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The Effect of Implementation of E-Commerce System, Customer Relationship Management (CRM) and Investment Product Quality on Customer Loyalty and Company Performance

Setyani Dwi Lestari, Budi Luhur University, Indonesia
Bambang Agus Prasetyanto, Budi Luhur University, Indonesia
Yuwono, Budi Luhur University, Indonesia
Umbar Riyanto, Universitas Muhamadiyah Tangerang, Indonesia

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Abstract

The objective of this study is to determine the effect of implementation of e-commerce system, customer relationship management (CRM) and investment product quality on customer loyalty and company performance. The population of this study is the employees of PT Danareksa Investment Management. The number of samples in this study are 40 respondents. The questionnaires were distributed to the respondents by using saturation sampling technique. This study used multiple linear regression analysis method in conduct the research. T-test was used to determine the effect of partial and significance between one independent variable to one dependent variable and F-test was used to know the effect and significance between some independent variable to one or more dependent variable. The result of this study shows that e-commerce system (X1), customer relationship management (CRM) (X2), and investment product quality (X3) positively and significantly have effect on customer loyalty (Y1) and company performance (Y2). Based on the results, the company needs to improve e-commerce application systems, optimize the implementation of CRM systems and investment product quality to be more competitive.

Keywords: E-Commerce, CRM, Investment Product Quality, Customer Loyalty, Company Performance

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Introducton

PT Danareksa Investment Management (DIM) was established in 1992 as a subsidiary of PT Danareksa (Persero) which has been operating since 1976, as an Investment Bank, a non-bank financial institution owned by the Government of Indonesia. DIM is the pioneer of Mutual Fund industry in Indonesia. In 1996, DIM launched the first Indonesian mutual fund Danareksa Mawar, Danareksa Anggrek and Danareksa Melati.

The more investment products issued by the Investment Managers (MI) in the mutual fund industry market and the better competing competitor's product performance then the quality of DIM's investment products should have better product performance or net asset value (NAV) by investors.

Implementation of e-commerce system and CRM is an information system solution that is expected to help market and improve the sale of investment products to investors and can improve customer loyalty and corporate performance.

Based on the description above, the research will focus more on how the effect of e-commerce system implementation, CRM and investment product quality on increasing customer loyalty and company performance. DIM's investment products must have a good product performance and increase over time so as to attract new investors and retain old investors. There is an investment product that needs to be upgraded to become a superior in the investment or mutual fund market. It becomes a challenge for the Marketing and Sales Agent (SA) in offering or selling the investment product to the more conscientious and selective customer on selecting the investment product.

This study discusses the factors that are expected to influence or improve customer loyalty and company performance with the implementation of e-commerce system, CRM and maintain quality of investment products. The research respondents involved are employees of each unit and partner in PT DIM who are related to the use of e-commerce systems, CRM systems or the ownership of DIM's investment fund (mutual funds).

Literature Review

E-Commerce

Today and the future, information technology will play an important role in improving the quality of services provided by businesses. One technology that truly brings the information revolution in the community is internet technology and it is rightly considered the third wave of revolution after the agricultural and industrial revolutions. The foremost part of business today is e-Commerce. Effect of e-commerce has emerged in all areas of business, ranging from customer service to new product design.

Understanding E-Commerce according to David Baum written in the book Darussalam (2007) namely: "E-Commerce as one set of dynamic technologies, applications, and business processes that connect the company, consumer and a

particular community through electronics transactions and trade in goods, service and information made electronically ".

E-commerce can be categorized as follows:

Table 1. Different Models of e-Commerce

	C (Consumer)	B (Business)	G (Government)
C Consumer)	C2C	C2B	C2G
B (Business)	B2C	B2B	B2G
G (Government)	G2C	G2B	G2G

Waghmare (2012) has defined the following types of e-commerce:

- B2B E-Commerce:
Companies that do business with each other.
- B2C E-Commerce:
Businesses that sell to the general public.
- C2C E-Commerce: There are many sites that offer free classified ads, auctions, and forums where individuals can buy and sell.
- Others: G2G (Government to Government), G2E (Government to Employees), G2B (Government for Business), B2G (Business to Government).

According to Gaertner and Smith (2001), the results of the literature and empirical studies of issues that can be identified with respect to E-Commerce advantages and disadvantages include:

1. Finance and sales
2. Purchase
3. Convenience and information
4. Administration and communication.

Judging from the theory studied by Gaertner and Smith, the authors are interested to use the variables that exist, because the identification of profit and loss for the seller can be associated with the perspective of company performance.

Customer Relationship Management (CRM)

CRM is a strategy that focuses on creating customer satisfaction and long-term relationships by integrating multiple functional areas of the company to achieve competitive advantage (Payne & Frow, 2005).

According to Kotler and Keller (2009), Customer Relationship Management (CRM) is the process of managing detailed information about each customer and carefully managing all the "touch points" of customers in order to maximize customer loyalty. There are four key capabilities in CRM strategy (Gordon, 2002): technology (technology that supports CRM), people (skills, abilities and attitudes of people who manage CRM), processes (processes used by companies to access and interact with customers in create new value and satisfaction).

Sheth, Parvatiyar and Shainesh (in Ariyanti, 2006; Natalia, 2009; Mokodongan, 2010; and Ardiyhanto, 2011) suggest that there are three CRM programs that must be applied to achieve the objectives:

1. Continuity marketing is a marketing program that is nurturing to maintain and enhance customer loyalty.
2. One to one marketing is an individualized marketing program aimed at satisfying the unique needs of customers.
3. Partnering Program is a program in which a company engages in a partnership in the form of cooperation with other parties to serve and meet customer needs.

Product quality

According to Kotler and Armstrong (2012) the meaning of product quality is the ability of a product to perform its functions, it includes the product's overall durability, reliability, precision, ease of operation and repair, and other valued attributes. Product quality dimensions according to Mullins, Walker, and Larréché, (2005) consist of Performance (performance) that is related to the basic operating characteristics of a product; Durability, which means how long the product lasts before it has to be replaced; Conformance to specifications, ie the extent to which the product meets the specifications or does not find defects in the product; Features, are product characteristics designed to improve product functionality or consumer interest in the product; Reliability, is the probability that the product will work satisfactorily or not within a certain period of time; Aesthetics, related to how the product looks; Perceived quality, is often the result of the use of measurements made indirectly because there is a possibility that consumers do not understand or lack of information on the product.

Customer Loyalty

According to Griffin (2003), consumer loyalty is more related to behavior than with attitude. A loyal customer is a person who undertakes the activity of purchasing goods or services that meet the following criteria: repurchase periodically, purchase other products offered by the same manufacturer, recommend the product or service to others.

According to Kotler and Keller (2009) also defines customer loyalty as the long term success of a particular customer. Through this definition, Kotler and Keller wants to explain that consumers will be loyal measured through the following three things: Word of mouth: recommending others to buy; Reject another: refuse to use another product or show immunity to the pull of a competitor; Repeat purchasing: how often to re-purchase. Success or failure of a company in creating a loyal customer depends on the company's ability to create value and continually strive to improve it.

Company performance

There are several methods of measuring company performance that can be used as a reference. Wade, Porac, Pollock, and Graffin (2006) in his research measure the performance of the company from the financial side (Accounting Measures) that is by using the Return Marker and Return on Equity (ROE). To calculate Market returns as the company's total annual stock, assuming the dividend is re-invested.

Changes in the business world cause the financial performance is no longer adequate in measuring company performance. The company needs a method that can measure the overall performance. Balanced Scorecard pioneered by Kaplan and Norton (1992)

is a method of measuring company performance that focuses on both financial and nonfinancial aspects.

Balanced Scorecard is a management, measurement, and control system that can give managers an understanding of business performance in financial, customer, internal business and learning and growth perspectives.

Framework

The theoretical framework of this paper is presented below.

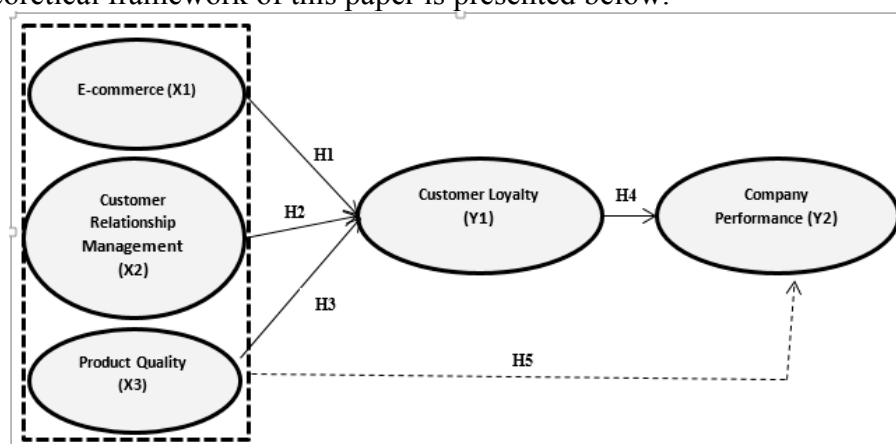


Figure 1. Theoretical Framework

According to the backgrounds and literature review, to find out the result of this study, some hypotheses have been proposed.

1. H1: E-commerce system has positive effect on customer loyalty.
2. H2: CRM has positive effect on customer loyalty.
3. H3: Investment Product Quality has positive effect on customer loyalty.
4. H4: Customer loyalty has positive effect on company performance.
5. H5: E-commerce system, CRM and investment product quality have positive effect on company performance.

Methodology

This study used questionnaire to collect the data. The population of this study is the employees of PT Danareksa Investment Management. By using non probability sampling method that is saturation sampling, obtained 40 respondents who are all members of the population. The questionnaires were distributed to the respondents using a software tool (google forms) through the Company's internal network.

The variables used in this study are identified as follows:

1. Y2: Company Performance as dependent variable
2. Y1: Customer Loyalty as intervening variable
3. X1: E-Commerce system as independent variable
- X2: CRM as independent variable
- X3: Investment Products Quality as independent variable

The variable of E-commerce application system is measured using Gaertner and Smith's theory (2001), CRM system is measured using Sheth, Parvati yar and Shainesh (in Ariyanti, 2006; Natalia, 2009; Mokodongan, 2010; and Ardiyhanto, 2011). The quality of investment products is measured using theories of Mullins et al. (2005). Customer Loyalty is measured using Kotler and Keller's theories (2009) and Company Performance variable is measured using the theories of Kaplan and Norton (1996).

Hypothesis data testing is conducted by using multiple linear regression method. But before going through the regression test, firstly tested the validity, reliability, and normality of the data. In the multiple linear regression method, the tests are divided into:

Partial Test (T Test)

Test T means to test the partial regression coefficient. This test is performed to determine the significance of the role partially between independent variables to the dependent variable by assuming that other independent variables are considered constant.

Simultaneous Test (F Test)

F test is used to test the influence of independent variables (independent) collectively to dependent variable (dependent).

Results and Discussion

Validity, Reliability, and Normality Tests

Validity and reliability tests are the process of testing whether the questions are already valid and reliable. If the questions are valid and reliable, then the questions are able to measure the factors. The results of validity test show that all items which consist of X1 as 9 items; X2 as 13 items; product quality (X3) as 7 items; customer loyalty (Y1) as 6 items; company performance (Y2) as 10 items have r-statistics greater than r-table as 0.3120. It means that all items are valid.

In reliability test, the results show each variable have cronbach's alpha value greater than 0.60. Based on Ghozali (2009), the data are reliable.

Table 2. Reliability Test

Variable	Reliability Statistics	
	Cronbach's Alpha	N of Items
X1	0.914	9
X2	0.932	13
X3	0.864	7
Y1	0.909	6
Y2	0.947	10

Normality test using Kolmogorov - Smirnov method

Based on the normality test using Kolmogorov - Smirnov method, the results obtained as below:

Table 3. Normality Test

Variable	Sig
X1	0.147
X2	0.148
X3	0.161
Y1	0.136
Y2	0.184

All variables show sig value greater than 0.05, so it can be concluded that the data has a normal distribution.

Analysis the effect of E-Commerce System (X1), CRM (X2) and Investment Product Quality (X3) on Customer Loyalty (Y1)

Table 4. Coefficient of Determination (R²) of X1, X2, X3 on Y1

Variable	R ²	Contribution
X1	.281	28.1%
X2	.596	59.6%
X2	.608	60.8%

From the table above, it showed that coefficient of determination (R²) X1 = 0.281 or 28.1%, so it can be concluded that the contribution of E-Commerce System on Customer Loyalty of 28.1% while the remaining 71.9% is the contribution of other factors.

The amount of coefficient of determination (R²) X2 = 0.596 or 59.6%, so it can be concluded that contribution of CRM on Customer Loyalty of 59.6% while the remaining 40.4% is contribution from other factors.

The amount of coefficient of determination (R²) = 0.608 or 60.8%, so it can be concluded that contribution of investment product quality on Customer Loyalty of 60.8% while the remaining 39.2% is contribution from other factors.

Simple Linear Regression

The relationship of variables E-Commerce System (X1), CRM (X2), Investment Product Quality (X3), on Customer Loyalty (Y1) can be partially seen from the value of beta or standardized coefficients in the following table.

Table 5. Coefficient

Variable	Constant	Beta	T
X1	6.412	.443	3.851
X2	.573	.433	7.480
X2	-.773	.844	7.673

The table above shows the simple linear regression equation between variable E-Commerce System (X1), CRM (X2), Investment Product Quality (X3), on Customer Loyalty (Y1) as follows:

1. $Y1 = 6.412 + 0.443 X1$

It can be explained that if there is no E-Commerce System (X1), then customer loyalty (Y1) will be 6.412 and the coefficient value of 0.443 explains that each addition of one value of variable X1 will increase customer loyalty by 0.443 times .

2. $Y1 = 0.573 + 0.433 X2$

It can be explained that if there is no CRM (X2), then customer loyalty (Y1) is 0.573 and coefficient number 0.433 explains that each addition of one value of variable X2 will increase customer loyalty equal to 0.433 times.

3. $Y1 = -.773 + 0.844 X3$

It can be explained that if there is no improvement of product quality (X3), then the increase of customer loyalty (Y1) is -0.773 and the coefficient number of 0.844 explains that each addition of one value of variable X3 value will increase customer loyalty (Y1) increase of 0.844 time.

Partial Test (T Test)

Test T is conducted to know the effect of E-Commerce system (X1), application of CRM system (X2) and Quality of investment product (X3) on Customer Loyalty (Y1).

The t-statistics of X1 is 3.851 and the t-table value at 0.05 is 2.024.

This shows that t-statistics > t-table (3.851 > 2.024) which means Ho is rejected. It can be stated that E-Commerce System (X1) has an effect on Customer Loyalty (Y1).

The t-statistics of X2 is 7.480 and the t-table value at 0.05 is 2.024.

This shows that t-statistics > t-table (7.480 > 2.024) which means Ho is rejected. It can be stated that CRM (X2) has an effect on Customer Loyalty (Y1).

The t-statistics of X3 is 7.673 and the value of t-table at 0.05 is 2.024.

This shows that t-statistics > t-table (7.673 > 2.024) which means Ho is rejected. It can be stated that Investment Product Quality (X3) has an effect on customer loyalty (Y1).

Analysis the effect of Customer Loyalty (Y1) on Company Performance (Y2)

Coefficient of determination (R²) of Customer Loyalty (Y1) on Company Performance (Y2) is 0.637 or 63.7%, so it can be concluded that the contribution of Customer Loyalty (Y1) on Company Performance (Y2) is equal to 63.7% while the remaining 36.3% is the contribution of other factors.

Simple Linear Regression

The relationship of Customer Loyalty (Y1) on Company Performance (Y2) can be partially seen from the value of beta or standardized coefficients in the table below.

Table 6. Coefficient of Y1 on Y2

Variable	Constant	Beta	T
Y1	15.940	1.075	8.170

$$Y2 = 15.940 + 1.075 Y1$$

From the above equation, it can be explained that if there is no Customer Loyalty, then Company Performance is 15.940 and the coefficient number 1.075 explains that each addition of one value of variable Customer Loyalty will increase Company Performance by 1.075 times.

Partial Test (T Test)

The value of t-statistics Y1 is 8.170 and t-table value at 0.05 is 2.024.

This shows that t-statistics > t-table ($8.170 > 2.024$) which means H_0 is rejected. So it can be stated that the variable Customer Loyalty (Y1) has an effect on Company Performance (Y2).

Analysis the effect of E-Commerce system (X1), CRM (X2) and Investment Product Quality X3) on Company Performance (Y2).

Table 7. Coefficient of Determination (R²) of X1, X2, X3 on Y2

Model	R	R Square	Adjusted R Square
1	.836 ^a	.698	.673

From the table above, the amount of coefficient of determination (R²) = 0.698 or 69.8%, so it can be concluded that the contribution of variables E-Commerce system (X1), CRM (X2) and Investment Product Quality X3) to increase Company Performance (Y2) is 69.8% while remaining 30.2% is contribution of other factors.

Table 8. Correlation Coefficient

		Correlations ^a			
		X1	X2	X3	Y2
Y2	Pearson Correlation	.534**	.809**	.689**	1
	Sig. (2-tailed)	.000	.000	.000	
	N	40	40	40	40
** Correlation is significant at the 0.01 level (2-tailed).					
* Correlation is significant at the 0.05 level (2-tailed).					

Based on the above table, obtained the results as follows:

There is a positive and significant relationship between variables E-Commerce system (X1), CRM (X2) and Investment Product Quality X3) to Company Performance (Y2), where at:

X1 value $r(40) = 0.534$; $p < 0.01$;

X2 value $r(40) = 0.809$; $p < 0.01$;

X3 value $r(40) = 0.689$; $p < 0.01$.

Multiple Linear Regression

The relationship of variables E-Commerce system (X1), CRM (X2) and Investment Product Quality X3) on Company Performance (Y2) partially can be seen from the value of beta or standardized coefficients in the table below.

Table 9. Coefficient X1, X2, X3 on Y2

Model		Standardized Coefficients		T
		B	Beta	
1	(Constant)	1.771		.365
	X1	.198	.176	1.673
	X2	.433	.574	4.004
	X3	.295	.203	1.506

The table above shows the multiple linear regression equation between the independent variables X1, X2, X3 to Y2 with the following equation:

$$Y2 = 1.771 + 0.198 X1 + 0.433 X2 + 0.295 X3$$

From the above equation, it can be explained that:

- 1) Constants of 1.771 means if the variables X1, X2 and X3 value is 0, then the value of Y2 is 1.771.
- 2) If variable X1 increases by one value assuming variable X2 and X3 remain, then Y2 will increase by 0.198. Coefficient of positive value means a positive relationship between X1 and Y2.
- 3) If variable X2 increases by one value with assumption variable X1 and X3 remain, then Y2 will increase by 0.433. Coefficient of positive value means a positive relationship between X2 and Y2.
- 4) If the variable X3 increases by one value assuming variable X1 and X2 remain then Y2 will increased by 0.295. Coefficient of positive value means a positive relationship between X3 and Y2.

Table 10. F-Test

Model		Mean Square	F
1	Regression	217.575	27.771
	Residual	7.835	
	Total		

The F-statistics is 27.771 with the significance level 5% which greater than F-table of 2.84. It means Ho is rejected or Ha accepted so it can be stated that the variables X1, X2 and X3 have significant effect on Y2.

Table 11. Summary of Research Results

From the results of research that has been done can be seen in the table as follows:

X	Y	Hypothesis Result	Percentage of Effect
E-Commerce (X1)	Customer Loyalty (Y1)	H1 accepted	28.1%
CRM (X2)		H2 accepted	59.6%
Investment Product Quality (X3)		H3 accepted	60.8%
Customer Loyalty (Y1)	Company Performance (Y2)	H4 Accepted	63.7%
E-Commerce (X1) CRM (X2) Investment Product Quality (X3)		H5 Accepted	69.8%

Based on the above table explains the results of research as follows;

X1 (e-commerce system) has an effect of 28.1% on Y1 (customer loyalty)

X2 (CRM) has an effect of 59.6% on Y1 (customer loyalty),

X3 (investment product quality) has an effect of 60.8% on the increase in Y1 (customer loyalty),

Y1 (customer loyalty) has an effect of 63.7% on (company performance) Y2

E-Commerce (X1), CRM (X2), Investment Product Quality (X3) have effect of 69.8% on Y2 (company performance).

Conclusion

This research is conducted to find out whether there is effect of implementation of e-commerce system, CRM and investment product quality on customer loyalty and company performance. Based on the results of the calculation and hypothesis testing in the previous chapter, then obtained the following conclusions:

1. Implementation of e-commerce system, CRM and investment product quality have significant effect on customer loyalty and company performance. This means that if the implementation of E-Commerce system, CRM and Investment Product Quality have increased then Customer Loyalty and Company Performance will also increase.
2. Customer Loyalty has a significant effect on company performance. This means that if Customer Loyalty improves then DIM's Business Performance will also increase.
3. Implementation of e-commerce system, CRM and investment product quality simultaneously have strong and significant effect on the increase of Customer Loyalty and Company Performance.

Recommendation

1. Suggestions for the managerial side of the DIM company
 - The implementation of the E-Commerce system obtains a 28.1% appraisal by the respondents so that there is still a need to improve the services provided.
 - Implementation of CRM and product quality of competitive investment will increase customer loyalty and company performance.
2. Suggestions for further researchers
 - Increase the number of samples and add new indicators to obtain more accurate results.
 - Researchers not only spread the questionnaire but do other instruments such as interviews in subsequent research.

Limitations of Research

In this study, the authors face limited time to complete a relatively short study while the sample requirement is large enough so that it can affect the condition of the research conducted.

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Contact email : Setyani.dwilestari@budiluhur.ac.id

Cultural Diversity in the Workplace: International Faculty Members in Saudi Arabia

Wala Almostadi, King Abdulaziz University, Saudi Arabia
Hisako Matsuo, Saint Louis University, United States

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Abstract

Along with many other countries, Saudi Arabia has recently experienced increased cultural diversity in the workplace. Among a total estimated population of 30 million inhabitants, the kingdom currently has approximately 10 million immigrants living within its borders. To replenish its workforce, Saudi Arabia welcomes legal immigrants and temporary residents from other countries seeking educational and employment opportunities. As a result of this open immigration policy, more than 60% of the national workforce is now composed of non-Saudis. Researchers emphasized that foreign workers in Saudi Arabia, along with their families, often experience difficulty adapting to established cultural practices. Such cultural challenges are often seen in higher education, one of the most diverse sectors in the economy. This study examined the cultural adjustment experiences of international faculty members working at King Abdulaziz University in Saudi Arabia. Relationships between selected demographic characteristics and the degree of cultural adjustment were explored. The study also examined the impact of cultural adjustment on job satisfaction and organizational commitment. The sample size of the study which used an online survey was 110. The quantitative data results of this study showed that international faculty members had a moderate level of job satisfaction, organizational commitment and cultural adjustment. The study also found that female participants had a higher level of cultural adjustment than male participants. The qualitative data results discussed the major themes that were emerged from participants' responses regarding the open-ended questions. Major themes included: initial challenges, positive experiences, negative experiences, family concerns, and adjustment difficulties

Keywords: Culture, Diversity, Saudi Arabia, Adjustment

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Introduction

As the rate of globalization accelerates across the world, so do the number of interactions among people from diverse cultural, religious, and ethnic backgrounds. This increased cultural intermingling is clearly seen in the modern workplace. Although scholars agree that diversity can promote greater creativity and innovation within organizations, it can also generate serious communication problems and intercultural conflicts that impair business growth and sustainability (Al-Jenaibi, 2012). Given the reality of increasing globalization, successfully managing employee diversity is one of the greatest challenges that organizations face today.

Because of its robust economy, Saudi Arabia attracts numerous immigrant workers from nearby countries seeking better employment opportunities than are available in their native land. Saudi Arabia encourages this foreign influx as a means to address a large shortage in the domestic labor supply (Bhuian et al., 2001; Edgar, Azhar & Duncan, 2016). This employee shortfall has emerged as many Saudi Arabian college students pursue degrees intended to secure well-paying government jobs (Hain, 2011). These factors have created a largely foreigner workforce in the private sector, where up to 93% of employees are non-Saudi in some industries such as health care, transportation services, manufacturing, and technical services (Pakkiasamy, 2004; Peck, 2017).

Not all these foreign workers and their families smoothly integrate into Saudi society. Many find themselves in a land with customs and values dramatically different from their native country. Strict prayer times, gender segregation, and a ban on alcohol use are a few of the common cultural differences immigrants encounter—and often struggle to accept.

Research Questions

1. What are the experiences of cultural adjustments among international faculty members working at Saudi Arabian universities?
2. How do personal or demographic characteristics impact the cultural adjustment of international faculty members?
3. How does cultural adjustment affect international faculty members' organizational commitment and job satisfaction?
4. What are the barriers to successful adaptation for international faculty members in Saudi Arabia?

Methods

This study utilized a cross-sectional design and a quantitative method approach to explore cultural perceptions of international university faculty members working in Saudi Arabia.

The research instrument included 34 questions divided into three sections. The first section of the survey explored successful adjustment and was measured using four constructs: (1) job satisfaction; (2) organizational commitment; (3) adjustment and (4) perceived discrimination. International faculty members were questioned about their degree of job satisfaction and organizational commitment using a 7-point Likert scale.

The second survey section included demographic questions such as age, gender, marital status, and country of origin. The third survey section consisted of three open-ended questions intended to elicit further information about the cross-cultural perceptions and experiences of these international faculty members

The study utilized a non-probabilistic sample. Sample criteria included: (a) current full-time employment as an international faculty member at the designated Saudi Arabian university, and (b) at least one year at the academic position. A total of 130 responses were received, after cleaning the data, 110 responses were used for the analysis.

Data Analysis: descriptive analysis, including means and standard deviations, were conducted to answer the first research question concerning experiences of cultural adjustments of international faculty members working at Saudi Arabian universities. To answer the second research question: how do personal or demographic characteristics impact cultural adjustment of international faculty member? One-way ANOVA, t-test were used to determine whether there were statistically significant differences between the dependent variable (cultural adjustment) and the independent variables (gender, marital status and country of origin). In addition, multiple regression procedures were conducted to reveal the percent of variation that faculty gender, marital, or country of origin status may contribute to the explanation of faculty cultural adjustment. To answer the third research question, simple regression analysis was used to examine the relationships between cultural adjustment (as the dependent variable) and international faculty's job satisfaction and organizational commitment (as the independent variables). To answer the fourth question: what are the barriers to successful adaptation for international faculty members in Saudi Arabia? separate methods were used to analyze responses to the open-ended questions in the third section of the questionnaire

Results

The results of the quantitative data show that international faculty members at King Abdulaziz University had a moderate level of job satisfaction, organizational commitment and cultural adjustment. In addition, participants had not experienced a high level of discrimination. The study also found that female participants had a higher level of cultural adjustment than male participants. In addition, there was no significant difference in international faculty members' cultural adjustments based on their marital status and country of origin. The results of the regression analysis reveal that cultural adjustment can predict international faculty members' organizational commitment and job satisfaction. Conversely, organizational commitment and job satisfaction impact cultural adjustment. The qualitative data results discussed the major themes that were emerged from participants' responses regarding the open-ended questions. Major themes included: initial challenges, positive experiences, negative experiences, family concerns, adjustment difficulties, and social integration.

Conclusion

With the increase of international employees in Saudi Arabia, better information is needed about their cultural adjustment successes and challenges. There is currently a lack of scholarly research on this topic, particularly regarding higher education

workplace dynamics. The study examined the experiences of foreign faculty members who relocated from 22 different countries, makes several important contributions to cross-cultural understanding. First, the study explored the adjustment experiences, including expectations and problems, faced by these individuals working at a major Saudi Arabian university. Second, the research clarified the relative—and sometimes surprising—influence of gender, marital status, and country of origin on cultural adjustment. Third, this research demonstrated the strong connection between successful cultural integration and job satisfaction and organizational commitment.

Taken together, this quantitative data indicate that faculty members as a whole experienced moderately successful cultural adjustment after moving to Saudi. The degree of societal integration, in turn, influenced faculty members' commitment to the university and their overall job satisfaction. There was a statistically significant difference based on gender, with female faculty enjoying greater cultural adaptation. Conversely, the demographic characteristics of marital status and country of origin had no measurable impact on adjustment to Saudi society. To supplement the above research, the open-ended survey questions allowed international faculty to add additional comments regarding their adaptation experiences. Based on this qualitative data, the analysis developed and explored themes and sub-themes related to working and living in Saudi Arabia.

Limitations of the Study

There are some limitations in this study. First, the study was limited to King Abdulaziz University, in Jeddah, Saudi Arabia. Therefore, the findings of this study may not be generalized to other universities in Saudi. Second, the results of this study were based on a voluntarily survey participation; thus, it will be limited to International faculty members who participated in the study.

Recommendations for Future Study

- Additional studies can focus on obtaining detailed information about the experiences of international faculty members working at other universities in Saudi Arabia.
- A mixed-methods research design, including face-to-face interviews, might be utilized to obtain a more detailed picture of foreigners' cultural expectations and experiences.
- Future researchers might compare the experiences of international faculty members in Saudi Arabia to those in other host countries. These could include nations with very different religious and cultural norms than Saudi.

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Contact email: walmostadi@kau.edu.sa

Conceptually-driven Intergenerational Programming in Singapore: A Preliminary Study

Desmond Wong, University of Hull, United Kingdom
Sue Chang-Koh, National University of Singapore, Singapore
Genesis Tan, National University of Singapore, Singapore
Damien Chan, National University of Singapore, Singapore
May Wang, University of California, Los Angeles, United States

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Abstract

There is scarce information on how and why intergenerational programming (IG) contributes to psychosocial change, and a dearth of conceptually-driven IG in Singapore. Thus, our preliminary study sought to fill a practice research gap by surfacing conceptual bases and translation enablers for psychosocial change in the young through a grounded theory approach. Findings suggest conceptual bases in social identity and activity theories, and translation enablers of ‘change of scenery’ and bridging, including the potential for active listening, peer support by young participants. Reflections point to further theoretical exploration in identity theory, and practical action in recursive social participation following the Australian Group for Health intervention. Key limitations were the lack of outcome indicators and sample size.

Keywords: Activity theory, Intergenerational programming, Shared site facility, Social identity theory, Social inclusion

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Introduction

There is growing interest in local, cost-effective community development initiatives [CD] “in different combinations ... offering ways to galvanise additional resources from within a community ... [and] personalization unattainable through traditional service models” (Knapp et al., 2010 pp.2-3). Broadly speaking, there are three models of CD: *Befriending* provides recipients new relationships over periods of time, *navigators* provide recipients guidance through support systems, and *time banks* provide services by volunteers reimbursed in community currencies (Knapp et al., 2010).

In this paper, we ground our inquiry in *befriending* and its intergenerational programming [IG] variant. Simply put, this involves new relationships centered in “deliberate attempts to connect the young and old through program activities” (Thang, 2011, p.1). A key narrative behind the push for IG is that it reduces ageism and thereby, contributes to longer-term inclusion (Butts, 2007). And indeed, Butts, Thang and Yeo’s (2014) review of worldwide trends suggests rising ageism exacerbated by single age group policies, shifting demographics, and urbanization.

Singapore is no exception to these trends. Generational gaps have grown wider, from new definitions of ‘piety’ to legislative safeguards like the Maintenance of Parents and Vulnerable Adults Acts (Mehta & Ko, 2004). Yet despite concerns about exclusion (Centre for Strategic Futures, 2013), the country has had a history of *befriending-IG*. In 1978, the Government started mandatory civic engagement for schoolchildren, mostly at old age facilities. In 1986, politicians graced the opening of Singapore’s first shared site facility (Thang, 2011), the site of our empirical setting.

Nevertheless, the above approaches can incentivize cursory contact, and not intended engagement, which requires a shift in stakeholders’ beliefs, attitudes, and values. Indeed, Thang (2011) posits that the ‘software’ of civic engagement “may [inadvertently] reinforce the negative stereotypes of old age instead of closing the generation gap” (p.5). Likewise, studies on the ‘hardware’ of shared site facilities suggest that IG’s potential lies in a recursive process of change that “institutionalizes the value and custom of linking young and old” (Jarrott & Bruno, 2007, p.253).

There is scarce information on how and why IG contributes to psychosocial change at least, in the young. Like CD, most IG are ‘black boxes’ with neither conceptual basis nor program theory. This presents a practice research gap with implications. At best, good IG cannot be translated beyond local activities and settings. At worst, IG is “‘pigeonholed’ as a ‘feel good’ story of no wider significance” (Knapp et al., 2010, p.9). One exception is the American Experience Corps, centered in Erikson’s (1959) *generativity* and a derivative theory of change (Glass et al., 2004; *Fig. 1*).

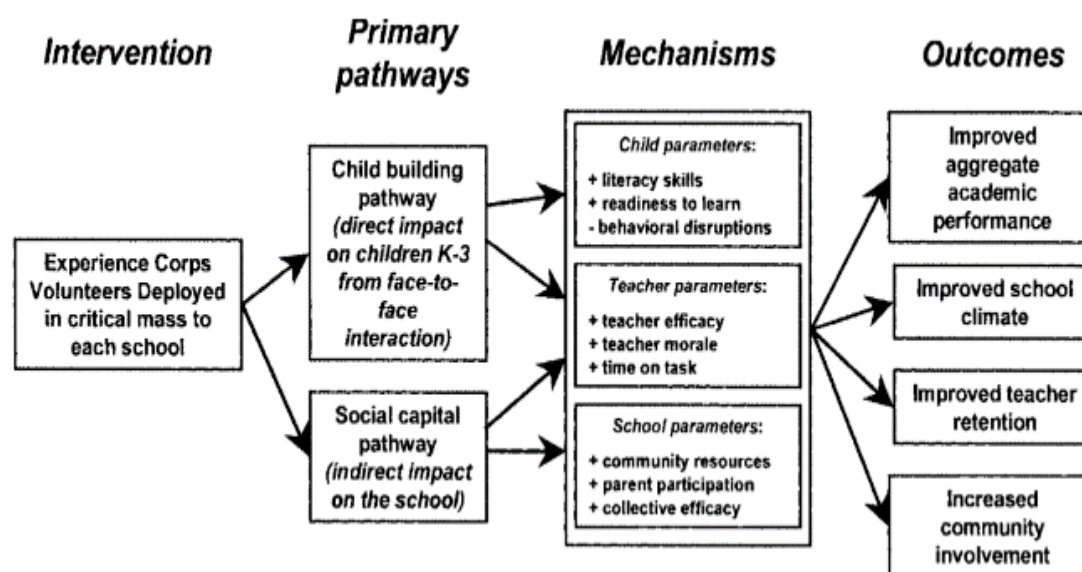


Figure 1. Experience Corps's theory of change

Experience Corps extends generativity into explaining psychosocial change in the young *vis-à-vis* life course and *social capital*: “a property of groups ... public goods ... collective action ... mutual trust” (Glass et al., 2004, p. 97). However, a more searching analysis suggests differences between *bonding* (based on trust and closed networks) and *bridging* (based on civic engagement and open networks; Patulny, 2004). In turn, the implication of a bridging focus is a paradoxical need for high-intensity, mass volunteerism, yet carefully curated roles (similar to *activity theory*, below.)

This paper seeks to fill a practice research gap on how IG contributes to psychosocial change in the young. Drawing on Experience Corps, we took a grounded theory approach to identifying a conceptual basis, theory of change, and translation enablers for IG in our Singaporean sample. In *literature review*, we provide an overview of constructs and potential models, including possible syntheses. In *methodology* and *results*, we present technicalities. In *discussion/conclusion*, we discuss limitations, implications, and insights surfaced through our qualitative inquiry.

Throughout, we adopted pragmatism as our philosophical approach, since it is oriented towards real-world problems. Indeed, this preliminary study was motivated by the scarce information on how and why IG contributes to psychosocial change, above, and a dearth of conceptually-driven IG in Singapore. While we were limited on the outset by our sample size and absence of outcome indicators, we sought to uncover some explanation of change within the ‘black boxes’ before us. Correspondingly, findings should inform possibilities for befriending-IG in Singapore: Beyond quality to value.

Literature review

Over the last decade, there have been emerging trends for greater evaluation, practice, and research of conceptually-driven IG that has grown out and away from its Eriksonian roots (Vandervan, 2011). Kuehne (2003) makes a distinction between conceptual bases grounded in *interactive contexts* [IC] (where change is primarily

attributed to individual interactions within the *environment*), and those in *individual development* [ID] (where change is primarily attributed to new developments within the *individual*). Such distinction is not always mutually exclusive, below.

A conceptual basis in IC implies an ecological lens: Characteristics in the physical and social environment give potency to individuals' innate capabilities to act in certain ways, thus 'affording' change (Kulkowich & Young, 2001). This appears to be supported by evidence for the effects of '*change of scenery*' in out-of-school programming (Halim et al., 2018; Harvard Family Research Project, 2004). By contrast, a conceptual basis in ID takes a life course perspective: "Harnessing the ... social capital of older adults to create a win-win opportunity for society" (Glass et al., 2004).

We identify three constructs grounded in IC that may contribute to a conceptual basis in our Singaporean sample, discussed below: *Intergenerational contact*, *social identity*, and *social network theories* (Table 1). We also identify three constructs grounded in ID for the same purpose, also discussed below: *Activity theory*, *constructivism*, and *generativity* (Table 1). To date, conceptually-driven IG is uncharted waters in Singapore, and the approach to befriending-IG and shared site facilities has been largely aspirational. Thang's (2011) review is a useful primer.

Table 1. Constructs and potential models for psychosocial change in the young

	Primary pathway	Mechanism	Outcomes
Interactional contexts			
Intergenerational contact theory (Fox & Giles, 1993)	Young access inter-cultural and -group exchange	Young develop new communicative approaches towards others	Psychosocial change
Social identity theory (Tajfal & Turner, 1986)	Young engage in asset- and interest-based engagement	Youngs' new group membership leads to new perceptions on others	Psychosocial change
Social network theory (Zippay, 1995)	Young access new social network and subsequent resources	Young develop potency in innate capabilities from tacit knowledge exchange with others	Psychosocial change
Individual development			
Activity theory (Neugarten et al., 1968)	Young realize new roles <i>vis-à-vis</i> intergenerational programming	-	Psychosocial change
Constructivism (Piaget, 1952)	Young develop new constructs <i>vis-à-vis</i> intergenerational programming	-	Psychosocial change
Generativity (Erikson, 1959)	Youths' developmental needs are reciprocally met <i>vis-à-vis</i> intergenerational programming	-	Psychosocial change

With *intergenerational contact theory*, it is hypothesized that the young who access inter-cultural and -group exchange with the old inevitably develop new communicative approaches, as with *social network theory* (sans knowledge exchange), below. This is the simplest construct and closest to Singaporean narratives for IG (Thang, 2011). Yet, its value may be more retrospective than prospective: “Variables include frequency of contact, level of participant intimacy, relative status of participants, and duration of the intergenerational contact” (Kuehne, 2003, p.152).

Social identity and *network theories* are similar in the sense of new narratives created by within-environment interactions. In theory, the former posits that group membership influences social identities (Tajfel & Turner, 1986), and the latter, that novel social participation provides new “skills, approaches, and goals that ... [participants] would not otherwise discover” (Kuehne, 2003, pp.150-151). In practice, social identity presents perceptual change as a mechanism for psychosocial change in the young, and social network theory, new competencies, resources, and knowledge. With *activity theory*, “successful aging is the result of older adults staying active; particularly with regards to social interactions, and engaged within society” (Zacher & Rudolph, 2017, p.38). Such logic extends into the young, who are presented new roles *vis-à-vis* IG. Substituting old roles for new then, is the pathway to psychosocial change (Neugarten et al., 1968). Still, it is worth noting that the construct is somewhat ageist in itself: Applied mostly to the old, presenting a bifurcation of role and meaning, and downplaying the importance of depth in engagement and relationships.

As mentioned earlier, *constructivism* and *generativity* draw on cognitive and life course aspects of human development. Superficially, more has been written on the latter: “Guiding and caring for those in the next generation” (Kuehne, 2003, p.153) or the “concern” (Slater, 2003, p.1) to do so. In comparison, constructivism in IG has been confined to Piaget’s (1952) *personal constructivis*, excluding rich, theoretical developments after (Barouillet, 2015). One implication is that constructivism’s primary pathway may be a secondary mechanism within constructs like social network theory.

This leads into the possibility of hybrid constructs in conceptually-driven IG. Firstly, different constructs may apply to different stakeholders. Secondly, conceptual bases in IC are not mutually exclusive, if we consider the similarities between primary pathways and mechanisms for *intergenerational contact* and *social network theories*. (Can communicative approaches really develop independently of tacit knowledge?) Finally, conceptual bases in IC may realize psychosocial change through mechanisms that are primary pathways for ID.

Logically speaking, the latter is more likely: “Some large-scale health promotion efforts have yielded disappointing results, in part because of a lack of attention to interconnections between social context and individual behavior ... interventions that target individual behavior have less-than-expected impact ... because the broader social context was not taken into account” (Glass et al., 2004, p.103). And it is from this lens of *economies of scope* (Butt et al., 2014; Knapp et al., 2010), that we must appraise these constructs and potential models.

Methodology

A. Empirical setting

Organization X [X] is a social enterprise that seeks to “positively impact communities ... nurture a global generation of youth ... [with] good values ... and citizenship education ... to meet tangible development and growth outcomes (X, 2018). X is semi-state-funded and semi-sponsored by a voluntary welfare organization (VWO). Its ‘Live Café’ is embedded rent-free, within the VWO’s old age facility, itself embedded within the shared site facility, above. For IG, X designs program activities and recruits youth to participate with VWO clients on an ‘opt-in’ basis.

Under the circumstances, we were limited to convenience sampling, where young participants were chosen based on ease of access. X notified us on incoming, ‘opt-in’ cohorts between August to October 2018, and administered the participant information sheets and consent forms beforehand. Old-young combinations were only known on the day of program activities, since neither shared site facility, VWO, or X had full knowledge of all participants in the embedded IG. The cohorts we studied were both involved in school-based civic engagement, as stated in X’s callouts.

Otherwise, these cohorts were very different (*Table 2*). Cohort 1 consisted of eight 12 to 14-year olds who were student leaders at a ‘co-ed’ secondary school. With 10 prefrail seniors, they participated in one 2.5-hour session in science activities, such as drone-flying and remote-controlled cars. Whereas Cohort 2 consisted of eight 21 to 23-year olds who were organized volunteers from a tertiary institution. With 10 prefrail/dementia seniors, they participated in two 3-hour sessions in art, through comic book strips that were autobiographical narratives of seniors’ lives (Wong et al., 2018).

Table 2. Overview of cohorts studied

Cohort	Demographics	Program activities	Old-young combinations
1	13 to 14 year olds student ambassadors from ‘co-ed’ secondary school	1 3-hour session on co-creation in science	Secondary schoolchildren and prefrail seniors
2	19 to 21 year old organized volunteers from local tertiary institution	2 3-hour sessions on co-creation in art-based story-telling	Tertiary undergraduates and prefrail/dementia seniors

B. Materials and methods

There were two means of data collection. Firstly, we collected administrative data on the 2 IG cohorts. These data were anonymized and included young participant demographics, type and duration of program activities, and old-young combinations (e.g. secondary schoolchildren with frail seniors). Secondly, post-program, we conducted separate focus group discussions [FGD] with the young participants and IG facilitators who were staff or volunteers of X. Each FGD involved 6 to 8 interviewees and explored semi-structured questions on the actual experience of IG (*Appendix*).

In particular, FGD formed the basis for answering our research questions: What is a conceptual basis for IG? What is a theory of change for IG? What are some translation enablers? FGD questions were developed from existing semi-structured interviews on the IG experience, and tested for appropriateness and validity over a 3-hour training session conducted for moderators by the last author at the College of Alice and Peter Tan, National University of Singapore. A total of 9 moderators were trained to conduct FGD, which were audio-recorded, then transcribed.

Per institutional review board [IRB] (Approval S18-082), X would select participants [P] with informed consent for the FGD pre-program. Post-program, X then allocated facilitators [F] to FGD groups, conducted separately from those for participants. Also per IRB, we did not work with the VWO or its old client-participants. A grounded theory approach was used in selective coding, informed by our literature review (Table 1), above. This helped us surface new insights into our research questions beyond desired states, as well as perceptions and local activities and settings.

Results

A. *A conceptual basis for IG*

Overall, we found evidence supporting a conceptual basis in IC and the *social identity theory* (para. 14) in our Singaporean sample. This was reflected in facilitators' desired short-term outcomes:

- “... from a macro perspective, what we are trying to do is to push the boundaries of how we perceive, how we engage ... [a] shift in perspective ... [and] we've achieved the objective.” (F1-101)
- “... spaces where each person or everybody has something to contribute. And that makes their experience very unique ... you can really see stark differences in how they interact ... [with] agency ... a new perspective ...” (F1-102)
- “... the innovation ... experience is very wonderful when you can see the people doing the stuff and they are happy ... when the students were able to put everything aside [to] come together [with seniors] ... one collaboration ...” (F1-104)

In turn, such desired outcomes were congruent with participants' experiences, including those who had initially perceived the old as persons challenged by activities of daily living:

“We did become open minded ... it makes us more open ... personally I wouldn't feel interested to talk to my grandparents but ... I really understand the point now why I should be talking to my grandfather more ... we think of elderly as weak, vulnerable ... but it blew my mind that they could do it faster than us.” (P1-103)

One participant described perceptual change as “mind-blowing ... cause I thought that the elderly cannot talk in a [sense of] proper English ... then when the elderly started talking I was like wow” (P1-102). Whereas another participant described it as “... an eye-opening experience because ... I didn't really have that much time to interact [with my grandparents] it's like um a good way to see things in a different

perspective ...” (P2-207). Otherwise, “... *the general perception is like ... they are old ... frail ... don’t know what to do, they idle around ...*” (P2-201).

Both cohorts were unanimous in narratives for social identity and perceptual change, sans expectations of program activities and outcomes. Both also suggested that having food would have improved the experience per ‘change of scenery’, below. Yet despite Cohort 1’s positive experience, Cohort 2’s experience was a mix of neutrality and “... *deep and more meaningful conversations*” (P2-205). Here, facilitators’ generativity narratives were incongruent with most participants’ experiences: Where old opened up to young, the process was cathartic, not educational, below.

This leads us into our secondary mechanism in ID and *activity theory* (para. 15). Firstly, young realize new roles *vis-à-vis* IG by providing interaction otherwise unafforded by activity-driven VWOs:

- “... *[At the VWO,] they do a lot of activities, but interaction-wise it’s always quite minimal ... if the students weren’t there, I don’t think they would be having such [real] conversations ...*” (P2-203)
- “... *they just want to be able to talk to someone ... that in itself will leave them [grateful] ... they appreciate that ... not just interacting and playing with them, or drawing and coloring a book ...*” (P2-201)
- “... *it just feels like we’re just giving back to the [fabric of] society, not like... indirectly ... I was planning to go back up and take one [photograph] with the elderly just now ... it’s a memory ...*” (P1-102)
- “... *I thought when I come for [civic engagement], it won’t really make a difference ... but [now] I realise the elderly actually feel very grateful every time somebody comes to talk to them ...*” (P2-206)

Secondly, and saliently, our findings suggest high potential for young participants to play active listening, *peer support* roles in befriending-IG:

- “... *all of a sudden she wanted to talk about her ... failed marriage and then she got very emotional, she actually teared up and cried ... [about] how her marriage was very abusive ... tough ...*” (P2-201)
- “... *[the senior] was telling me about the concept of love and I don’t know why ... ‘no you just have to have money and any girl will fall in love with you’ ... he was an ‘ah long’ ... partied his life away ...*” (P2-206)
- “... *his life [as a laborer] wasn’t that easygoing ... six years ago he got into an accident ... [which made him] partially deaf ... which is why like he tell[s] me ... life is very unexpected ...*” (P2-207)
- “... *as we like manage[d] to talk more in depth ... about more things ... she told us about her divorce ... and like ... different things ... quite an eye-opening experience ... different perspective ...*” (P2-203)

B. *A theory of change for IG*

With the short runway, we could only extrapolate a ‘high-level’ theory of change by comparing constructs and potential models, above, with FGD data (*Figure 2*). This is necessarily insufficient. It also ignores fundamental components like outcome hierarchies and theory of action (Wong, 2018; Lee & Tan, 2016). This is the next step for conceptually-driven IG: “When a program is based on unsound theory, they are unlikely to bring about the intended outcomes, no matter how well they have been implemented” (Astbury & Leeuw, 2010, as cited in Lee & Tan, 2016, p.1).

	Primary pathway	Mechanism	Outcomes
Old-young dyads deployed to shared site facility	Young engage in asset- and interest-based engagement	Youngs’ new group membership leads to new perceptions on others Young realize new roles <i>vis-à-vis</i> intergenerational programming	Psychosocial change (improved self-esteem)

Fig 2. Organization X’s theory of change

C. *Translation enablers*

We return to social identity theory as providing asset- or interest-based group membership and subsequently, perceptual change. In corroborating with our experience (Halim et al., 2018; Wong, 2016), such *interest* needs to be qualified in terms of ‘change of scenery’ through *novel activities and settings*:

- “... mediums where both sides may not have a lot of experience ... when it is something that is new ... we realise they have no choice ... I’m just gonna like hang out ... [in] unfamiliar spaces ...” (F1-002)
- “... settings where everybody’s encouraged to engage and be curious ... willing to be open to new things ... [and] engaging them with different mediums ... in order to bridge the gap ...” (F1-003)
- “... anything that has ... a competitive element to it or ... [similarly,] a purpose ... we can communicate with them and bond over that ... create something ... something as simple as cooking a meal ...” (P1-201)
- “I really like ... that activity ... because you can like interact with the seniors and can help them ... and teach and help them ... like the wire thing ... where to connect which one.” (P1-115)

In turn, ‘change of scenery’ must also be qualified in terms of *recreational space and time*. Both cohorts unanimously suggested that having food would have improved their IG experience. Essentially, platforms or ‘do-nots’ that facilitate the experience of new group membership:

- “*I think it is nice that we are talking to, interacting with them, in a space that is not directly their living space. Cause ... it doesn't feel as invasive ... not like completely, so-called 'exposed'*” (P2-208)
- “*... I think they freeze up a bit when it's too noisy or there's too many young people around them and they [will] just be like, "This is too much for me" ... they don't want to 'intrude' [more] ...*” (F1-102)
- “*... prolonged periods of [recreational] time ... [initially,] the way they treat you [by your age] is different ... [yet as I] explain to them ... they are [participating] more on the same level ...*” (F1-105)
- “*Doing the same activity ... two hours for any activity is too much, too long ... it gets quite tiring after a while [A] change of pace [helps] ... address the restlessness that sets in after a while.*” (P2-202)

We also return to *activity theory* and the earlier implication of careful curated roles in *bridging*, above. Such roles must be qualified by some element of *needs-based activities and segregation*:

- “*... something less ... artistic ... quite a lot of the elderly ... are not confident in drawing ... [they are also] not that willing to write ... [perhaps we] can try to target ... [the seniors] left downstairs ...*” (P2-203)
- “*When they feel like there's that difference and their friends are treated differently ... [it's hard] to ... customize to each person ... Then they get that feel like I'm not the same as this person.*” (F1-102)
- “*... I think it would be helpful if we kind of have the profile of whoever we are interacting with ... [otherwise] we have to keep prompting ... what was like okay to ask or what might trigger her ...*” (P1-208)
- “*... [at] one of the [other] places I went to ... old folks there are more [in number] ... not as mobile and healthy ... stories are more tumultuous ... but they're kind of more used to sharing ...*” (P2-204)

Bridging must also be qualified by *deliberate facilitation* by both facilitators and the young. In our study, this occurred through refocusing dialogue (directly) on new dyads or (indirectly,) through novel activities that involved both old and young:

- “*... from my observations the way I say things to the elderly really helps ... 'hey ... why don't you speak to the student' ... 'hey, can you please help me with this' ... they [do] feel empowered ...*” (F1-103)
- “*So I just kept encouraging her [despite her illiteracy] ... and told her like this is all about like your creativity, it doesn't really matter, like nobody's going to judge your work or [say] anything...*” (P2-201)

- “... some people are just disinterested or maybe not so engaged ... then it's always the case of trying to adapt to the situation, finding different things, so for example the drone or motorized cars.” (F1-101)
- “The kids had fun. And it's about the idea about getting them back into the space ... to entice them based on interest ... no perimeters or boundaries ... come with your interests ... build from there.” (F1-101)
- “For example we [can] all ... pair up with an elderly person ... go for a pottery lesson ... [or] cooking ... [come] up with a recipe ... [have the] elderly teach you a recipe and ... you do it.” (P1-201)

Discussion / Conclusion

Our findings suggest hybrid conceptual bases in *social identity* and *activity theories* (Tajfel & Turner, 1986; Neugarten et al., 1968), with a corresponding theory of change that is unlike Experience Corps and incomplete (*Figure 2*). This is an area for further study. Two translation enablers were identified: Firstly, ‘*change of scenery*’, through novel activities and settings and recreational space and time. Secondly, *bridging* through needs-based activities and segregation, and deliberate facilitation to keep participants’ focus on dyads and new group membership.

