely created and propagated by the Russian media, willingly calling themselves "butchers" (*karately*), "ukrops",[14] "(zhydo-)banderites"[15] or junta members to further ridicule opponents. It remains to be seen how effective all these methods truly were.

Conclusion

To conclude, there are several principal power-related lessons from the Ukrainian crisis. First, *the academic and official discourse employing the term in the area of international relations itself is a manifestation of power*. In the case under analysis, it was surprisingly none other than Ukraine that suffered most, by being semantically neglected at best and subjugated to Russia at worst. Obviously, appreciation of the Ukrainian agency is of prime importance in order to both understand the crisis and find sustainable solutions to it.

Second, *Ukrainian choices indeed are of existential importance to Russia, but stressing the interests of the regime or the state would lead to different conclusions about the nature of its impact*. If the latter is presumed to be more important, Moscow should ill-afford serious confrontations with its culturally and economically close and potentially prosperous neighbour. Rather, it acted in a classically revisionist and aggressive manner which already has caused serious harm to its own power ambitions with highly probable even more negative repercussions in the future due to radically changed perceptions about it in both the larger part of international community and the "emerging" Ukrainian state. Russia's behaviour during the crisis thus amounted to opting for short-term gains for the regime, rather than long-term power achievements for the state.
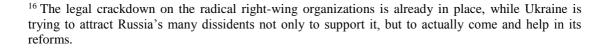
Third, *many IR commentators and practitioners should not award Russia power advantages that it does not objectively possess or deserve*. They are well advised to finally get over the break-up of the USSR which gladly for us all was *defeated* without much blood spilled. Furthermore, it was defeated for a very good reason of being unsustainable, repressive and corrupt. One remains surprised of popular views that Russia should be somewhat compensated for the breakup of the USSR, rather

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[14] Supposedly offensive distortion of "Ukrainians", etymologically close to the word meaning dill plant.
[15] Strange combination of anti-Semitic moniker with notorious title since the Soviet period used to describe Ukrainian nationalists (according to a divisive figure of Stepan Bandera).

than criticized for ever-increasing attempts to revive many of its elements. Even if one remains convinced that this country suffered unjustifiably, why its Eastern European and post-Soviet neighbours in general and Ukraine in particular are designated to pay the bill.

Fourth and finally, although being a potential middle power in its own right, Ukraine *presents a qualitatively new ideational, rather than purely material, challenge to Putin's Russia*. Intimately aware of its neighbour, it questions the Kremlin's electoral legitimacy, contemporary Russia's European identity, its historical "anti-fascist" credentials, and perhaps most importantly its Russian-ness itself. These "softer" power resources might amount to a potentially crippling attack on Moscow's geopolitical vision and official identity projects with possible repercussions for its future stability. Indeed, in many ways the "civil" nature of the war in Donbas extends beyond Ukrainian borders to Russia, while scapegoat-like Putin-bashing leaves some space for eventual "awakening" among the "deceived brethren". The success of Ukraine's resistance, then, depends not only on the Western and regional support or Russia's own preventive challenges, but also on the results of its inclusive state-identity project which is not only necessary, but also possible and according to many signs[16] already in the making. Although the killing of a leading Russian liberal figure and anti-war activist Boris Nemtsov along with Moscow's resistance to the creation of international tribunal to investigate the shooting down of Malaysian airliner further discredit the Kremlin, Ukraine can ill-afford to continue the "race" of which would socio-economically and politically collapse first. Neither is it in Russia's national interest to follow this path, though many continue to think otherwise.

[16] The legal crackdown on the radical right-wing organizations is already in place, while Ukraine is trying to attract Russia's many dissidents not only to support it, but to actually come and help in its reforms.

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Explaining Crimmigration in Indonesia: A Discourse of the Fight against People Smuggling, Irregular Migration Control and Symbolic Criminalization

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Abstract

Controlling migration in the world's largest archipelago brings various challenges to Indonesian authorities that differ from other countries. The difficulties become even more complicated since Indonesia has been known as the most favorite transit country for people who want to migrate to Australia due to its strategic geographical location, which is situated between the continents of Asia and Australia and between the Pacific and Indian oceans. Following this, the decision of choosing the mechanism of criminal law to deal with irregular migration from the start leads Indonesia to its acknowledgment as a country who is vulnerable to the trend of crimmigration. The criminalization of immigration-related conducts, the authorization of investigative power to the immigration officers, and the implementation of the 'selective policy' in the very first Immigration Law (Law No. 9/1992) justify the underlying situation in Indonesia. This condition is even harsher when Indonesia has joined the fight against people smuggling since the new law concerning immigration (Law No. 6/2011) also increase criminal sanctions for immigration-related offenses. Nonetheless, this punitive approach stands as a symbolic strategy, which is barely enforced by Indonesian authorities and it serves nothing than responding the problems with erroneous actions. By doing this, the Indonesian government has shown its weakness and inability to control crime problems to acceptable levels.

Keywords:Crimmigration, people smuggling, irregular migration control, symbolic criminalization, Indonesia

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Introduction

Since the worldwide interconnectedness in every aspect of contemporary social life becomes more apparent due to globalization, human migration turns out to be an inevitable phenomenon (Held, McGrew, Goldblatt, & Perraton, 1999). Such movement occurs because of various motives. Bauer and Zimmerman (1998) empirically argue that the desire of individuals to seek for better economic conditions is the largest determinant of human migration. In another place, Castles and Miller (2009) assert that advances in technology, communication, and transportation results in a large amount of people to migrate internationally. In addition, Held et al. (1999) mention that networks of political, military, and cultural power cannot be separated from human migration because all of them intersect with each other. Those are quite the reasons why the impact of migration, both global and regional, on home and host countries is multifaceted.

In 2010, a number of 214 million people are roughly calculated by International Organization for Migration (IOM) as international migrants worldwide. More recent estimates from United Nations Department of Economic and Social Affairs/Population Division (UNDESA, 2013b) suggest that there were 232 million international migrants in 2013. This figure was compounded by 135.6 million (59 percent) international migrants lived in the developed regions, whereas another 95.9 million (41 percent) international migrants were found in the developing regions. Compared to such trend in 1990, this number rose by over 77 million or by 50 percent, which most of this increase happened during 2000-2010 with an annual addition of 4.6 million migrants.

Subsequently, the forms of migration could be explained into different categories. United Nation Development Programme (UNDP) (2009) illustrates this movement by using the analogy of the multiple doors of a house: permanent settlers will be allowed to enter the house through the front door; short-term visitors or workers will use the side door; and irregular migrants will set their foot in the house through the back door. Nevertheless, these procedures often converge once inside the country. For instance, temporary visitors could turn into irregularity because of overstaying, or the irregular migrants could gain permission to stay in the country due to the authorization for being a refugee. Therefore, the distinction between regular and irregular migrants is not always crystal clear (UNDP, 2009, p. 26; see also Bloch & Chimienti, 2011; Donato & Armenta, 2011; Morehouse & Blomfield, 2011).

However, as Bloch and Chimienti (2011) noted, irregular migration turns out to be a global case since the early of twenty-first century. According to Hatton & Williamson (2003), an approximate number of 10-15 percent of total international migrants in 2004 was irregular migrants (see also IOM, 2010; UNDP, 2009). Because of its rapid occurrence in almost every country in the world, irregular migrations gains enormous attentions from both state and private actors (Bloch & Chimienti, 2011). Furthermore, according to UNDESA (2013b), this condition becomes even more intense because of the fight against human trafficking and people smuggling in international level through several legal instruments such as the United Nations Convention against Transnational Organized Crime (UNCATOC), The 2000 Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children (THB Protocol), and The 2000 Protocol against the Smuggling of Migrants by Land, Sea,

and Air (People Smuggling Protocol). There are more than 150 countries that ratify the THB Protocol and near 130 countries became States Parties of People Smuggling Protocol. It also be accompanied with numerous scholarships concerning irregular migration, border control, people smuggling and/or human trafficking (Ashutosh & Mountz, 2011; Bloch & Chimienti, 2011; Castles, 2010; Collyer, 2006; Djajic, 2014; Donato & Armenta, 2011; Dwyer, 2005; Duvell, 2011; Kapur, 2005; Morehouse & Blomfield, 2011; Pickering, 2006; Preston & Perez, 2006; Tamura, 2010; Taylor, 2005; Weber, 2005).

From the aforementioned development, it is evident that irregular migration and its undesirable effects are being considered as a global problem that should be dealt seriously. Stumpf (2006) introduced the term crimmigration to describe the intertwinement of criminal law and immigration law, both in substance and procedure, as government's recent strategy to manage migration problems. Up to this moment, as van der Leun and van der Woude (2013) denoted, the crimmigration debates are pretty much concerned about the practices in the United States (US) (see also Chacon, 2012; Legomsky, 2007; Sklansky, 2012; Stumpf, 2006). There have been various attempts to bring such discourses to the European Union (EU) context (Aliverti, 2012; Jennissen, 2013; Parkin, 2013; van der Leun & van der Woude, 2013), but such discussion concerning other continents remains dark.

In relation to that, Indonesia becomes an interesting case study. The strategic geographical location, which is situated between the continents of Asia and Australia and between the Pacific and Indian oceans, leads to its acknowledgment as most popular transit country for migration to Australia (Crouch & Missbach, 2013; Hugo, Tan, & Napitupulu, 2014; Missbach, 2014; Missbach & Sinanu, 2011; Schloenhardt, 2011; Zulyadi, Subramaniam, & Kamello, 2014). Besides, by looking into the fact that Indonesia has more than 17,000 islands with extensive sea borders, it is quite challenging for state authorities to control their borders comprehensively (Missbach, 2014). Having said that, there is a very limited attention given to this particular subject, even though, as Misscbach (2014) notes, 'it sees a great amount of in- and outward irregular migration' (p. 228).

This research paper begins to initiate crimmigration discourse with specific focus on the Indonesian experience. In order to better understand the context behind the phenomenon, first, it will depict theoretical frameworks of crimmigration and then move to the practices of Indonesia's migration control. It will also analyze the changes to Indonesia's response on irregular migration, especially after the international recognition of the fight against people smuggling, which has influential effect to the present development of immigration. In the final part of this paper, it will be argued that Indonesia has chosen the mechanism of criminal law to deal with irregular migration from the start. This condition becomes even harsher when Indonesia has joined the fight against people smuggling since the new law concerning immigration (Law No. 6/2011) also increase criminal sanctions for immigration-related offences. Nonetheless, this punitive approach stands as a symbolic strategy, which is barely enforced by Indonesian authorities and it serves nothing than responding the problems with erroneous actions.

Criminal Law as a Tool of Migration Control

As mentioned earlier, the distinction between immigration law and criminal law is not clear anymore because many governments has used criminal law to deal with migration problem. Parkin (2013) reveals this trend has taken place for almost 30 years along with other features of stricter border control, tighter entry requirements, and larger capacities for detention and deportation. Stumpf (2006) sees this merger as 'odd and oddly unremarkable' because both criminal law and immigration law have two different focuses. While criminal law aims to protect society from certain acts, which are considered as harmful or dangerous, immigration law supposes to manage the traffic of migration in particular countries. However, criminal law and immigration law are similar in terms of the way they administer the connection between the state and the individual. On top of that, according to Stumpf (2006), both criminal law and immigration law is branch of law, which creates a system of inclusion and exclusion. They decide whether such individuals belong in society or not, therefore such convergence is not surprisingly exceptional.

Hypothetically, the so-called membership theory was constructed from the concept of social contract between the government and the people (Stumpf, 2006). Those who been enlisted as the party of the contract gain positive rights and have the ability to make claims against government, whereas government will do whatever it takes to protect its constituents and legitimately could act beyond the restriction of the contract against non-members. In the context of crimmigration, Stumpf (2006) argues that membership theory most likely to undermine the protection for aliens and narrow the definitions of its member. The most obvious example is the consequences of exclusion from membership resulted from significant overlap in substance of criminal law and immigration law. Since there are consistent proliferations of criminal sanctions to the immigration violations and criminal basis for deportation from the country, immigrants will continue to be associated with criminals. Conversely, because of violating community's value through committing a crime, ex-offenders will also be treated as aliens. As a consequence, Stumpf (2006) mentions that both immigrants and ex-offenders become secondary 'member' of the country and have less privileges compared to the original members.

In relation to that, Legomsky (2007) delivers similar critics to this movement. The incorporation of criminal law into the realm of immigration law leaves an asymmetrical path. While the elements of criminal enforcement have firmly accepted in immigration law, the procedural safeguards from criminal adjudication have been refused. This reflects not only the ignorance of government to fulfill the primary goals of immigration law, which are to facilitate lawful immigration and to assist immigrants to integrate with their new environment, but also shows the tendency to view the immigrants as deviants since they are so busy with enhancing criminal sanctions to immigration-related conducts (Legomsky, 2007; see also Chacon, 2012). As a result, noncitizens will always be a vulnerable group that lives in a fear of getting deported with limited protections because of violating such rules that Kelman and Hamilton (1989) defines as crimes of obedience (Legomsky, 2007).

Furthermore, Chacon (2012) reveals that the current immigration strategy, which uses criminal law to control migration, brings more harm than good. By analyzing the practices in the United States of America (US), Chacon (2012) argues that there have

been simultaneous movements from federal, state, and local governments to over criminalize immigration. For instance, there has been a significant increase of federal prosecutions of immigration, immigration offences arises as the highest prosecuted federal criminal offences, an active assistance from state and local government in terms of enforcing federal immigration law, and numbers of attempts from states and localities to criminalize immigration-related conduct through their own laws. Aside from legislatures' failures to address the need of immigration law, as also been explained by Legomsky (2007) earlier, Chacon (2012) states the choice of imposing criminal law mechanism on the issue of immigration will creates symptom of over criminalization, such as racial profiling (see also Bowling & Weber, 2011).

In another place, Aliverti (2012) backs up Chacon's findings regarding negative effects of the use of criminal law in the field of immigration. Aliverti (2012) uses the term 'hyper-criminalization' to describe the generosity of British governments to pass numbers of immigration and asylum laws that created more than 80 immigration offences in the last 15 years. However, the incredible increase of criminalization of immigration was not followed with the same trend in the actual enforcement. According to Aliverti (2012), in this particular situation, criminal law is used symbolically. It means that the excessive enactment of penal legislation concerning immigration stands alone as a threat to unlikely to be realized because it is rarely enforced in the practice (p. 428). By the same token, British government uses criminal law to provide options when dealing with irregular migrants. For example, Aliverti (2012) mentions that criminal prosecutions were exclusively conducted to the aliens who cannot be deported from the country. When this happens, criminal punishments lose its original purposes because it was compromised with the hidden goal, which is to assist the successful removal of these convicts from the country

Irregular Migration Control in Indonesia

Controlling migration in Indonesia is challenging and difficult at the same time. Giving its acknowledgement as the world largest archipelago with 1.9 million square miles coverage of the total area (http://www.undp.or.id/general/about_indonesia.asp), Indonesian authorities face a unique challenge that differs from other countries. First, it has to do with the geographical landscape of the nation. Missbach (2014) points out that it is quite impossible for the Indonesian government to have a total control of its borders. For example, the nature of Indonesia's extensive sea borders offers a lot of risks for state authorities to maintain the border at the very heart of the ocean. Hutton (2014) reports that more than a thousand people who attempt to reach Australia have drowned in the seas between Australia and Indonesia since 1998-February 2014. Aside from that, it forces Indonesian navy or maritime police to take pragmatic measures of border control, such as intercepting asylum seekers when they are close to the coast, at the beach before leaving the country, or when their boats have broken because of technical reasons (Missbach, 2014). Furthermore, the long coastline of Indonesia gives tremendous opportunity for irregular immigrants to enter Indonesia. The existence of hundreds big and small traditional harbor and small piers for wooden boats to dock raises up the possibility for newcomers to meet smugglers' network and prepare their next departure from Indonesia. Even though there is a fair chance of being arrested by immigration officers at the identified entry points, there is also a big opportunity to explore new land sites that had not been observed (Meliala et al, 2011).

In other words: there will always be another gate to be opened when the usual doors were closed (Walters, 2006).

Second, the difficulties come from their internal immigration officers and law enforcement agencies. Having more than ten months fieldwork experience in Indonesia, Missbach (2014) asserts that Indonesian police officers often ignore the phenomenon of irregular migration because it is perceived as a pointless effort, yet they have other priorities that should be taken care of. Meliala et al (2011) may have an explanation to that behavior. Because of most irregular migrants seemingly used Indonesia as a transit country to Australia and brings no actual problems to their own people, Indonesian government tends to close their eyes to this movements (see also Crouch & Misbach, 2013; Hugo et al, 2014; Missbach, 2014; Missbach & Sinanu, 2011; Schloenhardt, 2011; Zulyadi et al, 2014). However, as will be explained later in greater detail, this attitude has changed since the number of irregular border crossing to Australia received international attention.

In accordance with Morehouse and Blomfield's (2011) thoughts about irregular migration in Europe, illegal entry is not the sole path of irregularity in Indonesia. In 2012, Indonesian Directorate General of Immigration, Ministry of Law and Human Rights (IDGI) published a report of the transformation of Indonesia immigration since 1950-2012, which contains information about irregular migration under the function of law enforcement. It is reported that there is an increase of irregular immigrants from 2008-September 2012 coming from illegal stay, illegal entry, immigrants who are waiting to be deported and asylum seekers and refugees. According to IDGI (2012), the number of asylum seekers and refugees who has been held in detention center climbs up from 164 people in 2008 to 2,023 people in 2011 (see Figure 1). The same trend also happens to illegal entry, which starts at 359 cases in 2008 and it reaches its peak in 2011 with a number of 1,794 cases. However, it seems like there is a downward shift in 2012 for illegal stay, illegal entry, and asylum seekers and refugees in community house, but it should keep in mind that this figure was counted until September 2012 and has fair possibility to increase until the end of the year.
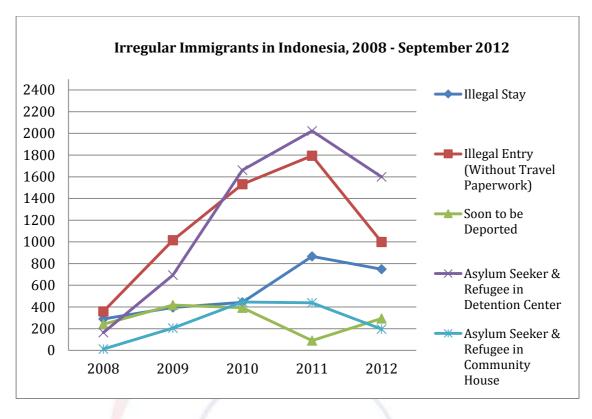
Figure 1.   Irregular immigrants in Indonesia, 2008-September 2012
(Source: IDGI, 2012)

In spite of the abovementioned trend, the criminalization of immigration-related conduct is also a part of migration control in Indonesia. In the Law No. 9/1992 concerning Immigration, there are several immigration conducts that has criminal consequences for its violations. Crouch and Missbach (2013) expose that Law No. 9/1992 imposes a prison term or a fine for failure to pass through the Immigration Office, misusing or overstaying a visa, assisting illegal foreigner, or returning to Indonesia illegally. Similar to the development in the US (Chacon, 2012; Legomsky, 2007; Stumpf, 2006;) and the United Kingdom (UK) (Aliverti, 2012), it is clear that the Indonesian government has chosen criminal law mechanism to deal with migration problems.

Furthermore, aside from inserting the substance of criminal law into immigration law, this particular law has also enabled the investigative power to the immigration officers through Article 47. In the meantime, according to Article 42 Law No. 9/1992, the immigration officers could also operate some immigration administrative actions if there is a reasonable suspicion that aliens could endanger security and public order or does not respect or obey laws and regulations. Such measures can be restrictions, changes, or cancellations of residence; prohibition to be in one or a few specific places in the territory of Indonesia; requirement to reside in a particular place in Indonesian region; being deported from the territory of Indonesia or refusal of entry to Indonesia (Art. 42 (2)).

One of the reasons that rely on this particular decision is the fact that the Indonesian government has the desire to implement what was called by 'selective policy'. According to the Elucidation of Law No. 9/1992, the immigration officers will only

be allowed to authorize aliens to enter Indonesia if such foreigners are considered to bring positive effect to the country and has no risks to jeopardize public safety in Indonesia. However, the rationale behind this approach leaves one question: Do these aliens have some chances to prove their goodness, if violation of administrative rules is punishable by criminal sanctions? The obvious answer is no. This condition is firmly in line with Stumpf's (2006) concept about the role of membership theory in the field of crimmigration, By imposing criminal sanctions to immigration law violations, the Indonesian government has cleared out the possibility to view irregular migrants as normal human beings who deserve equal protection as much as those who were categorized as citizens.

In contrast to the excessive criminalization of immigration breaches, the enforcement of immigration offences is not even remarkable. From IDGI (2012) data, it is documented that there has been a total of 360 cases of misusing visa from 2008-2010. The Indonesian law enforcement agencies also succeed to prosecute 1,183 cases of illegal entry and 168 unauthorized foreigners who are in certain areas that have been declared off limits to them within this period. At certain point of view, these figures might be considered as a success. However, if it is compared to the total amount of migrants in Indonesia, which touches a number of 295,4000 people (UNDESA, 2013a), the previous statistic is terribly tiny. It is possible to say, as already highlighted by Aliverti (2012) regarding the similar practices in the UK, that the criminalization of immigration in Indonesia only serves as regulatory purposes: to provide a variety of choices for controlling irregular migration

The Fight against People Smuggling and Harsher Regulation on Irregular Migration

Over the last decade, Indonesia has experienced several transformations in their migration control policies due to the increasing number of irregular immigrants within its territory (Missbach, 2014; IDGI, 2012). For instance, there are significant improvements from Indonesian immigration officers in detecting fake documents at the designated entry and exit points (Wilson & Weber, 2008), including a substantial upgrade of its operational system (IDGI, 2012). These developments reveal a change in Indonesia's points of view about the phenomenon of irregular migration, which is developed from complete ignorance to an active participation. It seems like the Indonesian government has realized the negative impact of this case. Meliala et al (2011) argue that Indonesia should have received a sizeable amount of money coming from visa application and the extension of immigration permit. According to Indonesian Government Regulation No. 73/2009 concerning the Types and Tariffs of Non-Tax State Revenue in Public Administration Institutions, each person will be charged 400,000 Indonesian Rupiah (IDR) or 27 euro for visa application and IDR 500,000 or 34 euro for extending his/her immigration person per two months. Giving the fact that irregular migration to Indonesia tends to show a consistent rise from 2008-2012, the loss of revenue from this sector will be much larger.

Despite the economic reason, Missbach (2014) points out that the intense international concern on irregular migration to Australia becomes the most substantial factor that affects the way Indonesian government shapes their immigration policies. Missbach and Sinanu (2011) note that the Australian government has designed its immigration and refugee policies to bring a lot of difficulties for refugee claims.

Following this, because of most of asylum seekers who want to enter Australia set their journey from Indonesia, the Australian government makes Indonesia their top priority partner to address the issue of people smuggling. Since then, numerous cooperation frameworks have been made between both countries and Indonesia has committed to actively participate in the fight against people smuggling (Crouch & Missbach, 2013; Missbach, 2014; Missbach & Sinanu, 2011).

In December 2000, Indonesia became a signatory party of the UNCATOC. Two years later, Indonesia and Australia co-chaired the Bali Process, which establish multilateral framework to address people smuggling. According to Crouch and Missbach (2013), since 2002, the Indonesian and Australian government has organized five ministerial conferences to promote the awareness and cooperation on people smuggling at the regional level. Furthermore, this reform continues to take place at the domestic legislation through the passage of Law No. 5/2009 which ratified the UNCATOC and Law No. 15/2009 for the ratification of the People Smuggling Protocol. Crouch and Missbach (2013) vindicate such ratification as an important step for Indonesia to combat people smuggling because these statutes places several obligations to engage in international cooperation, to make major efforts to prevent people smuggling, and also to criminalize people smuggling under Indonesian law.

Additionally, the Indonesian government has established a special anti-people smuggling task force (SATGAS) with 16 local branches under the Indonesian Police (POLRI) since 2009, which consist of police officers and other staff from different authorities (Crouch & Missbach, 2013; Missbach, 2014; Zulyadi et al, 2014). According to Missbach (2014), these special units have arrested more than 7,000 irregular migrants and 80 suspected people smugglers during the period of 2010-2012. However, because of people smuggling has not been stipulated as a crime under Indonesian law until 2011, these smugglers have been tried under the general immigration offences such as the failure to pass through the Immigration Office under Article 48(1) of Law No. 9/1992 or hiding, protecting, providing accommodation to an illegal foreigner under Article 54(1) b of Law No. 9/1992 (Crouch & Missbach, 2013). As a result, the punishment was lenient, which has a range of punishment from 2 months until 5 years of imprisonment. According to Meliala et al (2011), this condition gives no deterrent effect to the smugglers and seems likely to smuggle people in the Indonesian territory.

To rectify this dreadful condition, Indonesia has amended its immigration law in 2011 through Law No. 6/2011. Under this new law, the Indonesian legislatures criminalized people smuggling under Article 120 with a minimum prison term of 5 years and a maximum of 15 years, and a fine of a minimum of IDR 500 million (34,273 euro) and a maximum of IDR 1,500 million (102,821 euro). Since its enactment until 2012, according to Crouch and Missbach's study (2013), there were 30 cases that have been tried in Indonesian courts with a number of 38 people as convicts. This figure counts as double than 15 cases of people smuggling in the period of 2007-2011. In terms of sentences, the people smuggling cases under Law No. 6/2011 has a majority of sentences of minimum 5 year prison term with a fine of IDR 500 million (34,273 euro). Compared to the same cases under the old law, these statistics could be considered as a significant improvement. Nonetheless, the new law of immigration does not only criminalize people smuggling, but also increases penalties for other immigration offences (Crouch & Missbach, 2013). For instance,

under Article 119(1), it is punishable with a maximum 5 years of imprisonment and a fine of IDR 500 million (34,273 euro) if a foreigner stays in Indonesia without a valid document and visa. Following the same sentences, it is also an offence for a foreigner who intentionally uses a false travel document.

From the depiction of the new immigration law, it is fair to say that Indonesia has higher level of belief that the insertion of criminal law mechanism into immigration law will manage migration even better, even though the punitive approach from the previous law has not been assessed comprehensively. Instead of enhancing their system in facilitating lawful immigration and assisting the integration of immigrants to the society, the Indonesian government chooses to constantly exclude irregular immigrants from its community by imposing even harsher criminal penalties to the violation of immigration law. Even though Meliala et al (2011) has observed that Indonesian people has no problem with the existence of these aliens who live in temporary shelters since the local communities in Indonesia had always been plural in ethnic and cultures, it cannot be a certain guarantee that the symptoms of over criminalization, such as racial profiling, will not occur in Indonesia (Meliala et al, 2011; see also Legomsky, 2007). In contrast, Meliala et al (2011) also drew an interesting finding after conducting several interviews with irregular immigrants who stay in the detention center that the immigration officers has already treated them as a criminal by revoking their physical freedom and separating them from their families. This is quite evidence that these foreigners has already putted in the exclusion curve of the country (Stumpf, 2006).

In addition, even though Law No. 6/2011 increases criminal penalties for several immigration offences in a significant level, the number of its enforcement remains low. In 2013, IDGI reported that there are only 17 cases of immigration offences that have been proceeded and a number of 2,011 people were deported from the country with no additional information, whether the deportation itself is an effect of criminal convictions or not. This reconfirms what was Aliverti (2012) said that criminal law has been used symbolically as an accessory in the realm of immigration. In other words, the Indonesian government fails to give an appropriate response to the problem of irregular migration. Instead, they are trying to prove Garland's (1996) point that using the punitive approach should be understood as a form of weakness and inability to control crime problems to acceptable levels.

Conclusion

The use of criminal law in the realm of immigration law is not uncommon. As it has happened in the US and several countries in Europe, Indonesia experiences the same thing. With a certain degrees of difficulties that Indonesia has to face because of its acknowledgment as the world largest archipelago, it is not surprising to know that criminal law has been used as a tool of controlling migration in Indonesia. In 1996, Garland has already predicted this punitive movement by saying that this is the easiest way for state authorities to show their strength, but it also reveals weakness and inability to control crime problems within its territory. The decision to insert criminal law mechanism to deal with immigration problem has been done, at the first hand, through Law No. 9/1992 concerning Immigration. Rather than focus on upgrading their ability to manage border, since Indonesia has been known as the world largest archipelago, the Indonesian government choose to criminalize several immigration-related conducts such as overstaying, illegal entry, misusing visa, et cetera.

Subsequently, this condition becomes even harsher since Indonesia has joined the fight against people smuggling in the international level. Starting with its cooperation with the Australian government and conducting several ministerial conferences to promote awareness and cooperation in addressing people smuggling, the Indonesian government also enacted Law No. 5/2009 concerning the Ratification of the UNCATOC and Law No. 15/2009 that ratifies the People Smuggling Protocol. Later on, this particular reform moves to the path that Indonesia have to amend its immigration law since it was considered to be outdated and did not stipulate people smuggling as criminal offence. Through the passage of Law No. 6/2011, the Indonesian government criminalizes people smuggling and also significantly increases criminal penalties for other immigration offences at the same time.

One notable reason of the over criminalization of immigration in Indonesia is the implementation of selective policy. The Indonesian government will allow immigrants enter the country if such foreigners are considered to bring positive effect and have no risks to jeopardize public safety in Indonesia. By doing such thing, the Indonesian government has already set its mind that irregular immigrants will never be member of its society (see Stumpf, 2006). Additionally, by looking into the fact that the actual figures of immigration offences enforcement are consistently low over time, even after increasing its criminal penalties under Law No. 6/2011, it is safe to say that criminal law has been used symbolically, just to provide options for immigration officers to deal with irregular immigrants (Aliverti, 2012).

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Hyundai, Hallyu and Hybridity: South Korea and Asia After the Cold War

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Abstract

This paper draws from Katzenstein's (1996) hypothesis that identities or 'varying constructions of nation and statehood' (p. 46) play a role in state interactions. South Korea's hosting of both the Asian and Olympic Games in the 1980s marked the beginnings of greater international visibility of the country. This was supported by chaebol-led industrialization and aggressive soft-power internationalization through the promotion of the 'Korean Wave' and English language learning the time period directly following the end of the Cold War (1990s-2000s). It was then that a significant change in ROK's relations with India was observed, despite previous bilateral relations between the two states being relatively limited. Drawing largely from primary sources such as newspapers, statistics and official documents focusing on three variables in the ROK's relation to India: economic (Hyundai), cultural (Hallyu) and social (Hybridity), the paper employs qualitative process tracing to explore the likelihood that ROK's bilateral relationship with India possesses behavioral indicators that South Korea has assumed a role as a force for increased cooperation and mutual recognition in and between Asian countries in the post-Cold War world. For these purposes, Cooper's (1997) and Jordaan's (2003) analytical frameworks proposed for 'middle powers' will be employed.

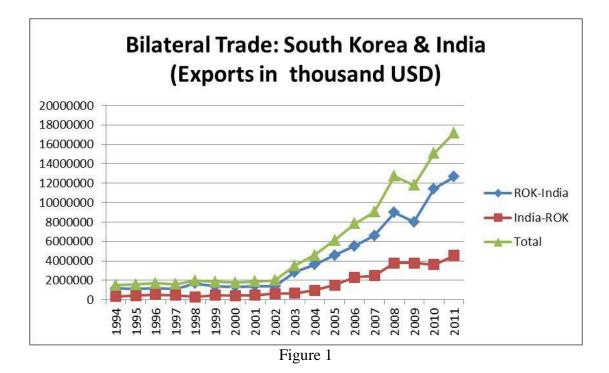Keywords: Middle power, South Korea, India, Inter-Asian Relations, Soft power

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1. Problematizing Material Perspectives on ROK

In Katzenstein's *The Cultures of National Security* (1996), the role of identities is described as a 'shorthand label for varying constructions of nation- and statehood' (p. 46). One of the purposes of this line of narrative and qualitative inquiry is the inability of traditional IR theories such as neorealism and neoliberalism to explain the end of the Cold War (Ibid.), and in the Asian region, the emergence of a new and more powerful role for China, and the emergence of conflicts in the developing world. It was due to this apparent weakness in the predictive capacity of international relations theory that the incorporation of more ideational as opposed to positivist factors guiding state behaviour became a necessity. Katzenstein (1996), however, does not claim that material factors are unimportant in terms of state interaction. Instead, he draws on empirical evidence for alternate explanations of state behaviour that are more 'sociological' in nature, such as norms and culture. A norm here is defined broadly as 'collective expectations for the proper behaviour of actors with a given identity,' (p.46) and culture as 'a broad label that denotes collective models of nation-state authority or identity, carried by custom or law' that 'refers to both a set of evaluative standards (such as norms and values) and a set of cognitive standards (such as rules and models) that define what social actors exist in a system, how they operate, and how they relate to one another' (p.47).

This paper will focus on the behavior of states in Asia after the Cold War. It emphasizes on the emergence of middle power dimensions in the ROK's relations with India. It is postulated that the relations between the ROK and India indicate both their desires to satisfy the structural and behavioral aspects of middle powers while at the same time creating interactional bases for inter-Asian networking. While leverage with India could have created an additional mode of communication between South Korea and North Korea during the Cold War, yet very few advances were made politically, even when South Korea began a dialogue with the Soviet Union in the 1980s (Hakjoon, 1997). It was only after India's economic reforms in the early 1990s that South Korea began increasing its economic and cultural engagement with the country, which reached peaks in the early 2000's (see Figure 1 and Heo & Roehrig, 2014, p. 138). From nearly $1.5 billion worth of bilateral trade between both states in 1994, the amount grew to an estimated $17.2 billion in 2011, with noticeable growth in trade of coke, refined petroleum products and nuclear fuel, as well as middle to low technologies (OECD, 1994-2011).

Figure 1

The rise of trade in the early 2000s corresponded with a general rise in trade with other states, including the three largest economies in the world: China, the US and Japan (OECD, 1994-2011), with imports from China and Japan superceding US imports in the early 2000s. However, the data on trade between Middle Powers from the 15-year time period reveals that India became an increasingly attractive market for South Korean goods, overtaking other Middle Powers such as Australia and Canada in 2004, and Germany in 2010 (see Figure 2). Similar successes, however, have yet to be made with the amount of Indian imports into South Korea, where it falls behind Australia, Germany and Russia (see Figure 3).
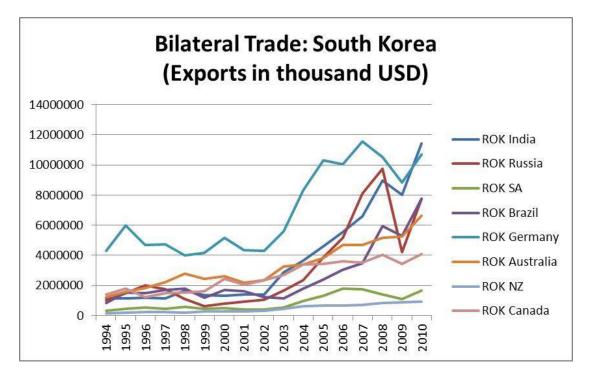
Figure 2
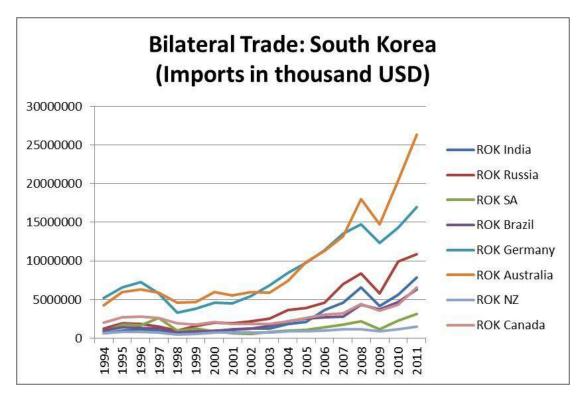
Figure 3

In this light, the increasing relevance of the economic and political contributions of BRICS and NICs necessitate a break with theory that characterizes middle powers as non-reformist, traditionally liberal-democratic states that are non-periphery. Jordaan (2003) developed a set of determinants for distinguishing traditional powers from 'emerging' middle powers, which apply widely to the situational context in which countries like BRICS and Turkey arose. However, while this analysis rightly drew attention to the classification problems inherent in the task of identifying middle powers, a concerete analytical framework necessitates further nuance. Huelsz (2009) proposes that emerging middle powers are to be analyzed according to five factors that incorporate both structural and behavioral features, namely, 1) a clear view of an international identity (p.67), 2) the presence of different structural contexts compared to industrialized economies (p. 68), 3) the emphasis on different global agenda in comparison to traiditional middle powers (p. 69), and 4) recognition as 'regional' powers. (p.70)'

In light of this, I would like to address the following questions in terms of an interactionist and behavioral viewpoint.

a. What kind of middle power behavioral factors, if any, appear in South Korea's foreign policy?
b. How have the ROK's perceived needs distinguished its relationship with India?

2. South Korea and the post-Cold War order

It was at the juncture of the post-Cold War world that it became necessary for Asian states to consider the geopolitical direction of the new world and their corresponding 'identities'. All previous entanglements of democratically aligned countries as

balancers or proxy states against communism were faced with the need to reformulate their relational identities with respect to the obvious candidate for a regional great power, China. The seeking and reformulating of identities in a post-Cold War landscape is likely to be a continuous process in Asia and the world. Particularly, South Korea has been very much intent on extending its international image through the use of cultural technology, which Japan has effectively employed, the progressive views of a large young demographic, and the competitive nature of learning English present in China, South Korea and Japan (EF EPI, 2013).

Similarly, both Japan and China, and also ASEAN, have formed relationships based upon increasing domestic economic development and the promotion of economic exchange, skirting hard power issues in security while including non-traditional security, economic development and peace in bilateral and multilateral goals (Katsumata, 2003, p. 104). Structurally, it is clear that South Korea fulfils traditional criteria for middle powers: apart from its large population, it possesses a high degree of military spending, and is one of the largest economies in the world. Moreover, South Korea is a member of a significant number of international organizations included but not limited to ASEAN +3, the G20, APEC and the IAEA. Perhaps the most notable achievement in the last two decades is South Korea's membership in the OECD and DAP - thus far, it is only country to have entered both organzations as a result of its succesful transition from a developing to developed country and from an aid recipient to an aid donor. The structural capabilities of the ROK have brought up legitimate questions about how the country views its identity due to the break-up of the bipolar system into one whose unipolarity has come under scrutiny (see Waltz, 2004).

Historically, with the ROK's industrialization picking up in the eighties and being only relatively recently democratic in 1987, South Korea arose from decidedly different sets of circumstances than other middle powers, and did not present an easy fit with Cooper's three waves of middle power diplomacy, the first wave consisting of non-aligned states, the second with critics of Western norms in the seventies and eighties, and the third with agricultural niche diplomacy and regionally powerful states (1997, pp. 13-18). Jordaan's (2003) distinction between 'emerging' and traditional powers have raised questions as to the degree to which South Korea's is an 'emerging' middle power, as Robertson (2007, 151) asserts: South Korea is moving towards a status-quo-preserving foreign policy characteristic of 'traditional' middle powers such as Australia and Canada. According to his analysis, South Korea's ability to assert its capacity as a Middle Power in the field of security is diminished, particularly because of the challenge of stimulating third-party involvement with North Korea (Robertson, 2007, p. 161). The case of South Korea thus appears to be somewhat a maverick for theories of both emerging and traditional middle powers, regardless of how these are defined, particularly because of disagreement as to the behavioral characteristics middle powers and the simplification of situational and cultural contexts of states to uphold parsimony.

From all the indicators of middle power behavior, it is perhaps the influence of South Korea on the region that is most contentious. Imputing South Korea as a 'regional power' is likely to raise questions about relative military power, or to quote from Shim (2009), it being a 'shrimp amongst whales'. South Korea's ability to mediate, as well as instigate changes in behavior from great powers is predicated on the

concerned parties recognizing ROK's ability to do so, as well as its relative position considering a large number of 'middle' powers in its immediate vicinity. It thus appears that South Korea is more likely to use soft power, networks and multilateral bodies and its growing soft power to be able to assert its ideational influence in the region. One of the ways it can achieve this is by exploring regional multilateralism and network-building, as Lee (2012) suggests. This, however, presents many challenges considering historical developments in Asia that impeded multilateralism, particularly in security (Hemmer and Katzenstein, 2002). However, if regional and multilateral intitiatives of middle powers are to be succesful, they can be greatly facilitated if Asian countries perceive each other as having a common set of assumptions guiding co-operation, including cultural sensitivities and a regional outlook, as Pillai (1995) recommended for India's immersion in the ASEAN trade network where China has a secure cultural foothold.

3. The Multilateral Turn: Korea's view of itself

In recent decades it has become increasingly clear that South Korea views itself as a 'middle power', expressed in a keynote speech made in 2013 by Vice Minister of Foreign Affairs Kim Kyou Hyun at an International Conference on the Role of Middle Powers in the 21st Century hosted by the Korean Assocation of International Studies and the Korea Foundation, where he stressed that the Park administration pursues 'Middle Power Diplomacy' as one of its diplomatic objectives. South Korea also appears to be recognized by various states and international organizations as a 'middle power': the country was one of the states by Brookings and the International Forum for Democratic Studies chosen for a conference on the Foreign Policies of Emerging Market-Democracies in 2011, which included India, Brazil, Turkey, South Africa and Indonesia.

The articulation of foreign policy goals of South Korea in the last two decades has evolved in terms of how it sees itself in a regional perspective. In Kim Young Sam's keynote speech during the 26th Pacific Basin Economic Council (PBEC) Meeting in May 1993, he called for a multilateral security dialogue in Northeast Asia, stressing on sovereignty, non-aggression, non-intervention, peaceful resolution and coexistence as norms to guide regional co-operation (quoted in Lim, 2009). This trend continued through Kim Dae-Jung's support of ASEAN +3 during his term, and Roh Moo Hyun's calls for increased North-East Asian cooperation (The *'Peace & Prosperity Policy'*) (Heiskanen, 2003, p. 1). With successive admnistrations, these foreign policy approaches grew larger in scope with calls for a 'New Asian Initiative' in 2009 by President Lee Myung-Bak which also coincided with the Middle power diplomacy, or *jung gyun guk*, as an explicitly stated foreign policy goal (Lee 2012, 14), then President Park's 'Eurasianism', which drew attention to the potentials in Central Asia and Russia. But while these foreign policy thrusts reflect a desire for networking, it is important to note that South Korea has not always assumed the posturing associated with traditional middle or great powers. The ROK's reluctance to assume the position of Australia and Canada in the importance of spreading democracies, its non-Annex I status on the Kyoto Protocol, and its history of technology-sharing, partially satisfies Huelsz's (2009) criteria of states that have a different view of global order than traditional middle powers. This behavior appears to provide evidence that South Korea is comfortable with a status quo that does not require greater responsibilities other than in selected issue areas, paving the way not only for 'niche' diplomacy but

also for a establishing formal and informal networks amongst other middle powers, and regional states in particular rather than aspiring to great power status. Robertson (2007) has seen this to be evidence of a status-quo-maintaining power, but it can similarly be argued that South Korea treats its middle power status flexibly, maneuvering between the preservation of the status quo and its reluctance to engage in the struggle for democracies and freedom across the world, as is characteristic of fourth-wave middle power states.

With the environment of the ROK being prohibitive of asserting overt military power, a manner by which the ROK can assert its international identity and regional status is by cultural flows. Cultural globalization can be broadly classified 'a process whereby information, commodities and images that have been produced in one part of the world enter into a global flow that tends to 'flatten out' cultural differences between nations, regions and individuals (Heywood, 2011, p. 147).' The acceptance of other states of the roles of middle power mediation will depend on trust-building on different platforms, including culture. South Korea's international identity is reflected in domestic trends that project the international into the local. A widely-cited example is the popularity of Korean music and media, collectively known as Hallyu or the Korean Wave. The participation of Western producers and distributors K-Pop is a testament to both inward and outward flows of cultural globalization. It is a product of international origins that began gaining popularity in Taiwan in the mid-1990s and onwards to Japan, South-East Asia and Latin America (Park, 2013, p. 6) and consolidating a wide diversity of soft power avenues. Various theories surrounding the popularity of the 'Korean wave' have pointed towards it being a sign of either the internationalization of Korean culture, the displacement of Japan as a centre of culture in Asia, the creation of an Asian bloc and the triumph of a commodified culture in the guise of neoliberalism or at the very least, a feeling of common-ness (see Cho, 2005, p. 155), which reveals complex layers of soft power diplomacy that are felt regionally.

Emphasizing Huelsz's (2009) second point, which attempts to differentiate the structural origins of traditional and emerging powers, South Korea's history reveals that the diffusion of democratic norms and the rapid changes since the late 1980s are not only indicative of authoritarian structural origins, but also manifested societal changes, particularly a generational divide. Robertson (2007) has asserted the role of constitutive elements (p.162) on South Korea's role as a traditional middle power, however, it is these same constitutive elements that may make the case for a slower internationalization on the 'constitutive' or domestic level than is presumed. Rather than being both staunchly internationalist and democratic, South Korea's show of economic prosperity and democratic institutions masks a relatively recent history of ethnocentrist thought and a reluctance to promote democratic norms in the region, presumably due to a perceived backlash from North Korea.

The Japanese occupation of Korea was met with an intense ethnic nationalism known as *danil minjok*, which Shin (2006) argues persists and exists in various forms in modern Korean society, and has succinctly informed behaviour towards foreigners. In the North, ethnic nationalism has evolved into a state ideology (*Juche*), while in South Korea, tension remains between the preservation of this ethnic character and adherence to a traditional hierarchical structure present in both the government and the chaebol, and an attitude of openness and less rigid organizational structures. Conversely, South Korea's opening to the world entailed an interest of 'the world' in

Korea, reflected in the increase of foreign students, migrants and 'fandoms' that accompany K-Pop bands.

The *hybridity* of South Korea within its own context draws attention to the third point of Huelsz's (2009) framework, as this covers the pursual of certain issue areas, particularly those that are not pursued by traditional middle powers. Green energy appears to be a potential niche role, as some other non-Annex I powers are praticing, and due to investments to be made in green energy, these countries are likely to continue promoting economic growth and are not voluntarily submitting themselves standards set for 'developed countries' (see Leal-Arcas 2013, p.19) The reasons for, the areas in which and with whom South Korea chooses to establish bilateral relations will be a method by which its 'distinctiveness' and the pursuit of particularistic national interests beyond the scope of multilateral agreements will come to light. Its relationship with India, an NIC within the Asian region yet a potential middle power in its own right, may reveal what South Korea's future goals hold.