Yet as practice informs theory, our reflections on theory also surfaced insights into IG. Facilitators’ narratives pointed to Tajfel and Turner’s (1986) *self-categorization*, mediated by *social comparison* between in- and out-groups. In turn, such self-categorization may be *evaluative* and lead to improved self-esteem, or *psychological* and lead to improved self-efficacy. Here, Stets and Burke’s (2000) review is a useful primer. Indeed, self-esteem was the evident psychosocial change, as the young began to perceive old-young dyads more positively (Abrams & Hogg, 1988).

In theory, discussion would then entail on how the effects of self-categorization are mediated by *salience* between activated and non-activated identities. Yet in practice, we wonder if improved self-esteem arising from perceptual change and new group membership “may [inadvertently] reinforce the negative stereotypes of old age instead of closing the generation gap” (Thang, 2011, p.5), above. Surely, there is more to IG? Yet with social identity theory, we found the Australian (psychosocial intervention) Group for Health useful for thinking again on IG (Haslam et al., 2016). Like Experience Corps, Group for Health provides a multi-level program that challenges exclusion. However, delivery is systematically structured into *schooling* (raising awareness on group membership), *scoping* (mapping of resources to explore social identities), *sourcing* (identifying social identities for optimization), *scaffolding* (embedding the new group membership while optimizing existing ones), and *sustaining* (maintenance reviews with the new group) modules. This was missing with X, where old-young were not always briefed and with Cohort 2, almost un-facilitated. We also observed discontinuities between the aspirations and actions of X and VWO, in the way X’s staff selected old participants based on perceived attributes, rather than autonomy. This led to Participant 203 suggesting that “[perhaps we] can try to target ... [the seniors] left downstairs ...”, above. Participants’ and facilitators’ narratives also diverged sharply on the perceived value of activities for the old, who appeared to

be Foucauldian (1994) exhibitions for the young beneath the façade of a “‘feel good’ story” (Knapps et al., 2010, p.9), and extravagant costs of SGD18K/month.

Indeed, the catharses observed in Cohort 2 were evident of exclusion for the old. Yet it is interesting that these narratives were unknown to X and VWO, un-facilitated, and more so, because they illuminate *counter-intuitive*, peer support roles for the young in IG. Such roles may be the missing ingredient for *psychological* self-categorization and meaningful psychosocial change (like future behaviors and intentions), as opposed to improved self-esteem alone. Recursive *support*, added to the ‘5Ss’ of Group for Health, may lead to more (cost-)effective outcomes for old and young.

From an *activity theory* and *bridging* perspective, going deeper into carefully curated roles for the young is the bridge between role and meaning, and towards depth of engagement and relationships, above. There is space for a more robust (and less ageist) articulation/application of Neugarten (1968) than that observed by Kuehne (2003), tailored to the young. One possible direction is to synthesize our hybrid conceptual bases with *identity theory*, to better understand individuals at “three levels of abstraction (the group, the role, and the person)” (Stets & Burke, 2000, p.234).

We were limited on the outset by our sample size and absence of outcome indicators, above. Indeed, an ideal study would have measured longer term outcomes through self-esteem, inclusion, and well-being scales (Haslam et al., 2016), or shorter term outcomes of mechanisms like the *civic engagement scale* or the *interaction rating scale advanced* tools (Anme et al., 2013; Doolittle & Faul, 2013). Nonetheless, this was impossible with convenience sampling and administrative issues between X and schools. Longer, sustained IG was most certainly preferable as well.

The purpose of this paper was to fill a practice research gap on how IG contributes to psychosocial change in the young. In this regard, we were able to surface conceptual bases and translation enablers, and identify future directions for conceptually-driven IG. This ‘black box’ must be uncovered by scholar-practitioners: Through concrete articulation of purpose and pathways, *not* emotive appeals or conveniently generalizable philosophies on social capital. Inclusion as *process* and exclusion as *condition* require real, recursive social participation, beyond befriending-IG.

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Contact email: Y.S.Wong@2017.hull.ac.uk

***Undertaking Automation in the World of Work (WoW) and Society
Through Human Resources***

Biva Joshi, International Monetary Fund*, United States

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Abstract

Accelerated progress in the field of technology has opened avenues for automation to be an integral part of the World of Work (WoW) and society. A combination of various forms of automation can perform a single job with results that are error-free and less arduous compared to end results produced by humans. Although automation pessimists worry about the future of jobs when it replaces humans, the optimists believe that humans possess social traits like common sense, instinct, and empathy that automation will take decades to perfect. However, contemporary research has made daunting inferences that automation possibly will perform tasks—pieces of the total production process of different jobs—that are repetitive in nature regardless of the pay grade that they belong to. Hence, the ratio may differ, but the influence of automation at the WoW at all levels, from blue- and white-collar workers to C-suite executives could be high. Thus, the aim of this paper is to highlight the need of HR practitioners to nudge the organization, society, and human capital for the new WoW where human resource practitioners are able to convince organizations to be willing to retrain and upskill their employees, prepare society to produce new recruits equipped with technical and emotional skills, and groom human capital to appreciate retraining and adopt lifelong learning to sustain in the new WoW. This paper provides an overview on how industrial revolutions in the past changed the nature of jobs; highlights ongoing research; and studies how HR practitioners can help society, organization, and human capital devote their energy wisely while being mindful of the revolution that automation may bring for enhanced return on investment (RoI).

Keywords: automation, the world of work (WoW), society, human resources (HR)

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Literature Review

The technological transformation has begotten substantial change in both, the world of work (WoW) and society. While it has generated opportunities which were previously inconceivable, the challenges it has portrayed are also unthinkable. Jobs which were in the domain of humans in the past because of their cognitive capabilities and intelligence are on the verge being taken over by machines. Accelerating increase in the pace of innovation are making robots, machines, and technologies sophisticated on one hand and more affordable on the other. In addition, a combination of automation like artificial intelligence, augmented reality, blockchain, drones, virtual reality, 3-D printing, machine learning, robotics, or internet of things (IoT) can be used to gather information from multiple locations, find out normal operation pattern, and detect anything abnormal in a short amount of time without any human biases (Government Accountability Office [GAO], 2017). Thus, with the current level of training, education, and awareness, the human capital is on the verge of being redundant. WoW in this paper means the traditional explanation of work where organizations employ human capital to fulfill duties by expending their talent, skills, and know-how for wage or salary.

Perhaps for those who are familiar with the roots of the first industrial revolution and the subsequent revolutions may already know that it is not the first time that advancing technologies has reformed the WoW and the society. Even John Maynard Keynes in 1930s had predicted widespread unemployment due to the technical revolution which in his view was a way for organizations to economize labor and hence, humans would be redeployed for a newer type of occupations (Keynes, 1933). Hence, after the industrial revolutions, an increasing number of jobs performed by humans shifted towards cognitive tasks which we famously know as ‘the desk jobs’, where humans needed to think to get the job done and thus, the educational institutions flourished with the array of topics under various disciplines.

Not until long ago, books like ‘Why people still matters’ were published depicting the importance of human brains on jobs like driving in traffic (Levy & Murnane, 2004). The shift in paradigm started soon after when Google, Inc. for the first time introduced self-driving cars in 2010 (Frey & Osbourne, 2013). And researches thereafter focused more and more on how advancing technologies has a high potential of changing the WoW.

A study analyzed eight hundred occupations using two variables (i) time spent by humans performing the activity and (ii) the potential of that activity to be automated. (McKinsey and Company, 2016). Based on the study, with the current pace of technological advancement, at least 19% of predictable man hour—time spent by humans performing physical work—for these occupations have the potential of being automated by as highly as 81%. Similarly, at managerial levels, 6% of the time spent by managers managing their subordinates has the potential of being automated by 10% at the least.

Similarly, another study has examined 720 jobs and predicted the probability of those jobs being computerized (Frey & Osbourne, 2017). Out of those jobs, 10% or about 70 jobs such as taxi drivers, human resource assistants, tax examiners and collectors,

revenue agents, accountants and auditors, couriers and messengers, and many others can be fully automated based on the study.

Discussion

As the WoW is raveled with progress in technological advancement and as the progress in this field is accelerating, I as a human resource (HR) practitioner believe that it is our responsibility to bring awareness and prepare the WoW, society, and mainly, the human capital to prepare for the imminent future. Thus, this paper focuses on the potential impact of accelerated progress in workplace automation and how HR practitioners can act as ambassadors of change.

By getting endorsement from the management and the c-suite executives about the need of the preparedness, HR practitioners can bring awareness amongst the human capital through powerful nudges, retraining, encouraging their creativity, and preparing them to be antifragile, and be the change agent who spreads words in the society about changing WoW and the need for educational and training institutions to evolve accordingly. This could also help organizations to maximize their return on investment (RoI) of training the human capital.

Notwithstanding, many researchers have concluded that automation is not an actual threat to jobs, as the total number of human capital at jobs will increase even though the number of full-time jobs may decrease (McKinsey and Company, 2018; World Economic Forum [WEF], 2018). However, the challenge will be that automation may change and reorganize the time taken to perform a single job and more importantly, the increase in employment may be more for the skilled labor at the expense of their low-skilled counterparts which could eventually raise the level of income inequality in the society (Organization of Economic Co-operation and Development [OECD], 2018).

Possible Aftereffects of Automation

Sophisticated software technologies are now able to perform jobs outside of regular manufacturing functions which used to be the case in the previous industrial revolutions. Labor polarization—where jobs for high and low skilled workers are accessible but the ones for middle-skilled workers disappears—could be one of the outcomes as the highly cognitive jobs which are dodgy to be automated or the low paid manual jobs for which automating would be too costly maybe the only ones to remain in the domain in the humans, but machines could take over all the middle-income routine jobs (Goos & Manning, 2007). And the change is not in the distant as many had imagined.

Automation gurus are expecting meaningful change in less than 5 years. The results of their studies are already predicting a significant difference in the pattern of employment between 2018 to 2022 (WEF, 2018). In one study, a total number of stable jobs remain the same in both 2018 and 2022 but completely new types of jobs are predicted to increase by a substantial rate of 11% by 2022, making the composition of the new jobs increase to 27% compared to that of 2018 (WEF, 2018). Experts believe that upraise brought by automation—possibility to combine various types of automation (robotics, IoT, automation, artificial intelligence, and others) to

get a single task done error-free and in less amount of time—as the fourth industrial revolution. It is because the pattern of change that automation may bring to the world of work is like previous industrial revolutions but at a much faster rate.

The exponential increase of computing power and cognitive capabilities in areas like self-driving cars, delivery and surveillance via drones, 3-D printing, and virtual assistants are some examples of tasks which previously used to be in the domain of humans have shown promising progress via automation. American banking giant, Citigroup Inc. recently announced that it expects machines to replace thousands of call center jobs to serve its customers better and get the job done more cheaply (Noonan & Jenkins, 2019). If the trend continues and if the human capital and the society are not prepared, then soon, there could be another Luddite riot in the foreseeable future. Likewise, organizations may not make the investment decisions as to when and how to train their human capital wisely.

To overcome whirlwind of changes in WoW, allowing present and future workforce to adjust to the change without any hiccups, it is the utmost responsibility of HR practitioners to nudge the organizations, human capital, and society. The main idea for the nudges is to make the organization, society, and human capital pay attention and mold small and insignificant modification, which can have a major impact on the decisions taken thereafter (Thaler & Sunstein, 2009). This will help organizations create a positive work environment, design attractive financial incentive structures, and focus properly on leadership styles, management, communication techniques, and be ready for transitional unemployment, and make wise investment decisions on training the human capital.

Based on a behavioral study done by Stanford University in 2011, the university was successful in reducing the racial achievement gap by half and improve the health of African-American students by simply making them aware that all students, regardless of the race, do worry about fitting in when they are newcomers. But through time everyone feels at home (WEF & University of Zurich, 2018). Another classic example is by simply giving an option of opting out from signing into the 401K plan but letting employees know about the advantages increased enrollment rate by 40% (Thaler & Sunstein, 2009). Thus, nudges via awareness campaign can be a powerful but simple way of communicating to the human capital that changes due to automation is inevitable but at the same time the organizations are studying the trend closely and taking necessary step in training and re-training the taskforce to equip the workforce to be able to properly tackle the changes and to avoid yet another Luddite revival.

The Luddites and Actual Outcomes

Evidently, this is not the first time technology has brought change in the world of work. During the early 1800s, Luddite riots took place in Britain as the workers resisted and not to mention, feared the change that was brought by technology causing them to destroy machinery (Frey & Osborne, 2013). The effect was so enormous that to this date the term 'luddite' is used for anyone who is against any technological progress (Smithsonian, 2011).

But it is equally interesting to learn that studies concluded that eventually, human workers became the greatest beneficiaries of the industrial revolution due to the

growth of real wages profiting an increased share of the labor force. The share of employment in the agricultural sector fell by 56% between 1850 and 2015 (Coeure, 2018). Similarly, work previously done by artisans were decomposed and mechanized in such a way that machines could perform such tasks with the help of more labors who were not skilled as much.

Through time, the way goods and services are produced changed significantly due to technological progress and it is often believed that it is a symbol of aggregate employment and growth. Based on 2017 data, five major markets representing 73% of the total global sales volume are China, Japan, the Republic of Korea, the United States, and Germany (International Federation of Robotics [IFR], 2018). A recently study on German manufacturing accounted that automation consisted of a quarter of the manufacturing jobs that were lost in 20 years between 1994 and 2004 but such jobs were offset by higher level jobs in service sector and more importantly the workers who were exposed more to automation ended up staying in the same organization but with advanced jobs (Coeure, 2018).

As innovative technical improvements for industrial robots have accelerated, the demand for such has increased by 19% per year between 2012 and 2017 (IFR, 2018). Some noteworthy bright prospects of automation are: collaborative robots or co-bots can work safely alongside humans; ease of programming due to user friendly applications; ease of compatibility and integration with current manufacturing production systems, cloud storage of data from multiple robots performing the same process optimizing the performance of robots through machine learning; and lastly, decreasing cost of automation (IFR, 2018; Coeure, 2018).

Social Impact of Automation

Advantages of automation in the WoW goes beyond cost minimization, work safety, and performance optimization. Based on the aforementioned research, automation will increase productivity, safer conditions for the workplace, increase in wages, and create new jobs in the long run. But if the human capital is not well prepared and accepts machines as a part of the workforce performing cognitive tasks, the transition period could be gloomy. We don't have to go too far in history. In 2008, when the General Motors assembly plant in Janesville, Wisconsin, closed—all the factory workers who had been working there for decades, if not generations as well as the suppliers, shipping companies, and warehouses—were unemployed (Goldstein, 2017; Rothman, 2017).

This was a huge social change in Janesville, especially given that most of the workers did not see this coming. Hence, later when needed, they did not know how to use or turn on the computer (Rothman, 2017). This is an example of a social change in the city, Gary, a city in Indiana have had similar faith when the steel factories closed. By now, the workers in Janesville have either migrated or retrained themselves and found a new type of employment. And this real-life story is the victims of a combination of globalization and automation that affected a town in the U.S. (Rothman, 2017).

With current prediction, the effects of automation may ripple beyond the borders of any nation. One of the benefits of globalization has been the ability of multinational organizations to produce in a country where labor is relatively cheap and sell the

product to the consumers in many parts of the world. But given that the price of automation and robotics is falling while their efficiency is increasing, it is highly likely that the automation may be able to deliver the same quantity of output efficiently and more cheaply in the local market (IFR, 2018; Coeure, 2018). It is estimated that in Indonesia, for example, two-thirds of jobs in the textile, clothing, and footwear industries are at the brink of automation (International Labor Organization [ILO], 2018).

Aforementioned are some samples of effects in mainly manufacturing industries. Adoption of new technologies by both consumers and organizations spans across but not limited to financial and service sectors, energy utility sectors, aviation travel and tourism industries, mining and metals industries, infrastructure industries, oil and gas industries, global healthcare, and information and communication industries (WEF, 2018).

Thus, the effects of automation have been felt in every nook and cranny of the WoW. Based on the GAO forum finding, the lack of federal data source on the effects of automation there is no clear view on the jobs that could be created, augmented, or displaced by automation (GAO, 2017). Hence, there is utmost importance for organizations to retrain and upskill existing workforces and for individuals to adapt and embrace lifelong learning. It is because several changes are expected: adoption of technology may increase significantly; the way of production and distribution channels and geographical base for operation may change significantly; reduction of full-time workforce; increased use of combination of humans and machine for the existing tasks; demand for new specialist roles like big data specialists, blockchain specialists, robotics engineers, among many others (WEF, 2018). Automation may also increase productivity and the gross domestic product (GDP) of a country.

It is, inevitable that changes due to automation in the WoW could be significant. This is a perfect opportunity to make human capital aware that this may be about time that they can re-focus their work on analytical and creative activities. But this may, of course, increase a huge need to reposition corporate human resource function and expansion of organizational capabilities of data and workforce analytics (WEF, 2018). As mentioned previously, industrial revolutions in the past also contributed to a significant change in the WoW.

Human Capital Management

The way human capital is managed has evolved significantly through time. The idea of the human resource first was felt during the early 1900s, to standardize and simplify jobs in factories so that the unnecessary motions would be eliminated (Bauer & Erdogan, 2017). This was developed by Frederick Taylor and his model is infamously known as 'Scientific Management System' or 'Taylorism'. In a way, this model treated humans as machines to increase efficiency. After nearly 40 years, an American psychologist focused on the motivating the employees by understanding their need, also known as 'Maslow's hierarchy of needs' which was divided mainly into five distinct levels: physiological, safety, belonging, esteem, and self-actualization.

During the 1960s, the need to provide improved work conditions, recognition, room for growth and advancement was combined on top of Maslow's hierarchy of needs and was introduced as 'Motivation-Hygiene Theory'. This was developed by organizational psychologists Richard Hackman and Greg Oldham (Hackman and Oldham, 1976). Again, during the 1970s it was realized that employees are motivated by the conditions in which they work and real motivation came when it felt good for the employees to perform it. Hence, these factors were added as well.

Finally, the most recent one is Socio-Technical systems theory, which considers human, social, and organizational factors as well as the technical system as the part of the organizational system (Baxter & Sommerville, 2010). This theory was developed by Frederick Emery and Eric Trist who have described the interlinkages between human, workplace environment, and technologies.

These philosophies help in understanding the building blocks and fundamentals of how human resource management evolved through changing times as both, the art and science. It is a science because metrics matter and the decision should be based on data; at the same time, it is also an art because each case is unique on its own like siblings raised by a set of parents under same rules and expectations (Baldino, 2017). Given that we can see a pattern of human resource philosophies evolving, in principle, we can be assured that such philosophies could evolve again and meet the changing need of organizations and society because of automation. But the need for preparing human capital to adapt to changes brought by automation was felt previously as well.

Automation in the World of Work

Research has indicated that failing to preplan for the human capital as much in depth as for automation itself results in several problems (Majchrzak, 1988). When automation was initially used in the manufacturing setting, the major problems were the human capital back then lacked awareness of new technologies, feared newness, and were not using them effectively. Ignoring issues with human capital until the automation arrived created problems such as not well-informed staff, lack of management involvement when needed, and inhibition of full utilization of new equipment.

It also raised an important point that management may fail to take into consideration the humane aspects such as how employees value the challenges with their work and how automation may take that autonomy or the challenge away. Likewise, the traditional career progression system may not fit the new business need. While talent and fit of human capital may remain as important aspects to consider their career progression, knowledge of evolving technologies and the zeal to understand and utilize them may be an important aspect while succession planning. Hence, HR practitioners need to be mindful of the shifts in employee value proposition and work towards preparing, encouraging, and recruiting agile workforce.

Because of deindustrialization, which involves shifting employment from manufacturing to services has already led to job polarization in some countries (OECD, 2018). In the OECD countries, the shift of employment share from middle-skill jobs to low-skill and high-skill jobs was 10% from 1995 to 2015. These changes cause a significant change in the lives of human capital. Even if workers stay in the same job face the changing skills demands that require retraining.

The results of the studies vary in terms of a number of jobs that may be affected by automation and innovation. Some researchers estimate that half of the jobs in the United States only is subject to automation whereas others estimate that one in seven jobs in the OECD countries will be lost because of automation (Frey & Osborne, 2017; Nedelkoska & Quintini, 2018). However, even the studies which show that jobs will not be totally replaced by automation concludes that the contents of the jobs may radically change which highlights the importance of lifelong learning and retraining. And it may not hurt organizations and human capital be ready for possible transitional unemployment.

Automation effects in Society

Given that the effects of automation and society are deeply interconnected, the ability to adapt to evolving technology is small but an important aspect. Robotic arms are now used in supermarket warehouses in the United Kingdom to assist human workers to handle delicate items faster and cheaper (Gray, 2017). Even though this is not the first time that automation has affected the world of work, the workers are as concerned as they were during the time of the Luddite riot. The dock workers in Los Angeles, US, backlashed a Danish firm, AP Moller-Maersk's plan to use the unmanned electric vehicles called 'autostrad' instead of diesel trucks at the largest port in the U.S., to shuttle shipping container from one point to another (Meyer, 2019). While the workers union's argument was that the unmanned vehicles will most likely take away the truck drivers' job, Maesk argument was that the cost of the company will decrease because of less human drivers and also it will help them comply with the strict air pollution rules of the state of California as there will be minimal use of diesel trucks. In retaliation, the workers blocked the companies' construction permit to install aids such as charging stations, wireless antennas, traffic barriers and fences which are required to function electric vehicles smoothly.

Nevertheless, automation could affect educated white collar workers who have desk jobs as well. If we think from the educational perspective, the pedagogical qualifications are very much interconnected to the jobs and is a major criterion during the recruitment process. As more automation is embraced at the workplace, the jobs that are designed for the workplace without automation may have to change, not to mention the education requirement and qualification as well. Some of the occupations also may face the challenge of unemployment during the transition period.

As with automation, the design of the jobs may change, hence the candidates who fit the required criteria of a job description today may not be well-placed in the near future. Ensuring a smooth transition to bridge the gap could require adequate pedagogical education and retraining programs (Coeure, 2018). Hence, HR professionals need to think beyond the present situation and have a long-term strategy when it comes to recruiting new graduates on whether they possess the knowledge and the aptitude needed for the new jobs and if they could fit the new culture.

Solutions

Rather than treating the symptoms of automation, human resource professionals need to treat its root causes and help organizations maximize their RoI in terms of recruiting and retaining human capital. And instead of dismissing existing employees

who are not prepared to adopt and adapt the workplace with automation, HR professionals need to retrain their employees. In addition, HR professionals need to encourage the importance of life-long learning. Human aspects such as empathy, kindness, curiosity, individuality, generosity, gratitude, it could take machines years to learn and even more to perfect (Atsmon, 2018). Studies show that the future success of the organization will be on how much they invest in building the culture of continuous learning and lifelong learning (McKinsey, 2018).

Invest in People

HR professionals should understand the impact of automation on the way work is done and the side and nature of the workforce. Hence, for HR professionals, rather than being an HR expert, the knowledge of how the business operates will be needed more than ever. This will allow them to think strategically in terms of the current talent and the skills gap and how it can be bridged. To be well prepared for the WoW with automation, long term investment on human capital development by the organizations and readiness to adopt the skills required for an organizational environment where automation is enabled should go hand in hand (Sage-Gavin, Vagiranni, & Hintermann, 2019, pg.3).

Organizations may be skeptical about retraining their current employees or recruiting fresh ones who have all the required skills as it may cost an arm and a leg. HR professional could, however, use some of the inexpensive approaches to spread awareness within and outside the organization. HR professional could form a powerful nudge by being an advocate who voices concerns and awareness to the society in only ways that they can. For example, they can partner with educational institutions like schools and universities and volunteer awareness workshop and training to both faculties and students. It will be equally important if HR professionals educate current and future workforce about the possible transitional unemployment but through time, things will get better.

Invest in Social Skills

More than ever, organizations could be in the quest for the individuals with an entire package—technical skills, along with an equal emphasis on social and emotional skills—as demand for caring professionals with creativity, leadership skills, and problem-solving skills may be a top priority as machines are not yet equipped with human skills (MGI, Skill Shift, Automation, Future of workforce). Currently, in schools and universities, the focus is often on the level of a student's skill and knowledge of a subject matter and very often, they are graded with the number of their correct answers to a set of questions.

Teamwork is sometimes considered but the soft skills they used to get from point A to point B such as collaboration if they were respectful to their classmates, their deep thinking, and how much of a problem-solving skill they used are often ignored and not graded at all. Unless a job involves frequent customer service, people skills are emphasized only at the managerial level. But people skills could be one of the key factors in the new WoW where machines can perform cognitive tasks in a fraction of time. Though researchers are in the quest of developing machines with human skills, it could be years if not decades for human skills to be perfected via automation. In

addition, work may change but the qualities of a good worker like good work ethics, communication style, punctuality, consistency, and perseverance, will always be needed.

It is the HR professional's responsibility to make the human capital antifragile. And the retraining, communicating with them early on, and giving them a nudge makes them antifragile. For example, Because of the innovation, the human careers can be taken as a computer game that adds challenges and obstacles with each new level, and in few years, one needs to learn a new game (Taleb, 2012). Humans body becomes stronger and moderately stressed and mildly poisoned with some recovery time.

Create a Community

Making human capital ready is only an aspect. Working on silos across various teams may not work it may create duplication and disconnect between how jobs are performed. Moreover, silos within the various HR teams like talent acquisition, compensation, and benefits, learning and development, or succession planning will result in an unpleasant experience for employees and may not align with emerging business needs (Mercer, 2019, pg. 6). HR professionals need to help strategize various functions across the organizations where the AI will impact (PWC, 2019). They can do so by establishing a center of excellence (CoE) which is the epicenter of building an AI foundation.

Other organizations may also choose to make AI strategy a part of their existing IT, automation, or analytics group. But centralizing AI functionality is the key to make the AI strategy success. It will help monitor the standardize the data policies organization-wide. And finally, to get the ideas flowing across the organization, a digital platform may help in idea sharing, collaboration, and promote initiatives taken across departments. A portion of such a platform could be made public to educate the educational institutions on how the organization is currently utilizing the various AI techniques and which ones are serving the organizational purpose the most.

Limitations

As rapid disruption of automation in the WoW is fairly new, obtaining peer-reviewed journals to see a trend was not easy. The study is based on qualitative research. Even though there is mention of quantitative research of the third party, the research could have an added benefit if the quantitative research is done first hand. The research is based on studies done in emerging and advanced economies. The disruptions assumed on this research will happen should there be no opposition from the society in terms of automation and computerization and if the government does not intervene by introducing legislation to the rapid development of automation. Finally, even though the pace of technological progress has been substantial in recent few years, how soon automation and its various types will be perfected to substitute human minds cannot be easily foreseen.

Conclusion

It is not easy to predict what the future has in store for us. One thing, however, is certain. As the WoW is changing, the individual's perception of work needs to change

as well. It may help the individuals to futureproof their jobs, be ready for transitional unemployment, and organizations as well as society to bridge the gap. As mentioned previously, this is not the first time that revolution in the world of work is taking place. This is known as the fourth industrial revolution. But given that human resource management exists, it is time for the HR practitioners to take this seriously and bring the matter to the attention of highest governing body in the organization, the society, and the human capital before the problem trickles in.

Physicians are using IBM's supercomputer, Watson for patient diagnostic and treatment options. Rio Tinto is using automated trucks at the mines of Australia to transport precious metals. Amazon is using more than 1000 robots for its warehousing (Stevens, 2016). In 2011, Watson machine outperformed the human competitors in the game of Jeopardy and ended up making more money (Brynjolfsson & McAfee, 2012). And the list goes on.

This is the world that we live in today. Innovation and automation may not necessarily take away all the jobs but will most likely create disruption and the shift in what the employers may look for. Hence, the efficient and coveted human capital will need the skills, education, training, complex communication, and not to mention, the human touch. And HR practitioners can help the organizations prepare for changes that automation is predicted to bring in the world of work while receiving full RoI.

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Passively Active Investing – The Case of the University Endowment

Jeffrey Haber, Iona College, United States

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Abstract

There is a longstanding debate in investing circles about whether passive investing can outperform active investing. Passive investing has been based on the use of an index or combination of indices. With the growth of the ETF industry, there is now an additional investment alternative that combines the low-cost of an index with the liquidity of a stock. This paper takes the average university endowment portfolio and replaces the managers with ETFs that invest in the same strategies. For the year ended June 30, 2017 the ETF replacement portfolio outperformed the average university portfolio (12.86% to 12.20%) and was very close to the average return for university portfolios over \$1 billion (12.86% versus 12.90%). The ETF replacement portfolio slightly outperformed the \$101 million to \$500 million university portfolio as well as the \$501 million to \$1 billion university portfolio.

Keywords: ETF, passive investing, active investing, university endowment

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Introduction

One of the longstanding debates in investing circles is whether active management can outperform passive investing, net of fees. Passive used to be another way of saying “index.” One of the desirable attributes of an index is its low cost. Since manager skill plays no role in an index the manager does not have to be compensated as they would in an active fund. The advent of the ETF structure has allowed a new framework to be developed in investing.

An ETF can be considered another type of structure for investing. There can be active management in the ETF structure as well as passive management, there can be high cost ETFs and low cost ETFs. Various institutional investor groups publish surveys of the average portfolio return of their reporting members, as well as the average asset allocation to strategies and sub-strategies. Two of the more active groups are the Council on Foundations (COF) and the National Association of College and University Business Officers (NACUBO). They each publish an annual investment survey (in collaboration with Commonfund) based on the results of the constituencies (foundations in conjunction with COF and university endowments in conjunction with NACUBO).

ETFs have grown in popularity because they are very liquid structures (traded on major exchanges), operate across all investment strategies and can be very low cost. This paper takes an average University endowment and replaces the managers with ETFs that have the same investing strategy as the manager they replace.

Procedure

The NACUBO-Commonfund Study of Endowments 2017 (NCSE 2017) will be used to gather the average portfolio composition. The E-trade platform will be utilized to generate an initial list of ETFs, supplemented by an internet search when ETFs cannot be found through E-trade.

The maximum threshold for the expense ratio for the ETFs is 20 basis points, except for alternative investments, where the maximum expense ratio is 80 basis points. Where multiple ETFs are available, the low cost ETF will be chosen.

No single ETF can represent more than 5% of the portfolio, so where an allocation to a strategy exceeds 5% of the portfolio, multiple ETFs will be chosen for that strategy.

Average Asset Allocation

NCSE 2017 has 7 stratifications of asset allocation, by size:

<u>Size</u>		<u>N</u>
<u>From</u>	<u>To</u>	
Under	\$25 million	85
\$25 million	\$50 million	113
\$51 million	\$100 million	157
\$101 million	\$500 million	275
\$501 million	\$1 billion	82
Over	\$ 1 billion	97
All		809

Figure 1: Asset Allocation Size Stratification

The asset allocation for the average of the 809 endowments was chosen.

The average asset allocation is shown in Figure 2 below.

	<u>Allocation</u>
US equities	16%
Fixed income	8%
Non-US equities	20%
Alternatives	52%
Short-term securities, cash, other	<u>4%</u>
Total	100%

Figure 2: Average Asset Allocation

There are more granular allocations, which show the relative percentages of the allocation percentage in Figure 2 to the sub-strategies is shown in Figure 3 below.

<u>US equities</u>	
Active	73%
Indexed	27%
 <u>Fixed income</u>	
US investment grade - active	60%
US investment grade - passive	14%
US non-investment grade	14%
Non-US investment grade	9%
Emerging markets	3%
 <u>Alternatives</u>	
Private equity	21%
Marketable alternatives	40%
Venture capital	12%
Private equity real estate	11%
Energy and natural resources	12%
Commodities and managed futures	1%
Distressed debt	3%

Figure 3: Granular Asset Allocation

The next step is to assume an endowment value. This paper chooses to use \$500 million. It doesn't really matter what value is chosen, the results would be the same. The asset allocations are then made using the percentages from Figures 2 and 3 and multiplying by the \$500 million assumed endowment value. This is shown in Figure 4.

US equities	Active	11.68%	58,400,000
	Indexed	4.32%	21,600,000
Fixed	US investment - grade	4.80%	24,000,000
	US investment - passive	1.12%	5,600,000
	US non-investment grade	1.12%	5,600,000
	Non-US investment grade	0.72%	3,600,000
	Emerging markets	0.24%	1,200,000
Non-US equities		20.00%	100,000,000
Alternatives	Private equity	10.92%	54,600,000
	Marketable alternatives	20.80%	104,000,000
	Venture capital	6.24%	31,200,000
	Private equity real estate	5.72%	28,600,000
	Energy and natural resources	6.24%	31,200,000
	Commodities and managed futures	0.52%	2,600,000
	Distressed debt	1.56%	7,800,000
Short-term, cash		4.00%	<u>20,000,000</u>
			500,000,000

Figure 4: Dollar amounts allocated to each strategy

The last step is to calculate how many ETFs are required for each strategy (which is based on \$500,000,000 times a maximum allocation of 5%, which equals a maximum per ETF of \$25,000,000). This is shown in Figure 5 below.

		Allocation	# ETFs
US equities	Active	58,400,000	3
	Indexed	21,600,000	1
Fixed	US investment - grade	24,000,000	1
	US investment - passive	5,600,000	1
	US non-investment grade	5,600,000	1
	Non-US investment grade	3,600,000	1
	Emerging markets	1,200,000	1
Non-US equities		100,000,000	4
Alternatives	Private equity	54,600,000	3
	Marketable alternatives	104,000,000	5
	Venture capital	31,200,000	2
	Private equity real estate	28,600,000	2
	Energy and natural resources	31,200,000	2
	Commodities and managed futures	2,600,000	1
	Distressed debt	7,800,000	1
Short-term, cash		<u>20,000,000</u>	1
		500,000,000	

Figure 5: Number of ETFs needed for each strategy

Assigning ETFs

After going through the selection process, the following ETFs were chosen for each of the strategies, as shown in Figure 6 below.

				Ticker	Exp Ratio
US equities	Active	Large Cap Val	19,466,667	VONV	0.12%
	Active	Large Cap Growth	19,466,667	SCHG	0.04%
	Active	Mid Cap Growth	19,466,667	VOT	0.07%
	Indexed	S&P 500	21,600,000	SPY	0.09%
Fixed	US investment - grade	AAA rated corp bonds	24,000,000	QLTA	0.15%
	US investment - passive	Intermediate MBS	5,600,000	VMBS	0.07%
	US non-investment grade	0-5 year high yield corp	5,600,000	SHYG	0.30%
	Non-US investment grade	Total Int'l bond	3,600,000	BNDX	0.09%
	Emerging markets	Emerging markets govt	1,200,000	VWOB	0.30%
Non-US equities	Active	Large Cap Val	25,000,000	HDAW	0.02%
	Active	Large Cap Growth	25,000,000	IDHQ	0.29%
	Active	Large Cap Blend	25,000,000	IXUS	0.10%
	Active	Small/Mid Blend	25,000,000	VSS	0.12%
Alternatives	Private equity		18,200,000	BDCL	0.85%
	Private equity		18,200,000	PSP	0.64%
	Private equity		18,200,000	PEX	0.06%
	Marketable alternatives	Infrastructure	20,800,000	GII	0.40%
	Marketable alternatives	Long-short Equity	20,800,000	PHDG	0.39%
	Marketable alternatives	Option writing	20,800,000	PUTW	0.38%
	Marketable alternatives	Multi-strategy	20,800,000	QAI	0.79%
	Marketable alternatives		20,800,000	DYLS	0.48%
	Venture capital		15,600,000	IPO	0.60%
	Venture capital		15,600,000	ARKK	0.75%

	Private equity real estate	14,300,000	VNQI	0.12%
	Private equity real estate	14,300,000	XLRE	0.13%
	Energy and natural resources	15,600,000	SYLD	0.10%
	Energy and natural resources	15,600,000	XLB	0.13%
	Commodities and managed futures	2,600,000	XME	0.35%
	Distressed debt	7,800,000	ANGL	0.35%
Short-term, cash		<u>20,000,000</u>	SHV	0.15%
		500,000,000		

Figure 6: ETFs assigned to strategies

Calculating returns

Once the ETFs are assigned to strategies and allocated a portion of the portfolio a return for the year ended June 30, 2017 can be calculated for each. This is shown in Figure 7 below.

Strategy	Sub-strategy	Ticker	FY 2017 Return
US equities	Active	VONV	12.47%
	Active	SCHG	20.54%
	Active	VOT	15.58%
	Indexed	SPY	15.42%
Fixed	US investment - grade	QLTA	-2.38%
	US investment - passive	VMBS	-2.19%
	US non-investment grade	SHYG	3.80%
	Non-US investment grade	BNDX	-2.18%
	Emerging markets	VWOB	-0.21%
Non-US equities	Active	HDAW	13.38%
	Active	IDHQ	13.25%
	Active	IXUS	17.25%
	Active	VSS	15.85%
Alternatives	Private equity	BDCL	17.66%
	Private equity	PSP	23.47%
	Private equity	PEX	16.49%
	Marketable alternatives	GII	7.11%
	Marketable alternatives	PHDG	7.42%
	Marketable alternatives	PUTW	9.18%
	Marketable alternatives	QAI	1.00%
	Marketable alternatives	DYLS	12.72%
	Venture capital	IPO	28.99%
	Venture capital	ARKK	48.84%
	Private equity real estate	VNQI	3.78%
	Private equity real estate	XLRE	-4.82%
	Energy and natural resources	SYLD	20.36%
	Energy and natural resources	XLB	16.12%
	Commodities and managed futures	XME	22.78%
	Distressed debt	ANGL	7.43%
Short-term, cash		SHV	-0.05%
			12.86%

Figure 7: Returns for each ETF

Conclusion

Having calculated the return for each ETF for the year ended June 30, 2017 and also calculated a portfolio return (12.86%) this can be compared to the returns reported by the University endowments. This is done in Figure 8 below.

Strategy	ETFs	All	Over \$1 billion	\$501 million to \$1 billion	\$101 million \$500 million
US equities	15.99%	17.60%	19.10%	19.10%	17.80%
Fixed	-1.41%	2.40%	3.00%	1.50%	2.20%
Non-US equities	14.93%	20.20%	21.60%	22.10%	19.70%
Alternatives	14.28%	7.80%	9.80%	10.10%	8.30%
Short-term, cash	-0.05%	1.40%	1.80%	1.10%	1.70%
Total	12.86%	12.20%	12.90%	12.70%	12.50%

Figure 8: Return comparison

The ETF portfolio slightly outperformed the average return of each size range, except for the largest portfolios (over \$1 billion), which it almost matched. Based on this one year, the replacement of active managers with ETFs should not produce reduced returns. Advantages include low cost and high liquidity, even for the alternative investments. ETFs are traded like stocks, so there is a ready market for selling and buying ETFs.

What is particularly interesting and an area for future research is the strategy where ETFs outperformed. In comparison to every size stratification the ETFs underperformed except for alternative investments. This is precisely opposite what one would expect. Alternative investments (comprised of hedge funds, private equity, venture capital, real estate, managed futures, commodities and the like) are thought to be the asset class where “alpha” or management skill, is most prevalent. That the alternative ETFs almost doubled the return of the average active manager for the largest portfolios is surprising.

Reference

2017 NACUBO-Commonfund Study of Endowments, 2018

The Historiographical Turn and Attitudes to History in Japanese International Relations

Robert Dormer, Hiroshima Jogakuin University, Japan

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Abstract

In recent years, a “historiographical turn” in International Relations has led to a great deal of excavation and critique of long-standing traditions and stories, as well as a re-evaluation of the role of history in disciplinary history identity formation. One of the main strands has focused on the occurrence of a supposed ‘First Great Debate’ between the realist and Idealist/Utopian ‘schools’, and its reproduction through textbooks and endurance in the face of historiographical exposure as largely untrue. Despite broad assumptions that this myth persists due to heuristic/pedagogical utility, and criticism that it buttresses a disciplinary orientation towards Realism and a generally Eurocentric bias in International Relations, to date, research beyond textbooks into introductory courses and within specific contexts has not been undertaken. This research attempts to address this in the Japanese context through a survey of International Relations curricula, textbooks, and instructor attitudes in the Japanese context.

Keywords: International Relations; historiography; eurocentrism

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1.0 Introduction

This paper first outlines some of the main features of a recent historiographical trend in International Relations research, and especially those features of that trend that have pointed to a need to reflect on the use of textbooks, and traditional sequences of ‘great debates’. This paper then points to the role of this historiographical revisionism in sustaining what many scholars see as a pernicious dominance of not only the Realist paradigm, but also Western/Eurocentric patterns of academic and policymaking dominance. However, save a few basic surveys of textbook reproduction of singular aspects of these pedagogic instruments (e.g. Dormer, 2016; de Carvalho et al., 2011), and despite growing recognition for the need for micro-sociological accounts of identity formation (especially Waever, 1998, 2007, 2011), the actual sites of disciplinary identity formation have not been subjected to examination, with published academic articles and textbooks remaining the main object of historiographical revisionism. Add to this the strong thread in contemporary International Relations self-reflection that expresses concern about the need to expand and include more voices (Hobson, 2012; Stanziani, 2018), and questions about how International Relations is taught, and how the traditions of representation of historical International Relations both in and beyond textbooks are perceived by those who use them in their teaching, begin to take on significance. Taking seriously the need for a more inclusive discipline means introducing more voices into conversations about the past and future of that discipline, and if those authors who have been at the heart of the snowballing historiographical literature are to be believed, the dialogue focused on where the discipline has taken its shape from, and where it is heading, should be highly prioritized in any such project. Not least among the reasons underpinning this priority is the fact that since the Western/Eurocentrism that is *sustained* by patterns of disciplinary reproduction of dominant strands also conditions the processes of gatekeeping into the very conversations of self-reflection upon it. This raises the prospect of divergent, various, and perhaps even ambivalent attitudes towards the “historiographical turn” in International Relations (Bell, 2001). As will be seen in the later discussion of the findings of this study, context-specific attitudes, concerns and views on the teaching of International Relations in Japan (and presumably, in any other contexts where similar research is undertaken) are complex and even contradictory. The acknowledgement within academic International Relations of the existence of certain power-centres has been and continues to be an important step in disciplinary development and in setting out a mandate for inclusiveness and critical self-consciousness – yet, as is tentatively shown in this research, if this does not lead to manifest principles of locally-generated values, procedures and principles for disciplinary inculcation, the historiographical-critical literature itself runs the risk of itself being subject to the charge of not being genuinely *international*.

2.0 Background

Duncan Bell’s (2001, p.115) contemplation as to the potential dawn of a historiographical turn in International Relations has been answered in a clear affirmative; the initial wave of revisionism (especially in the work of Brian Schmidt, (1994, 1998, 2012) Lucian Ashworth (1999, 2002), Ole Waever (1998, 2007) and Cameron Thies, 2002)) has been sustained, as more and more scholars seek to tie their visions of the shortcomings and desirable trajectories of International Relations to historical accounts/critiques. Of course, this emergent research thread is bound up

with wider questions about disciplinary demarcation and anxieties of the sort seen played out in major IR Journals and conferences before but perhaps especially in the last 15 years or so (e.g. Buzan and Little, 2001; Baron, 2014), where the main loci of anxiety have been determining the subject matter and boundaries of operation. In the wake of the diminishment of the state as unit of analysis, and in the search for a more expansive account of what IR ought to properly direct its attentions to, there has been as much debate about looking backwards as looking forwards. Depending on where one thinks the discipline should go, excavating alternative accounts of IR history and/or showing the inadequacies of existing narratives are important strategies (e.g. Neumann, 2014). Recent summaries of the historiography to date (e.g. Bell, 2019) have shown how wide-ranging these efforts have been, with the general effect of a more nuanced, complex discipline. One constant among this varied research is the decrying of the rhetorical and often careless historical reconstructions that have traditionally dominated IR (Gunnell 2019, p.203). Chief among these is the ‘Great Debates’ structure of sequencing International Relations’ history, with the first of these debates receiving the bulk of the critical attention. Briefly considering some of the claims made about the pernicious effects of the traditional historical narratives in general, and considering the First Great Debate in particular, will serve to manageably introduce the main themes of the historiographical literature more generally. Finally, it will be suggested that despite the great strides in development emergent in and from this literature, IR has been operating with a fairly limited account of ‘disciplinary identity’.

The tendency to depict development in terms of ‘Great Debates’ is more marked in IR than other social sciences (Smith 1987, Waever 1998). This ‘debater’ tendency is inextricably linked to the paradigmatic thinking and explicit scientism (Jackson 2011, p.3) involving Kuhnian ‘paradigms’ and Lakatosian ‘research programs’ (Geller and Vasquez 1998). One upshot is the tendency to treat Realism, relative to other ‘paradigms’ as pertaining to some set of (mutually) exclusive and incommensurable content (Jackson and Nexon 2009), especially in the demarcation of the international states-system anarchy (Waltz 1979)- a move that Brian Schmidt has convincingly shown as elevating Realism as the ‘traditional’ paradigm of IR and preventing pluralism generally. The main negative effects of this are the proliferation of unnecessary boundary demarcation discourse about who is and who is not a Realist, the caricaturing of diverse thinkers into ‘schools’ (Jackson and Nexon 2009; Deudney 2006; Boucoyannis 2007). All of this is despite the overtly self-proclaimed non-scientism of Realist figureheads Morgenthau (e.g. 1946, p.10) and Waltz (e.g. 1959, p.229-30). This has imparted a huge metatheoretical-methodological burden, characterized as “pushing a huge rock of theory up a steep hill... to roll it down to smash a few pebbles at the bottom” (Hochschild 2005, p.11). At the level of individual IR professors/researchers, financial, psychological and career investment in a given position and a given professional identity means much energy is spent on maintenance (Katzenstein and Sil 2011; Kratochwil 2003). The second ‘Great Debate’ especially has been seen as the height of the influence of positivistic/empirical theory (e.g. Duetsch 1964; Kaplan 1957) and the coalescence of pointedly ‘scientific’ disciplinary identity. Broadly, the third Great Debate can be seen as a collective pressurization on state-centrism from across the critical and pluralist thinkers leading to the Neorealist re-formulation (Lapid 1989, p.236-8). Now, although these other debates have been subjected to less voluminous but still important criticism, for reasons of space, it is

useful to examine some criticisms of the effects of statist tendencies through the example of the First Great Debate.

The main charge against the First Great Debate is that it is factually incorrect. This has, it is fair to say, been established beyond question (see Dormer 2016 p.8-7 for a summary of the historiographical critiques; Long and Wilson 1995 for a powerful and succinct deconstruction). The various pernicious effects of its perpetuation can be roughly grouped into those that highlight the exclusionism that it causes, and those that foreground the Eurocentrism it is seen as supporting. In the former case, there is extensive work showing that the dominant depiction of the myth in textbooks, especially in its caricature of E. H. Carr (Wilson, 2001), obfuscates a depth in variety of interwar scholarship in both macro-histories (e.g. Malloy 2006) and in the near-disappearance of key interwar thinkers such as Halford J. Mackinder (Mackinder 1904, 1919; Ashworth 2010), who despite endurance throughout Cold War security studies is now practically erased from IR introductory texts. This is just one example among many (see Long and Wilson 1995 for many other examples of influential yet largely suppressed interwar thinkers). This artificial sense of closure over interwar debates has deprived contemporary IR from a potentially rich source of resources; a source, somewhat ironically, that includes major threads on problems IR is making strenuous efforts to demonstrate fall within its purview (nationalism, interdependence, peaceful change). Even today, periodic efforts at resurgence of pluralism suffer from the constraints of the now fossilized institutionally positivistic assumptions, shackled to the unwieldy and unrealistic expectations of a holistic ‘theory’ (Strange 1985, 1988). The second group of pernicious effects, formally speaking a subset of the first, is that the story of the First Great Debate acts as a ‘cover up’ of the Imperialistic, Eurocentric and racist origins of IR (Carvalho et al. 2010, 2011). The segment of historiography that has revealed the key moments in disciplinary development (Knutsen 2008; Long 2005; Vitalis 2000) counters the traditional narrative (IR emerging physically in Aberystwyth, spiritually in Versailles) through showing explicit links to white supremacy (Vitalis 2005, 2008). John Hobson’s recent book maps the “promiscuous architecture” of Eurocentrism in IR from enlightenment roots to contemporary institutional dispositions (2012, p.133-145). Those dispositions have been primarily shaped by “misconceptions and simplifications... congenial to the emotions of the Anglo-American community” (Booth 2004, p.332). It is worth noting that the ‘Anglo’ here should now probably only be framed linguistically, and *Eurocentric* is in a sense redundant since the dominance of American power-centers leads narrow receptivity and barriers to much continental thinking (Jorgensen 2000), or indeed any thinking whatsoever not meeting the terms of a discipline “centered around ten US universities and five US journals” (Wallace 1996, p.312). This has been the jumping off point for independent and semi-independent histories of IR in both continental Europe (Amstrup 1989; Attina 1989; Japan (Yamamoto 2011; Inoguchi and Bacon 2009; Inoguchi 2010), and elsewhere. At the heart of marginalization and exclusion is a tradition of Americocentrism in textbook-pedagogy practices which act to construct a “zone of darkness” (Nossal 2001, p.167-186) and perpetuate the myriad north/south, east/west, core/periphery, ethno and Anglo-centric asymmetries in IR (Acharya 2017, 2014; Acharya and Buzan, 2010; Amin 2009, 2010). This is so much more than a problem of justice, but rather, acts to hinder and limit the discipline, feeding into the gap between IR theory and policymaking efficacy (Holsti 2001; Harding 1998; Lapid and Kratochwil 1996). The

above discussion has been necessarily brief, but it is hoped serves to provide the reader with some sense of the range of issues associated with historiography in IR.

Turning to the selection of Japanese IR teaching contexts as the focus of this study, then this darkness is only due to a certain kind of one-way opacity. At the very time in which the ‘First Great Debate’ is traditionally framed as taking place in, Japan’s challenge to Eurocentrism was well underway, and recent historiographical work has questioned the ‘traditional’ narrative that Japan’s failed project to include racial equality in the League of Nation’s covenant as obfuscating a multiplicity of other, universalist views (Toyoda 2018). Other work seeking to recover/reemphasize rich veins of Japanese liberal thought from the interwar period (Mimaki 2018) resonates quite strikingly with the IR ‘core’ interwar historiographies. However, whether this is a symptom of or resistance to Eurocentrism in IR is a complex question. At the turn of the century, when momentum for more internationalization of IR had broken through to become a mainstream research area, some suggested IR was on the precipice of something akin to an inclusiveness revolution (e.g. Inoguchi 2009). But there is a difference between diversity in personnel and diversity in agenda. Work that has sought to bridge the gap between conformity and contribution has sought to balance through contextualisation of the unique within familiar frameworks, showing how Japanese theories of IR existed before and during the inauguration of western-driven IR in local academia (e.g. Kamino 2008), or mapping historical debates in Japanese IR such as that between the eminent early 20th Century thinkers Yoshizaku Sakamoto and Masataka Kosaka in terms of the First Great Debate’s utopian-realist binary (Sato 2008). In perhaps the most comprehensive attempt to compare Japanese and American IR metatheoretical development Inoguchi and Bacon (2001) import Ole Wæver’s topic-analysis of dominant US IR journal publications (Wæver 1998) to show a marked difference in Japanese research theoretical orientation, especially in a tendency toward non-postmodern constructivism, and show how Japanese IR is better understood as consisting of four complexly interwoven and concurrent research ‘traditions’ rather than sequentially dominant paradigms. Their suggestion that the size and autonomy of American IR accounts for the proclivity in theory-driven research accords with much of the critical scholarship on IR, and their finding (2001, p.18) that younger scholars are moving towards theory in Japan might be taken as indicative that Japanese IR is becoming more, not less conformist. Indeed, it might be, as Chen argues, that simply promoting more unique, localized national IR identities/narratives feeds into rather than disrupts hegemonic IR practices (Chen 2012).

Finally, a few remarks about the choice to directly survey IR teachers in Japan must be made. To date, and despite the rich variety of research in IR on the broad topic of ‘disciplinary identity’, few studies have looked beyond journal publications as primary sources. Certainly, IR textbooks have been the subject of criticism, but textbooks are an instrument of teaching, and despite calls for more micro-sociological approaches, no research to date has tried to solicit the views of those responsible for the teaching of successive waves of IR undergraduates. For example, the frequently cited reason of pedagogical efficiency underpinning the endurance of the debater narrative in IR is, strictly speaking, unsubstantiated. Given the discussion the preceding paragraph, even publication by those teaching, researching and working beyond IR’s core is likely conditioned by the topical and theoretical constraints of the power structures within which those publication modes and media are embedded; this

claim is, after all, the main substance/motivation of the whole sociological project within critical IR. Accordingly, directly engaging with those scholars teaching and researching within the tensions of conformity and contribution presents itself as a potentially insightful endeavor.

3.0 Methods & Results

To investigate the attitudes of International Relations in Japan a survey was administered consisting of three sections: attitudes to historiography in International Relations; the use/efficacy of the 'Great Debates' system for teaching; and, the textbooks/materials used for introductory International Relations courses/components. All sections consisted of a small number of questions, with Likert scales and opportunities for open-ended comments. In addition, a fourth section allowed respondents to comment open-endedly on any of the issues in the prior sections. Questions were provided in both English and Japanese, to maximize the potential for response and detail of content. Using the Japan Study Support (JPSS), Times Higher Education (THE) and general internet searches, a preliminary list of 186 universities with International Relations (or, for the first screening, Global Studies, international Studies or other potentially International Relations-related teaching content) being taught at the course, module or program level in both English and Japanese was drawn up. From this list, individual institutions were examined in terms of their web-available syllabus and other course/program information to ensure that introductory International Relations components were on offer, and to draw up contact details for departments/faculty for internet-based delivery of the survey. In addition, recipients were invited to forward the link to any colleagues they deemed appropriate, and the Japan Association for International Relations was contacted through their website and requested to distribute the survey to members. Given that many of the questions ask respondents to refer substantially to their teaching and materials content, the decision was made to make responses completely anonymous, which, while allowing respondents to answer freely, prohibits indexing of results by institution/course/language of teaching etc. Further, in requesting redistribution of the survey and contacting both individuals and groups, a potentially larger group of respondents was reached at the expense of determining response rate. The final number of respondents was 36, which while quite modest is comparable to median overall responses (by country) in the TRIP survey (see e.g. Jordan et al., 2009). Results for the questions, and thematically coded open-ended question counterparts (where applicable) are shown below.

3.1 Survey Section 1: Attitudes to Historiography

3.1.1 Respondent's Own Engagement with International Relations Historiography

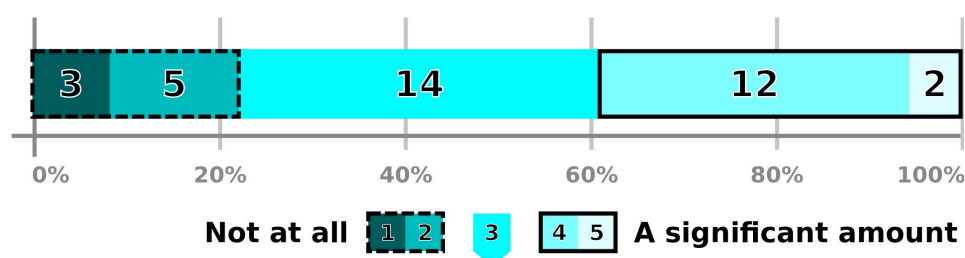


Figure 1: Question 1.1 “*The past 15 years has seen a large amount of research on International Relations historiography. In your own teaching/research, how much have you discussed/read/written in this area?*”

As Figure 1 shows, most respondents report moderate or medium amounts of engagement with International Relations historiography in their work. Of the 14 responses where respondents provided an open-ended supplementary answer, almost all (12) indicated that they had read about, but neither researched nor taught on this topic (e.g. “I have read about Brian Schmidt’s work [a prominent International Relations historiographer] but this doesn’t feature in my own work.”)

3.1.2 Respondent's Perceived Relevance of International Relations Historiography

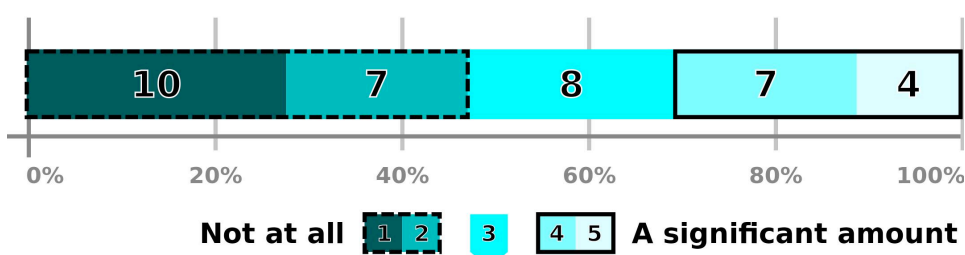


Figure 2: Question 1.2 “*The past 15 years has seen a large amount of research on International Relations historiography. How relevant has this been to your own research/teaching?*”

Figure 2 shows fairly evenly distributed responses, and of the 5 responses where respondents provided an open-ended supplementary answer, no themes emerged. This raises the potentially interesting future research agenda of investigating the underlying causes of variance in perceived relevance of the historiographical literature.

3.1.3 Respondent's View on International Relations Teaching as Sustaining Realism's Dominance

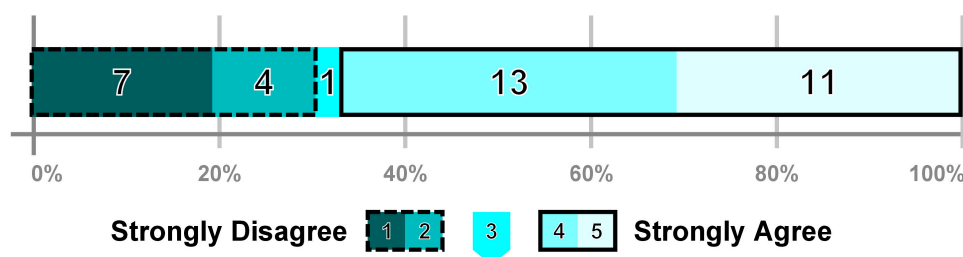


Figure 3: Question 1.3 “Some suggest that this historiography reveals that the way International Relations is taught at universities sustains Realism as a dominant paradigm. How much do you agree with this assertion?”

Figure 3 shows polarized responses, with only a single respondent offering the median view (neither agree nor disagree). Quite a complex set of open-ended supplementary answers were offered (19 responses), with main themes emerging being ‘Realism is not/decreasingly dominant’ (3), ‘Teaching reflects/does not sustain Realism’s dominance’ (7) (disagree), and ‘Textbooks present Realism as the first/main paradigm’ (5). Disagreement responses that indicate views that Realism is justifiably dominant reflect the TRIP faculty Survey in Japan, where around a third of respondents self-identify as Realist researchers, but also the large number of respondents that expressed detachment from the paradigm-framework and/or reported their work as being eclectic (Malniak et al., 2014). However, these results warrant further investigation into the specific views on teaching, since a possible explanation of the mixed results might be due to differences in views about personal research and obligations to deliver background/foundations in undergraduate courses and/or materials-driven restrictions.

3.1.4 Respondent's View on International Relations Teaching as Sustaining Eurocentrism in International Relations

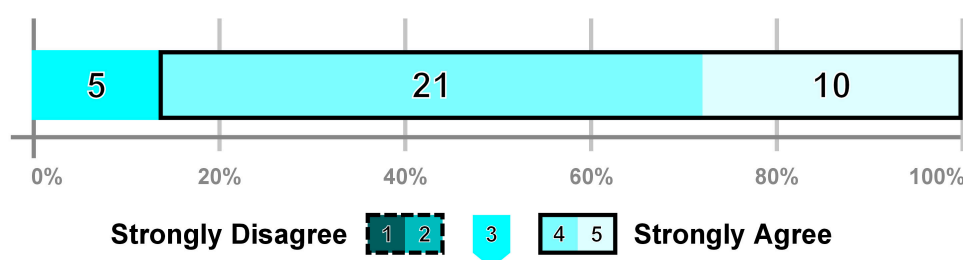


Figure 4: Question 1.4 “Some suggest that this historiography reveals that the way International Relations is taught at universities maintains a Eurocentric attitude in international Relations. How much do you agree with this assertion?”

Figure 4 shows general agreement of a link between International Relations teaching and Eurocentrism in International Relations. Several open-ended supplementary answers were offered (19), with major emergent themes of ‘Dominance of Europe in Materials’ (11), ‘Dominance of Western/American Journals/Publishers’ (8) and the

necessity to publish in English and/or materials being in English (4). Again, these results are not surprising given the TRIP survey faculty responses from Japan showed quite high rates of respondents perceiving a need to “Counter Western/American dominance in the discipline of international relations” (63%/53%, respectively- Malniak et al., 2014).

3.1.5 Respondent’s View on Representation of Japanese International Relations History/Ideas

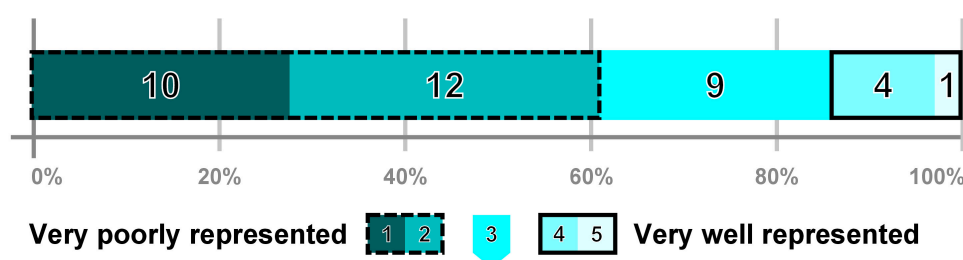


Figure 5: Question 1.5 “How well represented do you feel Japanese International Relations history and ideas are in the current debates about International relations’ history?”

As mentioned in the preceding subsection, both results of this survey and the TRIP survey indicate strong agreement with the necessity to counter a Euro/Western/American dominance in International Relations, so it is unsurprising that, as Figure 5 shows, responses indicated strong views that Japanese history/thought are poorly represented in current International Relations debates, since ‘dominance’ to a great extent implies underrepresenting alternative views/histories/paradigms. Unfortunately, the limited number of offered supplementary answers (3) did not provide much in the way of information that might help unpack this trend. This posits the potential future research avenue of exploring these views in more detail, especially the intersection of faculty attitudes regarding what might constitute a mitigating pedagogical system for dislodging the perceived dominance of Euro/American-centric views, the Realist paradigm, and/or the underrepresentation of Japanese history/views.

3.2 Survey Section 2: The ‘Great Debates’ Systemization of International Relations Teaching

3.2.1 Respondent’s Own Teaching & the ‘Great Debates’ Systemization of International Relations

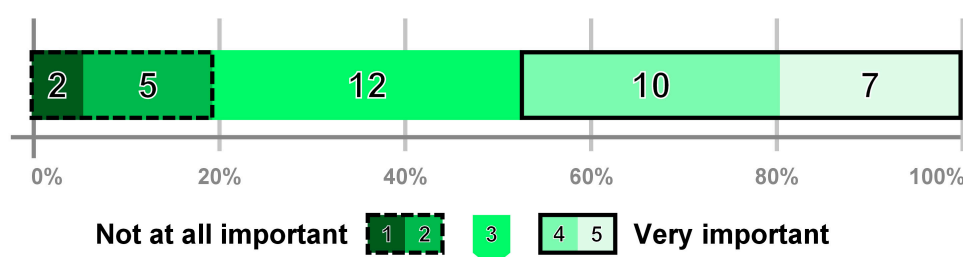


Figure 6: Question 2.1 “In your own teaching and research, how important do you think the ‘Great Debates’ system of historical International Relations is?”

As Figure 6 shows, responses are mixed, with many reporting neutral views, and a trend towards perceived importance of the ‘Great Debates’ systemization of historical International Relations. Emergent themes from the coded open-ended supplementary answers fell into two main groups, with ‘Importance of Teaching Students the Disciplinary Tradition’ (7) and ‘Coordination with Wider Disciplinary Teaching Traditions’ (4) indicating that some respondents felt constrained by the wider web of institutional practices in International Relations teaching and research, and ‘Simplicity over Accuracy’ (6) and ‘Priority of Current and Future Issues’ (8) indicating that many respondents saw the importance of accurate historical sequencing as subordinated to the need to prepare students to engage with substantial local and global issues. Unfortunately, no responses offered any insights into alternative approaches to covering disciplinary history (or alternative strategies for contextualizing International Relations in introductory courses/components), and this stands out as a potentially interesting line of future inquiry.

3.2.2 Respondent’s Perceptions of the ‘Great Debates’ as Pedagogical Tool

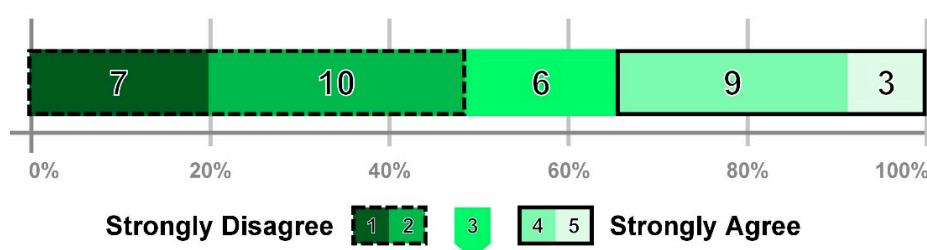


Figure 7: Question 2.2 “Some suggest that even where it is historically inaccurate, the ‘Great Debates’ system is pedagogically effective. How far do you agree with this statement?” (1 non-response)

As Figure 7 shows, views on the question of the pedagogical efficacy of the ‘Great Debates’ system were mixed. In retrospect, the compound nature of the question (including the element of historical inaccuracy and the question of pedagogical utility within a single survey item) complicates interpretation of the results. The limited number of offered supplementary responses did not yield any interesting themes, although there was some repetition of the themes ‘Simplicity over Accuracy’ (2) and ‘Priority of Current and Future Issues’ (2), which again implies that future research directed at faculty attitudes to appropriate alternative pedagogical materials and approaches might be interesting.

3.2.3 Respondent’s Expectation of Student Knowledge of the ‘Great Debates’

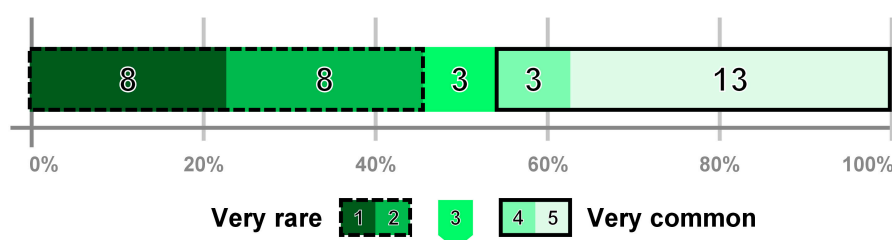


Figure 8: Question 2.3 “Among the average Japanese International Relations undergraduate juniors/seniors, how common do you think knowledge of the ‘Great Debates’ is?” (1 non-response)

As Figure 8 shows, responses were fairly polarized, which raises important questions about the underlying reasons. One obvious possibility is that teaching faculty form their views based on the extent to which the ‘Great Debates’ features in the contents of their own classes/curriculum. Supplementary responses tended to explain their Likert choice in terms of curriculum coverage (5), rather than any observations about complexity or problems with student comprehension.

3.2.4 Perceptions of ‘Great Debates’ Systemization in Japanese Contexts

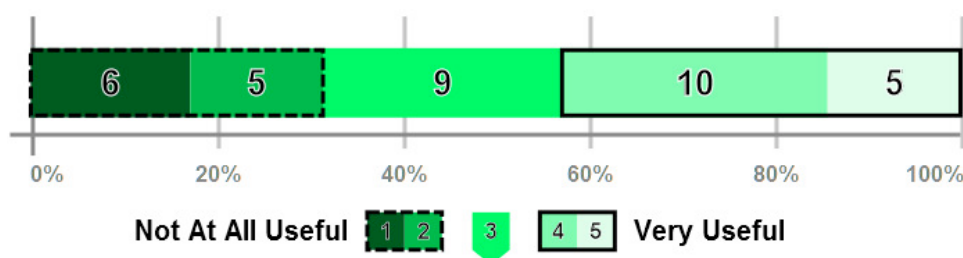


Figure 9: Question 2.4 “To what extent do you think teaching the history of International Relations through the ‘Great Debates’ is useful in Japanese contexts? (1 non-response)

As Figure 9 shows, most respondents report neutral or moderate views about the suitability of the ‘Great Debates’ system. Of the open-ended responses (3), an interesting contribution specifically mentioned the need to include examples from Japan for the key paradigms.

3.2.5 Respondent’s Perceptions of the ‘Great Debates’ & Japanese History

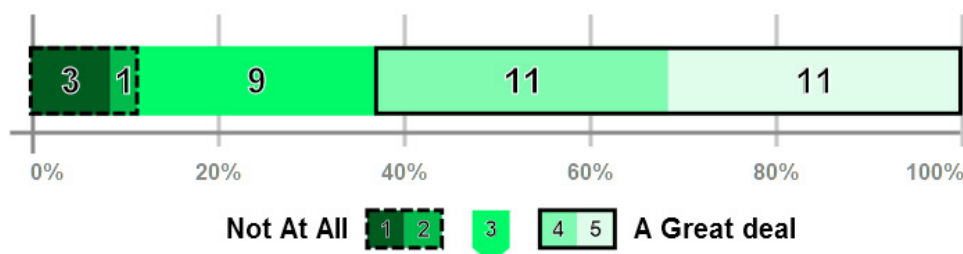


Figure 10: Question 2.5 “To what extent do you think teaching the history of International Relations through the ‘Great Debates’ excludes Japanese International Relations history? (1 non-response)

As Figure 10 shows, most respondents report strong or very strong views about the exclusion of Japanese International Relations history through the ‘Great Debates’ system of scholarship/teaching. This resonates with the TRIP survey and previous answers as to a discomfort with the dominance of the discipline from extra-Japanese sources. Interestingly, in the supplementary open-ended answers, themes emerged of ‘Lack of Available Japanese Materials’ (4) and ‘English-language dominance in International Relations’ (3), showing that future research exploring what would constitute appropriate/ideal materials is both required and has the potential to be informed through consultation with faculty.

3.3 Survey Section 3: Textbooks Used in International Relations Teaching

3.3.1 Textbooks Used

No respondents chose to list any textbooks they used in International Relations teaching, nor offered any information in the open-ended supplementary question about the degree to which the ‘Great Debates’ system featured in their chosen published textbooks, in-house or self-produced materials. In short, the survey was unable to glean any information about materials used, which raises the question of how future research might be designed to investigate this quite important aspect of International Relations teaching. This is especially so given the themes relating to availability of texts in Japanese, as well as dominance of English-language materials, which reflect on the teaching-level results from the TRIP faculty survey that show regular reliance upon English for researching and producing research (Malniak et al., 2014, p.4 (especially items 10-12)).

3.3.2 Respondent’s Perceptions of (English) Undergraduate International Relations Textbooks

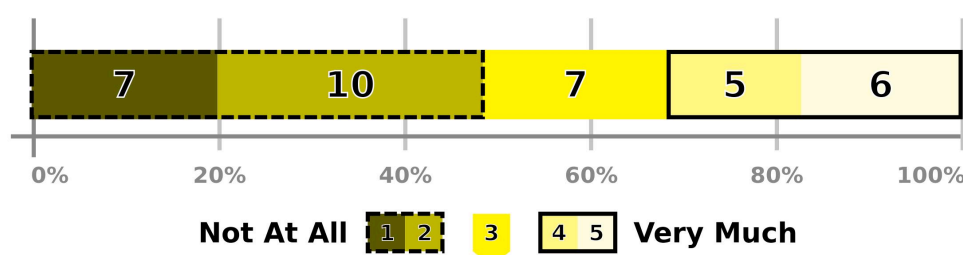


Figure 11: Question 3.2 “How appropriate do you feel the main English-language undergraduate International Relations textbooks are for Japanese university contexts? (1 non-response)

As Figure 11 shows, responses were mixed, with a slight trend towards views that see the main textbooks in English as being inappropriate for Japanese university contexts. Of the small number of open-ended answers provided (4), an emergent theme was ‘Preparing students to work in Japanese contexts/institutions’.

3.3.3 Respondent’s Perceptions of (Japanese) Undergraduate International Relations Textbooks

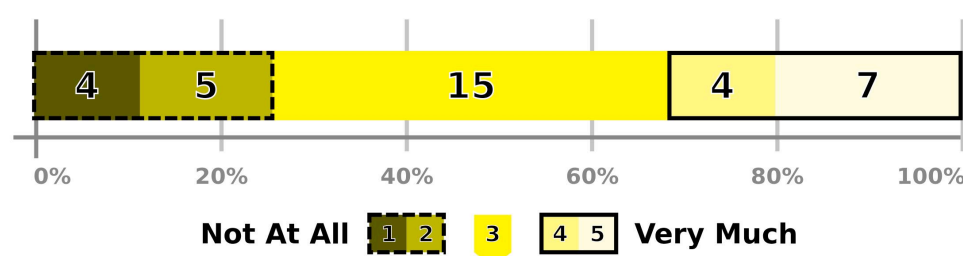


Figure 12: Question 3.3 “How appropriate do you feel the main Japanese-language undergraduate International Relations textbooks are for Japanese university contexts? (1 non-response)

As Figure 12 shows, responses to Question 3.3 were comparably more ambivalent than Question 3.2. Open-ended responses from those who attributed high appropriacy mentioned ‘Adapting/producing own materials’ (3) and ‘High quality textbooks’. However, unfortunately no further details of those textbooks considered appropriate were provided.

4.0 Discussion & Conclusion

The key observation from the survey results is that there is a great deal of variety concerning the attitudes to both International Relations historiography, and the main traditions of teaching and materials available. Awareness of research in International Relations historiography is moderately high, but there are mixed views about the relevance of that research to International Relations teaching. With respect to the perpetuation of Realism as a dominant research paradigm, and Euro/American/Western-centrism in International Relations, clear trends that accord with the TRIP faculty survey emerged, and yet the perception of these dominances was not matched in Section 2 responses on the ‘Great Debates’ systemization. This might indicate that many respondents do not view that system as a prime component of those dominances and/or don’t consider the link between undergraduate teaching and research paradigm dominance to be substantial. As seen above, Section 3 failed to elicit any information about materials choice, but in the open-ended responses and general trend to see both English and Japanese-language materials as lacking appropriacy, a major area for future research might involve consultation with faculty members regarding the content and design of context-specific materials. As a brief example of what such research might point to, it might be informative to consider the field of English Language Teaching, where the consciousness of the link between language and country/region-specific dominance of materials is comparably higher (Jenkins, 2003; Rubdy and Saraceni, 2006). Informed by such research, the government of Chile embarked on an extensive local/national/global needs assessment process (Valverde, 2004), with one major upshot being locally-generated textbooks. Extensive consultation with Japanese International Relations faculty as part of future research might serve to facilitate a framework for the generation of improved materials, or minimally, criteria for the assessment of existing materials, with further potential for that process to serve as a guide to parallel projects in other contexts.

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***Exploring the Interactions by Virtual Characters for Interconnectedness
Communication***

Wen-Shou Chou, Ming Chuan University, Taiwan
Pen-Yu Liu, Ming Chuan University, Taiwan

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Abstract

Peoples communicated on the current social media were mainly to share emotions and experiences in addition to exchanging information. However, the researches for discussing how to design the interface for interconnectedness communication are still very rare till now. It is especially true for this kind of communication based on the use of virtual characters. This study tried to explore what interactions peoples would like to take to let each other feel “keeping in touch” emotionally by the use of virtual characters. According to the method of statistical factor analysis, four factors of the interactions were extracted, namely the “getting close”, “attracting attention”, “being together”, and “looking after”. It was also found that there was no significant difference between the genders for these four factors.

Keywords: interconnectedness communication design, emotional design, social media, new media.

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Introduction

Social media such as Line or Facebook could provide the platform for peoples sharing their emotions and exchanging information. For the communication of emotions and experiences, some static graphics (such as the emotional icons), or the clips of motion graphics, were usually applied to express their feelings, in order to compensate the lack of real time communication clues, such as the eye's contacts. By sharing emotions and experiences with the help of using these graphics, peoples could also feel enjoyment and satisfaction.

The emotional graphics used in these media often contained graphics and texts, some of the graphics contained virtual characters. These emotional graphics were often released pack-by-pack. Since a single pack of graphics could not cover the needs of users to express their variety feelings, peoples would like to use several packs of graphics simultaneously in order to choose the most appropriate graphic to express their feelings. How to design the graphics to fit the needs of users for variety situations is still lack of research reports, furthermore, how to design the interactions for the virtual characters embedded in these graphics also needs more explorations.

This study aimed to explore the interactions of virtual characters in designing such emotional graphics or in developing a connectedness communication interface, where the interactions between virtual characters maybe controlled by the users, instead of being drawn fixed in the current media.

Social Presence, Awareness, and Interconnectedness

The social presence is a sense of "being together" (Biocca, Harms, & Burgoon, 2001), it represents the degree of feeling each other while peoples communicate through the social media (Short, Williams, & Christie, 1976). Some immediate behavior, such as smile, could enhance the feeling of presence (Gunawardena, 1995). The work "SharedSpaces" (Handberg, Gullström, Kort & Nyström, 2016) intended to provide the feeling of social presence, it extracted the images of peoples in front of the green screen and projected them onto the same virtual space, to let peoples feel they were located in a same place. The awareness means to understand the environment, situations, and corresponding activities of the remote coworkers in the field of computer supported cooperated work (CSCW). Suitable awareness design could enhance the efficiency of co-works through the media. The Connectedness, or the Interconnectedness, is an emotional sense for letting the users of social media to feel "keeping in touch". For example, peoples could say good night by using the short message to keep the sense of connectedness (Nardi, Whittaker, & Bradner, 2000). In this study, we would like to use the interconnectedness, instead of the connectedness, to emphasize the interactive characteristics between virtual characters in the following discussions.

The interconnectedness is correlated to, but not equal to, the social presence and awareness. It was the most important demand factor for the social communication (Rettie, 2003). In many situations, users just want to let each other to feel keeping in touch, and don't want to know what he or she is doing. The design of awareness often needs sensing the environment and transmitting the images or sounds in real-time. For interconnectedness, it may only need to reveal what the relationships between two

virtual characters embedded in a graphic, such as the stick graphics used in the Line social media.

Works for the design of Interconnectedness

Since the interconnectedness is essentially to invoke an emotional feeling, peoples would remind their friends or family (and thus created an interconnectedness feeling) when watching news or weather reports about the places they lived (Rettie, 2003). The “WhiSpiral” which designed by the Media Lab of Europe (Agamanolis, 2005), embedded mini microphone in the scarf, when you fondled the scarf, the pre-recorded voice of family or friends would be re-played to create an interconnectedness experience. In the work of Dey and de Guzman (2006), they designed an electronic picture frame placed in the bedroom, it could show the pictures of remote family or friends via the internet, and created an interconnectedness feeling when people noticed the picture was updated remotely. The “MoodCake” (designed by Chou, Chang, & Fan, 2012) applied music to design an interconnectedness interface (Fig. 1). Users could click one of the four buttons in the interface to represent his or her feeling, and the remote one would listen to a corresponding music. The user could also click the question button to query the situation of the remote one. The MoodCake can invoke the interconnectedness experience successfully by music.

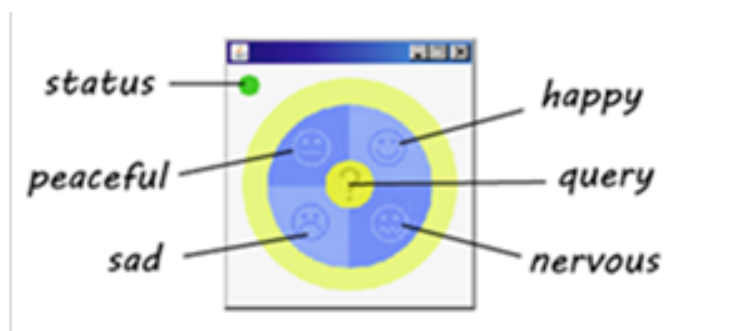


Figure 1. The interface of MoodCake

The Interconnectedness Communication by Virtual Characters

To invoke an interconnectedness feeling, one can use pictures, sounds, text messages, graphics, objects, or the clips of motion graphics. However, there is still lack of a more holistic design for establishing the interconnectedness experience communication channel. We have proposed a prototype, based on the use of motion graphics embedded with virtual characters, to let users send text messages, give/receive virtual gifts (will be shown as motion graphics), tell the remote partner what he or she is doing and what he or she feels now (by selecting and clicking the corresponding icons).



Figure 2. The designed interconnectedness communication interface

The system was built on the client-server internet architecture, as shown in Fig.2, the left virtual character represented the user, and the right one represented the remote partner. When one selected an operation, a corresponding looped clip of motion graphic would be played. For example, one can tell the remote one he/she is busy but happy now by choosing the “busy” status icon and the “glad” mood icon, and the corresponding clips of motion graphics would be shown (Fig. 3). It should be noted that the clips of motion graphics represented the status (what he/she is doing) and those represented the mood (what he/she is feeling) were separated and can be assembled, most of the current social media can not do this.



Figure 3. The screenshot of setting busy status and selecting the glad mood.

According to the test, the system can let the users know the status of each other and express their emotional feeling successfully (Chou, 2018). However, this communication interface could not provide the interactions directly between the two virtual characters, for example, let your virtual character to hug the other one of your partner. In order to design the interactions between these two virtual characters for creating interconnectedness experiences, this study tried to explore what interactions peoples would like to take to create the interconnectedness experiences.

Research Method and Results

The interconnectedness as far as we know is still lack of serious definition. Some researchers in the psychology may refer it as the intimacy or the closeness. The various measures of closeness were based on the two latent dimensions of behavior close and feeling close (Aron, Melinat, Aron, Vallone, & Bator, 1997). To develop the questionnaire and to explore the constructs for the interconnectedness communication, we referenced the interaction terms in the questionnaires of

researches about closeness. Such as doing the following activities with the partner: watching TV, singing, dancing, went to a party, doing laundry, talking on the phone, et al. (Berscheid, Snyder, & Omoto, 1989). Besides, we also collected and analyzed the interactions of virtual characters from the most popular 72 sets of stick graphics in the Line Store (2019). For examples, there were many stick graphics in these sets representing “kiss you” (Fig. 4) or “let’s dance” (Fig. 5), et al.



Figure 4. Examples of stick graphics representing “kiss you” in the Line Store.



Figure 5. Examples of stick graphics representing “Let’s dance” in the Line Store.

There were totally 30 questions proposed in the questionnaire with 7 points Likert scale for exploring the interactions. 154 (male: 56, female: 97) volunteers were invited to test the questionnaire, most of them were aged between 15 to 29 years old (90.2%). According to the scree plot of statistical factor analysis, four factors were extracted, and they were named as “getting close”, “attracting attention”, “being together”, and “looking after” respectively. After deleting the questions with unsuitable factor weights, 23 questions were remained. The questions were re-arranged based on these four factors and summarized in the Appendix.

The Cronbach's α of the whole questionnaire was 0.934, and those values for the four factors were 0.948, 0.859, 0.835, and 0.809 respectively, it showed that the questionnaire was highly reliable. For the validity analysis, the KMO and Bartlett's spherical test were examined. The KMO value was 0.890, and the Bartlett's test of sphericity also achieved significant. The total cumulative variance explained by these four factors was 68.523%. According to the t test, there was no significant difference between genders among these four factors.

Conclusion

The interaction of virtual characters designed for emotional graphics was important to reveal the emotional feelings for peoples communicated on the social media. This study tried to explore what kind of interactions peoples would like to take to express their feelings and to let each other feel keeping in touch. We believed the proposed four factors of interaction could cover a large number of interaction needs and provide

an important reference to design an interconnectedness communication system in the following studies.

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Contact email: cws@mail.mcu.edu.tw

Appendix : the extracted factors and questions involved in the questionnaire.

Factors	Item	Questionnaire Topic
Getting Close	1.	Sometimes I would like to “kiss” the partner.
	2.	Sometimes I would like to “hug” the partner.
	3.	Sometimes I would like to “rub” the partner.
	4.	Sometimes I would like to “cuddle” the partner.
	5.	Sometimes I would like to “sleep” together with the partner.
	6.	Sometimes I would like to “pinch” the partner’s “face”.
	7.	Sometimes I would like to “pat” the partner’s “head”.
	8.	Sometimes I would like to “hold” the partner’s “hands”.
	9.	Sometimes I would like to “lean on” the partner.
	10.	Sometimes I would like to “pillow my head on” the partner’s “lap”.
	11.	Sometimes I would like to “feed” the partner.
Attracting Attention	12.	Sometimes I would like to “press” the partner.
	13.	Sometimes I would like to “tap” the partner.
	14.	Sometimes I would like to “hit” the partner.
	15.	Sometimes I would like to “threat” the partner.
	16.	Sometimes I would like to “kick” the partner.
Being Together	17.	Sometimes I would like to “sing and dance” with the partner.
	18.	Sometimes I would like to “watch shows” with the partner.
	19.	Sometimes I would like to “join the party” with the partner.
Looking After	20.	Sometimes I would like to “tickle” the partner.
	21.	Sometimes I would like to “give” the partner “a piggyback”.
	22.	Sometimes I would like to “pick” the partner “up”.
	23.	Sometimes I would like to “hypnotize” the partner.

A Study of Consumers Purchasing Factors through Facebook Online Live Streaming: Taking Sales of Clothing for Example

Hsin Yin Hsu, National Yunlin University of Science and Technology, Taiwan
Wen Shan Chang, National Yunlin University of Science and Technology, Taiwan

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Abstract

Owing to the rise of online live streaming in recent years, many socializing platforms also successively introduce the live streaming services that blew up the fad of live streaming. This situation not only brings overnight fame to a lot of online ordinary people but also develops the business model of combined ecommerce with digital marketing. Therefore, this research adopts Facebook as a research tool which is widely applied by netizens in exploring the factors that live streaming platforms impacts on consumers' willingness of purchase. This research is aimed at the environment which Facebook applies to live streaming platforms. The subjects were recruited consumers who purchase clothing through online questionnaires to investigate that the factors influence on consumers' willingness of purchase. The results indicate that among the majority of influential factors of purchase, consumers purchase commodity through Facebook because of "bandwagon effect". Furthermore, interaction between streamers and consumers is one main factor of customers purchasing motivation. In addition to providing related data to operators on the future live streaming platforms, the results of this research will also help managers further easily develop online live streaming and the marketing strategy of digital service.

Keyword : Facebook; Live streaming; Purchase Intention; Conformity; Perceived Interactivity

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Introduction

Background

Internet has develop rapidly in recent years. Smartphone technologies has change the way information has communicate and our lifestyle. Nowadays consumer not only intake information from newspaper, television or magazine, but also utilize social media for information gathering. According to 2015 study conduct by Market Intelligence & Consulting Institute [MIC] Taiwan has average of 80% of users utilize social network platform for finding information on purchasing goods. Social media can by utilize in many different way, including text, photos and videos. Therefore many e-commerce gradually switch to social media platform to advertise their product for better sales and interaction.

Research Motive

Online live stream is a type function in social media platform. According to 2017 study conduct by Taiwan Broadband Internet survey, Taiwan has accumulate of 18 million online users, occupying 80% of total population in Taiwan. Furthermore, nearly 40% of the user used live streaming before. Many social media platform such as Facebook, Youtube and Instagram also offer live stream service for users to broadcast, also for users to interact with other online users via live chat integrated in social media platform (Hamilton, Garretson & Kerne, 2014). Due to the high accessibility of live stream service, many individual can utilize digital device to start their own live stream. Which creates some online celebrities as well as develop some innovated business model using livestream to sell products. According to Insightxplorer Corporation 2018 survey, almost 80% of the users who uses ecommerce had watched live stream commerce before and 40% of those users who actually purchase from live stream commerce. Just Facebook alone, reported as high as 5.5 billion users utilized its platform for commencing (Commercial Times, 2018).

Traditional ecommerce has some risk involve, mainly regarding the unknown of the product (Glover & Benvasat, 2011). Live stream platform offer user more immerse experience and instant interactivity. Live streamer could answer questions posted by user instantly and also taking friendly chat with audience, which strengthen the bond between streamer and audience. Compare to traditional ecommerce platform, livestream service could add more fun to purchasing experience, as well as offer instant information about product, reducing the unknown of the products. According to Central News Agency 2018, certain company has its sale doubled when switching from traditional platform to Facebook live stream. Therefore, one could see that live stream commerce is an undeniable trend, which this study attempts to understand. In such business model, what key factor motivated users to purchase from live stream commerce? Providing conclusive evidence for live streamer or company to further enhance their live stream service.

Research purpose

Base on the background and research motivation. This study mainly focus on understanding the key factors which influence their motivation of purchasing livestream ecommerce. Providing as evidence for future livestream ecommerce to exemplify on. The research process is shown in Figure1.

1. Analyze the key factors which influence their motivation of purchasing livestream ecommerce.

Research questions

1. Does Perceived Interactivity affect consumer's motivation in purchasing from livestream ecommerce?
2. Does Seller Credibility affect consumer's motivation in purchasing from livestream ecommerce?
3. Does Conformity affect consumer's motivation in purchasing from livestream ecommerce?

The results of this study will serve as a reference for subsequent experiments.

Research area and restriction

This study uses Facebook platform in Taiwan as research area, and mainly focus on commerce of clothing. The Research subject is target at consumer who uses Facebook livestream platform to purchases clothing.

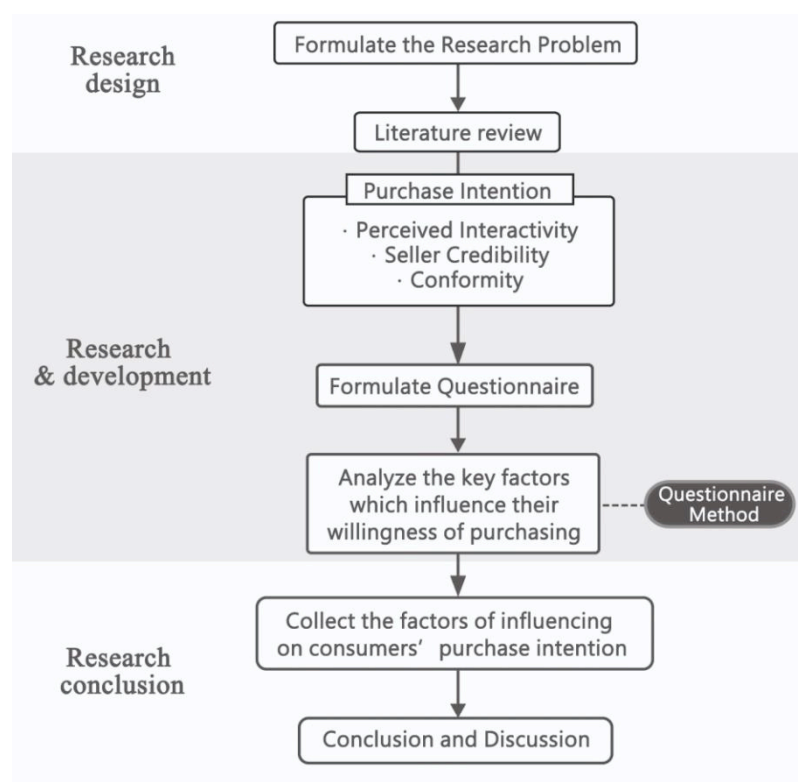


Figure1: Research Process

Literature review

In this chapter, literature review will be on the research topic regarding the study. The first part explain the property of Facebook livestream, understand how livestream interact, the second part analyses consumer purchase intention, and serve as core knowledge for methodology.

Facebook development

Facebook is one of the world's most popular social platform. According to Taiwan Business Topics (2017), Facebook has accumulate 18billion users in the world, as well as Taiwan's most popular social platform. 86% of Taiwan population owns Facebook account, which is more than any other country in the world. According to Facebook statistic, there are more than 5.5billion users using Facebook for commencing and 40% of Facebook user will use Facebook to understand the product or brand before buying. Furthermore, more than 75.8% of the users purchase product because of their Facebook fan page. Therefore we could see that Facebooks has become a crucial tool for product advertising and brand managing.

Facebook live stream

Mobile device and information technologies has improve in recent years for livestream to become accessible and popular for everyone. There are different variety of livestream services, such as Twitch, 17 livestream, Youtube and Facebook. According to Market Intelligence & Consulting Institute [MIC] 2017, The most popular livestream platform in Taiwan is Facebook, follow by Youtube livestream service, Figure 2 for detail graph.

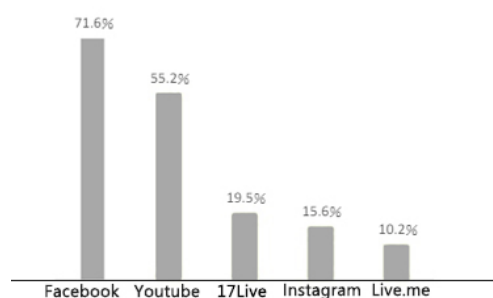


Figure2: Taiwanese Netizens mainly use Live Broadcast platform (MIC, 2017)

Perceived Interactivity and Purchase Intention

During live streaming, every user can uses chat feature to communicate. Hoffman and Novak (1996) pointed out that by using network platform's feature such as review, forum and chat, users could interact with each other and build connection. Kang; Wang; Tan & Zhao (2015) discover that in current ecommerce, consumer shifted from gathering information surfing ecommerce website to interact with seller using chat in real time. Interactivity is a crucial factor of what makes website user shifted to actual consumer (Tsai, Wu & Chuang, 2016). Social network's interactivity not only provide effective way for provider to provide information to consumer, but also become a great tool for real time engagement for answering questions. Therefore this study purpose that Social network and interactivity has close relationship with each other. When consumer uses livestream ecommerce, live streamer can utilize Facebook live stream to interact with consumer regarding product information, thus increasing purchasing intension.

Seller Credibility and purchase intension

Credibility is the trust between seller and buyer. Trust could effectively reduce the complexity and uncertainty during transaction. To stabilize the relation between both stakeholders, credibility become a crucial factor (Morgan & Hunt, 1994). In

Ecommerce environment, seller and buyer builds a trust relationship. Social network chat function can reduce the complexity and uncertainty of gathering product information Kang et al (2015). When seller streams on Facebook, consumer can provide seller with likes and share with friends, both party can comment and rated each other for other consumer to reference on. Seller who has higher rating indicates higher credibility (Doney & Cannon, 1997). Therefore, credibility in livestream can reduce the complexity and uncertainty, increasing the purchase intension.

Conformity and purchase intention

Consumer who would like to gain the group's acceptance and expectation of the group would mimic thoughts or behaviors similar to those in the group (Wilkie, 1994 & Macinnis, 1997). In marketing, conformity means consumer's opinion and attitude affected by other's action or opinion. Studies shown that most consumer purchases popular products, to prove that they belong to society and follows conformity, which also makes it easier for companies to achieve sales goals by producing popular products (Lascu & Zinkhan, 1999; Madrigal, 2000; Rose Bearden & Manning, 2001). Consumer could affect by friends and family regarding popular information, in turn , attract attention to the product, and increases the purchase intention.

Purchase Intention

Purchase intention means the likelihood of purchasing certain product (Dodds, Monroe & Grewel, 1991). When consumer purchase a product, they will choose the information base on their own experience and environment. And then evaluate whether or not to purchase such product. When consumer have a positive willingness to purchase the product or services, the greater the chance of consumer actually purchase the product or services (Peter & Olson, 2010). In Social network environment, advertisement and user's comment has a substantial effects on purchase intension(Jiménez & Mendoza, 2013).Studies shown that the higher the purchase intention indicates higher probability of purchasing the product (Schiffman & Kanuk, 2000). Base on those studies, the research defines purchase intention as the likeliness of purchasing the product and also indicates the demand for the products, which the study will use for analysis livestream ecommerce.

Summary

This study focus on understanding livestream ecommerce environment, analysis the factor affecting consumer's purchase intention. The study form hypothesis base on studies such as Perceived Interactivity, Seller Credibility, and Conformity, and then develop the questionnaire for this study. This study uses Kang et al. (2015)'s questionnaire for understanding perceived interactivity and seller credibility. In addition, the study uses Bearden et al. (1989) for understanding conformity and also uses Chiang (2015)'s questionnaire to form the full questionnaire of the study. Purchase intention is based on Lee and Turban (2001) and Tsai (2016)'s questionnaire. Finally, the wording of the questionnaire was modified according to the characteristics of this study.

Methodology

Research framework

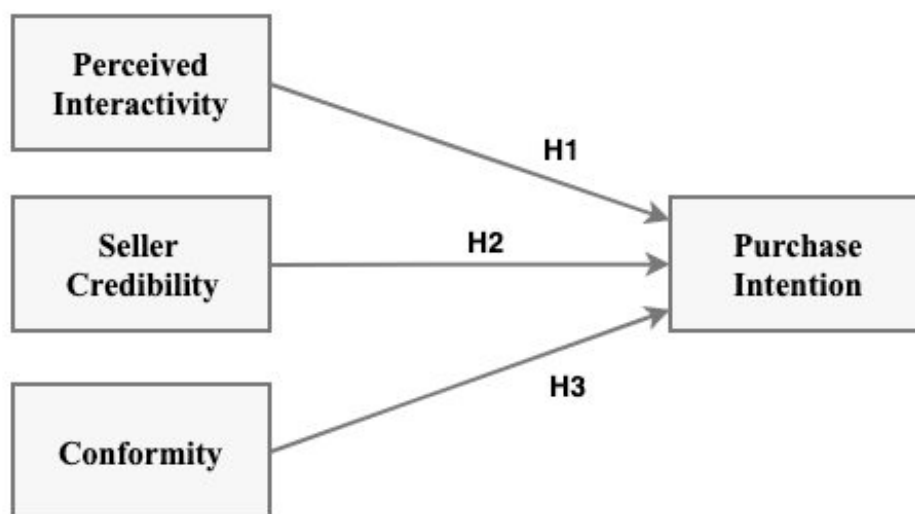


Figure3: Research Framework

The study hypothesis is shown below.

H1: Perceived interactivity has positive influence towards viewer's purchase intention in livestream ecommerce scenario .

H2: Seller Credibility has positive influence towards viewer's purchase intention in livestream ecommerce scenario.

H3: Conformity has positive influence towards viewer's purchase intention in livestream ecommerce scenario.

The research mainly focus on consumer's intention of purchasing clothes using livestream ecommerce. First by conduct literature review on the property of Facebook and livestream services and develop questionnaires based on studies and hypothesis. Then have the subjects fill out the questionnaires to understand the relationships of the factors. The questionnaire is designed in Likert (1932) scale of 5. To ensure the reliability and validity of the questionnaire, researcher refer to the scales proposed by other scholars in the past and adjust the content base on the context of the study. The research framework is shown in Figure 3.

Conclusion

This subject of this study are those audience who uses Facebook livestream service to purchase clothing in recent 6 month period. The questionnaires are distribute in various social network channels, including PTT, livestream platforms and Facebook. The questionnaires are then conduct reliability analysis upon finish collecting. The research uses SPSS 25.0 as software for verify consistency of the items. Before the official release of the questionnaires, to evaluate whether the questionnaire is effective, this research collects 37 individual subjects for pretest, There are 11 boys and 26 girls,

and the age group is 31-40 years old, accounting for 46% of the overall sample. The basic data of the subjects are shown in Table 1.