4. India: A partner in culture, economics and security

The changing identity of the ROK can be particularly seen it the relationship with India, which maintained somewhat limited relations with both countries during the Cold War. Reports reveal that Korean President Park Geun-Hye has been continuing the regional outlook as stated previously by promoting a 'Eurasian' policy (Hyun 2013) while the 'Looking East' policy has figured highly in India's approach to East Asia and inter-Asian cooperation (Strachan et al., 2009, p. 13).The relation has expanded rapidly in scope, from plans to create ASEAN +6, cultural exchange (Bollywood and K-Pop) and heightened economic trade, including trade in services, such as Indian English teachers in a competitive market for English teachers in South Korea.

India and South Korea both fulfill the demographic, economic and military capabilities to easily lend credence to them being middle powers based on structural indicators. Brewster (2010) enumerates several arguments for why cooperation between South Korea and India is beneficial. He suggests that this relationship may have strengthened over the 1990s due to the the Asian financial crisis and insecurity due to trade in missile technology facilitated by China, North Korea and Pakistan. While not yet surpassing China and a number of Gulf States, South Korea configures in the top twenty of India's importers and export markets (Ministry of Commerce and Industry India, 2013). However, as noted in the introduction, there are considerable differences in the economies of South and East Asian states that have hampered FTA discussions. Specifically, India's relationship with South Korea has seen difficulties with a one-sided volume of trade (see Graph 3 above).

In addition, both countries exhibit 'emerging' power ideational behavior in their hesitance to promote democracies, despite being democracies on their own as well as adapt different standards to addressing the Kyoto Protocol. Their unwillingness to do so (Foreign Policy at Brookings & Forum, 2011) indicates that they are not particularly strong agents of power for reforms in their region, but the success of Korean music and dramas with both Eastern and Western elements and the success of democracy are possible avenues for an alternative model for uniting middle powers. The economy, or 'Hyundai', has long served as the strongest basis for bilateral

relations between the two countries. Korean car manufacturers prospered in India even before the Asian crisis, although this preliminary start has since expanded to more industries which have strategically targeted the strengths of both countries.One of the areas where South Korea and India have been expanding their capabilities is nuclear energy (OECD, 1994-2011), where South Korea has been trying to gain a reputation as a nuclear supplier, having been granted a contract by the UAE to build nuclear facilities. India, a non-signatory country to the NPT, has also been signing numerous agreements for the development of nuclear energy, one of which was signed with South Korea in 2011.

The issues of bilateral cooperation between India and South Korea are more closely related to Huelsz's (2009) last two points of analysis, or developing niche areas of cooperation and strengthening a regional orientation. South Korea and India have signed numerous bilateral agreements in recent years, including Memoranda of Understanding on space research, a cultural exchange programme for the years 2014-2017, cyber security, broadcasting and ICT (Embassy of in India in Seoul, n.d.). An area of cooperation that links the socio-cultural with the economy is President Park's vision of a 'creative economy'(Asia Pacific Global Research Group, 2012), which combines aspects of culture with technology. ROK, like Japan, has utilized technological platforms through which it gains not only culturally, by enabling users to access a wide variety of digital media, but also by establishing the association of electronics with a particular country, a venue for considerable soft power. Going beyond the stable foundations built by car manufacturing and infrastructure co-operation, the nature of technological co-operation has expanded rapidly in the last ten years.

These various new communication technologies, smartphones, PCs, laptops, tablets, TVs and similar consumer electronics are embedded in globalization and its ability to reach the masses. This is evidenced in this case by the spread of cellphones, which are beginning to propagate rapidly in India regardless of social class, which reveals the hybridity present in many emerging middle countries: despite being outwardly democratic and exhibiting middle power behavior, India is still beset by inequality and non-inclusive growth. Despite the levels of poverty in India, around 904.56 million people have cellphones, and with that, access to network-based money transfer and educational tools (Telecom Authority of India, 2013). The attainment of marginalized sectors of electronic goods and internet connection symbolizes the gradual dissociation of social class with electronics, as cellphones become more affordable. The transformative effect of accessible technology, that allows access to educational, cultural and social tools, cannot be underestimated in India particularly, where both industrialization and accessibility to education are drivers of economy and alleviating social inequalities. The ROK's IT cooperation with India, with ROK providing the hardware and India providing the software (Kim, 2013) has thus the potential for creating both technological and educational partnerships (such as potentials for rural education described in Dinesha & Agrawal, 2011, p. 54). Furthermore, this signalizes the first and third points of Huelsz's framework, in that any cooperation between the two countries is unlikely to take on a moralizing narrative, instead, identities are being formed upon the recognition of mutually beneficial 'niche' areas.

In terms of the cultural 'wave', or *Hallyu*, increasing linkages with India may not necessarily be an indicator of a budding 'Asian' identity, although indicators may point in a positive direction. Interestingly, the Indian ambassador's message to South Korea certainly indicates that 2000 years of shared Buddhist roots are not insignificant. Indian Prime Minister Manmohan Singh once said of the relationship: "Links between India and Korea go back thousands of years. Lord Buddha's abiding message of peace resonates among both our peoples," (Singh, quoted in PTI 2012).

In addition, India established an Indian Cultural Center in South Korea in 2011, with a bust of Rabindarath Tagore unveiled in Seoul in the same year. Cultural exchange between South Korea and India has further been reflected in the unprecedented popularity of K-Dramas in the northeast of India, a traditionally separatist area, but also in other parts of India (Chitransh, 2012). Conversely, Sharukh Khan's was appointed a goodwill ambassador of South Korea in 2013(Bagchi, 2013).This is supported by South Korea's high soft power ranking (McClory, 2013), a result of their increasing cultural impact on the world.

Another means by which the networking has strengthened is education. The employment of foreign English teachers in Korea has risen rapidly, revealing local hiring practices based on nation-based perceptions of 'native' English speakers (Barnes, 2014). The preferences of ROK schools thereby single out English teachers from developing countries as undesirable, effectively excluding qualified labourers from the EFL (English as a Foreign Language) labour market. The official response of the government towards countries negatively affected by perceptions of 'legitimate' native English language speakers came belatedly in the form of the offer of a Comprehensive Economic Partnership Agreement (CEPA) encompassing services, which was acceded to by India in 2009. The implicit inclusion of language in a trade agreement appears counterintuitive, even strange, as it appears that the government initiative required of the ROK to encourage affirmative action on local hiring practices despite already hefty investments in the English language.The English language is particularly strategic for other goals. Doordarshan and Arirang, which signed contracts in early 2014, are international news channels of both countries.

While the above-mentioned connections may appear to be superficial, they reveal interactions not explicitly taking place on an economic or security level. In connection to this, there appears to be a broad desire to strengthen cultural and economic ties within Asia itself. In line with proposed Middle Power behavior, South Korea has furthered its cooperation with India, primarily through technological exchange, free and multilateral trade agreements in the region, defence cooperation and a more flexible attitude towards nuclear needs (in contrast with Japan, for example). In addition, there is a need to reiterate other motivations for India towards greater engagement with Asia, which began to take a cultural turn in 2000 with a cultural and environmental Mekong-Ganges River Cooperation Project with Thailand, Vietnam, Laos, Myanmar and Cambodia. Similar movements of cultural cooperation are likely to be seen if India is indeed trying to find multiple channels to reach East Asia and for strengthening its dominance within Asia, as befits a 'regional' power.

As Hong (2007) implies, the linking of South, Southeast and East Asia with China and India at the centre is the key for an 'Asian century', with Middle Powers occupying crucial roles as mediators or negotiators between great powers and little

powers within the region. Trade indicators reveal increased movement of goods between China and the ROK (from roughly \$10.8 billion to \$217 billion from 1994 to 2011) and China and India (\$ 316 million in 1992 to \$65 billion in 2011) (OECD, 2011) in the last one and a half decades is indicative of the trade networks that are beginning to take root in Asia. Furthermore, negotiations are ongoing for RCPA, which would include Australia, India, and New Zealand in a trading bloc of primarily East Asian states.

5. Conclusion

From the above, it is likely that economic and cultural linkages within Asia will continue as both South and East Asia's interests converge in specific economic areas, while maintaining soft power networks throughout Asia. In an increasingly multi-cultural, multi-ethnic and multi-religious Asia, it is imaginable that modes of communication especially between South and East Asia will be of the utmost importance in political, economic and cultural bilateral or multilateral relationships. In this light, it is obvious why ROK's made numerous investments in the English language, and why culture has been a crucial accompaniment to economic exchange within the region and establishing the ROK's role as a middle power.

Known as an economic power with considerable soft power reserves, South Korea may very well be on its way to creating a 'creative' technological society beyond its own borders and within other countries in Asia, without being overtly seen as a rival to China nor as a country burdened by an imperial history, such as a Japan. India, on the other hand, will have to investigate its role in both the cultures of East and Southeast Asia if Asia is to move beyond the passivity of the ASEAN way and move towards creating common values or appeals to 'Asian-ness'.

It has been said that the diversity and history of conflict within Asia represents a challenge to solidarity. It is in this area where the appropriation of the tools of globalization represents opportunities rather than challenges. South Korea and India are two emerging economies and democracies that are likely to play significant roles in the Asian region in the future. With their investment in education, language training and technology, they are also poised to set the precedent for more cultural and technologically-based cooperation in the future. The ROK-India relationship furthermore presents a cross-regional platform for challenging the stiff lines of the 'Asian Values' argument – for while both countries are undoubtedly Asian and interested in economic cooperation, they appear to be more open towards co-operating with authoritarian states without having a vested interest in political regime change despite democratic backgrounds. Should this difference in governance become a future challenge to integration with in Asia, the soft power of both the ROK and India should not be underestimated in presenting a mediator between Asian sets of values.

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Food and Power: Global Food Challenges Affecting Interactions among Actors

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The world affairs such as wars and cooperations among states are always been a significance issues. As those events are involving many individuals accross borders. Those events are important sphere in the study of international politics. International politics analyse the behaviour of states in international level. This study try to explain the interaction among states. For some scholars argues that the term of international politics has been growing into a term of global politics since the interaction is now involving more non-states actors (Heywood, 2011). However, states are still regarded as the main actors that influencing international politics. One important perspective in the study is realist perspective. Their main argument is that the interaction among states is driven by how states are excercising power to other.

According to realist perspective, state will always pursue for power. Power has been the main reason why states interact among others. Hans J. Morgenthau in his book Politics Among Nations (1948) said that "Power may comprise anything that establishes and maintains the power of man over man …. from physical violence to the most subtle psychological ties by which one mind controls another" (Morgenthau, 1948. p.9). For Morgenthau, the most important material aspect of power is armed forces, but even more significant is a nation's character, morale and quality of governance. Furthermore, Morgenthau emphasize that "power …. tends to be equated with material strength, especially of a military nature, I have stressed more than before its immaterial aspects" (Morgenthau, 1948, p.9). Distribution of power or capabilities largely determines international outcomes (Frankel, 1996). According to classical realist (Morgenthau, 1948) mostly discuss on hard power; military and economy. Therefore according to this perspective, interaction among states is struggle for power.

The source of power has been growing from military and economic strength to other aspects such as energy and food. Food has become a global problem. The world is facing challenges and food problem such as food scarcity, famine and hunger. Another problem related to foog d is that more nations are depending on imported food. For example, Indonesia that depends on imported soybean since 2000s that cause problems. Food become the source of conflicts; internal (civil conflict) and conflicts among states. This paper will try to discuss on how food become the source of power that can affect the interaction among actors in international politics. This situation has created a situation where food is became an importance issue in international politics

Food is now become a global problem. The statistic in 2009 shows that nearly 9 million children younger than five years old will die needlessly, more than half from hunger-related causes. In the developing world, more than 1.4 billion people currently live below the international poverty line, earning less than $1.25 per day (UNICEF, 2009). Among this group of poor people, many have problems obtaining adequate, nutritious food for themselves and their families. As a result, 1.02 billion people in the developing world are undernourished. They consume less than the minimum amount of calories essential for sound health and growth. Undernourishment negatively affects people's health, productivity and overall well-being (FAO, 2009).

Conflicts among states are also causing the hunger in several countries. According to World Food Programe, conflicts affecting farming and food production. Civil wars also forces millions of people to flee their homes, leading to hunger emergencies as

the displaced find themselves without the food and tools to gain food. Syrian civil war troughout 2014 is one example. In war, food sometimes becomes a weapon. Soldiers will starve opponents into submission by seizing or destroying food and livestock and systematically wrecking local markets. Fields are often mined and water wells contaminated, forcing farmers to abandon their land. Ongoing conflict in Somalia and the Democratic Republic of Congo has contributed significantly to the level of hunger in the two countries. By comparison, hunger is on the retreat in more peaceful parts of Africa such as Ghana and Rwanda.

In the past, there was some evidence that some states are using food as part of development aid. It has been argued that states are applying food as their political weapons. States that have access to the food supply, the distribution of food and the price of food are gaining more sources to power. States that posses the power of food became significant players in their relations to other states. The U.S. During the Cold War was using food as foreign policy through food aid mechanism as part of containment policy . The case of U.S. government grain embargo during Iranian Revolution and grain embargo towards Soviet Union in 1970s and 1980s (Paarlberg, 1982).

State is gaining power by having the control on the access to the food supply, the distribution of food and the price of food. In recent years, the price of food products has been very unstable. Roller-coaster food prices make it difficult for the poorest people to access nutritious food consistently. The poor need access to adequate food all year round. Price spikes may temporarily put food out of reach, which can have lasting consequences for small children.When prices rise, consumers often shift to cheaper, less-nutritious foods, heightening the risks of micronutrient deficiencies and other forms of malnutrition (World Food Programme, 2015).

In 2008, the world was having a grain crisis. From 2005 to 2008, the international prices of major food cereals surged upward (Headey and Fan, 2010). Headey and Fan in their reports mention that there are several causes for the crisis. The main reason is the *Dominance of the U.S. grain markets.* The United States heavily dominates global exports of maize (60 percent) and wheat (25 percent), and the world's third largest soybean exporter. Secondly, is the i*mportance of U.S.-specific factors.* Some events in the U.S. economy or in U.S.-dominated grain markets can be thought of as possible suspects in the recent food crisis. Events such as the depreciation of the U.S. dollar and the build-up of dollar reservesin other countries, and movements in commodity futures markets. Trade shocks in the U.S. will affecting others states. Thirdly, is the *Degree of competition and market efficiency in the United States.* The competition among players in grain market in the U.S. also affecting the government policy. Fourthly, is *Seasonality and inelastic supply and demand functions.* Because most grains are limited to a single annual harvest, new supply flows to market in response to a postharvest price change must come from either domestic stocks or international sources (Headey anad Fan, 2010)

The 2008 grain crisis shows that states that posses the power of food became significant players in their relations to other states. Food exporters states which are mostly developed countries are getting more power in controlling food price. By having power in controlling food price, food access and food supply, the food

exporters countries are argued to have more more to influence the food importers countries

To sum up, global food problem has created a form of food as a source of power. States who has the control of food distribution and price are gaining more power to influence other. It is also argued that states are using food as the political weapons in pursuing their national interest. This resulted for an analysis that an inequality on food power has been affecting conflicts among states whose stronger food power against states whose less food power.

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Responsibility of Armed Group for Sexual Violence against Women during Internal Armed Conflicts: The Case of Iraq

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Abstract
Women have suffered in Iraq under totalitarian regimes, foreign occupation and now armed insurgency. The focus of this paper is to determine if is International Law adequate enough to protect the women during internal conflicts? Also to identify any legal mechanisms to protect women from sexual violence in Iraq in times of IRC?

This research analyses how international law addresses the problem of sexual violence during armed conflicts, with particular focus on the Geneva Convention (GC, 1949) and its two Additional Protocols as well as the Rome Statute of the International Criminal Court (ICC). This research holds that it is necessary to hold armed groups responsible for reparations due to victims of sexual violence, particularly when states lose control over the situations. In this regard more must be done by the Government of Iraq to ensure justice and reparation for victims. This paper highlights the current reality of the situation of women during internal armed conflict in Iraq (as of 2014). The paper also explores the effectiveness of legal mechanisms to protect women from sexual violence in times of conflict, as well as paying attention of the legislation pertinent to the accountability of armed groups.

Key words :Armed groups, women, sexual violence, internal conflict , Iraq

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Introduction

The rape of women during war is as old as war itself. Interpretations of the reason for this vary; the most conventional explanation is that it is due to the individual lust of troops in an aberrant scenario with no conventional social and legal restraints, but it can also be encouraged as part of a concerted strategy to reward soldiers or to humiliate the enemy (e.g. the Japanese comfort women of WWII). The ubiquity of rape in war has been universally acknowledged since ancient times (Nebesar, 1998). However, it reached unprecedented heights in the large-scale wars of the 20th century, particularly during the Second World War. In 1945, 120,000 to 900,000 women were raped during the Soviet invasion of Berlin (more than two million German women were raped across Germany). However, the Japanese policy of abducting comfort women as a systematic policy of abduction and sexual slavery continues to be the most notorious example of rape in war, such as the 'Rape of Nanking', during which the Japanese Imperial Army raped, tortured and killed more than 20,000 women. The phenomenon continued during subsequent wars; during the US invasion and occupation of Vietnam, 86 US soldiers were accused of rape, 50 of whom were subsequently convicted. In 1971, up to 400,000 Bangladeshi women were raped by Pakistani forces, resulting in 25,000 known pregnancies (Nebesar, 1998).

While individual soldiers (alone or in groups) can perpetrate rape under their own volition, sexual violence is often utilized as a systematic means to humiliate civilian personnel in the local community or ethnic group, or to control them through fear.(United Nation Security Council, 2008) Rape is a common tool in wider policies of ethnic cleansing and the destruction of the fabric of families and communities.

The internal armed conflict in Iraq, on-going since June 2014, has seen a number of recorded human rights abuses, including sexual violence against women committed by armed forces (ISIS). This paper focuses on Iraq as a case study because the researcher wants to study this problem of sexual on women in depth and try to resolve it. The results of this study can be applied in other states which have a similar situation in future. This research considers the effectiveness of the current legal mechanisms to address the problem of sexual violence.

This paper focuses on sexual violence during armed conflicts. It includes sexual violence and internal armed conflict, then sexual violence and international armed conflict. After that the responsibility for sexual violence during armed conflicts under international law is explored under two sections: the responsibility for sexual violence under the Rome Statute of the International Criminal Court; and under the Geneva Convention.

Background of Sexual Violence During Internal Armed Conflict in Iraq, 2014

The sudden advance of the Islamic State in Iraq and Syria (ISIS) in 2014 within Iraq was accompanied by widespread human rights abuses, including sexual violence against and the enslavement (and sale of) women. The horror of sexual violence is often used by one conflicting party against another as a weapon to intimidate (i.e. terrorize) and destroy the enemy society. Such means often target particular groups, notably women, who are invoked during war as objects to be protected (i.e. in military recruitment) and thus identified as targets for sexual

violations to demonstrate the superiority of the opposing group. This is reinforced by socio-cultural (and religious) taboos that venerate the chastity and sexual purity of womenfolk (Human Rights Watch, 1996)

For example, during the internal armed conflict in Iraq, rape and other forms of violence were directed primarily against Yazidi women because of both their gender and their creed. The Yazidis have been subjected to repeated attacks by jihadist groups in the past because of the unique (i.e. 'other') nature of their religious denomination. Iraqi Yazidis have traditionally been concentrated in the Sinjarinin district of Mosul, which is a core region for ISIS. This group seized Mosul in their most audacious victory on 10th June, 2014; the most notorious sexual violence against Yazidi women was committed on 2nd August, 2014 (Amensty International, 2015) ISIS committed systematic sexual violence.(Human Rights Watch 2015) [5] [5] The singling out of Yazidi women and the perpetration of sexual violence against them was a means of dehumanizing and subjugating the Yazidi group as a whole. Some Christian women were also targeted with rape.(Human Rights Watch, 2015a) ISIS forced women to submit sexually, with threats that they would be killed if they refused. In Iraq, as elsewhere in the world, rape and other gender-based violations carry a severe social stigma.

Yazidi women are suffering heavily during the internal armed conflicts in Iraq, being subjected to slavery and humiliation by armed groups. ISIS granted Yazidi women as spoils to its fighters. Furthermore, women were sold in impromptu slave markets. Official documents issued by ISIS announced the prices for Yazidi and Christian women according to their age group. For example, women aged: 30 to 40 years were retailing for 75,000 Iraqi Dinars (ID); 20 to 30 were valued at 100,000 ID; 10 to 20 year-olds were sold for 150,000 ID; and children aged 9 years of age commanded the highest price of 200,000 ID. The official document restricted indigenous Iraqis to a maximum of three slaves, with the exception of foreigners from the Gulf, Turks and Syrians who were permitted more (Webb & Rahman, 2014).

This is one of the worst crimes recorded in the modern world. The Iraqi Constitution criminalizes such wrongful acts. Paragraph 3 of Article 37 of the Iraqi Constitution (2005) states that sex trafficking is not allowed. Furthermore, subjecting human to humiliation and insult is prohibited. Moreover, Para A of Article 37 states that freedom and human dignity are inviolable. the Constitution not only forbids such crimes but also guarantees the protection of citizens from religious coercion under Para 2 of Article 2 of the Constitution, which ensures freedom of religion to all non-Muslims (which in Iraq essentially refers to Yazidis, Christians and Sabeans. The freedom of belief is also confirmed by Article 42. The Constitution furthermore acknowledges the responsibility of the State to protect people from such crimes.

Christian women had a relatively better situation than Yazidis, because Christians are classified as followers of a monotheistic religion by ISIS, thus they have the option to convert or pay tribute to avoid the risk of abduction or violence, but this caveat does not apply to the Yazidis, whose complex and eclectic beliefs render them beyond the pale of the insurgents' sensibilities (Webb & Rahman, 2014).

Research on female victims of sexual violence in war generally find that victims are extremely reticent due to personal trauma or fear of social stigma and shame. Moreover, the families of the

victims are additionally reluctant to report abuse, thus the actual incidence of rape is generally presumed to be of much greater magnitude than suggested by official statistics (this is a major concern of human rights organizations). Further effects of such violence include that these women will never be able to reintegrate or to marry in many societies due to the stigma and shame associated with rape. The research also finds that the reason behind the suffering of women during the internal armed conflict is the ineffective protection of women.

Sexual Violence and Armed Conflicts
Sexual violence and internal armed conflict

International law dealt with the internal armed conflict, and the Fourth Geneva Convention described the legal protection of civilians during the armed conflict. For example, Article 27 of the Fourth Geneva Convention was the first article dealing with sexual abuse. However, this article was late, and it did not determine the dangers or seriousness of this problem.

International law (i.e. Article 2 of Protocol II, Additional Protocol to the Geneva Conventions of 1949) defined internal armed conflict as conflict not covered by the first article of the Protocol Additional to the Geneva Conventions (relating to international armed conflicts), and which take place in the territory of a High Contracting Party between its armed forces and dissident armed forces or other organized armed groups which, under responsible command, exercise such control over a part of its territory as to enable them to carry out sustained and concerted military operations and to implement this Protocol (United Nation, 1977)

This definition reflects that the parties of the internal armed conflict are the state involved in the conflict on the one hand and on the other hand the rebels who are struggling against an unstable government. Protection of civilians is the essential aim of international humanitarian law (IHL). This is obvious from Article 3 Common of the Fourth Geneva Convention 1949, which stated that all the parties of internal conflicts are obliged not to intentionally harm civilians. The obvious problem is that only States only be a part of such international conventions; the armed forces involved in internal conflicts cannot be a party to these conventions; they are expected not to breach basic human rights not by international law, but by a common understanding of the universal applicability of humanitarian law, which essentially amounts to a gentleman's agreement (in an absurd context).(United Nation, 2011)

However, the Resolution of the Special Court for Sierra Leone stated that non-state actors have an equal duty with States as parties in an armed conflict to respect IHL: "as agreed, all parties to an armed conflict, whether states or actors from non-state, must abide by international humanitarian law, and that despite the fact that only states its right to be party to international treaties". ("Prosecutor v. Sam Hinga Norman ", 2004)

Moreover, the gross violations of customary law, and serious violations of international human rights law and international humanitarian law by persons, are not allowed. Hence, the International Criminal Court (ICC) sanctions persons who committed one of the international crimes, for example genocide, war crimes or crimes against humanity, and the crime of aggression. Rape and other forms of sexual violence can be regard as genocide crimes when committed with the intent to destroy an ethnic, religious, national or racial group in whole or in

part (Hague & Jolie, 2014). According to Human Rights Watch, the crimes of ISIS can be regarded as crimes against humanity or war crimes (Human Rights Watch, 2015)

The Special Court for Sierra Leone and the ICC have made an important contribution to the development of a legal framework to develop standards for such crimes, including through innovative judicial interpretations. ("Prosecutor v. Akayesu," 1998) Furthermore, Article 8 of the Rome Statute of the ICC states the list of acts that can be regarded as war crimes, (UN General Assembly, 1998) (UN General Assembly, 1998) including sexual violence.(UN General Assembly, 1998)

International law specifically criminalizes certain acts committed during conflicts, including rape, sexual slavery, forced prostitution, forced pregnancy, enforced sterilization, or any other form of sexual violence of comparable gravity (United Nation General Assembly, 2002). Under the Rome Statute, crimes against humanity comprise offenses undertaken in specific actions as part of a widespread or systematic attack directed against a civilian population, where the perpetrator is aware of the attack. (United Nation General Assembly, 2002)

Sexual violence and international armed conflict

Among the numerous kinds of violence suffered by women during armed conflict, sexual violence appears to be the problem most specifically pertaining to females. The UN described one of the purposes of such violence on a systematic level as being "for the purpose of stabilizing soldiers' psychology, encouraging their spirit and protecting them from venereal infections" (United Nation, 1994)

Although some trials in the Nuremberg Tribunal concerned sexual crimes against women, the subject of women's victimization was only given incidental attention despite the ample evidence for those crimes. Examples include the trial of General Matsui (of the Japanese Imperial Army). Matsui was guilty of war-crimes and crimes against humanity, but he was not charged for rape despite ample evidence that he ordered soldiers under his command to rape (United Nations, 1998)

Control Council Law No. 10 adopted by the Allies in 1945 was the resource for the holding trials for the hearing of suspected Nazi war criminals not dealt with at Nuremberg (Human Rights Library, 1946). Although rape was explicitly listed as one of the crimes covered by the council, no charge was brought for rape. The law of armed conflict which includes the Geneva Convention and its additional Protocols dealt with the protection of civilian persons generally, and made some provisions specific to women. Article 27 stated that "women shall be especially protected against any attack on their honour, in particular against rape, enforced prostitution, or any form of indecent assault". Furthermore, Additional Protocol I of 1977 Article 76(1) stated that "Women shall be the object of special respect and shall be protected in particular against rape, forced prostitution and any other form of indecent assault". Article 4(2)(e)of Additional Protocol II of the Geneva Conventions 1977 stated that "Outrages upon personal dignity, in particular humiliating and degrading treatment, rape, enforced prostitution and any form of indecent assault".

This Article listed sexual violence as "outrages upon human dignity", which it prohibits, however there is no outright definition of the use of sexual violence during conflicts as specific crimes, and the vague references to attacks on "honour" reflect the reticence of the legislators to broach the issue – although the Conventions undeniably criminalize rape, their general tone pertaining to the issue does not seem seriously intended to encourage prosecution for such crimes, although it is ranked between torture and enforced prosecution in Article 4 of the Second Additional Protocol of Geneva Convention.

Responsibility for Sexual Violence During Armed Conflicts in International Law

Under international criminal law, gross violations of human rights and international humanitarian law or customary may lead to individual criminal responsibility. It was generally accepted by the International Military Tribunal for German that individuals are responsible for the wrongful acts they commit. (Tomuschat, 2006) However, no law set out the responsibility of armed groups in their wrongful act during the armed conflict unless they obtain State power, at which point they are bound by normal laws pertaining to States. However, as mentioned previously, the ICC has charged leaders of armed groups with committing crimes against civilians during conflicts, including rape and violence. Nevertheless, no convictions have been successful because of the difficulty of proving such crimes, as explained later in this paper.

The term "violations to human dignity", as stated by the Geneva Convention (1949), refer to prohibited acts during armed conflicts, whether international or internal, but do not give a clear definition of sexual violence. The research for this reason suggests that such definition should receive specific attention to help to redress these increasing crimes. It also might help the ICC to apply fixed elements of this crime. Consequently, it might redress the problem of impunity.

Responsibility for sexual violence under the Rome Statute of the International Criminal Court

The Rome Statute of the ICC has confirmed the responsibility of individuals for the commission of international crimes. This is stipulated in Article 25 of the Statute of the International Criminal Court.

Articles (8,6) of the Regulations of the Nuremberg Tribunal and articles (7,5) of the Regulations of the Tokyo Tribunal state that individuals are responsible for criminal acts stipulated in these Conventions. The Nuremberg Tribunal stated "that only natural persons who commit crimes and not abstract theoretical objects can ensure the implementation of respect for the provisions of international law, but the punishment of natural individuals perpetrators of these crimes do not".

International law recognized individual responsibility for acts committed by threatening the overall global interests of the international community and exposing people to danger, and the criminal responsibility of the individual for international crimes is a principle of contemporary international law.

Several of the international conventions and treaties have affirmed this principle, and Article 29 of the Geneva Convention stipulates that "The Party to the conflict in whose hands protected persons may be is responsible for the treatment accorded to them by its agents, irrespective of

any individual responsibility which may be incurred." (International Committee Red Cross, 1949).

The question arises of whether States still hold responsibility for international wrongful acts committed by individuals belonging to those States, particularly when they are military personnel employed by the State in a conflict zone in which a crime is alleged to take place. It is generally accepted that the personal responsibility of the individual does not negate the State's responsibility where applicable. This was confirmed by the United Nations General Assembly Resolution (A/Res/56/83) on 01.12.2001, which stated that the State bears responsibility for all actions of the apparatus or persons acting on its behalf and expense, and that the State particularly has responsibility for crimes committed by individuals in its armed forces (United Nations, 2001). Furthermore, Article 91 of Additional Protocol I of 1977 to the Geneva Conventions of 1949 considered a party to a dispute (i.e. a State) to "be responsible for all acts committed by persons forming part of its armed forces". According to this article the State is responsible for the wrongful act of its officials, including sexual assault, because of the power and authority the State aggregates to itself in declaring war and maintaining (and training) professional armed personnel.

Moreover, the Rome Statute of the ICC has confirmed the state's responsibility for international crimes. Article (25/4) states that it "does not affect any provision in the statute relating to individual criminal responsibility in the State's responsibility under international law", but the nature of the State responsibility is to be responsible for redress (e.g. compensation) for civilian victims of international crimes committed by a criminal engaged in the employment of that State that enabled the crime to take place.

Responsibility for sexual violence under the Geneva Convention, 1949

International law deals with the responsibility of both the State and individuals concerning reparations. However, international law ignored the responsibility of armed groups except when they obtain power (i.e. become de facto State governments with the conventional legal implications). The characterization of acts committed by armed groups as internationally wrongful is governed by international law. Article 10 of Draft Articles on Responsibility of States for Internationally Wrongful Acts, 2001 directly tackled the responsibility of armed groups in the following terms: "1. The conduct of an insurrectional movement which becomes the new Government of a State shall be considered an act of that State under international law". Hence, under Article 10/2 of this Draft, the acts of these armed groups are regarded as the actions of states when those groups become the new government: "The conduct of a movement, instructional or other, which succeeds in establishing a new State in part of the territory of a pre-existing State or in a territory under its administration, shall be considered an act of the new State under international law". Consequently, this Draft Article (2001) deals with insurrectional movements who succeed in gaining power and creating a new State in a novel way, marking a sea change from the traditional state-based international laws governing conflicts toward a new, more complex understanding that reflects the changing nature of conflict itself.

However, under secondary rules of international law, it remains difficult to hold armed groups responsible for reparations. For example, Article 10 of the Draft Article (2001) confirms the

responsibility of armed groups to pay reparations under the condition that they gain power; should they fail to do so, they are not obliged to fulfil this condition. Furthermore, during the debate on responsibility allocation of armed groups by the International Law Commission under draft Article 14/13, such allegations were found to have exceeded the limit of articles on State responsibility.

Article 91 of Additional Protocol I as well as Article 3 of the 1907 Hague Convention IV stated that a State is responsible for "all acts committed by persons forming part of its armed forces". Thus, according to international law, when the elements of wrongful acts are met, the State is responsible for such unlawful acts of armed force.

However, other areas of international law started to deal with such responsibility. It was generally accepted that armed groups have to respect IHL. For example, Common Article 3 of the Geneva Conventions deals with parties of conflicts which include armed groups and affirms that all parties to a conflict need to respect IHL. Internal armed conflicts deal with such groups under two conditions: first, responsible command has to be organized for this group; and secondly, part of the disputed territory has to be under its authority. This means that this article will not apply to all circumstances. On the other hand, under Article 91 of Additional Protocol 1 of the Geneva Convention, conflicting parties are responsible for reparation if those parties breach the rules of the Protocol, but that does not include internal conflict.

The ILA Committee on Reparation for Victims of Armed conflict states the responsibility of armed groups in violation of breaking the IHL, but despite such attempts to ensure the remedy of victim harm there are no appropriate legal procedures to apply to confirm such remedy. On a practical level, even in the case of a successful prosecution, such groups do not generally have access to credit to pay compensation.. Although responsibility has been developed under IHL, the situation of non-State groups remains unclear under this law. Despite the fact that these groups are not party to IHL treaties, they become liable to their provisions when they obtain de facto control over part of a territory, while they are denied legal states by the State involved, and may or may not be recognized by foreign States and international organizations. Sometimes States do not acknowledge the obligations of armed groups to hold responsibility in order to avoid granting them statutory rights. (Moffett, 2013) Conversely, the responsibility of States is firmly proclaimed by the ICJ including the payment of reparations to victims of international crimes ((ICJ), 1993; "Case Concerning The Military and Paramilitary Activities in and Against Nicaragua (Nicaragua v. United States of America) (Merits) ", 1986; "Case Concerning United States Diplomatic and Consular Staff in Tehran (United States of America v. Iran); Order," 1981; "Prosecutor v. Dusko Tadic (Appeal Judgement)," 1999)

This decision is contrary to Article 8 of Draft Article on State Responsibility for Internationally Wrongful Acts, 2001, which stated that:

"The conduct of a person or group of persons shall be considered an act of a State under international law if the person or group of persons is in fact acting on the instructions of, or under the direction or control of that State in carrying out the conduct."

Responsibility of armed groups for sexual violence under the ICC

However, the ICC has changed its situation and started to charge the leaders of armed groups for their crimes during conflicts, particularly for their sexual violence. In February 2003 an attack against the village of Bogoroin the eastern Democratic Republic of Congo's Ituri region occurred. Mathieu Ngudjolo Chui, the armed group leader, was accused of being a co-perpetrator of war crimes and crimes against humanity, including killings, rape, sexual slavery and the use of child soldiers. However, the Trial Chamber failed to prove his responsibility. The decision of the ICC to acquit this leader of an armed group disappointed the victims. Similarly, the Trial Chamber acquitted Germaine Katanga, alleged commander of the Force de Résistance Patriotique en Ituri (FRPI), of rape and sexual slavery as a crime against humanity ("The Prosecutor v. Germain Katanga and Mathieu Ngudjolo Chui," 2009)

In 2014 the ICC began an investigation aiming to end serious human rights violations and to determine those responsible for these crimes (i.e. to attempt to identify ways in which a successful prosecution could be achieved). The Prosecutor of the ICC confirms the importance of the accountability of the armed groups for their crimes during the conflict, including rape, which are regarded as war crimes and crimes against humanity, such as those by the armed groups in the Central African Republic (Amensty International, 2015).

However, it can be seen that the ICC is preoccupied with the prosecution of the leaders of armed groups involved in the commission of war crimes and crimes against humanity rather than the actual perpetrators of the crimes themselves, whether individuals or groups. Furthermore, the disparate opinions and decisions of the ICJ regarding responsibility leads us to confirm the need for intervention by international law to state the elements of responsibility as well as take effective steps to end the reduction of violations of the armed group to the rules of conflict, especially after the mounting number of these groups and increasing violations of international law and human rights

Although international law has paid attention to redressing the problem of sexual violence against women during armed conflicts, women continue to suffer from this kind of violence because of the impunity of the criminals. In the unlikely case of a prosecution being brought, the International Tribunal of the ICC has routinely demonstrated its impotence in the conviction of alleged war crimes, even notorious leaders of criminal armed groups.

Conclusion

This research has serious implications for Iraqi legislators to reconsider their view in regarding their accession to International Conventions. Although, Had Iraq been part of the Rome Convention Criminal Tribunal 1998 in 1998, the Iraqi Penal Code did not follow the norm of including articles stating that there is no legal or judicial immunity for those who commit crimes under international law .

Ruth Benedict The Sword and the Chrysanthemum was based on US cultural intelligence on Japan. It explained how the Emperor was the transcendent figure binding the Japanese people together metaphysically that made their national life possible. The US decided to blame the top

generals in Japan, who fell on their sword for the Emperor, while the Emperor and other royals were never prosecuted. In Iraq it was the opposite – everything was focused on 'Saddam' to enable Iraqi society as a whole (and indeed the US and other Western powers who installed and armed Saddam) to disassociate itself from its complicity in the ascendancy of the Ba'athist regime.

Protection of women during armed conflicts is important due to the increased vulnerability of women in such scenarios. Civilians in general and women in particular have become the main victims of conflicts. IHL places minimum standards of protection that all the parties of armed conflicts must apply.

However, although IHL has paid increasing lip-service to the protection of women in conflict since the 1940s, in reality a dearth of prosecutions means those perpetrating crimes against women in conflict continue to enjoy impunity, and attacks on women during armed conflicts continues to increase due to the impotence of the international community to enforce international law. For example, the Geneva Convention of 1949 and Additional Protocols of 1979 state the protection of (civilian) women from violence in conflict, but do not offer remedy for punishment.

Furthermore, laws for reparation and responsibility primarily apply to states, thus armed groups are given carte blanche unless they achieve power. The internal conflict is more dangerous than international conflicts in regard to sexual violence against women due to the ineffective policing, as well as international law paying less attention to internal armed conflict compared to international armed conflict.

This research also suggests enacting a new convention specifically protection women during conflicts is required. if legal remedies for such cases are to be developed then it is absolutely essential that females come forward and contribute to the prosecution of alleged criminals, which requires substantial efforts by government and civil society organizations to change social perceptions of victims of sexual violence (i.e. to avoid stigma of being as a victim).

The case of Iraq has failed to achieve or implement justice. At present, there is no prospect of Iraqis seeing a system whereby victims are given rights of reparation and criminals are seen to be punished.

In addition it is important to appoint female staff to deal with victims of sexual crimes, including the way to obtain testimony from rape victims. Indeed, it is fundamentally important of involve women themselves in the construction of a comprehensive system to protect them from sexual during conflicts. Reparation would be the most suitable punishment for such crimes, but the problem is women (and their families) are generally reluctant to report such crimes, let alone bring charges, thus assistance is needed from government and the international community in a long-term programme of cultural conditioning to remove the stigma such crimes. Most victims cannot talk about their experience because the fear of the killing (whether revenge for exposing attackers or honour-killings by members of their own groups). For this reason the protection of victims and witnesses is essential.

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Rome Statute of the International Criminal Court, Article 7 stated that

"1.For the purpose of this Statute, "crime against humanity" means any of the following acts when committed as part of a widespread or systematic attack directed against any civilian population, with knowledge of the attack; ... (g)Rape, sexual slavery, enforced prostitution, forced pregnancy, enforced sterilization, or any other form of sexual violence of comparable gravity." (2002).

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Rome Statute of the International Criminal Court (last amended 2010), ISBN No. 92-9227-227-6, Article 8 Stated that "2.For the purpose of this Statute, "war crimes" means:

(a)Grave breaches of the Geneva Conventions of 12 August 1949, namely, any of the following acts against persons or property protected under the provisions of the relevant Geneva Convention...."." and   that include sexual violence (xxii)Committing rape, sexual slavery, enforced prostitution, forced pregnancy, as defined in article 7, paragraph 2 (f), enforced sterilization, or any other form of sexual violence also constituting a grave breach of the Geneva Conventions. (1998).

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Apocalypse of Terrorism in Kashmir: Interface between Patriarchal Domination and Gender Issues

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Abstract

In the quagmire of terrorism in Kashmir spanning over a period of nearly three decades innocent women and children have borne the severest brunt. Terrorism is often described in the language/ idiom of 'war', usually by terrorists. Whether or not it is war is an important debate, though, it has caused serious destruction of lives of women, at all levels—physical, emotional, psychological and spiritual. It has wreaked havoc in family and society; gutted all aspirations for status upliftment of women and future generations of Kashmiri Pandits. The dynamic identity of the 'woman' as a person has been destroyed irreparably. What bearing do women and children have in terrorism? They are largely at the passive, receiving end of a gigantic patriarchal fury in the face of terrorism, counter-terrorism, violence and crimes that have devastated the social fabric of Kashmir. The research paper will highlight the plight of, mainly, Kashmiri women refugees in Jammu refugee camps and bring out nuanced aspects of gender oppression. When lives of such affected women and their children are studied closely important questions are raised about the existence of patriarchal dominance in society. Patriarchy can be lethal to the extent of total annihilation of women. A male-dominated social order is as much a social-structural problem to reckon with as is the fetishism of terrorism. Terrorism, in perspective, is a mirror image of embedded patriarchy. What is the way out? Do women have viable, dynamic choices? Various gender issues and discourses will be discussed in the research paper.

Keywords: Terrorism, Kashmir, Patriarchy, Gender Oppression, Crimes, Postmodern Feminism, Women's Agency, Liberation.

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Men will be men! It's in the genes! Patriarchal domination is omnipresent in society and its violence is condoned. Socialization tames the "wild beast" in man is the age-old belief. The process of socialization (censure and punishment) is viewed as purely incidental like a necessary evil and interfering with the *natural expression of the selfhood of man*. A socialized man is a, sort of, culturally marinated piece of meat barbequed on the red coals of *superego* and transformed into a palatable and digestible form of 'steak'! So if a man is neither law-abiding nor God-fearing we would presume that the steak is raw, somewhat. The bottom-line is that society condones the rawness, ferocity, violence, domination and criminality on part of men. It makes women victims in subtle and violent forms.

Reference to the concept of androgyny has been there in Upanishads as '*Ardhanariswara*'[1] over thousands of years yet, very few men could exhibit androgynous personalities in terms of gender-sensitivity.

Feminism, as thought and ideology stands for women speaking about and for themselves. Sensitizing men through women's speech and confrontations is a part of Feminist movement's agenda to challenge patriarchy (male power). However, gender-sensitization alone would not liberate women from domination, control, passivity and marginality. Male power and domination could be effectively challenged through a strategically reinforced fortress of 'female power' having multiple vistas of possibilities, alternatives, outcomes and challenges. Women must wrest control of their lives from men through strategic 'female power' or else they would be continued to be robbed of their true life experience and existence apart from the brutal torture and violence that they are subjected to, often.

Society offers numerous odd cultural recipes of behavior and action differentially to men and women. The diffuse, abstruse, globalized and consumeristic society might create a mirage of green possibilities of gender emancipation and empowerment but, the social-structural orthodoxies are logs of hurdles in women's pathways. Feminism, in contemporary times, is facing consequential challenges as because the consumeristic, globalized, patriarchal society fails to provide launching-pads to fresh feminist ideas and approaches. Feminism today faces the threat of annihilation as because the *man's globalized-supersonic-nano world* seems to hand out solutions to all problems, including those pertaining to gender. It would connote that women *'need not worry about their problems as the masculine world is in total control of situations with the aid of technology and will be offering customized effective solutions'*. Women are told all the time that they need not worry because their needs and worries will be taken care of by men. However, the grim facts from Kashmir and other similar contexts worldwide tell blood-curdling, heart-wrenching stories. The idea of an advanced, technologically superior civilization with promising future is the greatest myths of all times. This false discourse has been, slowly and surreptitiously, undercutting roots of fresh seedlings of feminism in the developing countries like India. The markets of developing countries (India) have been flooded with uncountable choices in consumer durables and services and gender-sensitivity has been reduced to its optional status (a singular choice) amongst plethora of choices that are available. Post-industrial/ postmodern world offers thriving spaces for diversity of

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[1] '*Ardhanariswara*' in Upanishads is depicted as a conjoined image of Lord Shiva and his wife Parvati fused together. It signifies the co-existence of male and female qualities/attributes in a glorified persona.

beliefs, opinions, orientations and alternatives and Feminism today has come to sound similar to vegetarianism—just another group of activists talking about gender issues! Making people listen up and understand socio-cultural/structural underpinnings of gender oppression is like trying to convince, metaphorically, meat-lovers about the benefits of being vegan. Why would he give up meat-eating unless he conscientiously feels about it? After all, he has the freedom of choice! Patriarchy is the choice of men which is allowed and patriarchal domination and violence is, therefore, condoned. Metaphorically, the situation is comparable to the co-existence of both, Anti-Apartheid groups and Ku Klux Klan! It has shown resilience through historical epochs because of half-hearted efforts and lack of willingness on part of men to overthrow regressive *status quo*.

The postmodern world is engaged with superficial categories, things and existence in all its diverse forms. The depth of structural issues has been rendered insignificant, inconsequential and unnecessary. Feminism is not only dismissed but is also faced with the threat of complete annihilation by *false narcotic discourses* spread in a hallucinating, floating and superficial world. The ontological status of Feminism needs to be revisited from various relevant perspectives in order to salvage women's cause from degeneration and jocundity.

Discourses on Globalization generate many false meta-narratives of civilizational progress. Various critical perspectives (Petras &Veltmeyer, 2001) on the same dispel the Grand Myths of Globalization. In a similar vein various discourses/meta-narratives on Terrorism divert attention from its patriarchal roots. Terrorism, indeed, is a metaphor of gender oppression *inter alia* other aspects. Notwithstanding political and religious enmeshing of the problem, primordially, patriarchy is at the heart of terrorism and terroristic violence is patriarchal violence, as a matter of fact. The article aims to bring out the linkages between terrorism and patriarchy as a social-structural issue which has excruciatingly affected women in Kashmir. It argues that not only terrorism is a patriarchal scourge but, a host of historical injustices and issues that women have faced is because of their membership (citizenship) in a patriarchal society. Terrorism happens to be, incidentally, one of patriarchy's monstrous manifestations amongst various other gruesome crimes and violence that women are subjected to routinely. So, how does one propose to tackle terrorism without addressing to its roots—patriarchy?