Table 1: Respondent Information

	Item	Number of people	Percentage(%)
Gender	Male	11	29.7
	Female	26	70.3
Age	Under 20	1	2.7
	21-25	11	29.7
	26-30	3	8.1
	31-40	17	46
	41-50	5	13.5
Occupation	Student	10	27
	Service industry	14	37.9
	Technology industry	5	13.5
	Financial industry	2	5.4
	homemaker	3	8.1
	Other	3	8.1
The period of watching clothing live streaming	Under Six months	9	24.3
	Half – 1years	11	29.8
	1-2 years	13	35.1
	2-3 years	0	0
	More than 3 years	4	10.8
The frequency of watching clothing live streaming	Seldom	12	32.4
	1 or 2 times per week	20	54
	3 or 4 times per week	4	10.8
	5 or 6 times per week	1	2.7
	Every day	0	0

Among the number of times that the subject purchased clothing items on the Facebook live broadcast platform within half a year, the maximum number of people who bought 1-3 times was 26, accounting for 70.3% of the total sample, and the average consumption amount was less than 1,000 TWD and 1001-3000 TWD. The ratio of TWD is 46% and 43.2%, respectively, followed by 3001-5000 TWD (8.1%) and 7,000 TWD (2.7%), as shown in Table 2.

Table 2: Respondent Consumption Experience

	Times	Number of people	Percentage(%)
The purchase frequency of clothing items in the past six months	Under 3	26	70.3
	4 to 6	8	21.6
	7 to 9	2	5.4
	10 to 20	1	2.7
	Over 21	0	0

The average amount of spending on the Facebook live stream	Less than 1000 TWD	17	46
	1001-3000 TWD	16	43.2
	3001-5000 TWD	3	8.1
	5001-7000 TWD	0	0
	More than 7001 TWD	1	2.7

Reliability analysis

This items of this questionnaire of this study is form based on the literature review. And then invited experts and scholars to evaluate the content to validity each items. After the revision base on expert's opinions, the questionnaire is prove to achieve good validity. The research then uses Cuieford (1965)'s purpose of Cronbach's α value of 0.7 as a mean to evaluate consistency of the items. This study result shown that all the aspects have Cronbach's α between 0.873 and 0.937. Which is larger than 0.7, thus deem consistent in each aspect. The result is shown in Table 3.

Table3: Reliability analysis

Reliability analysis		
	Cronbach's α	N
Perceived Interactivity	.877	6
Seller Credibility	.917	5
Conformity	.873	8
Purchase Intention	.937	5

Correlation analysis

The purpose of this study is to analysis the factor that influence consumer's purchase intention in livestream ecommerce. By using Pearson analysis to evaluate whether perceived interactivity, Seller credibility, and Conformity has positive relationship with purchase intention. According to the results. Perceived interactivity has a correlation coefficient of 0.648 with purchase intention. And value P is 0.000 thus under 0.05 significant level, we can conclude that perceived interactivity has a positive relationship with purchase intention. Also the Table shown that Seller credibility and Conformity also has a positive relationship with purchase intention base on the finding (Table 4).

Table 4: Correlation Analysis

		Correlation		
		Perceived Interactivity	Seller Credibility	Conformity
Purchase Intention	Pearson Correlation	.648**	.731**	.686**
	Sig. (2-tailed)	.000	.000	.000
	N	37	37	37

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

Discussion

This study focus on understanding the factors influences consumer's purchase intention. Base on literature review, the study form 3 hypothesis which all proven to be affecting consumer's purchase intention. Base on the study, we can conclude that when consumer is purchasing using Facebook livestream ecommerce. They will most likely be influence by Conformity to purchase the product. Also other than interact with the seller by real time chat, the user can also view other consumer's opinion and review on such product, which arouse purchase intention. Lastly, the real time interactivity of livestream also proven to be affect consumer's purchase intention. The result of this study could provide as a reference for future livestream ecommerce platform. Furthermore, provide as evidence for companies who would like to develop their business model and strategies into livestream ecommerce.

Traditional ecommerce market face multiple difficulties in recent years. Many companies has shifted to livestream service to sell various products. Due to the study only target those consumer who use livestream to purchase clothing, the research purpose future study could target at different audience or livestream platforms. As an alternative, target at those consumer who may never use livestream service before to understand the potential effectiveness of livestream service. This research could service as a reference to future study to examine from, and to further study the difference of different livestream ecommerce.

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Contact email: yagou4545@gmail.com

A Study on the Purchase Factors of Mobile Game Loot Box - Taking Tower of Saviors as an Example

Wei Han Hsu, National Yunlin University of Science and Technology, Taiwan
Wen Shan Chang, National Yunlin University of Science and Technology, Taiwan

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Abstract

With the rapid development of smart phones, nearly 70% of Taiwan's population currently owns smart phones, and nearly 90% of Google Play users have access to mobile Internet. With the integration of smart phones into people's lives, they also drives the demand for APP applications. The needs of the program. The game-related APP is currently the most profitable category in the software market. It also represents that leisure time of playing mobile games has become a part of many people's daily entertainment. In the current business mode of mobile games, many popular games attract players by means of free play, and loot box to stimulate the player's desire to purchase. The decisive factors affecting the desire to purchase will be game developers and important information for marketers. Therefore, this study will use the well-known mobile game "Tower of Saviors" as an example to explore the purchase factors of the loot box. This study is based on the EKB (Engel-Kollat-Blackwell) Model and conducts in-depth interviews with ten players. The results of the study shown that among the many factors affecting purchase, consumers will choose a lottery because of their quality and ability. The appearance of the character is also the main factor affecting the motivation of purchase. This study expects the results of the study to identify the purchase factors of the loot box for mobile games. Furthermore, provide a reference direction for game makers to design or formulate marketing strategies in the future.

Keywords: purchase factors, EKB Model, loot box

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1. Introduction

Smart phones had become part of the lives of Taiwanese over time. By the third quarter of 2018, the number of mobile communication subscribers in Taiwan had reached 29.943 million. An increase of 317,000 subscribers compared with the same period last year (National Communications Commission, 2018). In 2017, 92% of Google Play users in Taiwan use mobile phones to access the Internet, which is twice as many as 2013 (Hung, 2018). According to the report of Digital Service Innovation Institute, 61% of people use mobile phones for more than three hours a day, compared with 2014 to have 16% growth (Institute for Information Industry, 2018).

With the popularity of smart phones, the App market has also become active. In 2012, the total number of downloads of the iOS store and the Google Play store was about 2 billion times. By 2017, the total number of downloads in the iOS store grew to 30.5 billion times, and the total number of downloads in the Google Play store hits 81 billion times with record high (Cheney, 2018; Kristianto, 2018). These figures show that the app market has become the focus of current attention.

In order to organize the app-related data, Institute for Information Industry divides the app into 16 categories including social chat, audio and video entertainment, application tools, map/navigation, news, mobile games, weather, video/photo editing, mobile shopping, financial management, office Business, travel, book and animation, educational learning, health and fitness and health care (Institute for Information Industry, 2017).

Among these categories, the game's total app downloads are less than 40%, but it covers more than three fourths of the total revenue of the market (Cheney, 2018; Kristianto, 2018), showing that the game-related categories are currently the most active items in the app market. As for the gaming app market in Taiwan, it ranks fifth in the world. In the first half of 2018, the total revenue of iOS stores and Google Play stores totaled are more than 700 million US dollars (App Annie, 2018). Taiwan has high potential market to attract gaming business to invest.

Wu (2018) believes that by having the insight of the trend of the market, it is possible to set right marketing strategies more efficiently and generate more revenues. Market Intelligence & Consulting Institute (2018) had mentioned about more than 50% of the paying players in Taiwan purchase virtual currency in the game and use it buy loot boxes, which corresponds to the idea that the loot boxes is the most profitable mechanism in the Free-to-play model (Yuan, Chen, Chang, & Dai, 2018). It is known that the loot box system is the current trend in the market. The student group is also a market that cannot be ignored. More than 60% of underage players are willing to spend money on the game. Wu believes that the game developers should focus on these truly contributing paying players (Institute for Information Industry, 2018).

To sum up the views from what had mentioned above, this study found that underage players will become the target group for the future of the game business, and the loot box System is the most profitable business model in recent years. Therefore, this research is based on the "Tower of Saviors", a mobile game that has been active in the

Taiwan game market for many years. The study is based on the EKB Model proposed by Engel, Kollat and Blackwell, in-depth interviews with players who have purchased virtual products in the Tower of Saviors when they are students. Exploring players' decision process buying loot boxes, sorting out the factors that loot boxes attract players to buy, and then understand the preferences of the student group. It is expected that the research results can provide as reference for the game developers to design or formulate the marketing strategy in the future.

After aligning the above points, this study found that underage players will become the target group for the future of the game developers, and the loot box System is the most profitable business model in recent years. Therefore, this research is based on the "Tower of Saviors", a mobile game that has been active in the Taiwan game market for many years. The study is based on the EKB Model proposed by Engel, Kollat and Blackwell, in-depth interviews with players who have purchased virtual products in the Tower of Saviors when they are students. Exploring players' decision process buying loot boxes, sorting out the factors that loot boxes attract players to buy, and then understand the preferences of the student group. It is expected that the research results can provide as reference for the game developers to design or formulate the marketing strategy in the future.

2. Literature Review

2.1 Free to Play

Compared to paid games, Free-to-play model games do not cost anything prior playing the game (Pereira, 2015). Game business owner will rely on in-game microtransactions to run games (Abarbanel, 2018). Microtransaction means that players can make micropayments to purchase virtual products in the game. Lin said that the combination of Free-to-play model and loot box system has already become the mainstream of mobile game business model (Chou, 2017).

The concept of loot box was from Japanese version of Maple Story in 2004 (Gyuman, 2016). It is a form of microtransaction, in which the players pay for virtual currency to obtain game items randomly. According to the way the game is presented, Taiwanese players refer to the loot box for the shape of the gashapon machine as "egg pool", the shape of the card is called "card pool", and English called "loot box" in general. Loot box system usually set up in the game store for players. Players can use cash to purchase virtual currency to buy loot boxes. After opening the loot box, players will get virtual items randomly (Department of Consumer Protection, 2018). These virtual items may be skins, equipment, weapons, spells, currencies, avatars, etc. The open of loot boxes is accompanied by sound and light effects, and if players draw rare prizes or even the highest rarity prizes, there will be a more special presentation. And the probabilities of each prize are opposite to their value or rarity.

2.2 EKB Model

The EKB Model is a widely used theory in the academic field. The existence of the EKB Model can be seen in many documents on consumer behavior (Chang, 2016; Shiau, 2016; Lo, Wang, & Fang, 2005; Shie, 2001; Liao, 2015; Jian, 2014), EKB Model can explain and predict consumer behavior more completely, systematically

and systematically (Wang, Pan, & Tsai, 2017; Chou, Su, & Lin, 2006).

Engel, Kollat, and Blackwell (1982) divide consumer behavior into five components: Input, Information Processing, Decision Process, Decision Process Variables, and External Influences. The decision process is a core part of the EKB Model and consists of five phases: Problem recognition, Search, Alternative evaluation, Choice, and Outcomes (Engel & Blackwell, 1982).

“Problem recognition” is derived from the emergence of “demand”, which may come from the internal stimuli of the consumer or the external stimuli of the environment. Examples of the internal stimuli such as desire or physical and psychological deprivation; and examples of external stimuli such as broken mobile phones lead to the intention of purchasing new mobile phones.

“Search ” means refers to information that consumers can find to solve problems after they have confirmed their needs. Usually consumers prioritize internal searches, and if the internal search can meet the information needs, one will stop searching. If consumers can't solve problems by internal searches, they will use external searches to get more information so that consumers can make decisions. Internal searches refers to consumers searching for information and experience in their own memory; external searches can be divided into personal sources, commercial sources and public sources such as family members, advertisements, consumer appraisal organizations, etc.

“Alternative evaluation” means consumers will select some acceptable plans from the evoked set and evaluate each plan with its own evaluation criteria by receiving enough information and find out the best choice in consumer’s mind eventually. Evaluation criteria can be used to help consumers judge the pros and cons of different plans, such as the price, appearance, safety of the car. The determinant attributes are considered to be factors that have a great influence on the purchase decision, such as the safety of the car.

“Choice” means after evaluating the pros and cons and move to purchase behavior. The purchase behavior will be interfered by factors such as Important people's attitudes, purchase decisions, unplanned purchases, unpredictable situation. The final decision is not necessarily the same as the idea at the time. Important people's attitudes such as family and friends; purchase decisions such as what to buy, how many to buy, where to buy, when to buy, how to pay; unplanned purchases such as reminder purchase, impulse buying; unpredictable situation such as income fluctuations.

"Outcomes “mean consumer will evaluate whether the product meets expectations after purchased and use it. If performance is in line with expectations, there may be no particular feelings; if performance exceeds expectations, it will lead to satisfactory results. These two evaluations will enable consumers to adopt certain behaviors that are beneficial to the industry, such as positive word-of-mouth communication and continuous patronage. Conversely, if performance is lower than expected, consumers will continue to look for other suitable solutions.

3. Research methods

This study explores the purchasing factors of players purchasing loot boxes and interviews players about their decision process in order to identify factors that influence the decision processes. Since the decision process is affected by the interaction of internal and external factors, hence experimenting with quantitative methods may not completely receive the players' ideas (Lo, Wang, & Fang, 2005). For the above reasons, this study chose to conduct experiments with semi-structured interviews, because the purpose of this interview method is to explore the true thoughts of the respondents, and have reasonable objectivity, the respondents also can fully express opinions (Wan, 2004). Suitable for the subject of this study, expected to get a more complete thinking of players in the decision process.

In order to avoid distractions by temperature or noise, the researchers and respondents are in a quiet air-conditioned room for interviews. It takes half an hour to an hour for each interview. If the interviewee is willing to spend much time to explore more, the researcher will extend the interview time, but the total number of interview times will not change. The experiment was conducted with a self-made interview outline, using a mobile phone and a computer to record the experiment and converting it into a verbatim draft within 24 hours. During the interview, the researcher will ask the same question in a different way to confirm the completeness and consistency of the information.

The research based upon one-to-one approach to have in-depth interviews to find respondents by snowballing, and all respondents purchased virtual products from Tower of Saviors when they are students. A total of 10 respondents in this experiment, based on the principle of undisclosed respondents, players will be represented by the English letters A to J.

Based on the EKB Model, the content of the interview outline is based on five aspects of Problem recognition, Search, Alternative evaluation, Choice, and Outcomes in the decision process.

4. Research Results

4.1 Problem Recognition

The previous research mentioned about "demand" is caused by internal and external stimuli. This study analyzed the content of the interview and classified factors that stimulate players to open loot boxes into official, friends, network, game progress, level clear, enjoy the process, character appearance and character collecting.

Table 1
Stimulus that affects the desire to open loot boxes

Stimulus	Stimulus Introduction	Identify Members
official	Officials will launch new loot boxes at regular intervals. The items in the loot box may be previously launched characters, or they may be new characters. Before the loot box is set in the game, the official announcement will be issued a week ago. The content of the announcement will be repeated in the game, in the discussion group or on the website related to Tower of Saviors, thus arousing the interest of the players.	all players
friends	Since the players have played Tower of Saviors when they are students, players have regarded Tower of Saviors as a part of the pastime after class, and discussed the game with friends who also played Tower of Saviors. To meet the needs of interpersonal relationships.	all players
network	Players have the habit of using the Internet to search game-related information. The information they search is based on level clear and character ability. While the players absorb the information, the desire to buy loot boxes will be indirectly improved.	all players
game progress	The player who is beginner will have a strong intention to buy loot boxes as long as the number of virtual currency can buy loot box.	B, C
level clear	The ability and status of the character are a major factor affecting level clearance. In order to challenge more difficult levels, multiple characters must be teamed up, and prompts players to open loot boxes.	A, B, C, E, F, G, H
enjoy the process	Players enjoy the process of opening loot boxes. During the process, players will feel exciting because of the unknown result. This kind of surprise can relieve the pressure of life.	D, I, J
character appearance	The appearance of the character is the information that the player can get at first sight. Sometimes when people fall in love with a character at first sight, they will naturally open the loot box to get the character.	all players
character collecting	Players buy loot boxes for the purpose of collecting all characters.	E, J

The finding of the research is even if the stimuli are not directly related to loot boxes; it will affect the player's intention to buy loot boxes. For example, players will be motivated by the lineup of friends or guide websites, and buy loot boxes to reinforce their team.

Each player has different thinking for buying loot boxes at every stages of the game. For example, the beginner will have a strong intention to buy loot boxes because of the insufficient of characters, and experienced players buy loot boxes according to the timing. In order to move to difficult levels, most players need to buy loot boxes to get more powerful characters, but some players think that their team is strong enough,

getting powerful character is not the purpose to them, and experience the surprise of collecting unknown items is the main reason why they currently open loot boxes. Regardless of the purpose, all players want to be able to get a character that appearance they like. In addition, there are some players who want to collect all characters.

Overall, as long as the player has enough enthusiasm to continue the game, then anything can be a stimulus that motivates players to buy loot boxes.

4.2 Search

If the above had successful inspires the interests of the players, they will take action to find information related to those stimuli. According to the results of the interview, the contents of the players' query for loot boxes are loot box contents, character introduction, date of event start, date of double probability, event period and guarantee. The way for players get information is the official fan group, youtuber, friends and guide websites.

Table 2
The order of players getting information about loot boxes
the order of players getting loot boxes information

Information	Information Introduction
loot box contents	What kind of characters in this loot box?
character introduction	The abilities and status of the characters.
date of event start	The exact date and time when the event started.
date of double probability	The date of doubling the character probability during the event.
event period	How long does the event last and when it will end.
guarantee	Be sure to get a character after using a certain number of loot boxes.

In this study, the first thing to notice is loot box contents. If there is a player's favorite character in the loot box, which will have interests to do searches onwards. The most important information for players is loot box contents, character ability, and the date of double probability.

All players' information collection methods are roughly the same, the official fan group and friends are the main option, and the rest are the guide websites that players are used to.

In response to the announcement that the game automatically popped up when the game was opened, the researcher and players conducted a more in-depth discussion about it, and found that most players felt that they had reached the reminder when they first saw the pop-up announcement (A, B, C, E, F, G, I, J), but only some players are willing to read the details (A, B, C, J) in the game, and the rest of the players

search for relevant information outside the game. In addition, some players don't want to see announcements when they log in to the game as daily basis, which makes them feel bored (D, H, I).

To sum up, announcements that pop up too frequently in the game will cause some players feel to be troubled by the game for a long time. Players mainly tend to find the information they need by themselves, and their access to information is based on friends and the Internet.

4.3 Alternative Evaluation

The research analyzes the criteria of loot boxes choose and the criteria of virtual products purchase. This study found that the determinant attributes of players choosing loot box are character's appearance, powerful characters, lineup, and repetitive characters. The determinant attributes of purchasing virtual products are price, bonus, and high price performance ratio.

Table 3
The determinant attributes of players choosing loot box

determinant attributes	determinant attribute introduction	Identify Members
character's appearance	Sometimes when people fall in love with a character at first sight. If there is a favorite character in the loot box, players will choose to open the loot box.	E, I
powerful characters	The ability and status of the character are a major factor affecting level clearance. If there is a character in the loot box that can serve as the core of the team, players will choose to open the loot box.	B, C, H
lineup	In order to challenge more difficult levels, multiple characters must be teamed up. If there is a character in the loot box that matches players' current lineup, players will choose to open the loot box.	A, F
New characters	For the players, the characters already drawn by the team will not bring them a sense of freshness. If there is a character in the loot box that players does not have, players will choose to open the loot box.	D, G, J

The study found that players will be attracted by the character's powerful ability and appearance, and then choose the loot box containing the character, or find a character that can reinforce their team in the loot box. Everyone has their own ideas, but the common point is that the loot box cannot contain too many characters that have been launched before. Repeating the same characters will cause dissatisfaction to the players.

Table 4
The determinant attributes of purchasing virtual products

determinant attributes	determinant attribute introduction	Identify Members
price	Amount of virtual products sold.	B, C, D, G, H
bonus	Extra items obtained after purchasing virtual products in the game.	A, F, I
high price performance ratio	The same amount of products that can get the most value.	E, J

The study found that when players think that the number of virtual currency in the account is not sufficient to get the favorite characters; players will purchase virtual products in the game. After players compare different plans, they agree that standard price of the virtual currency is too expensive, so most players will not choose to buy the virtual currency directly, but look for a more favorable solution.

Since players were students when they had been interviewed, there was no stable source of income to support them purchased virtual products, micropayments became the most common payment method for players, and the price became a reasonable factor for most players. On the other hand, the way to improve character ability in the game is to use rare material to strengthen, some players will make micropayments in order to obtain rare materials. For them, this behavior is more like buying materials, and the virtual currency as bonus. There are also a few players who believe that high price performance ratio is determinant attribute. They think that although the price may be slightly more expensive, it will be of great help to the game, and once they buy, they don't have to worry about the progress of the game for a while, which is a very cost-effective investment.

In summary, players tend to choose the loot box containing the character and few old characters. As for the purchase of virtual products, the price is the main choice. Players hope to find a high price performance ratio at an acceptable price also be accompanied by gifts and bonus.

4.4 Choice

This study explores whether factors such as important people's attitude, purchase decisions, unplanned purchases, and unpredictable situation can affect players' purchase behavior.

Table 5
Factors affecting purchase behavior

affecting factor	Factor introduction
important people's attitude	Other people who have a strong influence on the player's judgment, such as friends and family.
purchase decisions	The decision made by the player when purchase, such as how much to buy and when to buy.
unplanned purchases	The player did not act as expected, such as the actual number of buy loot boxes exceeded the originally expected upper limit.
unpredictable situation	Players encounter unpredictable and irresistible situations, such as unstable network connections and game bugs.

The study found that players buy loot boxes after fully evaluation, but when the result is different from their own thoughts, most players will still focus on their own ideas, and only few players' purchase intentions are reduce (C, F, I). In addition, players purchase virtual products is determined by themselves, and will not be discussed.

Although the players have the habit of storing the virtual currency before the event, the desired character is usually not obtained in single loot box opening. In the case of limited virtual currency, players tend to buy loot boxes when the character's probability is doubled. The maximum number of loot box bought during one event that some players can accept is fifteen (A, B, C, D, E, G, I), but some players think it is twenty (F, H), or even twenty or more (J). Unless it is a very favorite character of the player, they will less likely buy the loot box beyond the expected limit, the exception is the official launch of the limited-time Meta characters, when all players are willing to buy loot boxes until guarantee.

If the number of virtual currency owned by players does not meet the expectations, or the number of bought loot boxes exceeds the expected number. There will be attractive only accompanied with the official offer by game business owner.

Only some players have experience to encounter failure of the network during the purchase process due to network instability or game bugs (B, D, E, J). If this happens, half of the players will completely drop the willingness to purchase (A, B, C, E, I).

It can be conclude as most players make decisions based on their own subjective ideas. Before the event, players will be prepared in advance. If there is insufficient preparation or unplanned purchases, the willingness to purchase virtual products will increase dramatically. In addition, the impact of the unpredictable situation is huge for the players.

4.5 Outcomes

This study divides satisfaction into single satisfaction and overall satisfaction based on the results of the interview.

Single satisfaction refers to the player's evaluation of the results of a single opening. If the opening is awarded the player's favorite character, the single satisfaction will be

positive. Conversely, if the opening is not awarded the player's favorite character, the single satisfaction will be a negative evaluation.

Overall satisfaction refers to the player's evaluation of the overall performance. The overall performance can be understood as the default limit of the number of openings in each player's mind. The overall satisfaction of the characters drawn before the upper limit will be positive. Conversely, if you don't get any player's favorite character when you reach the upper limit, it means the overall satisfaction is negative.

This study found that the maximum of bought loot boxes for the tolerance of players is fifteen (A, B, C, D, E, G, I). The negative single satisfaction before fifteen times has little effect on the player's willingness to buy loot boxes. However, once the number of bought loot boxes exceeds fifteen times, the willingness to buy loot boxes will be greatly reduced, and overall satisfaction will be considered negative. At this time, the player's enthusiasm for the game will also be reduced, but only during the time of the event, the overall satisfaction of the event will not affect the next event, the players believe that the overall satisfaction does not affect each other.

In short, a single satisfaction will not cause too much impact on the willingness to buy loot boxes until the limit is reached, and the overall satisfaction is an indicator that the players judge the overall performance of this event, which may affect the loyalty of the player to the game.

5. Conclusion

This study explores the decision process for players to purchase loot boxes is summarized the findings as below and the recommendations will be:

The loot box system is interlocked with the game. The core of the game is clear the level. The level needs to organize the team to clear. The team needs characters matching. Characters are obtained by the loot boxes. Loot boxes need to pay the virtual currency. The virtual currency can be obtained by clearing level, official events or purchasing virtual products. This study suggests that game developers can introduce more complicated levels. Players will discuss with others in order to clear the level. The desire to buy loot boxes will be deepened during the discussion, and the officially launched characters must be more distinctive, making the team more diverse. So that players have more possibilities to clear levels. In addition, the event of giving virtual currency can be increased, and players are used to open loot boxes to maintain the player's passion for the game.

The way that players get information is mainly friends and the Internet. If it is related to loot box, the contents in the loot box are the most important part of the players. This study suggests that game developers can place the content of the loot box in an obvious place in the announcement, so that players can see the prize of this loot box at a glance. Another thing to note is that players don't like announcements occur every time they log in, so game developers can consider changing to automatically announcement when the player first logs in, and then remind every three days.

The appearance and ability of the character is an important factor influencing the player's choice of the loot box. The debut of the new character will prompt the player

to select the loot box containing the character. As for the price, it is the most important factor for student players when purchasing virtual products. At present, most students pay mainly for micropayments. Therefore, this study suggests that game developers will set a new and powerful character as a grand prize in the new loot box during the event and simultaneously launch cheap and cost-effective products for players to purchase.

Players usually buy loot boxes when date of double probability and the number of buy are about fifteen times. Therefore, this study suggests that game developers will adjust the Probability of obtain the character so that players can obtain the character in 15 times. The number of guarantees can be changed to twenty-five times, so that players who have not obtained the favorite character have stronger intentions to buy loot boxes until guarantee. In addition, game developers should also pay attention to the problem of system bugs. If the situation that causes the purchase to fail is the problem of the game itself, players will lose the trust of the game.

Players buy loot boxes almost no more than the expected limit; most players have a limit of fifteen times. If the character has not yet been obtained when the limit is reached, players will assume that this is a failed overall performance and the loyalty to the game will decrease. This study suggests that game developers adjust the Probability of obtain the character and allows players to have a good gaming experience after the event.

The group currently discussed in this study is students who have purchased virtual products. It is suggested that follow-up studies can be conducted for different groups of players. Or the results of this study can be further explored with the students to sort out the importance of various factors to the student group.

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Contact email: williamhsu0516@gmail.com

***A Research on Interactive Augmented Reality Applied in Product Advertisement
-A Case Study of External Product Package***

Ching-Hsuan Lin, National Yunlin University of Science & Technology, Taiwan
Chao-Ming Wang, National Yunlin University of Science & Technology, Taiwan

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Abstract

Due to the rapid development and rising popularity of mobile device, product advertisements and marketing can be presented in a more creative way. Augmented reality can combine reality with the scenario of virtual world and bring more business value. This research proposes an interactive augmented reality application applying to advertising of external product package and develop a unique product propaganda that is different from traditional advertising and general digital advertising.

This research plans to apply augmented reality technology, interactive interface and 3D animation to product advertisement. We want to present lively and vivid 3D animation for products by using mobile device scanning the external package. Furthermore, users can touch the screen with interactive interface and scenario so as to express brand story and experience product flow. By this way, we can achieve the goal for promoting interactive advertisement.

The research method adopts literature review, system prototyping, questionnaire and interview to evaluate user's purchase intention and product satisfaction.

The research's expected result includes: (1) Implement of prototype for interactive augmented reality product. (2) Using questionnaire and interview to evaluate the prototype, expecting to achieve promotion of purchase intention and product satisfaction.

Keywords: Augmented Reality, Product Advertisement, Interactive Experience

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Introduction

The purpose of advertising is to convey a business operator's ideas to consumers. The publication of an advertisement can alter consumers' perception of a product and the enterprise itself, bringing profits to the publisher by eliciting purchase. In the beginning, advertising takes the form of signs that are being placed outside of stores, and as time goes by, they evolve into posters, pamphlets, and flyers. The way advertising conveys ideas has also shifted from "unilateral communication" to "bilateral communication" as core technologies advance with time.

The ubiquity of advertisement offers consumers a chance to receive abundant advertising information on a daily basis; however, not all messages conveyed will leave an impression on consumers. Since consumers have to process a colossal amount of advertising information every day, it becomes crucial to all advertisers to contemplate and investigate whether they are rolling out advertisements that catch consumers' attention. According to Lauterborn (1990), an advertisement's principal orientation should base on consumers' appeals and the advertisement should focus on bilateral communication. The theory Lauterborn proposed including the shifting from 4P (product, price, place, promotion) to 4C (consumer, cost, convenience, communication). Advertising is now transforming its previous pattern of focusing on the product to an interactive form that is consumer-orientated, which creates a role change for consumers (from passive to active). Through interaction, participation, and intervention, advertisers can increase the involvement and interaction model of an advertisement and significantly imprint the advertisement on consumers' minds.

One way to strengthen the impression an advertisement leaves on consumers is to increase the interaction model between the advertisement and consumers. The employment of augmented reality (AR) technology in advertising is proven to render them more effective (communication-wise) than conventional print advertising and advertising in other forms. In other words, dynamic advertising (such as VR advertising) can draw consumers' attention more extensively and elicit purchase. However, studies find out that although dynamic advertising, when compared to advertising in other forms, does increase the three dimensions of evaluation for advertising effects, there seems to be no obvious increase in "brand attitude" and "purchase intention." The result indicates even though contemporary advertising is offering various means of presentation than the conventional print advertising, and they are proven to catch consumers' attention, they fail to affect consumers' purchase intention and boost product sales.

The study will introduce the "interaction interface" to advertisement designs by using AR technology and analyze AR advertising and conventional print advertising to understand the importance of interaction to today's "bilateral communication" advertising. The study will also evaluate the designing interface in a bid to provide a reference of direction to the future design of interactive AR advertising.

The study compares "interactive AR advertising" as an advertising medium with conventional print advertising to understand whether providing different interactive advertising stimulus to consumers affects advertising effects (including advertising attitude, brand attitude, and purchase intention). Based on the said motive, two major research purposes can be induced:

1. Examining the difference in how advertising effects are affected by interactive AR advertising and conventional print advertising.
2. Examining the feasibility of and user's expectations for interactive AR advertising.

Literature Review

1. The definition and development of advertising

The American Association of Advertising Agencies has defined advertising as a mass communication medium that charges and whose ultimate goal is to convey the advertiser's information and ideas; the use of advertising as a means of promotion is to affect consumers' perspective of the advertised product or enterprise and elicit purchase or other behaviors to bring profits to the advertiser. The American Marketing Association's definition of advertising is "the advertiser's opinions, product, or service toward its enterprise or an individual; advertising is an activity meant for implementing promotion or conveying the adviser's appeals indirectly via communication media."

In 2003, Schultz & Barnes, starting from the perspective of "advertising and marketing," pointed out that the trait of today's market is to use the database, the Internet, or the global information network to prompt communication between buyers and sellers in an easy, rapid, and effective way. Advertisers should provide more advertising information to strengthen consumers' faith in them and increase interaction and real-time communication with consumers. For this reason, advertising has transformed from "unilateral communication" to "bilateral communication" that touts interaction.

According to Lauterborn (1990), the principal orientation of advertising should base on consumers' appeals and focus on bilateral communication. He further proposed the theory of shifting from the original 4P (product, price, place, promotion) principle to 4C (consumer, cost, convenience, communication). Advertising is now transforming its previous pattern of focusing on the product to an interactive form that is consumer-orientated, which creates a role change for consumers (from passive to active). Through interaction, participation, and intervention, advertisers can increase the involvement and interaction model of an advertisement and significantly imprint the advertisement on consumers' minds. The term "advertising involvement" refers to the extent of consumers' cognitive reaction or information processing when faced with advertising information, or simply put, it means consumers' level of care for the advertisement or the mental state they are at when seeing the advertisement. Generally speaking, higher advertising information involvement represents higher attention customers pay to the advertising information. Therefore, modern advertisement designers should have a comprehensive understanding of how to use new technologies to draw consumers' attention and evaluate whether the communication effectiveness of the advertisement qualifies as an effective advertisement design.

2. Advertising attitude, brand attitude, purchase intention

Advertising is a means of communication that aims at persuading target consumers. The purpose of communication is to make consumers understand the message given by the message giver and then offer opportune feedback. The lack of feedback is what

constitutes the measurement of advertising effects. According to Wilson & Akert (1999), advertising is capable of altering consumers' attitude toward the product. In academic research, the indicators for measuring advertising effects are advertising attitude, brand attitude, purchase intention.

The definition of advertising attitude is the audience's inclination of expressing consistent like and dislike of certain advertising stimulus under particular conditions, which helps us understand consumers' evaluation of and reaction to an advertisement. Under normal circumstances, a better advertising attitude produces a better advertising effect. As for means to measure advertising attitude, Shimp (1981) thought that it could be done categorizing these reactions into cognitive reactions and emotional reactions, the former is the perception of analyzing and processing advertising elements, such as the response of like or dislike of the advertisement due to its means or endorser, and the latter simply refers to the emotional response aroused by the advertisement, which does not involve any processing of advertising elements.

Brand attitude means consumers' extent of like or dislike of a certain brand under the influence of advertising stimulus. According to Shimp (1981), consumers' preference for a brand has an impact on their trust in and judgment for the advertisement. Howard & Sheth (1995) used the concept of brand inclination to explain brand attitude. Brand inclination refers to a consumer's preference for a brand, which is built on the consumer's trust in and judgment for it. Higher brand attitude is more likely to produce a clear and stable brand preference. Brand inclination can directly affect brand attitude and then affect the purchase decision.

Purchase intention means a consumer's plan to purchase a certain amount/number of a product in a particular period of time (Howard, 1994). According to Kotler (1995), there are five stages in consumer's purchase decision process, which are: Need recognition, information search, evaluation of alternatives, purchase decision, and post-purchase behavior. Consumers form their purchase intention by evaluating possibilities, and the sources of information and environment can both affect consumers' purchase behavior. Reateix pointed out that products presented in an interactive scenario can effectively help customers identify the brand and remember it better, and this will boost their purchase intention as well as increase the chances of their revisits.

Today's advertisements are a combination of various interactive properties that aim at increasing consumers' attention to and involvement in them and enhancing advertising effects. Therefore, the term "interactive advertising" refers to the combination of multiple media and traditional advertising, and its ability to catch consumers' attention with its high interactivity is also the current trend of advertisement design.

3. Interactive advertising

Interactive advertising is achieved by adding interactive elements in an advertisement. "Interactive advertising" concentrates on the interaction between the adviser and consumers (William, Burnett & Moriarty, 1993). With the use of a media, users make in real-time engagement and alter the content and information of an advertisement (Steuer, 1992). Ruman (1996) thought that interactive advertising refers to the message carried by an interactive medium and its purpose is to promote

an idea, product, or service. Interactive advertising is capable of providing different options for advertising content according to individual needs. Ruman also pointed out that not all advertisements using interactive media can be called interactive advertising. Interactive advertising should be able to not only offer consumers the chance to select and adjust advertising messages but make it possible for consumers to respond to advertisers via interactive media. Skuba (1996) suggested that true interaction can only be achieved via in-depth involvement between consumers and advertisers. In short, the three prerequisites of communication through interactive advertising include:

- I. The advertising message must be sent to a particular customer group.
- II. During the message exchange, each side should adjust their replies appropriately based on the message received.
- III. Bilateral communication

In summary, conventional advertising is losing its ability to catch consumers' attention. What cries for a reflection from modern society is how to make consumers notice advertisements rolled out by enterprises in an environment where modern advertisements of all types are carrying excessive information and threatening to engulf everyone. To elicit consumers' attention, advertisers not only need new-fangled technologies to provoke consumers' curiosity and induce their interest but also provide advertising designs that allow consumers to actively engage in the interaction with the advertising content. After studying various cases, the employment of AR technology in interactive advertising is proven to be able to attract consumers' attention most of the time, creates actual engagement, and makes people stop by to watch others experiencing interactive advertising (Qiu, Wen-Yu, 2011). Therefore, one of the current trends of advertisement design is to combine AR with interactive advertising to convey advertisers' goals and enhance advertising effects.

4. Augmented reality

Augmented reality (AR) is a technique that is capable of superimposing virtual information on the real environment shown in a monitor. Though AR technology is derived from virtual reality (VR), there is a fundamental difference between them: What VR attempts to achieve is to create an environment that is similar to the real one and replace it while AR only adds extra information to the visual environment (Feiner, 2002).

The definition of AR, according to Azuma (1997), is an augmentation to real information instead of replacing the real environment. When doing research, Azuma had compiled available documents related to AR and its applications and thought that an AR system must include the following three characteristics:

- I. The combination of reality and virtual reality
- II. The ability to achieve real-time interactions
- III. The system exists in a three-dimensional space.

Judging from Azuma's definition of VR, we realize that VR is a technology capable of superimposing virtual information on the user's visual and engaging in real-time interactions. The working principle of VR technology involves image presentation by using the computer and its peripheral input/output devices. A camera is used to shoot a specific picture card and scan the space. The picture card will be transmitted to the database preset by the designer, and via the comparison of hardware detection, the user can see images of the combination of the image and the picture card or the combination of the image and the space.

AR has a wide and extensive range of applications and development, and in recent years, the number of cases where AR technology being used in interactive advertising has seen an increasing trend. There is a positive correlation between the use of AR technology in interactive advertisements and the consumers' attention as well as advertising effects. Therefore, the study will also use AR technology to introduce the brand story by means of guiding to enhance advertising effects and probe into advertising effects of employing interactive AR advertising.

The research methods of this study include document analysis, system prototyping, and experimental research. The study employs two types of advertisements with the same thematic appeal: Conventional print advertisement and interactive AR advertisement. The study will ask subjects to watch these two advertisements and hand out questionnaires to the two groups to test advertising effects such as advertising attitude, brand attitude, and purchase intention.

Prototype

By collecting documents to investigate the development trend of Augmented Reality technology and the summary of each application currently. Through the process of investing documents to sort out the techniques included in Augmented Reality and Virtual Reality, and the range of application and the variant of them.

Furthermore, by implementing and testing of programs and the feedback from the customers' experiences to clarify the limit of making the Mixed Reality. My research prototype will actual use in the exhibition hall. In the Augmented Reality interactive, cellphones to let people into the virtual environment. By playing interactive game, let users more close to the exhibition hall and more realize the brand story of the products.

As the Figure (1) and (2) shows. The consumer scan the ground of the exhibition hall. He will see a virtual space and he can walk around in the virtual space
As the Figure (3) shows. Through the cellphones to scan the products at random in the exhibition hall can appear the information of products and the related applications.
The development trend of technology combined with Augmented Reality provides exhibition hall and related applications has more multiple performance in the future.



Figure 1: Consumer scan the ground of the exhibition hall



Figure 2: Create a virtual space and consumer can walk around

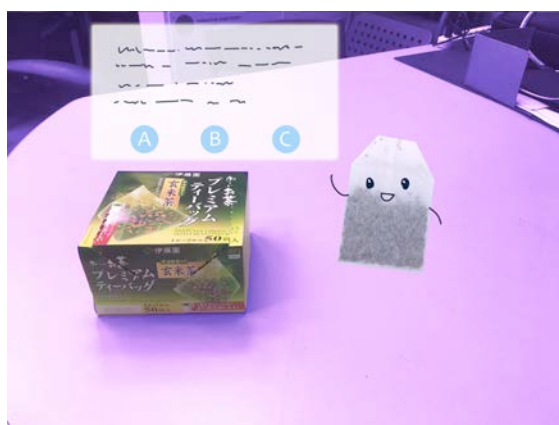


Figure 3: The virtual character conducts navigation and introduction the brand story

Conclusions

Our research uses the technique of Augmented Reality to develop a set of interactive experience system to apply to products in the exhibition hall, and collect the feedback information after the experiencers interactive with the devices. Through the public exhibition and using the observational method during the exhibition to observe the act of experiencers interactive touch and make the items which are more interested by user to digitized bonus to establish two main elements below.

(1) The digital creative products

(2) The innovation experience of Augmented Reality

Through two elements to complete this innovative experience system, and using interview survey to analyze the fond of viewers about products. In the future, by the way of Augmented Reality interactive to develop more different exhibition hall products and through different content design to make the products interaction more diversification.

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- Contact email:** jamie8505019@gmail.com

Tracing the Lifelong Learners in a State University

Josefina S. Sana, Nueva Vizcaya State University, Philippines
Jacqueline V. Iglesias, Nueva Vizcaya State University, Philippines
Juanita B. Pascua, Nueva Vizcaya State University, Philippines
Vilchor G. Perdido, Nueva Vizcaya State University, Philippines
Jane D. Navalta, Nueva Vizcaya State University, Philippines
Cherry Ann P. Navalta, Nueva Vizcaya State University, Philippines

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Abstract

Lifelong learners are those highly motivated to pursue acquiring skills and values in a formal and informal setting who signified varied personal, socio-economic, and other worthy cause and declared intentions to pursue a college degree of their choice. This descriptive-qualitative research analyzed the profile of students who took the entrance examination at a State University. The study used thematic analysis to analyze the reasons why lifelong learners decided to enroll in college during the K-12 transition period, which showed inferred themes and categories from the created codes.

The study found that lifelong learners predominantly belonged to age ranging from 17-20, single, Roman Catholic, graduated in 2015, no honors received, and graduated from public schools. Themes ranged from self, urgency of going back to school, valuing, and cost, and categories cited were beliefs, personal characteristic, attainment value, utility value, sense of time and preparation needed for schooling. Lifelong learners' beliefs are sources of motivation; they think that going back to school can help them realize their dreams and goals; they feel the urgency to enroll in college for they think that time is running out on them due to the implementation of K to 12 curriculum; attainment valuing is emphasized on the benefits that they will gain when they finish their course such as credentials and eligibility as well as prestige and recognition; and they said that they have that career maturity to pursue what they like and that they have financial stability.

Keywords: Lifelong, Learners, Tracing, K to 12, themes

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Introduction

Lifelong learning (L3) is a ceaseless pursuit of acquiring a degree or a formal education not only from books but equally important is the experience one gets from life. Hence, learners who is highly motivated to pursue acquiring skills and values in a formal and informal setting can be labelled as Lifelong Learners (Watson, 2003).

In the Philippine context, students who have stopped pursuing college education for various reasons and have not started enrolling in 2015 and years earlier could still pursue college starting SY 2016-2017 and SY 2017-2018. High school students who opted to graduate secondary education through the Alternative Learning System (ALS) may also pursue college before SY 2018-2019.

Alternative Learning System (ALS) under the supervision of the Department of Education, has perceptively considered administration of an examination that would cover the competencies of a high school graduate. The candidate should pass the ALS examination to legitimize him in finishing a high school education.

The two-year transition period for the 12-year Basic Education Program, which is on its first year of implementation has started last 2016. These two years, 2016-17 to 2017-18 pioneer the beginning of Senior High School and would allow the high school graduates of 2015 and years earlier to pursue college without undergoing the Senior High School. Thus, these entrants are the Lifelong Learners (L3) of any Higher Educational Institution. Needless to say, those high school graduates who would not enroll this SY 2017 could be compelled to enroll in Grade 11 and Grade 12 next 2018 (CHED Memorandum Order No. 10,) when the first batch of Senior High School would have finished the first batch of Senior High School.

Inevitably, going back to school for lifelong learners is a great challenge to accept. Since initial motivation and inspiration are not enough for these motives are short-lived and that more difficult academic loads are way ahead (O'Neill & Thomson, 2013). Certain experiences, convictions, inspirations and other forces may direct the energy of these students toward the completion of chosen program or course (Holman et al., 2015). For old and returning students, tension between and among priorities – schooling, work, family concerns and personal concerns, the interplay of pursuing dream and the hardship of attaining that goal, the constant struggle between encouragement and discouragement, bravery and defeat and the long battle to give up or continue to persist may be felt strongly and that it can lead to the point that wherein life experience become conflicting stories to live by (Connelly & Clandinin, 2001). These students have their own ideas and reasons why they are motivated to pursue and finish their course. At the same time, they are being critical of their life choices, sensitive to the evaluation of others and of the self and being frustrated and challenged in their financial, social and other concerns and struggles.

In 2010, the Philippine Statistics Authority estimated the number of Filipino high school graduates who did not have a college degree at 10.2 million. The Commission on Higher Education (2016) initiated a study to assess the share of Lifelong Learners among this group as well as an undeserved group that the sector cannot cater to. Based on the results of the Lifelong Learner Survey done by CHED, 31.8% of

respondents signified willingness to return to college. Also, 11.5% indicated that they would consider enrolling in college after knowing that the next two school years will be their best chance to go back to college before the new general education (GE) curriculum and revised college curriculum will be implemented by June 2018.

It is in this context that the researchers were prompted to conduct this study to determine the profile of selected lifelong learners, and their reasons for the delays in pursuing a college education.

Objectives

The study was conducted to evaluate the lifelong learners of the Nueva Vizcaya State University from first semester, SY 2016-17 and first semester, SY 2017-18.

Specifically, it aimed to:

1. trace the profile of the Lifelong Learners in terms of:
 - a. age
 - b. sex
 - c. civil status
 - d. religion
 - e. year graduated
 - f. honors received
 - g. school graduated from
2. discuss the reasons for the delays in pursuing college education

Methodology

UNESCO (1976) declared that lifelong learning denotes an overall scheme aimed both at restructuring the existing educational system and at developing the entire educational potential outside the educational system. Lifelong learning should extend throughout life, include all skills and branches of knowledge, use all possible means, and give the opportunity to all people for full development of their personality.

Field et al. (as cited by Braun and Clarke, 2006) examined the evidence for claims that lifelong learning has a measurable impact on people's lives. It considered evidences in three main areas: the economic impact, the impact on individual well-being, and the impact on the wider community. The research findings considered implications for policy, practice, and research based on the follow up done on individuals over time, asking them periodically about different aspects of their lives.

Horrigan (2016) made a survey on Lifelong Learning and Technology where a large majority of Americans seek extra knowledge for personal and work-related reasons. Digital technology plays a notable role in the knowledge pursuits, but place-based learning remains vital to many and differences in education and income are a symbol of people's learning activities.

Selected lifelong learners were asked the overarching question of why they decided to go back to college and follow up questions encouraged them to share their reasons as

to the sources of motivations that encouraged them to enroll again in college; and the needs they felt.

This descriptive-qualitative study used thematic analysis to analyze the reasons, why L3 decided to enroll in college during the K-12 Transition period.

The participants of the study were the 492 Lifelong Learners of the first semester, SY 2016-2017 and first semester, SY 2017-2018.

First step was familiarization of the data. Since most of the coders worked in the university testing center, we were given the chance to browse the response as well as engage in a conversation with some of the respondents during the test administration of the college entrance test. **Second step** was generating initial codes. A round table coding was done in a session. The negative effect of consensual coding was lessened through brainstorming. **Third step** was searching for categories and themes. At this part, one led in the selection of emerging themes as guided by the theories. **Fourth** step utilized Patton's (1990) dual criteria for judging categories – internal homogeneity and external heterogeneity. The themes presented are clear and identifiable. **Fifth** step, defining and naming themes was incorporated. It focused on the essence of the themes (Braun & Clarke, 2006) as it is clustered together or separately.

Results and Discussion

Profile of the Participants

The 492 Lifelong Learners predominantly belonged to age ranging from 17-20 (59.15%). Participants were equal in number in terms of sex, 50% for both males and females. In terms of civil status, majority were still singles (94.51%), Roman Catholic (62%), 196 (39.84%) have completed their secondary schooling in 2015, 112 (22.76%) in 2014; majority (96.95%) did not receive any academic award, and majority (83.13%) graduated from public schools.

Reasons of Lifelong Learners why they decided to go back to school: An overview

The qualitative result of the study based on the research question: What were the reasons why lifelong learners decided to go back to school were discussed in this part of the paper. Each theme explains and describes the reason for returning in school and illustrates how it fits into a broader overall story of lifelong learners.

Table 1: Summary of Themes, Categories and Codes

Themes	Categories/Definition	Codes
Self	Beliefs	It realizes their dreams/goals It is the course/career they want to pursue It helps them gain knowledge It improves their career path
	Personal characteristics	They are getting older They are able to feel their self-worth
Urgency of going back to school	Sense of time	The quick passing of time Implication of K to 12 program
Valuing	Attainment Value	Credentials and eligibility gained from finishing a course Prestige and recognition gathered from others
	Utility Value	Offers a better future Improvement in socioeconomic profile Family and social responsibility will be fulfilled
Cost	Preparation needed for schooling	They have maturity in choosing a career They have more financial stability to pursue schooling

Self

Lifelong learners' beliefs and personal characteristics influence their reasons for returning to school. Their beliefs are sources of motivation. They think that going back to school can help realize their dreams and goals.

They also think going back to school can lead to pursuing the course they want to finish, and career that they want to follow. In this process they also gain knowledge. They also believe that finishing school can improve their career path. One lifelong learner emphasized that taking a second course can contribute to career enhancement. Likewise, personal characteristics such as getting older and self-worth pushes these lifelong learners to enroll again in college.

Urgency

Lifelong learners feel the urgency to enroll in college for they think that time is running out on them due to the implementation of K to 12 curriculum. If they will not enroll within the prescribed time, they will be forced to take subjects in the K to 12 program. This will be a source of additional years in schooling.

Valuing

Despite the fact that these lifelong learners stopped schooling for some time, the importance of education is not forgotten. The socialized essence of education among lifelong learners emerged as they looked into the attainment value and utility gathered from finishing a course. Attainment valuing is emphasized on the benefits that they will gain when they finish their course such as credentials and eligibility as well as prestige and recognition. One student said that he is planning to put up a Christian school which requires academic credentials; and another student wants to take this second chance of opportunity to make her parents and daughter proud of what she is doing.

Whereas, utility values come in the form of better future, improved socio-economic status and fulfillment of family and social responsibilities. These positive outcomes of graduating in college motivate students to decide to go back to school. One lifelong learner mentioned that his dream is to become successful because he is tired of working in the field; and another one said that he wants to finish his plan in life that is to help his family and others who need help; and one learner claimed that he wants to finish a because according to him, it will be so hard not to have a stable life in the future.

Cost

These are the reasons of lifelong learners why they decided that this is now the right time for them to enroll. This includes the preparation they have to make so that they can enroll as well as the things they had sacrificed before they decided to enroll. They said that they have that career maturity to pursue what they like and that they have financial stability. One lifelong learner said that he decided to study now because he already know what course he is taking/getting; and one mentioned that he earned money for his studies and let his siblings finished their studies and for them to help him also in his studies.

The emerging themes of self, valuing, cost and urgency were selected based on the responses of lifelong learners and how it captured a relevant concept to the overall research question. The first three themes: self, valuing and cost describe the socio - cognitive motivation of learners. Their beliefs about the self and personal characteristics contribute to the decision of lifelong learners to go back to school. Their belief in their ability that they can finish the task at hand (Wigfield & Eccles, 2000) and their personal belief on the education lead them to that decision. The lifelong learners also emphasized the importance of schooling and education in gaining credibility and eligibility as well as prestige and recognition (Attainment Value). The utility value was shown in their reasons for they appreciate the usefulness of education in uplifting their economic conditions and having better future. That is why they decided to enroll at all cost, and increase their effort in attaining their goals. They did initial preparation in order to prepare themselves for the challenges in college such as career maturity and financial stability.

The practical reason why they decided to go back to college is more of urgency since they think that time is running out on them due to the implementation of K to 12 curriculum. If they will not enroll within the prescribed time, they will be forced to take subjects in the K to 12 program.

Conclusions

Based on the results of the study, the following are concluded:

1. Lifelong learners predominantly belonged to age ranging from 17-20, single, Roman Catholic, mostly graduated in 2015, very few had honors received and graduated from public schools.
2. Themes ranged from self, urgency of going back to school, valuing, and cost; and categories cited were beliefs, personal characteristics, attainment value, utility value, sense of time and preparation needed for schooling. Lifelong learners' beliefs are sources of motivation; they think that going back to school can help realize their dreams and goals; they feel the urgency to enroll in college for they think that time is running out on them due to the implementation of K to 12 curriculum; attainment valuing is emphasized on the benefits that they will gain when they finish their course such as credentials and eligibility as well as prestige and recognition; and they said that they have that career maturity to pursue what they like and that they have financial stability.

Recommendations

Based on the conclusions, the following recommendations are for forwarded:

1. The **administration** to provide interventions such as: adjustment program, needs assessment, specialized trainings to mentors to mention a few to satisfy the unique needs of these students; curricular offering including scholarships and other support programs that would fit the needs of lifelong learners; prioritize needs assessment and realign course offering to make subjects more relevant and beneficial to them; and plan creative strategies on how the lifelong learners can cope with the new learning climate and how they can be ushered to steps toward motivation and success.
2. **Future researchers to conduct** an in –depth study on reasons for the delay in college education may be done.

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Contact email: juanitapascua@nvsu.edu.ph

The Research and Creation of Projection Mapping on Motion Poster Design

Liao Chun Lo, National Yunlin University of Science and Technology, Taiwan
Chen Guang Dah, National Yunlin University of Science and Technology, Taiwan

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Abstract

Posters have been used as advertising media for a long time. However, the effect of printed posters are limited since the development of technology and widespread of internet. Motion posters are used more often nowadays. Moreover, more designers are trying to break the stereotypes by combining projection mapping technology and outdoor poster form to create advertising effect. The purpose of the research is to discuss whether projection mapping combining with motion poster is productive or not. The process of the research was from information collecting to developing the poster design direction. The study was conducted by an exhibition and analyzed by questionnaires from visitors. There are three main purposes of this study. First is to set a suitable direction for future poster design and motion poster design. Second is to analyze the advantages and disadvantages of the combination of projection mapping and motion poster. Lastly, developing different kinds of presentment and visual effect of poster design.

Keywords: Poster, Motion Poster, Projection Mapping

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1. Introduction

Still images and pictures are no longer sufficient for visual sensory stimulation. Therefore, increasing the vibrancy of the webpage does have a visual and psychological impact on the visual psychology of the viewers (Wu Yin Shu, 2003) In the past, the source of our information was mainly through traditional media such as newspapers, leaflets and posters. And communication activities are necessary for human survival and development. However, with the development of science and technology, the media has also faced a cross-century transformation to promote the birth of new media (Lee Shing Hwee, 2003) As one of the most common information carriers, poster is an effective communication media. However, in the digital age, the information industry and network platform are booming. The source of information acceptance has changed. The effect of printed posters are limited because of the development of technology and widespread of internet.

With the rapid development of the Internet, the traditional way of spreading print ads, is not enough to attract more consumers' attention. Therefore, how to effectively convey information to consumers in a novel and interesting interactive way has become an important issue. (Yang Su Kai, 2017) In recent years, there have been many motion posters in the form of GIF on the Internet. Divide, reorganize, and animate the design elements, or use the original posters with Post-production to spread on the Internet. Achieve a different publicity effects. Furthermore, motion posters can show stronger tension and visual impact than traditional posters. There is also a larger information space to carry out messages. Its form is closer to a short film than a static image, in addition, it is different from the film in the flexibility of communication, it is easier to convey with more simple information content.

In these years, some creators have tried to explore the possibility of posters through the application of projection technology. The original flat poster presents the special effect of the motion poster under the illumination of the projector. This allows the viewers to observe the different performances between the flat posters during normal and projection, and combine the advantages of posters and motion posters.

Summarizing the current practical application of projection technology in poster creation, there are two items that can be discuss:

1. Projection mapping is familiar to the general public because of its wide application nowadays. However, the combination of projection and poster is not often used in advertising.
2. There are many features in different types of projection mapping, and there is a lot of space for its further development.

The main research direction of this paper is to explore the development of projection application in poster creation. In addition to the analysis of past cases, the experiment also compares the differences in information transmission effects under different factors. It is hoped that through analysis and experimentation, we will help the development of relevant fields in the future. The emphasis of this study is briefly as follows:

1. Analyze the previous application cases and relevant literature.
2. Experimenting the effect of different factors on the practice of combining projection with poster.

3. Apply the research results to create a series of poster works.

2. Literature Review

In recent years, in the fields of media design and commercial design, we have been seeking cross-disciplinary and media integration, and the integration of different media techniques has emerged one after another. With this trend, there are many marketing cases that use cross-disciplinary professional resources to package in practice. One of them is the use of projection mapping technology combined with posters. In this chapter, we will focus on the differences between different types of projection mapping. After that, organize and analyze the cases in which using projection technique on the poster creation in these years.

2.1 Projection Mapping

2.1.1 Fogscreen Projection

The fog is sent out through the fog machine, and the screen formed by the fog replaces the general projection screen. Further, fogscreen projection allows viewers to freely shuttle through the project image, and you can walk right through Fogscreen without getting wet. Which means the less requirements of spaces. That is, it is usually used in activities that use indoor environments, such as product presentations and museum exhibitions.



Figure 2.1: Fogscreen projection work from Simp4live Records.

2.1.2 Water Projection

Water projection is to make a water curtain into the air by water emitter, and the curtain is turning into a fan shape is used as the projection screen. Used in large-scale activities, it is necessary to use the water surface as a stage. So it has been frequently used in projection performances in adjacent rivers.

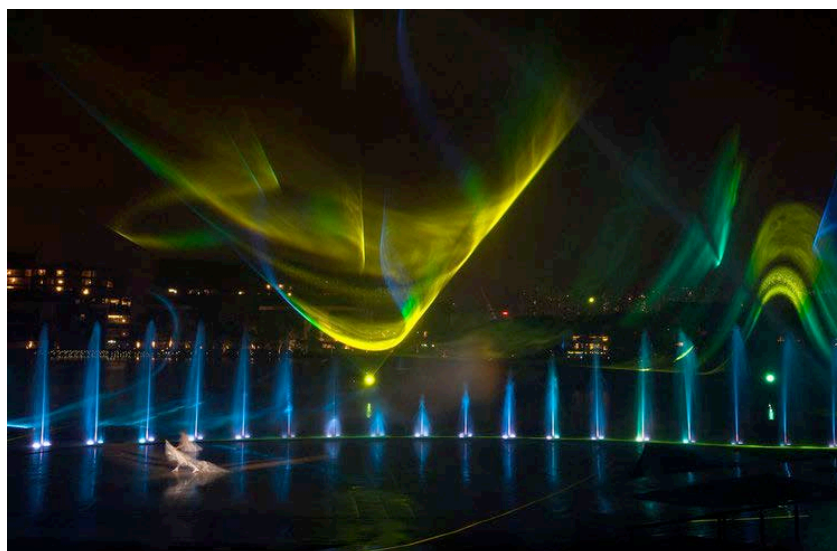


Figure 2.2: Water projection work from Simp4live Records.

2.1.3 Hologram Projection

Hologram projection is by using a permeable gauze or a one-way mirror as a projection screen. And it creates the floating effect by controlling lights. The more common presentation is a pyramidal hologram projection. The characteristic of the pyramid-type hologram projection is that the projected surface is a pyramid shape, and different projection views are given for different faces, so that the audience can enjoy the projection content at 360 degrees (Fan Jhao Qi, 2003)

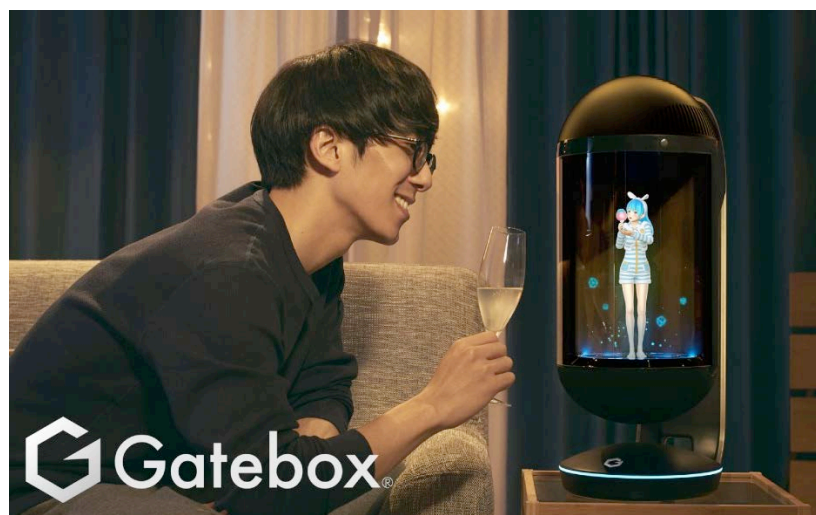


Figure 2.3: Hologram projection product from GATEBOX INC.

2.1.4 Holo Gauze

A translucent curtain made of cotton or synthetic material is used as a projection screen. Its shape looks like a traditional curtain with more transmittance. That is, Holo Gauze is frequently used in stage performances. When projecting an image on a translucent screen, it would create special effects with the performers behind the screen.



Figure 2.4: Holo gauze work on Shinkai Makoto's exhibition

2.1.5 Building Projection

The most distinctive feature of a building projection is its structural style. Therefore, the building structure is the most important thing of the building projection performance. It is also the most distinguishing feature between the general projection and the building projection (Huang Tien Hsin, 2003) Building projection uses high-power, high-lumenity equipment to project the image onto the wall of the building. With the appearance and material characteristics of the building, the image and the wall are fused together to present a very strong performance. In addition to being used in event performances, building projection is often used in brand and product advertising.

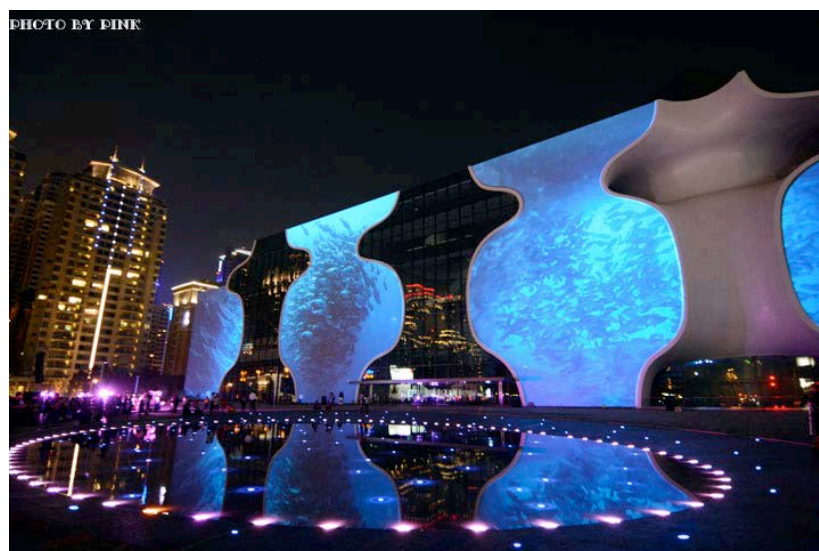


Figure 2.5: Building projection work on National Taichung Theater

2.2 Case study

2.2.1 Samsung mobile advertising

In 2016, in Milan, Samsung used a large advertising billboard to combine projection effects, and to create two different expressions in the day and night. In the daytime, the billboard only presented the product photos and advertising slogans. As for nights, the mobile phone on billboard was made to play the movie through projection effect.

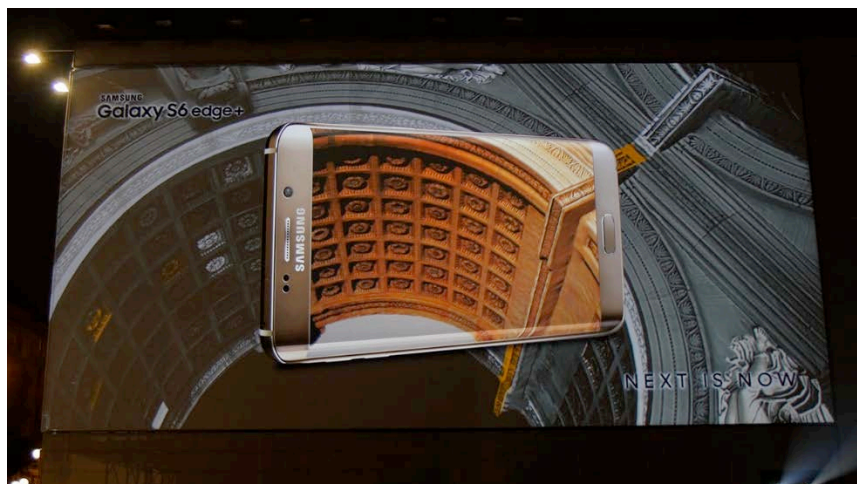


Figure 2.6: Samsung mobile advertising

2.2.2 Sensodyne advertising

In 2016, Sensodyne posted a toothpaste ad in the room, with the projector, it can make the original poster change its appearance. When the projector was played, it makes the poster look like a three-dimensional area, as if the poster extends an extra space.



Figure 2.7: Sensodyne advertising

2.2.3 UEFA Champions League poster

The example was about the advertising poster of the UEFA Champions League placed on the high-rise next to the football stadium in England. At night, through the use of projection equipment, it makes the poster more plentiful. Additionally, viewers can also send messages to the websites, to interact with poster.



Figure 2.8: UEFA Champions League poster

2.3 Summary

Among the different types of projection mapping, each has its limitations and effects. Although Building projection were frequently used large-area walls as projection screen, it has less area restriction. On the contrary, the water projection is limited in the use of area, because of its particular material and the clarity of the project image. Besides, because of the special medium of Water Projection and Fog Projection, they can be penetrated by object. Furthermore, they are the same as Hologram Projection and Holo Gauze, all of them have good light penetration. Conversely, Building Projection cannot be penetrated by light, and that makes it much suitable for matching the effect and its appearance. The following table shows the simple comparison of the different types, based on the suitability of the media:

Projection types	Fogscreen Projection	Water projection	Hologram Projection	Holo Gauze	Building Projection
Transmittance	high	high	high	high	low
Area restrictions	no	yes	no	no	no
Object penetration	yes	yes	yes	no	no

Table 2.1: Differences between different types of projection

From the previous cases, it can be found that the general cases were presented in the form like Building Projection, making the poster vivid or three-dimensioned by matching the images on the poster. However, some of the effects of Building Projections were not applied in the case, such as surface material and the screen structure.

3. Research Methodology

Using experimental research as the main method of this investigation, the advantage is able to separately discuss the influences of individual variables from the research results, and it is suitable to set different variables by using the previously compiled

data. The restriction of the method is that the analysis of the experiment requires objective observation. Therefore, the researcher needs to carry out the analysis with an objective view.

Experimental research method refers to a research method that explores whether there is a causal relationship between independent variables and dependent variables under the control of irrelevant interference variables that can affect the experimental results. The main purpose of this research method is to explore the causal relationship between independent variables and dependent variables by manipulating independent variables and then reviewing their effects on dependent variables (National Academy for Educational Research, 2000)

After the case study, there are a few key points in the experiment:

1. Experiment can be aimed at the existing elements from poster to enlarge the differences between using the projection and not using it.
2. Try to use the surface material or the appearance of the poster.
3. Apply additional features such as interactive function.

The purpose of this experiment, is to discuss the relevance between the application differences of the following three projects and the experiment results:

1. Printing material
2. Projection types
3. Poster content

Each of the three projects will extend several small projects downwards. The small project is used as Independent variable, and the result of random combination is used as dependent variable. Printing materials are divided into inkjet paper, transparency film, tracing paper. Projection types is divided into fogscreen projection, hologram, holo gauze, building projection. Poster content divides the ratio of text and image to the picture into three levels.

The experiment will initially set up assumptions based on the previous chapters and organize the experimental tools. After the establishment of three different types of item content, the allocation of the project is carried out. The ratio and content of the individual variables are adjusted in the Pilot test. The following is the experimental chart:

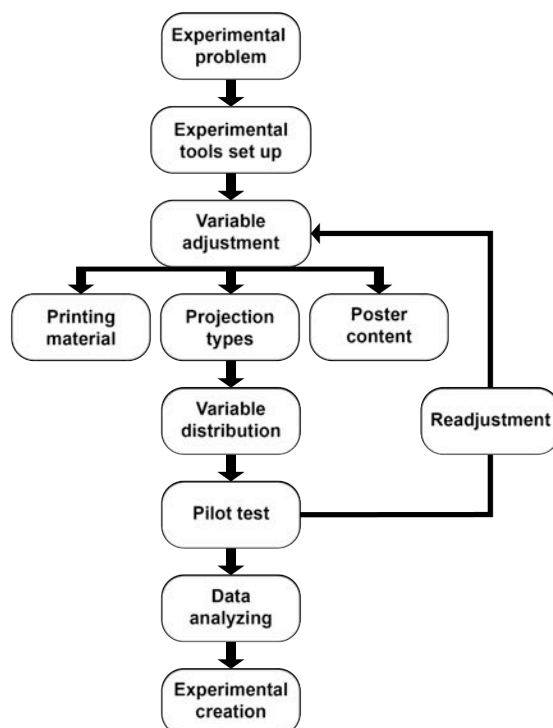


Table 3.1: experimental chart

4. Conclusion

Previous chapter has been described the method used in this investigation. Moreover, based on the previously data, the variable of further experiment was designed. The experiment progress will be based on the experimental flow chart, to describe synthesis and evaluation of the results. Finally, the experiment results will be applied in the subsequent works and expected to make contributions for the future researchers.

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Contact email: jces4115@gmail.com

Faculty Members in the Eyes of Students

Josefina S. Sana, Nueva Vizcaya State University, Philippines
Jane D. Navalta, Nueva Vizcaya State University, Philippines
Juanita B. Pascua, Nueva Vizcaya State University, Philippines
Vilchor G. Perdido, Nueva Vizcaya State University, Philippines
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Abstract

Teachers, as the most important human resource in school, need to be monitored and evaluated for continuing improvement of the learning process. The study analyzed results of the faculty evaluation from the students' point of view through the ratings and comments indicated in computerized student evaluation of the university. The student evaluators were chosen through a program designed purposely for the faculty evaluation of Nueva Vizcaya State University (NVSU) every semester which is being conducted by the University Educational Testing Center (UETC). Each faculty member is evaluated by 20 randomly selected students - each from the two preparations of the classes handled by the teachers. In case a class has less than 20 students, all of the students will be part of the evaluation process. The quantitative data were described using frequency count and means. The comments gathered were categorized by grouping answers with common themes, by college. There were six among the eight colleges who were given a rating of Outstanding while two colleges were rated Very Satisfactory. Moreover, the top three positive personal qualities were kind, approachable, and understanding; while the top three negative were soft voice, boring, and moody. For the professional qualities, the top three positive were good teaching, knowledgeable, and patient; while the top three negative were do not explain well, lack teaching strategy, and lazy.

Keywords: Faculty Evaluation, Students' Comments, Ratings

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Introduction

Teachers, as one most important human resource in school, need to uphold educational standards. To improve the efficiency and equity of learning depends on ensuring that all teachers should be highly skilled, well-equipped, and motivated to perform at their best. It would be best to put effective monitoring and evaluation of teaching as an essential component for continuing improvement of the learning process.

Student evaluation in NVSU provides a means for rating teaching performance based on four major criteria as specified in the instrument developed and recommended by the Philippine Association of State Universities and Colleges (PASUC). Evaluation criteria include Teacher's Commitment, Knowledge of the Subject Matter, Teaching for Independent Learning, and Management of Learning. Evaluation is implemented and coordinated by the UETC and is done for all faculty members in each college every semester. While results of the faculty evaluation is regularly submitted to the office of the Vice President for Academic Affairs and are given to the colleges, there have been no endeavors to analyze results for purposes of enhancing teaching and developing appropriate policies.

The concern to look at NVSU teachers in the eyes of their students is timely with the recent application and implementation of the Local Area Network (LAN)-Based Faculty Evaluation System in the university. Through the new system, calculated scores and summary of results can be produced with ease, stored, and retrieved electronically, and can be prepared for analysis.

Like professionals, teachers and students need and deserve evaluation process that accurately identify their strengths as well as areas in which they need to improve (Almy, 2011). As students need their teachers' evaluation regarding their performance in school to help them excel, teachers also need their students' evaluation for continuing improvement. The process works well for both seasoned and new teachers.

For this purpose, this study analyzed data on the faculty evaluation by students covering the first semester of SY 2015-2016 as a means for improving teaching and management of learning. Specifically, the study summarized and discussed implications of the results on:

- 1) the faculty ratings on the four evaluation criteria which covered (a) commitment of the teacher, (b) knowledge of the subject, (c) teaching for independent learning, and (d) management of learning; and
- 2) their comments of their teachers on (a) positive personal qualities, (b) negative personal qualities, (c) positive professional qualities, and (d) negative professional qualities.

Related Literature

Teachers' Personal and Professional Qualities

Many teachers have different qualities which impact students in a variety of ways. However, many researchers think that some teachers' quality traits can be generalized and they recommend good findings for actual classroom applications (Ornstein and Lasley II, 2000). Ryans (1960, as cited by Ornstein, 2000) made a research of 6,000 teachers in 1,700 schools over a six-year period; his goal was to identify the observations and self-rating, the most noteworthy teacher characteristics. The behaviors comprised of 25 effective behaviors and 25 ineffective behaviors some top 10 leading traits could be generally described as positive or helpful traits like: alert, appears enthusiastic; appears interested in pupils and classroom activities; cheerful, optimistic; self-controlled, not easily upset; recognizes and admits own mistakes; patient; understanding and sympathetic; helps pupils; gives praise for work well done; friendly and courteous.

To add, a study on teacher characteristics and their effects on students' attitudes reveals that certain personality traits influence student evaluations of teachers. Based on the students' answers, teacher suggestive characteristics such as warmth, enthusiasm, supportive, tend to establish a learning eliminate that facilitates students favorite learning experience (Acikgoz, 2005). Those personal traits separate the ineffective from the effective teacher.

The preceding research noted that among the experiences of teachers highlighting professional, pedagogical, and personal characteristics the last one, personal, was found to have a very vital role in reaching an improved learning experience. The data further revealed that the ratings of students on the personal traits of their teacher were much higher than the professional characteristics of their mentors. Female students also showed that they were more sensitive to the interpersonal characteristics of their teachers. In contrast, male students were more sensitive to whether their teachers were knowledgeable and had a good sense of humor (Smith et al., 1994 as cited by Acikgoz, 2005).

The teacher, next to the parent, lays the responsibility of sharing knowledgeable and more significantly, sharpening the character of the learners. The attainment of this ideal condition is only possible when the teachers themselves are able to develop healthy personalities whom the students would look up to as role models (Ulug et al., 2011).

The teachers' attitudes have positively influenced students' personalities as exemplified by them being positive: compassionate, understanding, helpful, seeing the students as individuals, friendly and interested, genuine and tolerant, and motivating, encouraging participation. Teachers' negative attitude is listed as discrediting, vengeful, too disciplined, being angry, being intolerant, showing favoritism, not understanding and being inconsistent, according to responses from the participants, 91.2% believed a positive attitude increased performance, 0.9% believed it lowered success, while 7.9% had no effect on performance (Ulug et al., 2011).

On Feedback and Evaluation

Tuytens and Devos (as cited by Stefans, 2011) stressed that the results of the perceived feedback measure indicate that most teachers perceive feedback from the school leaders as useful. Teachers would know what it was needed to develop. Student feedback, as part of the teaching evaluations, have often been developed in schools which forms part of a wider school self-evaluation, a must record to achieve school improvement (Champman and Sammons, 2013).

Another recorded research from the Department of Education in mainland US (2015) suggested that the application of student feedback in schools is a positive tool in upgrading teaching, learning, and performance of school as a whole. In contrast, some teachers were reported through a study that they were willing to lose their teaching positions instead of undergoing the school evaluation system (Tormero and Taut, 2001).

Methodology

Research Design

This descriptive study covered faculty evaluation e-data for one semester of SY 2015-2016. Data were electronically retrieved from the LAN-based Faculty Evaluation System, filtered, sorted, and computed based on evaluation criteria which covered commitment of the teacher, knowledge of the subject, teaching for independent learning, and management of learning. For each criterion, students rated their teachers using the rating scale as specified in the evaluation form. Student comments from the open ended part of the tool were analyzed by grouping answers with common themes.

Samples

The evaluation involved all faculty members per college, totaling 223 for all the eight colleges. In the evaluation system, each faculty member is rated by 20 randomly selected students - each from two of the classes being handled. In case a class has less than 20 students, all of the students rate their teacher.

Instrumentation

The computerized Faculty Evaluation Tool of UETC was used as the source of data. It is based on four major criteria as specified in the instrument developed and recommended by the Philippine Association of State Universities and Colleges (PASUC). The students' ratings and comments were downloaded and analyzed.

Treatment of Data

The study used descriptive statistics such as frequency count and mean to measure teaching performance of faculty members based on raw score ratings. Student comments were analyzed by grouping answers with common themes.

Results and Discussion

Ratings of Faculty Members by College

The summary of teachers' ratings by students per college and qualitative descriptions are presented in Table 1. Mean values indicated covered the four evaluation criteria used to measure teaching performance. Results indicate that of the eight colleges, six, namely Agriculture, Teacher Education, Forestry, Engineering, Human Ecology, and Veterinary Medicine got a mean rating of Outstanding (4.50-4.60). On the other hand, two colleges, Arts and Sciences and Business and Economics, had a mean rating of Very Satisfactory.

Table 1: Frequency, percentage and mean of teachers' ratings by students, per college

College	Ratings						Total (N)	Mean Rating	QD
	O		VS		S				
	N	%	N	%	N	%			
Agriculture (CA)	18	58	13	42	0	0	31	4.50	O
Arts and Sciences (CAS)	37	46	41	50	3	4	81	4.40	VS
Teacher Education (CTE)	24	71	9	26	1	3	34	4.60	O
Business & Economics (CBE)	6	30	14	70	0	0	20	4.26	VS
Forestry (CF)	10	63	6	37	0	0	16	4.58	O
Engineering (CE)	8	50	8	50	0	0	16	4.51	O
Human Ecology (CHE)	9	53	8	47	0	0	17	4.50	O
Veterinary Medicine (CVM)	5	63	3	37	0	0	8	4.57	O
Total	117		102		4		223		

An examination of the ratings of faculty members per college show the values to be mainly divided into either *Outstanding* or *Very Satisfactory*. Arts and Sciences and Teacher Education had three (2%) and one (3%) faculty members rated as *Satisfactory*. For colleges rated as *Outstanding*, the frequency of faculty members who were *Outstanding* outnumbered those rated as *Very Satisfactory*. For Engineering where there was an equal number of faculty members rated as *Outstanding* and *Very Satisfactory*, the higher values for *Outstanding* ratings influenced the mean.

For the three colleges with mean values falling as *Very Satisfactory*, the frequency of faculty members rated *Very Satisfactory* outnumbered those rated as *Outstanding*. There are several possible factors influencing results of student evaluation for the particular period. The teacher serves as the main factor since the evaluation system is designed to rate the teacher's performance. This is clearly indicated in having faculty members across colleges given ratings of *Outstanding* and *Very Satisfactory* regardless of the number of teachers evaluated. This particular result reflects that for each college, there were teachers really performing well in all the four evaluation criteria as viewed by the students. Implications of this result on the quality and effectiveness of teachers in both technical and general education program/courses and this insight has to be given careful study for possible policy implications or instruction improvement related issues. Insights generated from comments of students as part of the evaluation may relate to the teacher factor as presented in the succeeding sections.

The actual number of faculty members involved is another factor. This may be observed specifically in cases involving Arts and Sciences and Veterinary Medicine; two (2) of the colleges with the highest and lowest number of faculty members evaluated, respectively. In Statistics, larger sample sizes always provide better estimates of the true values. However, the evaluation system is limited only to the actual number of faculty members in the College. Since this differs considerably depending on the constituency of the College, ratings will be affected favorably or unfavorably by this number. In the case of the two (2) Colleges, Arts and Sciences with 80 faculty members rated by students got a mean value of *Very Satisfactory*, while Veterinary Medicine with eight (8) faculty members evaluated received a mean rating of *Outstanding*. The difficulty of the subject matter itself is an unlikely factor as revealed by the results. Colleges like Forestry, Engineering, and Agriculture with highly technical courses got an *Outstanding* rating.

Comments by Students

Faculty Members' Positive Personal Qualities

Positive comments on the faculty evaluation forms were categorized according to descriptive qualities confined to interpersonal qualities of an effective teacher. The five personal categories were in Table 2. With eight colleges listed in columns, the highest number of raters was 66, coming from the Arts and Sciences. On *cognitive ability*, the highest number of raters was found from the Teacher Education; 15 times they rated their teacher as *Best/ Great/ Excellent/ Outstanding*. On *affective qualities*, the most numbered was *Kind*; 72 times from the Arts and Sciences; the second most numbered was *approachable*, 31 times from Teacher Education. Remarkably, all colleges have mentioned *kind* and *approachable* as qualities they observed and encoded. This strengthens the claims of Orlando (Qualities of a Good Teacher) and Dent (Personal Qualities of a Good Teacher) that a teacher needs pleasing and winsome personality traits to put across the lessons designed for a specific time frame. Indeed, personal traits have to be positive to deliver effectively the instruction goals designed by the teachers.

On *commitment towards work*, being *responsible* ranked highest. As regards *attitude in class*, being *cheerful* was the next positive trait mentioned by two colleges: Business and Economics, 10 times and Arts and Sciences, nine (9) times. It is noteworthy that student raters among colleges commented only three times, from the Arts and Sciences and Business and Economics, *beautiful and pretty*. This may imply that students least focused on the *physical qualities* of their mentors or more likely did not perceive the externals as vital in effective and quality traits of a teacher.

Table 2: Positive feedback from students on faculty member's personal qualities, by college

Feedback	CA 31	CV M 8	CA S 66	CB E 17	CE 17	CF 15	CH E 18	CT E 31
On Cognitive Ability								
Intelligent / Smart	5		6		3			1
Best / Great / Excellent / Outstanding			10	9		6	2	15
Awesome and great			5					
On Affective Qualities								
Loving /caring							2	3
Understanding / considerate	3	1	16	6	9	10	10	18
Kind	16	1	72	16	5	15	18	18
Approachable	5	5	10	5	6	8	2	31
Acts like a second parent						5		10
Gives advice								9
Honest on his/her feelings						3		
Religious/godly			6			6		3
Patient		1	2					4
Helpful			3			4		
Friendly / knows how to get along			8				1	1
Thoughtful								1
Open minded								2
Fair							2	5
Flexible								5
On Commitment towards Work								
Responsible	3		7	2		5	4	5
Punctual	4						5	
Comes on time			7					
Always present			5	3				
Hardworking/ Workaholic		3					1	5
Energetic				2				
On Attitude in Class								
Cheerful			9	10				2
Always smiling	1				1	1		2
On Physical Attributes								
Beautiful/Pretty			3	1				
Audible voice							1	

Faculty Members' Negative Personal Qualities

Table 3 reveals the negative feedback or disapproval of *external descriptive* like *inaudible voice* which was the highest rating, 27 times from Arts and Sciences; this same comment was mentioned 11 times from Teacher Education; *straight face/deadpan* came from 9 raters from Arts and Sciences.

On *attitude in class*, *boring* was mentioned in the Arts and Sciences. *Frighten/terrorize the students* came from Teacher Education and no other college rated their teachers as such. On *affective qualities*, *hot tempered/moody* was a

comment from three colleges: Arts and Sciences, Human Ecology and Teacher Education, seven (7) times from the Arts and Sciences, eight (8) times both from Human Ecology, and Teacher Education; *Favoritism/biased/unfair* was highest, eight (8) times mentioned in Teacher Education. There were other negative qualities on *commitment towards work* like *wasting time* and *does not give consideration* all were coming from the Arts and Sciences.

Table 3: Negative feedback from students on faculty member's personal qualities, by college

Feedback	CA 31	CV M 8	CA S 66	CB E 17	CE 17	CF 15	CH E 18	CT E 31
On External Attributes								
Inaudible voice	3	1	27	7		6	4	11
Straight face/deadpan			9					
On Attitude in Class								
Always frowning	1	2						
Boring			6	2				
Dull/monotonous discussion			2	3				
Be energetic	2							
Talks too much							3	
Talks too fast						1		
Cursing							2	2
Cracks green jokes						1		
Cracks insulting joke								1
Frighten/terrorize the students								11
On Affective Qualities								
Terror			2					
Hot-tempered/moody			7				8	8
Inconsiderate							2	
Offensive							1	
Favoritism /biased/unfair			2		2	2	8	4
On Commitment towards Work								
Lazy			2					
Wasting time			3					
Does not give consideration			3					
Too strict			2		4			
Other Descriptor/s								
Forgetful							1	

Relating the descriptive comments to the numerical ratings mentioned, it may imply that colleges which got VS's as their ratings got negative comments as *inaudible voice* (27x), *boring in class* (8x); *hot tempered/moody*. One college (CHE) got eight (8) times rated by student evaluators the unfavorable *favoritism/biased/unfair*. Personal qualities indeed have a stronghold on carrying out designed instructional plan and they have a bearing on how teachers build their learning climate in the classroom.

Faculty Members' Positive Professional Qualities

Table 4 gives positive feedback of student evaluators on professional qualities. These may refer to the teaching methodology/strategies, and teaching performance as a whole. On the *art of teaching, good in teaching/discusses or explains the lessons well* was a comment for all colleges, except for Human Ecology; *has a good teaching style/ methodology* was a comment given 15 times and the highest among all colleges. No other colleges were given comments on motivating students except the Teacher Education which got 20 times from the student evaluators. Nine (9) rated faculty members as *comes early* from the Forestry only.

Table 4: Positive feedback from students on faculty members' professional qualities, by college

Feedback	CA 31	CV M 8	CA S 66	CB E 17	CE 17	CF 15	CH E 18	CT E 31
On the Arts of Teaching								
Good in teaching/discusses or explains the lessons well	61	3	459	82	67	51		87
Good teaching style/ methodology	10		11					15
Gives clear instruction								10
On Knowledge of the Lesson								
Knowledgeable of the subject/field				3	5			10
Gives a lot of examples							1	9
On Attitude towards Teaching								
Teach patiently			41					
Persistent in teaching				3	5			4
Always present	7							
On Humor in Class								
Jolly						3	3	14
Not boring								1
On motivating students								
Encourage students to study hard							2	
Motivate their students								20
On being prompt and punctual								
Comes early						9		
Come to class on time					1			
On commitment and dedication								
Committed to the job/passionate					2			4
Always prepared for class			6					
Has high standards		1						

Faculty Members' Negative Professional Qualities

The Arts and Sciences got the highest number of comments, 48 times for *Teaches so fast*; while Engineering got 11 times comment for *Give more examples and use other strategies*, Arts and Sciences also received 17 times comment for *Lack of examples*. Most of the colleges received comments for *Comes to class late*, but Arts and

Sciences and Teacher Education got high frequency where they were rated 16 and 11 times, respectively.

Table 5: Negative feedback from students on faculty member's professional qualities, by college

Feedback	CA 31	CV M 8	CA S 66	CB E 17	CE 17	CF 15	CH E 18	CT E 31
On the Arts of Teaching								
Explanation cannot be easily understood			22	6	6		3	
More explanation/elaboration	10		20					
Teaches too fast	6		48	15	4	2	1	
Needs improvement in teaching				6	7			2
Use more teaching strategies / give more examples	1		17	5	11	3		
Depends on books too much					1			
Makes the topic too complicated						3		
On Attitude towards Teaching								
Lazy to teach the lesson	1			9		3	1	
On Commitment								
Lack of meetings						2		
Always absent			9	6				2
Comes to class late	5		16	9	1			11
On Instructional Materials								
Too much handouts		3						
No handout				5				
Lacks handouts						1		
Use PowerPoint presentation next time	2							
Give handout	6							
Make the writings on the board understandable	3							
Module needs to be summarized	2							
On Classroom Management								
Does not check attendance				1				
On Time Management								
Examinations should start on time	3							
Class discussion exceeds time schedule								3
On Projects								
Projects are expensive								4

Other comments were stated in imperative statements like: *Give handouts*, six (6) times from Agriculture and *projects are expensive*, four (4) times from Teacher Education.

Conclusions

Based on the discussions, the following are hereby concluded:

1. There were six colleges with Outstanding rating: Agriculture, Engineering, Forestry, Human Ecology, Teacher Education and Veterinary Medicine; while two colleges were rated Very Satisfactory: Arts and Sciences, and Business and Economics.
2. The top three positive personal qualities were kind, approachable, and understanding; while the top three negative were soft voice, boring, and moody.
3. For the professional qualities, the top three positive were good teaching, knowledgeable, and patient; while the top three negative were do not explain well, lack teaching strategies, and lazy.

Recommendations

Based on the findings of the study the following are hereby recommended:

1. The department chairs may have a discussion of the descriptive comments with the faculty concerned. It is also recommended that a periodic classroom visitation announced and unannounced and post conferences be consistently pursued.
2. A periodic study of the evaluation data based on the Computerized Faculty Performance Evaluation System be conducted regularly for purposes of improving teaching performance.
3. The administrators may possibly look into scheduling capacity building seminars on affective domain of the faculty members and improving teaching strategies that may vary according to different fields of learning.
4. Personality tests and other appraisal of personal traits and behavior may be recommended for awareness and improvement of personal traits and professional traits.
5. A regular rest and recreation program, a retreat, or a night or weekend of personal reflection be recommended for nourishment of character and intellect be considered. Over all, a comprehensive faculty development program be planned, implemented, and evaluated.

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***The Political Institution of the Democrat Party :
Thailand's Oldest Political Party, After the Coup,
22 May 2014***

Sarttarin Tansoon, Kasetsart University, Thailand

The Asian Conference on the Social Sciences 2019
Official Conference Proceedings

Abstract

The purposes of this study were as follows : the status adaptation and political institution of the Democrat Party to examine this party as a political institution by Samuel P. Huntington theory after the coup in Thailand, on May 22, 2014. The study was a qualitative research by the instruments used were documentary research and in – depth interview. The study uses data collection from primary documents and leader interviews with three keymen of the party as well as Mr Abhisit Vejjajiva, the current leader of the Democrat Party; as leader of the second largest party, he was appointed the Prime Minister of Thailand on 17 December 2008. Major research findings indicated the party has a high level of political institutionalization the results of these Huntington's analyses showed that 1. The Democrat Party has been the second largest party in Thailand since the 21st century. It is still very popular with many Thai. 2. The Democrat party shows a high level of adaptability. Through some creative politics, it was able to ensure its existence during and after the coup. 3. As of 2019, it was Thailand's oldest political party, having existed for 73 years. 4. The Democrat party has good organizational structure. 5. The Democrat party is autonomous and has a high level of dedication of party members. Based on the major findings, further research for the political platform and the general success of the Democrat Party was needed.

Keywords: Thailand, The Democrat Party, political institution

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Introduction

I'll start with some general information on Thai politics have become predictably cyclical over the past decade. An anti-establishment political party gets elected, that party gets purged, the military installs a caretaker government pending elections, the military rewrites the election rules to ensure its desired result, elections are held again—and an anti-establishment party wins again.(Bremmer, 2016) The Democrat Party Thailand's Oldest Political Party has found winning elections in modern times to be its biggest challenge, with the party last winning a plurality of the vote 26 years ago. Since decisively losing the 2001 election to Thaksin Shinawatra after losing popular support due to its management of the IMF. The country's oldest party boycotted the 2006 election, (Head, 2019) decisively lost in 2011 and boycotted another poll in 2014. the Democrat Party won some 11.4 million popular votes in the 2011 election under the leadership of Abhisit Vejjajiva, (Panyaarvudh, 2019) The March 24 election will be the first since the military seized power in 2014, an intervention that unseated a Pheu Thai-led administration headed by Yingluck Shinawatra, sister of exiled former premier Thaksin Shinawatra but in the 2019 managed to secure only fourth position with 3.9 million votes, tipped to win just 55 seats. The Democrats, who marked their 73rd anniversary last month, failed to secure a single seat in Bangkok their traditional stronghold losing to Phalang Pracharat and Future Forward (Panyaarvudh, 2019). In the South, another normally dependable Democrat bastion, Phalang Pracharat and Bhumjaithai swept up votes in several constituencies.

Research objectives

The purposes of this study were as follows: the status adaptation and political institution of the Democrat Party to examine this party as a political institution by Samuel P. Huntington's theory after the coup in Thailand, on May 22, 2014.

Methodology

the instrumental

The study was a qualitative research by the instruments used were documentary research and in-depth interviews. I'm interviewed three party leaders on several occasions. :

1. Former Democrat party leader Mr.Abhisit Vejjajiva
2. Former Democrat party deputy leader Mr. Jurin Laksanawisit
3. Former Democrat party secretariat Mr.Juti Krairerk

This research uses the theory of Political Institutionalization by Samuel P. Huntington

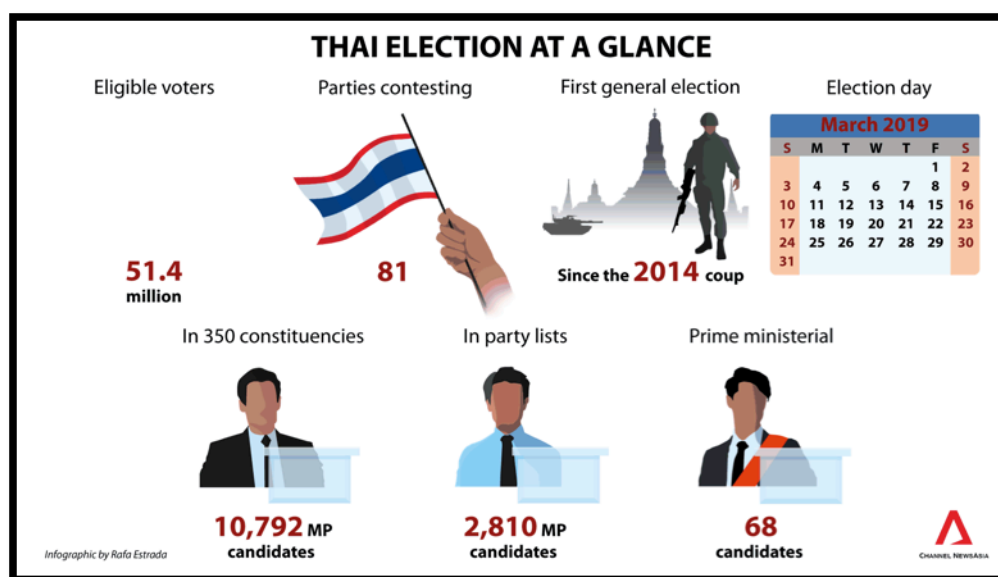
Contents /Results

According to Samuel P. Huntington's theory in his book "Political Order in Changing Societies" (New Haven and London : Yale University Press, 1968).

He proposed to use as an index to measure the level of development into institutionalization.:

1.Scope of Support : The institution has a large number of members and comes from various social groups. Will be an expression of cooperation and support from the public in a wide range Political institutions are highly stable. If any institution has a small number of members and closes narrowly, only in one group or any class of society also shows the lack of support from the wider population Which will result in the instability of political institutions and low development. The Democrat Party still with only 6.2 million voters in the South, the Democrat Party would lack sufficient support to win an election. (Phakdeewanich, 2018) By contrast, the political power base of Pheu Thai in the North and Northeast registered 24.9 million voters at the 2011 election. The media and the online public have been describing the Democrats' loss with the term, "Extinct Democrats." In Bangkok area.

However, the South remains important to the successful re-emergence of democracy in Thailand, which can only happen if the Democrat Party shows determination in persuading its constituents that democratic culture and power transitions are the way forward rather than accepting military interventions. Titipol Phakdeewanich said



Figures 1 : Thailand latest election 2019

source : <https://www.channelnewsasia.com/news/asia/thailand-election-voters-polls-military-rule-democratic-11373892>

2. Level of Institutionalization. There are factors that are considered in the following levels of measurement.

2.1 Adaptability means interesting that Democrat Party is conservative, pro-monarchy and establishment, backed by the military and most of the Bangkok-based elite. The party hasn't won a general election in two decades and only came to power in a parliamentary vote in 2008 after the previous ruling party was dissolved by the courts. (Kurlantzick, 2013) Nowadays the Democrat Party has changed from ideological political parties by considering the need to work politically creatively with a new method example the Democrat Party is only one party in Thai politics which the election for leaders and executives party. The thing is the Democrat Party has been facing a crisis in its party structure for a decade now. Last year, the party

introduced “New Dem”, a group of 21 young party members led by Parit – former party leader Abhisit Vejjajiva’s nephew (Panyaarvudh, 2019) with the hope of acting as a bridge to engage with the 8 million first-time voters. However, this group failed to meet the aim. The party really needs to build a connection with young voters, as they are growing up and will become a part of future politics. I wondered how the oldest party would be able to end the long-held perception that it has always made compromises with the military at a time when the new generation is concerned about the future of democracy in Thailand.

2.1.2 Chronological Age. Huntington’s viewed that if the political institutions were in continuous and long-standing political activities would show the ability to adapt in other words, that political institutions have regulations and methods to respond and solve problems that occur very well. (Huntington, 1968) the Democrat Party is a Thai political party. The oldest party in Thailand, the Democrat Party was founded by Khuang Aphaiwong on 6 April 1946, as a conservative and royalist party, following the January 1946 elections. Early members included royalists opposed to Pridi Phanomyong and former Seri Thai underground resistance members. (Heilprin, 2009) The party competed against the parties affiliated with Pridi Phanomyong and the Progressive Party of brothers Seni and Kukrit Pramoj. In the January 1946 elections, the Pridi-led coalition had won a majority in parliament. it was founded as a conservative and royalist party, and now upholds a conservative-liberal.

2.1.3 Generation of Elite. After suffering a great loss in the March 24 election which caused Abhisit Vejjajiva to resign as party leader, the 73-year-old party is now at a crossroads as it has to choose its new leader, restore its confidence and decide whether to join other parties to form a coalition government.(Lohatepanont, 2018) After the general election, some Democrats backed Mr. Abhisit when he announced he would not support Gen Prayut Chan-o-cha as a prime minister, but some others have different views but age of the next generation leader of the party is 55-60 years.

Mr. Apirak Kosayodhin (age 58),two-time former Bangkok governor said he has invited "new generation people" to join him to rebuild the party.

Mr. Jurin Laksanawisit (age 63) is among four candidates competing for the top position. The others are former finance minister Mr.Korn Chatikavanij (age 55), and former justice minister Pirapan Salirathavibhaga (age 60)

And from the results of the election of the latest Democrat Party on May15, 2019 is elected Jurin Laksanawisit to be its new leader. Mr Jurin garnered 160 votes from 291 members selected to vote, followed by Pirapan Salirathvibhaga (102), Korn Chatikavanij (19) and Apirak Kosayodhin (10).

His win was widely expected after the party list MP became acting Democrat leader after the resignation of Abhisit Vejjajiva following the party's poor showing in the March 24 election. Mr Jurin entered politics in Phangnga in 1983, but lost his first election. He won election three years later and has never lost since then. (Boyle, 2019) He promised to bring change to the Democrat Party, but also to restore unity after voters ousted their candidates from their Bangkok stronghold.



Figures 2 : New leader of the Democrat party 2019

source : <https://www.bangkokpost.com/thailand/special-reports/1676996/jurin-seen-as-front-runner-to-lead-dems>

2.1.4 Organizations Functions. Political institutions must be able to change or create the main functions of the new institution. (Huntington, 1968) the Democrat Party is able to both the opposition and the government and served at the local government example Bangkok governor which the party won in the area since 2004.

The Democrat party has created political leaders and Thai political standards on many issues. The 73-year-old Democrat Party suffered a huge loss in the polls. It failed to secure a single seat in its Bangkok stronghold, losing votes to Phalang Pracharat and Future Forward. In the South, another normally dependable Democrat bastion, Phalang Pracharat and Bhumjaithai took several constituencies. Observers believe Abhisit's resignation as leader after the dismal outcome could pave the way for the Democrats to join a Phalang Pracharat-led coalition.

2.2 Complexity. According to studies, the Democrat Party it has been found that the management structure of the party placing a command line rotation of the management team by internal election and good efficiency.

However, Huntington considers that institutions or organizations will be able to face problems and operate smoothly, the Democrat Party able to operate structure is placed on each side. Establishment of a working group and faced with friction or political problems for a period of time It should be considered that the party is complex in organizing the organization. Because effective political institutions need to divide sub-units by doing specific duties In order to suit the complex social condition. The Democrat party has adjusted the management structure to be flexible and adapt to the post-coup situation without violating the dictatorial government's order Abhisit Vejjajiva said "We give the party members the opportunity to join or reject work with the dictatorial government which is not considered a party resolution or a party's regulation" (Head, 2019)

In facts a lot of party members joined the process created by the junta government.



Figures 3 : New DEM of the Democrat party 2019
source : <https://thestandard.com/>

2.3 Autonomy. The ability of political institutions to make decisions on their own policies Without being overwhelmed or under the influence of other organizations outside the party From the study, it was found that the Democrat Party had a relatively high level of political independence. The Democrat party no one is the owner of the party members are very independent in making decisions or voting on issues but must respect the party resolution. (Kurlantzick, 2013)The party lost their seats to new parties, particularly PPRP and FFP. Surprisingly, the party could not win any constituency seats in Bangkok. As a result, Abhisit Vejjajiva resigned as the head of the party after the poll ended. It is time for the DP to learn from its previous standpoints, ideologies and actions in Thai politics in the past two decades. Currently, the party executives will run the party after the election.