There appears to be a neurotic obsession with public discourses on terrorism. Media frenzy on the topic has managed to convince the world that *Satanic Terrorism* is in a strong grip of the world, especially, post-9/11. There has been voracious intellectual activity to study this monstrous phenomenon of post-industrial, globalized world which has reproduced fragmented realities and myths. Myths of Annihilation, the Apocalypse, Death, Destruction, Devastation, Clash of Civilizations, Extinction of Humans, Extermination etc. to name a few! Media tricks have been craftily applied in the act of sorcery of terrorism to hypnotize the world into psychological states of uncertainty, anxiety and fear psychosis of the 'unknown'. Sporadic, sudden, unrelated terror strikes throughout the landscape of the globe; mushrooming of thousands of terror factions; abuse of advanced technology and resources coupled with inescapable clutches of media on general psyche have done the trick. Common people are thoroughly confounded today and live in subconscious anxiety. This anxiety finds a cathartic expression in engagement of the world with the Dead, Evil, Spirits,

Apparitions, Supernatural, Paranormal, Occult and mythical creatures like mermaids and vampires. Terrorism creates hypnotic states where the mind is stupefied in to engagement with inconsequential thoughts and activities working its way into the subconscious where it (fear) sits tight. This subconscious is brought to surface into individual and public consciousness through random terror strikes and related discourses, now and then. Erratic, random and sporadic terror attacks have set the world imagination into a psychedelic trance throwing people into layers of amnesia from real issues—patriarchy and gender issues, of course! The spaces for true discourses (on gender) have been usurped/ hijacked by false discourses and epistemology.

As we heralded into a postmodern world leaving behind the Age of Reason (particularly, in the West) terrorism has sneaked up and exposed the hidden crevasses of *a globalized world based on male ordering principle.* The media frenzy and public obsession, especially, in corridors of power have given it gigantic dimensions. The most astounding sorcery technique used by 'the rich and powerful' is the much publicized 'inability to rein in the monster' despite possessing ahead-of-times knowledge, information and intelligence along with state-of-the-art infrastructure and technology. The meta-narratives of terrorism that capture our psyche today are grand myths and debauchery dismissing the root of all problems that we encounter. The preoccupation of the world to rein in terrorism (through counter-terror agencies and operations) is, in reality, another act of sorcery (hypnosis) to divert attention from the roots of all grand threats and problems which are the patriarchal social order, male domination hegemony and status quo.

Epistemology on terrorism has developed along a few neat trajectories: firstly, on co-ordinates of primordial ideological connect between religion and terror; second, on co-ordinates of political enmeshing of the problem or in other words, terrorism as a phenomenon being the manifestation of various stresses and strains of political processes and nation building; thirdly, on psychoanalytical co-ordinates; and finally, along the socio-cultural co-ordinates. From psychoanalytical and socio-cultural co-ordinates criminological perspectives on terrorism have emerged as an offshoot. Amongst these the first two co-ordinates have dominated the imagination of intelligentsia *(hommes de lettres)* and thus, the epistemologies. It is widely believed that the root of terrorism as a problem could be traced along the first three co-ordinates. The discovery and understanding of roots could give us the various trajectories to its resolution and containment. The interface between religion and terror, on the one hand, and between politics and terror, on the other have generated various meta-narratives or grand theories.

Though women and children have been victims of terrorism across the world yet very few discourses are devoted exclusively to study of such victims. There has not been any serious attempt to study causal linkages between patriarchy, male-violence and terrorism. A study that analyses the causal linkages and various ways in which patriarchy manifests in different spheres of domestic and public life will give us the true epistemology on terrorism and social structure. The stranglehold of patriarchy is obvious in all domains of public life, whether politics, administration, defense, business enterprises, industry, scientific research etc. Theology (religion) too is replete with patriarchal domination from historical times. At least we admit today that many dogmas that find sanctity in holy texts are anachronistic, orthodox,

discriminatory, unfair, gender-oppressive and meaningless in contemporary times. Given this fact it must be acknowledged that religious dogmas and the social structure of which the former forms fundamental ideological and philosophical basis are thoroughly patriarchal and gender- oppressive. The same holds true for the realm of power and politics. In a patriarchal world power and politics, both, are controlled and directed by men in a, rather, hegemonic way.

To allow female domination in this sphere would be to usher in a gigantic socio-political revolution or transformation. This has never happened in history; status quo of patriarchy had been maintained for male advantage. Had women dominated public and private spheres the state of affairs that we encounter today could have been much different. The world could have had its natural, peaceful and happy existence free from social malaise. The pandemonium, crime, violence, oppression, discrimination and victimization that we witness today in every society could have been substantially mitigated, if not eradicated altogether.

True discourses should address patriarchy as a causal factor and fountain spring of terrorism which, in a way, points to a possibility world going topsy-turvy (a mental revolution in intellectual circles especially among *hommes de lettres*). The *status quo* will be thrown out of gear when such discourses come up to enlighten the world that not only terrorism but also almost every single social malaise that thrives has genesis in patriarchy. The fact that terrorism not only has serious socio-cultural and gender consequences but, also elemental patriarchal composition (roots) has not formed the mainstay of such epistemologies. Rather, it is believed that such epistemologies are secondary because they espouse the impact or consequences of terrorism rather than roots. The roots or underlying causes are traced in religion and politics. The author does not negate the relevance of such discourses that dominate intellectual scene today, however, it cannot be ignored any further that those are myths because they have failed to reach the farthest deeps (roots/ truth) of the matter. A fresh discourse on terrorism from gender perspectives would demystify the intellectual world and set into momentum a mental revolution. Such a revolution is necessary, though, which would not only address terrorism as a social malaise but also deal with various other structural faults, orthodoxies, problems and ills that dodge our imagination. So why have *hommes de lettres* ignored such discourses so far, historically speaking? The author tries to trace the answer in the article. The process of demystification of terrorism from gender perspectives gives us a radical paradigm shift from global projects and processes of vilification and criminalization of terrorists (albeit, criminals they are!) to critique of patriarchy from which terrorism springs. The latter is a much larger and deeper problem like hidden trenches underneath a vast ocean which has gurgled out hordes of monstrous '*pirhana terrorists'*. Terrorism and terrorists thrive in dark trenches of patriarchy.

The standard definition of terrorism indicates *'actual use or threat of violence perpetrated usually, though not exclusively, by a group of actors for religious, political or ideological motives/ goals directed randomly at non-state actors (civilians) and state-actors/ combatants (defense forces) as well'.* Such definitions are inadequate! Terrorism has exposed the obfuscated myths of patriarchal society, state, politics, law, enterprise and religion in which women are forced to locate their ontological status. This has emerged, in a postmodern context, as a *'Frankenstein's monster'* which is frantically looking for its true identity/ roots (origin). Concept of

terrorism should be reframed as *'actual use or threat of male form of violence having patriarchal social-structural genesis and perpetrated usually, though not exclusively, by a group of actors for socio-cultural, religious, political, ideological or hierarchical (domination) motives/ goals directed randomly at non-state actors (civilians) and state-actors/ combatants (defense forces) as per terrorists' volition or strategy'.*

When people thought that science and technology will grant absolute control over society in the hands of men there emerged terrorism as an apocalypse. So, did politics and warped theology create terrorism? May be to some extent but, actually it is child of patriarchal semen of society! The womb of mother-nature has been violated by corrupt semen to give birth to this evil. Noam Chomsky (2002) testifies that during Cold War era the Superpowers, including, the USA supported and fuelled terrorism. The author of the article, however, contends that terrorism is the child of patriarchal state and society including geo-politics.

True discourse would unravel such desolate trenches in the ocean of knowledge by way of thorough 'deconstruction' of social reality as we engage with the problem. Positive women's agency, mobilization and psychological unification of diverse women from various backgrounds by way of their participation in multiple activism and social movements are germane to the context. The notion of woman as a '*being*', though not dismissed by the author yet, has not been given precedence over the notion of woman as a '*person*' who is continually '*becoming*' someone. The process of 'becoming' takes place through knowledge and awareness of a given context, on the one hand and interaction, mediation and participation in the context, on the other. The emphasis is on invigorating a multitude of *micro-feminist movements* and positive action everywhere. Due to unique diversities within the category of gender, especially in a multicultural country like India, any grand, pan-India feminist movement project may face the possibility of insurmountable contextual difficulties. The contextual difficulties could be minimized in case of local, community level approaches. This does not obliterate the scope, albeit, of external ideational (ideological) influences from *women intellectuals* at national and global levels.

Kashmir is the field of *feminist consciousness* and movements. Butalia (2002) and Dhar (2002) have mentioned about many rapes and murder of Kashmiri women (Hindus and Muslims both). *Human Rights Watch* had published its report on *Kunan Poshpora* mass rapes in 1991. All such and numerous other rapes had a direct bearing on terrorism in the Valley (Kashmir). All those cruelties that women were subjected to were annotated by the idiom of *Islamist hate ideology* of terrorists. These authors provide evidences of women brutally raped and sawed into pieces in the sawmill. There are evidences of criminal assault and grotesque violence not only by terrorists but also by state agencies like the security forces, police and military. Justice, till date, evades women of *Kunan Poshpora* and similar other women as the culprits have not been punished.

The aspect of direct onslaughts of terrorism and their impact is one important dimension of the problem. Other important aspects relevant today are the indirect impact and *burden of aftermath of terrorism* that remain after a lapse of three decades. The author attempted to study the so called 'normal lives' of women affected by terrorism. The sample of research contained of 120 women respondents from

Srinagar, Anantnag, Baramulla and Jammu regions of the state. It was a simple random sample of 70 Muslim and 50 Hindu women. The Hindu women earlier lived in Refugee Camps (*Misriwala, Mutthi and Purkhoo Camps*) in Jammu and from 2011 onwards shifted gradually to *Jagti and Purkhoo Migrant Townships* created by the Central Government. The sample did not contain any rape victims but had a few trauma victims. Two young teenage respondents from Anantnag district (and their mother) have lost their powers of speech due to trauma. They witnessed their two young brothers' death who were shot at by unidentified people. Both of them were overpowered by epileptic seizures at the mention of their two deceased brothers. Their mother sat like stone at one corner of the house.

In another traumatic episode a respondent's husband was a driver employed by Special Task Force (STF) in Srinagar. She claimed that he was shot dead by the STF men as he was suspected to have terrorist links. Her husband was a victim of politics of terror and mistaken identity. She argued that had he been a terrorist the family would have been prosperous. She exclaimed, *"Kya ek aatankwadi ke ghar mein itni garibi hoti hai?"* (How could a terrorist's family be so poor?). She lamented about the tragic death of her husband and also about her children's fates.

In the wake of political terrorism in the Valley ethnic-cleansing was a part of the pogrom against the Pandit community. Thousands of Kashmiri Pandit families have migrated from Kashmir to Hindu-majority Jammu region for life-security. The Kashmiri Pandits residing in Jammu Re-settlement Townships affirmed that by and large, peace has been restored in their native villages in the Valley today. They do not fear as much any attack or rampage either by lone-wolf or factional terrorists. However, the scars of terrorism are a part of unforgettable Kashmiri history. Those are indelible marks etched forever in collective memory of the community. There are numerous problems faced by women in Rehabilitation Townships in Jammu. Also, these women feel demoralized and insecure about their future. Women who live in the Valley face abject poverty and feel a constant fear due to ominous possibilities of search operations, violence and assault by security forces. The Armed Forces Special Powers Act (AFSPA), 1990 is active in the Valley and it has been repeatedly abused causing havoc to women.

Younger respondents (up to 35 years of age) from Migrant Townships were fairly educated while the older ones could barely complete primary school. Most of the higher educated Kashmiris have moved out of the Migrant Townships and are pursuing settled careers elsewhere in India and abroad. The Quota system (reservation of seats) and fee concessions for Kashmiri migrants in academia have helped the younger generation to avail education and establish meaningful careers and life outside the conflict-ridden state of Jammu & Kashmir. The lesser educated stayed back in the townships. As per Census 2011 Report the literacy rate of women in J&K is 49% as compared to male literacy rate which is 77%. Total literacy rate of J&K is 67% while the national average is 74%. More than half of the women in the state are illiterate. Those who are educated are merely able to write their names and many did not even complete primary education. Some of the younger respondents are pursuing some jobs either in the private or public sectors. The incomes, though, are insufficient.

Mr. Ashok Bhat, who is a primary school teacher and a member of Jagti Township Welfare Committee, and his wife Teja Bhat expressed the concerns of Kashmiri

Pandits residing there. They expressed that people with some jobs were, somehow, able to meet their daily needs bare minimum. Those who failed to get any jobs have to sustain with INR 3000 p.m. per family as Relief pension and a stipulated amount of food provisions (rice, wheat and pulses) granted by the Central government at New Delhi. The total amount of free ration provided to each family is about 25kgs per month. In an average family of five members, each one gets only five Kgs of grains per month. The residents, Teja Bhat said, are leading a subsistence living without any savings. When the author contacted residents of the Jagti and Purkhoo Townships they also narrated similar accounts. Though the Central Government is carrying out a sustained policy to rehabilitate the migrants (providing them with two-room houses is one such step in this direction) yet, they are grossly inadequate. The residents visualize generations of suffering in future times to come. They can hardly aspire for a bright future given the difficult conditions that envelope them. Residents also confirmed, rather with lament, that the J&K State Government does not offer any monetary or material help to the migrants. They look forward only to the Central Government at New Delhi for any financial grants, compensation, pension or material help. Such opinions bring to centre-stage debates on the relevance of Article 370. The situation of Kashmiri migrants is very precarious as they feel abandoned and marginalized in their very own State. The men of the township have unanimous opinion that if all Kashmiri Pandits are given houses in a common township/ neighborhood they would like to return to the Valley. If they are scattered in the region they would feel insecure as that situation would portend future communal terrorist onslaughts even if those resurrect after decades or generations. Women respondents, however, are completely averse to the idea. They lamented that women do not have much say in decision-making and that they will have to meekly follow their husbands if the latter decided to move. Women expressed strong hatred for Muslim men.

Women did not want a separate state of Kashmir, neither were they inclined towards merging with Pakistan. The concept of *'Azadi'* (Separatism) is meaningless for them. They wanted personal freedom and liberation from crime, violence and drudgery of patriarchy. The condition (educational status) of Pandits has improved slightly because of Kashmiri Migrant Quota of Reservation System in colleges and universities throughout the country. Muslims, however, have severely lagged behind.
'*Whither Kashmiriyat'*?: If *Kashmiriyat* is about religious tolerance between Hindus, Muslims and other communities and if it connotes cultural harmony and love of neighbors then, such *Kashmiriyat* had been betrayed and slain forever. Acts of treachery have betrayed the Pandit community and put them in situations of comparative disadvantage for generations to come. The composite culture (*Kashmiriyat*) is fragmented and gone. The meaning of *Kashmiriyat* has changed completely for Pandit migrants. They imagine it to be something over which Pandits have propriety and the shades of other communities have faded away from the canvas. In their minds there is deep trenched hatred for Muslims. The women respondents claim that their lands, houses, orchards and other valuables have been either taken away or destroyed by Muslims during the pogrom. Their Muslim neighbors showed inaction in defending them against Islamist terrorist attacks. Not only this, but when women were being assaulted or murdered nobody came for rescue. They claimed that life was, at least, peaceful in Migrant Townships in Jammu. Though, there were other difficulties. Women respondents expressed that their lives could never be the same again as because the Pandit community has been rendered vulnerable in history. They

could be attacked any time in distant future. The women respondents expressed the pain of living as refugees in their very own country.

Kashmir's traditional composite culture was patriarchal and flawed. In such a *Kashmiriyat* the spaces for women were very restrictive. Women never had much say in important familial and social decision-making. Women did not wield power in society. That is why terrorism could sweep the Valley in total rampage. It was a bloody theatrical show of the men, by the men and for the men! Women were used and consumed as mere things in the conflagration of terrorism. New *Kashmiriyat* must emerge discursively through consciousness of women. Women's consciousness should be strong enough to counter terrorist consciousness. It will be a confrontation of patriarchal domination through speech and action. Unless women speak up and rise they face the potential threat of assault any time in future again. The assurances from and approaches of a patriarchal society and polity cannot be trusted.

The Valley is marked by conspicuous absence of flourishing industry, commerce, business, services and sustainable development all of which are essential for a post-industrial/postmodern society. This does not preclude, in any case, the surge of *postmodern feminist consciousness,* therein. No mountains, rivers, guns, bombs and laws could ever prevent the march of an *awakened feminist consciousness.* Patriarchal society and polity are not dichotomous but, two faces of the same monster. Tackling terrorism at the policy level of Governments is one thing and addressing gender issues is, another. The epistemological issue of women's degraded condition needs to be critically analyzed by women writers, intellectuals and academics. A body of women intellectuals exists and more women should actively join the *intellectual agency* cutting across all social categories (caste, class, region, religion, language, culture etc) and specific identities. This situation is not equivalent to uniting women thinkers into some kind of '*sisterhood of like-minded women'* sharing similar thoughts but, rather, to have unique membership (and identity) in intellectual agency where differences/diversities of opinion are welcome for various types of reflections to address gender issues. It will be a *sisterhood of diverse intellectuals* based on principles of distinct intellectual integrity, individual identity and difference. Their geographical location and sites of public and intellectual activity would also be as diverse as possible. It will be a sisterhood not in the sense Liberal, Marxist, Socialist, Radical or Cultural feminists would define. The idea of sisterhood in postmodern sense would not be a homogeneous category of women oppressed by patriarchy but a large congregation/membership of women with differing thoughts, activities, identities and orientations engaging in discursive analysis of patriarchy and social change. Through their speech and action they are engaging in the act and process of 'becoming' a person who would, eventually, be free and liberated from tyranny of patriarchy.

Gender networking sites, if we may so choose to call them could be one of the path-breaking manifestations of a contemporary postmodern feminist condition. While it is imperative that intellectuals share their work with the world not only through print media but, also through internet mass media yet such possibilities are fraught with hiccups like profits and related concerns. *Gender Studies Portals* will act, cataclysmically, like various intellectual agencies for new social movements and change that we seek. Women's Intellectual Agencies could be located in these Gender

Studies Portals and also in various exclusive women-only discussion forums, clubs and organizations.

The insurmountable difficulties that arise because 'women' are not a homogeneous category could still be overcome with proper insights and interventions. The fundamental premise here is to empower women at all levels from urban, *cosmopolitan corridors of literati* to the rural, grassroots. Rural, poor women could escape the drudgery and crude assault of patriarchy by membership of Self Help Groups (SHGs) which are avenues to generate income and share thoughts, ideas and experiences. The author suggests here that these groups should actively engage in generating awareness and confidence, in participatory democratic processes and legal problem resolution (activism). The fact that women are leading lives of captives in their homes cut off from the world outside makes them vulnerable to various torture, oppression and crimes against them. India should have an exclusive national gender database and so must all the states and union territories. Just like Unique Identification Number (UIN/ Aadhar) every single woman and girl must be issued *Unique Gender Identification Number (UGIN)* which ought to be linked up with gender specific services, helplines and other meaningful activities. UGIN should have the viability of UIN but with additional benefits and features. UGIN will acknowledge the separateness of women from men and create an active avenue of 'exchange' of different things among women. In the postmodern feminist grain the author suggests here acknowledging the 'difference' among various women and also about difference/ separateness from men.

The basic idea is to create as many distinct spaces for women as possible—schools, colleges, universities, hospitals, business ventures, retail shops, cinemas, theatres, shopping malls, police stations, welfare agencies, places of worship and many more. It is necessary to annihilate orthodoxy and patriarchal domination by creation of independent choices, avenues and spaces for women. Such spaces, no matter how disjointed they may be, yet, should be dynamically linked up (networking) to stay connected at all times, everywhere. It may not be, theoretically, possible to know all women by their faces or names and yet, there should be an active mechanism to stay connected psychologically and otherwise. Psychologically, no woman should feel left out in the jungle to the wolves! Such psychological sense of security has to be physically translated through multidimensional approaches, mechanisms, infrastructure and social action as a way of 'becoming' a woman (person). All this will counter patriarchy at home and outside; it will alter gender-relations by casting a dent in the male-psyche. What will emerge as a result is *transformed Kashmiriyat* which could prove greatly successful in preventing horrific crimes against women that Kashmir had witnessed. Women should be active 'doers' or torchbearers for bringing about a dynamic process of social change. The Kashmiri model could be, eventually, replicated elsewhere in India and the world, whether or not hit by terrorism.

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Continuity of Japan's Soft Power: Historical Legacies and National Identity

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Abstract
Japan's modern history sheds light on different forms and effectiveness of soft power as power of persuasion and power of assimilation—the former rests centrally upon its rapid adoption of Western institutions so as to gain equality with the Western Powers, as is epitomized in Japan's success in the revision of the unequal treaties; the later features its wartime overseas cultural policies supposed to consolidate the Japanese Empire. What is embodied in these two forms of soft power is Japan's differing attitudes toward the receiving end that is manifested as being equal with the West and being superior to its colonial subjects in Asia. Japan's historical soft power left a series of both positive and negative legacies that would facilitate or undermine its contemporary soft power. It is noticeable that soft power alone, as Japanese history reveals, may not achieve what is anticipated without the intervention of hard power, which, according to specific circumstances, may work with soft power and become "smart power", reflecting the ambiguity of soft power itself and the conditions necessary for successfully wielding it. This essay makes a rather tentative beginning of applying soft power theory to Japan's prewar and wartime history by revealing some distinctive features of Japanese foreign policy and their role in the shaping of Japanese national identity.

Keywords: Japan, soft power, historical legacies, national identity

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Introduction

Since neoliberal theorist Joseph S. Nye developed the concept of "soft power" in 1990, "soft power" as "the ability to get what you want through attraction rather than coercion or payments" has gained increasing prominence in Japan and has been applied in policy-making in many fields (Nye, 2004; Watanabe, 2008). Nowadays, Japan's soft power resources in the global perception has come to be defined by what American journalist Douglas McGray (2002) called "Japan's Gross National Cool" with regards to its prominence of popular culture products such as manga and anime. If we take a closer look at Japanese history, we would find that Japan's soft power can be traced to the Meiji era when Japan attempted to regain its sovereignty through adopting Western institutions and succeeded in the revision of the unequal treaties. However, soft power alone does not enable Japan to join the Western Powers on an equal footing, which was greatly facilitated by Japan's hard power as well. Ironically, Japan's achievement of becoming equal with the West simultaneously requires its being superior to its neighbors in the Asian continent, the fact of which can be reflected from its wartime soft power policies supposed to assimilate its colonial subjects. Japan's historical soft power left a series of both positive and negative legacies that would facilitate or undermine its contemporary soft power.

Power of Persuasion

Japan's endeavor to regain its sovereignty in the late nineteenth century as is symbolized in the slogan *jōyaku kaisei* (revise the unequal treaties) has been frequently interpreted within the scope of modernization where Japan, within forty or so years since Perry reopened its door, transformed from a secluded, pre-industrial civilization to one that, from almost every aspect under the gaze of the West, was a modern state (Ewick, 2003). However, the word 'modernization' does not fully account for Western countries' shift of attitude, which did not take place overnight but gradually took shape in the diplomatic context where Japan tried her best to interact with the West on a footing of equality.

Japan's pursuance of equality started as early as 1871, when a mission with 107 people headed by the Minister of the Right Iwakura Tomomi embarked on an eighteen-month tour to the United States and Europe to undertake a firsthand observation of Western society (Beasley, 1973). The Imperial Letter delivered to the emperors and presidents of fifteen foreign countries on November 4, 1871 revealed that the purpose of the mission was to communicate to the West "Japan's friendly intention" of consolidating "the amicable relations happily existing between Japan and Western governments" and to revise the existing treaties "so as to place Japan on the footing of equality with the civilized nations". It also stated that:

> "we do not intend to undertake the revision at once...we will first study the institutions of the civilized nations, adopt those most suited to Japan, and gradually reform our government and manners, so as to attain the status equal to that of the civilized nations" (The Center For East Asian Cultural Studies, Volume 2, p.95-6).

It can be said that from the beginning the mission adopted a double purpose: to conduct exploratory talks about treaty revision so as to join the Western Powers on an

equal footing on the one hand, and to pave the way for a series of domestic reforms that would make Japan acceptable to and compatible with Western society and tradition on the other. During this process, Japan's soft power took the form of persuasion and reassurance by projecting Japan's image as a modern state with great potential, as is reflected from Ito Hirobumi's speech at San Francisco on December 14, 1871:

> "...this is perhaps a fitting opportunity to give a brief and reliable outline of many improvements being introduced into Japan...our people have acquired a general knowledge of constitutions, habits and manners existed in most foreign countries...we have adopted from more enlightened countries military, naval, scientific and educational institutions..." (CEACS, Volume 2, p. 96-8).

Ito concluded his speech by referring to the emblem of Japan's national flag, highlighting Japan's great potential of becoming a civilized and modernized nation equal with the West, just like "the rising sun moving onward and upward amid the enlightened nations of the world" (ibid.).

Japan's advancement in civilization was cordially welcomed by businessmen and politicians during the mission's stay in America, as can be seen from American Congress's decision of returning the money received for the Shimonoseki Indemnity to the Iwakura mission in total (Swale, 1998, p.13). In Europe, Japan's participation in the Vienna Exposition in 1873 was particularly remarkable as this was the first occasion on which Japan had her own traditional cultural products presented to international audience as the first of the Eastern nations. For the members of Iwakura Mission, the sense of being represented on international occasions was accompanied by an anxiety of establishing itself as an autonomous player on the world stage, being recognized on terms of equality with the Western nations. What concerned them most was not the extent to which the exhibition conveyed to the West Japan's authentic cultural landscape, but whether her performance in international occasions would draw her abreast with Western countries, as is indicated by Kido's comment: "...they have tried to display a mountain of tiny and delicate Oriental objects without regard for the expense. This seems to invite contempt for the dignity of our country on the part of others" (as cited in Nish 1998, p.4).

However, Japan's endeavors to secure treaty revision proved futile due to the mission's shifting priority and the mission members' frequently changed views and lack of experience in diplomacy (Swale, 1998, p.14; Nish, 1998, p.2). From another perspective, however, it can be said that Japan's persuasive soft power is not enough to require a total change of attitude among the Western powers, which provided much of the impulsion for Japan's speed of Westernization and modernization.

Japan's persuasive soft power was also facilitated by the Meiji government's willingness to cooperate and interact with foreign countries. During the 1870s, about 3000 foreign professionals, including engineers, scientists, teachers and military officers, came to Tokyo as employees of the Japanese government (*o-yatoi gaikokujin*) to help the country on a fast-paced course of modernization (Barr, 1968, p.25). Scottish experts, for example, played a distinguished role in the modernization and industrialization of Japan during the first decades, including Thomas Glover (1838-1911) and Henry Dyer (1848-1918) (Masami, 2014). Foreign Minister Kaoru

Inoue even invited the German architects Hermann Ende and Wilhelm Böckmann to design the new governmental district of Hibiya in central Tokyo (Bognar, 2000, p.50). Maybe what constituted as the symbol of the oligarchy's campaign to win the goodwill of Western countries by demonstrating Japan's degree of civilization was the erection of Rokumeikan (Deer-Cry Pavilion) in 1883 by famous British architect Josiah Conder, where social gatherings of Japanese and foreigners could be held. Equally noticeable was Japan's overseas cultural emergence. At the Paris Exposition in 1889, traditional Japanese handicrafts established themselves as being stylish and fashionable and became objects of admiration and imitation (Tsutomu, 2003, p.2).

 Meiji elites also correctly realized that Japan had to adopt a constitution to persuade the Western Powers to treat Japan as trustworthy (Panton, 2010, p.168-9). The Senate was established in 1875 and the formation of Local Assemblies was authorized in 1878. Since the imperial edict announcing the convocation of the first session of the Diet was promulgated in October 1881, the government started to prepare a constitutional apparatus in a more diligent way. What is most noticeable was the establishment of a cabinet system under a prime minister in 1885, when Ito became the first holder of this office. In 1888 through the initiative of Ito, the Privy Council was created so as to pass critical judgment on the Constitution (Norman, 2000, p.188). Finally, on February 11, 1889, the Emperor Meiji handed the first written constitution of Japan to the Prime Minister Kuroda Kiyotaka in a brief but solemn ceremony at the palace (CEACS, Volume 3, p.69). The Meiji Constitution was not a liberal document, but it earned most Western Countries' approval of Japan's political development (Miller, 2008, p.88). However, foreign governments (especially Britain and German) claimed that they were not going to leave their nationals at the mercy of Japanese courts of law until the entire structure of the Japanese legal system was revised and brought up to date. In 1886 Foreign Minister Inoue Kaoru purposed the establishment of administration laws, criminal law and civil law applicable to foreigners, which had been drafted by 1890 and greatly strengthened Japan's hand in its dealings with the Western powers (Storry 1982, p.124-6).

On November 30, 1888, The Treaty of Amity and Commerce between Mexico and Japan was signed, becoming Japan's first equal treaty with a foreign country (CEACS Centre, Volume 3, p.176-177). This success enhanced the confidence of Foreign Minister Ōkuma Shigenobu in dealing with America, who signed the treaty in 1889 even without any modification. On 16 July 1894, British representatives in Tokyo signed The Treaty of Commerce and Navigation between Great Britain and Japan (ibid., p.187) and called for an end to extraterritoriality in five years, which marked the first amendment of the unequal treaties—in no small part the result of Japan's emergence as a regional power that was able to better assert its inquires following 'international standard' (Ewick, 2003).

Most of Meiji Japan's modernization through adopting Western laws, culture, and ideologies reveals a similar feature of selectively adopting institutions of soft power from the West, the prestige that Japan gained from which was in turn used to prove its trustworthiness, which enabled Japan to renegotiate the unequal treaties with the Western powers fifty years earlier than China (Zachmann, 2007; 2013). However, we should not ignore the fact that soft power cannot guarantee the desired outcomes without the backup of hard power. The Western imperialist policy was also a

significant part of the various Western models that were selectively emulated by Japanese elites (Zachmann, 2007, p.345).

By the end of the 20th century, Japan had become increasingly familiarized with the alternating use of soft and hard power by taking advantage of the intensification of competition among the Great Powers. The 1894 treaty between Great Britain and Japan was carried out against the background of Russia's advancement in the Far East that was immensely strengthened by the possession of Port Arthur and the completion of the Trans-Siberian Railway, which forced Britain to pry Japan away from aligning with Russia (Storry, 1982, p.128). Japan's position in the world was greatly enhanced by her successful war against China in 1895, with the signing of the Treaty of Shimonoseki on 17 April 1895. However only a week later there occurred the 'Triple Intervention' of Russia, France, and Germany, which forced Japan to surrender the claim of the Liaotung peninsula—a national humiliation that Japan were to avenge 10 years later (ibid., p.126-7). At Britain's appeal for help during the Boxer Rebellion in 1900, the Meiji government responded with a force of 10,000 to rescue the legations and restore order at Peking, the intervention of which was not without self-interest (Ewick, 2003). Nevertheless, the fact that Japanese forces was observed to have engaged in no looting of any kind fortified the growing belief among European nations that Japan was a great power to be reckoned with and the Japanese were an admirably advanced, civilized race who might be described as the "British of the Far East" (Storry, 1982, p.134). Britain's positive attitude toward Japan was confirmed by the the first Anglo-Japanese Alliance (*Nichi-Ei Dōmei*) that was signed in London on January 30,1902, representing the consolidation of the friendly relationship between the empire of the rising sun and the empire on which the sun never sets (Brown, 1998, p.2). Following the Russo-Japanese War of 1904-5, Britain further recognized Japan's achievements by elevating its legation to an embassy and awarded the Japanese emperor the "Order of the Garter" and three Japanese commanders the "Order of Merit" (Towle, 1998, p.19), indicating Britain's absolute euphoria at Japan's victories and recognition of Japan as Britain's principal ally in Asia. However, the unfair treatment of Japan at the Paris Peace Conference in 1919 caused Japan's severe criticism of Western Powers' hypocrisy and led to Japan's policy of confrontation (Dower, 2012, p.71), and ultimately, total war with the West.

Japan's achievement in foreign diplomacy during the Meiji era and the early build-up of the Japanese Empire can best be attributed to what Nye (2004) called "smart power" (an optimized combination of soft power and hard power) or what Herbert Norman (2000) termed "an infinitely complex ju-jutsu 柔術" (the art of converging a weakness into strength) (Nye, 2004, xiii; Norman, 2000, p.4). Meiji elites' keen scent for Japan's limitation that was largely defined by her comparatively late entry into international politics helped to shape the postulate of Japan's foreign policy:

> Watchful waiting for the moment when the Great Powers should be severally embroiled; expedient retreating before the threat of joint action of the Great Powers; timely, fast, and hard striking to coincide with the moment of great confusion (Norman, 2000, p.4).

Japan's smart power enabled her to "acquire with a comparatively small out put of energy what other greater powers had achieved through long years of wars, setbacks and defeats" (ibid.). The characteristic of Meiji Japan's foreign policy tallies with

famous political scientist Kenneth Waltz's "Classical Realism", which stresses on the structure of the international system that determines how states behave (Waltz 2008). It also demonstrates to what extent can the combined efforts of soft power and hard power bring about real changes—in Japan's case, to become a strong player equal with the West.

Power of Assimilation

Japan's soft power during its overseas expansion took the form of selling its culture and ideologies, which became a systematic form of propaganda that was extensively utilized by many countries (Nakamura, 2013, p.3). After Japan occupied Taiwan (1895-1945) and Korea (1910-1945), and launched its conquest into Manchuria and China, cultural and educational policies as a substitution for military coercion served to not only achieve better control of local residents but also facilitate their assimilation with Japan (Otmazgin, 2012, p.43; Caprio, 2009, p.110). These policies, characterized by their respective idealistic slogans, were supposed to evoke a sense of racial or cultural intimacy with Japan among its colonial subjects.

As early as 1925, the idea of 'the Kingly Way' was proposed by Tachibana Shiraki so as to bring 'blessings' to the political lives of the Chinese people (Yamamuro, 2006, p.78-9), the idea of which was materialized in 1931 when the building of Manchukuo became the focus of Japan's ambitions. In July 1932 the "Manchukuo-Japan Cultural Association" (*Man-nichi Bunkakyōkai*) was established to disseminate Japanese culture by introducing Japanese films, paintings, books and magazines. In August 1937 the Manchuria Motion Picture Corporation (*Man'ei*) was established and monopolized the production, distribution, and screening of films in Manchukuo so as to promote the spirit of "ethnic harmony" (*minzoku kyōwa*), which was embodied most successfully in the Pan-Asian movie star Li Xianglan, who was often portrayed as Chinese woman felling in love with Japanese man (Hong, 2013, p.126-7). The shared culture of Japan, China and Korea such as the use of Chinese characters in the writing system was captured in the slogan *"dōbun dōshu"*(common script, common race), indicating that Asians were of the same race (Gates, 2011, p.6). Meanwhile Japan's rulers made full use of the potentialities of the native Shinto religion to inspire the spiritual mobilization within the empire, as is indicated by numerous overseas Shinto shrines, such as Taiwan Shrine, which was built up in1900 to memorialize Prince *Kitashirakwa-no-miya Yoshihisa* who died in battle in the conquest of Taiwan (Murakmi, 1980, p.111). Maybe what symbolized Japan's cultural and political assimilation through transplanting Shinto was the construction of The State-Building Shrine (*kenkoku shinbyō*) in the capital of Manchukuo in 1940, which was dedicated to the Shinto goddess Amaterasu-ōmikami as the primordial deity of Manchukuo, as the Manchukuo imperial edict promulgated on 15th July 1940 states: "...the establishment of the shrine...is for the happiness of our countrymen....Shinto as the only foundation of the state...should be meticulously observed" (Qunzhong Publishers, 2013, p.117). These shrines were materialization of religious aggression and assimilation and functioned as a basis of unity and authority that broadened Japan's dominions with every military success, embodying the deification of the political might of the military state (Holtom, 1963, p.64-5).

These policies are in fact rhetorically similar in that they feed into a racist hierarchical order with Japan as the elder brother, and the East Asian countries as younger

brothers (Jang, 2005). The concept of the Greater East Asian Co-prosperity Sphere, which was based on the idea of *hakko ichiu* (the eight corners of the world under one roof), also presupposes the emancipation or independence of Eastern Siberia, China, Indo-China, the South Seas, Australia, and India with Japan as the leader (Morris, 1963, p.75). Despite the increasingly sophisticated elaboration on Japan's side, the rhetorical idealism of a Japanese-sponsored Asian order failed to strike a chord among Chinese, who themselves, ironically, generally conceived a cultural superiority over their geographically peripheral neighbor, as is reflected from a story of the China Pacification Unit (*Shina Senbuhan*):

> "They argued that Japan and China...are brothers, and they should proceed with hands joined. Someone in the audience replied- Alright, but China is the older brother. It is said the members of the pacification unit had no words to answer this for some time. How wonderful if they had been able to reply immediately...Japan has always been leader of the Asia-Pacific sphere from ancient times" (as cited in Mark, 2005, p.21).

Nye argues that when a country's culture includes universal values that are shared by many nations and its policies help to promote values and interests shared by others, it increases the probability of obtaining its desired outcomes because of the relationships of attraction and duty that it creates (Nye, 2004, p.11). In Japan's case, although Pan-Asianism does evoke a kind of relationship (ethnic harmony) and duty (to liberate other countries), Japanese leaders failed to convey them properly but dictated a narrowly-defined racial prescription that collided with values of other nations. When soft power only serves as a self-justified discourse to sheath the edges of hard power or becomes too closely embedded in a country's particular cultural political ideologies, the soft power policy may not necessarily bring about the desired outcomes or can even backfire.

Historical Legacies and National Identity

In the context of Japan-West relations, Japan's historical soft power has left a series of positive legacies, from which Japan's contemporary soft power policies attempt to draw energy so as to reinforce a sense of historical intimacy. In the years 2003 and 2004, Japan celebrated the 150th anniversary of Japan-US relationship that was traced back to 1853 with the arrival in Uraga of the black ships commanded by Commodore Matthew Perry (Ministry of Foreign Affairs, 2004). The year 2011 marked the 150 year anniversary of the friendly relationship between Japan and Germany, which traced the relations back to the Edo period (1603-1868) when German physicians and researchers such as Engelbert Kaempfer and Philipp Franz von Siebold helped the dissemination of knowledge about the West in Japan. It also confirmed Germany's contribution to Meiji Restoration in the fields of law, science and arts by referring to the fact that Ito Hirobumi adopted much from the Prussian constitution as a model of the first modern constitution of Japan (Japanese Embassy in Germany, 2011). In 2013, Japan and UK launched "Japan400" to commemorate the 400th anniversary of the start of diplomatic, trading and cultural relations between Britain and Japan in 1613 (British Council, 2013). From Japan's side, the construction of shared soft power sometimes requires the re-appropriation and reinterpretation of historical incidents. In 2013, Japan's national cricket team visited UK for the 150th anniversary of the first cricket match in Japan, the episode of which goes back to the year 1863

when a few British merchants in Yokohama decided to challenged the Royal Navy to a cricket (Galbraith, 2013). The story happened around the time when a fatal attack on British residents by a Samurai of the Satsuma Domain and an attack by the Royal Navy in response. Interestingly, the story is now used as a reminder of the historical friendly relationship between the UK and Japan, as can be seen from propaganda titles such as "The First Cricket Game Saved Yokohama From the War" (Pamphlet 2013)—though it is hard to tell to what extent did the game 'saved' Yokohama. Historical hostilities can be easily changed to mitigate conflicts or even promote amicability through reinterpretation, indicating that soft power seduces as much as it obscures.

These episodes exemplifies how historical legacies can enhance Japan's contemporary soft power capitals through selectively mobilizing popular memory that would evoke Japan's historical connections with the West that is based on equality. In other words, Japan's initial encounters with the West tends to be positively interpreted as the starting point of intimate and interactive relationship by emphasizing the historical inheritance in various kinds of fields—it is exactly in these fields that Meiji Japan selectively adopted from the West institutions of soft power. We can not help but recall Japan's opening up to the West in the 1850s, which can also be interpreted as Japan's early encounter with soft power that was first successfully wielded by Western countries.

Perry's return to Tokyo Bay in 1854 took the form of a relatively friendly presentation of America's better life and higher civilization. Perry allowed some Japanese officials to board his steamers, in which they peered into every corner with great curiosity. Most noticeable is Perry's gift to the Japanese—a small telegraph system and steam locomotive with carriage and tender. As soon as the track was laid, the exciting Japanese queued for hours to take a ride—'they betook themselves to the roof...grinning with intense interest and crying out with enthusiasm every time the steam whistle sounded' (Barr, 1968; Hawks, 1856). Perry left triumphantly with a preliminary agreement of trade between Japan and America, which was finally rewarded in 1858, when Townsend Harris negotiated the first commercial treaty with Japan (Norman, 2000, p.40). In response to the Bakufu's requirement of procuring vessels, Dutch sent a steamship called *Soembing* to Nagasaki and ordered officers to instruct the Japanese in marine architecture, navigating, and gunnery. In 1855, the ship was presented to the Bakufu and was renamed *Kankō-maru*, which became the first steam vessel possessed by Japan. The friendly gesture finally enabled the Dutch to reach a treaty settlement with Japan (Storry, 1982, p.92). It can be said that Japan's awareness of being on the receiving end of soft power of the West necessitates the later build-up of Japan's own soft power, the result of which enables Japan to maintain a historical connection with the West that would consistently evoke a sense of intellectual, historical, and cultural intimacy, at least from Japan's side, as soft power.

In the context of Japan-China relations, however, the legacies of Japan's soft power of assimilation still takes its toll. What Chinese people remember bitterly as being relegated to a place inferior to Japan both politically and racially in the framework of 'Greater East Asia' can lead to the arbitrary politicization of issues that would awaken latent conflicts between China and Japan. For example, in 2007, Chinese criticism toward their national star Ziyi Zhang was sparked off by her acting in the movie

Memoirs of a Geisha as an inferior role providing service for the Japanese (Aoyagi, 2011, p.10). In 2009, then Prime Minister Yukio Hatoyama proposed the idea of creating an "East Asian community" as "a new path for Japan" (Hatoyama, 2009). However, the proposal put Beijing on alert and sparked a leadership rivalry between Japan and China in diplomacy (Hirano, 2009). It can be said that Japan's wartime painstaking rationalization of an 'Asia' that should transcend the scope of Chinese understanding of regional order, where, ironically, China was traditionally conceived to be superior to their geographically peripheral and culturally subordinate neighbor, would brand in Chinese consciousness an uneasy sense of inferiority that would require constant struggle in various circumstances for a total reversal of their relative positions. In Sino-Japan context, cultural similarity more often creates a conceptual gap in perceiving regional order that would cause rivalry for cultural hegemony.

We should be reminded that Japan's quest for joining the West on an equal footing also led to its alienation of neighboring countries, as is indicated by Fukuzawa Yukichi's *Datsu-A Ron* ("De-Asianisation")[1], which can be interpreted not only as Japan's political betrayal of neighboring Asian countries during the late nineteenth century (Korhonen, 2014), but also a painfully charming discourse that greatly shaped Japanese national identity as a constant source of vexation to distinguish themselves from other Asian countries. In this light, Japan's soft power of persuasion and assimilation can be understood as struggles to get rid of what Matthias Zachmann (2009) called "Japan's double inferiority complex", which poignantly depicts both the Western powers and China's condescending treatment of Japan with their respective cultural superiority.

Conclusion

A historical view of Japan's foreign diplomacy sheds light on both the advantages and limitations of soft power. Japan's success in pursuing equality with the West benefited from its rapid adoption of institutions of soft power, which, unfortunately and inevitably led to Japan's alienation and repression of its neighboring countries in East Asia. On the other hand, Japan's historical soft power have left a series of both positive and negative legacies that would facilitate or undermine Japan's contemporary soft power according to the context it applies to, indicating the ambiguous interpretation of history anchored in Japan's foreign relations.

Japan's historical experience also provides insight into the interdependent relationship between soft power and hard power—both Japan's ascendance into Great Power status and the Western country's success in opening Japan were backed up by the newly acquired hard power. Whether soft power would turn into real smart power depends on specific context that is greatly shaped by the uncertainty of international relations, the interpretation of soft power policies, and the perception of a country's national identity as being 'equal' or 'superior' to the receiving end. Suspended invariably between these two divergent attitudes is the ambiguity of Japan's national

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[1] It expounds the "inevitability of the spread of Western civilization" and confirms Japan's

stance of 'leaving' China and Korea to enter the group of colonial powers (CEACS, Volume 3, p.129).

identity as being pro-Western or pro-Asian, which is Japan's soft power's source of strength, weakness, and dilemma.

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Abstract
This paper attempted to reveal to what extent using non-verbal semiotic elements (visuals, realias, maps, videos, body language, gestures etc.) influences the efficiency of vocabulary teaching. For this purpose, one experiment group (30 prep-class students from different engineering departments) and one control group (35 prep-class students from different engineering departments) were recruited from Karabük University. While in the control group just the meaning of the vocabulary items were told in students' mother tongue, in the experiment group different non-verbal semiotic elements were used in order to explain the words. After four weeks of teaching, a vocabulary post-test was applied and as a result a significant difference between the scores of control group and experiment group was obtained.

Keywords: Semiotics, Vocabulary Teaching, Foreign Language Teaching

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1.0 Introduction

Vocabulary has a central role in English Language Teaching because students cannot understand others or express their own ideas without sufficient vocabulary. Wilkins (1972) says that "... while without grammar little can be conveyed, without vocabulary *nothing* can be conveyed" (pp.111-112). Even without grammar, with some key words and expressions, one may manage to communicate in different languages. Lewis (1993) also made contribution to this point, "lexis is the core or heart of language" (p.89). Since words have a significant role in reflecting our feelings, emotions, and ideas to others during communication, foreign language teachers should put a great emphasis on vocabulary teaching in their classes. The mastery of vocabulary can support the learners in speaking when they are communicating to people otherwise they will not be able to speak, write and translate anything in English. Given the circumstances that affect our teaching, it can be stated that it takes quite a long time to succeed in vocabulary teaching. The reason is the obstacles created unintentionally between cultures. Therefore, it is a well-known fact that vocabulary is very crucial with respect to the real communication to take place. Keeping that in mind, we yearn for searching the effects of using non-verbal semiotic elements in teaching vocabulary in EFL classes as students cannot make use of it without seeing the connection and the differences between their culture and the target one.

In respect to the semiotics, it is the science of signs, of symbolic behavior or of communication system (Lyons, 2004, p.17). Semiotics has been a field of interest for scholars with its applications in many fields of study since it has inter-disciplinary and multi-disciplinary nature and acts as a link between semiotics and foreign language teaching, educational semiotics has drawn growing attention of instructors and teachers all over the world. It was mainly studied by Levi-Strauss (1963) and Geertz (1973) who basically asserted that semiotics is a way of teaching language and culture using signs, symbols, icons, and several semiotic elements both verbal and non-verbal. According to Kim (1996:3), there are two main concerns of semiotics. The first one concerns the relationship between sign and its meaning. In the second, semiotics deals with the way by which signs are combined through following certain rules, or codes. What is more, the central theme of semiotics is the exchange of messages and of the system of signs that underlie them (Sebeok, 1991:60). According to Hişmanoğlu (2008), because of the fact that it contains "considerations of how messages are successively generated, encoded, transmitted, decoded and interpreted, and how this entire process is worked upon by the context, it is closely related with vocabulary teaching" (p.52).

1.1 Purpose
The purpose of this study is to see whether using non-verbal semiotic elements while teaching vocabulary has positive effect on acquisition of new vocabulary items at Karabük University, A2 Level Prep School classes.