2.4 Coherence Huntington's viewed that unity It is an important condition for every institution and includes consistent opinions, especially on issues related to the scope of authority(Huntington, 1968). Because activities in every organization must have conflicts that cannot be avoided. Conflict resolution can be done peacefully in order to achieve the organization's goals. And encourage political institutions to become more stable. The party's voter base is traditionally concentrated in southern Thailand and in Bangkok, where the party relies on the support from the capital's aristocratic, meritocratic, and educated middle and upper classes. In the 1990s, under the leadership of Chuan Leekpai, a native of Trang Province, the Democrats quickly became the dominant party in southern Thailand. The influences of provincial politicians from the south into the party created considerable tension with the party's Bangkok establishment. Chuan's "Mr. Clean" image, however, made him personally popular with Democrat Party supporters throughout Thailand, and so the party managed to stay cohesive under his leadership. (Boyle, 2019) The first Chuan government (1992–1995) fell when members of the cabinet were implicated in profiting from the Sor Phor Kor 4-01 land project documents distributed in Phuket Province. Chuan was again premier from 1997 to 2001, in the midst of the 1997 Asian financial crisis and its aftermath. The party lost a landslide election victory to Thaksin Shinawatra's populist Thai Rak Thai (TRT) party, winning 128 seats compared to the TRT's 248 in the 2001 general election. After the election in 2001,Thaksin Shinawatra

the leader of Thai Rak Thai Party, became prime minister. New Aspiration Party has joined the government. Shortly thereafter. The New Aspiration Party was merged with the Thai Rak Thai Party. Mostly to join Thai Rak Thai party (the governing party) with Gen. Chavalit Yongchaiyudh except Lieutenant Colonel Thita Rangsitpol Manitkul, WRTA Member of the Parliament and Deputy Secretary of the party. Offset to the Democrat Party (Thailand) (Opposition Party) remains the only MPs moving from the opposition party government. During her tenure as a member of the House of Representatives.

Huntington's viewed to the institution of the political party which is the final goal to create a political party that is the main institution in the country administration Political parties will act as power users instead of people.



Figures 4 : Game of seats 2019

source : <https://www.bangkokpost.com/thailand/politics/1674208/pheu-thai-govt-hope-on-ropes>

Conclusion

Major research findings indicated the Democrat Party has a high level of political and strong Institutionalization. Political parties that are highly political institutions Must provide opportunities for people, the general public to enter political parties and up to play a leading role in political parties equally and equally Means that the party with high institutions will have the process of recruiting party members to become political leaders of the party.

In Fact. The Democrat Party are popular with middle-class voters and have strong support in the south and Bangkok. They enjoy backing from conservative elites and the military's top brass, though having struggled to win over the poor the majority of Thai voters. The Democrat Party have since launched a series of populist programs to broaden support.

However, with all of the above mentioned, it leads to the conclusion that the Democrat Party is a strong Thai political institution. As much as the Thai political system had ever existed.

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***Designing an Ambicultural Business Model for Cause-Based Partnerships:
A Feasibility-Study on the First Underwater Museum in Taiwan***

Sonya H. Wen,¹ Tamkang University, Taiwan

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Abstract

How to design the ambicultural business-model for cause-based partnerships (Parker & Selsky, 2004)? We attempt to apply the theoretical perspectives of ambiculture (Chen, 2014) and ambidexterity (Luo & Rui, 2009), in the empirical context of the first national underwater-museum in Taiwan. Owing to the richness of underwater-cultural-assets located in the Penghu-islands, about 260-kilometers of land-and-marine distance from Taipei, we conducted this feasibility-study for evaluating the potential museum-sites and designing its business-model. The survey-results on a sample of 331 respondents indicated that the identity of “marine-nation” was the most significant factor to increase the endorsement to establish this proposed underwater-museum, and their local experiences in Penghu and passion for “marine-culture” to increase their willingness to visit this museum in Penghu. Such preliminary results imply that the ambicultural business model for ambidextrous innovation is important to cope with the challenges of cause-based partnerships, particularly when facing the resource constraints for sustainability. Following Chen’s definition of “ambicultural organizations” as a combination of the best of two or more entities—cultures, ideas, practices—while avoiding the shortcomings of each, we propose to change the museum business-model from a public agency to a public-and-private joint-venture. Following Luo and Rui’s specification of ambidexterity as comprising co-evolution, co-competence, co-opetition, and co-orientation, we propose underwater museums to form a global alliance to preserve-and-exploit as well as promote-and-explore marine-culture beyond national and organizational boundaries.

Keywords: Cause-based partnership; ambicultural approach; ambidextrous innovation; underwater museum

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¹ Dr. Sonya H. Wen is currently an Associate Professor of Business Administration at Tamkang University, Taiwan, with major teaching courses of Strategic Management and Business Ethics. Dr. Wen was graduated with two master degrees of Political Science at National Taiwan University and then Business Administration at Yale University, USA. After a decade of executive practice in the financial and telecommunication industries, Dr. Wen changed to the academic career as the Ph.D. of International Business at National Taiwan University. Dr. Wen’s research has extended from technological innovation of international alliances to business-model innovation of social enterprises. Serving as President of Youth Hope Foundation in Taiwan, Dr. Wen has also led the philanthropic projects through the financial and consulting support for young social workers and entrepreneurs.

Introduction

For designing an ambicultural business-model for cause-based partnerships (Parker & Selsky, 2004), this research applied the theoretical perspectives of ambiculture (Chen, 2014) and ambidexterity (Luo & Rui, 2009), in the empirical context of the first national underwater-museum in Taiwan. Owing to the richness of underwater cultural assets located in the Penghu-islands, about 260-kilometers of land-and-marine distance from Taipei, we conducted this feasibility-study for evaluating the potential museum-sites and designing its business-model.

One of the major tasks of this feasibility-study was to explore the potential factors of the citizens to support such a new type of museum. The survey results of logistic regressions on a sample of 331 respondents indicated that the identity of “marine-nation” was significant to influence their endorsement to establish this proposed underwater museum, as well as the local experiences and passion for “marine-culture” to influence their willingness to visit this proposed museum in Penghu, among 6 museum-specific and 4 respondent-specific independent variables, specified in our hypothesized model.

The following sessions review the literature relevant to cause-based partnerships, propose our hypothesized model to examine the factors to support a cause-based partnership, and then discuss the research methods, preliminary findings, and research implication for designing the business model of a cause-based partnership, such as the underwater museum in Penghu.

Literature Review

Attempting to explore the research inquiry, how to design an ambicultural business-model for cause-based partnerships (Parker & Selsky, 2004), we developed a hypothesized model to specify and then to examine the factors to generate the citizen support for an public and long-term investment project. Parker & Selsky defined “cause-based partnerships” as those between a corporation and one or more nonprofit organizations that address social meta-problems such as environmental sustainability or social-justice challenges (Parker & Selsky, 2004). Theoretically, this research proposed to extend the application of cause-based partnerships from an alliance between private corporations and non-profit organizations to a multi-stakeholder platform by adding the government agencies, as well as its cause from addressing social meta-problems to development a solution for environmental sustainability and cultural education. Empirically, we chose the first national underwater museum in Taiwan, proposed to be established in Penghu islands, as the research context to illustrate such boundary-crossing potential of cause-based partnerships.

Even though Taiwan is not a member of United Nations, the background of this feasibility-study was based on the Convention on the Protection of the Underwater Cultural Heritage of UNESCO (United Nations Educational, Scientific and Cultural Organization) in 2001. Two major styles of underwater museums include to display the underwater cultural assets in the off-shore building and to preserve the artifacts in the natural water-environment of river, lake, or ocean. The first underwater

museum in the world is the Mary Rose Museum² in the UK, established 1984 (Museum, 2017; Trust, 2018; Whyma, 2013; Wikipedia, 2018b), and the first underwater museum located in the ocean is the Cancún Underwater Museum³ in Mexico, established 2010 (Wikipedia, 2018a). The business models of existing underwater museums, such as the Mary Rose Museum and the Cancún Underwater Museum are typical cause-based partnerships, with an organization type of nonprofit trust or foundation and supported by the donations from private corporations.



Exhibit 1: The development path of the first underwater museum in Taiwan

Contrastingly, the business model of existing museums with large investment or endowment in Taiwan is a public agency or foundation, whose investment and operation are almost 100% funded by the government budget. Based on the findings of the feasibility-study⁴, the central and local governments in Taiwan are expected to invest about USD 57 ~ 190 millions to build this first national underwater museum in the next decade. Moreover, the financial reports of three reference museums in Taiwan showed their average of annual loss was 130% of operation revenues, without factoring in the depreciation costs of facility. Therefore, due to the budget and human resources constraints of governments, we propose the business model of this museum,

² The Mary Rose Museum is a historical museum located at Historic Dockyards in Portsmouth in the United Kingdom run by the Mary Rose Trust. The museum is dedicated to the 16th-century Tudor navy warship Mary Rose as well as the historical context in which she was active. The museum opened in 1984 and displays artefacts from the ship as well as the ship itself in a dedicated ship hall. Since opening it has been visited by over a million people.

³ The Cancún Underwater Museum (Spanish: Museo Subacuático de Arte, known as MUSA) is a non-profit organization based in Cancún, Mexico devoted to the art of conservation. The museum has a total of 500 sculptures, most by the British sculptor Jason deCaires Taylor and the others by five Mexican sculptors, with three different galleries submerged between three and six meters deep in the ocean at the Cancún National Marine Park. The museum was thought up by Marine Park Director Jaime Gonzalez Canto, with Taylor's assistance, with the objective of saving the nearby coral reefs by providing an alternative destination for divers. It was started in 2009 and officially opened in November 2010.

⁴ The author was in charge of the survey and business-model as one of the five research members of the Center for Ocean and Underwater Technology Research at Tamkang University, to conduct this feasibility-study on the first underwater museum in Taiwan, commissioned by the Bureau of Cultural Affairs of Penghu County, in 2018.

aiming both environmental sustainability in ocean, and cultural education like Underwater Cultural Heritage, as a hybrid cause-based partnership, with the funding and operation from private corporations, nonprofit organizations, and governments. (COUTR-TU, 2018)

Furthermore, following Chen's definition of "ambicultural organizations" as a combination of the best of two or more entities—cultures, ideas, practices—while avoiding the shortcomings of each (Chen, 2014), we propose to change the mainstream museum business-model from a public agency or private trust / foundation to a public-and-private joint-venture or hybrid organization. In addition, following Luo and Rui's specification of ambidexterity as comprising co-evolution, co-competence, co-opetition, and co-orientation (Luo & Rui, 2009), we propose such a hybrid museum to form a global alliance, in order to preserve-and-exploit as well as promote-and-explore marine-culture beyond national and organizational boundaries.

Hypothesized Model

One of the major tasks of the feasibility-study on the first national underwater-museum in Taiwan, was to explore the potential factors of the Taiwanese citizens to support such a new type of museum, particularly when a large amount of government investment is expected. Therefore, we conducted this survey project and developed a hypothesized model to test which factors may enhance the endorsement of such large investment-budget and the willingness to visit an underwater museum as two dependent variables. As shown on Exhibit 1, our model specified two sets of 10 independent-variables, including 4 respondent-specific factors of Sex, Education, Age, and Type, as well as 6 Museum-Specific Independent-Variables of Identity of marine nation, Passion for marine culture, Diving-experiences, Frequency of museum-visit, Local experiences in Penghu, and Prior knowledge of underwater museum.

In addition to the common demographic factors of Sex, Education, and Age, our model specified three types of survey respondents of Local-residents, Museum-visitors, and Students, for comparing their support levels. In addition to the types of residents in Penghu islands, and visitors of the marine and cultural (yet not underwater) museums in two non-Penghu counties, this survey included the third type of university students, because the business model of this proposed underwater museum highlighted the additional educational programs, like exchange semester-programs and summer camps as an academy extension to the research and exhibition functions of mainstream museums. Based on the passion for cultural activities as museum visit and the economic growth generated by such a large local investment, we hypothesized that female or senior respondents with higher education and the type of local-residents, tend to support this museum more than male or senior respondents with lower education and the types of museum-visitor and student among different demographic groups.

In addition to the respondent-specific factors, our model also hypothesizes three intangible and three tangible museum-specific factors to increase citizens' support to build this proposed underwater museum in Penghu. The intangible factors focus the support reasons on the respondents' general connection and/or appreciation of underwater cultural assets, including their identity of marine nation, passion for marine culture, and diving experiences, which is relevant because the underwater

access to the underwater cultural assets, such as diving in the aquarium or underwater tunnel is proposed. Moreover, the tangible factors focus the support reasons on the respondents' local connection and/or economic benefits appreciation of underwater museum in Penghu, including their prior frequency of museum-visit, and local experiences in Penghu and their prior knowledge of underwater museum before answering the survey.

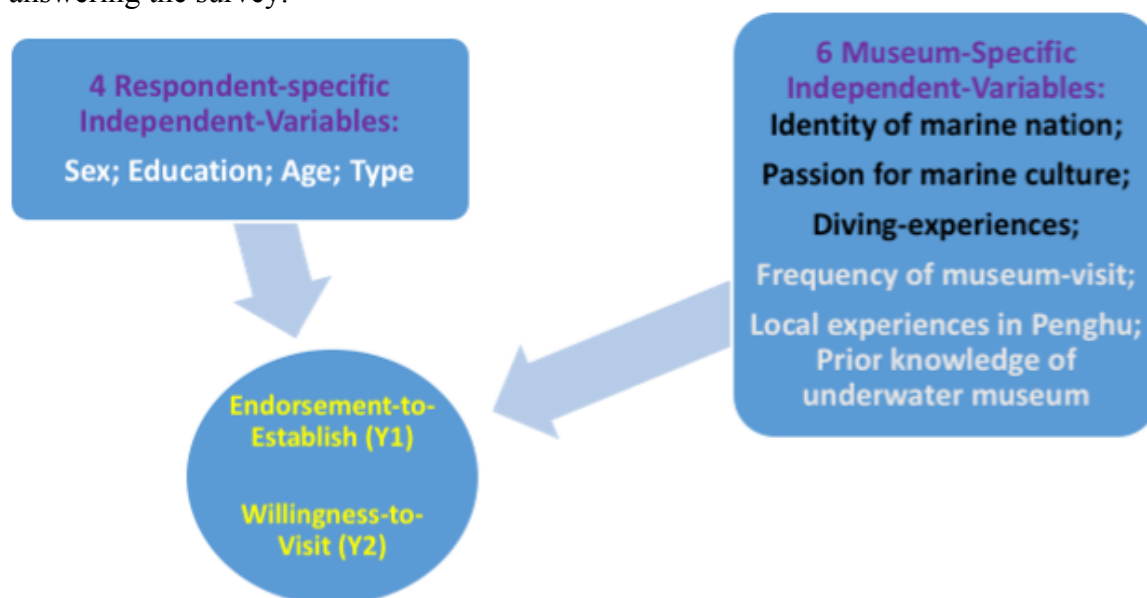


Exhibit 2: The hypothesized model on the citizen support of a cause-based partnership

Research Methods

To test which of the potential factors facilitate higher citizens' support of the underwater museum in Penghu, as specified in the aforementioned hypothesized model, we conducted a research survey during March and April in 2018. The following describe the sample, and odd-ratio tests by logistic regressions.

This survey, written in Chinese, included both and qualitative questionnaire for collecting opinion about designing the business model. There are 20 questions categorized into three parts: 1) 14 quantitative questions⁵; 2) 3 type-specific qualitative questions for either Penghu local-residents, Museum-visitors, or Students; 3) 3 general qualitative questions for all respondents. As the prior discussion, this paper only discussed a part of quantitative questions, which was hypothesized to increase the citizens' support as shown on Exhibit 1.

Based on the likelihood consistency of each sample to be drawn from the population, there are two major sampling methods, including probability sampling, such as simple random sampling, stratified sampling, systematic sampling, cluster sampling; and nonprobability sampling, such as convenience sampling, purposive sampling, quota sampling (Battaglia, 2008; Wu, Huang, & Lee, 2014). We attempt to explore the expectation-priority and open-end-poll from both local residents and museum visitors

⁵ Please refer to Appendix B for the Chinese questionnaire and the comparison among three types of respondents.

about the proposed the first underwater museum in Penghu, which may be built about ten years after this survey.

Therefore, it is unlikely that the survey sample represents the population of museum stakeholders in the future. Particularly, “underwater museum” is a new and unknown concept for most respondents. The survey results that 65% of the respondents have never heard about “underwater museum” attested to our expectation that the citizens’ insufficient knowledge. To counter with such low level of prior knowledge, the survey team prepared the 8-page slides in the format of PDF for google-form or colorful print-out for in-person respondents. We also designed two stickers with the images of the Penghu landmark and underwater cultural assets as the gift to survey respondents, shown as Appendix A.

As a result, it is more appropriate for this feasibility-study to use nonprobability sampling than probability sampling. In addition, because this survey was commissioned by Bureau of Cultural Affairs of Penghu County, we used the method of purposive sampling, in order to identify the design priority and policy development, as well as to meet the sampling requirement as at least 50% respondents of Penghu residents in the minimal sample size of 300. Following the purposive sampling method, we identified three major stakeholders of underwater museum as type of respondents or sub-samples: 1) Penghu local-residents (N=180); 2) Museum-visitors (N=81); 3) Students (N=70).

As shown on Table 1, in addition to the three types of respondents, we collected the 311 responses from two survey formats: 1) Google form by the website link (187; 56.5%); 2) Paper form by the in-person interview (144; 43.5%). All of the 70 university students answered the survey via Google form distributed by the faculty of our research team in the classes of the Institute of Oceanography, National Taiwan University (IONTU), the Institute of Industrial Design, Shih Chien University, and Penghu University of Science and Technology. In addition to the accessibility of such student sample, these three classes were chosen to represent more diverse and related sources of educational program in the proposed underwater academy, such as Oceanography, Design, and Technology.

All of the 81 museum-visitors from Keelung Marine Technology Museum and New Taipei City Shihsanhang Museum of Archaeology answered the survey via on-site and in-person interviews. These two museums in Taiwan were chosen to represent the National level of museum scale and the boundary-spanning assets with Archaeology culture and marine technology. We collected the 180 local responses via both google-form (35%) and in-person interview (65%) in Penghu. Table 2 showed the Sample description of the 12 model variables.

Table 1: Sample description based on three types of respondents and two survey formats

	Sub-sample	%	Sub-group	%	Google Form	%	Paper Form	%
Full-sample	331	100%			187	56.5%	144	43.5%
P/ Penghu Locals	180	54%		100%	117	65%	63	35%
P1/ Penghu Residents			145	81%	99	68%	46	32%
P2/ Penghu Tourists			35	19%	18	51%	17	49%
M/ Museum Visitors	81	24%		100%	0	0%	81	100%
M1/ KMTM*			41	51%	0	0%	41	100%
M2/ NSMA**			40	49%	0	0%	40	100%
S/ Students	70	21%		100%	70	100%	0	0%
S1/ Penghu Students			30	43%	30	100%	0	0%
S2/ Non-Penghu Students			40	57%	40	100%	0	0%

*Keelung Marine Technology Museum; ** New Taipei City Shihsanhang Museum of Archaeology

Table 2: Sample Description of the 12 model variables

The number of respondents in each sub-sample	No. (%); N=331
4 Respondent-specific Independent-Variables	
Sex	
Male	160 (48%)
Female	171 (52%)
Education	
High-school & below	63 (19%)
College-degree	205 (62%)
Advanced-degree	63 (19%)
Age	
Youth (18~24)	105 (32%)
Middle-aged (25~44)	144 (44%)
Senior (45+)	82 (25%)
Type	
Resident	180 (54%)
Museum-Visitor	81 (25%)
Student	70 (21%)
6 Museum-Specific Independent-Variables	
Identity of marine nation (High vs Low)	
High (4+)	312 (94%)
Low (3&-)	19 (6%)
Passion for marine culture (High vs Low)	
High (4+)	310 (94%)
Low (3&-)	21 (6%)
Diving-experiences (YES vs NO)	
YES	226 (68%)
NO	105 (32%)
Frequency of museum-visit (High vs Low)	
High (11 times+)	86 (26%)
Low (10 times &-)	245 (74%)
Local experiences in Penghu (YES vs NO)	
YES	280 (85%)
NO	51 (15%)
Prior knowledge of underwater museum (YES vs NO)	
YES	128 (39%)
NO	203 (61%)
Dependent-Variables	
Endorsement-to-Establish (Y1) (High vs Low)	
High (4+)	270 (82%)
Low (3&-)	61 (18%)
Willingness-to-Visit (Y2) (High vs Low)	
High (4+)	271 (82%)
Low (3&-)	60 (18%)

As we discussed in the session of sampling methods, it is unlikely to assume a specific distribution of the population to estimate its parameters during this early design stage of feasibility study. In addition, the survey responses were specified as binary (Yes or No) and the Likert scale; therefore, we used the odds ratio⁶ estimates of logit regression to test the quantifiable strength of the association or correlation between two events (Wikipedia, 2018c), X as 10 factors and Y as two dependent variables to demonstrate the citizens' support. Although statistically, the odds ratio is symmetric in these two events, there is no causal direction implied between our specified independent variable and dependent variable, our research attempt is to explore the potential factors to generate higher citizens' support, rather than to prescribe the causality model from a specific theoretical lens.

Research Findings

Our hypothesized model specified 10 factors, consisting of 4 respondent-specific variables, as well as 3 intangible and 3 tangible museum-specific factors, to increase citizens' support of the proposed underwater museum located in Penghu as shown on Exhibit 1. As discussed in the session of research methods, the odds ratio estimates were used to test the strength of those factors to increase the citizens' support, measured by two dependent variables as the endorsement to establish and the willingness to visit in the future. Although two independent variables were significantly correlated, the preliminary results of the 331 survey-respondents showed different strength of association for the same factor.

Table 3 showed the preliminary results of the odds ratio estimates and their significance levels of the hypothesized factors on Endorsement-to-Establish (Y1) and Willingness-to-Visit (Y2). All of the odds ratio estimates of the specified 4 respondent-specific factors, including Sex, Education, Age, and Type, were not significant. Such test results rejected the hypothesis that female or senior respondents with higher education and the type of local-residents, tend to support this museum more than male or senior respondents with lower education and the types of museum-visitor and student. The survey results suggested no significant differences among various demographic groups about their support level to this proposed museum.

Among three intangible museum-specific factors, the odds ratio estimates of "Diving-experiences" demonstrated no significant influences on both dependent variables. Such lack of association of diving experiences may be because it is difficult for the respondents to imagine the proposed underwater facility, even though they saw the image and PDF documents of other underwater museums. Contrastingly, that "Identity of marine-nation" was the only significant factor to increase the

⁶ The odds ratio is defined as the ratio of the odds of X in the presence of Y and the odds of X in the absence of Y, or equivalently (due to symmetry), the ratio of the odds of Y in the presence of X and the odds of Y in the absence of X. Two events are independent if and only if the odd ratio (OR) equals 1: the odds of one event are the same in either the presence or absence of the other event. If the OR is greater than 1, then X and Y are associated (correlated) in the sense that, compared to the absence of Y, the presence of Y raises the odds of X, and symmetrically the presence of X raises the odds of Y. Conversely, if the OR is less than 1, then X and Y are negatively correlated, and the presence of one event reduces the odds of the other event.

endorsement to establish this proposed underwater-museum, and “Passion for marine culture” was the only significant factor to increase their willingness to visit this museum in Penghu. The odds-ratio estimates of “Identity of marine-nation” as 8.038 suggested that the odds-ratio of those with higher levels of identity of Taiwan as marine nation were estimated to endorse this museum 8 times higher than those with lower levels. The odds-ratio estimates of “Passion for marine culture” as 4.124 suggested that the odds-ratio of those with higher levels of passion for marine culture were estimated to visit this museum 4 times higher than those with lower levels.

Among three tangible museum-specific factors, the odds ratio estimates of “Frequency of museum-visit” and “Prior knowledge of underwater-museum” demonstrated no significant influences on both dependent variables. Although the majority of the respondents (61%) have never heard about “underwater-museum,” their preferences in both dependent variables were not different from those who knew the new concept. Such lack of association of museum-visit experiences suggested the visit motivation may be driven by the contents of exhibition rather the museum activity or facility. Contrastingly, that “Local experiences in Penghu” was the only significant factor to increase their willingness to visit this museum in Penghu. The odds-ratio estimates of “Local experiences in Penghu” as 5.974 suggested that the odds-ratio of those having ever lived or visited Penghu were estimated to visit this museum 6 times higher than those having not lived or visited at all.

Table 3: Preliminary results on the factors of Endorsement-to-Establish (Y1) and Willingness-to-Visit (Y2)

* significant <0.1 ; *** significant <0.01*	Endorsement-to-Establish (Y1)			Willingness-to-Visit (Y2)			
Odds Ratio Estimates	Coefficient	95% Wald	Significance	Coefficient	95% Wald	Significance	
		Confidence Interval			Confidence Interval		
4 Respondent-specific Independent-Variables							
Sex (Male vs Female)	1.518	0.679	3.393	0.808	0.375	1.744	
Education							
College-degree vs High-school & below	0.411	0.103	1.635	0.997	0.291	3.416	
Advanced-degree vs High-school & below	0.359	0.076	1.698	0.821	0.196	3.444	
Advanced-degree vs College-degree	0.873	0.327	2.335	0.824	0.313	2.168	
Age							
Middle-aged vs Youth	0.266	0.081	0.873	1.488	0.555	3.986	
Senior vs Youth	0.492	0.107	2.263	2.575	0.663	9.997	
Senior vs Middle-aged	1.851	0.54	6.345	1.731	0.48	6.238	
Type							
Tourists vs Residents	0.246	0.083	0.731	1.064	0.332	3.407	
Students vs Residents	0.306	0.081	1.164	1.25	0.365	4.282	
6 Museum-Specific Independent-Variables							
Identity of marine nation (High vs Low)	8.038	1.762	36.671	***	0.596	0.107	3.321
Passion for marine culture (High vs Low)	1.343	0.28	6.449		4.124	0.972	*
Diving-experiences (YES vs NO)	1.74	0.708	4.28		1.834	0.765	4.394
Frequency of museum-visit (High vs Low)	0.876	0.319	2.409		1.846	0.659	5.172
Local experiences in Penghu (YES vs NO)	0.61	0.197	1.882		5.974	2.018	17.687
Prior knowledge of underwater museum (YES vs NO)	1.33	0.499	3.543		0.269	0.111	0.653
Alternative Dependent Variables							
Willingness-to-Visit (Y2) (High vs Low)	14.906	5.567	39.91	***			
Endorsement-to-Establish (Y1) (High vs Low)					14.445	5.596	37.285

Conclusions

Our preliminary results of this feasibility study on imply that the ambicultural business model for ambidextrous innovation is important to cope with the challenges of cause-based partnerships, particularly when facing the resource constraints for sustainability. Following Chen's definition of "ambicultural organizations" (Chen, 2014), we propose to change the museum business-model from a public agency to a public-and-private joint-venture, particularly focusing on crowd fundraising through underwater virtual-reality events and websites approaching to global villagers. following Luo and Rui's specification of ambidexterity (Luo & Rui, 2009), we propose such a hybrid museum to form a global alliance, in order to preserve-and-exploit as well as promote-and-explore marine-culture beyond national and organizational boundaries. Last but not least, four named oceans: the Atlantic, Pacific, Indian, and Arctic, as well as marine culture are all connected on Earth.

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Appendix A: The stickers as the gift to survey respondents



Appendix B: The comparison among three types of respondents

Note: This questionnaire was written in Chinese	Residents	Museum-Visitor	Student	<i>p</i> -value	Significant $\alpha=0.05$
	Total N=180	N=81	N=70		
	N(%)	N(%)	N(%)		
問卷型態					
紙本問卷	63 (35%)	81 (100%)	0 (0%)		
電子問卷(Google form)	117 (65%)	0 (0%)	70 (100%)		
基本人口學變項					
性別				0.0267 *	
男性	75 (42%)	47 (58%)	38 (54 %)		
女性	105 (58%)	34 (41.98%)	32 (46%)		
最高學歷				0.004 *	
國中/國小	8 (4%)	4 (5%)	0 (0%)		
高中/高職	39 (22%)	8 (10%)	4 (6%)		
專科/大學	107 (59%)	51 (63%)	47 (67%)		
碩士/博士	26 (14%)	18 (22%)	19 (27%)		
年齡				<.0001 *	
18~24 歲	39 (22%)	18 (22%)	48 (69%)		
25~44 歲	81 (45%)	51 (63%)	12 (17%)		
45~64 歲	53 (29%)	9 (11%)	10 (14%)		
65 歲以上	7 (4%)	3 (4%)	0 (0%)		
居住地				<.0001 *	
澎湖	145 (81%)	2 (2%)	30 (43%)		
非澎湖	35 (19%)	79 (98%)	40 (57%)		
廣義性問卷之變項					
認為台灣是否為海洋國家				0.3484	
非常不同意	0 (0%)	0 (0%)	0 (0%)		
不同意	4 (2%)	0 (0%)	0 (0%)		
沒意見	8 (4%)	6 (7%)	1 (1%)		
同意	61 (34%)	26 (32%)	23 (33%)		
非常同意	107 (59%)	49 (60%)	46 (66%)		
喜歡海洋相關的文化藝術				0.2363	
非常不喜歡	0 (0%)	0 (0%)	0 (0%)		
不喜歡	0 (0%)	0 (0%)	1 (1%)		
沒意見	10 (6%)	5 (6%)	5 (7%)		
喜歡	88 (49%)	49 (60%)	39 (56%)		
非常喜歡	82 (46%)	27 (33%)	25 (36%)		
潛水之經驗				0.382	
沒有	55 (31%)	23 (28%)	26 (37%)		
浮潛過	100 (56%)	50 (62%)	38 (54%)		
接受潛水訓練	8 (4%)	4 (5%)	3 (4%)		
海洋潛水	15 (8%)	5 (6%)	5 (7%)		

有潛水執照	20 (11%)	2 (2%)	3 (4%)	
曾拜訪各種博物館頻繁度				<.0001 *
沒有	1 (1%)	0 (0%)	0 (0%)	
1~10 次	125 (69%)	62 (77%)	57 (81%)	
11~20 次	33 (18%)	14 (17%)	7 (10%)	
21~30 次	3 (2%)	1 (1%)	3 (4%)	
30 次以上	18 (10%)	4 (5%)	3 (4%)	
曾拜訪過哪些博物館				<.0001 *
澎湖生活館	149 (83%)	8 (10%)	33 (47%)	
基隆海洋科技館	25 (14%)	48 (59%)	20 (29%)	
屏東海洋生物館	110 (61%)	54 (67%)	43 (61%)	
新北市十三行館	56 (31%)	52 (64%)	22 (31%)	
其他	17 (9%)	7 (9%)	1 (1%)	
喜歡博物館之理由				0.0319 *
家族活動	60 (33%)	41 (51%)	24 (34%)	
文化素養	97 (54%)	27 (33%)	32 (46%)	
藝術欣賞	105 (58%)	34 (42%)	39 (56%)	
學習新知	116 (64%)	48 (59%)	45 (64%)	
其他	4 (2%)	0 (0%)	4 (6%)	
曾住過澎湖之天數				<.0001 *
沒去過澎湖	0 (0%)	37 (46%)	15 (21%)	
當天來回沒住過	0 (0%)	3 (4%)	0 (0%)	
1~7 天	25 (14%)	37 (46%)	14 (20%)	
8~30 天	6 (3%)	1 (1%)	2 (3%)	
30 天以上	149 (83%)	3 (4%)	39 (56%)	
過去至澎湖之理由				<.0001 *
居住	153 (85%)	2 (2%)	33 (47%)	
旅遊	47 (26%)	41 (51%)	25 (36%)	
公務出差	4 (2%)	2 (2%)	6 (9%)	
拜訪親友	18 (10%)	3 (4%)	4 (6%)	
讀書	17 (9%)	0 (0%)	26 (37%)	
服兵役	10 (6%)	1 (1%)	3 (4%)	
工作(非兵役)	24 (13%)	0 (0%)	2 (3%)	
其他	0 (0%)	1 (1%)	0 (0%)	
喜歡澎湖之理由				<.0001 *
居住	126 (70%)	3 (4%)	25 (36%)	
潛水	43 (24%)	10 (12%)	10 (14%)	
海洋活動(非潛水)	94 (52%)	26 (32%)	32 (46%)	
自然景觀	114 (63%)	38 (46%)	40 (58%)	
歷史文化	65 (36%)	10 (12%)	18 (26%)	
民風純樸	110 (61%)	9 (11%)	35 (50%)	
其他	0 (0%)	0 (0%)	0 (0%)	
曾聽過水下博物館				0.0437 *

沒聽過	111 (62%)	58 (72%)	34 (49%)	
有聽過	64 (36%)	23 (28%)	34 (49%)	
有去過	5 (3%)	0 (0%)	2 (3%)	
水博設施中感興趣之規劃(平均值±標準差)				<.0001 *
潛水/潛水艇接近海下文物	3.73±1.58	3.79±1.56	4.23±1.18	
從水族館玻璃牆(水下電梯)	3.78±1.56	4.11±1.41	4.17±1.16	
看海下文物				
潛水/觀看水下藝術品	3.51±1.66	3.06±1.72	4.13±1.23	
靜態水下文物(沈船)展示	3.15±1.63	3.24±1.67	3.87±1.19	
虛擬實境	3.22±1.67	3.08±1.74	3.56±1.44	
互動遊戲區	3.25±1.63	2.8±1.8	3.66±1.35	
教育文化活動	3.23±1.59	2.59±1.71	3.63±1.36	
博物館園區生態觀光導覽	3.41±1.61	2.91±1.76	3.89±1.25	
(Y2)興建後參觀澎湖水下博物館之意願				0.0262 *
不想去	4 (2%)	0 (0%)	0 (0%)	
再多了解	8 (4%)	2 (2%)	4 (6%)	
可能會去	18 (10%)	15 (19%)	9 (13%)	
會想去	106 (59%)	58 (72%)	43 (62 %)	
想經常去	44 (24%)	6 (7%)	14 (20%)	
(Y1)澎湖設立水下博物館之意見				0.0023 *
非常不贊成	6 (3%)	0 (0%)	0 (0%)	
不贊成	4 (2%)	3 (4%)	1 (1%)	
沒意見	24 (13%)	15 (18%)	8 (11%)	
贊成	58 (32%)	44 (54%)	26 (37%)	
非常贊成	88 (49%)	19 (23%)	35 (50%)	

The Effects of the Decline of the EU Leverage Over Turkey's Political Regime

Burak Cop, Istanbul Kültür University, Turkey

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Abstract

Levitsky and Way have a particular place in the study of democratization since most of the scholars analysing the effects of the linkage and the leverage refer to their works. They define Western leverage as the “incumbent governments’ vulnerability to external pressure for democratization”. Linkage basically means “the density of ties and cross-border flows between a particular country” and the Western world. Levitsky and Way regard linkage as a more determinative factor than leverage by contending that “Leverage in the absence of linkage has rarely been sufficient to induce democratization since the end of the cold war”. However, the intensity of Turkey’s linkage to Europe could not compensate the negative effects of the declining leverage over democratization since 2006. Levitsky and Way’s argument that linkage matters more than leverage does not apply to Turkey.

Keywords: Leverage, Linkage to the West, Turkey, authoritarianism, AKP

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Introduction

The effects of Western linkage and leverage over transitory political regimes have been widely discussed in the democratization literature since the early 1990s. Although the academic researches began in the 1980s with the democratization processes some Southern European and Latin American started to experience, the post-communist transition processes which occurred after the collapse of the pro-Soviet socialist bloc intensified the debate. Levitsky and Way (2006 and 2010) have a particular place in the study of democratization (and failed attempts of democratization) since most of the scholars analysing the effects of the linkage and the leverage refer to their works.

Levitsky and Way define Western leverage as the “incumbent governments’ vulnerability to external pressure for democratization”. Performing as a carrot and stick mechanism, Western pressure may both include rewards such as the EU accession for a candidate country and means of punishment such as “aid withdrawal, trade sanctions (...), diplomatic persuasion, and military force” (Levitsky and Way, 2006: 382). Rewards could be termed as positive or political conditionality and within the EU accession context, which is the relevant context for this paper, means “the adoption of democratic rules and practices as conditions that the target countries have to fulfil in order to receive rewards such as financial assistance (...) or —ultimately— membership” (Schimmelfennig & Scholtz, 2010: 445).

The three factors Levitsky and Way cite as the dynamics that shape the intensity of the Western leverage are as follows: “the size and strengths of the country’s economy, strategic or economic interests of the West (...) and the presence of (...) counter-hegemonic powers that shield (...) their allies from Western influence” (Levitsky and Way, 2010: 40-43). They regard linkage as a more determinative factor than leverage by contending that “Leverage in the absence of linkage has rarely been sufficient to induce democratization since the end of the cold war” (Levitsky and Way, 2006: 379). In a latter work they maintained the same argument, this time by adding the “organizational power of the incumbent regimes” as a third factor alongside linkage and leverage into the equation (The organizational power here designates the rulers’ capacity to repel the pro-democracy challenge coming from the opposition). They therefore arrive at the conclusion that when the linkage is high, one should expect a higher probability for democratization irrespective of the extents of leverage and organizational power, whereas the leverage becomes a determinative factor only when the linkage is not strong, along with a weak organizational power (Levitsky and Way, 2010: 37-73).

Linkage basically means “the density of ties and cross-border flows between a particular country” and the Western world, with these five dimensions: Economic linkage, geopolitical linkage, social linkage, communication linkage, and transnational civil society linkage (Levitsky and Way, 2006: 383-384). Levitsky and Way highlight the role played by linkage extensively (Ibid.: 379-380 and 384):

Linkage has raised the cost of autocratic abuses by increasing their international salience and the likelihood of external response (...) In high linkage regions, such as Central Europe and the Americas, nearly all competitive authoritarian regimes democratized. (...) Linkage generates

several sources of antiauthoritarian pressure. First, it heightens the international salience of autocratic abuse. (...) Second, linkage increases the likelihood that western governments will take action in response to abuses. (...)

In an era where many established and relatively new democratic regimes are dominated by a transnational socio-political tide called populism, right(-wing) populism or authoritarian populism by several authors, the importance Levitsky and Way attach to linkage has proved to be highly optimistic, though. What Diamond calls the period of “democratic recession” is preceded by the glorious democratization wave which rose in the 1990s (Diamond, 2008) and it coincided with the 2008-9 global economic recession which instigated a crisis of representation in many European countries, shaking the societal foundations of the traditional parties located near the centre of the political spectrum. It is just one of the striking examples that in Central Europe, which is portrayed by Levitsky and Way as a region where the democratic transition has completed (Levitsky and Way, 2006: 380 and 384), Hungary under Fidesz rule and Poland under Law and Justice Party rule stand among the right-wing populist governments of the Western world.

It should be noted that Levitsky and Way’s optimism identifying a firm connection between linkage and democratization is not a personal error of analysis. The positive role assigned to linkage is a structural characteristic of the modernization theory, which regards democracy as “a function of the level of social and economic development of a country” (Lavenex and Schimmelfennig, 2011: 891). This theory identifies a strong connection between democracy and the indices of economic development such as industrialization, urbanization, wealth by contending that “economic development goes together with better education, less poverty, the creation of a large middle class and a competent civil service” which, in their turn, moderate the class struggle and diminish the appeal of extremism (Ibid.). In short, modernization theory is an optimistic theory.

Levitsky and Way’s theory has not only been challenged on the grounds of linkage, but regarding leverage as well. Even they themselves admit that the effect of the leverage may be limited when a regional power provides “support to neighboring autocracies, thereby mitigating the impact of the western influence” or when an autocratic regime manages to portray itself “as the best means of protecting [western] interests” (Levitsky and Way, 2006: 383). However other systemic analyses go farther by demonstrating that the US and the EU do not certainly endorse democracy in every case while pursuing their foreign goals (see for instance Börzel, 2010 and Schimmelfennig, 2012). Similarly, as opposed to the optimistic approach which argues that “domestic actors do not just react differently to the incentives of EU membership [but] they are also shaped by them” (Vachudova, 2002: 4), Börzel and Van Hüllen define the prospective EU accession as a stabilizing factor rather than a driving one for a candidate country government’s willingness for democratic consolidation (Börzel and Van Hüllen, 2011). The latter argument could be said to be in line with Schmitter’s contention that it is actually the national actors who play the essential role in democratic transition, compared to the marginal role played by foreign actors (Schmitter, 1986: 3-10).

Turkey's bid for democratization: 1983-2002

The military coup in 12 September 1980 was followed by a relatively short period of military rule and a civilian government was established following the 6 November 1983 election, held under the supervision of the military. The current governing party, Justice and Development Party (AKP) under R. T. Erdoğan's leadership came to power in November 2002. The reason this paper does not consider any part of the ongoing AKP era within the framework of democratization is that Turkish democracy's trend was upwards between 1983 and 2002 while its direction went downwards between 2003 and 2014, according to V-Dem Institute's liberal democracy index (see Meyersson, 2016a). Freedom House data covering the same period largely confirms the V-Dem Institute's findings (see Meyersson, 2016b). When it comes to the 2015-2019 period, Freedom House defines Turkey as a Partly Free country with a declining trend of freedom points whilst in the 2018 and 2019 reports Turkey has been described as Not Free (Freedom House, 2015, 2016, 2017, 2018 and 2019).

Significant progress in terms of democratization was achieved towards the late-1990s in parallel with the EU accession process gaining pace. EU granted the "candidate country" status to Turkey in December 1999 hence an intensive legislation process for the EU membership started. August 2002 constitutes a milestone in the EU reforms. Death penalty was abolished and broadcasting in languages other than Turkish (namely Kurdish) was allowed.

The AKP came to power in mid-November 2002. The following month during the Copenhagen summit the EU leaders agreed to decide on whether the membership negotiations with Turkey would start or not in the 2004 summit. The two years between December 2002 and December 2004 therefore witnessed an intensive legislation activity in the Turkish parliament in which the main opposition Republican People's Party (CHP) generally took part too. The AKP government cooperated with the EU regarding the Cyprus question too, but this was not welcomed by the CHP. Finally, during the December 2004 Brussels summit, the EU decided to start membership talks with Turkey on 3 October 2005. The year 2005 also marked the first signs of the end of the honeymoon between the EU and the AKP, though. The reform process in Turkey slowed down.

Authoritarian shift: 2005-2013

The legal amendments between 2005 and 2007 paved the way for an authoritarian regime and the sophistication of the state's tools of political violence and oppression. The new Penal Code that was adopted in 2005 included more than 20 articles entailing penalties that are to limit the freedom of expression. The new Criminal Procedure Code that passed same year established the Special Heavy Penal Courts. All the politically motivated cases such as KCK, Ergenekon, Sledgehammer and so on would be dealt with by these courts from 2008 onwards.

Next year a new Anti-Terrorism Law was adopted. That included vague clauses on terrorism such as "committing a crime on behalf of an organization without being a member of it". As put by an HRW report; "The laws (...) offend against international law as they criminalize the legitimate exercise of freedom of opinion, expression, and

assembly. (...) This legal framework makes no distinction between an armed PKK combatant and a civilian demonstrator” (Human Rights Watch, 2010). Last but not to least to mention, a new Law on the Duties and Competences of the Police was adopted in 2007, widening police’s competence for recourse to force (including use of lethal force). As a result, the number of people who died as a result of police violence rose from 17 (2007) to 29 (2008) and came out as 29 again in 2009 (Saymaz, 2012). Furthermore, the number of people being detained under the anti-terrorism laws more than doubled in four years (1537 in 2005 and 3361 in 2009) (Sarp, 2014: 514).

On the other hand, harassment of Kurdish politicians began in the lead-up to the 2007 general election and accelerated in late 2009. By June 2010, 151 officials of the pro-Kurdish party were indicted for membership in an organization connected with the PKK (Human Rights Watch, 2010). By September 2012, the number of the Kurdish politicians and activists being detained was nearly 1000 (Rodrik, 2012). By 2012 Turkey was a country holding “more journalists in jail than China and Iran combined” (Ibid.).

Just to cite an example for politically motivated cases based on fabricated evidences, the case about the alleged Sledgehammer coup plot was noteworthy. The coup plans that were allegedly prepared in 2003 proved to “contain references to fonts and other attributes that were first introduced [in mid-2006]” (Ibid.). Moreover, they contained information from later years that could not have been known back in 2002-2003 (Doğan and Rodrik, 2010).

Authoritarianism consolidated: From 2013 onwards

The year 2013 constituted a milestone. A nationwide public rebellion comprising millions of protestors who gathered in almost every city throughout June, known as Gezi Protests, shook the government. However the AKP rule survived. In December prosecutors and police officers who were members of the Gulenist organization, a former ally of the AKP and the main perpetrator of the cases based on fabricated evidences, launched an anti-corruption investigation against the government. The government took certain measures against them, including large-scale purges from the bureaucracy which mounted to the elimination of 150,000 civil servants following Gulenist junta’s failed military coup attempt in 2016. All these developments largely destroyed the rule of law in Turkey.

Furthermore, the principle of free and fair elections has been undermined since 2017 because of the biased decisions of the High Electoral Council—especially concerning the 2017 referendum and the 2019 municipal elections—which are not in conformity even with the existing laws and jurisprudence. Another controversial situation is that the former leader and a number of high-level officials of Turkey’s third biggest party, the pro-Kurdish Peoples’ Democratic Party, are in prison since the end of 2016.

Apart from the V-Dem Institute’s and Freedom House’s works that have been referred to previously, Reporters Sans Frontieres’ press freedom rankings for Turkey after 2013 also demonstrate the widening democratic deficit: Amongst 180 countries Turkey ranked 154th in 2013-14, 149th in 2015, 151st in 2016, 155th in 2017 and 157th in 2018 (RSF, 2019).

What has EU done since 2005?

The membership negotiations between EU and Turkey has always been open-ended since the day they started (3 October 2005). Unlike other candidate states, a roadmap for Turkey's accession which is to include specified dates has never been agreed upon. Paul Kubicek notes that "the envisaged duration of accession negotiations moved any rewards for [Turkish government's] reforms far into the future". Kubicek also points to the negative attitude of the prominent EU leaders and public opinions of EU countries after 2005 (quoted in Lavenex and Schimmelfennig, 2011: 901):

(...) conditions worsened after 2005. Popular disapproval across the EU and the principled opposition of major EU member state governments cast doubt on the EU's commitment; further reforms and the implementation of promises made became more costly for the government (...)

German Chancellor Angela Merkel and French President Nicolas Sarkozy made several statements between 2009 and 2011, stating that they preferred Turkey to have a privileged partnership with EU instead of full membership. European Commission President J. Manuel Barroso (in 2007) and the President of the EU Jean-Claude Juncker (in 2014) affirmed that Turkey would not be fit for membership in a foreseeable future.

EU-Turkey relations rapidly worsened following the failed coup in 2016: In late 2016 the EU foreign ministers decided not to open a new negotiation chapter with Turkey. In late November 2017 some of the financial aids to Turkey regarding accession process have been lifted. In 2018 EU Commission issued the most critical country report for Turkey ever. In June 2018 the European Council noted that Turkey moved further away from the EU (Cop, 2019: 2).

Conclusion

Turkey's linkage to EU has not weakened neither during the decline of the leverage (after 2005) and nor during the large-scale deterioration of the relations (after mid-2016). Vachudova wrote in 2002 that the cost of exclusion (from EU) for Eastern European economies would be severe since "a steady flow of money, expertise and foreign direct investment will be diverted away from states that do not join towards those that do" (Vachudova, 2002: 8). On the other hand Turkey, which moved further away from the EU each year since 2006, has not suffered neither in terms of foreign direct investment (FDI) nor regarding the trade with EU. The FDI in Turkey reached its peak in 2007 and following a sharp decrease in 2009 due to the global crisis, it achieved relatively high amounts in 2011 and 2015 (the net inflow was a record 22 billion USD in 2007 and came out as 18 billion USD in 2015) (World Bank, 2019). Similarly, in 2018 Turkey "was the fifth largest partner for EU exports of goods and the sixth largest partner for EU imports of goods" (Eurostat, 2019).

This paper thus agrees with Kubicek's argument that "the cultivation of civil society" (an important component of linkage) in Turkey "could not compensate for the worsened conditions of leverage [after 2005]". Hence "the change in democratization had mainly do with a variation in the conditions of conditionality" (quoted in Lavenex and Schimmelfennig, 2011: 900-901). In other words, the intensity of Turkey's

linkage to Europe could not compensate the negative effects of the declining leverage over democratization. Levitsky and Way's argument that linkage matters more than leverage (2006 and 2010) does not apply to Turkey. Taking into account the results of the 2019 local elections and the developments in the aftermath, which signal the fall of the authoritarian Erdoğan regime and the hope for a democratic revival, Turkey rather suits Schmitter's contention that domestic actors play the main role in the democratization compared to the marginal role of the foreign actors (1986).

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Contact email: burakcop@yahoo.co.uk

Public Diplomacy in Lebanon: From Sectarian Division to Communitocracy

Roxana Toma¹, State University of New York Empire State College, United States

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Abstract

It has been almost three decades since the war in Lebanon ended. A new post-war generation which does not have the same legacy and formative experience is now active in the civil however, it seems that this new generation is more apathetic than their predecessors, lacks a unified sense of “state” and is less willing to engage in changing the sectarian factionalism system. What contributes to such behavior if the legacy of war no longer applies? I argue that research needs to switch focus from discussing social, political, and cultural behaviors from a *longue durée* perspective, to evaluating the impact of communitarianism – seen as the antithetical paradigm to nationalism - on the politics of citizenship in Lebanon. The framework employed will be communitarian theory, which starts with the assumption that that integrative forces have fostered states’ interconnectivity, so that breaking events occurring in one country can directly catalyze reactions in others. These processes, in turn, have rendered impossible the ability of a single, centralized national authority to control power in a particular territory without being directly implicated by events developing in a far distant place. This paper will discuss the ways in which globalization and political dynamics in the Middle East have developed increasingly to force the mutation of the state towards the accommodation of communitarian aspirations and show how these processes have tilted the balance in favor of communitarian associations rather than pure national allegiance.