1.2 Limitations
While conducting this study, some limitations were encountered. Firstly, due to the strict regulations of the school and limited time, one experimental group (41 students) and one control group (43 students) could be recruited. The day when the quiz was conducted 11 students from experimental group and 8 students from control group

were absent. Therefore, results would be more generalizable if more students participated. Secondly, vocabulary items could be chosen from different vocabulary categories such as colour names, proverbs, idioms, onomatopoeic words and compound words etc. and results could be interpreted accordingly. Yet, the level of the students (A2 Level) was not appropriate and the words which were in the curriculum had to be used.

2.0 Literature Review

2.1 Background Information about Vocabulary Teaching

In the scope of ELT, vocabulary teaching has the utmost importance because without knowing necessary vocabulary items, one cannot express what s/he intends to say and "vocabulary acquisition is the largest and most important task facing the language learner." (Swan & Walter, 1984). Due to this simple fact, almost each and every approach gives much importance to vocabulary teaching and has different ideas about how to teach vocabulary. Before stating these ideas, the definition of vocabulary and what knowing a vocabulary means should be mentioned. Oxford Advanced Learner's Dictionary defined the vocabulary as "all the words that a person knows and uses" (2006: 1645) and knowing a vocabulary can be described at basic level as having knowledge about both form and meaning. In a deeper sense it means having the knowledge about its (Harmer 1993):

1) meaning, i.e. relating the word to an appropriate object or context

2) usage, i.e. knowledge of its collocations, metaphors and idioms, as well as style and register (the appropriate level of formality), to be aware of any connotations and associations the word might have

3) word formation, i.e. ability to spell and pronounce the word correctly, to know any derivations (acceptable prefixes and suffixes),

4) grammar, i.e. to use it in the appropriate grammatical form.

Considering all these information, effective teaching and learning should be accomplished. In order to do so, being knowledgeable about the process of 'learning a vocabulary' is crucial for language teachers. This process is described by Nation and Gu (2007) in five stages (Kersten 2010: 63): encountering new words; getting the word form; getting the word meaning; consolidating word form and meaning in memory; using the word. Keeping these in mind and taking the purpose of this paper into consideration, just some of the most effective approaches' points of view about vocabulary teaching will be dealt with in detail.

2.1.1 Grammar Translation Method:

The oldest methodology is Grammar Translation Method and as the name suggests it largely depends on the translation of a sentence or text from English into mother tongue or vice versa. Students are provided with long vocabulary lists and bilingual dictionaries and they are expected to learn them without any context. Students try to acquire them in L1 as in L2 and they can practice vocabulary items.

2.1.2 The Reading Approach:

This approach gave more priority to vocabulary than grammatical skills. The students are able to identify meaning rather than letters or words. The reading approach strictly controlled the vocabulary of the early readings. The two of teaching and learning activities are intensive and extensive readings in this approach and one of the most

significant roles of extensive reading in language learning is to increase the knowledge of vocabulary. Since the acquisition of vocabulary was regarded more prominent than the mastery of grammatical skills, expanding vocabulary as fast as possible was of great importance (Celce-Murcia and Prator 1979:3).

2.1.3 The Direct Method:
In the Direct Method, language is for oral use, knowing a language is being able to speak and there is a direct relation between form and meaning. Therefore, students study common, everyday speech in the target language. Vocabulary is emphasized over grammar, since there is no permission for translation; vocabulary teaching takes a lot of time.

2.1.4 The Oral Approach and Situational Language Teaching:
In this approach, language teaching begins with spoken language. Material is taught orally before it is presented in written form. Reading and writing are introduced once a sufficient lexical and grammatical basis is established. There is a great focus on vocabulary and reading in the Oral-Situational approach. Actually, mastery of a set of high frequency vocabulary items is believed to result in good reading skills. Vocabulary selection procedures, which are directed according to the situations practiced that day, are followed to ensure that an essential general service vocabulary is covered.

2.1.5 The Audio-Lingual Method:
The Audio-Lingual Method, which is also called Army Method simply because of the armies that needed to become orally proficient in the languages of their allies and enemies during the World War II, is based on the behaviorist theory. It accepted that a human being can be trained using a system of reinforcement which means correct manner gets positive feedback, while errors receive negative feedback. In the Audiolingual the emphasis is on the acquisition of structures and patterns in common everyday dialogue. It is assumed that when grammatical fluency is present, exposure to the foreign language itself leads to vocabulary development (Coady 1993:4).

2.1.6 The Cognitive Approach:
In this approach, psychologists tried to create rules and explanations of human behavior and eventually generalized them to everyone's behavior. Therefore, they believed that language learning is a rule acquisition. Its theoretical base depends on the Transformational-Generative Grammar of Chomsky. In the Cognitive Approach, the acquisition of an adequate vocabulary is very important for a great use of second language use. After the students get the sufficient amount of vocabulary, they can use the structures and functions during the act of communication. In this classroom, the action should be from competence to performance or she should follow the presentation, practice and the application stages. Some of the techniques that can be used in a Cognitive class are teaching the meanings of the lexical items through contextualization, demonstrations, drawings, real objects, flashcards, OHP, etc and teachers teach synonyms, antonyms, hyponyms, collocations, cognates and semantic fields in these classrooms.

2.1.7 Affective-Humanistic Approach:

In affective-humanistic approach to language teaching, learning a foreign language is a process of self-realization and of relating to other people, which means there is a respect for individual and his/her feelings. So in a humanistic classroom, the students develop problem solving strategies, reasoning skills, free will, self-development, and co-operation. Humanism and learning theory are combined, teacher is very humanistic and it is in practice integrated with teaching language items, teaching skills and flexibility. The most well-known applications of humanism in ELT are those of Curran's Counselling-Learning in which teaching of oral proficiency is very significant; particular pronunciation patterns and vocabulary are dealt with and Gattegno's Silent Way approach in which students are taught vocabulary items by using visual aids and word-charts. Functional vocabulary and core structure are the key to the spirit of the language. Thus, the syllabus is designed with the structural lessons planned around grammatical items and related vocabulary.

2.1.8 The Communicative Approach:

This approach is based on the view that language is learned when the students are involved in real communication. There is a shift from a focus on accuracy and the forms of language, to a focus on communication and fluency. It sees the language learning as a process of creating construction involving trial and error. In the CLT classrooms, the primary units of language are not merely its grammatical and structural features, but categories of functional and communicative meaning as exemplified in discourse. New words are not presented in isolation, but in the context of a complete sentence, and in a meaningful situation (Şenel, 2002). Moreover, Thornbury (2002:14) stated that course books begin to incorporate communicative activities specifically targeting vocabulary since the meaning-giving role of lexis is recognized in this approach.

2.1.9 Lexical Approach:

This approach concentrates on developing learners' proficiency with lexis, or words and word combinations. So, lexis is the basis of language. It is believed that if learners do not recognize the meaning of keywords, they cannot take part in conversations. Lewis (1997:7) claims that "language contains not traditional grammar and vocabulary, but often multi-word prefabricated chunks". In the classrooms that focus on the Lexical approach; collocations, phrasal verbs, idioms catchphrases, sayings, sentence frames, social formulae and discourse markers are used as the most important chunks for the foreign language learner.

2.2 Techniques in Teaching New Vocabulary

Murcia 1991:301-302 lists different techniques used in presenting new vocabulary as follows:
• visual aids (pictures, objects)
• word relations (synonyms, antonyms)
• pictorial schemata (Venn diagrams, grids, tree diagrams, or stepped scales)
•definition, explanation, examples, and anecdotes
• context
• word roots and affixes

Ur 1996:63 also suggests different techniques:

- concise definition
- detailed description (of appearance, qualities...)
- examples
- illustration (picture, object)
- demonstration (acting, mime)
- context (story or sentence in which the item occurs)
- synonym, hyponyms, hypernyms
- opposite(s) (antonyms)
- translation
- associated ideas, collocations

2.3 Semiotic Approach's View about Vocabulary Teaching

2.3.1 What is Semiotics?

The Semiotic Approach (SA) dates back to the time of the philosophers such as Aristotle, Plato, Socrat, Sextus, and Heraclitus, who generally thought 'the language is the sign system of our minds'. However, the field of semiotics, with its current meaning, was mainly studied in the 1950's (Şenel, 2007). Tobin (1990) states that semiotics includes visual and verbal as well as tactile and olfactory *signs* as they form code systems, which systematically communicate information or messages. Here we should think about what the sign, which is the basic unit of semiotics, is. Sign is actually the combination of signified and signifier. Sert (2006) states that the relationship between the signifier and the signified is mutual and reciprocal which means that one cannot speak of a sign freed from its signifier or signified. They interact with each other and directly affect one another. Basically, the signifier is the form that the sign takes and the signified is the concept that the form represents. For example, when we think about "car", the car as an object is the signified and the sound pattern (or in written form) is the signifier, which represents the car as coded culturally to our minds. The relationship between signifier and signified is totally arbitrary and culture dependent; signifier can be "araba" in Turkish and "auto" in Germany and there is no explanation behind this; it should be learnt by the speaker. We call this type of signs as s*ymbol*, which is one of the three types of sign; the others are icon and index. Sert (2006) indicates that symbol is a mode in which the signifier does not resemble the signified but which is fundamentally arbitrary or purely conventional-so that the relationship must be learned (numbers, national flags, particular languages, Morse code etc.). Icon is a mode in which the signifier is perceived as resembling or imitating the signified (cartoon, portrait, imitative gestures, etc.). On the other hand, as Chandler (2002) argues, index is a mode in which the signifier is not arbitrarily, but directly connected to the signified (as in the relation between fire and smoke. We can classify these signs as *non-verbal communication* elements which are wordless messages that can be sent through gestures, body language, facial expressions, eye contact etc. (Abushibab, 2012). Together with non-verbal communication, verbal communication, which is a conversation between two or more individuals by using the speech organs to convey a message (Abushibab, 2012), create the whole communication.

2.3.2 The Relation between Semiotics and ELT

When we consider all of these things in the scope of ELT, it is clearly seen that SA has significant contributions to language teaching. In order to fully understand these contributions; principles of SA should be taken into account first; Şenel (2007) listed the principles as;

- signs and languages are interrelated with each other
- language learning is a sign learning in all aspects
- language learning is a concentrated sign learning, signs are the building blocks of conveying messages
- language learning is reinforced by iconic signs and signs
- in every culture, a sign represents a code of its own
- signs represent something meaningful
- culture is a sign system and communicates itself through signs

As for contributions of SA in ELT, the first thing is that foreign language teachers should be knowledgeable about the concepts that are mentioned above which are verbal, non-verbal and visual communication tools and use them to activate students' knowledge in order to make the language learning more meaningful and understandable. In this perspective language is a whole of signs and learning a language means learning the sign system of that language and since these signs are unique to each culture, learning a language means learning the target culture. Because of this significant fact, teachers had better show the difference across cultures and they should apply communicative activities. Secondly, they can use these elements in order to teach four skills (listening, speaking, writing, reading), grammar and vocabulary. Besides these, teacher can make use of semiotic elements so as to achieve effective classroom management; they can use facial expressions, mimics and gestures and they can make eye contact. Finally, teachers can make use of signs while giving written feedback; using some signs instead of long explanations makes the students understand better.

2.3.3 Using Non-verbal Semiotic Elements in Vocabulary Teaching

Vocabulary teaching has the utmost importance in language teaching because of the fact that without having necessary vocabulary knowledge, one cannot express his/her ideas effectively even if s/he is proficient in the grammar of the target language. However, teaching new vocabulary items that reflect the cultural characteristics of the English language necessitates great attention. "Since color names, proverbs, idioms, compound words, and the use of lexical items in literary texts exhibit culture specific properties, language teachers may encounter some problems in teaching these items to their students" (Hişmanoğlu 2000, p.55). At that point, integrating non-verbal semiotic elements (pictures, relias, iconic images, body language, gestures, facial expressions etc.) into vocabulary teaching plays a vital role in order to contribute to facilitating the learning of meanings of the new words in the target language and making vocabulary learning permanent (Hişmanoğlu 2000, p.66). This situation stems from the fact that by using non-verbal semiotics elements, students' prior knowledge and their schemata will be activated and giving students schemata with which they associate the new information provides a way for them to access the new ideas and to incorporate the new ideas with knowledge they have already stored.

3.0 Methodology

3.1 Research Questions
- ✓ Is there a link between using non-verbal semiotic elements and vocabulary teaching?
- ✓ To what extent does using non-verbal semiotic elements affect teaching vocabulary?
- ✓ Does using non-verbal semiotic elements in vocabulary teaching create differences among students who are from various departments?

3.2 Participants
Given the circumstances of educational environments at universities, assessment and penetration of the effect of teaching vocabulary by means of semiotic elements is best done if carried out on prep students since most of them are new in learning English as a foreign language. With this thought in mind, two groups were chosen, one of which is the control group and they got no teaching based on semiotic elements. The other group, on the other hand, is the core of that study. It can be guaranteed that special attention was paid in order to be able to specify groups which have similar features to make the assessment truly credible. The control group, B39 Class, has 43 elementary (A2) students and their departments are electrical and electronic engineering, mechanical engineering, computer engineering, automotive engineering, rail systems engineering and medicine engineering. The experimental group, B13 Class, has 41 elementary (A2) students and their departments are the same as the control group.

3.3 Data Collection Tools
A posttest (vocabulary quiz) which has 6 different sections was conducted to the experimental and control group in order to see to what extent using non-verbal semiotics elements affect the acquisition of new vocabulary items. Different vocabulary testing tools were applied to increase the reliability of the quiz. In the first section, students were asked to match the 8 words with their definitions, in the second one they were supposed to find the correct words that describe the 9 given pictures. This second part is important in terms of the interpretation of the results because it is the only part that has semiotic element and it is designed in order to see whether it creates a difference in the students' scores. In the third part, students were given 8 sentences that have missing parts and they were asked to complete these sentences by using the vocabulary items in the box above. Then, in the fourth section students were supposed to complete 5 multiple choice questions which include missing sentences and five options. After that, in the fifth part, there were 5 mixed words and students were asked to unscramble them. Finally, students were given 5 sentences in which they were supposed to circle the correct words. As for data analysis, this posttest was evaluated and the results were interpreted regarding the difference between control group and experiment group.

3.4 Design and Procedure
After experimental and control groups were decided, target words were selected from Richmond Publishing's The Big Picture Elementary Book, which is selected from the university and used in the prep school curriculum. 63 words were selected from 8 different units (2-9) with regarding their difficulty and familiarity of the students. The period in which these units would be covered was decided as 4 weeks. Target vocabulary items were taught in vocabulary teaching parts and integrated with the

other skills. Experimental and control group weren't informed about the study but they were told that there could be a vocabulary quiz. However, the time when the quiz was conducted had not been announced beforehand. Through 4 weeks, in the control group's class, translation was used as the technique for vocabulary teaching; just the meanings of the target vocabulary items were told in students' mother tongue (Turkish). In experiment group's class, following non-verbal semiotics elements were used to teach the words. Finally, the posttest which was described in data collection tools part was conducted on each of the groups at the end of the 4 weeks period.

- visual aids (Pictures, Objects)
- word relations (Synonyms, Antonyms)
- pictorial schemata (Venn diagrams, grids, tree diagrams, or concept mapping)
- anecdotes
- presenting in meaningful context (story or sentence in which the item occurs)
- detailed description (of appearance, qualities...)
- acting, facial expressions, body language, gestures
- synonym, hyponyms, antonyms
- associated ideas, collocations
- cultural elements

4.0 Data Analysis and Discussion

Table 1. Averages of the classrooms' scores from post test

	Averages of the classrooms' scores from post test
Experiment group	78.1
Control group	71.6

The first concern of this study is to find out whether there is a link between using non-verbal semiotic elements and vocabulary teaching. As seen on table 1, there is a significant difference between the scores of experimental group and the control group; these findings suggest that making use of non-verbal semiotic elements influences the efficiency of vocabulary teaching in a positive way. While the average of experiment group's scores is 78.1, the average of the control group's scores is 71.6. When it is thought that the classrooms which have very similar students profile were chosen as study groups, it is clearly seen that the thing that creates the difference is whether using non-verbal semiotic elements or not.

The second point is that whether there is a difference among the scores of different departments. Before interpreting the results, we should take two things into consideration first of which is the extra department in the experimental group. In the control group we have 6 departments to evaluate whereas in the experimental group we have 7; the extra one as the metallurgical and materials department. That makes it necessary to add the results of that department to the total results, but on the other hand, not to compare the students' results in this department with the control group so as to ensure validity and reliability of the research since the control group lacks that department. Secondly, the participants taking the quiz in some departments are very few, which unable the correct evaluation of the results, making it hard to compare two identical departments properly in two groups.

Table 2. Descriptive Statistics of the control group

Department	Mean	Minimum Value	Maximum Value
Electrical and Electronic Engineering (II)	72.7	59	87
Mechanical Engineering (II)	72.2	61	80
Computer Engineering (II)	74	42	97
Automotive Engineering (II)	68.3	49	88
Railway Systems Engineering (II)	78	78	78
Medical Engineering (II)	*71*	68	76

The figures in the Table 2 below show the statistical results of the students in different departments in general. As it can be clearly seen, automotive engineering departments has the lowest mean whereas railway systems engineering department has the highest. Yet, it should be noted that only one participant from the railway systems engineering department took the quiz, which makes the mean, minimum and maximum values be the same. That causes a problem in the reliability of the test as it is not right to generalize the results based on only one participant's quiz score. Given the results of the mean, minimum and maximum values, it is computer engineering having the highest score that is 74. On the other hand, that department has the lowest minimum value. There is only one participant in that department having a score under 60. The reason is the lack of background English knowledge of that participant. When checked, the A part in the quiz seems like the most difficult and distinctive part for the students in this group. Especially the students in automotive engineering department had difficulty in answering the questions in that part right. What made it difficult for them is that they were supposed to match the vocabulary words with their definitions. In the other parts, they made use of the semiotic elements intentionally provided whereas in A part there were only words and their definitions, which shows the importance of semiotic elements for students in understanding the activities and carrying them out right.

Table 3. Descriptive Statistics of the experimental group

Department	Mean	Minimum Value	Maximum Value
Electrical and Electronic Engineering (II)	78	66	94
Mechanical Engineering (II)	77	59	100
Computer Engineering (II)	76.6	61	94
Automotive Engineering (II)	75.5	55	96
Railway Systems Engineering (II)	81	72	90
Medical Engineering (II)	*76.5*	72	81
Metallurgical and Materials Engineering (II)	*79*	58	89

Responses given to the questions in the quiz show that the most successful department in the experimental group is the railway systems engineering department, having 81 as the mean score. However, we have the same situation in the experimental group as in the control group. There were two participants taking the quiz from the railway systems engineering department, the lowest score of which is 72 while the highest is 90. Just like railway systems engineering department, there are other two departments only two students of which took the quiz. These departments are medical engineering and automotive engineering. In this regard, with the mean of 79, participants from the metallurgical and materials engineering departments have the highest score in the quiz. The students belonging to that department did pretty well in the A part which was a problematic one for the others since the students in that department graduated from Anatolian high schools where English learning is given great importance compared to other school types in Turkey. As it can also be depicted in the Table 3, the scores that each and every department got are very close. That can be considered as one of the most indicative results of the research portraying the importance of semiotic elements while teaching vocabulary. They basically help everyone learn the target vocabulary, thus having similar results, good ones.

Upon discussing the results obtained from the quiz for each group, we should draw a parallel between two groups and compare them. First and foremost, the difference between the same departments in each group needs to be discussed. It should be noted that there is not such a big difference between two groups in terms of their English level and background knowledge. That is why; it is obvious that the result we have in that chart is the indication of the success students got in vocabulary learning by means of semiotic elements. The results in the control group vary while similar results have been obtained in the experimental group, thus, showing the positive effect of semiotic elements on vocabulary learning.

When evaluating in depth, we come up with the following statements. In Electrical and Electronic Engineering department, the mean of the students' success in control group is 72.7 whereas it is 78 in the experimental group. In written exams they had similar scores. Yet, in that quiz they differ in their scores. The one and only reason for it is the difference in their learning style. The first group was just informed about the meanings of the target words while the second group had visual aids, PPTs, mind maps…etc., which assisted them a lot not only in an educational way, but also in a fun way. The biggest difference is between the Automotive Engineering departments. The control group has 68.3, and the experimental group has 75.5 as the mean. What causes that gap between two groups is just the way they have been taught vocabulary items.

Hence, it is fair to say that teaching vocabulary through semiotic elements makes a huge difference, easing the process not just for teachers but for students, as well.

Table 4. Difference among the various parts of the quiz

	Total Score	Experiment Group (n=30)	Control Group (n=35)
Part A (Matching the words with the meaning)	16	11.8	10.9
Part B (Matching the words with the pictures)	18	18	17
Part C (Completing the sentences)	16	10.3	9.94
Part D (Multiple Choice)	20	13.6	11.6
Part E (Scrambled words)	15	12.8	12.12
Part F (Circling the correct answer)	15	13	10.4

The last point that is worth to discuss is the assessment phase. As it is explained in the *design and procedure* section; the quiz has a part (Part B) in which students were asked to match the words with the correct pictures. Since this is a part that includes a semiotic element (pictures), it was investigated that whether students will become more successful in that part or not. Thus, the results in table 4 show us that the students made much better in that part than the other parts. This finding reveals the importance of making use of semiotic elements; it is clearly understood that they help the learners grasp and then remember the meanings of the words.

5.0 Conclusion

This study has been set out to investigate the effects of semiotics elements in teaching vocabulary items. The following discussion will focus on the application, appropriateness and usefulness of semiotic elements in teaching vocabulary from both the students' as well as the teacher/researcher's perspective.

It is a crystal-clear fact that while teaching vocabulary, it is of great importance to activate the schema of students with the purpose of ensuring permanent learning, which has been one of the biggest concerns in the field of teaching. With this thought in mind, a four-week-study has been carried out among two prep students groups one of which as the control and the other one as experimental group at Karabuk University. During 4 weeks, the experimental group was taught 8 units in the book, The Big Picture Elementary by Richmond Publishing. As for the control group, the students in that group were just given the L1 translation of the target vocabulary items. The experimental group was provided with different techniques and activities. As Ur (1996:63) and Murcia (1991:301-302) stated, there are many different ways and techniques of presenting new vocabulary and most of them, which has been explained in detail below, are paid great attention to be used while performing that study.

The first teaching stage of the study focused on identifying the schematic stages of the students and how cohesion is achieved. The experimental group consists of students learning better with visual aids. Focusing on only the meaning (translated into L1) has had a temporary effect on learning target vocabulary items whereas the meaning

enriched with visual aids has provided just the opposite. To that end, the techniques below have been used;

- ✓ visual aids (pictures, objects) to teach items like household, furniture, jobs
- ✓ word relations (synonyms, antonyms) to teach adjectives
- ✓ definition, explanation, examples, and anecdotes to teach target vocabulary for quantifiers
- ✓ detailed description (of appearance, qualities...) to teach body parts, adjectives and adverbs
- ✓ demonstration (acting, mime) to teach target vocabulary for Future Tense structures
- ✓ opposite(s) (antonyms) to teach weather types

The techniques mentioned above have helped carry the point of the study. The experimental group got the average of 78.1 in the assessment quiz at the end of the study while the control group, which has only been taught the L1 meaning of the target vocabulary, got 71.6. To sum up this discussion of the data in response to the research question that was posed "Are semiotic elements effective in teaching vocabulary items?" there are two main points to be made:

I. the students' ability to examine a number of vocabulary items on their own, use the target items while speaking improved. The systemic functional semiotic teaching was an important and fruitful way to get the desired result.

II. using semiotic elements gave the opportunity to have a friendly atmosphere while learning, which also helped get students to be enthusiastic about learning as they had the chance of learning cultural elements by means of visual aids.

At the end of the study carried out, there are points need to be taken into account, one of which is the difference between average points of the two groups. The control group members had hard times recalling the words while having the quiz. The experimental group, on the other hand, did not experience something like this. The second thing to be considered and catered as the proof for the reliability of the study is that two groups almost have similar features like their English level, departments, ages and English background. What result has been gained at the end of it is absolutely connected with the semiotic teaching. So, it can be said that the measurements are consistent with the preliminary calculations.

The results suggest that teachers and students can benefit from semiotic elements to have a better understanding of the target language and culture. However, the teaching part needs to be done in a way, which is smooth and comprehensible to students. That is, the students and teacher must share a clear classroom atmosphere to talk about target language, and this should be done with a shared sincerity, which can be developed when studying on the target language through semiotic elements. Student development of vocabulary knowledge also needs to be seen as an ongoing process supported with practice.

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Extended Abstract

Considering the efficiency of semiotic signs in the field of teaching and learning, what has been searched and found for years on that field is obviously the core element that we need to know, and semiotics has a few branches one of which is the one concerning us, the teachers, the most: educational semiotics. And vocabulary teaching is of utmost importance in educational semiotics. What has been aimed at semiotic studies concerning vocabulary teaching is our number one priority as it sets ground for our research, which on the other hand is the one that we feel the need of taking a fresh look at by means of our study.

Given the circumstances that affect our teaching, it can be stated that it takes quite a long time to succeed in vocabulary teaching. The reason is the obstacles created unintentionally between cultures. Keeping that in mind, we yearn for searching the effects of using non-verbal semiotic elements in teaching vocabulary in EFL classes as students cannot make use of it without seeing the connection and the differences between their culture and the target one. In our research, we basically deal with the importance of vocabulary teaching and teaching vocabulary with the help of semiotic elements. Then; verbal communication, non-verbal communication, background of vocabulary teaching, techniques in presenting new vocabulary and non-verbal semiotic elements in vocabulary teaching is taken into account. Right after this, the role of teachers in teaching vocabulary by means of semiotics is outlined with a clear-cut line.

Given the circumstances of educational environments at universities, assessment and penetration of the effect of teaching vocabulary by means of semiotic elements is best done if carried out on prep students since most of them are new at learning English. With this thought in mind, we have chosen two groups, one of which is the control group and they will get no teaching based on semiotic elements. The other group, on the other hand, will be the core of that study. As for the specific features of these two groups, we can surely state that they have been paid attention to have similar features to make assessment truly credible. The control group, B39 Class, has 43 students and their departments are electrical and electronic engineering, mechanical engineering, computer engineering, automotive engineering, rail systems engineering and medicine engineering. The experimental group, B13 Class, has 42 students and their departments are the same as the control group. The book that is being taught is Richmond Publishing's The Big Picture Elementary Book. For four weeks, the units from 2 to 9 will be carried out, and at the end of that period, a quiz will be used as the means of assessment.

APPENDIX A

Average: 2506\35=71.6

Table 1. Control Group's Scores from Vocabulary Quiz					
Particip ant no	Department	Scor e	Particip ant no	Department	Scor e
1	Electrical and Electronic Engineering (II)	73	23	Electrical and Electronic Engineering (II)	72
2	Electrical and Electronic Engineering (Eng.)(II)	73	24	Computer Engineering (Eng.) (II)	84
3	Mechanical Engineering (II)		25	Computer Engineering (Eng.) (II)	
4	Mechanical Engineering (II)		26	Computer Engineering (Eng.) (II)	73
5	Mechanical Engineering (II)	79	27	Computer Engineering (Eng.) (II)	70
6	Mechanical Engineering (II)	64	28	Computer Engineering (Eng.) (II)	86
7	Computer Engineering (II)	97	29	Mechanical Engineering (Eng.) (II)	77
8	Computer Engineering (II)	67	30	Mechanical Engineering (Eng.) (II)	80
9	Computer Engineering (II)	42	31	Mechanical Engineering (Eng.) (II)	
10	Computer Engineering (II)	75	32	Mechanical Engineering (Eng.) (II)	
11	Computer Engineering (II)		33	Mechanical Engineering (Eng.) (II)	61
12	Computer Engineering (II)	72	34	Electrical and Electronic Engineering (Eng.)(II)	67
13	Automotive Engineering (II)	49	35	Electrical and Electronic Engineering (Eng.)(II)	68
14	Automotive Engineering (II)	81	36	Electrical and Electronic Engineering (Eng.)(II)	80
15	Automotive Engineering (II)		37	Electrical and Electronic Engineering (Eng.)(II)	87
16	Automotive Engineering (II)	73	38	Railway Systems Engineering (Eng.) (II)	78
17	Automotive Engineering (II)	54	39	Railway Systems Engineering (Eng.)(II)	
18	Automotive Engineering (II)	65	40	Medical Engineering (II)	68
19	Automotive Engineering (II)	88	41	Medical Engineering (II)	69
20	Electrical and Electronic Engineering (II)	86	42	Medical Engineering (II)	76
21	Electrical and Electronic Engineering (II)	59	43	Mechanical Engineering (Eng.) (II)	51
22	Electrical and Electronic Engineering (II)	62			

APPENDIX B

Table 2. Experimental Group's Scores from Vocabulary Quiz

Partici pant no	Department	Score	Particip ant no	Department	Score
1	Mechanical Engineering		22	Electrical and Electronic Engineering	69
2	Computer Engineering		23	Electrical and Electronic Engineering	81
3	Automotive Engineering		24	Electrical and Electronic Engineering	82
4	Mechanical Engineering	72	25	Electrical and Electronic Engineering	83
5	Computer Engineering	69	26	Metallurgical and Materials Engineering	85
6	Computer Engineering	61	27	Metallurgical and Materials Engineering	86
7	Automotive Engineering	55	28	Metallurgical and Materials Engineering	72
8	Automotive Engineering	96	29	Metallurgical and Materials Engineering	58
9	Automotive Engineering		30	Metallurgical and Materials Engineering	
10	Mechanical Engineering (English)		31	Metallurgical and Materials Engineering	89
11	Mechanical Engineering (English)	59	32	Metallurgical and Materials Engineering	81
12	Mechanical Engineering (English)	100	33	Metallurgical and Materials Engineering	82
13	Mechanical Engineering (English)		34	Biomedical Engineering	
14	Computer Engineering (English)	94	35	Railway Systems Engineering (English)	
15	Computer Engineering (English)	79	36	Railway Systems Engineering(English)	72
16	Computer Engineering (English)		37	Railway Systems Engineering (English)	90
17	Computer Engineering (English)	81	38	Medical Engineering (English)	81
18	Electrical and Electronic Engineering	82	39	Medical Engineering (English)	
19	Electrical and Electronic Engineering	94	40	Medical Engineering (English)	72
20	Electrical and Electronic Engineering	76	41	Computer Engineering	76
21	Electrical and Electronic Engineering	66		Electrical and Electronic Engineering	69

Average: 2343\30=78.1

APPENDIX C

The Big Picture A2 Elementary Vocab Corpus used in Application

Unit 2: My Life	
nephew	
niece	

Unit 3: Days to Remember	
take a break	wash the dishes
go dancing	share a flat
go shopping	finish work
get dressed	have a shower

Unit 4: Home Life	
sofa	local shop
cupboard	shopping centre
sink	news-stand
cooker	wardrobe

Unit 5: A Real Achievement	
jogging	sing
skateboarding	stretch
sudoku	climbing, judo

Unit 6: Shopping Around	
computer store	spotty
convenience	hair: curly, ponytail
outfit	tattoos
denim	stall
sandals	

Unit 7: Going Places	
cloudy	warm
humid	foggy
wet	icy
cosy	explore
sunny	souks
windy	handmade

Unit 8: In the News	
podcasts	get the flu
local news	go to a concert
bands	go to a show
	pandemic

Unit 9: Hungry Planet	
fruit juice	lettuce
delicious	pasta
bowl	slices
carrots	throw away
beans	spicy
sweets	disgusting
	creamy

Decision of Incentives Type in Power Holders' Hands: Joint Evaluation as a Cause of Overemphasize on Monetary Incentives

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Abstract

Many organizations emphasize monetary incentives more than non-monetary incentives. The practice is still common although ample of research show it has a detrimental effect on performance. Power holders in organizations are responsible for this practice because the decision of incentives system is mainly on them. Recent research by Shaffer and Arkes (2009) suggested that people are prone to preference reversals of incentives type, in which they say they prefer to have monetary incentives but indicate more satisfaction with non-monetary incentives. Evaluation of both incentives together in joint evaluation mode elicits a preference for monetary incentives; meanwhile separate evaluation mode elicits a preference for non-monetary incentives. Power holders acknowledge both monetary and non-monetary incentives when they have to decide which incentives type to implement. That means power holders are in joint evaluation mode, which elicits more preference on monetary incentives. Thus, it may explain why organizations – via power holders' decision – overemphasize the monetary incentives. Further implications and possible remedies are discussed.

Keywords: monetary incentives, preference reversals, joint evaluation

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Introduction

Incentive is a form of payment contingent on performance. In theory, monetary incentives motivate employees to perform better. There is a belief that the higher the monetary incentives, the higher the performance. Unfortunately, a growing body of research highlights the detrimental effects of monetary incentives. For example, Ariely, Gneezy, Loewenstein, and Mazar (2005) research showed performance decline as the monetary incentives increase. They divided participants into three incentives groups (low, medium, and high) and asked them to perform some tasks that need cognitive effort such as creativity and concentration. The result was the higher the incentives, the lower the performances. Another research by Vohs, Mead, and Goede (2006) showed negative effect in which people that primed with money (i.e. reminded of monetary incentive) prefer to work alone, put distance and less helpful to others.

The evidences are clear and have been discussed in scientific articles and modern popular books, yet many organizations still emphasize more on monetary incentives. A Recent report from World at Work and Deloitte Consulting (2014) showed that 99% of public companies tend to adopt a short-term cash incentives practice. Other reports from the same source showed a high increase of adoption of short-term cash incentives practice in private companies from 79% in 2007 to 95% in 2011 to 97% in 2013 (World at Work & Vivient Consulting, 2012, 2014a). Even 78% of non-profit and government organizations are adopting this practice (World at Work & Vivient Consulting, 2014b). Why is this practice still happening?

Employers as the Power Holders

To answer the reason of this disadvantaging practice, we have to look at the employers as the power holders. Power holders in organizations are responsible for this practice because the decision of incentives system is mainly on them. As the definition from Keltner, Gruenfeld, and Anderson (2003) and Galinsky, Gruenfeld, and Magee (2003), power holders are they who decide resources of their own and others. Incentives system is one of many resources regulated by those power holders in this case.

In organizations or companies, power holders are the management or board. Those power holders, indeed, due to the higher power, along with higher competencies and higher cognitive load, usually decide the bad incentives systems (Magee, Kilduff, & Heath, 2011). One of those bad incentives systems is overemphasize on financial and material compensation or overemphasize on extrinsic incentives. For the sake of discussion in this paper, I will focus particularly on the problem of overemphasize on monetary incentives, in contrast to non-monetary incentives.

Why higher power leads to bad incentives? It could be because of having more power leads to more self-efficacy and less perspective taking, which are important factors in deciding incentives system (Magee et al., 2011). When managers with high power in the middle of deciding incentives system, they have to put themselves in employees' shoes to predict how the incentives would work. Magee et al. (2011) argued that more self-efficacy makes them think that employees are as competent as they are, and less

perspective taking makes them think that what works for them also works for the employees.

However, we should be critical of this notion. Is it true that high monetary incentives work for those managers? Ariely et al.'s (2005) research showed that it is not true. In their experiments, they found that, in general, the larger the monetary incentives, the worse the performances in tasks that need creativity and concentration. There is a "choking under pressure" effect, in which more monetary incentives might increase motivation but then decrease performance because of two reasons (Ariely et al., 2005). First, increased motivation could shift high skill that is 'automatic' to 'controlled' processes, which is ineffective in order to perform well. Second, increased motivation makes narrow focus attention that inhibits creative thinking in which it needs a wider focus of attention. Usually, the tasks of higher power holders need a higher degree of cognitive effort. In addition, usually the monetary incentives are higher as well. In other words, power holders need to perform tasks with higher cognitive effort and in the same time receive higher monetary incentives. Therefore, power holders are prone to the "choking under pressure" effect.

Thus, the power holders' thinking, "high monetary incentive is good for me, so it is good for the employees" is incorrect – it is not good for both of them. In summary, it is not because of less perspective taking like what Magee et al. (2011) postulated. Then what really cause power holders to overemphasize on monetary incentives?

Evaluability Hypothesis and Preference Reversal of Incentives Type

Recent research in preference reversal of decision making may shed the possibility of why decision makers or power holders choose money over non-monetary incentives. In their experiments, Shaffer & Arkes (2009) found preference reversal effect caused by different evaluation mode.

Preference reversal is an inconsistency of preferences due to different elicitation modes, which is contradictory to traditional economic perspective. One of the explanations of this phenomenon is the evaluability hypothesis by Hsee (1996). Evaluability hypothesis (Hsee, 1996) is, "[w]hen two stimulus options involve a trade-off between a hard-to-evaluate attribute and an easy-to-evaluate attribute, the hard-to-evaluate attribute has a lesser impact in separate evaluation than in joint evaluation, and the easy-to-evaluate attribute has a greater impact." Hsee (1996) gave an example as the following: someone faces two options of music dictionary to choose, (a) has 10,000 music entries and no physical defects; (b) has 20,000 music entries and has physical defects. The music entries are the hard-to-evaluate attribute that is tricky to evaluate without comparison, but the physical defects are easy-to-evaluate attribute that easily recognize without comparison. Therefore, in a separate evaluation, someone tends to choose option (a), meanwhile in joint evaluation, someone tends to choose option (b).

Later Hsee (1999) added that someone bases his or her decision on a choice that is consistent with value-seeking rationale, "the belief that one should choose the option in a choice set that has the highest monetary value." Hsee (1999) gave an example as the following: someone faces two options of milk chocolate from Austria to choose, (a) has 0.5 oz net weight, 50 cents price, and heart shape; (b) has 2.0 oz net weight, 2 dollars price, and disgusting cockroach shape. In this situation, Hsee's (1999) research

revealed that participants tend to predict higher utility from eating the heart shaped chocolate, but tend to choose the cockroach shaped chocolate. Preference reversal occurs in this case.

Shaffer & Arkes (2009) then combined the evaluability hypothesis (Hsee, 1996) with the value-seeking rationale (Hsee, 1999) in their research to investigate a preference reversal of monetary versus non-monetary incentives among employees. They asked two groups of participants in their research to rate the satisfaction level of incentives in 7-point scale. Participants in one group were asked to rate satisfaction of receiving monetary incentives of US$1,500 and participants in the other group were asked to rate satisfaction of receiving of non-monetary incentives in the same amount (home audio system, HDTV, laptop computer, games ticket, cruise ticket). The result was participants in non-monetary incentives group were significantly more satisfied than participants in the monetary incentives group were. Then they asked another group to choose between monetary and non-monetary incentives. The result was participants in this group tend to choose monetary incentives.

In addition, Shaffer & Arkes (2009) investigated further the difference between hedonic and utilitarian incentives (lawn mower, washer and dryer, a one-year supply of groceries, oven, a one-year supply of gas). The result revealed that both hedonic and utilitarian non-monetary incentives produced significantly more satisfaction than monetary incentives in separate evaluation mode. Meanwhile, participants were indifferent in their choice of utilitarian non-monetary incentives and monetary incentives in joint evaluation mode. This result is the evidence for the value-seeking attribute, in which utilitarian non-monetary incentives also viewed as rationale choice.

These results from Shaffer & Arkes (2009) showed that indeed preference reversal of monetary versus non-monetary incentives occurs among employees: employees tend to choose non-monetary incentives in separate evaluation mode, but tend to choose monetary incentives in joint evaluation mode. The reasons are different evaluation mode or evaluability hypothesis and value-seeking rationale. In this case, the hard-to-evaluate attribute that also acts as value-seeking rationale attribute is fungibility, which is available in monetary incentives but not in non-monetary incentives. Meanwhile, the easy-to-evaluate attribute is affective value or utility.

Back to our case, while in that research participants acted as employees, the preference reversal may occur to employers as well. Employers are also prone to preference reversal because they are in joint evaluation mode where all choices of incentives are in their hands. Employers may also use value-seeking rationale to decide what is "best" for their employees. The probable process is the following: employers have incentives options to give to employees and then reflect their selves, "If I am an employee facing these options, which one would I choose?" And because employers see both monetary and non-monetary incentives (they are in joint evaluation mode), they tend to choose and decide to give employees the monetary incentives. In summary, overemphasize on monetary incentives over non-monetary incentives occurs because of employers are in joint evaluation mode when deciding which incentives type to implement.

Further Implication

Recent trends in motivation literatures are discussing the role of intrinsic motivator. This kind of motivator is superior to extrinsic motivator in directing people's behavior. However, intrinsic motivator can only develop in people's heart. Employers can only influence employees' behavior via extrinsic motivator.

Based on self-determination theory (Gagne & Deci, 2005), there are four level of extrinsic motivators that are vary by degrees of autonomy. Non-monetary incentives that we have discussed so far refer to an external form of the extrinsic motivator. There are other extrinsic motivators besides external motivator; those are introjected motivator, identified motivator, and integrated motivator (see Gagne & Deci, 2005). Those extrinsic motivators are more abstract than the first extrinsic motivators, but the degree of autonomy are higher, respectively.

When employers tap the extrinsic motivator with higher autonomy degree, they may influence the intrinsic motivation of employees. However, this action is difficult if we refer to the preference reversal of incentives type. People would still choose the motivator with lowest autonomy degree. This is because that kind of incentives is tangible compare to other kinds of incentives. When someone faces choices in joint evaluation mode, the tangibility of the incentives may act as the value-seeking rationale as fungibility in monetary versus non-monetary incentives.

Continuing this practice has a clear impact: employees would feel less satisfied. This less satisfaction then has the domino effects such as resulting in lower organizational engagement and lower work performance. This condition is dangerous for organizations and should be solved.

Possible Remedies

The employers are rational according to the traditional economic theory. However, carry the rational thinking in this situation is not helpful. Employers should be more irrational in this case to maximize the benefit of incentives system implementation. It is not a good idea to ask employee, "what do you want?" as suggested by Magee et al. (2011). The most probable answer to that question is, "I want money, more and more money" as showed by Shaffer & Arkes (2009).

The most obvious way to solve this problem is by using separate evaluation mode. Power holders could ask employees to evaluate the incentives options one by one using satisfaction scale in separate mode instead of choose from an array of choices in joint evaluation mode. It is also important to eliminate monetary incentives at all or combine it on top of salary. By doing this, the incentives are not contingent on the performance, then "choking under pressure" effect could be minimized.

Conclusions

There are two conclusions from our discussion in this paper. First, power holder, as a human, are not immune to the preference reversal coming from different elicitation modes. As a result, power holder tends to overemphasize the monetary incentives.

Second, employees do not know what make them better off. They tend to choose an option that is less satisficing and bad for them.

However, there is an upside part from this irrationality. A job seeker, the soon to be employee, is also prone to preference reversal. Therefore, monetary incentives are attractive for new employees. When a job seeker has two job offers from two companies, he or she tends to choose the company with higher monetary incentives according to the value-seeking rationale theory. Thus, different strategy could be applied for different purposes. To attract or recruit new employees, give more proportion to monetary incentives; to make current employees happier, more productive, and more satisfied, emphasize on non-monetary incentives.

Finally, to wrap up our discussion, we shall take a look at Lego experiment by Ariely, Kamenica, and Prelec (2008). In their experiment, they asked participants to build robots (Bionicles) from Lego. Participants would receive monetary incentives based on how many Bionicles they build. The researchers divided participants into two conditions: meaningful and Sisyphus. In the meaningful condition, after participants build one Bionicle, the experimenter would place the Bionicle in front of them. In the Sisyphus condition, after participants build one Bionicle, the experimenter would immediately destroy the Bionicle in front of them, which make the work meaningless. The experiment result was that participants in the meaningful condition build significantly more Bionicles than participants in the Sisyphus condition. So, in the end, what makes an employee, as a human being, truly perform his or her best is not because of any external regulator such as monetary incentives, but because of meaning.

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Acknowledgement

The Experiences of the Members of Basic Faith Community (BFC) of San Isidro Labrador Parish, Virac, Catanduanes

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Abstract

This study explores the Basic Faith Community Experience of San Isidro Labrador Parish in Virac, Catanduanes. It also identifies the personal, spiritual and community life of the members prior to and after joining the Basic Faith Community (BFC).

The primary data were gathered from documents of the diocese, parish priest, priests directly involved in the New Evangelization Pastorale/Basic Faith Community Program; and key informants. The key informants are members of the BFC, and data were obtained through survey questionnaire and focus group discussions.

Results of the study show that all the key informants experienced a change in their attitude and behavior after joining BFC. After several years of attending BFC, the members' personal concerns and worries shifted from materialistic concerns to God-centered concerns. Hence, their spiritual lives improved remarkably. Their BFC experiences remodeled their concept of God, resulting in a change of their philosophy, values and actions. Furthermore, all key informants became conscious of their role as Christians.

The parish has to sustain and, if possible, put prime importance in establishing and nurturing Basic Faith Communities above all other para-liturgical activities.

Keywords: Basic Faith Community, experience, personal life, spiritual life, community life, dialogue, culture, and faith

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Introduction

Culture is the locus of religion, the soil where religion thrives, which nourishes and gives religion its distinct and vibrant colors. Individuals exteriorize their faith in God within their cultural milieu, opening the way for diversity and multiplicity in religious expressions. The Catandunganons, the people of Catanduanes, are not exceptions as they have been expressing their Christian faith in their cultural context for centuries. This phenomenon, impels one to look into their historico-cultural background.

A.   The Province

1. Geography

Catanduanes is a mango-shaped island at the eastern part of the Philippines. The Maqueda Channel separates it from the Bicol peninsula and is surrounded by the waters of the Pacific Ocean. Topographically, the province is highly mountainous with numerous pockets of small valleys, countless streams, waterfall, river systems, virgin beaches of varying sizes an' shapes, bays, and coastal plains. Catanduanes has eleven municipalities. Among the 7,107 islands of the Philippines, Catanduanes is the 12th largest, with a size of 1,843 sq. kms. Hence, it is larger than the provinces of Marinduque, Bataan, Cavite, La Union, and Batangas.

2. The Culture of the Catandunganons at the Time of Spanish Arrival

Oral tradition traces the origin of the name of the province from the word "tandu," a species of a beetle in the province. People not native to the place called the province "Catanduan" meaning, "Land of the Tandus." However, in Father Juan Francisco de San Antonio's 1738 account of the name of the province, the term "Catandungan" was derived from a river's name. In the early years of Spanish colonization, the province was called "Isla de Cobos," (thatched huts, 'kubo") the dwellings of the natives seen by the Spanish colonizers. These colonizers of the island encountered well-established communities with inhabitants almost having the same culture with Visayans and Tagalogs. They hunted, tilled, fished, mined gold, did carpentry, traded with other islands, and boasted skilled shipbuilders who impressed Antonio de Morga, a 16th-century Spanish writer.

The Catanduanganons were also very good at seafaring. Antonio de Morga, in his *Sucesos de las Islas Felipinas*, wrote that when the galleon Santo Tomas was shipwrecked in May 1601 in the coastal waters of Catanduanes, the crew was able to reach Manila along with their precious cargoes with the help of the natives.

Sources likewise narrated the Catandunganons were friendly and sociable. The men were tattoed and they drank locally produced wine and brandy from the palm trees that abundantly grew in the island. The women were industrious. Besides their chores at home, they also helped in farming and in fishing. They adorn themselves with flowers, jewelry and wore beautiful clothes. They were modest and aware of proper hygiene, for they would take a bath every day and never drank water from the river.

The inhabitants' religious beliefs, practices and customs of the island were the same as those of the Visayans. They "worshipped nature spirits, gods of particular localities or activities, and their own ancestors." The Catandunganons, respected both priest/priestess and practitioners of witchcraft.

3. The Christianization and Hispanization of the Province: An Overview

In 1573, Juan de Salcedo, a Spanish conquistador during his pacification campaigns in the Bicol region, reached the island of Catanduanes and subjugated the natives. Between 1582 to 1583, an alcalde-mayor representing the Spanish crown was already in charge of the island and was aided by a treasurer and a notary, both of whom were appointed by the alcalde-mayor.

The island was divided into four encomiendas and were administered by Tomas Dato Rodrigo Sarfate, Juan de Yepes and Anton Sanchez. The natives were good tribute payers, for they paid in full and more than what was required of them.

The earliest direct contact with the Christian religion by the islanders occurred when Augustinian missionaries headed by Fr. Diego de Herrera, while on board the Galleon Espiritu Santo, were shipwrecked at the coast of Batalay, Bato on April 23, 1576. The survivors were hospitably welcomed by the natives by providing them with food and shelter. Eventually, the friars set out in preaching the Gospel and taught the natives of new ways of farming and improving their ways of living. The natives accepted everything except the new faith. To avoid conversion they transferred to nearby forests. The Spaniards tried to bring them back to Batalay for they were running out of food supplies. The natives stubbornly refused and they attacked and killed the survivors of Espiritu Santo, including Fr. Diego de Herrera. The lone survivor, Gregorio Galvez, buried his companions and placed a wooden cross on Fr. Herrera's grave.

The actual Christianization of the province occurred before the end of the 16th century when Franciscan missionaries came and converted the inhabitants to Christianity. Building of churches followed in strategic places. One was built in Pandan town, in 1650. Another one was founded in Caramoran, in 1660, and two more churches were constructed in Viga (Biga) in 1681, and in Panganiban (Payo) in 1683. And the last one was constructed in Virac (Birac), the capital of Catanduanes, in 1771.

At first glance visitors of the place can say that Christianity is deeply entrenched in the province as chapels are seen almost in every street. But as they observe longer, they will notice that animistic pre-colonial beliefs are practiced. People still consult an albularyo (native curer) for healing, and protection. Furthermore, the locals believe in the existence of supernatural beings and witchcraft practitioners.

The first Diocesan Pastoral Consultation Seminar held on April 7-11, 1975 pointed out that "popular religiosity" characterizes the Christian religion in the province.

B. The New Evangelization and Basic Faith Community: An Overview

The Basic Faith Community (BFC) is the fruit of the first Synod of Virac that discovered that Christianity in the province is "the product of culture and convention" rather than "the result of a personal and conscious decision for Christ." It succinctly admitted that the Diocese in the recent past had fallen short of giving priority to kerygma proclamation, which resulted in "dormant faith" prevailing in the entire province. The late Rev. Fr. Msgr. Jose Molina the author of the BFC) echoed the same in June 2000, and shared how frustrating it was on his part in exhausting every method he knew to bring people to God for several decades but without much success. He pointed out that his failure was his inability to shepherd the parishioners towards ontological holiness. The Diocese, finally found the answer in CCC 1231, which mandates every Church to conduct post-baptismal initiation which gives emphasis on proclaiming the word of God to the catechumens and on developing a personal acceptance of Christ as his Lord and Savior. It is hoped that through this, the dormant faith of baptized Catholics will become fully alive and active.

As of the writing of this research, the New Evangelization Pastorale (NEP) and Basic Faith Community (BFC) remain the main thrusts of the Diocese of Virac in the New Millennium.

C. A Brief History of San Isidro Labrador Parish

The church and convent of the Parish is located in Barangay Magnesia (formerly known as Mag-on-on) which is 15 kilometers away from Virac. Because of its big population, the place is divided into two: Magnesia del Norte and Magnesia del Sur. Its inhabitants have always shown a distinct zeal for living the Christian faith, making the barangay (village) the seat of religious activities and celebrations where people from nearby barangays converge to join such festivities. Their strong faith led them to building a chapel in 1700.

On May 2, 1956, a year after Virac was founded as a parish, His Excellency Flaviano B. Ariola D.D., passed a decree making Magnesia a parish under the tutelage of San Isidro Labrador. The parish serves nine barangays, namely: Buenavista, Hawan, Batag, Casoocan, Marilima, Calompong, F. Tacorda, Balete, and Magnesia—the seat of the parish.

On May 15, 2006, the parishioners celebrated the 50th founding anniversary of their parish, emphasizing on evangelization as the center of the pastoral programs of the parish. The parish is one of the first recipients of the new pastoral thrust of the Diocese, and holds the reputation of having the most successful and fruitful BFC program in the Vicariate of Virac.

The Problem

The main objective of this study is to explore and analyze the experiences of some members before and after joining the Basic Faith Community.

Specifically, it seeks to answer the following questions:

1. What are the reasons of the members for joining the BFC?
2. What are the experiences of the members before and after joining BFC in the following areas:
   1.1. Personal life: concerns, worries and relationship with other people;
   1.2. Spiritual life: belief in God or image of God and prayer life;
   1.3. Community life: involvement in any group or association?
3. What are the changes in attitude by the BFC members based on their experiences?
4. What are the most helpful activities of BFC?
5. What are the suggestions of BFC members?

Significance of the Study

1. This study is important to future researchers in the fields of sociology, anthropology, ecclesiology and missiology, and those who are interested in filling the wide chasm of scholarly works about the way of life of the Catandunganons.

2. This will provide the Diocese with empirical data that will immensely help the priests, religious and lay people who are active in the evangelization to identify the strengths and weaknesses of the NEP/BFC, hopefully making them greatly sensitive and aware of the spiritual needs of the people. Should this awareness be raised, it is expected that they will be more effective evangelizers and agents of renewal, as envisioned by the Catholic Church in the Second Plenary Council.

3. The importance of this research also lies in the fact no other study has ever been conducted about the NEP/BFC. And since the NEP/BFC is the local church's first conceived program that radically altered the doctrinal approach, there is a great necessity to look into it.

4. Other dioceses and parishes experiencing religious crisis (inactive Christian faith) may adapt the NEP/BFC and gain valuable insights.

Theoretical Framework

This research, adopted the 4-Phase Model of New Evangelization Pastorale of the Diocese of Virac and John Fuellenbach's Elements for Evangelization to explain the phenomenon under study.
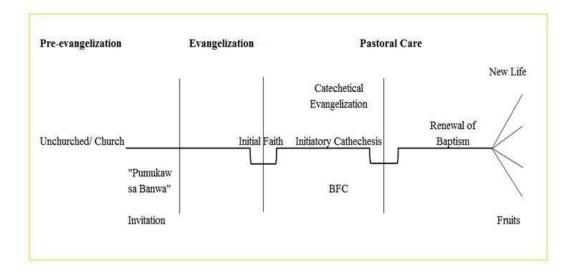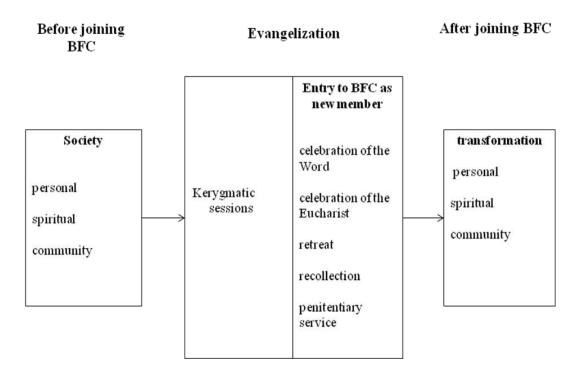
4-Phase Model of NEP

Figure 1   4-Phase Model of New Evangelization Pastorale

The First Phase is Pre-evangelization, wherein the local church invites both the unchurched and churched individuals to participate in the orientation of the New Evangelization Pastorale (NEP). The Second Phase is evangelization wherein kerygmatic sessions are given to the attendees and it is expected that they would have an "initial faith". This initial faith impels them to make a personal commitment to join the Basic Faith Community (BFC). The Third Phase is initiatory catechesis. In this phase, evangelization is continuously given including catechesis. The Fourth Phase is Pastoral Care wherein the mature Christian faith resulting from membership in the BFC is nurtured. This faith maturity and nurturing eventually leads to renewal of baptism and new life in Christ.

 The Basic Faith Community(BFC) being the setting for making one's faith in Christ mature, is the way of socialization from the side of the local church towards the realization of the vision-mission of PCP-II and that of the Diocese's: to have a Church for the poor, thereby building a civilization of life and love.

The well known theologian, John Fuellenbach identified three fundamental elements for evangelization which further enhanced the understanding of the experiences of the BFC members. One of these is Koinonia (Community). Which means that members have a sense of belongingness and interdependence, sharing a deep personal relationship with Christ and other members, having one heart and one mind. Another one is Diakonia (Service/Mission) which means that all members must think of each other's interest. Everyone must be united in their desire to help the members, particularly the less-fortunate. And another indispensable one is Kerygma (Preaching) which means that the Good News of Christ must be proclaimed to all, so that they will come to know Christ and His unfathomable love and the real purpose of their existence on Earth. A community of believers is an evangelized and evangelizing community. It is important to mention that there are theologians and Christian writers who identified Leutergia (Worship) equally essential in evangelization. Hence, this is also included in this study as one of the elements for evangelization. Leutergia (

Worship) which means that members of the community celebrate the mystery of faith and the Eucharist. In this event, the believers regularly gather without fail in memory of Christ and celebrate God's presence through the Sacraments and the Word.

Research Paradigm

The Research Paradigm shows the first box that presents the entrants, who are the key informants who are governed by their own personal, spiritual and community concerns. Their social environment affects their way of life. The society, being a human product, is unstable and is subject to constant change. Instability in the society brings stress on the members, impelling them to search for meaning amidst life difficulties and confusion. The next stage shows the Diocese of Virac's response to changes by conceiving the New Evangelization Pastorale. It aims to awaken the dormant faith of the people and nurture this faith to maturity through the Basic Faith Community (BFC). This is carried out through inviting and giving orientation to parishioners. The socialization of the individuals start upon their initial entry to the BFC and by their attendance to the kerygmatic sessions therein. Their socialization continues as formal members. They adopt the concepts, values and way of life of the community by participating in its activities, such as the Celebration of the Word. It is expected that through this socialization process, transformation will take place upon the, enabling them to cope with the changes around them as followers of Christ

Scope and Limitation

This study focused on the experiences of the members of the BFC of San Isidro Labrador Parish, Virac, Catanduanes. And these experiences were explored and analyzed in the following areas: personal, spiritual, and community life. The respondents in this study were all residents in the territory of San Isidro Labrador Parish, Virac, Catanduanes.

Research Design and Methodology

This research is descriptive-qualitative in nature. It describes, explores and analyzes the personal, spiritual and community life of some members of BFC. It employed key-informant approach, fielded open-ended questionnaire to the key informants and conducted a focus-group discussion on the same key informants.

Subjects of the study

Batag-BFC was chosen as the locus of this research. In this community, there are twenty-seven active members, and from these twenty-seven members, there were twelve key informants who passed the criteria set. The total number of respondents for this study consists of the 44.44 % of the total population of Batag-BFC, more than the twenty percent required for a qualitative research.

The criteria for choosing key informants for the BFC:

1. Have been members for at least 3 years,
2. Have been actively involved in church activities or in the parish (elder, lector or commentator, catechist, choir on Sunday or daily mass and other activities related to evangelization, like inviting those who are not yet members of BFC)
3. Have been regularly attending the weekly celebrations of the Word and other religious activities of the BFC

Table 1

Summary of Socio-Demographic Profile of Key Informants

Variable respondent	Age	Sex	Length of Membership	Educational Attainment	Civil Status	Occupation
1	14	F	3	H.S.	Single	Student
2	16	F	3	H.S.	Single	Student
3	21	F	6	College	Single	Brgy. Councilor
4	22	F	7	College	Single	Catechist
5	28	F	7	H.S.	Married	Catechist
6	29	M	7	Bs.Educ.	Single	Catechist
7	33	F	7	College	Married	Catechist
8	37	F	3	College	Married	Catechist
9	39	F	4	College	Married	DayCare Tchr.
10	42	F	7	H.S.	Married	Housewife
11	48	F	5	H.S.	Married	Bgy.Councilor
12	53	F	6	Elem.	Married	Housewife

Statistical Tools

Content analysis is used in explaining data from the open-ended questions. The use of frequency count, mean and percentage helped in the realization of descriptive analysis. Mean was computed using the following formula:

$$\overline{X} = \frac{\Sigma x}{N}$$

X = Mean
Σ x = the sum of scores
N = Total Population
Upon the tabulation of the data, they were analyzed and interpreted in compact form.

Presentation, Analysis, and Interpretation of Data

Data presentation proceeded in the order of the indentified statement of the problem.

Table 2

Reasons for Joining the BFC

Reason for Joining	Freq.
Parish Campaign/invitation	3
Invited by Parish Priest	1
Inspired by Homily of parish priest& teachings of BFC elders	1
Attended Celebration of the Word	2
Inspired by sibling	1
Influenced by peers	1
Invited by elders/member of BFC	3

The table shows that the key informants joined because they had been invited by the parish priest, sibling, friend and by the elders or members of BFC, inspired by parish campaigns and witnessed celebration of the Word.

Table 3

Concerns of Key Informants Before and After Joining the BFC

Categories	Before	After
material things	3	0
Job	2	0
power/social status	2	0
personal comfort	2	0
Simplicity	0	3
basic needs	2	0
spiritual dev't. of others	0	3
spiritual matter/spiritual service	3	10
family welfare	6	5
reconciliation		1
holistic concern		1
serve others		3
Education	2	1
proclaim Word of God		1

*Frequency exceeded the total population of key informants due to multiple answers.

Table 4

Key Informants' Worries

Categories	Before	After
material things	3	0
Job	2	0
power/social status	2	0
personal comfort	2	0
Simplicity	0	3
basic needs	2	0
spiritual dev't. of others	0	3
spiritual matter/spiritual service	3	10
family welfare	6	5
reconciliation		1
holistic concern		1
serve others		3
Education	2	1
proclaim Word of God		1

Tables 3 and 4 show that before joining the BFC, most of the respondents primary concern and worry was their family which motivated them to desire for material things. Their secondary concern and worry were social status, health, personal comfort and their service to God. Only two respondents had no worries. After joining the BFC, the primary concern of some respondents shifted to spiritual. Although are still thinking of the welfare of their family they are neither worried nor anxious or they have less worry.

Table 5

Key Informants' Descriptions of Relationships with Others

Categories	Before	After
material things	3	0
Job	2	0
power/social status	2	0
personal comfort	2	0
Simplicity	0	3
basic needs	2	0
spiritual dev't. of others	0	3
spiritual matter/spiritual service	3	10
family welfare	6	5
reconciliation	0	1
holistic concern	0	1
serve others	0	3
Education	2	1
proclaim Word of God	0	1

Table 5 shows that before joining BFC, the respondents' relationship with other people was limited only to interacting with their family, relatives and close friends. After joining, they have become more patient, understanding, considerate, generous, humble, forgiving and peace loving. However, communication with family members is not open yet.

Table 6

Image of/Belief about God

Categories	Before	After
material things	3	0
Job	2	0
power/social status	2	0
personal comfort	2	0
Simplicity	0	3
basic needs	2	0
spiritual dev't. of others	0	3
spiritual matter/spiritual service	3	10
family welfare	6	5
reconciliation	0	1
holistic concern	0	1
serve others	0	3
Education	2	1
proclaim Word of God	0	1

Table 6 shows that before joining the BFC, majority of the respondents' concept and experience about the presence of God was characterized and permeated either by folk religiosity or popular religiosity. After joining the BFC, the respondents' belief in God or image of God shifted to biblical understanding.

Table 7

Key Informants' Motivation for Praying

Categories	Before	After
material things	3	0
Job	2	0
power/social status	2	0
personal comfort	2	0
Simplicity	0	3
basic needs	2	0
spiritual dev't. of others	0	3
spiritual matter/spiritual service	3	10
family welfare	6	5
reconciliation	0	1
holistic concern	0	1
serve others	0	3
Education	2	1
proclaim Word of God	0	1

Table 7 shows that the change in the respondents' image of God has an effect in their prayer life and attitude towards God, such as giving greater weight on the value of the Word of God by reading the Holy Bible and by meditating on the scriptures. Majority of the respondents attended Holy Mass regularly.

Table 8

Key Informants' Regularity in Praying

Categories	Before	After
Doesn't Pray	1	0
Seldom	4	0
Often	7	12

Table 8 shows that before joining BFC, praying was not zealously observed by some respondents. After joining BFC, all respondents pray often.

Table 9

Intimacy of the Relationship with God of Key Informants

Before	Freq.	After	Freq.
No intimate relationship	2	No intimate rel.	0
Not so intimate	4	Intimate	1
Intimate	6	More intimate	11

Table 9 shows that before joining BFC, the key informants had less intimate relationship with God. After joining BFC, key informants level of intimacy with God increased.

Table 10

Key Informants' Involvement in the Barangay

Category	Before	After
Youth Pres.	2	0
Student Govt. Org.	2	1
Student Body Org.	1	0
School clubs	2	1
Brgy. Health Worker	1	2
Brgy. Councilor	1	2
No involvement	3	0

Table 11

Informants' Participation in Church Activities

Categories	Before	After
Catechist	2	6
Choir	1	2
Novena. Church feasts, fiestas	10	12
Attending Mass regularly*	1	10
Go to Confession regularly*	2	10
Receive Holy Communion reg.*	5	11
Catholic Action Officer	1	1
Apostles of Christ	1	1
Legion of Mary	1	1
Virgin of Lourdes	1	1
Sacred Heart	1	1
COW	1	1
Bible study	1	0
El Shaddai	1	1
Lector	3	9
Total	32	67

*Total does not sum up to 100% due to involvement of key informants to different organizations or associations.
**Depends on how frequent the Holy Mass and Sacrament of Confession are held in the area.

Table 10 and 11 show that before joining, some key informants were not even members of any church or parish organization. After joining, inactive respondents

become involved in parish activities and organizations in the village or school. Respondents who were active in religious and civic organizations prior to their membership in BFC carried on and become more passionate in participating in those organizations. Respondents participate as catechist, lector, choir, and elder of BFC. There are some who added to their list of service in getting involved in civic matters such as village health worker, day care teacher, and village councilor.

Table 12

Changes in Attitude in the Key Informants

Categories	Freq.
More spiritual & spirituality is commitment to God	7
strong sense of what right & wrong & fear of God	5
more concern for the family	3
meaning,purpose& direction	2
self-worth/confidence	1
concern for others even to strangers	2
peace loving, patient, understanding	6
sinc -sincere relationship with others	1
less worry, peace,joy & courage to face trials	4
broad minded	3
appreciates verything God created	2
encounter more problems	3

Table 12 shows that respondents experienced great improvement in their spiritual life from being materialistic in their life's concerns and endeavors to spiritual. Within them, there is also inner transformation which are reflected in their good and compassionate behavior towards others. They also experienced peace, joy, and less worry.

Table 13

Most Helpful BFC Activitie

Categories	Freq.
Weekly Celebration of the Word (Proclamation of the word and sharing)	9
All activities (celebration of the word, Celebration of the Eucharist)	2
Celebration of the Eucharist	1

Table 13 shows that the number one most helpful activity which truly enriches the respondents' spiritual life is the Weekly Celebration of the Word (proclamation of the Word and sharing) and second most helpful activity is "all activities" (Celebration of the Eucharist and Weekly Celebration of the Word). And the third is the Celebration of the Holy Eucharist.

Table 14

Suggestions of Key Informants for BFC

Categories	Freq.
Have more people who will teach the word of God/bible	1
Parish should double its efforts on present programs/activities	1
Invite/encourage people to join programs/activities in the parish	1
Invite/encourage more parishioners to join BFC	5
Continue BFC	1
Parish must contine what it started and follow-up former members	3
Share the BFC experience	1
Witnessing/ Showing a good example as Christ's follower	1
No suggestion	1
Total	15

Table 14 shows that   the top most suggestions of respondents are : encourage more people to join BFC, continue the program and follow-up members who have become inactive.

Conclusions

1. The BFC is an effective agent of socialization of new evangelization where dialogue between the local church and the lay faithful is taking place.

2. Through the BFC the Gospel is proclaimed and the gospel values and Church teachings are transmitted to the members.

3. The significance of BFC itself is that there is improvement in the spirituality of members who shares the Good News in the real sense of the word.

4. The spirituality of BFC is characterized by giving prominence on listening and obeying the Word of God.

5. The BFC's direct effect on the parish and neighborhood is not yet seen.

6. The BFC hasno direct effect on the Catandunganon society.

7. Bringing people to personal commitment to Christ or to mature Christian faith will be truly effective with evangelization as church's primary task which must include the four elements for evangelization: koinonia (community), diakonia (service /mission), kerygma (preaching) and leutergia (worship).

Recommendation

1. The Diocese must encourage the BFC members to evangelize not only through witnessing but also through proclamation of the gospel. The meaning and significance of a kergymatic Church should be fully understood among BFC members to facilitate parish evangelizers.

2. Inherent and spiritual gifts of the members must also be identified. Communion of God's people also means being able to put into use their talents and abilities for the benefit of the entire faithful.

3. The Diocese should welcome and support evangelization programs initiated by the parishioners.

4. Topics on family must be undertaken since ideal family relationship among BFC members still lag behind.

5. Topics for vital role of Sacraments in the advancement of members' relationship with God must be emphasized.

6. The Diocese and its parish priest must prioritized the nurturing of the BFC to sustain the vigor of the program for new evangelization.
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Structural Equation Modeling of the Identity of Community Space a Case of Minsheng Community

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Abstract

"Place" is a way for people to cognize and perceive this world. However, By then the phenomenon of globalization, distinctive features in each spectacle is erased thus 'City lose their identities'. Does certain community possesses, or generates its identity? Does identity itself affect the sense of the belongings of the residents? Minsheng Community is so far one of the the best models of the earliest designed modern urbanized communities in Taiwan. It was first developed in 1968, and was proceed with the concept of "Garden City" in the 60s. For the streets and architecture designs, it is different from other communities. The reformations of the solid environment, space characteristic, self-evident of the space and residences community awareness in Minsheng Community will be the main discussion in this study. The study intends to take Minsheng Community as an example to discuss about the conformations of the identity, In order to have cautious study, the work tend to use Structural Equation Modeling as an appropriate analysis tool to Measure environmental assessment of the resident, building a statistical model, which can use as scale of relationship between people and places is t Is the purpose of the study , with the statistical scale , we can learn how identity of the community space contributes to place-identity and the transformation between the identity of the community and place-identity, based on the analysis of large amounts of data.

Keywords: cognitive, community space,identity of place,image of place,place-identity, structural equation modeling

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Introduction

As globalization continues and incorporates, the importance of "place" has been highlighted. The uniqueness of a place is from the establishment of the man-land relationship: a place's characteristic connecting with man-land relationship, furthermore gives the specific area meanings. To define a place, it needs to start from distinguishing "space" and "place." Norberg-schulz (1979) pointed out that place includes the composition of a specific object's essence, shape, texture, and color. It also represents the geometric model of the three dimensions that composed human existence.

Cresswell(2006) has a plenty of researches and studies on the concept of "place." He pointed out that "place" is most directly and commonly defined as "an area that has meanings," which means human creates meaningful spaces, human are in some way attached. Base on this definition, space is different from place. Space is considered as area that does not have meanings, the difference is the lack of "living fact."

Space is like time, they are both the basic coordinates that form human life. When human implant meanings into an area, the space becomes a place.

Literature Review
City Image and Identity of Place

Lynch(1960) indicated that an environment's image is the picture of individual induction out of the external environment. It is a product formed by direct feelings and past experiences. He thinks a whole vivid environment can construct a clear image, which will play a social role, be the basic materials and marks to compose communal living memories. It is also a crucial indicator of a city living environment's quality. The environment image is formed by "identity of place," "structure," and "meaning." In a city environment, the first factor that an image must have is the object's identity of place.

Place Image

There're plenty of related studies about the concept of place image since 1960. A lot of them used the method of cognitive map to detect cities' images. This graph might differ from the author's perception and imagination, and leads to offsets or distorts on the actual location or its form. (Zhang,2003) After the era, there were still a lot of

scholars investigating with other qualitative and quantitative models. A place's image being clear or not, attaching in what form are issues that has never been stopped discussing about. These scholars collected and described images of specific cities, as shown in the table below.

Table 1:The Theory of Identity of Place

Scholar	Factors that forms a city's image
Lynch(1960)	Passages, edges, regions, nodes, and landmarks
Norberg-schulz（1980）	Places, paths, and areas
Stren , Krakover（1993）	Urban aesthetics, distances (scales), population size, population activity level(urban rhythm), population characteristics, climate, and living attractions
Luque-MartínezsDel Barrio-García,Ibáñez-Zapata, Molina (2007)	Attracting appearances of buildings, heritages, social issues (security), economy and commercial trade(tourism and consumption), education level of residences/ Universities are built or not, self-consciousness of residences

Identity of Place

Scholars other than Lynch also have studies relating to identity of place. Wu(2010) sorted out all the views from scholars in the past, he came to a conclusion that identity of place is combined with the uniqueness, dissonance, and mystery of a space's characteristic. The environmental entity trait is the space code that determines an area's vitality and particularity, which could assist decoding the basic elements of urban environment code system. Identity of place is the development base of the environmental characteristic of a geographical area. Hunziker, Buchecker & Hartig(2007)pointed out that identity of place is one of the parts of a sense of place, which involves and reflects the individual meanings for an environment and a society. Chen indicates that through human's common recognition, the identity of a specific place can be formed, and be endowed social meanings. Nowadays, human perception experiences have been placed into the interacting relationship of urban environment form. As the formation been interfered by human perception, it became the identity of

place system that allows people to understand, identify, and recognize.

Discussion
Evaluation of Identity of Place

The form below is the scholars' evaluations of identity of place. Descriptions can be seen in Table2.

Table2: Indicators of Identity of Place

Indicator	Reference	Indicator	Reference
Uniqueness	Lynch (1960),Lai(2007),Ke(2011)	**Clarity**	Lynch (1960),Chen(1997), Gao (2005),Lai(2007)
Consistency	Ocakci&Southworth(1996),Chen(1997) ,Gao (2005),Lai(2007)	**Naturalness**	Ocakci&Southworth(1996),Nasar(1998),Jun(2003),Gao(2005),Lai(2007)
History and Meanings	Ocakci&Southworth(1996),Nasar(1998),Jun(2003) , Gao (2005), Ke (2011)	**Aesthetic**	Chen(1997),Jun(2003),Ke(2011)

The Implication of Place Identity

Place identity and identity of place may seem similar, but they are actually distinguishable. To clarify the meaning of identity, it is defined as individual's sense of belonging in self, community, and society by modern psychology and sociology. The emotional connection of man-land is often expressed as place bounding, place attachment, sense of place. Hammitt & Cole(1998) pointed out that when individual continually have contact with a specific place, and interact with relating affairs, in the process of establishing the connection between man and land, these places will develop the identity of place for the place. Hernández, Hidalgo, Salazar-Laplace& Hess(2007) then explained, as the man-land connection develops, people will gradually belong, attach himself to the place, formed as a part of self-identity, which is considered as place identity.

Chen(1998) pointed out, the establishment and reinforcement of identity of place can help people understand the relationship between themselves and the place.

Confirm their role in the place, as a contribution to their formation of self identity. Furthermore influence the development of place identity. Liao(2007) demonstrated that unlike other symbolism, place has a clear distinguishing line, which people may take as an expression of the concept that the area is controllable, and then establish a sense of belonging. This sense of belonging let human have control over the relationship between self and others. Chen(1998) came to a conclusion, the source of human life experiences are the living world's symbolisms. As this kind of symbolism builds up, individuals gain more knowledge of continuous events in the past and also more of the place, this leads to a positive effect on reinforcing the emotional connection and development of place identity.

Indicators of Place Identity

The form below is the scholars' evaluations of identity of place. Descriptions can be seen in Table 3.

Table 3. Indicators of Place Identity

Indicator	Reference	Indicator	Reference
Self-efficacy	Twigger-Ross&Uzzell(1996),Fresque- Baxter&Armitage (2012)	**Uniqueness**	Twigger-Ross& Uzzell(1996),Fresque- Baxter &Armitage (2012)
Self-esteem	Twigger-Ross&Uzzell(1996),Fresque- Baxter&Armitage (2012)	**Place Attachment**	Lalli （1992）,Fresque- Baxter&A rmitage (2012)
Continuous	Lalli(1992),Twigger-Ross&Uzzell(1996),Fresque- Baxter&Armitage (2012)		

The space of Minsheng Community

Introduction of Minsheng Community

Minsheng community is located at the west north corner of Taipei city, Taiwan. range from south of Shongshan Airport Minquan West Road, north of Yanshou Street on the north side of the Air Force General Hospital, west of Fuyuan Street on the east side of Keelung river river bank number 50, to the west of Dunhua North Road. For details please see Graph 1 below.

Graph 1 Minsheng Community area and space configuration

Source: Public Works Department of Taipei City Government site:
http://addr.taipei.gov.tw, conducted by this study
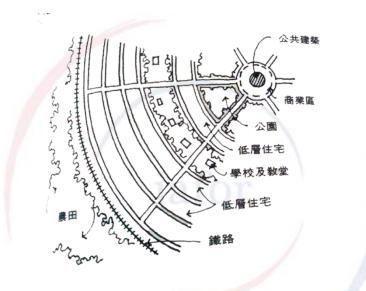
The Development Process of Minsheng Community

Historical Development of the Region. This part is based on the analysis of Wang (1993) and Hong's (2013) historical investigation of Minsheng Community, combining with the information provided from Minsheng Community Development Association.

At its early stage, this area was a lot different from the west area of Taipei which had thrived commercial, and complex landscape. As Taipei's city develops, its center gradually moved from the west to the east. In response to the related city development policies, at the 53th year of the Republic Era, the method of land readjustment was used to carefully study and conduct a plan. At the 57th year of the Republic Era, the preplanned designing method was combined in order to set off from a humanity angel for an ideal city. (Liao, 1998; Hong, 2013) The 116 hectare community was divided into 7 neighborhoods as individual architectural units to construct. Each architectural unit has a school or a park considered as the community's center of activities and community awareness. It was done in 1975.

Spatial Characteristic of Minsheng Community

Minsheng Community's main designing concept was from Howard's garden city concept: The central area is the public buildings. The outward circles are residential, park, and community centers such as schools and churches respectively. The rim includes the industrial facilities, transportation railways, and a huge green belt. Every green belt cities are surrounded by permanent open spaces, and have complete community facilities, including schools, commercial and recreation areas.

Graph2. Conceptual diagram of garden city
Source: Lai, 1993

Form the planning concept and the developing process of Minsheng community mentioned before, it can be used to verify the generation of space forms nowadays. According to information gathered by field trips and then verified by scholars such as Shao(2005), Hong's (2013) studies, the analysis is described below:

Street Forms

Road Scale. The road system in the community includes west-east and south-north main roads, graded by scales. Most of the streets configurations are formed in 90 degrees. And have a clear grading scale.

Spacious and consecutive walkways. According to the wideness of the road next to each building, two to four millimeters are reserved as sidewalks, which turned out to be a consecutive walkway in the community.

Wider firebreak alley. The firebreak allies were preserved to range from 4 to 5 millimeters wide. Comparing to other firebreak allies in Taiwan (1.5 to 3 millimeters) the ones designed for Minsheng community are much wider.

Architectural Forms. After 1968, "Catholic Residential" and "Joint Village" are both completed. According to Hong's (2013) study, this kind of four storey attached apartments became the main form of residential in Minsheng community. The height are associated with Shongshan Airport, the majority of them are in low form.

Greening and Open Space Configuration. There are 23 open parks in Minsheng community, distributed wide and in a high amount in comparison with the whole Taipei city.

Facilities and Vital Functions. Munsheng community contains plenty of schools. There are parks located in every each neighborhood. It has a variety of community activity spaces and facilities. Banks, stores, markets and other facilities are configured around the Sanmin circle.

The Design of Model SEM

This model's design theme was interfered by factors such as the planning and shaping of space, and the identification of man-land perception. To establish a discussion about the causation between a space's physical characteristics and the place perception of users, structural equation modeling (SEM) design was used. Due to the fact that SEM's analysis characteristic is based on theories and then developed into an assumed casual model, it is a statistic technique that can examine if the theory mode is suitable or not. This model's sample is residents in the area.

Hypothesis

To examine the potential variable relationship between community's spatial entities, identity of place, place image, and the identity of place, the assumption is listed below:

Hypothesis 1. Community's spatial entity influences identity of place (HI)

Identity of place contains the contents in physical forms that can be identified, to build up an understandable, recognizable spatial form of an identity system. (Chen, 1988) The formation of identity of place is closely related to space entity form.

Hypothesis 2. Place of identity influences place image (H2)

Lynch(1996) pointed out that in a city's image, the most crucial factor is the "identity," which explained the fact that identity does influence the establishment of place image. In other words, the identity expressed by a city's physical environment can provide help to form a city's image.

Hypothesis 3. Place of identity influences recognition of place (H3)

The confirmation and reinforcement of the contents of a city's identity make the residents surer about their role in a city, and then realize their identity, furthermore gain recognition to the city. (Chen, 1988)

Hypothesis 4. Place image influences recognition of place (H4)

Place image is referring to the memories and meanings generated after knowing the environment, on the other hand, place identity is also because of the understanding of the place then causing special recognition and emotions. Due to the relationship between, this study came to an inference that place image influences the place identity.

Measure Variables

This study uses LISREL (Liner Structure Relations) to examine the assumptions in researches. To match with this study's theory concept, the community's spatial entity is assumed as latent exogenous x, shown as $\xi 1$. Identity of place, place image, and place identity are endogenous y, shown as $\eta 1$, $\eta 2$, $\eta 3$, respectively. Description are shown below:

I. Community spatial entity evaluation（$\xi 1$）
    i.   Street form（X 1）
    ii.   Architectural form（X2）
    iii.   Greening and Open Space Configuration（X3）
    iv.   Community facilities and vital functions（X4）

II. Identity of place（$\eta 1$）
    i.   Clarity（Y1）
    ii.   Uniqueness（Y2）
    iii.   Integrity（Y3）
    iv.   Historical Significance and Meaning（Y4）
    v.   Naturalness（Y5）
    vi.   Appearance of Built Structures（Y6）

III. Place image（$\eta 2$）
    i.   Paths（Y7）
    ii.   Edges（Y8）
    iii.   Nodes（Y9）
    iv.   Land Marks（Y10）
    v.   Environment scale（Y11）
    vi.   Security（Y12）

VI. Place identity（$\eta 3$）
    i.   Self-efficacy（Y13）
    ii.   Self-esteem（Y14）
    iii.   Continuity（Y15）
    iv.   Distinctiveness（Y16）
    v.   Attachment（Y17）

Conclusions

Structure of the SEM Model the Identity of Community Space, Case of Minsheng Community

This study did research on related studies and examined the residents in Minsheng community, came to a result as shown as the graph below:

Graph 3.SEM model of Identity of Minsheng Community's Space

This model had been test its reliability and validity in May 2015, by a pre-test to

156 inhabitants from the Minsheng Community. This model was proved effective, we attempt to conduct the test by a larger sample to test the human-land relationship in the region. The table below is the fit of internal structure of this model.

Table 4 the fit of internal structure of model

latent exogenous	SMC	CR	AVE
Community spatial entity evaluation (ξ1)		.76	.5
Street form（X 1）	0.51		
Architectural form（X2）	0.50		
Greening and Open Space Configuratio（X3）	0.41		
Facilities and vital functions（X4）	0.54		
Identity of place (η1)		.81	.47
Clarity（Y1）	0.51		
Uniqueness（Y2）	0.38		
Integrity（Y3）	0.52		
Historical Significance and Meaning（Y4）	0.54		
Naturalness（Y5）	0.34		
Appearance of Built Structures（Y6）	0.50		
Place image（η2）		.86	.5
Paths（Y7）	0.55		
Edges（Y8）	0.42		
Nodes（Y9）	0.50		
Land Marks（Y10）	0.51		
Environment scale（Y11）	0.58		
Security（Y12）	0.54		
Place identity（η3）		.82	.52
Self-efficacy（Y13）	0.52		
Self-esteem（Y14）	0.55		
Continuity（Y15）	0.65		
Distinctiveness（Y16）	0.36		
Attachment（Y17）	0.59		

Explanation:

SMC（square multiple correlation, SMC＞0.5）。

CR（composite reliability, CR＞0.6）＝（Σλx）2／（Σλx）2+（Σδx）

AVE（average variance extracted, AVE＞0.5）＝ΣSMC／N

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The Study of Service Quality and Costs of Hospitals in Social Security System in Thailand

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Abstract
This research aims to study factors influence the medical service quality of hospitals in the Social Security System. Also, it considers the problems and obstacles of the services. Additionally, cost-efficiency analysis is included by using the quantitative and qualitative analysis. The study found that hospitals in the Social Security System have high service quality and can achieve the high satisfaction level from insurers. The study found that the satisfactions on the existing medical and healthcare services are less than the expected level, but more than the minimum acceptable level. These revealed that the hospitals in the Social Security System still have to develop their service quality to meet the insurers' needs.

Cost-efficiency analysis of the hospitals revealed the opposite relationship between service quality and costs of healthcare. As a result, hospitals can reduce costs of management while providing better quality of healthcare services to the insurers and increasing insurers' satisfactions by obtaining proper medical services. Hospital can provide better services and the insurer can gain higher satisfactions when there are an availability and adequacy of medical services, effectively managing their costs, and properly allocating all their resources. However, some hospitals have problems to provide good medical services. The major limitation of the large-sized hospitals is budget limitations while the medium-sized hospitals face the unavailability of the facility. The small-sized hospitals have drawback in terms of unavailability of equipment and medical technology limitations. Considering on type of hospital, the major limitations of public hospital

Keywords: health economics, service quality index, hospital's cost efficiency analysis

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Introduction

Social Security Office (SSO) of Thailand provides several insurance services to assure a minimum security to the people. However, some services such as providing medical and health care services cannot be performed by the SSO itself. Therefore, the coordination with hospitals is necessary. The SSO has contracts with several major hospitals devoted to providing medical services to more than 10 million insurers. In order to accommodate the increasing in the number of insurers, it currently has a total of 243 hospitals in the social security system nationwide. Initially, these hospitals must pass the inspection requirements such as the service quality standards in order to guarantee the service quality of the hospitals to the insurers.

Therefore, the main objective of this research is to study the quality of service as well as cause of problems and obstacles of improving the service quality are included. The analysis of factors affecting the quality of medical services is also examined. Moreover, the study expands the analysis on the incentive to improve the service quality of the hospital. Certainly, profit is the major incentive, so raising income and minimum cost management are the main purposes of the hospitals' operations. Analyzing the cost-effectiveness of health care facilities is integrated in order to provide guidelines for the hospital management plan as well as to continuously encourage the development of medical and health care services quality while gain benefit from better resource allocation.

Methodology

The study separates the analysis into 2 parts. First, the service quality and insurers' satisfactions are examined. Second part is the estimation of the cost efficiency of hospitals in the Social Security System.

SERVQUAL

To determine service quality and satisfaction, the study use SERVQUAL. It is a multiple item scale for measuring consumer perceptions of service quality. It is an effective approach has been studied and its role in the analysis of the difference between customer expectations and perceptions. The essence of this tool is to find the quality of products and services in order to satisfy customers. The SERVQUAL instrument has been the predominant method used to measure consumers' perceptions of medical service quality in this study. It has five generic dimensions or factors, which are stated as follows.
(1) Tangibles: Physical facilities, equipment and appearance of personnel.
(2) Reliability: Ability to perform the promised service dependably and accurately.
(3) Responsiveness: Willingness to help patients and provide prompt service.
(4) Assurance (including competence, courtesy, credibility and security):
        Knowledge and courtesy of employees and their ability to inspire trust and
        confidence.
(5) Empathy (including access, communication, understanding the customer):
        Caring and individualized attention that the hospital provides to its patients.

The SERVQIAL concept is to use gap analysis. The study determines the gap between three variables, which the lowest service quality, which patients can accept

(the minimum acceptable service: Minimum), the desired service quality (the service is expected to receive: Expectation) and the perceived service quality (the service has actually been: Perception). The service ratio scale is also applied.

Service Quality of Expectation (SQE) = Perception (P) / Expectation (E).
Service Quality of Minimum (SQM) = Perception (P) / Minimum (M).
Service Quality Index (SQI)   = SQE * SQM

Table 1: Service quality analysis

	SQM<1	SQM=1	SQM>1
SQE<1	1) The perception is less than the expectation and the minimum of acceptable level. The insurers are very dissatisfied.	2) The perception is less than the expectation but equal the minimum of acceptable level. The insurers are dissatisfied, but acceptable.	3) The perception is less than the expectation but more than the minimum of acceptable level. The insurers are dissatisfied, but acceptable. Insurers ask for improvement.
SQE=1	4) The perception equals the expectation, but less than the minimum of acceptable level. The insurers are dissatisfied, but accept the limitation of the hospitals.	5) The perception equals the expectation and the minimum of acceptable level. The insurers feel neutral.	6) The perception equal the expectation, but more than the minimum of acceptable level. The insurers are satisfied and do not expect on the service quality.
SQE>1	7) The perception more than the expectation, but less than the minimum of acceptable level. The insurers may be dissatisfied, and do not expect on the service quality.	8) The perception more than the expectation, but equals the minimum of acceptable level. The insurers are satisfied	9) The perception more than the expectation and the minimum of acceptable level. The insurers are very satisfied since the service quality is more than the expectation.

Source: Authors
There are 9 criteria to analyze the service quality. If the results are in 1, 2, 3, 4 and 7 criteria, it means the insurers are not satisfied since the SQI will be less than 1. Thus, the hospitals must improve the services in order to increase the satisfactions.

Cost Efficiency

To estimate the cost efficiency, the Stochastic Frontier Analysis (SFA), introduced by Aigner, Lovell and Schmidt and Meeusen and van den Broeck, is applied. There are two terms involved in the equation. First part is traditional random error (V_{it}) and another is shows inefficiency effects (U_{it}). Thus the hospitals' costs also will be away from the boundary as long as they continue operating inefficiency. In order to determine the cost efficiency function by using stochastic frontier, this paper modifies the error term as $(V_{it} + U_{it})$ follows Schmidt, Schmidt and Lovell and Battese and Coelli. They defined the cost efficiency function as follows:

$$C_{it} = \beta_i a_{it} + (V_{it} + U_{it})$$

The cost inefficiency effect, U_{it} in the stochastic frontier equation could be defined as
$$U_{it} = \zeta_i b_{it} + W_{it}$$

Where
$C_{it} =$ Total cost of hospital i at time t
$a_{it} =$ Input price and other explanatory variables at time t
$\beta_i =$ Unknown parameters
$V_{it} =$ Random variables (Independent with the normal distribution which assumed to be iid $N(0, \sigma^2)$ random errors, and independently distributed of the U_{it}'s)
$U_{it} =$ Non negative random variables (Inefficiency effects which are assumed to be independently distributed as truncations at zero of the normal distribution)
$b_{it} =$ Specific cost inefficiency variables
$\zeta_i =$ Coefficients of specific cost inefficiency variables
$W_{it} =$ The random variable follows truncated normal distribution with mean zero and variance σ^2

U_i is the cost inefficiency, which consists of positive departures from the cost frontier. It presents the distance above the cost frontier. If hospitals effectively managed their costs, the costs will be lower and close to the boundary line. However, the costs of hospitals with inefficient management are higher and further from the cost frontier.

Results

The study divided hospital into three types which are 1) small-sized hospitals with less than 100 beds, 2) medium-sized hospital with 101-250 beds and 3) large-sized hospitals with 250 beds or more. The population is 238 hospitals. The study uses quota sampling. The sampling of the large-sized hospitals is 67 places, 44 medium-sized hospitals and 39 small-sized hospitals.

SERVEQUAL analysis

Table 2: Service quality index of hospitals in Social Security System

List	Service Quality		SERVQUAL		
	Mean	Quality	SQE	SQM	SQI
Overall Service Quality	75.64	High	0.9304	1.1645	1.0834
Tangibles	74.92	High	0.9239	1.1571	1.0690
Reliability	76.37	High	0.9335	1.1754	1.0972
Responsiveness	75.20	High	0.9268	1.1590	1.0742
Assurance	75.97	High	0.9361	1.1600	1.0862
Empathy	75.74	High	0.9316	1.1711	1.0910

Source: Authors

The service quality index of hospitals in the Social Security System is presented in table 2. The results show that the overall medical services quality index (SQI) is averagely 1.0834. The value is greater than 1 indicates that the insurers access to high medical service quality. As well as the mean score of likert scale is 75.64 which are higher than the minimum acceptable quality level (69.50), but below the expected service quality level (83.19). Thus, the mean score is considerably high. Considering on each element of SQI, they are found that the index remains at a high level. The reliability is the highest at 1.0972. Compared with other elements, the study reveals that the insurers have the most confidence in the consistence of hospital (Reliability), followed by staff compassion (Empathy), doctors and nurses' knowledge (Assurance), staff's willingness to serve (Responsiveness), and physical attributes (Tangible), respectively.

The study of hospitals' service quality evaluation found that there are 9.82 percent of hospitals (16 hospitals), which their insurers feel that the quality of health care facilities is good. The insurers have high satisfactions. The hospitals' medical and health care services are above the expectation. The insurers of 49.69 percent or 81 hospitals have medium level of satisfaction since the perceived service quality is below their expectation even they agree that the service quality is good. A 26.99 percent of hospitals (44 hospitals), where insurers still do not feel satisfied, since the service quality is too difference from their expectations. However, they agree that the quality is still acceptable. There is 13.50 percent (22 hospitals), where receives dissatisfied because the level of quality is lower than the minimum acceptable level. Thus, the hospitals in this group should urgently improve their service quality.

The characters of insurers are also influent the satisfaction level. The study states female feels that the medical and health care service quality, which one received, are not difference to the expectation more than male; especially, the empathy element. One reason supports this evidence is most of the staffs in the hospital are female. Indeed, a gender issue has impact on the coordination and understanding between the service providers and the recipients. Additionally, the research indicates that the attitudes on service quality are better in the elderly group. The elderly has more

patients and understands the limitations and obstacles of providing health care services more than the young.