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¹ Roxana Toma, Ph.D., Associate Professor of Social and Public Policy
School for Graduate Studies, SUNY Empire State College
Email: Roxana.Toma@esc.edu

I. Introduction

The 2001 United Nations corruption assessment report on Lebanon was one of the earliest documents that illustrated the blatant scale of corruption in the Lebanese government institutions and its devastating impact on the economy. It was then estimated that the Lebanese state squanders over US\$1.5 billion per year because of pervasive corruption at all levels of government - nearly 10% of its yearly GDP at that time (UN 2001). It was thought that corruption in Lebanon had become an enduring fact of life, that is, of social norms and practices (Adra 2006, in Farida and Ahmadi-Esfahani 2008). Explanations for the persistent problem of corruption in Lebanon vary from its cultural to its political legacy; on the one hand, sociological and cultural factors such as customs, family pressures and traditional values of tributes to leaders are thought to constitute potential sources of corruption which has found acceptance in the social psyche and behavior of the population (Brownsberger 1983). As a result, most Lebanese, regardless of their religion, social status, location, political affiliations or wealth are unwilling to change the present system, not because they are ignorant of its consequences, but because they have developed a stake in maintaining it (Yacoub 2005). On the other hand, the Lebanese sectarian system also serves as a fertile soil for systemic corruption; the leaderships of the established political parties control strong patronage networks which are used to bind their client groups, mostly defined as “their” religious communities (Beck 2015: 3). Allocation of public funding in the realms of health, education, and infrastructure follows sectarian lines rather than socioeconomic needs (Salti and Chaaban 2010).

Modern Lebanon was set up by France in the frame of the Post Ottoman mandate system. Imperialist France actively promoted the sectarian system and the politicization of religion in Lebanon, with the aim of controlling a fragmented society. External interference did not end with Lebanese independence in 1943, but has become a systemic aspect of Lebanese political affairs (Beck 2015: 4). The Taif Agreement which ended the Lebanese civil war (1975-1990) re-institutionalized the confessional system by integrating the warlords and the corruption-based socioeconomic systems they had established during the war (Gebara 2007: 9-11). Western support for the March 14 Alliance headed by Saad Hariri has contributed to fostering the sectarian system, which, in turn, promotes the corrupt Lebanese system. In some cases, Western support is even funded by public development aid, as is the case of the German political foundation Konrad Adenauer Stiftung (KAS), which, in line with the Christian Democratic Union (CDU) is affiliated with it, supports the Lebanese Forces (Beck 2015: 4). There are also reports that international aid provided to Lebanon to support Syrian refugees has been abused in corruptive ways².

The postwar Lebanon, where fighting parties agreed to give up military power and reform government institutions, involved very few and weak institutional control mechanisms, which were often politically controlled. Thus, the unprecedented spread of corruption throughout state agencies was a natural consequence. However, the major reason for the increase of corruption after the war was the growth of the state and its role in the economy. This growth took the form of capital expenditure on reconstruction projects, which were highly vulnerable to corruption due to the

² Al-Nahar, Corruption creeps into refugee aid in Lebanon, Al-Monitor, March 8, 2015, available at: <http://www.al-monitor.com/pulse/politics/2015/03/lebanon-corruption-syrian-refugees-aid.html>

magnitude of the projects involved, the multitude of intermediaries, and the different phases of implementation (Pasko 2002; Deeb 2003; Heard 2005; Rasmussen 2005). The borrowed money also induced more opportunities for rent-seeking activities and corruptive behavior (Stamp 2005). These, in turn, changed Lebanese politics, as access manipulation of the government spending process became the gateway to fortune (Farida and Ahmadi-Esfahani 2008). Adwan (2004) shows how public institutions were turned into tools of nepotism and rent seeking, resulting in the arrest of two ministers (Oil Resources and Agriculture) on corruption charges (Al-Azar 2006). Corruption did not stop with the top ministers and directors of various government agencies, but it grew within the entire ruling hierarchy. Abdelnour (2001) states that only 2.4% of the US\$6 billion worth of projects contracted by various government bodies was formally awarded by the Administration of Tenders; the remainder did not go to the most qualified applicants, but to those willing to pay the highest bribes. Yacoub (2005) explains how the lack of government transparency and reliable contract enforcement ensured that private sector investors only entered a market if they had cut deals with governing elites. Therefore, it appears that corrupt practices in Lebanon are at the core of the political system to the extent that even the most optimally designed institutions might fail in combating corruption as society's norms appear to rationalize taking bribes, and the country's elites regard politics as an arena for self-enrichment.

Research up to date has focused on postwar Lebanon, linking corruption to the dynamics of the political settlement and the processes of state-formation that it unleashed. The postwar power-sharing arrangement's emphasis on inclusion, consensus, and the ever-elusive "national unity", coupled with Syria's interference in Lebanese power struggles, set the stage for the extreme dispersal of power, quasi-permanent gridlock in decision making, and political elites with weak popular support - all of which created political incentives for enduring ambiguity in institutions and increasing reliance on the instrumentalization of sectarian and clientelist dynamics to build some modicum of legitimacy. In sum, using terms like "weak", "failed", "penetrated" or "allotment" State has become the norm when discussing Lebanon. This paper makes two important contributions.

First, I argue that a state-centered, fragility-oriented paradigm inherently cannot offer the perspective needed to address why systemic corruption *persists* in Lebanese society. Beck (2015) makes a valid point that when the same question is applied to authoritarian regimes in the Middle East, it is much easier to answer. In authoritarian systems, social groups lack the means to challenge the political leaderships who promote corrupt systems to stabilize their political rule and/or for material self-privileging (Beck 2015: 5). Although Lebanon is not a fully-fledged democracy, the pluralist system secures freedom and participation rights to a much higher degree than in its authoritarian neighboring countries. How, then, can a corrupt system persist in an environment in which people have *some* say? Farida and Ahmadi-Esfahani (2008) show that Lebanese growth is highly negatively affected by corruption. What, then, prevents people from abolishing a system, or what makes them contribute to its maintenance, although it is collectively suboptimal? While most of the literature treats corruption as a principal-agent problem between the state and government officials, focusing primarily on the state's optimal choice of monitoring intensity, incentives and sanctions to constrain government officials' behavior, I propose an alternative understating of corruption through the lens of social capital

theory and the relationship between culture, civil society, and social trust. I argue that employing this approach might be more helpful in understanding why corruption persists in Lebanon, despite being the more democratic country in that region.

Second, the literature on corruption in Lebanon doesn't take into account the fact that it has been more than two decades since the war has ended. A new post-war generation which does not have the same legacy and formative experience is now active in the civil society. It is expected that this new generation will behave differently. However, it seems that this new generation is even more apathetic towards civil society. So, what contributes to such behavior if the legacy of war no longer applies? To this end, I argue that future research needs to switch focus from discussing social, political, and cultural behaviors from a *longue durée* perspective, to evaluating the impact of political corruption on trust and, hence, civil society in Lebanon.

II. Positive versus Negative Social Capital

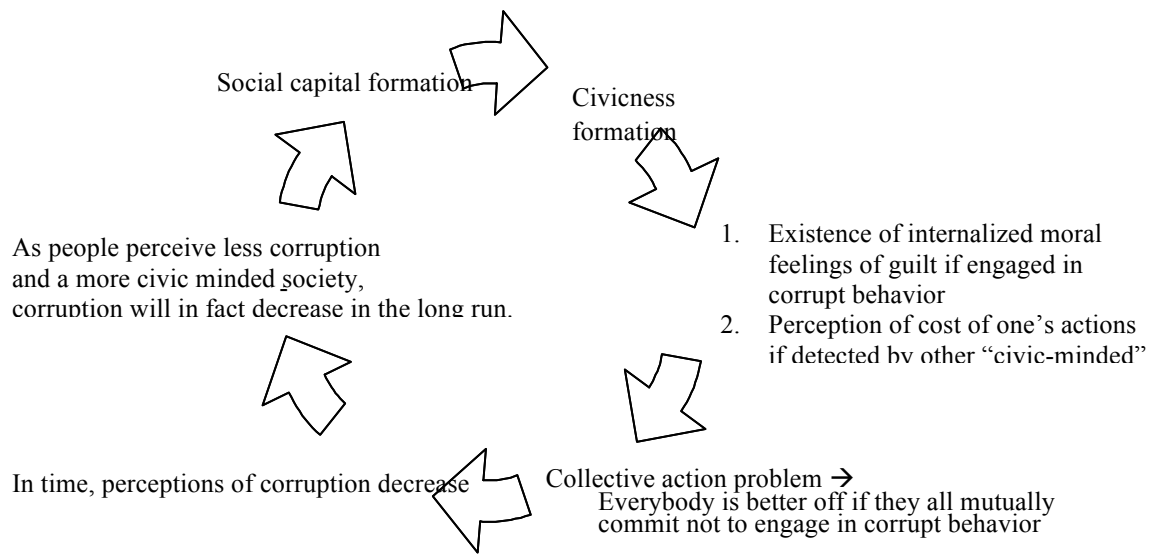
Social capital is broadly defined as the set of rules, norms, reciprocity and trust embedded in social relations, social structures, and society's institutional arrangements, which enables its members to achieve their mutual goals (Woolcock and Narayan 2000). Social capital is created from the horizontal networks and relations between individuals, groups and organizations in civil society. Social capital is embedded in primary social institutions that provide people with basic values, such as high levels of social trust, cohesion and participation. Social capital provides "trust" as a "public good" (Del Monte and Papagni 2007). The classical study by Almond and Verba (1963) on civic culture gave empirical evidence to the Toquevillian intuition that social trust, cohesion and participation increase the quality of democracy. Putnam (1993) computed the level of civicness of each of Italy's twenty regions and found a remarkable concordance between the performance of regional governments and the degree to which social and political life in those regions approximated the ideal of civic community. In creating trust between members of their organizations, individuals are providing a public good to other members of society who are not part of their organizations – in this way, trust becomes a positive externality. Not only does social capital create a "public good" but "most forms of social capital such as trust, are 'moral resources' - that is, resources whose supply increases, rather than decreases through use and which become depleted if not used" (Putnam 1993: 169). Low economic development and low social capital would lead a community into a "vicious cycle," draining its social capital even more and transforming it into a less civic community. The opposite is also true and a community with high economic development and high social capital will enter a virtuous cycle, which leads to a productive community (Putnam 1993).

Research specifically on corruption shows that trust matters. In order to be able to set mutual goals and cooperate for achieving them, people have to trust each other and their governmental institutions, which in turn have to ensure the environment favorable for such cooperation (Jankauskas and Šeputienė 2007). The literature on government regulation has argued that the higher the level of trust in government, the more likely the people will comply with government demands and regulations (Levi and Stoker 2000; Scholz and Lubell 1998a, 1998b; Tyler 1990, 1998). This literature approaches trust from a rational perspective - trust reflects

beliefs about risk, and trust is a result of encapsulated interest (Levi and Stoker 2000; Scholz 1998). In cases involving social dilemmas, this rational approach renders that both sides cooperate as long as the other is perceived to be trustworthy. To the extent that people are able to make such a generalization, trust should be related to higher probabilities of compliance (Scholz and Lubell 1998a; 1998b). Applying this argument to corruption, one would expect that the extent to which people trust the government to be fair and trust other people to behave fairly, it is rational for them to reciprocate and also behave fairly. Trust becomes the basis on which non-corrupt exchange is sustained (Tavits 2005).

Other authors have claimed a strong relationship between both trust in government and trust in other people on the one hand, and the level of corruption on the other, both across countries and at the individual level (Camp, Coleman and Davis 2000, 2004; della Porta 2000; Morris 1991; Rothstein 2000; Uslaner and Badescu 2003, 2004a, 2004b). However, this literature argues that trust has a positive consequence in terms of reducing corruption via social bonds rather than via rational calculation of utility - “trust leads to empathy with others - and thus a respect for the law” (Uslaner 2004:10). Seligson (2002) used individual level data to argue that corruption influences the level of trust in other people and trust in the fairness of the political system. Uslaner (2004) on the other hand, relying on aggregate country level data, demonstrated the relationship between high trust and lower corruption, while Uslaner and Badescu (2004b) established several reciprocal relationships between political and social trust on the one hand, and the perception of and actual encounters with corruption on the other.

Positive social capital assumes that monitoring of officials is carried out by the clients (perhaps through complaints to their political representatives), rather than by the state itself directly. Kingston (2005) used a simple linked-games model to show how positive social capital reduces corruption. Social capital can enable citizens to engage in collective action against corruption. Paying bribes often creates a negative externality among the potential bribe-payers. More specifically, by paying a bribe in exchange for preferential treatment, an individual reduces the benefits available to everyone else. Likewise, by accepting a bribe in exchange for preferential treatment, a public servant reduces the benefits available to everyone else. As a result, bribe-payers face a collective action problem: they would all be better off if they could all mutually commit not to pay bribes. Social capital can enable them to enforce agreements not to pay bribes (or informal “norms” against bribery) and thereby reduce the level of corruption. In this way, in states with high levels of positive social capital, people are less likely to act corruptly, and more likely to be punished if they do so (Kingston 2005). In conclusion, positive or “functional” social capital reduces corruption because of positive social norms through which people relate to the government. Figure 1 illustrates the ways in which social capital deters corruption.

Figure 1: Positive Social Capital

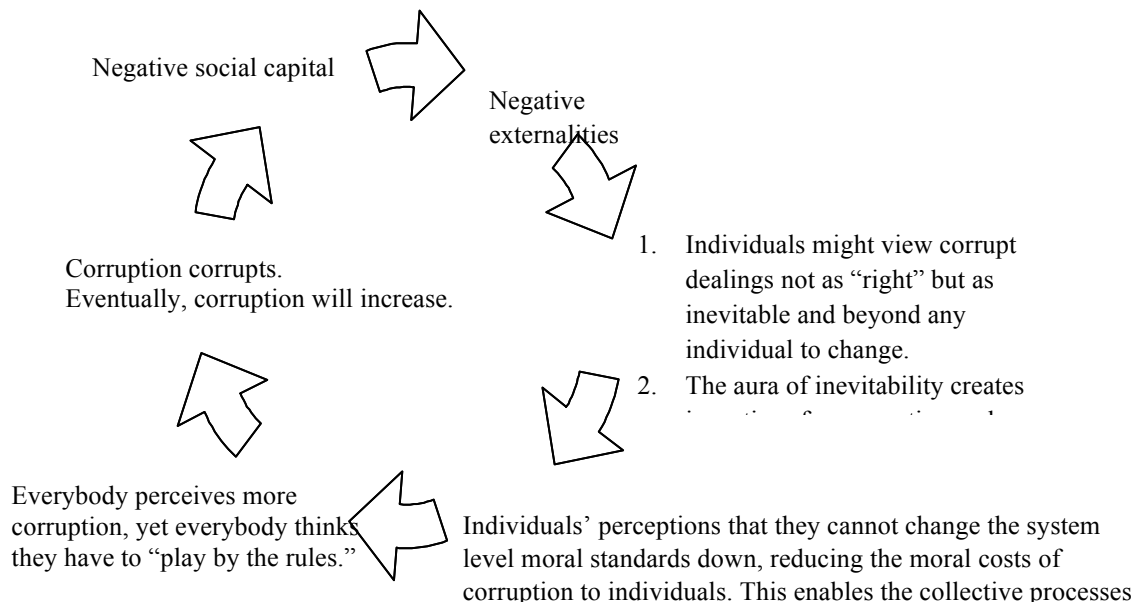
However, social capital could also move in the opposite direction and produce negative externalities³. Certain conditions are more likely to cause social capital to function in negative ways, for example a low level of social trust, apathetic citizenry, a weakening of the sense of loyalty to organized society, a decreasing sense of civic virtue. Warren (2006) claimed that when people lose confidence that public decisions are made for reasons that are publicly available and justifiable, they often become cynical about public speech and deliberation. People come to expect duplicity in public speech, and the expectation tarnishes all public servants, whether or not they are corrupt. When people are mistrustful of government, they are also cynical about their own capacities to act on public goods and purposes, and will prefer to attend to narrow domains of self-interest that they can control. In this way, corruption diminishes the horizons of collective action (Warren 2006) and social capital enables the collective processes of corruption - collective in the sense that they solve collective action problems for those involved in corruption, even if they are not public goods.

Del Monte and Papagni (2007) found using econometric results that the spread of corruption in Italy weakened the sense of loyalty to civil and organized society and the climate of corruption created further incentives for corruption, due to the belief that known offenders could continue their corrupt practices with little risk of punishment. Čábelková and Hanousek (2004) demonstrated that high perceptions of widespread corruption in Ukraine increased corruption in government by encouraging people to believe that they must pay bribes, and by enticing public servants to think that accepting bribes is natural and widely accepted. They found empirical results that perceptions of widespread corruption among the Ukrainian population are correlated to actual encounters of corruption. In this way, perceptions of corruption facilitate actual corruption levels (Čábelková and Hanousek 2004). Tavits (2005) argued that the decision to engage in corrupt behavior is primarily influenced by a personal

³ Negative externalities are the negative byproduct of processes taking place in the society, negative in the sense that they add cost to these processes at the expense of everyone else.

definition of corruption and individual perceptions of how widespread corrupt activities are (imitation). This explanation borrows from social learning theory - if people perceive that a behavior is widespread and that there is an approval of the problem behavior, they will be more likely to engage in such behavior. Tavits showed that somebody who thinks that corrupt activities are very common in the country is about ten times more likely to be corruptible than somebody who thinks that corrupt activities are not at all common (Tavits 2005). Figure 2 shows how negative or “dysfunctional” social capital breeds a vicious cycle which reinforces corruption.

Figure 2: Negative Social Capital



In summary, social capital is an underlying trust by citizens of a country in both their fellow citizens and their government. This trust is based on a belief that we all share the same values and that we will generally play fair and do the right thing. Under this framework, social capital affects corruption, because individual perceptions of corruption depend on how many other individuals in the society are expected to be corrupt. If most citizens perceive honesty to be widespread, honesty in fact becomes widespread – a self-reinforcing mechanism. In this way, social capital reduces government corruption as a consequence of positive social norms through which people relate to the public sector. However, social capital can also move in the opposite direction and produce negative externalities. Certain conditions are more likely to cause social capital to function in negative ways, for example a low level of social trust, apathetic citizenry, a weakening of the sense of loyalty to organized society, a decreasing sense of civic virtue. In a society that is in a negative social capital cycle, perceptions of corruption facilitate corruption and dishonesty quickly becomes the currency by which all people learn how to operate. Under this framework, social capital enables the negative processes in society, including corruption.

III. Findings

This section draws on preliminary findings from the ten expert interviews that I conducted in Lebanon in 2016 and 2017. The purpose of these in-depth interviews was to gather expert opinion about the transformation and development of Lebanon and document perceptions of ethics and corruption. Identities of the respondents were not revealed to any other persons in Lebanon at the time, nor are their responses identified in the narrative analysis⁴. By looking at corruption in Lebanon using a social capital lens, I wanted to investigate how Lebanese people viewed their relationship with their government and what their sense of social trust was. In this way, I argue, we may be able to better understand Lebanon's cultural challenges in fighting corruption and view why there are barriers to developing positive social capital that in turn allow corruption to persist.

Corruption in pre-(First Republic) and postwar Lebanon

There is a significant difference between the nature and scope of corruption in Lebanon before and after the civil war. Corruption has indeed grown much bigger in magnitude after the war, because of the reconstruction efforts that followed. These reconstruction projects were carried out through public contracts and have caused corruption to flourish large-scale and become institutionalized. Before the civil war, corruption was “a tiny thing” compared to what it is now, respondents said, because ethics were stronger before the war and because “the men in power back then wouldn't go into things as easy as they do now.” Now you see large-scale corruption all the way from municipalities to ministries and it involves every single politically important person in the country. Before the war, there were institutions that worked, and control authorities like the Central Inspectorate and there were liabilities. Corruption was contained to public officials and civil servants and it consisted of separate cases, it was not endemic or institutionalized. “Now you have billionaires because of the big consortiums between politicians.”

It was argued that corruption is not the result of a “penetrated” state. No external influence can explain corruption in Lebanon. “Before the war, it was a small cancer that could be contained and cured and we were fighting it. But after the war, it metastasized.” External influence has to do with the politics of Lebanon, but not with the corruption in the country. For example, most money from Hezbollah comes during elections. “But we are not corrupt only once every four years. We are corrupt every day. We need to put responsibility on Lebanese people. We are doing this to ourselves. It is our own disease.” The Syrian presence in Lebanon didn't cause corruption. “It worked on us, because we had no immunity. We like to flirt with corruption. Let's not blame others!”

One respondent said that corruption breeds on ignorance and it is maintained by ignorance. “When you don't know the laws, anyone can take you for a ride.” For example, you go to a ministry for the service that you need. The public servant tells you to come back tomorrow, then tomorrow he tells you to come back in two days, and so on, until you understand that you need to pay for your formality to be processed. Civil servants are not accountable in Lebanon, because you need a clean

See Appendix for the list of interviews and affiliations.

and bold judiciary able to carry out the law for accountability to work. “We don’t have that here.” One respondent asked a judge, “Why are you not taking action?” and the judge answered, “Remember when four judges were killed in court by machine guns in Saida?”⁵

The consociational political arrangement⁶ and the lack of a sense of state

The TAIF agreement set a new government after 1990, based on different Lebanese communities and a new constitution - which respondents argue that it needs to be revised to make Lebanon a viable democracy and a non-confessional state. There are 18 major communities recognized in Lebanon: 14 are Christian and 4 are Mohammedans or Muslim. Lebanon was meant, essentially, to be a confessional equilibrium. The tragedy of Lebanon today is that everything is divided between major communities. “Instead of appointing someone because of his know-how and his professionalism, I am appointing him because he is Sunni, Shia, Christian Maronite, or Druze.” One respondent argued that, “they forgot about confessional equilibrium and went straight into confessional piracy. They now hide behind confessions to do mafia! We have pirated our own system and transformed it into mafia.” The parties that were once secular (“laymen” parties) have almost disappeared. They have been destroyed. The only parties that can reach to Parliament and the government are the sectarian parties. “You have to belong to a confessional party to be in a leading position.”

Sectarian factionalism encourages corruption because it works on impunity. Druze will not fight Druze corruption. Christians will not fight Christian corruption. Confessionalism is therefore a very important element of corruption. Respondents say that since independence, people have been behaving like members of a confession, not like Lebanese citizens. The state has failed to instill a spirit of citizenship. “We can talk about a political establishment here, not about a state. As a Lebanese, I have to believe in the state. But we don’t have statesmen.” When you want to call out corruption, people will team up to back their people based on religious identity. Religious identity overruns citizenship in Lebanon. “We are parishioners in a confession rather than citizens of a community.”

It seems as if the possibility of change is non-existent. “We are not like other Arab countries to have a revolution. Here in Lebanon there is no possibility for an Arab Spring, because we don’t have one leader to change, but 18 of them.” All 18 confessions have mutual interests and they would have to overthrow 18 heads of confessions. These confessions have split among one another the interests and benefits of the political system.

“When you want to seek employment in the public sector, it is the same thing. Go to your sect!” Respondents argued that there is no meritocratic system in Lebanon. Everyone has to go to their confessional leader. “We are not citizens, we are part of a

⁵ Saydā (Arabic) or Saida (French) is the third-largest city in Lebanon located in the South Governorate.

⁶ A political arrangement in which various groups, such as ethnic or racial populations within a country or region, share power according to an agreed formula or mechanism. When consociationalism is organized along religious confessional lines, it is known as confessionalism, as is the case in Lebanon.

sect” is something I kept hearing over and over. Education, health care, social welfare, employment – all are based on sectarian politics in Lebanon. “In this way, you are producing not a citizen, but a son of a sect,” one respondent said. He went on to say, “You grow up as a product of your confession, not as a citizen. How many people can reject what they have been brought up to think?”

There have been some attempts for change, made by independent thinkers. But the political parties have moved fast to say, for example, that these people are against Hezbollah, so that they would feel in danger. It was the parties that broke these attempts, not the police. The confessions have an interest in maintaining the status quo of corruption in Lebanon. I heard again that Lebanese are not citizens of a state, that they belong to religious communities. If you target a corrupt political leader, they will deflect accusations against their communities. “They will make it look like you not against them, but against their people, against their communities!”

There are no real barriers created by confessionalism, another responded argued vehemently. It is an “open country”, he said. “When barriers were taken down after the war, people jumped to embrace each other!” It is the politicians who have created their own barriers to hide behind and do whatever they want. “Politicians entertain something close to hatred, close to fear, to control the population.” This fear has been built inside people for so long. “You are made to believe that you are always in danger. And that to be safe, you need to belong to a group.” The sentiment was unanimous that unless you hide under the wings of your confession, you will be under threat from others.

The lack of successful anticorruption efforts

Respondents said corruption is a state of mind. “The mafia does not exist; the Sicilians are Mafiosi.” When you fight it, it becomes difficult for corruption to become endemic. But in Lebanon, because of no real anticorruption fight, corruption *has* become endemic. It appears that there have been no successful efforts in fighting corruption in Lebanon. “All talk, no action. Like a prostitute preaching on good virtues! The public officials are all against corruption, they are very bold as if they are the victims, but in fact, they are all corrupt!” I was told that there is no hope now, because Lebanon is under tight grip of Hezbollah and Iran, and nothing can be done as long as others dictate the policy in the country. “As long as you have two states within a state, there can be no hope.”

“What we need is to have a good electoral code that allows ordinary people to get into Parliament.” It seems that the current laws that exist from 1992 allow politicians to have their way in elections. “We need laws that limit their influence.” Right now, the Parliament is mostly Sunni with a Christian minority. It is the Sunni parliamentarians who elect the Christian representatives on Parliament, not the Christians themselves, which is how it should be. We need proportional representation.” Another respondent argues that, “It is easier for them to have big circumscriptions⁷, to have large coalitions funded by foreign states. We need uninominal circumscriptions to break these coalitions and allow the voter to vote the

⁷ A circumscription is a geographical area with a number of voters, usually about 30-35,000 each, and a mixture of different confessions.

way he wants.” There are 24 circumscriptions now and 128 MPs. “What we need to have is 128 circumscriptions and 128 MPs.” It is a lot more difficult to fight coalitions, respondents argued, and each candidate should be within reach to start having some sort of accountability, because the voter could change his vote the next time around. With a new one-on-one basis there would be a much better chance for independence, for women in politics, for social activism. “We need a changed Parliament.”

Salaries of public servants are also very low in Lebanon. The General Director, which is the highest office in civil service, cashes about US\$2,000/month. In the private sector, that is the equivalent of lower to middle management pay. It is understandable then why this General Director would be tempted to go to the private sector, unless his salary was supplemented with bribes. Public agencies are also severely overstaffed, because each religious group wants their people to get a job, and that, of course, contributes to corruption.

When asked about possibilities for reform, one respondent argued that “we need leaders, not puppets or marionettes. Then the change will make its way down to the society at large.” However, another respondent brought up an old Arabic saying (the approximate translation is “the way you are, the leader will be like you”) and he argued that the leader is the product of the society. “So we must change ourselves before changing the leadership.” And they all seemed to agree that Lebanon can only change if Lebanese people are getting involved in politics. There is this sense of being fed up, we can’t take it anymore, yet there is no fight against corruption. Everybody participates in it and everyone enables it. “The problem is that people aren’t pressing enough to make change happen.”

“We all want the same public goods, yet we act as if we are different. As if Christians have different needs than Muslims. That’s why the civic movement is very weak.” People don’t participate in civic action unless the leadership tells them to. “Lebanese like to nag but they don’t take action, they sit home and watch TV. They think that by complaining, they have done their duty. They protest verbally.” It is only 1,000-2,000 people who go down to demonstrate. For example, about US\$16 billion have been spent in the past 20 years on electricity, yet Lebanon doesn’t have electricity 24/7. “As long as they find an alternative - even if it is more costly – then they choose the alternative, not action against the wrong-doing.” Another respondent said that, “People are to blame too, because we don’t take ownership. We just nag and complain.”

“Instead of venting we should act,” someone said. “I am from Baalbek Mountains, where 85% of the population votes for Hezbollah.” Life expectancy there is three times lower than in Beirut and educational opportunities are four times lower. “Yet, they still support Hezbollah. But this is true for Sunnis as well, not just for Shia’s. Regardless of poverty or lack of education opportunities, we are prisoners of this system.” If you criticize a sectarian leader, you will have an uprising from that community.

“My generation was more free, more open minded, more willing to change.” The young generation from now is worse. The secular young people are being isolated and you have young people who are more fanatic than their parents. For

example, there are young girls who wear the head scarf and hijab and go to college when their mothers who didn't go to college never wore that. "Social pressure is far more significant than the way you were brought up," someone said. Others have brought up the need of belonging, and told me that "The youth wants to belong to a group."

During the 1950's and the 60's, Beirut was in high-time politically, socially, and economically, despite the lack of technology. The country was very advanced in terms of education, infrastructure, as well as politically and religiously. It was a lot more open-minded. People were more committed to the country. One way to give insight into social capital in Lebanon is to look at it in terms of generational cohorts: you have that generation from the 50's and the '60's, then you have the generation of people who lived the war, and you have the new generation after the war. There is a sense that these three generations have very different values and that in time, people have become less and less committed to the country, to its history, and to their sense of belonging, and respondents argued that this is the root cause of everything. The new generation is looking to leave, respondents told me. All the newborns are named Western names, parents don't believe in the country, they teach kids English and French and these kids barely speak Arabic. Their parents hope these kids will leave and come back to Lebanon only for vacation, and "to show off". They told me that, "There is no interest in community anymore."

"The revolution starts within ourselves", someone else said. "We have the education, we have the knowledge, but we don't have the character. We are being taught the knowledge in school, but we are not being instilled the values." What are some steps to change, I asked? "First, we need to fight sectarianism!" But then we agreed that this would be hard now, because the whole region is getting more sectarian and this affects the next generations. "Second, we would need to fight poverty and illiteracy through education." Respondents also argued that before giving people freedom, they should have a sense of responsibility towards their duties as citizens of a nation and towards the public good. "We should also teach life skills and values that are common to all of us, regardless of the religious community that we belong to."

IV. Conclusion

Preliminary findings from the expert interviews that I conducted indicate that Lebanon is in a dysfunctional social capital cycle that seems to be getting only worse. Corruption and low trust remain significant problems, while social trust had become progressively more dysfunctional through successive generations until present day.

Findings seem to suggest that in order to transition from an ecology of self-reinforcing corruption to a state where corruption plays a minor rather than dominant role, the political culture in Lebanon needs a legitimate governing ethos. Efforts to build civic attitudes are also needed to help override historical legacies and build positive social capital that can sustain change.

I was also interested in exploring the question of whether corruption has since replaced the legacy of war as a factor undermining trust in others and government in Lebanon. To that end, I presented a preliminary narrative examination of the

association between corruption and post-war civil society. In essence, these findings are in line with my hypothesis that future research needs to switch focus from discussing social, political, and cultural behaviors from a *longue durée* perspective, to evaluating the impact of political corruption on trust and, hence, civil society in Lebanon.

Reforming the electoral system, restructuring the Parliament, and efforts to improve public education outside confessional lines seem to be the most urgent steps for fighting corruption and building positive social capital and a sense of civic ethos in Lebanon. There also seems to be no role-modeling system in place in Lebanon's public employment sector. Therefore, a possible next step could be to build a rewards system where "good" employees are being rewarded and "bad" ones are being reprimanded. Other efforts to instill civic attitudes in Lebanon may be undertaken using television and the media. There seems to be no sense of nationalism, or of loyalty to the country. Newspaper ads and television campaigns could be designed to instill civic attitudes and a sense of pride in the nation, with the goal of building positive social capital and a sense of civic ethos. With that said, it seems rather clear that any Lebanese civic movement that aims at touching the fundamentals of the sectarian system will meet strong opposition from the established political leadership. It remains to be seen whether the Lebanese youth who wants change can overcome these hindrances.

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Appendix

Interviews were conducted with the following experts (in alphabetical order) who gave consent, except for one person who asked to remain anonymous:

Saada Allaw, Journalist for the daily Assafir newspaper.

Youssef Hage Ali, Recruitment and Volunteers Officer, Lebanese Association for Democratic Elections.

Robert Gharios, Assistant Dean and Chairperson of Finance Department, Faculty of Business and Economics, American University of Science and Technology.

Amal Haddad, Lawyer, Former President of The Beirut Bar Association (2009-2011).

Yahya Hakim, Secretary General, The Lebanese Transparency Association.

Salah Honein, Lawyer, Former Congressman.

Salim J. Jreissati, Minister of Justice (since December 2016), Lawyer, Former Lecturer at the Beirut Faculty of Law and Political Sciences, Former Member of the Constitutional Council, Former Minister of Labor (2012-2014).

Wassim Kaakour, Special Investigation Commission, Banque du Liban.

Walid Nasr, Board Member, Head of Strategic Planning, The Lebanese Petroleum Administration.

Anonymous, NGO Representative, Former Journalist.

Cambodian New Generation: from Family Dependents to State Influencers

Len Ang, Cambodia Development Resource Institute, Cambodia

The Asian Conference on Social Sciences 2019
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Abstract

Against the backdrop of recent social, economic and political developments, traditional interactions between youth, adults and the State have been transformed in a manner that enables youth to engage in politics in new ways. This paper analyses what has made the interactions between youth and the state change, how this change impacts on politics and what the State response to such change has been. The analysis is based on data collected through a nationwide survey of 1,600 citizens conducted by the Cambodia Development Resource Institute (CDRI). Findings from this show that the main causes of change reflect new and better opportunities for young people's education, mobility and digital skills. The change also stems from the breakdown of more traditional interpersonal platforms for interactions and the apparent disinterest of the state in addressing the many challenges facing today's youth. These changing dynamics have meant that youth are able to influence State decisions by expressing support for issues through 'likes' for political parties on social media platforms and to influence voter behaviors. In response to increased online activity, the Cambodian Prime Minister has been prompted to reach young people through a Facebook page, established to address issues as they arise. Future political stability will significantly depend on the State's interactions with young people and its ability to address youth-related issues in meaningful and productive ways.

Keywords: Cambodian new generation, politics, development, youth, adult and State interactions

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Introduction

Social interactions have changed, which is obvious in the context of Cambodia's current political and socio-economic development. Such change has an impact on people's views and opinions, particularly among youth¹ and adults. Change in this context, is a change of social interaction between three parties; youth, adult, and State². Traditionally, youth were bound by historic family control, in terms of decision-making and choice of selecting partners, especially among young women³. Hierarchy and respect for leaders, including within the family, are very strong in Khmer society. One should have no protest against parents' decision or criticize leaders; one must be respectful to them; older age is a matter that needs to respect in terms of their decision (Martin 1994). Respect of hierarchy is everywhere including in people with ranking positions (ibid). Nowadays, youth have more free choice, and are able to be more involved both socio-economically and politically, since the 2013 national election when youth started looking for a new type of governance (Un 2015). The "youth" generation, aged 15-30, is defined by the national youth's employment policy. Unlike adults, born after the Khmer Rouge Regime (1975-1979), youth have felt less debt of gratitude to the liberation from the civil war and have little memory of the history of political turmoil, civil war, genocide and life hardship that is felt by the previous generation. The youth generation has access to better education, information technology and social media tools, that the adult generation were typically deprived of.

According to a survey conducted in 2019 by Cambodian Development Resource Institute (CDRI), with 1600 interviewees from 101 villages, in five provinces and the city of Phnom Penh, greater autonomy is given to youth nowadays. Unlike in the past, when youth (especially females) were required to adhere to parents' principles. These days, youth tend to receive a lot more mutual respect from adults, resulting in less restriction on youth's decision-making and choices. With increased autonomy and less strict control imposed, young generation have gone through a transition from family dependents, to family key supporters. With transition in both role and responsibility, youth encounter tough challenges, and the State is unable to efficiently respond to their needs. Subsequently, youth have a higher expectation of the future, and so further seek support, transparency and accountability from their politicians and political parties, and require their voices be heard and needs to address through Government policy (Eng and Hughes 2017). This article argues that youth with new social interactions and experiences have changed traditional relations between adult, State, and youth themselves.

The article will answer some questions including 1) who are the new generation of Cambodia? 2) What are the relations between new generation, old generation and State? 3) What are the new forms of relations between these triple parties? 4) Why new the forms of relations occurred? In the subsequent sections, the paper will present 1) Change between youth and adult relations 2) Change between youth and the State relations.

¹ Youth and young people will use interchangeably in this context

² State is referred to the three tier of governments including national, provincial and local governments

³ A gender norm that describes how women should behavior and respect husband as well as parents for generations

Change between youth and adult relations

Youth attained higher education is better off compared to adult's education achievement. As can be seen from the CDRI survey conducted in 2019, 55% of adults' education ended at primary school, the lower level of education system in Cambodia. Whereas, 63% of youth is continuing onto higher education, and 14% of youth completed tertiary education at University which is higher than adults (4%) who were capable of continuing onto the highest education system. This is reflected the ability of young generation in building up self-confidence and in making decision for the future choices, enabling them to evolve from parents' domination both socio-economic and political participation.

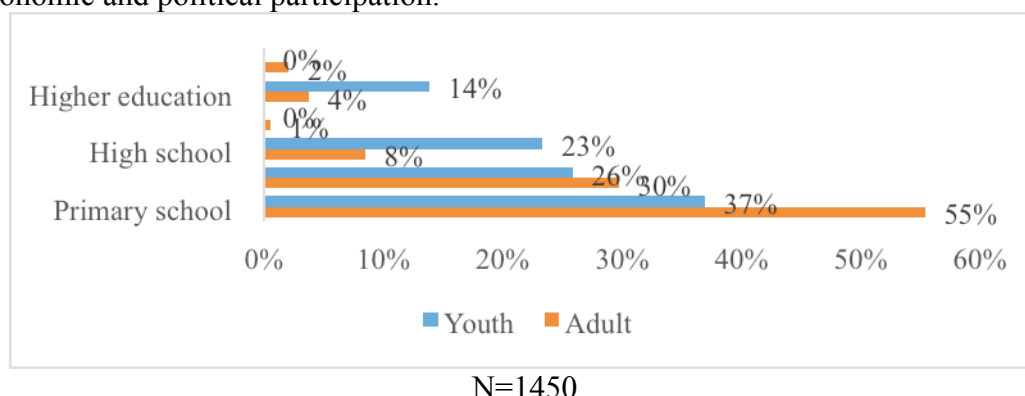


Figure 1 Youth and adult's levels of education attainment

Sharing and receiving information through electronic technology has significant impact on the youth's capability to learn and understand the world that sharp new types of interactions socio-economically and politically. According to the survey, 61% of youth used internet with 63% owned smart phones to access information online easily due to the fact that internet is considered to be almost free in Cambodia. 89% of youth used internet to read political information. Only 26% of adults used the internet and small proportion owned smart phones; of the ratio, 92% of adults used internet to read political information. Unlike adults with less competent in technology, youth have been excel with the interactions over social media by using smartphones for raising issues of socio-economics and politics online (Chheang 2015). The accessibility of modern interactions has weakened the State control over media, and traditional interactions of the State with society. Youth have shared new political opinions over the weak national performance, and are able to acknowledge the shortcomings of State institutions, in order to counteract issues of corruption, social injustice, land grabbing and deforestation (ibid).

Youth migrants are increasingly more influenced on adult's way of thinking to get involve in socio-economics and politics arena through regular contact and visit parents at hometowns. Youth migrants have brought homes with experiences from the countries or cities they had been laboring in, with a dream of urbanization to make life better at the rural communities. Youth are working in the city of Phnom Penh or even at further afield, they are regularly connecting with their family members at home, taking time to return home to do farm work or other business activities (Planning 2012). Such connection has brought a new types of knowledge sharing between youth and parents to inspire family members and neighbors about what they have been experiencing at the cities or other country's politics (Mccargo 2014). Some are eager

to inform family members about the bitter experiences being treated unfairly or exploitatively from living in the city or abroad in Thailand, and are eager to address these issues at home (Chheang 2015).

Youth's employment perspective distanced from parents who are doing majority with farm work has not been well-integrated into most services and industry employment. Employment in agriculture sector has been decreasing from over 85% (late 1990s) to only 47% (2015) and the increasing employment in industry has been relatively small from 16% to 22% (NIS, 2015). Although the definition of the employment has been set different criteria according to some countries, it entails that the rate of youth unemployment is as low as around 3% according to the survey finding. Relatively youth employment in industry and garment sector is unskilled labor and a lot of youth has worked for own-account and laboring for family income generation. This type of employment is considered as vulnerable employment⁴ which is relatively high.

Youth have become more influenced and distanced themselves in terms of decision making and choice from parents as they have the financing power. A study with 600 young migrant workers conducted in 2007 by the CDRI shows that young migrant workers, youth earned money mostly for their families, and not for themselves. 93.38% of the young migrants remitted their income to family at home. On average, about 1,012,400 riel (approx. USD 253 with current exchange rate) per year sent as remittance to youths' families at home (CDRI 2007). Although, there is no data to quantify the increase of remittances being sent home by 2019, with the current minimum wage increased to USD 170⁵ per monthly for the garment and textile industry, remittance sending would be higher. Furthermore, the remittance sent home from overseas is increasingly contributing to the family. Workers in South Korea remitted with an estimated figure about USD 260 million last year (Hor 2017) and young migrant workers remitted from Thailand helped to increase household incomes in average from USD 369 (21,087 baht) to USD 1,019 (33,627 baht) per annual (Dilen 2010). This financing support is inevitably diverting from parents' domination over the decision and choices.

Youth dynamic change in terms of accessing to higher education, of better informed through technology, of being a financing power to parents, they are more diverted from parents' control, making a lot of more compromise in decision making. In the past, younger persons must keep quiet and chances are not given to express thoughts and ideas for decision making and have much less to argue with adult (Martin 1994), but these days, autonomy is given more to youth for decision-making for their own choices. According to figure 2, youth are given choice for own selection of certain issues encountered their decision. 53% of adult are given the autonomy to youth for education path and specific subject selection for their study at the tertiary education. Youth are also given more freedom of choices for future marriage, with 63% of adults accept that youth can make their own decisions regarding marriage. A lot of more freedom is given to youth in terms of democratic and political participation, with 93%

⁴ According to ILO 2009, vulnerable employment rate is a proportion of own-account and contributing family workers in total employment: https://www.ilo.org/public/english/employment/download/mdg_en.pdf

⁵ According to Reuters, Oct. 2018 Cambodia hikes textile workers' minimum wage, falls short of union demands: <https://www.reuters.com/article/us-cambodia-garment/cambodia-hikes-textile-workers-minimum-wage-falls-short-of-union-demands-idUSKCN1MF18B>

of adults accepted that youth can make their own decision to cast a vote, no restriction of any preferred parties to vote for.

In the same vein, youth have been understood that they have more rights and open to choices for decision making and participation in social, economic and political development. 95% of youth think that they have the right to vote without tightened control and suppression from parents. In addition, 85% of youth have perceived that their decision to buy property such as a new phone, is their own decision, not to be made by their parents. Furthermore, employment selection is a decision owned by youth, with over 77% believe they have the right to make a decision for any employment perspective.

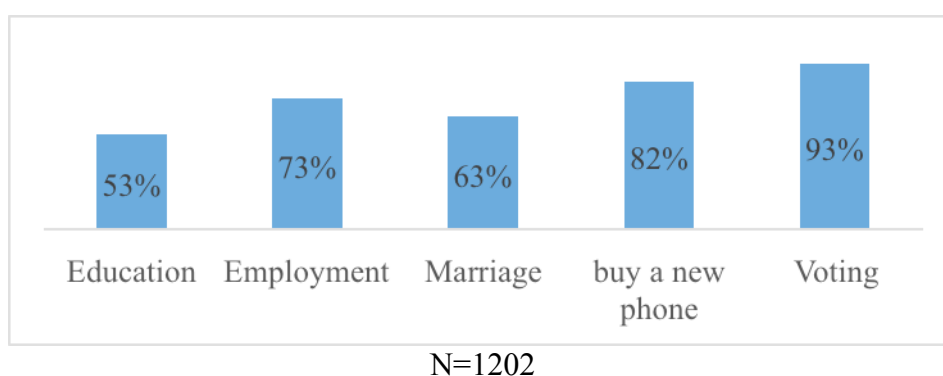


Figure 2 Adult think youth should make their own decision

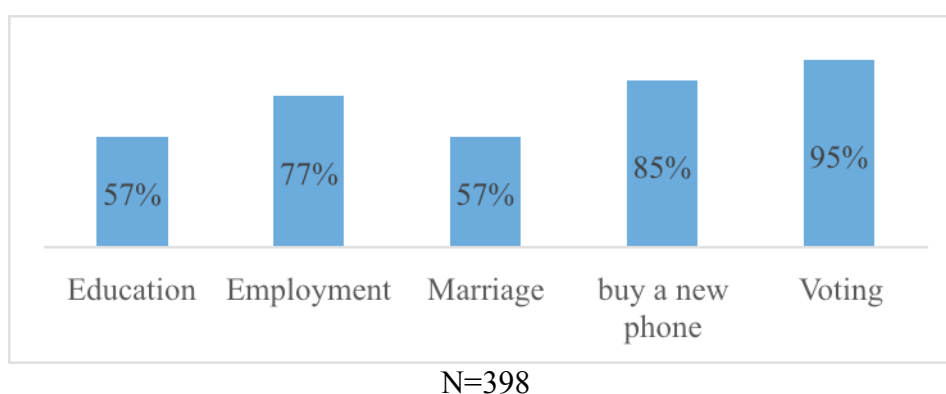


Figure 3 Youth think they should make their own decision

Change between youth and State relations

The issues of youth and State relations is imparted when youth's expectations are not fulfilled. Youth have perceived that the State does not provide sufficient support to the poor people and most vulnerable groups. From the survey, 67% of youth agree that the State has insufficient mechanism and services to improved conditions of the poor. This is well resonated by a reporting findings from the WB's report (2019) that poverty has reduction continued, but the bottom 40% are doing less well than before (WB 2019). In the most significant case is that 58% of youth disagree with the fact that the State has created enough employment opportunity for the new generation. In light of this, youth have expressed many concerns surrounding political situation where it has been deteriorated over the couple of years, of which concern is the

conflict among the political parties that can be worsen with the capacity of economic performance.

Youth and State relations are not being close enough for local participation and development. Traditional/interpersonal relations and participation is not fully appraised for local development when youth are not perceived as being able to represent adult's views. The traditional/interpersonal relations have been shaped in a narrow space for youth to participate fully and in some cases have been restricted from parents or being not appreciated by local leaders for local participation and development. Most participation have been made through intermediaries such as youth associations and NGOs (Seiha.H, Mun V et al. 2014). From the survey in figure 5, only about one in three youth participated in village meetings for development and only 10% of youth attended in public forum, an event for the commune level. In contrast, youth have expressed ideas and fully participated online as traditional/interpersonal relations has been a constraint for them. So, youth is little to engage through traditionally mechanism for local participation and development.

Types of local community participation	Total
Village meetings	37%
Commune meetings	19%
Monitoring of commune projects	13%
School meetings	37%
Health care meetings	37%
Public forums	10%

N=398

Figure 4 Youth and adult community development participation

With the gap of interactions and challenges between youth and State and their challenges that are not fully addressed, Cambodian youth step to influence political stage through social media platform (Facebook). In the 2013, the election marked the most vibrant youth political participation yet, as social media was used for interactions between youth and other electorates and constituencies. Youth used Facebook to express their political thoughts, support their friends political expressions though "likes" and identify their political identity and socialization (Sovannara 2015). With a web-based survey with 105 Facebook users, it was found that Facebook was used for pre-and post-2013 national election debate, among youth, to some extent influencing other youth's voting behavior and even in protest (Thun 2014). This has resulted in a disappointing election in 2013 when Cambodian People Party (CPP) encountered a surprisingly loss of twenty-two of its sixty-eight parliamentary seats to the now-court-dissolved Cambodian National Rescue Party (CNRP)(Eng and Hughes 2017).

Besides election issues that youth have raised their concerns, expressing ideas online through the electronic technologies, youth gives priority to others that they are concerns of, from access to education, infrastructure, access to health, economy and job, environment, landlessness and corruption as their top priorities according to the 2019 CDRI's survey. Many youth activist groups including the Mother Nature have increasingly used the Facebook page to expose environmental destruction practices to

massive audiences and also to support brave young activists to continue advocate the Government and private companies to take accountable and transparent balances of development and environmental destruction⁶. Other young political activists are also continuing using online platform as means for socio-economic, environmental and political discussion and Facebook is popular to raise the issues as they are more disconnect to fear of redistribution (Chan 2015). Some of those opinions are quite an array of social and political issues: border disputes, the repression of political opposition, violations of traffic rules, the suffering of the weak, crime, land conflicts, poor public services, personalization of public property and so on (AsiaFoundation 2015). Youth are using Facebook to communicate among peer users and to communicate with politicians including the Prime Minister to appeal for the support, most importantly in the issues of land conflicts, and housing issues and some other pity cases (Vong and Hok 2018).

With the increasing popularity among young voters and adult alike, the Facebook page of the Cambodian Prime Minister has been established to create a channel for reaching out young people and adult alike to address some of the socio-economic, environmental issues in the virtual connection. The Prime Minister has used his Facebook account, responding to some critical comments and suggestions from the Facebook users. Vong and Hok (2018) stated that when the 2016 traffic law took into the effect to curb the prevalence road accidents within the country which had recorded a death toll of over 200 per year, it made some conflict to drivers due to higher cost induced. The required traffic law was to enforce by increasing cost of driving license for motor-drivers; Facebook users have appealed and asked the Prime Minister to intervene for the cost reduction of driving license. The Prime Minister ordered to reduce the cost of the driving license, as consequently, for facilitating costing driving licenses for all people and later the Prime Minister requested to amend the traffic law to waive driving requirement of the motorbike with the engine of 125 cc and under. Vong and Hok (2018) continued that some other related social issues have been raised through the Facebook to ask for the support from the Prime Minister for intervention; these are including the proposal of banning used cars for reducing the traffic congestion proposed by the Phnom Penh governor that went viral; the Prime Minister agreed with the fellow citizens and applied to continue the import of the used cars. The Prime Minister also paid the traffic fine when he was criticized in the Facebook of not wearing a helmet during driving a motorbike.

Vong and Hok (2018) have expressed less pessimistic of the approaches that have been addressed online by the Government. They stated:

...the influence of Facebooking could still be shallow and subject to political manipulation. Given the incentives for re-election, the so-called government responses can be viewed as merely low-hanging fruits picked skillfully to pacify voters. Most eye-catching perhaps are the Prime Minister's elaborate act and public statement in relation to paying the traffic fine. With such theatrical politics, the Prime Minister was appealing to people's aspirations for the rule of law, showing that just like ordinary people he is subject to law enforcement...p.230

⁶ <http://www.mothernaturecambodia.org/home.html>

On the other side of the intervention coin, the Government has adopted the draft Cyber-crime law to control online activities for determining education, prevention measures and combat all kinds of offense committed by computer system, using and developing technology. This is to avoid any destructive images against political development and ways of addressing pressing issues online in the contemporary politics and development. All publications of contents or websites that impact on security, incite, non-factual information undermined the government integrity, damaging moral and culture values and intending to threaten or commit crimes are subjected to be sentenced from one to three year and with the fine from two million Riels to six million Riels⁷. The terms for covering aspect for related offense activity online are including:

“Content” refers to electronic form including text, images, graphics, animation, symbols, voices, and video p.4 in subsection 5 and “Website” refers to place on the Internet, which you can find any information p. 5 in subsection 10 of the draft law”

Anti-fake news and cyber-crime laws have been pushed by the Prime Minister, recently for promulgation. He proposed these laws after his official account was hacked, so he intended to blocked media platform afterwards, but later acknowledged that the social media platform function is essential and won't shut it down. However, the Prime Minister requested for surveillance scrutiny of any activities that go against the law⁸.