Insurers who are under social security system less than 1 year have high expectations due to less experience. The longer they stay in the system, the less expectation on service quality. However, the one, who is in the system for a long time, has more understanding on the hospitals' management and always has more reliability on the hospitals.

The insurers, who have chronic disease, agree that the hospitals provide high service quality; in particularly, they well perceive on empathy element. The study found that the score of perceived service quality almost reaches the expectation level. The frequency and number of visits also impact the difference between perceived and expected quality. Insurers, who visit once in a while, trend to have higher expectation and slightly less perceived of the quality while the one, who often visits, has higher perceived service quality.

Total Cost and cost efficiency estimation

The study uses panel data of hospitals in the social security system from year 2009 to year 2011. The independent variables are 1) Service Quality Index (SQI) which is the results from the first part, 2) wage per staff of the hospitals, 3) investment expenses per insurer which compute from depreciation per year of the hospitals. This variable reflects the investment in capital goods such as infrastructure, buildings, facilities, technical equipment, and other medical equipment. 4) Service expenses per insurer. The total cost (C_i) and the cost efficiency function (SFC_i) are presented as follows:

$$Ci = f(SQI_i, PL_i, EK_i, ES_i)$$
$$SFCi = f(SQI_i, PL_i, EK_i, ES_i)$$

where
C_i = Cost of hospital i
SFC_i = Stochastic frontier of hospitals' cost
SQI_i = Service Quality Index of hospital i
PL_i = wage per staff of hospital i
EK_i = investment expenses per insurer of hospital i
ES_i = service expenses per insurer of hospital i

The equations of cost function and stochastic frontier function are presented as follows.

Cost function:
$$\ln C_i = \alpha_0 + \alpha_1 \ln SQI_i + \alpha_2 \ln PL_i + \alpha_3 \ln EK_i + \alpha_4 \ln ES_i + e_i$$

Stochastic frontier function (Cost efficiency):
$$\ln SFC_i = \alpha_0 + \alpha_1 \ln SQI_i + \alpha_2 \ln PL_i + \alpha_3 \ln EK_i + \alpha_4 \ln ES_i + (V_{it} + U_{it})$$

Table 3: The estimation of cost function and stochastic frontier of the hospitals in Social Security System

	Ordinary Least Square		Stochastic Frontier Analysis	
Variable	Coefficient	SD.	Coefficient	SD.
(Constant)	5.921 ***	0.5912	9.0558 ***	0.4484
lnSQI	-0.1778	0.2340	-2.5799 ***	0.2036
lnPL	0.2408 ***	0.0378	0.1342 ***	0.0223
lnEK	-0.2671 ***	0.0495	0.1049 ***	0.0172
lnES	0.5677 ***	0.0708	0.6281 ***	0.0288
R-Square	0.358			
Adjusted R-Square	0.346			
Log likelihood function			242.9388	
LR test of the one-sided error			612.8397	

Source: Estimated by Authors

Table 3 shows the health care's cost estimation of hospitals in the social security system by using Ordinary Least Square (OLS). The results reveal that most of the main variables are statistically significant. The cost estimation states that the R-squared is 0.358. The service costs per insurer such as security provision, cleanliness expenses, meals and drinks expenses have the positive impacts on the cost of hospitals. Also, it has the most effects on the total cost with the coefficient of 0.5677. Wage has positive effects on the total cost as well. If service costs and wages increase, the total cost will increase. However, the costs of capital per insurer are related in the opposite direction with the total cost. The capital costs reflect the investment of the hospital. The increase of investment results in a decrease in total costs. Like capital costs, the SQI has negative influence to the cost, but not significant.

This study uses Stochastic Frontier Analysis (SFA) to estimates the cost efficiency of health care provision of hospitals in the social security system. The results indicate that all variables are statistically significant as expected, with the log likelihood of 242.939, which is considerably high. All expenses such as wages, investment, and service expenses have positive impacts to the cost efficiency. The SQI has the opposite direction to the cost frontier. This is in line with the estimation of the OLS estimation.

When wages increase, costs will rise. When investing in medical care and health care capital rise, it will result increasing in cost efficiency as well as the service costs. The target variable is SQI. SQI has a coefficient of -2.5799. When the insurers are satisfied, SQI increases, but it will reduce the total cost of healthcare. This reveals that when hospitals can provide better services to the insurer while decreasing the total cost of medical services. If the insurer can be satisfied, it can reduce costs by about 2.5 times. Thus, the spending in other categories drives to the higher costs. However, spending on improving service quality and satisfaction generates awareness of the insurer and it reduces the overall costs. In other words, managing to the cost efficiency will be able to satisfy the patient and it can lead to medical service provision at the lowest cost and better resource allocation.

Conclusion

The hospitals in Social Security System must pass the service quality inspection in order to guarantee the service quality of the hospitals to the insurers. Therefore, the main objective of this research is to study the quality of service. The analysis of factors affecting the quality of medical services is also examined. Analyzing the cost-effectiveness of health care facilities is integrated in order to provide guidelines for the hospital management plan as well as to continuously encourage the development of medical and health care services quality while gain benefit from better resource allocation.

The study divided hospital into three types which are 1) small-sized hospitals with less than 100 beds, 2) medium-sized hospital with 101-250 beds and 3) large-sized hospitals with 250 beds or more. The population is 238 hospitals. The study uses quota sampling. The sampling of the large-sized hospitals is 67 places, 44 medium-sized hospitals and 39 small-sized hospitals.

The results of service quality reveal that the insurers access to high medical service quality. The study found that the index remains at a high level. The reliability is the highest followed by empathy, assurance, responsiveness, and tangible, respectively. Moreover, the results state that most of the insurers satisfy and think that the service quality of the hospitals is acceptable. Only 13.50 percent receives dissatisfied because the level of quality is lower than the minimum acceptable level. Additionally, the characters of insurers such as gender, age, the frequency of visits, and the length of staying in the system are also influent the satisfaction level.

The cost efficiency analysis uses panel data of hospitals in the social security system from year 2009 to year 2011. The estimation shows the wage and service costs per insurer such as security provision, cleanliness expenses, meals and drinks expenses have the positive impacts on the cost of hospitals. However, the costs of capital per insurer are related in the opposite direction with the total cost. The Stochastic Frontier Analysis of the cost efficiency of health care provision indicates that all variables are statistically significant as expected, with the log likelihood of 242.939. All expenses such as wages, investment, and service expenses have positive impacts to the cost efficiency. The SQI has the opposite direction to the cost frontier. This reveals that when hospitals can provide better services to the insurer while decreasing the total cost of medical services. If the insurer can be satisfied, it can reduce costs by about 2.5 times. Thus, managing to the cost efficiency will be able to satisfy the patient and it can lead to medical service provision at the lowest cost and better resource allocation.

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Long-Term Care Insurance (LTCI) System and Welfare Regimes in East Asian Societies: Focusing on Interrelated Process between LTCI and Familialism

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Abstract

East Asian societies are rapidly aging. The rate of population aging in East Asia is extremely rapid compared to European countries. The development of social care service systems for the elderly, is one of the critical issues that have been faced by East Asian countries in recent years. Each society has been struggling to construct and reform its welfare regime. Previous studies focused on various types of welfare regimes formed by how four sectors (welfare state, market, family, and the third (voluntary) sector) provide social care services and finance their costs.

A long-term care insurance system (LTCI) was introduced in Japan and South Korea in 2000 and 2008, respectively. One of the characteristics of the LTCI is a quasi-market of care provision based on welfare pluralism, and promoting the participation of enterprises and non-profit organizations in public care provision. Therefore, the LTCI has some capacity for influencing care regimes. While it is assumed that the family must accept the responsibility for caring for other family members, our study focused on how the LTCI influences their family members' consciousness and their attitudes toward other families and analyzed the degree of LTCI influence on the care regime. In order to clarify the interrelation between LTCI and family norm, we investigated the LTCI statistic data and surveys on structure of family.

The results of our analysis indicate that the LTCI has a certain degree of impact on a strong conservative form of familialism in both countries and on promoting de-familialization.

Keywords: long-term care insurance, welfare regime, welfare pluralism, familialism, de-familialization

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Introduction

East Asian societies are rapidly aging. Declining birthrates and aging populations have already become serious yet common problems throughout East Asia. The population in East Asia is aging extremely rapidly compared with those in European countries. The lower birthrates and rapid aging in East Asian societies are explained to some extent not only by the rapid economic development in the region and by its demographic transition, but also by historical and cultural characteristics, such as strong family norms.

Because of the dramatic changes in family structures, each society faces critical issues, such as who should take responsibility for the care of children and the elderly. Therefore, the development of social security, particularly social care systems for children and the elderly, is becoming an urgent task for East Asian societies in recent years.

A long-term care insurance (LTCI) system was introduced in Japan and South Korea in 2000 and 2008, respectively. Establishing an LTCI system is under consideration in Taiwan. One of the characteristics of LTCI is a quasi-market of care provision based on welfare pluralism and promoting the participation of private sector and non-profit organizations in the provision of public care. Therefore, LTCI is thought to have some capacity for influencing welfare regimes, particularly in the family sector, which is thought to have responsibility for caring for other family members.

This study focuses on types of caring systems for the elderly who need care services, particularly progress of LTCI and its influence on familialism in Japan.

1 The purpose of this study and its approach

As a research framework, we adopt three welfare regime models proposed by Esping-Andersen. Esping-Andersen's welfare regime theory of the"Three Worlds"mode has become a theoretical framework for analyzing welfare states. Discussions about an East Asian welfare model emerged in response to the rapid development of welfare states in East Asia, primarily in Japan, Korea, Taiwan, Hong Kong, Singapore, and China (Miyamoto, 2003:12).

Previous studies focused on various types of welfare regime; specifically, they focused on care regimes formed by how four sectors (welfare state, market, family, and the third (voluntary) sector) provide social care services and finance their costs. In this study, we decided to focus on the changing welfare regimes of caring for the elderly in East Asian societies, particularly in Japan.

The purpose of this study is to clarify the degree of influence of LTCI system established in 2000 on familialism in the Japanese welfare regime and its interrelated processes. In other words, the research question is how LTCI contributes to the socializing of the caring system for the elderly and contributes to de-familialization. In addition, this study intends to propose a better mix of a welfare regime not only in Japan but also in East Asian societies.

As for our study methods, we analyzed previous studies on demographic transition, welfare regimes in East Asia, and LTCI. We analyzed the welfare regime theories and studies on welfare regimes and familialism in Japanese people. To clarify the interrelation between LTCI and family norms, we investigated statistical data on LTCI and surveys on the family structure.   The results of our analysis indicate that LTCI has a certain impact on a strong conservative form of familialism and influences the promotion of de-familialization.

Researchers in previous studies concluded some divergence in views. Some argued that familialism is still strongly preserved despite LTCI, and is rather strengthened by LTCI(Abe, 2012, Ochiai, 2010), Others argued that social security systems, including LTCI, have somewhat positive effects on de-familialization (Ueno, 2012).

2 Demographic transition: Fewer children and aging in East Asia

The low fertility trend throughout East Asian societies has raised concerns about the social and economic impact, such as expanding elderly populations and a shrinking workforce, related to paying for social services and driving economic growth.
Today, East Asian societies, including China, Japan, Singapore, South Korea, Hong Kong, and Taiwan, have the lowest birthrates in the world.

2-1 Low birthrate
The total fertility rate indicates the number of children a woman gives birth to throughout her life.   A review of the global data shows that the total fertility rate began to decrease significantly from the 1970s and reached 2.5 from 2005 to 2010. Japan's total fertility rate was 1.3 during that period and has consistently remained below the average of other developed countries. The total fertility rate required to keep the population stable is approximately 2.1 (referred to as "the replacement level").

Table 1: Total Fertility Rate and Population Aging Rate

	Total Fertility Rate		Aging Rate	
	1990-1995	2005-2010	2010	2030
Japan	1.48	1.34	23	30.7
Korea	1.7	1.23	11.1	23.4
Taiwan	1.79	1.26	10.7	23.3
Hong Kong	1.24	1.03	12.9	26.5
Singapore	1.73	1.26	9	20.5
China	2.05	1.63	8.4	16.2
Thailand	1.99	1.49	8.9	19.5
Malaysia	3.42	2.07	4.8	9.7
Indonesia	2.9	2.5	5	9.2
Philippines	4.14	3.27	3.7	6.3
World	3.04	2.53	7.7	11.6

Source: UN, World Population Prospects: The 2012 Revision
(Oizumi, 2013)

The rapid decline in birthrates in East Asia was accelerated by changes in social structures triggered by subsequent economic development. Furthermore, this downward trend continues and should be considered as an ongoing process. This trend should be understood as an "ultra-low-birth, low-death" phase (Oizumi, 2007:23).

2-2 Population Aging

Japan's aging ratio is the highest in the world, at 26.0% in 2015. The rate is estimated to hit 33.4% by 2035 and 39.9% by 2060(NIPSSR, 2012). The population of Asia is expected to age more rapidly in the future as a result of a decline in birthrates and an increase in life expectancy.

The time needed for the aging rate to exceed 7% (an aging society) and the time needed for the aging rate to exceed 14% (an aged society) are generally used as benchmarks to indicate the speed at which the population is aging (referred to as "the doubling period"). Compared with a doubling period of 115 years in France, 85 years in Sweden, 40 years in Germany, this period is only 25 years in Japan.   This figure is frequently used to express the unprecedented and rapid nature of the aging of the population in Japan relative to the rest of the world. However, the populations of most countries in Asia are expected to age at a speed equivalent to or exceeding that of Japan(Oizumi, 2013:27).

Table 2: Doubling Period of Population Aging

Doubling Period	7%	14%	(Year)
Japan	1970	1995	25
Korea	1999	2018	19
Taiwan	1994	2017	23
Hong Kong	1984	2013	29
Singapore	1999	2021	22
China	2001	2027	26
Thailand	2002	2022	20
Malaysia	2021	2045	24
Indonesia	2023	2045	22
Philippines	2035	2070	35
Vietnam	2016	2033	17

Source: UN, World Population Prospects: The 2012 Revision
(Oizumi, 2013)

In particular, the transition from an aging society to an aged society is expected to occur in South Korea in 17 years and in Singapore in 20 years.

2-3   Background on low fertility rate and rapid aging in East Asia
Previous studies pointed out that some factors are behind the overall decline in birthrates throughout East Asia. Experience in developed countries showed that a strong correlation exists between declines in birthrates and increases in income levels. Various analyses suggested that urbanization, increased educational opportunities for women, heightened participation of women in society, and parents' sense of values toward having children have also affected declines in birthrates. An overall review of researches implicated that specific birthrate levels are determined by diversified factors as follows.
First, the direct increase in financial burden was the result of having children, including the costs associated with raising children. This increase in direct expenditures, particularly education costs, is believed to limit the number of children.

The second factor is the increase in opportunity costs as parents sacrifice employment and income opportunities to spend time raising their children. Given economic development, women's school attendance rate and labor force participation rate of women improve. Women have incentives to limit the number of children they have and to work toward increasing their actual income. As a result, people began to get married at a later age and the number of people remaining single increased.

Third, perceptions toward marriage have changed. Women are getting married later in life as they pursue a higher education and have better employment opportunities. In addition, corporate employment criteria prioritize university graduates over high school graduates, emphasizing academic background. The average age of the first marriage for women increased in every East Asian society (Oizumi, 2013:22-24).

In addition, the surveys conducted by the Japanese government indicated some factors concerning the characteristics of Japanese societies.

First, anxiety over raising children has increased. A survey in Japan was carried out on anxiety resulting from children, and the results showed that "increased economic burden" (76.4%) stood out prominently, followed by factors such as "balancing life, work, and childcare" (43.9%), "child bearing age, age for having children" (42.7%) , and so on.

Second, in terms of employment, contractual employment for youth increased and the overall unemployment and irregular employment rates are increasing. For men aged 30－34 years, the marriage rate for those who are irregularly employed is half that of those who are regularly employed. As a result, the younger generation tends to make a choice of delaying their marriage during their unstable employment.

Third, the work environment, including long work hours after having a baby, remains severe. The ratio of male employees taking has been increasing gradually, but remained at 1.89% in fiscal 2012. It is indicated that understanding among co-workers is still inadequate in the Japanese business environment. In addition, the time that men with a child below the age of six spent on childcare was only one-third that of similar men in European countries.

Fourth, compared with the European countries, Japan has been noted to provide low financial support for the entire family policy through cash and in-kind benefits (Cabinet Office, 2010).

2-4   Familialism and gender in East Asia

As we pointed out, several driving forces exist for a low fertility rate, and these factors are thought to be closely related to family values and the family structure in East Asian societies. We call a familialistic system in which households carry the principal responsibility for their family members' welfare "familialism". The traditional familialism seen in the cultural background is well observed in East Asian societies with a low fertility rate relative to Western developed countries in which individualism dominates and gender equality has been achieved. The dilemma of a low fertility rate exists in societies with strong familialism and gender inequality. Some researchers suggested that this paradoxical phenomenon represents a "low fertility rate in strong familialism."

Although modernization and economic development have accelerated women's participation in the labor market in East Asian societies, familialism such as Confucian family norms force women to care for other family members. Women must choose between working and being a housewife.   These dilemmas guided East Asian societies into extremely low fertility and rapid aging. For example, the marriage rate decreased among young women as they started to notice the heavy burden of unpaid care work that would be their responsibility after marriage. Because young Japanese women feel strongly about these gaps, they refuse to have children. Under the patriarchal stem family systems, the main carers for aged parents have been daughters in-law, who carry the heavy burden of responsibility for such care.

We should consider the influences of familialism in East Asian societies and find routes for de-familialization (the degree to which individual adults can uphold a socially acceptable standard of living, independent of family relationships, either through paid work or through the social security system).

3 Welfare regimes in East Asian societies

3-1 The theory of the welfare regime
The welfare regime discussion originated in 1990 when Esping-Andersen categorized welfare regimes in his book, "The Three Worlds of Welfare Capitalism,"into three types: liberal, conservative, and social-democratic(Esping-Andersen, 1990). Welfare regimes are categorized according to their level of de-commodification and social stratification. In Esping-Andersen's study, "de-commodification" is an important criterion that refers to the extent to which they permit people to make their living standards independent of pure market forces. The other criterion, "social stratification" refers to the degree to which they contribute to enhance or diminish existing class structures and differences in society.

Because this discussion's recent development is the comparative theoretical models of the welfare state, discussions on an East Asian welfare model have emerged in response to the rapid development of welfare states in East Asian societies.
Attempts to classify the Japanese welfare state according to this typology found that it has characteristics of a conservative model in terms of familialism. However, compared with typical conservative welfare states, such as Germany, the size of social expenditure in Japan is obviously small and the resulting degree of de-commodification is limited. Considering this deviance, Esping-Andersen identified the Japanese welfare state as a conservative model with characteristics of liberal welfare states and therefore as a hybrid of the liberal and conservative regimes (Miyamoto,2003).

3-2   Discussion of welfare regimes in East Asian societies
Welfare regime theory is constructed on the experiences of the formation of a welfare state in Western industrialized countries. However, in the case of non-Western countries that started industrialization later, different trajectories could be expected regarding the formation of the welfare state.

The first characteristic of East Asian welfare regimes is the low level of social expenditure. Generally, an aging population is a well-known cause for increases in social expenditure. Moreover, the government of Japan's relatively low level of social expenditure is a mystery considering that the country's aging rate is the highest in the world. Therefore, governments in East Asian societies tend to spend more on economic development than on social welfare.

Second, a small welfare state in terms of social expenditure never means a weak state in terms of power. In contrast, East Asian states exerted a strong influence as regulators of private welfare provisions, such as company fringe benefits, and non-profit social welfare programs.

Third, familialism has been considered an important feature of East Asian welfare states. The income structure of elderly households in East Asian societies shows that their income is from their children. This type of familialism results from cultural factors and restrained social services expenditure.

Such characteristics of the East Asian welfare model seem to exist in the Japanese welfare state. One researcher stressed that Japan is more a "developmental state" than a welfare state, indicating that economic growth has consistently been the priority of policy. Investments in public works provide employment and income to the locals.

In Japan, the retirement of housewives from the labor market experienced the highest increase in the mid-1970s. Although economic policy measures provided male breadwinners with employment and income, they failed to provide social services for the care of the elderly or children. This situation enhanced the need for housewives to fulfill this functional deficit, and institutional advantages for housewives were introduced into the tax and pension systems (Miyamoto, 2003).

3-3   Japanese-style welfare society

A social security system for the male breadwinner model was introduced politically. These policies, which secured full employment for male workers, led to favoring housewives' policies and to the stable supply of unpaid domestic labor, thus leading to savings in social benefits related to care. The so-called family wage and company fringe benefits extended the benefits of the system of lifetime employment for male breadwinners to their families. In fact, for a long time, the Japanese family took the form of a modern patriarchy. Certainly, the mechanism that reduced social expenditure through public works was effective (Takegawa, 2005).

Familialism was put forward as the most important "hidden assets" for the Japanese welfare method. Hereafter, welfare policy was designed to support traditional family ties. Several institutional reforms facilitated women remaining in their families.   The 1985 pension reform introduced a pension program for housewives, making it possible for them to receive benefits even without making direct personal contributions. New tax credits for housewives economically dependent on their husbands were introduced in 1987.

In this context, familialism is not a historic tradition, but, a politically induced system. The resulting exceptional increase in the number of full-time housewives occurred primarily because the employment and social security system favored male breadwinners. This perception was expressed through the theory of a "Japanese-style welfare society"that emerged in the late 1970s.   Proponents of this theory insisted that Japan should not fall into the same rut of ruinous Western welfare states; rather Japan's own hidden assets, such as neighborhood and family bonds, should be more positively mobilized (Miyamoto,2003).

3-4   Care diamond as a research framework

In terms of welfare regimes concerning care in East Asian societies, we introduce the notion of the "care diamond" diagram developed by S. Razavi and her co-researchers as a

research framework (Razavi, 2010). The "care diamond" study was developed in the "Asian Gender Project" (2001-2003) conducted by Ochiai and other researchers to reveal changes in family and gender roles in East and Southeast Asian societies that focus on the patterns of care provision in childcare and care for the elderly (Abe, 2010).

Although the "care diamond" could be applied to childcare and care for the elderly, this study specifically focuses on care for the elderly. As a "care diamond," Ochiai proposed four factors including State, Market, Family, and Community. The fourth factor, "Community," is added to Andersen's "welfare triangle" as constructed using State, Market, and Family. Although the study of welfare pluralism tends to include the civil sector as a fourth factor, the term for "Community" includes diversified elements, such as mutual aid in neighborhoods, informal networks, voluntary sector, NPOs/NGOs, and other spontaneous networks. Researchers who insist on the civil sector as a fourth factor advocate that welfare pluralism has the common motivation of conceptualizing the Civil sector as separate from the State and the Market (Ueno, 2011).

As for the Japanese elderly care diamond, the fact that the number of people who require some form of care and who receive professional care (both in institutions and at home) reveal that a significant and expanding role exists for the state in providing care for the elderly. However, an overwhelmingly large proportion of care needs are still met within the family. Home care services are utilized by most households with care needs, yet their provision only serves as a minor supplement to familial care. As the empirical evidence show, LTCI seems to have reduced some of the burden on families with extensive care needs (Abe, 2010).
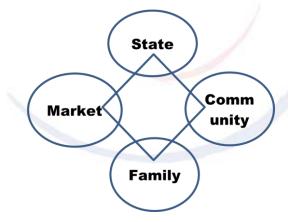

Figure 1: Care diamond
Source: Ochiai,2013, Abe,2010

As a whole, de-familialization through the market is described as well-developed in East Asian societies.   However, the degree of dependence on familialism remains strong as long as the financial responsibility remains with the family.   The Community plays few roles in providing care services. The State has the important functions of funding and utilizing the Market and the Community (Ochiai,2013).

However, East Asian care regimes are exposed to globalization to such a degree that each society should address the transition of economic conditions and family structures. One

of the challenges for these issues in care for the elderly is LTCI. We subsequently discuss later the effect of the de-familalization of LTCI in Japan.

4 Long-term care insurance (LTCI) system and de-familalization

4-1 Outline of long-term care insurance (LTCI) and its development

Japanese government introduced the LTCI system in 2000, following the establishment of LTCI in 1995 in Germany.

A change in the family structure was the major factor promoting the establishment of LTCI in Japan. Family members used to provide care; however, but the increasing number of nuclear families has necessitated the use of outside carers. LTCI entitled "From care by family to care by society" aimed to reduce the burden on families and its purpose was the "socialization of care," sharing the burden of care for the elderly among all members of society. The first social force that drove the introduction of LTCI is the reliance in Japanese and East Asian societies on family members, particularly women, to assist the frail elderly within a family instead of placing them in institutions. The second force is rapid demographic change, that is, the aging of society. The third force is the change in household structure. An increasingly large number of elderly persons do not have family members living with them. The fourth factor affecting care within the family is the increase and change in women's labor force participation (Abe, 2010).

The LTCI system is characterized by the following points written in government reports on introducing LTCI.

First, LTCI aims to provide personal care to the elderly and to support their independent living. Second, LTCI is a user-oriented system, in which users directly select their care services from many providers. Third, LTCI employs a social insurance system in which the balance of benefits and expenses are made clear. Fourth, LTCI aims to expand local government autonomy and management capacity in social policy.

From the government's perspective, the other purpose or introducing LTCI was to restrain the increase in medical insurance expenditures and to reduce the public cost of care for the elderly. Although this statement was never written in the government brochure, soon after its enactment, the initial financial arrangement was evidently inadequate to meet the long-term care. The number of care recipients grew from 1.49 million (0.52 in institutions and 0.97 in home care) in September 2000 to 3.29 million (0.86 in institutions, 3.28 in home care, and 0.31 in community based care) in April 2012, and the financial outlay grew steadily from 3.6 trillion yen (2000) to 9.4 trillion yen (2011) (MHLW, 2013).

Care services by the LTCI system in Japan are home-based or institutional (the type of community-based care was introduced in 2006). In 2007, 77% of the certified care for the elderly was through home-based services. The most preferred services are home visit services and day care services at institutions. In contrast, the government strictly regulated the establishment of care institutions and their users' quotas. Three types of institutional care (Special nursing homes, Health care facilities, and Sanatorium Medical Facilities) exist, in addition to group homes and small-scale multifunctional community-based care homes.

Although 913.3 thousands elderly people are living in and care by institutions, institutional care faces serious shortage problems, including long waiting lists to enter care institutions. Nearly half a million elderly individuals will be looking to enter institutions; however, no vacancies currently exist (Shinozaki, 2008).

Six years after the initiation of LTCI, a steep expansion of users and a critical financial situation led to revisions of LTCI from 2006 that introduced stronger preventive care measures and community-based integrated care.

4-2   Influence of LTCI on de-familialization

Although the assumption is that the family must accept responsibility for caring for other family members, this study should answer the questions on whether the care burden of families was reduced after the introduction of LTCI. This study should also analyze how LTCI influences family members' consciousness and attitudes toward other families and the degree of LTCI influence on the care regime. To clarify the interacting influence, some social survey data on family, households, and care should be analyzed.

First, according to a government survey on social life in 2011 showed that the number of individuals responsible for caring for other family members on a daily basis is 6,829,000. The average amount of time spent caring each day is 40 minutes (25 minutes for males and 49 minutes for females). This average caring time has gradually decreased each year since the start of LTCI (59 minutes in 2001, 57 minutes in 2003, 49 minutes in 2006). Room may exist to examine whether LTCI services affect the decrease in caring time.

Next, data from the Comprehensive Survey of Living Conditions (Cabinet Office) were analyzed.

a.   Overall households with persons aged 65 years and older

In 2013, 22,420,000 households had individuals aged 65 and older (44.7％of total households). The breakdown by household structure, showed that "households with a couple only" were the most common at 6,974,000 (31.1% of households with persons aged 65 and older), followed by "one-person households" at 5,730,000 (25.6%), and then "households with parents and unmarried children only" at 4,442,000 (19.8%) in 2013.

Regarding annual trends, three-generation households with children make up a decreasing proportion of total households. The rate of small households, including single households and households with a couple only, is increasing consistently. It is considered that the norm and consciousness that family members should live together is getting gradually weaker.
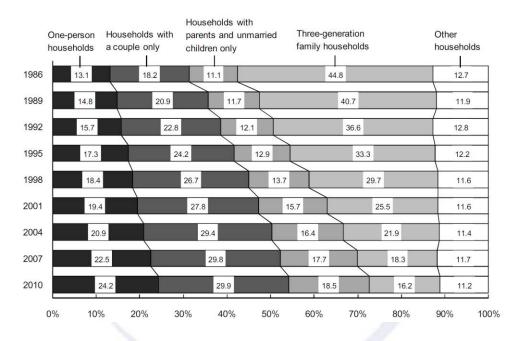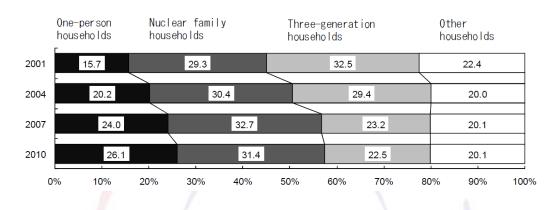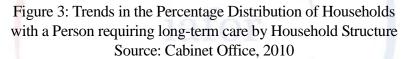

Figure 2 :Trends in the Number of Households with Persons aged 65 years
and Older and Percentage Distribution, by Household Structure (2010)
Source: Cabinet Office, 2010

b.   Long-term care

b-1   Households with an individual requiring long-term care
Regarding the breakdown of individuals certified as requiring support or long-term care under LTCI based on the household structure in which they reside, the most common structure was "nuclear family households," at 35.4%, followed by "one-person households," at 27.4%, and "three-generation households," at 18.4% in 2013. The annual trend shows an increase in the proportion of "one-person households" and a decrease in the proportion of "three-generation households." (Figure3)

Figure 3: Trends in the Percentage Distribution of Households
with a Person requiring long-term care by Household Structure
Source: Cabinet Office, 2010

Regarding the breakdown of care requirement levels by household structure, the proportion with persons requiring a lower level of care was relatively high among "one-person households".   Among "nuclear family households" and "three-generation households," the proportion of persons requiring higher levels of care was relatively high. These results have some implications that co-resident family members are valuable resources for caring the elderly family members requiring higher levels of care.

b-2 Principal carers

The breakdown of the relationships between principal carers and persons requiring long-term care showed "co-resident" as the most common at 61.6%, followed by "institution" at 14.8%, then "family member living elsewhere" at 9.6% (in 2013). The breakdown in the relationship with principal "co-resident" carer showed "spouse" as the most common at 26.2%, followed by "child," at 21.8%, then "spouse of child," at 11.2% (in 2013) .
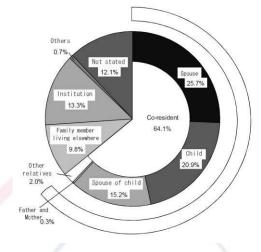
Figure 4: Percentage Distribution of Principal carers
by Relationship to Person Requiring Long-term Care
Source: MHLW, 2010

Principle "co-resident" carers still represents the main force of care but has gradually decreased by approximately 10 points (from 71.1% in 2001 to 61.6% in 2013). Remarkably, the ratio of spouse to child is decreasing conspicuously, by approximately 11 points (from 22.5% in 2001 to 11.2% in 2013).   Also noteworthy is that the ratio of business operators that provide home help services is gradually increasing by approximately 5 points (9.3% in 2001 to 14.8% in 2013).

Table 3 : Transition of Ratio of Principal Carers

Main carer	total	Co-re sident	spouse	child	Spouse Of child (Daughter in-law)	Father And mother	Other relatives	Other family living elsewhere	business operator	others	unknown
2001	100.0	71.1	25.9	19.9	22.5	0.4	2.3	7.5	9.3	2.5	9.6
2004	100.0	66.1	24.7	18.8	20.3	0.6	1.7	8.7	13.6	6.0	5.6
2007	100.0	60.0	25.0	17.9	14.3	0.3	2.5	10.7	12.0	0.6	16.8
2010	100.0	64.1	25.7	20.9	15.2	0.3	2.0	9.8	13.3	0.7	12.1
2013	100.0	61.6	26.2	21.8	11.2	0.5	1.8	9.6	14.8	1.0	13.0

Source: Cabinet Office, 2013

Regarding the breakdown of principal "co-resident" carers by sex, females outnumbered males by 68.7% to 31.3%. However, the male ratio (in 2001 at 23.6%, in 2004 at 25.1, in 2007 at 28.1%, and in 2010 at 30.6%) is increasing consistently each year (Cabinet Office, 2013). This increasing male ratio year by year has some implications that gender role in Japanese households are changing gradually toward gender equality.

According to a 1968 national survey on bedridden elderly by the National Council of Social Welfare, the number of bedridden elderly individuals amounted 200,000. The survey showed that the main carers were, first, daughters in-law at 49%, followed by spouses (mainly wives) at 27% and daughters at 14% (Ueno, 2012). If care by daughters in-law or spouses of child indicate traditional familialism and are a symbol of the patriarchal family system in Japan (Ochiai, 2012), then familialism in Japan is considered to have been drastically transformed into the other forms of value.

Regarding the recent situations of the family carer, although the number of male carers is increasing and represents approximately 30% of all carers, inter-spouse care is increasing. Although the ratio of daughters in-law is decreasing, the ratio for daughters and sons are increasing. Apart resident family carers are gradually increasing, as opposed to co-resident family carers.

c.   De-familialization

According to the other survey on family care conducted by Kyoto University in 2008, the most common answer to the question, " who does the elderly person who needs LTC services want to be cared?" is spouses (34.6%), followed daughter (17.8%), and then daughter in-law (14.1%) thirdly(2003). Aside from family members, desirable carers include hospitals as the most common, followed by nursing homes, and then home helpers.

In terms of preference for care services, individuals with lower care requirements level preferred in-home services or care by families. In contrast, individuals requiring severe care level preferred institutional care and individuals with a preference for care by families tend to have psychological resistance to home help services and institutional care settings (Kyoto University, 2008).

The results of this survey indicates that the preference for being cared is changing toward modern family value and lessen family responsibility using help of social care services. Although in Japanese society, families were used to be regarded as care resources or as "hidden assets", familialism is gradually transformed and de-familialization is progressing as well as family structure is changing. The results of overall surveys suggest that it is important for society to require consideration for care recipients' preference when building the system of socializing care.

Japanese sociologist, Ueno analyzed the structure and transition of family care using three factors, including "norm," "preference," and "resources," in the constellation of welfare pluralism. She clarified the priority of the three factors as, "resources" > "preference" > "norm", from both the user's and also carer's point of view (Ueno, 2012).

Because the family norm is changing for de-familalization, and preference for family care is still strong but is changing into a modern democratic family, resources as substitutes for family care, such as LTCI services, are still limited and restrained.

Although familialism functioned as promotors of changing family structures and fewer children, the gap between strong familialism and changing family structures and dilemma between family norm and Japanese policy supporting familialism are getting wider in recent years, more effective policies should be planned in accordance with changing family norm and transforming gender consciousness.

Conclusion

This study analyzed the research question of whether LTCI affected de-familialization in East Asian societies. The results of our analysis indicate that LTCI has a certain impact on a strong conservative form of familialism in Japan and on promoting de-familialization.

In the Japanese welfare regime of the 20th century, the government adopted the male breadwinner model of the social security system , which provided benefits to housewives and supported the maintenance of familialism. However, recently, the limit of familialism is gradually being clarified because of the changing family structure and shrinking function of the family. As a substitute for familialism and to provide socialized care for the elderly, a long-term care insurance (LTCI) system was established in 2000.

Previous studies differed significantly in their opinion of whether LTCI functioned as a social support system instead of a family. We are far from gathering sufficient evidences to show that the LTCI system affects the de-familialization process so far. However, some surveys have an important implication that the LTCI social insurance system certainly has a degree of interrelation with de-familialization.

In the future, increasing de-familialization and de-genderlization should progress for subsequent generations, along with the development of social care resources to enable individuals to live independently and have lifestyle choices, such as living with family or live alone.

LTCI should be developed as a social supporting system and as an optimally mixed welfare regime. These types of LTCI developmental processes will fuel suggestions for other East Asian societies.

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Quantifying Uncertainty to Plan in Dynamic Environments

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Abstract

Uncertainty is defined by the lack of information to know the future state of a system. This definition highlights the importance of information in an era of constant change and turbulence. It is not surprising that greater the uncertainty in the environment, the greater the value and importance that the management of information takes.

Even so, information, being such a valuable resource, is treated empirically and qualitatively although there are formulas to quantify it. This article seeks to provide tools to quantify uncertainty so that it can be included in the planning process and scenario projections.

Keywords: Uncertainty, forecasting, dynamic environment, entropy, information, planning

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Introduction

The first attempts to quantify the amount of information in a message come from Shannon. This quantification comes from the principle that the more probable is an event, less information will have the message that anticipates it. If a message is issued forecasting that the Earth will continue to rotate around the sun tomorrow, it is a message with very low content of information because it does not contribute anything new to our knowledge. If a message is issued forecasting that a meteor will crash into the Earth, the message will have a high content of information because it is forecasting a very low probability occurrence. This way, information can be quantified through the probability of occurrence of the event that forecasts.

The measurement unit of information is the bit, a term that comes from binary digit which measures the amount of positive choices (1) or negative (0) in a binary sequence.

If I have eight future scenarios of equal probability of occurrence (1/8 each), I will need three stages to determine which scenario to choose at end. The first stage consists in ruling out if the scenario to happen is among the first 4 or the second 4 scenarios, the second stage consists in choosing between the first two or the last two and the last stage consists in choosing between the last two scenarios that are left. Each stage involves a binomial decision of yes or no, which provides one bit of information, the three stages provide 3 bits which is the enough amount of information needed to rule out the correct setting. The mathematical operation that tosses this result for 8 possibilities is the logarithm base 2 of 8, so $Log_2 8 = 3$
However, the information does not remain static over time, because as this progresses, the information keeps getting outdated. Likewise, as we seek to predict more distant scenarios in time, uncertainty grows. This loss of information over time is known as entropy.

Following this reasoning, Grassberger proposes to quantify the loss of information through Kolmogorov entropy shown in equation (1)

$$K_n = - \sum P_{1\ldots n} \log P_{0\ldots n} \qquad (1)$$

P_0 being the probability that the system will be found in the predicted scenario.
According to this formula, the higher uncertainty degree is when two scenarios have the same probability of occurrence and the lower uncertainty degree, when one has 100% probability of occurrence and the other 0% probability of occurrence (absolute certainty). In the latter case, entropy is zero, no loss of information is documented. The entropy will reach its maximum value when both scenarios have equal probability of occurrence (50%) because the occurrence of one or the other is given almost by chance, there is no indication that makes me favor a higher probability of occurrence of a scenario over the other. This distribution of probabilities is shown in Fig. 1, for different combinations of occurrence probabilities between two scenarios.
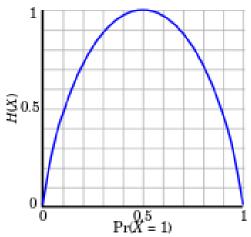
Figure 1. Entropy of a Binary Source according to its Probability of Occurrence.
Source: Zanuy, MF (2001). Communication systems. Marcombo.

This example provides the first conclusion to reduce the uncertainty at the time of projecting scenarios: the way to reduce the entropy increase in the projection of a scenario will be the development of an analysis that allows to favor a higher probability of occurrence of a scenario over another, considering that a closer to 100% occurrence of one of the scenarios grant a lower entropy in the calculation.

How long to plan? Calculation of Maximum Planning Horizon
To set the maximum planning horizon, it should be used the Lyapunov exponent. Kolmogorov entropy can be approximated by the sum of the Lyapunov exponents. In the case shown, where the system is unidimensional, Kolmogorov entropy coincides with the Lyapunov exponent. This relationship is important because according to Prigogine, the inverse of Lyapunov exponent shows the maximum planning horizon also called time or Lyapunov.

In the example of the case, where I measured a loss of information of 3 bits in a year. Its inverse is the Lyapunov time and displays the maximum projection time until all system information is lost.

Time = 1/3 = 0.333 years approximately 4 months

According to this result, any credible projection may be done within the next four months to the current rate of loss of information. From this limit, it will not be able to make reliable predictions about the variable being studied, in this case, the projection of sales. In conclusion, before studying how to make a reliable long-term projection, it should be calculated if it is possible to make any long-term projection.

Calculating the probability of occurrence of a scenario
In the case of complex systems like those being studied, it is a mistake to project scenarios based on linear regression calculations. For a system with these characteristics, it is much more useful to look forward to increasing the level of reliability of a projection than to look back. According to Stewart in the twenties, Yule was able to quantify the extent to which the data from the current year about the sunspots, provided more information on the number of spots that would appear in the following year than the data from the last 10 years. This shows that forecasting

scenarios in a turbulent environment, the previous event influences more than the ten previous events. The technique for calculating the probability of occurrence of an event based on the preceding event is known as Markov chain.
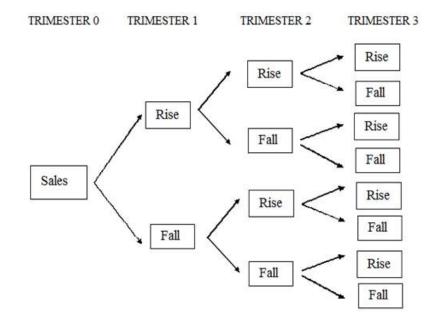
A Markov chain is a sequence of events in which the probability of each outcome for an event depends only on the immediately preceding event. The main condition for applying the Markov chain is that the transition probability remains constant in time.
To outline the Markov chain, an example is proposed where there are only two possibilities: Sales can be raised or lowered.

If a projection for the next two trimesters wants to be done, four scenarios will be obtained: 1) sales go up and then down, 2) sales go up and then up again, 3) sales drop and then rise and 4) sales drop and then drop again. If a scenario projection in three trimesters is wanted, eight scenarios will be obtained according to Fig 2.

Logically, the higher the projection horizon, the higher the number of final scenarios, therefore, greater uncertainty about the final state of the system.

According to the equations previously shown, these conclusions can be translated in terms of information and entropy. Taking the current trimester as T, it will seek to calculate the entropy for trimesters T+1, T+2 and T+3. For this, it must be defined the transition probabilities, measuring the probability that sales rise after increasing in the previous trimester, the probability that sales drop after increasing in the previous trimester, the probability that sales rise after dropping the previous trimester and the probability that sales drop after dropping the previous trimester.

Consider that according to historical records, in 70% of cases, sales have risen again after increasing in the previous trimester and in 30% of cases, sales have dropped after increasing in the previous trimester. Likewise, in 60% of cases, sales have risen after dropping the previous trimester and in 40% of cases, sales have continued to drop after dropping the previous trimester. Transition probabilities would be as shown in Fig 3.

Figure 2. Sales Projection in Three Trimesters

According to Fig. 3 it is possible to answer the question: what is the probability that sales fall in the trimester T + 3, after rising in the trimester T + 1 and rising again in the trimester T + 2? The answer is obtained by multiplying the transition probabilities to reach to that event, in this case, P = 0.7 x 0.7 x 0.3 = 14.7%.
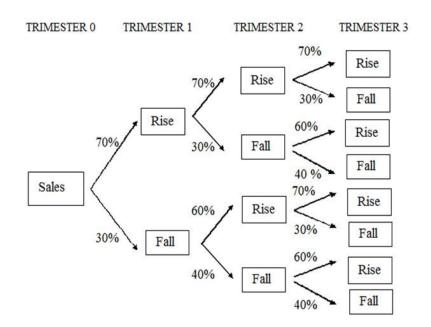

Figure 3. Probability of Future Scenarios

Once calculated the probabilities of each event, it is proceed to calculate the loss of information or entropy between a trimester and another. Kolmogorov entropy for each of the trimesters according to the probabilities shown would be:

Kolmogorov entropy for trimester T + 1 = - [0.7 * $\log_2$ (0.7) + 0.3 * $\log_2$ (0.3)] = 0.881 bit

Kolmogorov entropy for trimester T + 2 = - [0.49 * $\log_2$ (0.49) + 0.2 1 * $\log_2$ (0.2 1) + 0.18 * $\log_2$ (0.18) + 0.12 * $\log_2$ (0.1 2)] = 1.79 bits

Kolmogorov entropy for trimester T + 3 = - [0.343 * $\log_2$ (0.343) + 0.147 * $\log_2$ (0.147) + 0.126 * $\log_2$ (0.126) + 0.084 * $\log_2$ (0.084) + 0.126 * $\log_2$ (0.126) + 0.054 * $\log_2$ (0.054) + 0.072 * $\log_2$ (0.072) + 0,048 * $\log_2$ (0.048)] = 2.7 bits

This calculation of entropy shows information lost in the system, so the entropy difference between trimesters shows the loss of information from trimester to trimester, as it follows:

K3 - K2 = 2.7 - 1.79 = 0.91 bits approximately 1 bit
K2 - K1 = 1.79 - 0.881 = 0.91 bits approximately 1 bit
It follows that 1 bit of information of the trimester T+1 is approximately lost to trimester T+2 and 1 bit of the trimester T + 2 to trimester T + 3.

This calculation shows the increase in entropy period to period. The greater planning horizon, the less accurate will the predictions be, which is intuitively sensed by managers who are reluctant to make long-term plans. However, the response to this growing uncertainty is not in stop making long-term plans, neither by extending the historical database on which the projection is made, but decreasing the entropy increase that occurs in time. Even so, the natural reaction to make more precise future predictions has always been to expand the historical database on which the prediction is actually done, this strategy has not lessened the fear of managers to deal with uncertainty when making long-term plans.

The goal: Reducing Entropy
By quantifying the loss of information through entropy, it is also possible to quantify the degree of uncertainty when planning. Reducing uncertainty is equivalent to reducing the entropy in the prognostication, so this should be the new target projection of scenarios.

The Kolmogorov entropy formulas demonstrate that the larger number of projected scenarios, the greater the increase in entropy of the system. If instead of projecting two scenarios, five future scenarios (all with the same probability of occurrence) are projected, the increase of entropy is greater, since to a higher number of scenarios, uncertainty about what will happen is increased.

Kolmogorov entropy for two scenarios with equal probability of occurrence:
$K = - [0.5 * \log_2 (0.5) + 0.5 * \log_2 (0.5)] = 1$ bit

Kolmogorov entropy for five scenarios with equal probability of occurrence:
$K = - [0.2 * \log_2 (0.2) + 0.2 * \log_2 (0.2) + 0.2 * \log_2 (0.2) + 0.2 * \log_2 (0.2) + 0.2 * \log_2 (0.2)] = 2.32$ bit

The conclusion that emerges from this analysis is that the smaller number of future scenarios, lesser uncertainty in the projection. This conclusion may go against the popular logic, as it always has been argued that while greater range of possibilities to consider, the more prepared you are for the future. The solution to this paradox is an investment in the conclusion: it is not that more information is possessed by handling a smaller amount of future scenarios, but fewer future scenarios are managed by doing a more detailed prospective and information with better quality is possessed. In short, the less we know, the more the spectrum of future possibilities will be displayed.

The new objective of the strategic foresight should abide in limiting the number of scenarios based on more detailed analysis in each of its stages. This reduction in number of projected scenarios can affect more in reducing uncertainty than a correct calculation of occurrence of each stage, so that the objective of limiting the number of scenarios is the most important to reduce the entropy of the system.

Conclusions

Information is the backbone of value generation of our time. Therefore it should be quantified within the planning process rather than being treated empirically. Likewise scenarios projections should not ignore the uncertainty and turbulence of the environment but involve them in the planning process.

To design a more accurate long-term planning, two steps must be performed. The first is to set the maximum planning horizon and the second one is to reduce the entropy increase over time within that horizon.

The new objective of the strategic foresight should consist in limiting the number of scenarios based on more detailed analysis in each of its stages. This reduced number of projected scenarios will influence in the reduction of uncertainty, so that the objective of limiting the number of scenarios will be the most important to reduce the entropy of the system.

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De-Polarization in Delivering Public Services? Impacts of the Minimum Service Standards (MSS) to the Quality of Health Services in Indonesia

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Abstract

The debate on the merits and costs of decentralization policy has put attentions of many scholars in the subject of politics, economics and public administration for a long time. It often argues that decentralization policy tends to create polarization or increasing inequality between districts/cities or local governments. The introduction of the Minimum Service Standards (MSS) in 2005, as the key focus of the implementation of decentralization policy in Indonesia, is a strategy that sought to deal with this problem. Since MSS sets the same targets for a minimum quality of basic public services should be fulfilled by districts across regions, it seems reasonable to expect that a depolarization in the quality of services will occur.

This paper will examine the impact of MSS on depolarization in the quality of public services across districts in Indonesia, focusing in the quality of health services. Using data on the achievement of MSS in the health sector of 54 districts from 534 districts in Indonesia from 2010 to 2013, we find the improvement of health service quality across regions. Apart of the weaknessess of self-assessment report of local governments on the achievement of MSS, major local government in our samples do better on improving health quality and reduce the gap between current service and minimum service. If this phenomenon continues, MSS could create de-polarization on the quality of public services as the effort to minimize the disparities/inequality traps. In addition, difference of fiscal resources among local governments is also associated with achievement of MSS.

Keywords: Decentralization, Public Service, Minimum Standard Service

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Introduction

The debate on the merits and costs of decentralization policy has put attentions of many scholars in the subject of politics, economics and public administration for a long time. Refer to the concept of multi-level governance, in decentralization policy, most power and authority will be devolved to the lowest tiers of government and local governments will enjoy certain degrees of autonomy to optimally utilize their financial and economic resources in achieving their goals due to the different capacities and choice of suitable strategies.. As the consequence, it seems reasonable to say that decentralization policy tends to create polarization or increasing inequality between districts/cities or local governments

In terms of public services provision, it is argued that rich natural resources and prosperous districts have better opportunities to provide good quality service provision compared to the poor economics and financial districts/cities. As the result, the gap in the quality of public services among local governments will increase or it is known as the polarization.

The introduction of the Minimum Service Standards (MSS) in 2005, as the key focus of the implementation of decentralization policy in Indonesia, is a strategy that sought to deal with this problem. Since MSS sets the same output and time targets for a minimum quality of basic public services should be fulfilled by districts across regions, it seems reasonable to expect that a depolarization in the quality of services will occur.

This paper will examine the impact of MSS on depolarization across districts in Indonesia, focusing in the quality of health services. Two research questions will be addressed:
1. Firstly, does decentralization policy in Indonesia cause polarization on the quality basic public services among districts? If yes, what are the rationale and empirical evidence? If no, what the empirical evidence shows and why?
2. Secondly, does the introduction of MSS is being able to set depolarization in the quality of health services across regions? What is the explanation and empirical evidence?

This paper will begin with the concept and rationale of Indonesia's decentralization due to the public services. It continues with the rationale why decentralization could lead to inequality traps on resources and public services as well as the current

condition in Indonesia's public services. Later, it will discuss concepts, design and institutional arrangement of MSS and its potential merits to cause depolarization of public services in Indonesia. Finally, empirical result on the effects of MSS to depolarization on quality of public services, especially in the health sector will be revealed which includes limitation on methodologies and data as well as potential research in the future.

Concept and rationale of decentralization in Indonesia due to public services

Indonesia, as the one of the most diverse country in the world in terms of their ethnicity, cultures and languages; adopt the concept of political decentralization suggested by Smith (1985) who emphasis to two main elements of decentralization. Firstly is the delimitation of territory which is realized through the creation of local governments. Local governments split in greater number after the implementation of decentralization from 27 provinces and 314 districts in 1998 into 34 provinces and 503 districts in 2014. Second element is transfer of power. In Indonesia, most of the central government's powers and functions have been transferred to both the first (provincial) or the second tiers (districts/cities) except the 6 (six) main powers such as defence, security, fiscal; which left to the central government on account of their national and international implications. Most international experts and scholars such as Aspinall and Feally (2003), Alm (et al, 2004), Hofman and Kaiser (2006) note this policy as the 'big bang' policy and characterize Indonesia as the one of the most decentralized countries in the world since all government's powers and authorities have been radically, rapidly and significantly devolved to local governments as autonomy entities.

Indonesia decentralization policy was introduced in 1999. The implementation was started by the stipulation of Law 22/1999 on local governance, which later was revised as Law 32/2004 becomes the basis and grand design to implement decentralization policy in Indonesia. Two rationales can be identified in the implementation of Indonesia's decentralization: allocate fair resources as well enhance public services.

Fair allocation of financial resources between the central government and local governments and between local governments is one rationale in the implementation of Indonesia's decentralization. This rationale is caused by dissatisfaction of local governments to the central government because most of their non-renewable valuable

resources such as oil, gas and mining are taken without any fair mutual benefits or feedbacks to regions especially to those rich resources region.

Another rationale is enhancing quality public of services. It is believed that decentralization policy will improve efficiency of service by increasing intergovernmental competition, makes government closer to people and improving accountability of local governments. The inter-regional competition to attract people live on its territory as well as its ability to capture the interests and needs of local people better than the central government makes a local government as the lowest level of government is better more reactive, sensitive and responsive to local needs and interests as it is elaborated by Seabright (1966) and Oates (1972). Bardhan and Mookherjee (2006) argue that local government as the lowest level of government is the most efficient way to deliver the services since it can be best to match local preference and supply of services as well as gaining the real and accurate information from local people in the short time.

Decentralization policy is simultaneously working with local democratization also improves the accountability of local people and shortens the accountability in provision of public service. Decentralization policy requires local leader to be more accountable to local parliament and local people rather than the central government. Local leader will continually improve their performance, put the performance of bureaucracy as the main concern, increase his/her transparency and accountability to local parliament and people, and increase the satisfaction of their people on service they deliver; as the efforts to win the competition in election or to be re-elected in the next election. Because of there are tight competition for election, there are big incentives for local leaders to deliver best quality of services as well as influence the public managers to be more transparent and accountable to them and local people (Schulze and Sjahrir 2014; Faguet 2011). As the consequence, the performance and accountability of local leaders as well as overall local governments could improve and more likely leading to more effective and efficient public services delivery.

Decentralization policy also improves the accountability of local government through shortens a long route of accountability as it is presented by the World Bank (2003) and Ahmad (et al. 2006) in figure.1 and 2 below. Instead of taking a long route of accountability while national policy makers and providers are held by the poor people and accountability of providers are held by policy makers; a short route of accountability between the national policy makers, poor people and providers with local policy makers are established.
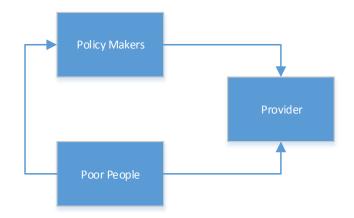
Figure 1.Accountability Under Centralized System

Source: Adapted and Modified from World Bank (2003, p. 6-10) and Ahmad (et al. 2006, p. 243-259)
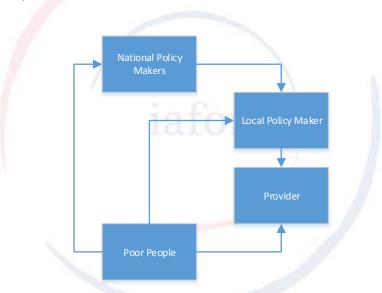
Figure 2. Accountability Under Decentralization System

Source: Adapted and Modified from World Bank (2003, p. 6-10) and Ahmad (et al. 2006, p. 243-259)

Decentralization and inequality traps on resources and public services

From the discussion about the rationale of Indonesia in introducing decentralization policy, it seem reasonable to expect that services are quicker to deliver, government is more responsive and reactive to local issues and problems as well as performance of government in delivering services are better in capture local interests. All these rationales seems leading to the improvement of quality of public services and

de-polarization in the quality of services across regions. However, in the practice, the relations between decentralization policy and public service improvement is not robust and in positive correlation as it is shown by Ahmad and Brosio (2009), taking cases from developing countries such as in Ethiopia and Pakistan in education, health and infrastructure sectors.

In Indonesia, good quality and efficient public services can be seen in some sectors and regions. Bahl (2009) show that more than 70 percent of household in some regions in Indonesia agree that services in health, education, administrative and police services have been improved since the introduction of decentralization policy in 1999. Using set of regression with some variable which represent the quality of services in health, education and infrastructure, decentralization policy seems increase the quality of services in some regions especially those which previously have low quality of services (Schulze and Sjahrir 2014). It seems that this improvement lead to the convergence in the quality of education and infrastructure across regions.

The basic public services neither significantly affect the low income people nor significantly improved. Figure 3 shows the relation between income per capita and life expectancy rate in Indonesia years 2013. It implies that high income region could provide better health service quality. The low income region has low life expectancy rate and performs low quality of health service. Similarly, decentralization policy in the education sector in Indonesia neither improves transparency, accountability and financial allocation to primary and secondary education nor the inequality of these services across regions (Kristiansen and Pratikno, 2006).
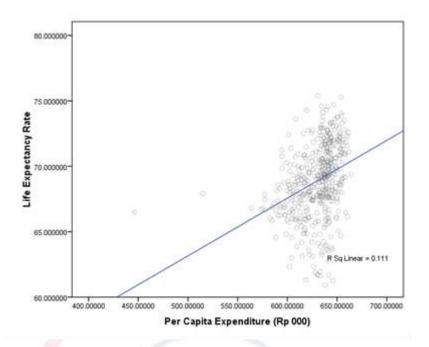
Figure 3, Life Expectancy Rate and Per Capita Expenditure in Indonesia, 2013

Empirical evidence also shows polarization in the quality of public services as the consequences on the inequality of the economic and social level between regions after the implementation of decentralization policy in Indonesia. Aritenang (2008, 2009) utilizing Gini and Williamson Index, shows the phenomenon of disparity across regions because the difference on financial capacity and impacts of the central government transfer. Using Gini Coefficient, there is a positive relation between inequality and fiscal decentralization in Indonesia in year 2012. It implies that high fiscal expenditure of local governments will lead to high inequality of income.
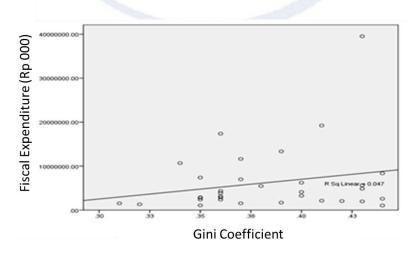
Figure 4, Relationship between Inequality and Fiscal Expenditure

It can be also considered that reducing dissatisfactions of local governments to the central government to the unfair revenue sharing as one of rationale of Indonesia's decentralization discussed above, has relatively shown satisfactory results; while the enhancement of quality of public services and reduce inequality on quality across regions has remained the main challenges for the implementation of Indonesia's decentralization. That is why the problems of low quality of public services and inequality of services among regions are considered as an 'unfinished agenda' in a decade on the implementation of Indonesia decentralization by Strategic Asia (2013).

Minimum service standards and its potential to reduce inequality on public services

As the responses to the current condition of public service in Indonesia, in 2005, the central government introduced Minimum Service Standards (MSS). The policymakers believe that this strategy could improve the performance and accountability of local governments to provide basic public services in minimum required quality. There is an expectation that MSS could play its roles as the breakthrough and key focus on running decentralization aiming to enhance quality and efficiency of basic public services as well as reduce inequality of these services across regions.

Minimum Service Standards (MSS) is actually a performance measurement regime of local governments in Indonesia decentralized system. MSS has been applied by stipulation of Government of Regulation (GR) 65/2005 as the guidance for the sector ministries to set indicators and targets of MSS and mechanism for local governments to implement MSS in local level on their sector. In GR 65/2005 MSS is defined as the types and quality of basic public services that should be received by each citizen to a minimum level.

Some scholars have different interpretations to definitions of MSS. Ferrazzi (2005) defines MSS as a tool to influence and control local governments in fulfilling its 'obligatory functions' in delivering basic services at particular quality standards required which are set by the central government. Roudo (2014) also argues that MSS is not only the key strategy of the decentralization policy to accelerate the improvement of quality of public services, but also the efforts to reduce regional disparity in the provision of basic public services.

From the definition, we could acknowledge that MSS is potential to significantly reduce the inequality on the quality services across regions which leads to

de-polarization on the quality of service by setting the same standards in the quality of service and ensures each local government fulfil the indicators and targets have been agreed and set. To ensure its potency to create de-polarization, we will seek a brief observation to the policy design and institutional arrangement of MSS.

In design, MSS is embedded to local obligatory functions that are strongly related to the provision of public services. Obligatory function refers to all 'concurrent' functions' or 'shared competence that is compulsorily implemented by each local government regardless its capacities. There are 26 obligatory functions stated in Government Regulation (GR) 38/2007 but only few of them are classified as basic public services which reflect the minimum citizen's socio-economic needs and rights that should be fulfilled by the government and is guaranteed by constitution such as education, health, and infrastructure. Haryanto (2010) notes these basic services which are protected by constitutions and is related to the fulfilment of basic welfare, public order, national unity, and commitment of national and international conventions. Based on those criteria, in 2012, 15 MSS have been set and applied in district level and 9 in provincial level which consists of 65 services and 174 indicators and targets. In term of institutional arrangement, the relation between actors on MSS achievement can be seen in the figure 5 below.
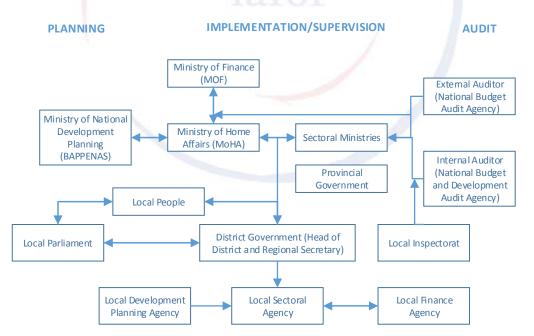

Figure 5, Relations Between Actors in the Implementation of MSS

From figure 5, it could be known also that achievement in each local government will be simultaneously assessed by the central government, local parliament and local people about the achievement of MSS. In the central level, at least 3 (three) main

actors/stakeholders who have roles in doing assessment and evaluations of the achievement on the targets of MSS can be identified: MoHA, Sectoral Ministries and both internal and external auditor. The process in doing the assessment is started by self-assessment or self-evaluation of local governments for their achievement before it is rechecked and validated by sectoral ministries. Governor as the extension of the central government helps the sectoral ministries in compiling data about the achievement on the targets of MSS from districts/cities on their regions besides achievement of targets in the provincial level.

Moreover, the accountability mechanism which set in MSS gives high pressure for each local government to achieve targets in MSS and continually improves their performance in delivering services. Local leaders will continually improve their performance and accountability in delivering services to local parliament and people, as the efforts to gaining popularity in the next election. Public managers and bureaucrats are also more responsive to increase the satisfaction of local leaders as the form of their accountability. Since there is a high level of pressure emerges from the institutional arrangement of MSS, the improvement in the quality of public services in each local government as well as the de-polarization on the services could be achieved.

Empirical results from local government self-assessment

Among many sectors in MSS, two main sectors, education and health becomes the heart on the implementation of MSS besides those sectors are most required in all aspects of people's life without any intention to deny the importance of other sectors. Besides that, those sectors, especially the health sector becomes the most preparedness sector in MSS in terms of supported regulation as well as monitoring system by the provision of the data on the achievement of MSS's target. Thus, to seek empirical evidence whether the introduction of MSS could cause de-polarization in the quality of services, we will focus on the MSS in the health sector.

Minimum Standard of Services of health was designed by Health Ministry, as mandated on Law No. 32 year 2004, and Government Regulation No. 65 year 2005 with other regulation. Minimum Standard Services of Health regulated on Health Minister Act No. 741/MENKES/PER/VII/2008 on Minimum Standard Services of Health in Municipal and City Level. The MSS consist of 4 types of service and 18 target indicators. Detail of Health MSS and its indicator is shown at table 2.

Table 2   Minimum Standard Service of Health Target and Indicator

No	Types of Services	Indicators	Targets	Targeted Year
1	Basic Services	Scope of daily visit of Pregnant Mother (K4 criteria)	95%	2015
		Scope of visit to Pregnant Mother with complicated problems	80%	2015
		Scope of aid from health workers or nurses	90%	2015
		Scope of service to mother after giving birth (childbed)	90 %	2015
		Scope of neo-natal with complicated problems	80%	2010
		Scope of baby visits	90%	2010
		Scope of Universal Child Immunization in Sub Districts	100 %	2010
		Scope of services to under 5 years old children	90 %	2010
		Scope of provision of additional food to breast-milk to children from poor families from 6 months into 2 years	100%	2010
		Scope of services to under 5 years old children who are malnutrition and get special treatment	100%	2010
		Scope of quality of health of students in primary schools	100%	2010
		Scope of member of active family planning	70%	2010
		Scope of observation and treatment illness people	100%	2010
		Scope of basic health services to the poor families	100%	2015
2	Recommended Services	Scope of recommended services to the poor families	100%	2015
		Scope of emergency service first level that should be supported by health		

No	Types of Services	Indicators	Targets	Targeted Year
		infrastructures in districts		
3	Epidemiology Investigation and cure to special occasion	Scope of Village or sub districts with special condition through epidemiology investigations less than 24 hours	100%	2015
4	Health promotion and people empowerment	Scope of Active Alert Village	80 %	2015

The local governments were asked to fulfil the target indicator of health service delivery using their own budget refer to the implementation mechanism which was stipulated on Health Minister Decree No.317/MENKES/SK/V/2009 on Technical Guidance for Health MSS Planning and Budgeting at Municipal and City Level.

In analysis we utilize data which are compiled by the Ministry of Home Affairs and Ministry of Health on the achievements of each district to targets set in MSS. This target is based on the district's self-assessments which mean that local governments or unit which is responsible to implement MSS in its sector, fill their own achievement based on their guidance made by the central government. In the data compiled by MoHA, we found not every local government reported the achievement set in MSS. The difficulties are related with incomplete annual report, various variant of target measurement, and some other format report submitted, that lead to not necessary information included in the report.

To investigate the polarization of quality on basic public service among district, time series data is necessary. Complete time series data of health service will reveal any particular trend of health service quality year by year. From the data compiled by MoHA, we select 54 local governments from 534 local governments in total, considering the region representation and completeness of the data. The selected samples are shown in figure 6.
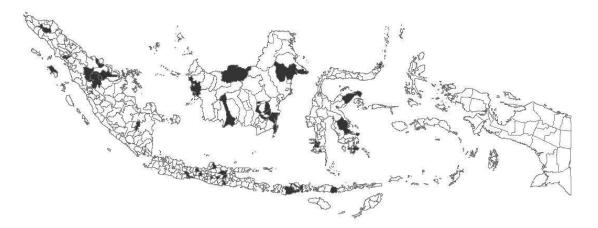
Figure 6, Distribution of Municipals and Cities Selected Sample

The time period of observation is 4 years, from 2010 to 2013. We consider 2010 as effective start year for implementation of MSS. Hence, the technical guidance of health MSS was published at 2009 then the local governments are assumed will be effectively implemented at 2010. Since only few of sample up to date until 2014, we decide to utilize 2013 data as the final date of observation. In order to make generalization of health service quality, we taking the average of health performance indicators, measured by essentially calculating an average of standardized 14 core health service indices. The 14 core health service indices are listed on basic service type, as can be seen from health MSS table.

Overall, the quality of health service is increasing from 2010 to 2013. By setting the MSS indicator target average value by 91,25%, the average achievement of local government samples is 74,58% at 2010. Then the quality of health service steadily grow to 76,79% in 2011, 77,46% in 2012, and 76,01% in 2013. Although the quality of health service is still far from minimum target that set in MSS, it has positive growth. It can be observed that de-polarization in the quality of services could potentially occur across regions in the future by reducing gaps between their performance and targets, as set by MSS for districts who are not able to reach the targets, as well as maintaining the performance of some districts which have achieved outputs exceeding the targets.

In addition, the compactness of scatter plot, as can be seen at figure 7, has climbing trend to reach minimum level of target. The trend implies that some local governments do better in order reducing the gap within their performance and targets. We calculate 39 samples of local governments (72%) reported that they improved the health service quality. In the other hand, 16 local government samples (18%) do

worse off on improving the health service quality, while few of them have fluctuating performance, and the rest do consistently worse off.
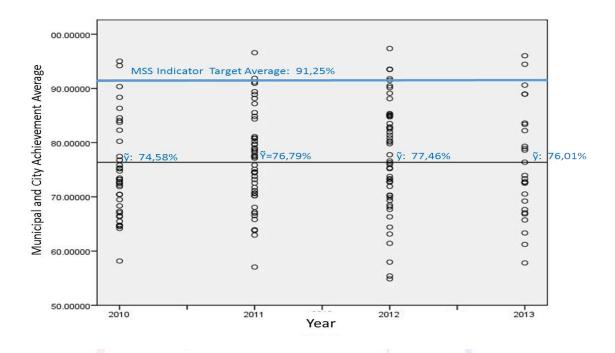
Figure 7, Depolarization of Health Service Quality on Local Government

However, we acknowledge the weakness on validity of self-assessment data. First, lack of knowledge and skills to officially fill the targets, overrating the achievements and targets as well as the lack of independent data to confirm the self-assessment data. This problem also confirmed by report of World Bank (2011) that constructing data-base to assess the achievement on the target of MSS become main challenge of local government. We did some adjustments to the raw data because some local government exceed the maximal indicator. For instance, the report from Pringsewu district shows that they achieved 130,5% coverage of baby care visit in hospital at 2010, which is unreasonable because the maximum coverage is 100%. World Bank (2011) acknowledges this problem as the lack of understanding in technical guidance from Ministry of Health, especially numerator and de-numerator used to translate the data which are collected from field into MSS indices.

Secondly, there is weak mechanism on reporting the achievement of target. Local governments are often confuses where they have to report the MSS's achievement, whether to sectoral ministry or MoHA or even to both organizations. There is also a lack of coordination in the central government. The report that is submitted to MoHA is often not rechecked by the responsible sectoral ministry but while local

governments are not successfully achieved the targets in MSS, MoHA will be blamed as their faulty. From this perspective, it seem that nor local governments and central government ready effectively implement MSS. This also includes which institutions will do feedback to the reports as well as what are the roles of auditors in the reports.

Apart from the weakness on the validity of self-assessment data, we also acknowledge that difference in financial, economic and resources become the main determinants why one district is more successful in achieving the targets than the other districts. We do regression analysis to check any correlation of difference on income of local government on achievement of local government to improve health services. In this analysis, we use cross tabulation data analysis to seek empirical evidence of financial resources with health quality services. The Income of local government variable is divided into 2 categories: (1) original regional revenue, the local government income which generated from tax levy on their region; and (2) Fiscal transfer, which consists of three types: general allocation funds, revenue sharing, and specific allocation funds. We utilize municipals and cities data which is generated from Ministry of finance in year 2013.

We utilize the achievement of MDG as an indicator to measure health quality of services in Indonesia instead of the achievement of MSS's targets that are reported by local government due the similarities and the reliability of data. World Bank (2011) has analysed each indicator of health MSS and found some indicators of MSS is similar with MDGs indicators in the health sector. For instance, in goal 6 MDGs, Improve Maternal Health, target 5A, Reduce by three-quarters, between 1990 and 2015, the under-five mortality rate; one of indicator which is stated is proportion of births attended by skilled health personnel. This MDGs target is similar with MSS health indicator 1.3., the scope of aid from health workers or nurses. MDGs data are also more reliable because they gathered by MDGs joint-Secretariat, Ministry of National Development Planning (BAPPENAS), Ministry of Health, and National Statistical Agency. These data include all cases of municipals and cities in year 2013. The indicators that we are seeking their relations with local government's income are: (1) Percentage of infant whom get breastfeeding; (2) Percentage of infant whom get immunization; (3) Percentage of Pregnant Mother who get childbed treatment; (4) Percentage of woman who participate on Family Planning; (5) Infant death rate; (6) Percentage of infant who is given exclusive breastfeed.

From table 3, the relation between health service quality and local government revenue is various. However, few coefficients have significant relationship with local

government revenue. Origin Regional Revenue and revenue sharing have significant positive relationship with percentage of infant whom get immunization. This implies that municipal or city government which have high origin's regional income and revenue sharing will have high percentage in delivering child immunization service. The other variable that shows significant relation is specific allocation funds with percentage of pregnant women who get childbed treatment. The coefficient shows significantly positive relation between high allocation of specific allocation funds and service to mother after giving birth.

Table 3 Relation of MSS and Local Government Income

Standardized Coefficient (t-value)	Origin Regional Income	General Allocation Funds	Specific Allocation Funds	Revenue Sharing
Percentage of infant whom get breastfeeding	0.391 (0.699)	-0.344 (0.733)	0.945 (0.353)	-0.107 (0.837)
Percentage of infant whom get immunization	0.933** (2.089)	-0.244 (-0.686)	-0.323 (-0.94)	0.835** (1.978)
Percentage of Pregnant Mother who get childbed treatment	0.345 (0.762)	0.414 (1.144)	0.805** (2.306)	-0.248 (-0.578)
Percentage of woman who participate on Family Planning	0.729 (1.582)	0.004 (0.012)	-0.548 (-1.546)	-0.877** (-2.014)
Infant death rate	-0.6 (-1.284)	-0.274 (-0.735)	0.589* (1.638)	0.425 (0.962)
Percentage of infant who is given exclusive breastfeed	-0.252 (0)	-0.004 (-0.01)	-0.158 (-0.373)	0.229 (0.439)

Figure in parentheses (**) and (*) denote significance at 5% and 10% level respectively. For two way error components the quantities in (.) are t-value.

Conclusion

In conclusion, two research questions are set above can be answered. Firstly, some literature and empirical evidence shows that decentralization policy seems cause polarization on the quality basic public services among districts. The trend shows that this inequality will significantly increase from year to year. Secondly, lying on the rationale that MSS set the same standards in the quality of services across regions, from the empirical evidence, it can be shown that the introduction of MSS causes

depolarization in the quality of services across regions

Moreover, taking case on the achievement of MSS in the health sector, we observe an improvement of health service quality across regions. Apart of the weaknesses of self-assessment report of local governments on the achievement of MSS, Major local government in our samples do better on improving health quality, which they can reduce the gap between current service and minimum service. If this phenomenon continues, MSS could create de-polarization on the quality of public services as the effort to minimize the disparities/inequality traps which is indicated by Homme (1995) and Fuhr (2011) as one of negative consequences of decentralization policy. In addition, difference of fiscal resources among local governments associated with achievement of MSS. Abundant local governments have easy effort to achieve MSS, and vice-versa.

Finally, it is considered that MSS is important starting and checkpoint to reduce inequality of public service across regions. However, due the difference of resources, the proper fiscal transfer need to be designed in order to create de-polarization of public service, at least put the quality of service of each region at minimum level. It is not only in the health sector but also in other sector in MSS.

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A Preliminary Study of Factors Influencing Well-Being of the Elderly in a Rural Area of Thailand

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Abstract

The factors influencing well-being of elderly persons were explored in the rural area of Eastern Thailand. The research conceptual framework was based on the PRECEDE model. A questionnaire was administered to 400 elderly persons by personal interview at community. Data was collected between May and July 2014.

The results found that age, career, level of education, social and religious activities, attitude towards life, relationship with the community, ability to perform daily activities, physical health status, and family relationships were affected the elderly well-being at the 0.05 level of significance. While gender, illness history, marital status was unaffected to elderly well-being.

Various factors affected the elderly well-being was according to Thailand cultural context. Especially, the social and religious activities, relationship with the community, and family relationships were affected factors, its support the cultural context in living together as an extended family, living in a caring community and living in Buddhist communities.

Recommendations are made to improve some factors that can be managed for elderly well-being, especially promotion of physical activities, relationship with the community, etc.   Other factors affect elderly well-being should also be explored.

Key words: elder, well-being, rural area, Thailand

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Introduction

Population ageing, as indicated by increasing proportions of older persons in the total population, is occurring throughout Asia. With the exception of Japan, this is a recent process in Asia typically dating back only several decades at most. It is particularly pronounced in countries such as Thailand where fertility rates have fallen rapidly over the past decades. Only five decades ago, total fertility in Thailand was very high at over 6 children per woman while only 5 percent of the population was age 60 or older. At the same time, the population aged 60 and over already doubled to 10 percent by 2000 and is projected to approach 30 percent by mid-century. The government of Thailand is fully aware of these consequences and has formulated policy measures to address them. However given the speed of population aging, much more will need to be done in the years ahead (Knodel & Chayovan, 2008, pp. 1-4).

Because in Thailand, the living conditions of the elderly who lived in the rural and urban areas are different. Studies in the past often study on the determinants of healthy or unhealthy elderly as a whole country, not separated by a residential area. This research is a pilot study to determine the factors that affect the well-being of the elderly in Thailand. In order to determine which variables are factors that affect the well-being of the elderly who lived in the rural area of Thailand. The findings will be used as data to determine the variables of the future studies.

Objectives

The objective of this study was to determine the personal factors, predisposing factors, enabling factors, and supporting factors that affect the well-being of the elderly who lived in the rural area of Thailand.
Factors were:
1. Personal factors included:
   1) gender, 2) age, 3) career, 4) marital status, 5) level of education, 6) illness, 7) social and religious activities
2. Predisposing factors included:
   1) attitude towards life
3. Enabling factors included:
   1) relationship with the community, 2) physical health status, 3) ability to perform daily activities
4. Supporting factors included:
   1) family relationships.

Research Conceptual Framework

The research conceptual framework is shown in the schematic diagram below.

Independent variables   Dependent variable

Personal factors
1) gender
2) age
3) career
4) marital status
5) level of education
6) illness
7) social and religious activities

Predisposing factors
1) attitude towards life

Enabling factors
1) relationship with the community
2) physical health status
3) ability to perform daily activities

Supporting factors
1) family relationships

Elderly well-being

Duration Of Study

Data collection of the research conducted between May to July 2014.

Materials And Methods

Parpicipants

Participants were recruited from the population of 784,877 elderly people who lived in the Eastern Thailand in 2014, i.e.Chacheongsao, Chon Buri, Rayong, Chanthaburi, Trat, Prachinburi, Sakeao, Nakonnayok, and Samutprakan Province. Samples were 400 elderly people which selected by multi-stage sampling according to the proportion of population in each province.

Research instrument

Information was obtained through six questionnaires, i.e., personal characteristics, attitude towards life, relationship with the community, physical health status, ability to perform daily activities, and family relationships. The questionnaires were constructed based on information from various sources, i.e., from the literature review, from previous studies, and from the suggestion of experts. Cronbach's alpha

coefficient was used to test the reliability of questionnaires. The reliability of all questionnaires was higher than 0.70.

Data analysis

Data of all variables were analyzed by descriptive statistics using frequency, percentage, arithmetic mean, and standard deviation. One-way ANOVA and t-test were used for analyses the difference of the average between the variables in personal factors, predisposing factors, enabling factor, reinforcing factors, elderly well-being at a level of significance was 0.05.

Results

Personal characteristics of 400 elders showed that 42.9% of them were male, 62.3% of them were between 60-69 years of age, with the Mean = 64.54 years of age, 60% of them were married, 46.9% of them were agriculturist, 55.2% graduated at the level of primary school, 54.9% had illness history, and 60.50% had social and religious activities in a moderate level.

Personal factors regarding to gender and illness history revealed t- test were unaffected to elderly well-being. Results are summarized in Table 1.

Table1. Showing a result of the statistical analysis by t-test

Variables	t-test	Sig.
Personal factors		
- gender	1.082	.056
- illness history	-.801	.424

*p < .05

Personal factors regarding to age, career, level of education, and social and religious activities revealed F- test were affected to elderly well-being, where the values of F-test = 3.330, Sig = .006, F-test = 5.518, Sig = .001, F-test = 1.416, Sig = .001, F-test = 4.218, Sig = .001, respectively. While marital status was unaffected to elderly well-being. Results are summarized in Table 2.

Predisposing factor regarding to attitude towards life revealed F- test were affected to elderly well-being, where the values of F-test = 3.146, Sig = .006. Results are summarized in Table 2.

Enabling factors regarding to relationship with the community, physical health status, ability to perform daily activities revealed F- test were affected to elderly well-being, where the values of F-test = 3.500, Sig = .006, F-test = 4.008, Sig = .021, F-test = 3.002, Sig = .044, respectively. Results are summarized in Table 2.

Supporting factor regarding to family relationships revealed F- test were affected to elderly well-being, where the values of F-test = 4.650, Sig = .001. Results are summarized in Table 2.

Table2. Showing a result of the statistical analysis by One-way ANOVA

Variables	F-test	Sig.
Personal factors		
- age	3.330	.006**
- career	5.518	.001**
- marital status	1.207	.268
- level of education	1.416	.001**
- social and religious activities	4.218	.001**
Predisposing factor		
- attitude towards life	3.146	.001**
Enabling factors		
- relationship with the community	3.500	.001**
- physical health status	4.008	.021*
- ability to perform daily activities	3.002	.044*
Supporting factor		
- family relationships	4.650	.001**

**p< .01, *p < .05

Discussion And Conclusions

Personal factors found 4 variables were affected to the elderly well-being, i.e., age, career, level of education, and social and religious activities. Age was affected to elderly well-being is opposite with the study of Mroczek & Kolarz (1998) who has demonstrated that the possibility the well-being may actually improve with age. Career was affected to elderly well-being is consistent with the study of Sirgy (2010) who indicated that career was related to greater well-being. Level of education was affected to elderly well-being is consistent with the study of Chow (2010) who found that education was significantly related to psychological well-being. Social and religious activities was affected to elderly well-being is consistent with the study of Chandler & Meisenhelder (2002) who found that there was a protective factor of religion to health and that religious belief played a role in averting physical and mental health problems.

Predisposing factor found attitude towards life was affected to the elderly well-being is consistent with the study of Mock & Eibach (2011) who suggested that when aging attitudes are less favorable older subjective age predicts lower life satisfaction and increased negative affect. And Heidrich (1993) who indicated that older age was related to lower levels of purpose in life.

Enabling factors found 3 variables were affected to the elderly well-being, i.e., relationship with the community, physical health status, and ability to perform daily activities. Relationship with the community was affected to elderly well-being is consistent with the study of English (2013) who indicated that community participation was affected the subjective well-being of elders in the community. Physical health status was affected to elderly well-being is consistent with the study of Heidrich (1993) who indicated that poor health was associated with more

depression and anxiety of the elders. Ability to perform daily activities was affected to elderly well-being is consistent with the study of Kendig, Broening, & Young (2000) who supported that activity is important in mediating the impacts of illness on well-being.

Supporting factor found family relationships was affected to the elderly well-being is consistent with the study of Knodel & Chayovan (2008) who has indicated that the Thai population is relatively homogeneous in major cultural aspects, and a strong sense of moral obligation that adult children should support and care for elderly parents has been a pervasive aspect of Thai cultural values and provides a strong normative basis for the prevailing pattern of familial support.

As noted before, the conclusions from this study will be explained according to group of factors based on PRECEDE model. The activities should be done in future are; to explore others related factors, and to support activities for improving quality of life of Thai elders.

Acknowledgement

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Out of Debt-Driven Economic Growth

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Abstract
This study provides an analysis of contemporary economic problems in Korea and Japan. Despite of the ceaseless struggle to way out of economic regression, Korea and Japan have been under economic slump since ninety.

Using the new framework of economic systems, this study claims that the problems are associated with the restructuring businesses resulting from national struggles toward economic recovery. Korea reorganized its industry in a market-rational fashion and created a sound banking –finance system that flattened biggest part of domestic profit structure after 1997 Asia currency crisis.

As follows, this system has forced country to find the new domestic profit. Japan also had to find the way to stimulate domestic economic through the 1990s economic hard time.

However, two countries today are faced with different economic struggles in spite of the similar tasks from the 1990s economic hard time. Nowadays, Korea is faced with household debt problem. On the other hands, Japan is faced with government debt.

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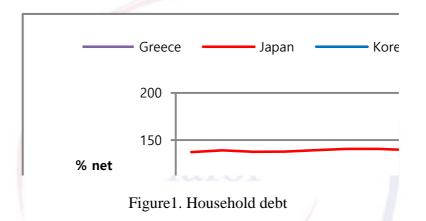
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Introduction

Today, most countries are having economic struggles and worrying the domestic economic conditions. Especially, debt issues have been magnified as new trigger element of national economic crisis after 2008 global financial crisis because most crises are associated with the debt issues in 2000s. For example, the global finance crisis was associated with household debt. Plus, recent a few of Eurozone countries' crises were associated with government debt.

This worry of debt problem of Korea and Japan is getting serious issues in political economy because the national economy status is important economically and politically. For economic sector, stable and growing national economy status is important for the investment and profits. For political sector, making the stable and growing national economy status is important for result of vote as political power.

Figure1. Household debt

Many economic experts and policy makers emphasize debt issues of Korea and Japan because both countries today are facing worrying level of debt compared with others. Despite of lack of full historical data, Figure1 and Figure2 are enough to show that today's Korea and Japan have the debt issue by OECD. Korea economy has household debt problem. Japan has government debt problem. This study provides an analysis of contemporary debt problems as economic issues in Korea and Japan.
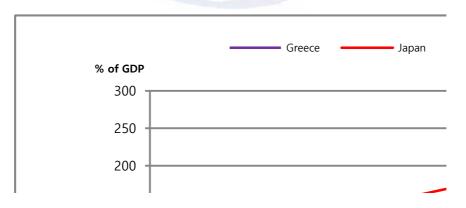
Figure2. General government debt

In the early 1980s, Latin America was faced currency crises and advanced industrial countries were faced slowdown economic growth. These events influenced the flow

of the world political economy: Keynesianism had been substituted with Neo-classic liberalism. Economic policies in most countries were affected by Neo-classic liberalism for past 30years. The flow was solidified after the end of cold war.

However, these 1980s' terrible incidences affected to Asia, which was respected as economic developmental model by showing the surprising economic development: Latin Americas crises affected to 1990s Asia currency crises and United State's problems by export and fiscal deficits were associated with Japan's lost decades.

Besides, even nowadays the world economic condition is worsening than 1980s or 1990s. Most word is under the global crises effects by 2008 financial crisis. Asia countries which based export growth also were influenced by the crisis.

Many scholars' analysis view of economic crises and debt tend to study recent crises and recessions as each of single event or as effects of external factor. There are not many of literatures mentioned connection between not only the crises and debt but also each of crises. Especially, larger mounts existing study of crises characterized very differently.

The major difference of literatures is the sources of crises. Many studies analysis the financial crisis came from United State as developed country. It also made such an impact on many other developed countries- United Stat, United Kingdom, and Euro zone countries- to encounter economic hard time.

Plus, the financial crisis caused difficulties to other countries beside developed countries, which are already struggling with economic hard time by worsening the condition or prolonging the recession period. Despite of the ceaseless struggle to way out of economic regression, Korea and Japan have been under economic slump since ninety. It caused many experts to doubt about the Neo-classic liberalism flow and Asian economic model.

Second difference is changing the financial crisis alarmed other countries. They started to spotlight on debt aspects of domestic country. The debt issue became one of the important elements to prevent worsening the situation or going under the economic doldrums. However, today's configuration of debt occurs dissimilar to each country.

This article covers linkages of among the crises and between the crises and today's debt aspect as well. My study claim that today's economic conditions of Korea and Japan relates with prior crises because they has been under the economic recession since 1990s.

The cases of this study are domestic level of Korea and Japan. The both countries chose different decisions to handle the economic slumps. The different resolutions caused unexpected outcomes through the prolonged economic crises.

Before Korea and Japan had the economic hard time, the both countries were represented as typical model of developmental theory. Steven Vogel, Chalmers Johnson, and other many scholars studied Miracle of Asia economy through 'MITI and Japanese Miracle (1982)', 'Japan Remodeled: How Government and Industry are

Reforming Japanese Capitalism (2006)', etc. Figure 3 shows the usual relationship among the domestic economic agents. In macro economy, domestic economic agents are Household, Business, and government.

Doubt of Asian Model

In macro-economic, economic actors at the domestic level are government, business, and household. Figure 3 show the basic normal relationship between the domestic agents. It is common to think when states have economic shocks; domestic economic actors have to handle the burden together. There are two ways to handle the burden. One is sharing. The other one is shifting.
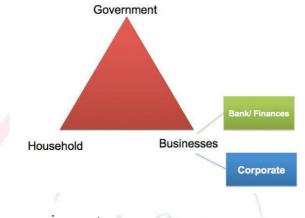
Figure3. Domestic economic agents

As Figure1 and 2 by OECD data, both of two countries still have a lot of debt since crises. However, the kinds of debt seem differences. While most countries are in global economic crises as far, it is more value to study in kind, not in extent degree. My research doesn't show which country is more succeeded in this world economic atmosphere. Instead, it shows different kinds of burden sharing mechanism form the same problem.

The crises' characters of both countries are not the same but they have similar problem that I found was based on developmental states theory. The one of original characters developmental states is the corrupted bonding relationship between the businesses and banks. It was sine qua non for debt-driven growth. Both countries faced this corrupted bonding relationship as primary problem of crises handling; governments of Korean and Japan started to restructure this relationship, which had been industrial structure before the crises.

According to formal Asian development states studies, the relationship between the government and business is important. State had been strong power to choose which industries and corporates would focus on. Most states as Asian developmental model were emphasized business parts that were consist of corporate and banking-finances. Figure 4 helps show what the Asian developmental model is.
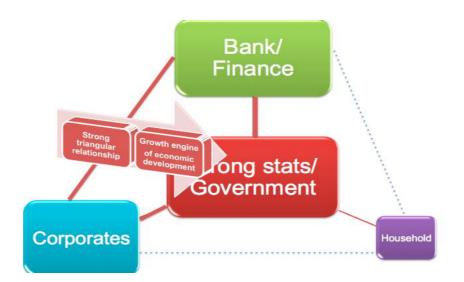
Figure4. Characters of Asian developmental model before the crises

However, after the crises, relatively many of recent scholars started to show the myth and misunderstanding of Asian developmental model. It was starting from Paul Krugman and Ha-Joon Chang to Joseph Wong and Ji-Whan Yun.

Korea and Japan have been had so many problems in variety domestic parts by accepting the Neo- classic liberalistic flow (Chang, 1998), unbalanced development (Yun, 2012), corrupted strong relationship between the government and business, moral-hazard of large corporates and so on. These problems are associated with each other and even affects today.

My study used the formal studies flow to show the causes for today's debt problems of Korea and Japan. The major problem was the corrupted strong relationship. It made large corporate-centric, chea-bol in Korea and zaibasu in Japan, and government-centric economy. As follows, it affected to create the unbalanced development of society and economy.
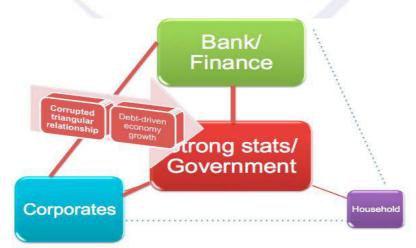
Figure5. Re characterizing the Asian developmental model after the crises

Among the characteristic of Asian development model, many experts and scholars pointed out the problems with banking-finances system and the financial structure of corporates after the crisis in Korea. On the other hand, the major problem of Japan

was caused by people's behavior. Changing interest rates and slowing down the export profits in business parts as corporates and banking-finances.

Therefore, both countries needed to reform the business parts during the economic hard time. Figure 6 helps show which agents needed to reform in normal domestic agents' relationship. Korea and Japan were struggling with the same domestic economic parts as urgent takes.
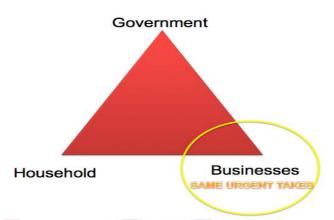
Figure6. Domestic economic agents after the crises

In 1990s, Korea and Japan had to extricate the economic hard time. Even though he detailed the each field in businesses, both countries needed to take action on businesses and find the new engine to lead the economic growth. That is the both countries had the same urgent takes.

Korea economy reeled from Asia currency crises in mid-1990s. Korea carried out a large-scale restructuring on overall society and economy. Nowadays, IMF counts Korea as successful model to go through the IMF processes and overcome the hard time.

However, other facts like youth-unemployment rate, consumer prices index, minimum wages, and etc. show otherwise in today's Korea. Japan also has been had problem since 1990s. Japan also even today has the similar problems: youth-unemployment rate, slow economic growth and so on.

In 1985, exchanging rate of Japan's currency (yen) was surprisingly increased after Plaza agreements. The value of real assets skyrocketed in the aftermath. Furthermore, a staggering trade deficit as Japan's engine of economic growth even made depress the domestic market.

In case of Korea, the crises hit the Asia; foreign investors took out the money simultaneously. The cause was liquidity: a shortage of foreign currency. Korea's economic development had been based with foreign loan. State became the security for the bank to borrow the money. The money went strict to the industries that state picked out.

This structure of economic flow was the engine of Korea's economic growth. It made the cheabol-centric economy system. Its effects led Korea's business restructuring and to find the new profits other than bank-cheabol profit structure for the banking-finances.

The major problem of two countries was originated business parts in 1990s' crises. That caused both countries to find the new engine for the economic growth, not the one by Asian developmental theory symbolized. Therefore, the ways of two countries reacted differently from the economic hard time. Korea chose to extend credit. Japan chose to expand the budget.

Historically, the overcoming process of the economic crises is usually painful (McKinsey Global Institute, 2010). The role of state and obligation of domestic actors is also important key to the process in the burden handling mechanisms of crises.

The state has been the one of major actors in the global economy. In the political economic field, state always has been the one of most important arguing elements. Most arguments divided two. One is about connection between the state and economic openness. The other one is between the state and business.

With the economic openness, political decision of state determined as obstructer or helper. Other many literatures are about the correlation of power's magnitude between state and businesses.

Most 90s' studies claimed the power of state is getting smaller compared with the global businesses. However, according to Vogel, the power of state is getting bigger with the openness because the role of state at the domestic level are diversifying and widening to protect their economy (1996).

Korea and Japan still have strong intervention of government in economy even after the reformation. It is able to explain with path dependency. Growth and development have been originated since modern economy. It affected process of the reformation in 1990s. It even affects the nowadays.

Conclusion

The influence of financial crisis has been assessed as tremendous and special because it shocked overall global economic environments. It caused such an impact on economic condition of many developed countries such as United Stat, United Kingdom, Euro zone countries and so on.

The world economy perceived through the experiences of financial crisis and a few of national crises. Debt matters have been deemed one of strong connections with economic crisis and recession to resolve or prevent the economic difficulties. Undoubtedly, debt matters and burden-handling process has been consolidated as center issue for the political realm.
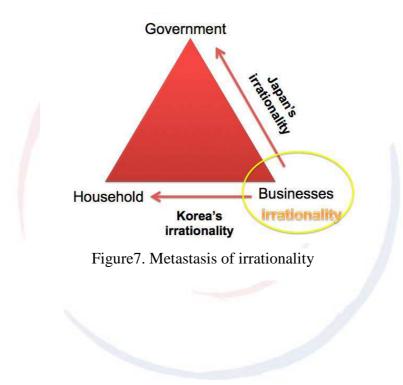
The debt tendency of Korea and Japan is distinct. Figure1shows that Japan has problem with government debt. Figure2 shows that Korea has problem with household debt. From a comparative perspective, this article argues that recent Korea and Japan's peculiar economic situation originated in the consequence of economic revival in 1990s.

My study shows the emergence of new debt to different sectors is caused from extrication from the debt-driven growth economy. To be specific, the country's initial

extrication strategy of the Asian financial crisis and 'lost decade' in 1990s had attributed the trend to dissimilar pattern of debt between domestic agents.

Drawing upon the new framework of economic systems, this study argues that the problems are associated with the reformations resulting from national struggles toward economic crisis recovery.

Therefore, this study argues that today's differences debt aspect of Korea and Japan are originated the resulting of economic reformations. In other worlds, the current debt's different feature between Korea and Japan has attributed the sequel of economic reformation at crises in 1990s. Plus, irrationality of one parts in domestic agents metastasized to other parts. Figure 8 illustrates the different irrationality directions in both countries.

Figure7. Metastasis of irrationality

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Tannenbaum Theory of Labeling: Impact Among Juvenile Inmates

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Abstract
The study aimed at identifying the effects of labeling to juvenile-inmates using the Tannenbaum's Theory. It has used descriptive-comparative and descriptive-correlational approaches in determining the significant differences and correlation in the impact of labeling when grouped according to the inmates' profiles and the labels and labellers for the respondents. For qualitative descriptions, frequency, percentage and mean computations were used to discuss the respondents' profile variables; the labels and the labellers; and respondents' encouragements in their academic life and social life – which were regarded as the impact of labeling as discussed in Tannenbaum's theory and were rated as "STRONGLY AGREE" and "DISAGREE" for positive and negative determinants respectively. Respondents were of ages 16-17 years. Majority were high school levels, belonged to Ilokano ethnicity, and were jailed of theft. There were 21 positive and 16 negative words used to regard them; and most of these were tagged by their friends, families and neighbors. Both labels and labellers were significantly differentiated with the impact of the labeling. Age, ethnicity and educational attainment of the juvenile-inmates showed differences and relationships with the inmates' perceptions. While impact of labeling, as to academic and social life were significantly correlated.

Keywords: Tannenbaum's Theory of Labeling, Juvenile-inmates, Labels, Labellers, Academic Life, Social Life

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Introduction

According to Frank Tannenbaum, the labeling theory of juvenile delinquency deals with the effects of labels, or stigmas, on juvenile behavior. It holds that society, by placing labels on juvenile delinquents stigmatizes them leading to a negative label for a youth to develop into a negative self-image. Youth who are labeled as "criminals" or "delinquents" may hold these as self – fulfilling prophecies – believing the labels that others assign to them, thereby acting as the labels (cited by Menna, 2007).

Tannenbaum, the *"Grandfather of Labeling Theory"* also suggests that a youth who succumbs to a label may then proceed to act as a "criminal" or act as a "delinquent," abandoning social norms because he or she believes that he or she is a bad person and that this is what bad people are supposed to do.

In the Philippines, the problems among juveniles are much related to social problems. To survive in the street, you almost have to become delinquent. These children are vulnerable to prostitution, drug addiction and pushing and commission of crimes. So many times the streets were cleaned up at the start of tourist season and as a consequence many street children were jailed because of vagrancy laws. (Eduardo et al., 2012)

Benchmarking on the discussion of the said concepts and theories have helped constructed the scaffold of this study entitled "Impact of Labelling to Juvenile-Inmates Using Tannenbaum's Theory", which involved inmates of ages 18 years and below at the Nueva Vizcaya Provincial Jail.

Significance of the Study

This study was anchored at determining the impact of labeling to juvenile inmates using Tannenbaum's Theory. The study specifically sought answers to the following questions:

1. How are the juvenile inmates be described in terms of their demographics along age, school level attained, ethnicity, and offense?
2. What are the (a) labels (positive or negative words) attached; and (b) who gives label to the juvenile-inmates of the Nueva Vizcaya Provincial Jail?
3. What is the impact of labelling to juvenile-inmates in terms of their encouragements and challenges along: (a) academic life; and (b) social life?
4. Is there significant difference with the respondents' perceptions on (a) labels and labelers and (b) impact of labeling to juvenile-inmates along academic life and social life?
5. Is there a significant relationship between the (a) labels, and (b) labellers and the impact of labelling to juvenile-inmates along (a) academic life and (b) social life?

Methodology

This study had used the descriptive method of research to elicit information on the labels and labellers for the juveniles. Hence, this is used to describe the impact of Labelling based on Tannenbaum's Theory in terms of the encouragements and challenges of the juvenile-inmates along their academic life and social life.

Respondents are purposively taken as samples of the study. A total of 29 male juvenile-inmates were counted as of October 15, 2014, who were evaluated based on the variables along with their demographics and determinants for the type of labels attached to them; who give them labels, and the impact of labeling as categorized through academic life, social life, and their aspiration in life.

The study had used a questionnaire drafted from the different concepts discussing Tannenbaum's Theory. The questionnaire was divided into 3 parts; Part 1 includes Personal Data Sheet (PDS) for respondents' profile variables on age, school level attained, ethnicity, and offense. Part 2 involves items soliciting information for (a) labels (words commonly tagged to the respondents), where inmates were asked to enumerate 5 words (positive or negative) related to this purpose and (b) labelers – those who commonly tagged them with the said words (labels), where respondents were asked to identify (as many there is) their answers among family, friends, and neighbors (for others – respondents were asked to specify them). Part 3 covers item-checklist for their academic and social life, where inmates were asked to evaluate 10 items in each indicator based on their challenges and encouragements on the said aspects (5 positive, 5 negative statements). The evaluation of the items included in Part 3 was based on the following interpretation, using Rensis' Likert scale:

4	3.50 – 4.00	Strongly Agree	Greatly Affected
3	2.50 – 3.49	Agree	Affected
2	1.50 – 2.49	Disagree	Slightly Affected
1	1.00 – 1.49	Strongly Disagree	Not Affected

Analysis of variance (ANOVA) was used to analyze the differences between group means and their associated procedure (Such as variation among and between group) developed by R.A. Fisher. For statistical significance t-test method was also used wherein it is a statistical test for small sample of observation that comes from a larger sample with a standard distribution of statistical properties.

Correlation coefficient was also used to measure degree of relationship between labels/labelers and the respondents' academic life and social life; and between their academic life and social life.

Results and Discussions

Problem 1: How are the juvenile-inmates be described in terms of their profiles on age, ethnicity and highest educational level?

Juvenile delinquency as the main concept of the study is being observed among the said group-age. It is believed that the youth at this point are most vulnerable to acts of delinquency which may result from several factors of pubertal development and/or an implication of labeling as claimed in Tannenbaum's theory.

To give detail on respondents' age, table 1 shows that juvenile-inmates of the Nueva Vizcaya Provincial Jail are aging from 15 years young to 18 years old.

Table 1
Respondents' Profile Distribution according to Age

Age Range	Frequency (F)	Percentage (%)
15 years	7	24.14%
16 years	6	20.69%
17 years	10	34.48%
18 years	6	20.69%
Total	**29**	**100%**
Mean	*16.57*	

A percentage share of 34.48% among the total samples are of age 17 years counting a frequency of ten (10); seven (7) or 24.14% are aging 15 years; and six (6) or 20.69% are for each group of ages 16 years and 18 years.

In average, the computed mean age is 16.57 years signifying that the typical age of the juvenile-inmates is between 16 to 17 years old.

Table 2 gives frequency and percentage distribution of the respondents' profile along school level attained.

Table 2
Respondents' Profile Distribution according to School Level Attained

Highest Educational Attainment	FREQUENCY (F)	PERCENTAGE (%)
Elementary Undergraduate	10	34.48%
High School Graduate	17	58.62%
College Undergraduate	2	6.90%
Total	**29**	**100.00%**

As shown in table 2, most of the target respondents have attended high school with frequency of 17 (58.62%). Others are distributed in the category of elementary undergraduate, totaling to 10 (34.48%) respondents; and the remainder 2 (6.90%) are college undergraduates.

In general, findings in table 2 also validates the age-group of the respondents which ranges from 15 to 18. This age-range is considered to be at the stage of pubertal-development when young people are exposed to physiological, psychological, social, and emotional changes as influenced by some factors which include their education.

Table 3 shows data the distribution of respondents in terms of their ethnicity.

Table 3
Respondents' Profile Distribution according to Ethnicity

Ethnicity	Frequency (F)	Percentage (%)
Ilocano	19	65.52%
Igorot	7	24.14%
Tagalog	3	10.34%
Total	**29**	**100.00%**

Out of the 29 total juvenile-inmates, 19 belonged to the ethnic group Ilokano with a total percentage distribution of 65.52%. 7 (24.14%) of them are belonging to the Igorot ethnic group; and 3 (10.34%) other respondents are distributed to the Tagalog group.

To explain how and why juveniles are greatly affected by labeling, Seisa in 2011 cited that social groups create theories and statements on what is deviant. Those who break the norms are automatically labeled as deviant juveniles. Such social groups in the context of the study are here presented and categorized, which ethnicity is counted as one.

In table 4, respondents' population is subcategorized according to the offenses given to the juvenile-inmates.

Table 4
Respondents' Profile Distribution according to their Offense

Offense	Frequency (F)	Percentage (%)
Attempted Murder	3	10.34%
Theft	9	31.03%
Murder	1	3.45%
Illegal Drugs	8	27.59%
Robbery	4	13.79%
Rape	1	3.45%
Car Napping	2	6.90%
Total	**29**	**100.00%**

As enumerated in table 4, about 31.03% (9) of the total respondents were jailed because of "theft"; 8 (27.59%) were caught of illegal drugs; 4 (13.79%) are having an offense of robbery; 3 (10.34%) are those with attempted murder as their offense; 2 (6.90%) inmates with an offense of car napping; 1 (3.45%) young male-inmate for each murder and rape.

In lieu with the discussions of labeling theory being presented in the background of the study, Menna in 2007 suggested that young people who are labeled as *"criminals"* or *"delinquents"* may hold these as self-fulfilling prophecies believing the labels that others assign to them, thereby acting as the labels.

Findings presented in table 4 showing the different offenses attached to the juvenile-inmates may suggest a significant implication of labeling to young individuals. Still, although not as the direct cause of the respondents' present condition, labeling may have influenced their actions which led them behind bars.

> *Problem 2: What are the (a) labels (positive or negative words) attached; and (b) who gives label to the juvenile-inmates of the Nueva Vizcaya Provincial Jail?*

Tables 5 and six 6 explain data on the different words (be it positive or negative) being tagged to the juvenile-inmates and who usually tagged them with these labels.

Table 5
Total Numbers of Positive and Negative Labels being attached to Juvenile-Inmates

Number of Words/Inmate			
Positive	*Negative*	**F**	**%**
5	None	16	55.17%
4	1	1	3.45%
3	2	8	27.59%
2	3	1	3.45%
1	4	2	6.90%
None	5	1	3.45%
Total		**29**	**100.00%**

The data in table 5 shows that there are 16 (55.17%) respondents that enumerated 5 positive labels with no negative regards; 8 (27.59%) claimed 3 favorable terms and 2 negative terms; 2 (6.90%) of the young-inmates 1 positive tag and 4 negative regards; 1 (3.45%) respondent for 4 positive and 1 negative terms subsequently; 1 (3.45%) juvenile-inmate provided 1 positive and 4 negative terms; and 1 (3.45%) among the respondents for no positive labels.

Table 6
Frequency and Percentage Distribution of Labellers

Labellers	Frequency (F)	Percentage (%)
Family	24	82.76%
Friends	29	100.00%
Neighbors	23	79.31%

Table 6 shows data on how the study is being associated with the Tannenbaum's theory focusing in the implication of labeling on juvenile delinquency as evaluated using variable on who gives the labels to the target-respondents.

All juvenile inmates claimed that labels are usually given by the respondents' friends. 24 or 82.76% percentage share of the respondents said that they are usually tagged by their own family. And 23 (79.31%) of the population said that the labels are from the people in their own neighborhood.

Although it shows that majority of the total samples answered that they are usually tagged within their own circle of friends, the statistics counted for family and neighbor still determines as main contributors in labeling the juveniles. Thus, it is but necessary that family-relations, peer-influences and community encounters should be given attention in the total development of the youth as to minimize the incidence of crimes committed by young individuals.

In light of the ongoing study, Gault in 2013 emphasized that delinquency suggests a failure of the parents and society to raise the child rather than the failure of the child. It is in this context that item-determinants shown in table 5 were considered valuable in the conduct of the study as to point-out how to deal properly with juvenile delinquents. Although these young people have done acts punishable by law (in short, unlawful acts), they should not be regarded negatively. Yet, most people would do even their own significant others (family). As Gault claimed, their being delinquent is more associated with parental guidance and more of a social responsibility.

> ***Problem 3: What is the impact of labelling to juvenile-inmates in terms of their encouragements and challenges along: (a) academic life; and (b) social life?***

The respondents were evaluated on how they regard their life in the aspect of their academics and social interactions. These data were considered indicators as to identify the impact of labeling among the juvenile-inmates.

Table 7 shows information for respondents' academic path as sub-categorized into 10 specific item-indicators.

Table 7

Respondents' Encouragements/Challenges along their Academic Life

ACADEMIC LIFE	MEAN	Description	Interpretation
I am encouraged to perform well in school.	3.72	Strongly Agree	Greatly Affected
I am encouraged going back to school.	3.69	Strongly Agree	Greatly Affected
I am encouraged to finish my study.	3.83	Strongly Agree	Greatly Affected
I am encouraged to participate in extra-curricular activities in school.	3.69	Strongly Agree	Greatly Affected
I am encouraged to submit school requirements.	3.45	Agree	Affected
Positive Encouragements (Overall Mean)	**3.68**	**Strongly Agree**	**Greatly Affected**
I am discouraged to perform well in school.	1.41	Strongly Disagree	Not Affected
I am ashamed to go back to school.	1.86	Disagree	Slightly
I am discouraged to participate in extra-curricular activities in school.	1.59	Disagree	Slightly Affected
I am discouraged to finish my study.	1.34	Strongly Disagree	Not Affected
I am discouraged to submit school requirements.	1.55	Disagree	Slightly Affected
Negative Encouragements (Overall Mean)	**1.55**	**Disagree**	**Slightly Affected**
Reversed (Overall Positive Mean)	**3.56**	**Strongly Agree**	**Greatly Affected**

Table 7 gives information on the academic life of the respondents being classified into 10 specific statements for self-encouragement (first 5 items for positive encouragement and the 5 items for discouragement). As an aftermath of their present conditions, these data gives better understanding on the implication of labeling among juveniles.

Significantly, all items for positive encouragements – all focusing on their education were qualitatively described as *"AGREE"* or interpreted as *"AFFECTED"* and *"STRONGLY AGREE"*, interpreted as *"GREATLY AFFECTED"*. Among these specific statements, item #3: *I am encouraged to finish my study* slated the highest mean computed as 3.83 *(GREATLY AFFECTED)*; item #1: *I am encouraged to perform well in school* ranked second with a computed mean of 3.72 *(GREATLY AFFECTED)*; items #2: *I am encouraged to go back to school* and #4: *I am encouraged to participate in extra-curricular activities in school* tied on a mean of 3.69 *(GREATLY AFFECTED)*; and item #5: *I am encouraged to submit school requirements* computed a mean of 3.45 *(AFFECTED)*. In general, all 5 self-

encouragements are computed for a mean of 3.68 with a qualitative interpretation of *"GREATLY AFFECTED"*.

Positive findings for the first 5 item indicators are intensified with the data shown in the responses of the respondents in item indicators 6 to 10. These statements are more focused in one's self-discouragement. Among which, item #9: *I am discouraged to finish my study* showed the lowest mean score of 1.34 *(NOT AFFECTED)*; item #6: *I am discouraged to perform well in school* showed a mean of 1.41 *(NOT AFFECTED)*; item #10: *I am discouraged to perform well in school* has a mean of 1.55 *(SLIGHTLY AFFECTED)*; item # 8: *I am discouraged to participate in extra-curricular activities in school* counted a mean of 1.59 *(SLIGHTLY AFFECTED)*; and item #7: *I am ashamed to go back to school* computed a mean of 1.86 *(SLIGHTLY AFFECTED)*. In summary, the mean score for the negative statements counted a value of 1.55 qualitatively described as *"SLIGHTLY AFFECTED"*.

Overall, if negative statements were reversed to positive, the computed mean would show 3.56 with a qualitative interpretation of **"GREATLY AFFECTED".** Thus, this denotes that juvenile-inmates have strong desire to pursue with their education.

Table 8 identifies the impact of labeling as evaluated through juvenile-inmates' social life. Similar with earlier indicator on academic life, it is also classified into 5 positive statements and other 5 for negative items.

Table 8

Respondents' Encouragements/Challenges along their Social Life

SOCIAL LIFE	Mean	Description	Interpretation
I am challenged to show people that I am a good person.	3.79	Strongly Agree	Greatly Affected
I am encouraged to join social gatherings.	3.55	Strongly Agree	Greatly Affected
I am encouraged to change my ways and reform for good.	3.69	Strongly Agree	Greatly Affected
I am encouraged to support projects that involve community services.	3.48	Agree	Affected
I am encouraged to become a socially responsible person.	3.55	Strongly Agree	Greatly Affected
Positive Challenges (Overall Mean)	**3.61**	**Strongly Agree**	**Greatly Affected**
I am discouraged in showing to people that I am a good person.	1.66	Disagree	Slightly Affected
I am discouraged in joining social gatherings.	1.79	Disagree	Slightly Affected
I am discouraged to change my ways and reform for good.	1.62	Disagree	Slightly Affected
I am discouraged to support projects that involve community services.	1.69	Disagree	Slightly Affected
I am discouraged to be socially responsible person.	1.52	Disagree	Slightly Affected
Negative Challenges (Overall Mean)	**1.66**	**Disagree**	**Slightly Affected**
Reversed (Overall Positive Mean)	**3.48**	**Agree**	**Affected**

As manifested in the given table, determinants for positive statements were generally interpreted as *"GREATLY AFFECTED"* with a computed mean value of 3.61, while the other determinants for the negative statements describing the social interactions of the target respondents were qualitatively interpreted as *"SLIGHTLY AFFECTED"* with a mean score of 1.66.

Eduardo et al. in 2012 presented "juvenile delinquency" as one of the social problems in the Philippines. Particularly, they identified street children having a higher potential to become delinquent. This is because of several factors making them more vulnerable and exposed with "social problems" for them to survive in the street.

To itemize the findings in table 8, for the positive statements, item #1: *I am challenged to show people that I am a good person* ranked 1st in showing how positively challenged the target respondents are in terms of their social life. This item-indicator has a computed mean score of 3.79 of a qualitative interpretation of

"GREATLY AFFECTED". Meanwhile, item #3: *I am encouraged to change my ways and reform for good* has a mean value of 3.69 *(GREATLY AFFECTED)*; items #2: *I am encourage to join social gatherings* and #5 *I am encouraged to become socially responsible person*, both has computed means of 3.55 *(GREATLY AFFECTED)*; and item #4: *I am encouraged to support projects that involve community services* has a mean of 3.48 *(AFFECTED)*.

On the other hand, from the set of negative statements, item #10: *I am discouraged to be socially responsible person* shows the least mean value of 1.52 *(SLIGHTLY AFFECTED)*; item #8: *I am discouraged to change my ways and reform for good* weighed a mean of 1.62 *(SLIGHTLY AFFECTED)*; item #6: *I am discouraged in showing people that I am a good person* has a mean of 1.66 *(SLIGHTLY AFFECTED)*; item #9 *I am discouraged in joining support projects that involve community services* calculated a mean value of 1.69 *(SLIGHTLY AFFECTED)*; and item #7: I am discouraged in joining social gatherings has a mean of 1.79 *(SLIGHTLY AFFECTED)*. All forms of discouragements were generally negated by the juvenile-inmates, which validated their positive social encouragements.

When negative statements were treated positively, it would show a computed mean of 3.48 of a qualitative interpretation of *"AFFECTED".* This means that respondents are also motivated to be socially responsible individuals.

> ### Problem 4: Is there significant difference with the respondents' perceptions on (a) labels and labelers and (b) impact of labeling to juvenile-inmates along academic life and social life?

The labeling theory holds the significant effect of the words being tagged to young people on their behavior. In this study, it shows that respondents are given word-attachment regardless of their profile variables and thus would behave according to what they are tagged for as claimed by the Tannenbaum's theory.

Table 9 gives detail on the differences of respondents' perceptions when grouped according to their Age.

Table 9
Differences in Respondents' (a) Labels and Labellers, (b)
Encouragements/Challenges along their Academic Life and Social Life according to their Age

Age	ANOVA for Differences at 0.05 level of significance				
Variables	df	Computed F	P-value	Critical F	Decision
Labels	9	0.17	0.91050	6.59	Not Significant
Labellers	11	6.52	0.01528	4.07	Significant
Academic Life (Positive)	19	10.06	0.00058	3.24	Significant
Academic Life (Negative)	19	3.54	0.03865	3.24	Significant
Social Life (Positive)	19	6.74	0.00378	3.24	Significant
Social Life (Negative)	19	26.93	0.0000	3.24	Significant

With regards to the words being tagged to the respondents as categorized according to their ages, table 9 shows no significant variations on this aspect. This signifies that the attached words (be it positive or negative) do not vary according to the age of the juvenile-inmates. However, it shows the significant difference on who gives the labels (labelers) to the respondents according to their ages. This implies that social groups play significantly in labeling young individuals and it varies notably as juveniles grow older.

When grouped according to their ages, the respondents' academic life showed variations in their encouragement to pursue with their discontinued education. Descriptively shown, with the computed means per age-group, younger respondents are more encouraged to pursue with their studies. However, those that are older still show high interest for their academics. The finding for positive outlook of the respondents toward their academic life is intensified along with the negative statements; younger respondents generally disagreed with the determinants presented in the survey-questionnaire. This implies further that younger inmates are more motivated in terms of their academic life.

As for the variations in the respondents' perceptions along their school level attended, table 10 still shows no significant for the type of labels being tagged to juvenile-inmates and no significance along their academic life.

Table 10
Differences in Respondents' (a) Labels and Labellers, (b) Encouragements/Challenges along their Academic Life and Social Life according to their Age

School Level Attended Variables	ANOVA for Differences at 0.05 level of significance				
	df	Computed F	P-value	Critical F	Decision
Labels	5	1.242371	0.40453	9.552094	Not Significant
Labellers	6	9.142857	0.03222	6.94427	Significant
Academic Life (Positive)	14	0.09852	0.09852	3.885294	Not Significant
Academic Life (Negative)	14	0.209479	0.81391	3.885294	Not Significant
Social Life (Positive)	14	4.655848	0.03187	3.885294	Significant
Social Life (Negative)	14	16.43214	0.00037	3.885294	Significant

As justifies in table 10; labellers, academic life, and social life of the respondents are significantly differentiated with the respondents' school level attended, denoting that the null hypothesis is rejected in this context.

Specifically, the computed F values along these components are: for labellers, 9.142857 and a P-value of 0.03222; along positive indicators for their social life, it has a computed F value of 4.655848 and a P-value of 0.03187; and for the negative indicators for their social life, it scaled at 16.43214 and P-value of 0.00037. This implies that their classification along their school level attended give variations on who give labels to these juveniles and how they perceive their social functions.

Table 11 shows that the types of labels are not differentiated among the juvenile-inmates when they are classified according to ethnicity, however, significant differences are shown to other components.

Table 11
Differences in Respondents' (a) Labels and Labellers, (b) Encouragements/Challenges along their Academic Life and Social Life according to their Ethnicity

Ethnicity Variables	ANOVA for Differences at 0.05 level of significance				
	df	Computed F	P-value	Critical F	Decision
Labels	4	0.858342	0.53811	19	Not Significant
Labellers	7	13.07332	0.00482	5.786135	Significant
Academic Life (Positive)	14	16.76201	0.00034	3.885294	Significant
Academic Life (Negative)	14	18.00066	0.00024	3.885294	Significant
Social Life (Positive)	14	19.77832	0.00016	3.885294	Significant
Social Life (Negative)	14	17.52042	0.00027	3.885294	Significant

The labellers, academic life and social life of the juvenile-inmates are significantly differentiated with their groupings along ethnicity. The computed F-values for the said componets are as follows: labellers (13.07332); academic life (positive – 16.76201); academic life (negative – 18.00066); social life (positive – 19.77832); and social life (negative – 17.52042) respectively. All components showed P-values lower than the significance level of 0.05 denoting significant findings, thus, the null hypothesis is then rejected.

This denotes that their ethnicity determines variations along the said components.

Table 12

*Differences in Respondents' (a) Labels and Labellers, (b)
Encouragements/Challenges along their Academic Life and Social Life according to
their Offences*

Offenses Variables	ANOVA for Differences at 0.05 level of significance				
	df	Computed F	P-value	Critical F	Decision
Labels	12	1.434527	0.33619	4.283866	Not Significant
Labellers	16	7.52451	0.00297	3.217175	Significant
Academic Life (Positive)	34	11.72611	0.0000	2.445259	Significant
Academic Life (Negative)	34	0.831937	0.55547	2.445259	Not Significant
Social Life (Positive)	34	5.583087	0.00065	2.445259	Significant
Social Life (Negative)	34	0.377985	0.88677	2.445259	Not Significant

Table 12 signifies that classification along offenses does not affect the labels;
negative encouragements for both academic and social life. However it showed
differences for the labellers and positive encouragements for the juveniles academic
life and social functions.

> ***Problem 5: Is there a significant relationship between the (a) labels, and (b)
> labellers and the impact of labelling to juvenile-inmates along (a) academic
> life and (b) social life?***

Bearing the most significant findings of the study, table 13 shows the impact of
labelling to the academic life and social life of the juvenile-inmates based on
Tannenbaum's Theory.

Table 13

Correlations in Respondents' (a) Labels and Labellers, (b) Encouragements/Challenges along their Academic Life and Social Life according to their Offences

Indicators	Correlation Coefficient	P-value	Decision
Labels versus Labellers	0.215738	0.261022	Not Significant
Labels versus Academic Life	0.427055	0.016969	Significant
Labels versus Social Life	0.437899	0.01751	Significant
Labellers versus Academic Life	0.267059	0.161369	Not Significant
Labellers versus Social Life	0.326778	0.030242	Significant
Academic Life versus Social Life	0.386625	0.035969	Significant

Labels are significantly correlated to the respondents' academic life and social life; while labellers are significantly correlated to the respondents' social life. And academic life of the respondents' are also correlated with their social life.

Meanwhile labels versus labellers are not significantly associated which means that labels can be from any of the sources of the said tags. Also, labellers versus academic life does not also show significant correlation which implies a contraindication on the claim of Tannenbaum's Theory suggesting that these labellers significantly affect the juveniles and consequently act what is/are being tagged to them.

Conclusions and Generalizations

The following conclusions were formulated assumed to be true in the context and parameters considered in the conduct of this research.

1. All respondents are males of ages 16 to 17 years. Most of them have attended high school, belonging to the Ilocano group and were jailed because of theft.
2. There were 21 positive labels and 16 negative words that are commonly tagged among the juvenile-inmates. They are commonly tagged by their friends, families and neighbors.
3. The impact of labeling based on academic life and social life of the inmates are considered greatly affected.
4. All profile variables in one or the other significantly affect the components being evaluated for the labeling theory.
5. Labels are significantly associated with the encouragements in academic life and social life; while labellers are only related with the encouragements in social life. Academic life is also linked with the social life of the juvenile-inmates.

Recommendations

 After evaluating the significant findings and implications of these results using Tannenbaum's theory, the following recommendations are enumerated.

1. Future researchers may also include other variables that are not included in the study. They may also include several factors relative to labeling and other variables based on Tannenbaum's theory or other theories of Labeling. Hence, they may also include comparison of other theories to intensify the implications of labeling to juvenile delinquency and should consider a larger research setting and may consider the over perceptions of the community people regarding labeling.
2. Juvenile delinquency is more of a social responsibility entailing a collaborative effort of all agencies. Every citizen should have an in-depth understanding on the juvenile behaviors to avoid crimes and unlawful acts brought by delinquency.
3. Impact of juvenile delinquency aside from those being identified in the study should also be given importance in the implementation of Juvenile Justice System, especially in the country so as to minimize numbers and/or incidence of juvenile crimes and juvenile- inmates.
4. Important aspects to be included in Juvenile Justice System should be encouraged the juvenile-inmates to finish their studies and participating social activities. These may include having formal schooling for sentenced youth. Hence, social activities that maybe so significant inside the jail would be livelihood projects and sports.

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Makespan Optimization for the Travelling Salesman Problem with Time Windows Using Differential Evolution Algorithm

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Travelling salesman problem with time windows (TSPTW) is a well-known NP-hard problem in which the objective is to minimize the total travel cost or makespan when visiting each of a set of customers within a given time period. In the literature, TSPTW with the objective of travel cost minimization is extensively studied and a good many heuristic methods are developed to solve these problems. However, TSPTW with the objective of makespan minimization rarely studied and fewer solution approaches are proposed. In this study, we develop a novel differential evolution algorithm to solve TSPTW with the objective of makespan minimization. The performance of the proposed algorithm is tested on several benchmark problems from the literature. According to the experimental results, the differential evaluation algorithm outperforms the existing approaches for makespan minimization.

Keywords: travelling salesman problem, time windows, differential evolution algorithm, makespan optimization

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Introduction

Travelling salesman problem is a well-known NP-hard problem in which a set of nodes are visited only once by a single vehicle with the objective of minimization the tour cost starting and ending at a given depot. Each customer has a time-window defining its earliest and latest service start time and a service time. In a feasible tour, each customer has to be visited before its latest service time. Otherwise the tour is qualified as an infeasible tour. Moreover, if a customer is visited before its earliest service time, the delivery has to wait until the earliest service time is reached. The vehicle spends a predetermined period of time at each customer to conduct its service. Afterwards the service is completed the vehicle immediately leaves the relevant customer to serve the next scheduled customer.

TSPTW problems have two possible minimizing objective functions that are minimizing the total travel time on the path or minimizing the total travel time on the path. The former objective function has been more commonly investigated in the literature. Baker (1983) developed a branch-and-bound approach, Dumas et al. (1995) used an exact dynamic programming algorithm, whereas Langevin et al. (1993) proposed a branch-and-cut algorithm to solve TSPTW with two-commodity flow. Mingozzi, Bianco, & Ricciardelli (1997) suggested a two-phase dynamic programming method and their proposed algorithm outperforms previous algorithms when solving similar test problems. Pesant et al. (1998) developed a novel branch-and-bound optimization algorithm without any restrictive assumption on the time windows. Ascheuer et al. (2001) studied the asymmetric version of the TSPTW, and generated a branch-and-cut algorithm applying techniques for these kinds of problems. In this study, recent techniques such as data preprocessing, primal heuristics, local search, and variable fixing are adapted for the asymmetric TSPTW.

Since TSPTW problem is an NP-hard problem, the exact algorithms are limited to solve some large TSPTW problems. Thus, heuristic and meta-heuristic algorithms are developed to solve large TSPTW problems in a short time. Carlton and Barnes (1996) proposed a robust tabu search algorithm with a static penalty function to promote more diverse neighborhood search. Gendreau et al. (1998) developed insertion heuristic based on GENIUS heuristic which a combination of the insertion procedure and a post-optimization procedure. Calvo (2000) suggested a classical two-phased insertion heuristic with 3-opt local search to solve TSPTW problems. The advantage of their algorithm is that it is able to find an initial solution close enough to a feasible solution of the original problem with solving an assignment problem with an ad hoc objective function. Ohlman and Thomas (2007) presented simulated annealing variant compressed annealing that integrates a penalty method with heuristic search and they showed that compressed annealing method employing a variable penalty function outperforms simulated annealing method with a static penalty function. Ibanez and Blum (2010) proposed a new heuristic named as Beam-ACO that is combining ant colony optimization and beam search to solve TSPTW for minimizing the travel cost. Silva and Urrutia (2010) suggested a two stage VNS based heuristic, which is composed of constructive and optimization stages. They show that, the proposed algorithm is an effective method, which can solve larger problem instances in a short time and improves some best knows results from the literature.

Authors developing heuristic approaches have focused on travel-time optimization and fewer results are published on makespan optimization. The objective of the TSPTW with makespan optimization is to minimize the total tour completion time. In the makespan calculation, the waiting times are included to the tour time. Langevin (1993), Carlton and Barnes (1996), Cheng (2007) and Favaretto (2006) considered TSPTW with makespan optimization objective

in their research. Ibanez et al. (2013) adapted two novel algorithms for the TSPTW with travel time minimization objective, compressed annealing (CA) and the Beam-ACO algorithm, to solve makespan optimization objected TSPTW. Karabulut and Tasgetiren (2014) generated a variable iterated greedy algorithm for solving the traveling salesman problem with time windows (TSPTW) to minimize the total travel cost and the total travel completion time so called makespan, separately. They showed that the proposed method outperforms the other methods in terms of performance and speed.

In the literature TSPTW with the objective of travel cost minimization is extensively studied and a good many heuristic methods are developed to solve these problems. However TSPTW with the objective of makespan minimization rarely studied and fewer solution approaches are proposed. Therefore, in this study we developed a novel differential evolution algorithm to solve TSPTW with makespan minimization objective. The performance of the proposed algorithm is tested on several benchmark problems from the literature. According to the experimental results, the differential evaluation algorithm outperforms the existing approaches for makespan minimization. The paper is organized as follows. Section 2 provides the problem formulation. In Section 3, the proposed method differential evolution algorithm is considered. Computational experiments and results are presented in Section 4. Finally, conclusions are reported in Section 5.

Problem Formulation

Graph $G = (V, A)$ is given, where $V = \{0, 1, 2, ..., n\}$ is a set of nodes representing the depot (node 0) and n customers and the arc set is $A = \{(i, j): i, j \in V, i \neq j\}$. For every edge $(i, j) \in A$ between two nodes i and j, there is an associated cost c_{ij} that denotes the travelling cost from customer i to customer j which includes both the service time of a customer i and the time needed to travel from i to j. Additionally to this, each customer i has an associated time window $[e_i, l_i]$ where e_i and l_i represent the ready time and the due date, respectively. Therefore, the TSPTW can be considered as a problem of finding a Hamiltonian tour that starts and ends at the depot, satisfying all time windows constraints and minimizing the total distance traveled. The TSPTW with the objective of the total travel time is formulated by Karabulut and Tasgetiren (2014) as follows:

$$\min f(x) = \sum_{i=0}^{n} c(x_i, x_{i+1}) + \sum_{i=0}^{n+1} W_{x_i} \qquad (1)$$

$$st: p(x) = \sum_{i=0}^{n+1} \omega(x_i) = 0 \qquad (2)$$

$$\text{where}$$

$$\omega(x_i) = \begin{cases} 1 & if \quad A_{x_i} > I_{x_i} \\ 0 & otherwise \end{cases} \qquad (3)$$

Equation 1 represents the objective function, which minimizes the total travelling cost, which includes the waiting times. In the above definition, W_{x_i} denotes the waiting time at customer i and $p(x)$ represents the total number of time windows, which are violated by tour x that must be zero for feasible solutions. Equation 2 guarantees that all the customers are served within the relative time windows and there is no time windows violation.

Differential Evolution Algorithm for the TSPTW Problems

Differential evolution algorithm (DEA) is one of the relatively new and effective population based meta-heuristic method. It is firstly developed by Storn and Price (1997). This evolutionary algorithm is related to genetic algorithm (GA) and it is easy to implement and use, effective and efficient when compared to genetic algorithm. It uses same operators with genetic algorithm such as crossover and mutation and selection. However the operators are implemented simultaneously in DEA. In addition to this, DEA relays on mutation while GA rely on crossover.

	Individual 1	Individual 2	Individual 3	Individual 4	Individual 5	Individual 6	
Cost Value	2.63	3.60	1.29	1.58	2.77	2.58	Current Population
Parameter 1	0.68	0.92	0.22	0.12	0.40	0.94	
Parameter 2	0.89	0.92	0.14	0.09	0.81	0.63	
Parameter 3	0.04	0.33	0.40	0.05	0.83	0.13	
Parameter 4	0.06	0.58	0.34	0.66	0.12	0.34	
Parameter 5	0.94	0.86	0.20	0.66	0.60	0.54	
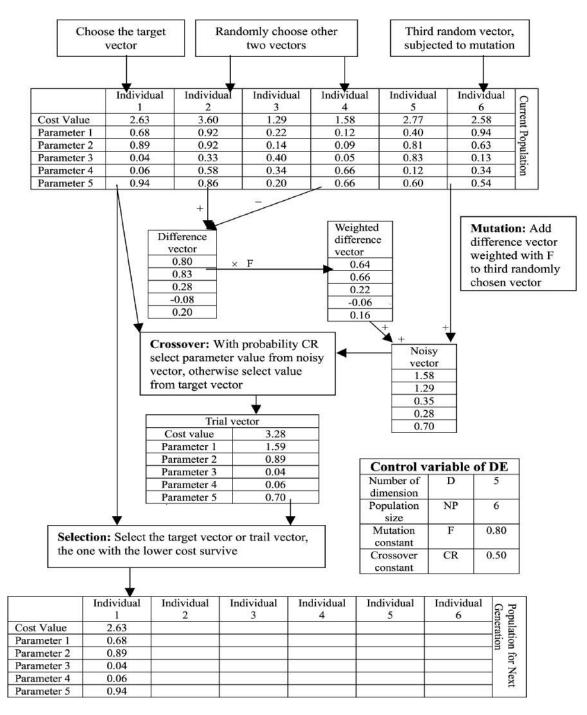
Figure 1 - DEA Flow Chart (Schmidt and Thierauf, 2005)

The Figure 1 determines the flow chart of DEA. For the TSPTW problems our initial population is created by using time windows. Through the operators they are changed as continuous variables. To evaluate the fitness value we use a sort function and genes, which represent the costumers, are being arranged according to their values in ascending order.

Computational Experiments

In this section, we present our results from our computational experiments. We aim to apply our proposed DEA method to solve TSPTW problems and evaluate the performance of our method. And then we compare our computational results with the state-of-art methods for the previously described test instances. The computational experimentation is performed on a Pentium Dual Core Machine with 4 GB of memory and 120 GB of hard drive using MATLAB R2009a. The parameters for the algorithm are selected as: F=0.5, number of iterations=1000, population size=50 and crossover rate=0.9.

Table 1- Results for Potvin&Bengio Test Instances

Problem	N	VIG_VNS		ACO		DEA	
		Avg	**Best**	**Avg**	**Best**	**Avg**	**Best**
rc201.1	20	592,06	592,06	592,06	592,06	592,06	592,06
rc201.2	26	869,9	869,9	877,49	877,49	**860,175**	**860,175**
rc201.3	32	854,12	854,12	867,61	853,71	**853,71**	**853,708**
rc201.4	26	889,18	889,18	900,52	900,38	889,18	889,18
rc202.1	33	850,48	850,48	880,74	871,11	850,71	850,48
rc202.2	14	342,20	342,20	338,52	338,52	345,17	338,52
rc202.3	29	904,48	904,48	892,18	**847,31**	894,10	894,10
rc202.4	28	854,12	854,12	∞	∞	855,06	**853,71**
rc203.1	19	488,42	488,42	673,07	663,66	490,45	488,42
rc203.2	33	853,71	853,71	926,75	897,88	863,69	853,71
rc203.3	37	956,92	956,92	∞	∞	1108,38	**921,44**
rc203.4	15	350,83	350,83	493,85	493,85	**338,52**	**338,52**
rc204.1	46	950,36	950,36	949,68	949,68	**925,877**	**925,234**
rc204.2	33	**701,62**	**701,62**	863,65	821,63	774,59	715,04
rc204.3	24	**455,03**	**455,03**	642,06	635,36	516,74	**455,03**
rc204.4	14	426,13	426,13	428,39	425,2	**417,81**	**417,81**
rc205.1	14	455,94	455,94	422,24	**417,81**	**417,81**	**417,81**
rc205.2	27	820,19	820,19	820,19	820,19	820,19	820,19
rc205.3	35	950,05	950,05	950,05	950,05	950,05	950,05
rc205.4	28	867,13	867,13	870,43	850,99	**837,71**	**837,71**
rc206.1	4	117,85	117,85	117,85	117,85	117,85	117,85
rc206.2	37	917,26	917,26	914,99	909,30	882,6824	**870,488**
rc206.3	25	661,07	661,07	650,59	650,59	650,59	650,59
rc206.4	38	930,1	930,1	943,31	943,31	912,28	**911,98**
rc207.1	34	865,07	865,07	860,98	851,06	**833,40**	**821,78**
rc207.2	31	735,56	735,56	∞	∞	**734,25**	**713,90**
rc207.3	33	800,39	800,39	955,7	944,52	**795,984**	**751,494**
rc207.4	6	133,14	133,14	133,14	133,14	133,14	133,14
rc208.1	38	841,28	841,06	934,8	925,36	822,12	**810,701**
rc208.2	29	644,13	644,13	722,24	712,96	**601,29**	**580,205**
rc208.3	36	747,15	747,15	795,03	774,72	750,70	**698,69**

Firstly, the proposed DEA algorithm was tested on the symmetric TSPTW problems derived by Potvin&Bengio (1996). The computational results of the DEA for Potvin& Bengio (1996)'s instances are given in Table 1. The results show that the DEA can generate better solutions than the other methods for some test problems. Secondly, we tested our algorithm on the asymmetric test instances derived by Ascheuer. The Ascheuer benchmark set consists of 50 asymmetric TSPTW instances with up to 233 nodes. Travel times are integer and satisfy the triangle inequality. The test results show that our algorithm also performs well on the asymmetric test instances. The test results are shown in Table 2.

Table 2- Results for Ascheuer Instances

Problem	N	Best	DEA Avg.	DEA Best	Difference	GAP (%)
rbg010a	12	-	3840	3840	-	-
rbg016a	18	-	2596	2596	-	-
rbg016b	18	2094	2094	2094	0	0,0%
rbg017.2	17	2351	2351	2351	0	0,0%
rbg017	17	-	2351	2351	-	-
rbg017a	19	4296	4296	4296	0	0,0%
rbg019a	21	2694	2694	2694	0	0,0%
rbg019b	21	-	3840	3840	-	-
rbg019c	21	-	4536	4536	-	-
rbg019d	21	3479	3479	3479	0	0,0%
rbg020a	22	4689	4689	4689	0	0,0%
rbg021.2	21	4528	4528	4528	0	0,0%
rbg021.3	21	4528	4528,0	4528	0	0,0%
rbg021.4	21	-	4535	4530	-	-
rbg021.5	21	4516	4516,5	4516	0,5	0,0%
rbg021.6	21	4492	4496,2	4486	4,2	0,1%
rbg021.7	21	4481	4487	4481	6,3	0,1%
rbg021.8	21	4481	4485	4481	4,0	0,1%
rbg021.9	21	4481	4485	4481	3,7	0,1%
rbg021	21	-	4536	4536	-	-
rbg027a	29	5093	5093	5093	0,0	0,0%
rbg031a	33	3498	3498	3498	0	0,0%
rbg033a	35	3757	3757	3757	0	0,0%
rbg034a	36	3314	3314	3314	0	0,0%
rbg035a.2	37	3325	3325	3325	0	0,0%
rbg035a	37	3388	3388	3388	0	0,0%
rbg038a	40	5699	5699	5699	0	0,0%
rbg040a	42	5679	5679	5679	0	0,0%
rbg041a	43	3793	3793	3793	0	0,0%
rbg042a	44	3260	3260,4	3260	0,43	0,0%
rbg048a	50	9799	9799	9799	0,0	0,0%
rbg049a	51	13257	13257	13257	0	0,0%
rbg050a	52	-	12050	12050	-	-
rbg050b	52	11957	11958	11957	0,5	0,0%
rbg050c	52	10985	10985	10985	0,0	0,0%
rbg055a	57	6929	6929	6929	0	0,0%
rbg067a	69	10331	10331	10331	0	0,0%
rbg086a	88	16899	16899	16899	0	0,0%
rbg092a	94	-	12501	12501	-	-
rbg125a	127	14214	14214	14214	0	0,0%
rbg132.2	132	18524	18524	18524	0	0,0%

rbg132	132	18524	18524	18524	0	0,0%
rbg152.3	152	-	17455	17455	-	-
rbg152	152	17455	17455	17455	0	0,0%
rbg172a	174	17783	17784	17783	1	0,0%
rbg193.2	193	21401	21401	21401	0	0,0%
rbg193	193	21401	21401	21401	0	0,0%
rbg201a	203	21380	21380	21380	0	0,0%
rbg233.2	233	26143	26143	26143	0	0,0%
rbg233	233	26143	26143	26143	0	0,0%

Conclusion

Travelling salesman problem is a well-known NP-hard problem in which a set of nodes are visited only once by a single vehicle with the objective of minimization the tour cost starting and ending at a given depot. In the literature TSPTW with the objective of travel cost minimization is extensively studied and a good many heuristic methods are developed to solve these problems. However TSPTW with the objective of makespan minimization rarely studied and fewer solution approaches are proposed. Therefore, in this study we developed a novel differential evolution algorithm to solve TSPTW with makespan minimization objective. We conducted computational experiments to compare the results of the existing heuristics for TSPTW with the results generated by DEA. The experimental results show that our algorithm is comparable with all known heuristic approaches to the problem in terms of the solution quality. Therefore, the proposed DEA algorithm is a good alternative solution methodology to solve TSPTW problems. Additionally, the proposed DEA algorithm can be extended to other variants of TSP problem, algorithm codes could generate with a different programming languages to improve the CPU times or a new meta-heuristics can also be applied to solve the TSPTW in the future research.

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