“I will not stop Facebook here, I will not allow such a thing to happen because our people need... Obviously, we receive benefits from Facebook but there are some users who are using it in a negative way....we need to punish those who express comment to break law and to educate users progressively over posting comments and take some legal action too....”

These have been perceived as ways forward to control online activities. As a consequence of the control of the online activities, many have been arrested over use of their expression that has impacted on the integrity of the Government⁹.

“In one case earlier this year a man was arrested on his wedding day for calling the government “authoritarian” on Facebook, and in another a refugee was extradited from Thailand for throwing a shoe at a ruling party billboard in a video posted online...”

In such tightened control online situation, according to the results of a five-week poll reaching out to one million young people from 160 countries conducted by United Nation International Children's Emergency Fund (UNICEF), Cambodian youth are in danger of online violence, cyberbullying and digital harassment. Majority of the Cambodian youth between 15 to 25 years are more easily to be in danger in the forms of ruthless and void that they are continuing to exposed to online harassment¹⁰. The report stated:

⁷ https://www.article19.org/data/files/medialibrary/37516/Draft-Law-On-CyberCrime_Englishv1.pdf

⁸ <https://www.khmertimeskh.com/50583926/pm-pushes-for-anti-fake-news-law/>

⁹ <https://www.phnompenhpost.com/national/freedom-expression-online-cambodia-stifled-laws>

¹⁰ <https://theasianpost.com/article/cambodias-youth-are-danger>

“...Cambodia and among the 160 countries findings from the poll and youth talks were that 85.7 percent of young Cambodians aged between 15 and 25 years are in danger of online violence, cyberbullying and digital harassment.”

Conclusion

The triple relations between youth, adult and State have been changing in the contemporary politics and development. There have been various causes that have triggered those changes of interactions between those three parties. Cambodian youth these days have evolved from the tightened control of their parents for decision-making, resulting from their education attainments, crucial role and responsibilities for family income generation, and experiences from offshores to where they had been migrated. The change of relations between youth and State have been seen as experiences of both traditional interactions through meeting gatherings that have been more unpraised and youth has loosened with such interest of interactions. Given that technology rising, youth have turned to social media platform for communicating with the State and influence their policy decision. Such a move could bring more reaping benefit for policy implementation and development to address Cambodia youth's concerns over the socio-economic, environmental, and political development. A new draft law of cyber-crime and censorship with the online activities, however, would contrastingly hinder such progressive participation of young people in the online activities. Finally, a closer attention to youth needs is required for improving youth and State relations. A critical comment from this is to create a social media platform which is friendly to all types of users in order to address the young generation's needs. The creating social media platform can open to improving and increasing trust in public services through closing gap of interactions between youth and State. In addition, traditional/interpersonal interactions need to be improved to ensure that youth have been inclusive for the local participation and development.

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Subjective Well-being at Old Ages: Does Educational Background Matter?

Truc Ngoc Hoang Dang, Chulalongkorn University, Thailand
Pataporn Sukontamarn, Chulalongkorn University, Thailand

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Abstract

Given the trend of demographic transition and population ageing around the world, improving the welfare of older persons has become a key policy issue. This study aimed to investigate the relationship between education and subjective well-being in terms of two affective factors (degree of happiness and loneliness) in later life of Vietnamese. The study employed Vietnam National Ageing Survey 2011, which is the first nationally representative survey of older persons in Vietnam. Both bivariate and multivariate analyses showed that education has a strong positive relationship with happiness and loneliness. In other words, older persons with higher education tend to be happier and less lonely. Other factors, such as gender, marital status, region lived in the most, being member of a poor household, feeling there is sufficient income or material support, total number of daughters, living arrangement, difficulty in daily life activities, and self-rated health compared to other older persons, have strong relationship with these two types of subjective well-being. On the other hand, age group, religion, working status, providing financial support to kin or relatives, being member of Vietnamese Elderly Association, total numbers of sons, place of residence, and having grandchild show insignificant relationship with subjective well-being amongst older persons.

Keywords: Education, Subjective well-being, Happiness, Loneliness, Older persons, Ageing, Vietnam

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Introduction

Education always plays an important role in all areas of social life, including economic and non-economic aspects. One of the non-economic factors considered is the benefit of education with the adults' mental health. Vietnam is one of the fastest aging countries in the world, which is projected to take only 15 to 20 years to convert from "aging population" to "aged population", while other countries It takes about 100 years to shift the population structure from "aging population" to "aged population". Besides, the Vietnamese older are faced with a series of difficult issues such as no pensions, weak physical health, medical system lacking investment for older persons' health care, etc. (Institute of Social and Medical Studies, 2012; Jones et al., 2010; Kham, 2014). Thus, the Vietnamese older persons are more likely to face mental health risks while Vietnam has not yet had a national action plan on mental health in general and for the older persons in particular (Minas et al., 2017).

As a result, building a timely population policy to cope with the aging of Vietnam's population is an urgent and prerequisite requirement. This study assesses the long-term benefits of the educational background on the subjective well-being of the older persons by finding the relationship between education levels and the happiness and loneliness of the older persons. It is because happiness and loneliness are identified as two important indicators of subjective well-being measurement (Diener, 1984, 2009; Snyder & Lopez, 2009). Education is recognized as having a relationship with happiness in other countries through factors such as high wages, good health care behaviours, high respect from society, which lead to happiness of people (Witter et al., 1984). Besides, the loneliness of the older persons is predicted due to the occurrence of generations due to changing social and family models, the loss of spouse or family members, and reduction social disrespect for the older persons, etc. (Coplan & Bowker, 2013; Truc et al., 2017). In Vietnam, there is no research at the national level on the relationship between educational background and happiness and loneliness at old age while other studies has confirmed other aspects such as social networks have important relationship with loneliness of older persons (Pinquart & Sorensen, 2001) or education have mostly confirmed to have good relationship with working age population such as advantages in working environment and economic benefits (Cuñado & de Gracia, 2012). Besides, other studies on older population only focused on social structure, living arrangement, the interaction between generations, retirement age or family relationships (Giang & Le, 2017; Le et al., 2018; Teerawichitchainan et al., 2015; Truong et al., 1997). Therefore, the research results are expected to contribute to the gap in literature and propose appropriate policies to improve the mental health of Vietnamese older persons, while affirming the role of education in terms of non-economic aspect through answering research questions: What are the relationships between level of education and subjective well-being of older persons in Vietnam, in terms of the degree of happiness and loneliness, controlling for other factors?

Methodology

Dataset description: Viet Nam Ageing Survey¹ (VNAS) in 2011 is the first-ever nationally representative survey of older persons in Vietnam (Institute of Social and

¹VNAS 2011 data set source: The Atlantic Philanthropies (AP), Vietnam Women's Union (VWU), Institute of Social and Medical Studies (ISMS), Indochina Research and Consulting (IRC)

Medical Studies et al., 2011). The sample consists of 4,007 people aged 50 and over living in 200 communes of 12 provinces, which are representative of six ecological regions of Vietnam (Institute of Social and Medical Studies, 2012). In this study, we only look at those who are 60 years old and over; therefore, the sample size is 2,571 older persons, including 1,545 older females and 1,026 older males.

Table 2 and table 3 presents the percentage distribution, mean of sample characteristics of older persons. Table 4 and Table 5 reflect the percentage of degree of happiness, degree of loneliness and the distribution of sample characteristics by using Chi square test to determine the statistically significant differences.

Table 2: Percentage distribution of sample characteristics of older persons in Vietnam

	Percent
Degree of happiness	
Not at all	15.32
Some of time	38.62
Most of time	46.05
Degree of loneliness	
Not at all	66.16
Some of time	22.83
Most of time	11.01
Education	
Primary	69.58
Lower secondary	16.49
Upper secondary	6.92
Professional secondary	2.72
College/University	4.28
Gender	
Female	60.09
Male	39.91
Age group	
60-69 ages	45.04
70-79 ages	30.18
80 ⁺ ages	24.78
Marital status	
Married	40.14
Un-married	59.86
Region lived in the most	
North	44.69
Centre	25.67
South	29.64
Area	
Urban	26.37
Rural	73.63
Religion	
Free thinker	18.98
Buddhism	26.60
Christianity	9.06
Confucianism	45.35

Poor household	
Yes	19.29
No	80.71
Still working	
Yes	39.56
No	60.44
Feeling there is sufficient income/material support	
Yes	34.85
No	65.15
Providing financial support to relatives/kin	
Yes	22.09
No	77.91
Member of Vietnamese Elderly Association	
Yes	77.05
No	22.95
Having grandchildren	
Yes	95.33
No	4.67
Living arrangement	
Alone	9.61
Only spouse	18.98
Only children	6.69
Spouse and children (nuclear family)	13.15
Spouse, children, and grandchildren (3 generations)	21.16
Children and grandchildren	21.12
Spouse and grandchildren	2.88
Other people (no spouse, no children)	3.66
Other types	2.76
Having difficult in ADLs	
Yes	36.02
No	63.98
Health comparison with other older persons	
Much worse	11.44
Somewhat worse	41.46
About the same	25.98
Somewhat better	17.66
Much better	3.46
Observations (N, %)	2,571 (100.00)

Table 3: Average, min, and max of total number of sons and daughters of sample

	Mean	Min	Max	N
Total number of sons	2.31	0	9	2,571
Total number of daughters	2.31	0	10	2,571

Table 4: Percentage of degree of happiness and the distribution of sample characteristics

	Degree of Happiness			p
	Not at all	Some of the time	Most of the time	
Education				<0.0001
Primary	81.47	76.94	59.46	
Lower secondary	13.20	13.29	20.27	
Upper secondary	2.79	5.34	9.63	
Professional secondary	0.76	1.71	4.22	
College/University	1.78	2.72	6.42	
Gender				<0.0001
Female	68.02	68.08	50.76	
Male	31.98	31.92	49.24	
Age group				0.001
60-69 ages	41.12	41.59	49.24	
70-79 ages	33.76	30.72	28.55	
80+ ages	25.13	27.69	22.21	
Marital status				<0.0001
Married	52.03	50.35	70.44	
Un-married	47.97	49.65	29.56	
Region lived in the most				<0.0001
North	34.77	43.20	49.24	
Centre	38.07	22.96	23.82	
South	27.16	33.84	26.94	
Area				<0.0001
Urban	19.29	25.48	29.48	
Rural	80.71	74.52	70.52	
Religion				<0.0001
Free thinker	24.37	17.32	18.58	
Buddhism	32.74	28.50	22.97	
Christianity	7.87	9.87	8.78	
Confucianism	35.03	44.31	49.66	
Poor household				<0.0001
Yes	31.98	21.95	12.84	
No	68.02	78.05	87.16	
Still working				0.097
Yes	41.88	36.96	40.96	
No	58.12	63.04	59.04	
Feeling there is sufficient income/material support				<0.0001
Yes	19.80	29.51	44.34	
No	80.20	70.49	55.66	
Providing financial support to relatives/kin				0.014
Yes	22.84	80.87	24.32	
No	77.16	19.13	75.68	
Member of Vietnamese Elderly Association				0.331
Yes	75.63	76.03	78.38	
No	24.37	23.97	21.62	

Having grandchildren				0.002
Yes	92.13	95.17	96.54	
No	7.87	4.83	3.46	
Living arrangement				<0.0001
Alone	17.01	12.69	4.56	
Only spouse	19.04	15.01	22.30	
Only children	8.38	7.35	5.57	
Spouse and children (nuclear family)	14.21	11.88	13.85	
Spouse, children, grandchildren (3 generations)	13.96	18.33	25.93	
Children and grandchildren	17.26	25.68	18.58	
Spouse and grandchildren	2.03	2.82	3.21	
Other people (no spouse, no children)	6.35	4.63	1.94	
Other types	1.78	1.61	4.05	
Having difficult in ADLs				<0.0001
Yes	48.98	42.90	25.93	
No	51.02	57.10	74.07	
Health comparison with other older persons				<0.0001
Much worse	24.11	13.49	5.49	
Somewhat worse	42.13	50.76	33.45	
About the same	21.83	22.16	30.57	
Somewhat better	10.41	11.58	25.17	
Much better	1.52	2.01	5.32	

Table 5: Percentage of degree of loneliness and the distribution of sample characteristics

	Degree of Loneliness			p
	Not at all	Some of time	Most of time	
Education				<0.0001
Primary	63.43	80.07	84.81	
Lower secondary	19.22	11.41	10.60	
Upper secondary	8.11	5.28	3.18	
Professional secondary	3.59	1.19	0.71	
College/University	5.64	2.04	0.71	
Gender				<0.0001
Female	53.32	70.36	79.51	
Male	46.68	29.64	20.49	
Age group				<0.0001
60-69 ages	50.09	34.41	36.75	
70-79 ages	28.69	34.92	29.33	
80 ⁺ ages	21.22	30.66	33.92	
Marital status				<0.0001
Married	73.19	41.91	16.96	
Un-married	26.81	58.09	83.04	

Region lived in the most				<0.0001
North	45.68	45.49	37.10	
Centre	24.34	23.51	38.16	
South	29.98	31.01	24.73	
Area				<0.0001
Urban	28.75	22.66	19.79	
Rural	71.25	77.34	80.21	
Religion				0.032
Free thinker	18.40	19.42	21.55	
Buddhism	24.99	29.98	29.33	
Christianity	9.52	7.16	10.25	
Confucianism	47.09	43.44	38.87	
Poor household				<0.0001
Yes	14.17	26.58	34.98	
No	85.83	73.42	65.02	
Still working				0.001
Yes	42.03	34.07	36.04	
No	57.97	65.93	63.96	
Feeling there is sufficient income/material support				<0.0001
Yes	40.09	26.58	20.49	
No	59.91	73.42	79.51	
Providing financial support to relatives/kin				<0.0001
Yes	25.10	14.82	19.08	
No	74.90	85.18	80.92	
Member of Vietnamese Elderly Association				0.144
Yes	76.31	77.00	81.63	
No	23.69	23.00	18.37	
Having grandchildren				<0.0001
Yes	96.12	95.40	90.46	
No	3.88	4.60	9.54	
Living arrangement				<0.0001
Alone	3.70	12.44	39.22	
Only spouse	21.75	16.52	7.42	
Only children	4.82	10.39	10.25	
Spouse and children (nuclear family)	15.99	9.54	3.53	
Spouse, children, grandchildren (3 generations)	27.98	10.22	2.83	
Children and grandchildren	17.05	31.69	23.67	
Spouse and grandchildren	3.12	2.90	1.41	
Other people (no spouse, no children)	2.29	4.77	9.54	
Other types	3.29	1.53	2.12	
Having difficult in ADLs				<0.0001
Yes	30.57	43.27	53.71	
No	69.43	56.73	46.29	
Health comparison with other older persons				<0.0001
Much worse	9.41	12.27	21.91	
Somewhat worse	36.92	52.47	45.94	
About the same	28.92	21.47	17.67	
Somewhat better	20.75	11.24	12.37	
Much better	4.00	2.56	2.12	

Method of analysis: We run 2 separate regression models for both happiness and loneliness. In which, model 1 only runs regression between level of education and degree of happiness, degree of loneliness, model 2 includes all controlling variables. We use ordered-logistic regression and obtain odds ratio to stress out the relationship between level of education and subjective well-being which are two affective factors, namely degree of happiness, and degree of loneliness. The equation of ordered logistic regression is as follows:

$$W_i = X_i\beta + C_i\Omega + \varepsilon_i$$

Dependent variables (W_i): The dependent variables are “Degree of happiness” and “Degree of loneliness”, ranking from “not at all”, “some of the time” to “most of the time”.

Independent variables (X_i): Educational background variable representing 5 levels, which are (i) primary school, (iii) lower secondary school, (iv) upper secondary school, (v) professional secondary, and (vi) College/University.

Other control variables (C_i): Demographic characteristics (age group, marital status, gender, and religion), socio-economic characteristics (feeling there is sufficient income or material support, providing financial support to kin/relatives, being member of a poor household, region lived the most, place of residence (urban/rural), and working status), family networks (total number of sons, total number of daughters, having grand-child, and living arrangement), social networks (being member of Vietnamese Elderly Association), health status (Difficulty in Activities Daily Life (ADLs) and self-rated health compared to other older persons). ADLs is measured by four main activities which are eating, getting dressed and undressed, bathing/washing, getting up from the position of lying down, and getting and using toilet.

Γ , is the error term that contains measurement errors, and un-observed-characteristics, such as self-confidence, aspiration, or the differences in willing to accept life events of individuals, etc. We assume mistakes in people’s answers are random and thus do not bias the estimation results.

Empirical findings and discussion

Table 6: Ordered-logistic regression between level of education and degree of happiness

	Degree of happiness	
	Model 1	Model 2
Education (Ref: Primary)		
Lower Secondary	1.920*** (0.203)	1.251* (0.150)
Upper secondary	2.779*** (0.444)	1.716*** (0.309)
Professional Secondary	3.885*** (1.032)	2.144*** (0.614)
College/University	3.405*** (0.713)	2.013*** (0.466)
Female (Ref: Male)		0.764***

	(0.0730)
Married (Ref: Un-married)	1.346
	(0.378)
Age group (Ref: 60-70 ages)	
70-80 ages	0.874
	(0.0883)
80+ ages	0.850
	(0.102)
Urban (Ref: Rural)	0.947
	(0.0941)
Religion (Ref: Free thinker)	
Buddhism	0.921
	(0.113)
Christianity	1.043
	(0.169)
Confucianism	1.149
	(0.145)
Region lived in the most (Ref: South)	
North	1.247*
	(0.147)
Centre	0.999
	(0.117)
Poor household (Ref: Non-poor household)	0.706***
	(0.0729)
Feeling there is sufficient income/material support (Ref: Insufficient)	1.579***
	(0.142)
Living arrangement (Ref: Living alone)	
Only spouse	1.582
	(0.491)
Only children	1.540**
	(0.297)
Spouse, children (nuclear family)	1.296
	(0.413)
Spouse, children, grandchild (3 generations)	1.776*
	(0.552)
Children, grandchildren	1.690***
	(0.255)
Spouse, grandchildren	1.388
	(0.527)
Other people (No spouse, no children)	0.987
	(0.231)
Other types of living arrangement	3.082**
	(1.066)
Having difficult in ADLs (Ref: Not having difficult in ADLs)	0.626***
	(0.0552)

Health comparison with other older persons (Ref: Much worse)		
Somewhat worse	2.072***	(0.267)
About the same	2.855***	(0.414)
Somewhat better	4.544***	(0.734)
Much better	4.987***	(1.366)
Total number of daughters	1.013	(0.0267)
Total number of sons	1.019	(0.0277)
Still working (Ref: Not working)	0.859	(0.0797)
Providing financial support to relatives/kin (Ref: Not providing)	0.884	(0.0943)
Member of Vietnamese Elderly Association (Ref: Non-member VES)	1.111	(0.114)
Having grandchildren (Ref: Not having grandchildren)	1.223	(0.256)
N	2571	2571
pseudo R-sq	0.023	0.100

Notes: Standard errors in parentheses. *Ref.: Reference category. N: Number of observations. Significance levels: * $p < 0.1$, ** $p < 0.05$, *** $p < 0.01$.*

Table 7: Ordered-logistic regression between level of education and degree of loneliness

	Degree of loneliness	
	Model 1	Model 2
Education (Ref: Primary)		
Lower Secondary	0.454***	0.788*
	(0.0564)	(0.114)
Upper secondary	0.433***	0.944
	(0.0798)	(0.202)
Professional Secondary	0.223***	0.455**
	(0.0800)	(0.175)
College/University	0.218***	0.407***
	(0.0629)	(0.132)
Female (Ref: Male)		1.036
		(0.118)
Married (Ref: Un-married)		0.359***
		(0.112)

Age group (Ref: 60-70 ages)	
70-80 ages	1.072 (0.125)
80+ ages	1.189 (0.161)
Urban (Ref: Rural)	1.046 (0.122)
Religion (Ref: Free thinker)	
Buddhism	0.946 (0.133)
Christianity	0.766 (0.147)
Confucianism	0.802 (0.118)
Region lived in the most (Ref: South)	
North	1.150 (0.158)
Centre	1.353** (0.183)
Poor household (Ref: Non-poor household)	1.488*** (0.166)
Feeling there is sufficient income/material support (Ref: Insufficient)	0.640*** (0.0692)
Living arrangement (Ref: Living alone)	
Only spouse	0.264*** (0.0906)
Only children	0.333*** (0.0660)
Spouse, children (nuclear family)	0.212*** (0.0760)
Spouse, children, grandchild (3 generations)	0.126*** (0.0446)
Children, grandchildren	0.264*** (0.0422)
Spouse, grandchildren	0.382** (0.160)
Other people (No spouse, no children)	0.511*** (0.125)
Other types of living arrangement	0.213*** (0.0816)
Having difficult in ADLs (Ref: Not having difficult in ADLs)	1.437*** (0.144)

Health comparison with other older persons (Ref: Much worse)		
Somewhat worse	0.784*	(0.111)
About the same	0.536***	(0.0873)
Somewhat better	0.443***	(0.0811)
Much better	0.561*	(0.172)
Total number of daughters	0.946*	(0.0286)
Total number of sons	0.965	(0.0299)
Still working (Ref: Not working)	1.109	(0.120)
Providing financial support to relatives/kin (Ref: Not providing)	0.842	(0.108)
Member of Vietnamese Elderly Association (Ref: Non-member VES)	1.089	(0.132)
Having grandchildren (Ref: Not having grandchildren)	1.205	(0.285)
N	2571	2571
pseudo R-sq	0.024	0.170

Notes: Standard errors in parentheses. *Ref.: Reference category. N: Number of observations.*

*Significance levels: * $p < 0.1$, ** $p < 0.05$, *** $p < 0.01$.*

Bivariate analysis (model 1) shows that the higher the level of education, the higher the odds of having higher “degree of happiness”. The odds of happiness at "Lower secondary", "Upper secondary", "Professional secondary" and "College/University" levels are nearly 2.0 times, 2.8 times, 3.9 times, and nearly 3.5 times higher than the odds of happiness at “Primary level”, respectively. In contrast to the degree of happiness, the higher level of education, the lower the odds of loneliness. The odds of loneliness at "Lower secondary", "Upper secondary", "Professional secondary" and "College/University" level are 1.2 times, 2.3 times, 4.5 times, and 4.6 times lower than the odds of loneliness at “Primary level”, respectively.

Similar to bivariate analysis, multivariate ordered logistic regression analysis (model 2) shows that older persons with higher education tend to be happier and less lonely. The odds of happiness at "Lower secondary", "Upper secondary", "Professional secondary" and "College/University" levels are 1.25 times (OR=1.251, 95%CI: 0.99-1.58), 1.72 times (OR=1.716, 95%CI: 1.20-2.44), 2.14 times (OR=2.144, 95%CI: 1.22-3.75), and nearly 2.0 times (OR=2.013, 95%CI: 1.27-3.17) higher than the odds of happiness at “Primary level”, respectively. In contrast to the degree of happiness, the higher level of education, the lower the odds of loneliness. The odds of loneliness at "Lower secondary", "Professional secondary" and "College/University" level are

1.27 times (OR=0.788, CI: 0.59-1.04), 2.20 times (OR=0.455, CI: 0.21-0.96), and 2.46 times (OR=0.407, CI: 0.21-0.76) lower than the odds of loneliness at "Primary level", respectively.

There is strong relationship between "Feeling there is sufficient income and material support" and subjective well-being of Vietnamese older persons. Obviously, older persons who feel that they receive sufficient income and material support in their life, have nearly 1.6 times higher the odds of happiness compared to those who feel that they receive insufficient income and material support. Moreover, they have approximately 1.6 times lower the odds of loneliness compared to those who feel that they receive insufficient income and material support. Besides, "poor household status" has homogeneous results with "sufficient income/support". Older persons who are living in poor households which are classified by government, have the odds of happiness 1.4 times lower, and the odds of loneliness nearly 1.5 times higher than those who do not belong to poor households.

It is interesting to conclude that Vietnam Elderly Association (VEA), which is the first formal and largest ever national association for older persons in Vietnam, has no statistically significant contribution to the degree of happiness and loneliness of Vietnamese older persons. Similarly, compared to age 60-69, other age groups have statistically insignificant difference in terms of happiness and loneliness. There is no statistically significant difference in both the degree of happiness and loneliness among the different religions, which are Buddhism, Christianity, and Confucianism, compared to being a Free-thinker. Married people are not different in degree of happiness compared to people who are unmarried (including those who are single, separated, and divorced). However, married older person tends to be less lonely nearly 2.8 times compared to unmarried older person.

Regarding region, there is no statistically significant difference in degree of loneliness between those who spend most of the time of their life in Northern Vietnam and those who spend most of the time of their life in Southern Vietnam. Those who spend most of the time of their life in Centre region have the odds of having higher degree of loneliness 1.35 times higher than the odds of having higher degree of loneliness of Southern people. Those who spend most of the time of their life in Northern Vietnam have the odds of having higher degree of happiness 1.25 times higher than the odds of having higher degree of happiness of Southern people. There is no statistically significant difference in the odds of having higher degree of happiness between Central people and Southern people.

Additionally, family networks variables have various roles in the contribution to subjective well-being of old age. The number of sons has insignificant contribution in different indicator of subjective well-being at later life. There is no relationship between total number of daughters and degree of happiness. The number of daughters has modest significant difference in the odds of having higher degree of loneliness of older persons, increasing one daughter is associated with 1.06 times lower odds of having higher degree of loneliness. Besides, having or not having grandchild, and having financial support for kin/relatives have no significant distinction in terms of subjective well-being of older persons in Vietnam.

On the other hand, living arrangement has strong relationship with various types of subjective well-being at old ages, living alone is strongly and negatively associated with happiness and positively associated with loneliness compared to other types of living arrangements. In more details, in the case of living with only spouse, the odds of having higher degree of loneliness is 3.80 times lower than living alone. For those who live with any types of children such as adopted, biological or in-law-children, the odds of having higher degree happiness is 1.54 times higher, and the odds of having higher degree of loneliness is nearly 3.0 times lower than living alone. For those who live in nuclear family (only with spouse and children), the odds of having higher degree of loneliness is nearly 4.72 times lower than living alone. Living in extended family (3 generations in a house, including spouse, children and grandchild) is associated with nearly 1.80 times higher odds of having higher degree of happiness, and nearly 8.0 times lower odds of having higher degree of loneliness than living alone. For those who live with only with children and grandchild, the odds of having higher degree of happiness is nearly 1.70 times higher, and the odds of loneliness is nearly 3.78 times lower than living alone. Living with spouse and grandchild (without children in family) is associated with nearly 2.62 times lower odds of having higher degree of loneliness than living alone. For those who live with other family members (without spouse and children), the odds of having higher degree of loneliness is nearly 2.00 times lower than living alone. For those with other types of living arrangements, the odds of having higher degree of happiness is 3.0 times higher, and the odds of having higher degree of loneliness is nearly 4.70 times lower than living alone. In sum, living alone is the type of living arrangement which has disadvantage in terms of degree of loneliness compared to other types of living arrangements.

Gender is associated with significant differences in subjective well-being. Being older women has negative relationship with happiness in comparison with older men. For older women, the odds of having higher degree of happiness is 1.3 times lower than older men. Whether an older person is still working or not working at old age has statistically insignificant difference in happiness and loneliness of older persons. In contrast, having any difficulty in daily life activities (ADLs) has important relationship with happiness and loneliness of older persons. Those who has any difficulty in ADLs have the odds of having higher degree of happiness 1.44 times lower, and the odds of having higher of loneliness 1.44 times higher than those who does not have any difficulty in ADLs. Coupled with physical health status (difficulty in ADLs), self-rated health (own health in comparison with other older persons in community) has strong relationship with happiness and loneliness of older persons. The higher the degree of self-rated health, the higher the degree of happiness and the lower the degree of loneliness of older persons. Compared to “much worse” status, older persons who evaluate their health as “somewhat worse”, “about the same”, “somewhat better”, “much better”, have higher odds of having higher degree of happiness by 2.1 times, 2.86 times, 4.54 times, and nearly 5.0 times, respectively. Conversely, compared to “much worse” status, older persons who evaluate their health as “somewhat worse”, “about the same”, “somewhat better”, “much better”, have lower odds of having higher degree of loneliness by 1.28 times, 1.86 times, 2.25 times, and nearly 1.78 times, respectively.

Conclusion and policy implications

This study assesses the relationship between educational attainment and subjective well-being of Vietnamese elderly by controlling other factors such as demographic, socio-economic characteristics, family and social networks, health status and religion. This study is expected to contribute to the long-term study on the benefits of education. In sum, the level of education, our main independent variable, plays a very important role in increasing the level of happiness and reducing the level of loneliness of the older persons in Vietnam.

Coupled with policy for improving the level of education for productively ageing, the government should pay attention to living arrangement of older persons. This is because that living arrangement plays an important role for subjective wellbeing of the older persons. The government should issue a policy discouraging living alone for the older persons, in which children and family members cannot leave older persons to stay alone at home because living alone is a serious and worst type, compared to any other types of living arrangement, and makes the degree of happiness lower and the degree of loneliness higher in Vietnamese older persons. With regards to the health communication program for older persons, in addition to physical health improvement programs, in order to improve mental health, the government should supplement content that boosts self-confidence and optimism about the physical health status of each older person. This is because that the comparison of health status with other older persons in the community is very closely related to subjective well-being of older persons, namely happiness and loneliness.

There is an interesting difference compared to earlier studies of the relationship between religion and happiness or loneliness, in this study, there is no difference in happiness and loneliness of older persons who are religious (including Buddhists, Christians, and Confucians), compared to those who are Free thinkers. This is a special result and should be considered for a deeper understanding of the impact of religion on other aspects of mental health, while the religion does not make any difference in happiness and loneliness of the older persons in a communist country like Vietnam, where the government and people tend to become non-religious (Van Canh, 2017). Besides, the Vietnamese government should issue policies for subjective well-being care for different specific groups, for example, the older persons in the central region need to be more concerned about loneliness, while the older persons belong to the list of poor households of government record should be considered both in terms of happiness and loneliness. Mental health care policies should be issued to all older persons of all age groups because no differences between age groups can be found in happiness and loneliness. In addition, female older persons need more attention than male older persons to enhance their happiness.

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Contact email: hoangtruc711@gmail.com

The Effects of Chatbot Gender on User Trust and Perception towards Shopping Chatbots

Hsiao-Chen You, National Taichung University of Science and Technology, Taiwan
Yi-Chieh Chen, National Taichung University of Science and Technology, Taiwan

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Abstract

This study investigates the influence of chatbot's gender on users' trust and perception toward shopping chatbots in social media marketing, to better understand whether people perceive chatbots differently just because of their gender cues on screen. A between-groups experiment was conducted, 120 participants were recruited to interact with one of the four chatbots with distinct gender cues: (1) a chatbot with female profile image and female name; (2) a chatbot with female profile image and unisex name; (3) a chatbot with male profile image and male name; (4) a chatbot with male profile image and unisex name. Afterwards, participants were requested to fill in a Likert scale questionnaire regarding their trust and perception towards chatbots based on the experience. Findings showed that chatbot gender did not have a statistically significant influence on users' trust and perception towards chatbots in an online shopping context. However, subjects tended to rate chatbots of the opposite gender as more trustworthy than chatbots of same gender.

Keywords: Conversational User Interface, Chatbot, Gender Cues, Trust, Perception

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Introduction

As artificial intelligence technologies are advancing at an ever increasing rate, various types of virtual assistants and customer service bots have emerged in the market and focused on assisting people through social interaction (Ali, 2018). Statistics on consumer technology usage predicts that software agents for personal assistance, entertainment, or other social purposes will become a common scene in our future life (The European Commission, 2018). Starting in 2014, many social networking systems have introduced support for chatbots, which are enhance conversational agents, to help users while chatting with them, right inside the social media apps and sites (Klopfenstein, 2017). Many companies are already using them to better communicate with their target audience, provide customer service, recommend products, and drive sales. Chatbots are increasingly offered as an alternative source of customer service, and are predicted to tackle 85% of customer service interactions by 2020 (Levy, 2016).

Therefore, it is important that users trust chatbots to provide the required support, especially in e-commerce. However, there is currently a lack in knowledge regarding the factors that affect users' trust in chatbots. Hay (2017) argues that people consciously (or subconsciously) assign character or personality to their interactions with inanimate objects from the ATM to computers, because it's the way people build connections which leads to trust, and suggests that the most effective way to build trust between users and chatbots is to show a consistent and upright personality throughout the interaction. In order to create trust in chatbots and coherent interaction, chatbot designers nowadays often start by assigning a human-ish character to a chatbot, such as gender (Ramos, 2018). However, Fanguy (2018) argues nowadays AI developer routinely give female names to the things people issue commands to without user feedback or input from socially-minded design experts. It could reinforce people's biases about gender and the role of women in society role.

How can we better harness technology innovation and knowledge to advance gender equality—and vice versa? Gendered Innovations (GI) has become a new topic in the field of science, health& medicine, engineering, etc. The concept of Gendered Innovations (GI) is to integrate gender analysis into all phases of research to stimulate knowledge and new ideas (Schiebinger, 2014). Therefore, to better understand whether people perceive chatbots differently just because of their gender or gender cues, this study applies gender analysis to investigate the influence of chatbot's gender on users' trust and perception toward shopping chatbots in Ecommerce.

Related Studies

1. Conversational User Interface

A conversational user interface (CUI) is an interface that allows users to interact with computers or bots using language, whether it be text or speech. To do so, conversational interfaces use Natural Language Processing (NLP) to allow computers to understand, analyze and create meaning from human language. While there are a variety of CUIs, there are two main categories: voice assistants and chatbots. Voice assistants such as Apple Siri and Amazon Echo allow users to complete tasks simply by speaking commands. Chatbots are web or mobile based interfaces that allow users

to ask questions and retrieve information by clicking buttons, auditory or textual input (Pan, 2017). Chatbots can be classified by their usage into categories such as conversational commerce (e-commerce via chat), customer support, education, entertainment, finance, HR, news, shopping, social, utilities, etc. (Baron, 2017).

2. Gender Cues

For decades, researchers and developers have dedicated effort to make intelligent agents more human-like, and the easiest way might be the use of the human figures. Go & Sundar (2019) suggest that simple interface-level manipulation of chat bots and human visual (anthropomorphic) cues can trigger "anthropomorphism" switches that guide users to think of chat robots as humans and take social action. Another easy way to enhance the humanization of chat bots is to use human names or labels. The same goes for gender manipulation, visual appearance, names, or gender labels are often used as gender cues for intelligent agents (Hegel, Eyssel & Wrede, 2010; Trovato, Lucho & Paredes, 2018). Other human features, such as voice, facial expressions and gestures, have been commonly employed in HRI to genderize robots as well (Siegel, Breazeal & Norton, 2009; Park, Kim, & Del Pobil, 2011). However, as Lee (2008) pointed out, manipulation of computer gender might have unexpected side effects. For instance, it could trigger social stereotypes associated with gender. Furthermore, the artificial gender of computer system might serve as a cue to a shared group identity, evoking social identification effects.

3. Gender Effect in HRI

The gender effect has been studied extensively in the field of interpersonal communication and social psychology (Rosenkrantz et al., 1968; Nass, Moon, & Green, 1997). Several studies indicated that gender stereotypes could carry over to computers or virtual agents when computer systems expressed gender through gender cues (Lee, 2003; Martin & Macrae, 2007). As robots and AI gradually become part of our everyday life, an area of studies within Human-Robot Interaction (HRI) has arisen to explore the overlap between robotics and gender studies, and to investigate whether gender bias exists in HRI. For example, Eyssel & Hegel (2012) found participants tented to apply gender stereotypes to robots. For instance, the short-haired robots were perceived as male with agentic traits, while the long-haired robots are perceived as female with communal traits more communal. Moreover, stereotypically male tasks were perceived more suitable for the male robot than the female robot, and vice versa. In a study of the persuasive robots, Siegel, Breazeal & Norton (2009) utilized behavioral measures and self-reported questionnaire in an experiment design to investigate the gender effects on the persuasiveness of robots. The result showed that men were more likely to donate money to a female robot (cross-gender effect), but women were not affected by the gender of robots. Thellman et al. (2018) utilized a self-reported questionnaire as attitude measures to replicate Siegel's persuasiveness study. In contrast to the finding of the earlier study, the results showed the gender of robots did not influence the perceived persuasiveness, while male and female participants view robots differently, female participants rated the HRI as more persuasive than men overall. Zambaka et al. (2006) examined the roles of gender and visual realism in the persuasiveness of speakers. Results indicated that the virtual speakers were as effective as real people; ratings of the perceptions of the speaker were more favorable for virtual speakers than for human speakers. Speakers of the

opposite gender were more persuasive than speaker of same gender (cross-gender preference). Besides impact of robot's or human gender on HRI, Crowell et al.(2009) further studied the effect of physical body of artificial agent on user perception. The results showed female-voice agent (without physical body) were rated more trustworthy than male-voice agent, while male-voice robot (with physical body) were rated more trustworthy than female-voices robot.

Method

This study aims to provide an empirically grounded answer to the question: does the gender of chatbots affect participants' trust in them in an online shopping context. Based on the above-mentioned literatures, the three research questions this study wants to explore are as follows:

1. Can participant perceive a chatbot's gender through its gender cues?
2. Does the gender of chatbots affect participants' trust in shopping chatbots?
3. Does the participant gender affect the participants' judgment on the trustworthiness of shopping chatbots?

While it would have been possible to conduct one study to explore the above mentioned three research questions at once, such a full factorial design seemed unwarranted until more is known about the effects of visual cues on users' judgment on chatbot gender, then we can further examine the impact of chatbot gender on user perception and trust. Thus, two separate studies were conducted. Study I is to investigate whether hair length, eyebrow thickness, and color of coat can be used as gender cues for chatbots. Study II is to further investigate whether the gender of chatbots affects the trust and perception of the participants.

1. Study I Effects of Visual Cues on Gender Differences

In this study, our focus is on the visual gender cues in chatbot's profile pictures. By the use of three gender cues: hair length (long, short), eyebrow thickness (thick, thin), and color of coat (blue, pink), 8 chatbot profile pictures were created (Table 1). 134 Participants were recruited from social platforms. Each of them are asked to view the 8 chatbot profile pictures on line, and determined the gender of each chatbot on a 5-point Likert scale online questionnaire (from 1 to 5: very masculine, masculine, undecided, feminine, very feminine).









Visual Cues	Short Hair		Long Hair	
	Blue Coat	Pink Coat	Blue Coat	Pink Coat
Thick Eyebrow				
Thin Eyebrow				

Table 1: The 8 chatbot profile pictures as experiment stimuli in study I

One-way analysis of variance (ANOVA) is used to investigate the effect of each visual cue gender on user judgement of chatbot gender. The results of the ANOVA showed the effects of three visual cues are statistically significant. Then Duncan's Multiple Range test (DMRT) is applied. The results indicated: (1) the three visual cues (hair length, eyebrow thickness, and color of coat) did significantly affect user perception of chatbot gender, (2) the combination of short hair, thick eyebrows and blue coat was perceived most masculine; while the combination of long hair, fine eyebrows and pink coat was perceived most feminine. Based on the results, the most male-like and the most female-like avatar were selected for the next phase of the study.

2. Study II Effects of Gender on User Trust and Perception towards Chatbots

The independent variable is chatbot gender. A simple version of e-commerce chatbot made by Chatisfy, a chatbot-creation platform, with different gender cues is used in this experiment.

There are two type gender cues: visual cue (masculine/ feminine look) and gender name (male name / unisex name/ female name). After abandoning two internal conflict conditions, there were four condition: (A) masculine look chatbot with male name, (B) masculine look chatbot with unisex name, (C) feminine look chatbot with unisex name, and (D) feminine look chatbot with female name (Table 2). Conditions A and B are intended as the male chatbots, while conditions C and D are intended as the female chatbots. The dependent variable is participant's trust in the shopping chatbot. A questionnaire was developed based on the work done by Gefen, (2002) to obtain participants' personal information regarding age, gender, then followed by the trust measures: ability, integrity (credibility, justice), kindness (friendliness, good intention, thoughtfulness), and engagement. There were 28 question items, each answered on a 5-point Likert scale (from 1 to 5: very unlikely, unlikely, undecided, , likely, very likely).

Independent Variable	Masculine look	Feminine look
Male Name (Shèng-bó)	Condition A	
Unisex Name (Yǔ-fān)	Condition B	Condition C
Female Name (Mǐn-huì)		Condition D

Table 2: The combination of gender cues in the four experiment conditions

In addition to the limited dialogue function provided by the chatbot platform, the Wizard of Oz technology was used to allow the experimenter to intervene in the background when needed. In other words, the chatbots were partially controlled by experimenters while participants perceived them to be autonomous. An elaborate script with the possible scenarios in chat commerce was carefully planned. Based on the script, a set of chatbot responses were prepared, so the unseen experimenter in the Wizard of Oz experiment could easily operate chatbots according to the standard operating procedure.

The experiment was a between-group design. 120 participants (60 female and 60 male, age range 20-60.) were equally distributed across the four experiment conditions. Each participant was given an individual appointment for the experiment. Upon arrival, the participant was initially welcomed and explained the purpose of the study. Before the experiment, the participant was asked to identify the gender of

shopping chatbot on a 5-point Likert scale questionnaire. Then, the participant was asked to use a shopping chatbot via FB Messenger, and experience online clothes browsing with a chatbot. Finally, participant was asked to rate his/her subjective feeling about the shopping chatbot according to the experience.

Results

We used factor analysis to confirm the factorial structure and reliability of the questionnaire. After removing some of the inappropriate question items, the results (Table 3) indicates the measure are acceptable validity and reliability. Then we applied t-test to investigate the effect of chatbot's gender on trust measurements from all participants. The results of the t-test are presented in Tables 4. In contrast to previous studied on gender bias towards service robots or virtual assistants, the gender of chatbots did not influence the rated trust from all participants.

Variable	Factor	Cronbach's alpha	No. of Items
Ability	----	0.957*	9
Integrity	Credibility	0.855*	4
	Justice	0.789*	3
Kindness	Friendliness	0.783*	3
Engagement	-----	0.878*	5

*Indicates internal consistency of the set of test items is acceptable

Table 3. Validity and reliability of the questionnaire

Variable	Factor	Item	Male Chatbot		Female Chatbot		T-value	Sig
			Mean	SD	Mean	SD		
Ability		Ab01	3.65	.755	3.55	.769	-0.719	.474
		Ab02	3.87	.791	3.55	.946	-1.988	.049*
		Ab04	3.73	.800	3.72	.922	-0.106	.916
		Ab05	3.37	.823	3.37	.938	0.000	1.000
		Ab06	3.43	.745	3.52	.854	0.570	.570
		Ab07	3.87	.812	3.80	.898	-0.426	.671
		Ab08	3.67	.816	3.72	.739	0.352	.726
		Ab09	3.72	.761	3.62	.940	-0.640	.523
		Ab10	3.53	.929	3.68	.873	0.911	.364
Integrity	Credibility	In06	2.93	.936	2.80	1.086	-0.720	.473
		In07	3.07	.918	2.92	.889	-0.909	.365
		In05	3.95	.811	3.97	.736	0.118	.906
		In03	3.22	.825	3.03	.882	0.242	.242
	Justice	In02	3.57	.789	3.35	.777	-1.515	.132
		In01	3.53	.747	3.45	.746	-0.611	.542
		In04	3.73	.918	3.75	.914	0.100	.921
Kindness		Be05	4.10	.730	4.37	.637	2.133	.035*
		Be09	3.70	.788	3.73	.710	0.244	.808
		Be06	4.10	.775	3.97	.843	-0.902	.369
Engagement		If01	3.57	.722	3.53	.833	-.234	.815
		If07	3.67	.774	3.60	.785	-.468	.640
		If04	3.47	.833	3.47	.650	.000	1.000
		If05	3.80	.798	3.63	.802	-1.141	.256
		If03	3.82	.748	3.77	.810	-.351	.726

*Indicates significant value at the 0.05 level

Table 4. Effect of chatbot's gender on participant's trust in chatbots

We also applied t-test to investigate the effect of participant's gender on trust measurements towards all chatbots. The results of the t-test are presented in Tables 5. As the data shown in Table 5, male participants rated two subscales (credibility and justice) under integrity dimension of trust significantly higher than female participants did, but no difference in ratings of the ability, kindness and engagement dimensions. Thus, the gender of participants did influence their trust in chatbots in part. Then we took a close look at the interaction effect between chatbot gender and participant gender on dependent variables. First, a t-test was used to inspect the effect of participant's gender on trust towards the male chatbots alone. The results showed no significant differences between male and female participants. Secondly, we used t-test to inspect the effect of participant's gender on trust towards the female chatbots alone. As the data shown in Table 6, male participants rated the subscale credibility under integrity dimension significantly higher than female participants did.

Variable	Factor	Item	Male Participant		Female Participant		T-value	Sig
			Mean	SD	Mean	SD		
Ability		Ab01	3.68	.748	3.52	.770	1.203	.231
		Ab02	3.82	.833	3.60	.924	1.349	.217
		Ab04	3.80	.819	3.65	.899	.955	.341
		Ab05	3.47	.929	3.27	.821	1.250	.200
		Ab06	3.55	.811	3.40	.785	1.029	.150
		Ab07	3.92	.907	3.75	.795	1.070	.287
		Ab08	3.75	.836	3.63	.712	.823	.412
		Ab09	3.73	.880	3.60	.827	.855	.394
		Ab10	3.77	.892	3.45	.852	1.948	.054
Integrity	Credibility	In06	3.10	.969	2.63	1.008	2.585	.011*
		In07	3.20	.860	2.78	.904	2.588	.011*
		In05	4.08	.636	3.83	.827	1.792	.076
		In03	3.28	.739	2.97	.938	2.054	.042*
	Justice	In02	3.60	.785	3.32	.770	1.995	.048*
		In01	3.60	.694	3.38	.783	1.604	.111
		In04	3.78	.825	3.70	.997	.499	.619
Kindness		Be05	4.22	.715	4.25	.680	-.262	.794
		Be09	3.65	.709	3.78	.783	-.978	.330
		Be06	3.97	.823	4.10	.796	-.902	.369
Engagement		If01	3.68	.770	3.42	.766	1.902	.060
		If07	3.77	.851	3.50	.676	1.900	.060
		If04	3.48	.676	3.45	.811	.244	.807
		If05	3.82	.770	3.62	.825	1.373	.173
		If03	3.85	.820	3.73	.733	.822	.413

* Indicates significant value at the 0.05 level

Table 5. Effect of participant's gender on participant's trust in chatbots

Variable	Factor	Item	Male Participant		Female Participant		T-value	Sig
			Mean	SD	Mean	SD		
Ability		Ab01	3.57	.858	3.53	.681	.167	.868
		Ab02	3.73	.980	3.37	.890	1.517	.135
		Ab04	3.87	.819	3.57	1.006	1.266	.210
		Ab05	3.53	1.008	3.20	.847	1.387	.171
		Ab06	3.67	.884	3.37	.809	1.371	.176
		Ab07	3.93	.980	3.67	.802	1.153	.254
		Ab08	3.77	.858	3.67	.606	.521	.604
		Ab09	3.77	1.040	3.47	.819	1.241	.220
		Ab10	3.90	1.029	3.47	.629	1.968	.054
Integrity	Credibility	In06	3.10	1.094	2.50	1.009	2.209	.031*
		In07	3.17	0.913	2.67	.802	2.253	.028*
		In05	4.13	.730	3.80	.714	1.787	.079
		In03	3.27	.828	2.80	.887	2.107	.039*
	Justice	In02	3.47	.900	3.23	.626	1.166	.248
		In01	3.57	.774	3.33	.711	1.216	.229
		In04	3.90	.803	3.60	1.003	1.279	.206
Kindness		Be05	4.40	.675	4.33	.606	.403	.689
		Be09	3.77	.626	3.70	.794	.361	.719
		Be06	3.90	.885	4.03	.809	-0.069	.545
Engagement		If01	3.73	.907	3.33	.711	1.901	.062
		If07	3.77	.858	3.43	.679	1.668	.101
		If04	3.50	.630	3.43	.679	.394	.695
		If05	3.80	.805	3.47	.776	1.633	.108
		If03	3.57	.858	3.53	.681	.167	.868

*Indicates significant value at the 0.05 level

Table 6. Effect of participant's gender on participant's trust in female chatbots

In addition, an ANOVA was conducted to compare the effect of participants' age on dependent variables. As the data shown in Table 7, the participants' age did influence their trust in chatbots significantly in most of items, even though the pattern was not clear.

Variable	Factor	Item	20's	30's	40's	50+	p-value
Ability		Ab01	3.67	3.96	3.10	3.34	.003 [*]
		Ab02	3.84	3.92	3.40	3.38	.046 [*]
Integrity	Credibility	In06	2.98	3.00	2.50	2.66	.293
		In07	3.12	3.25	2.50	2.69	.023 [*]
		In05	4.19	3.96	4.00	3.48	.001 [*]
		In03	3.32	3.04	2.50	3.03	.031 [*]
	Justice	In02	3.58	3.54	3.10	3.28	.155
		In01	3.67	3.71	2.90	3.17	.000 [*]
		In04	3.70	4.08	3.80	3.52	.152
Kindness		Be05	4.33	4.63	4.00	3.79	.000 [*]
		Be09	3.70	4.00	3.20	3.69	.038 [*]
		Be06	4.02	4.29	3.90	3.90	.314
Engagement		If01	3.65	3.83	3.20	3.24	.012 [*]

^{*}Indicates significant value at the 0.05 level

Table 7. ANOVA results of effect of participant's age on participant's trust in chatabots

Conclusion

In this study we present the results of an investigation on the impact of gender factor on user perception towards shopping chatbots, focusing specifically on the user's trust in chatbots. Our goal was explore whether the manipulation of chatbot's profile pictures would orientate the perception of chatbot gender and elicit different responses from participants. Based on the previous information, the conclusions of this study are:

1. The visual cues (hair length, eyebrow thickness, and color of coat) on chatbot profile image could significantly affect participants' perception of chatbot gender.
2. The influence of chatbot gender in participants' trust was not statistically significant in on-line shopping contexts.
3. The gender of participants did influence their trust towards chatbots in part. Male participants perceived shopping chatbots more credible and just than female participants did.
4. Male participants tended to give female chatbots statistically higher credibility ratings than female participants (cross-gender effect), while for male robots, male and female participants have little preference.
5. In comparison participants' gender, participants' age has more impact on participant's trust in chatabots.

The results suggests that impact form chatbot's gender alone is not as serious as we expected, when we focus on the perceived trustworthiness of chatbots. Rather, the user's own factors, including gender and age, play a very important role in the perception of trust and even gender bias, and deserve further study.

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Contact email: hcyou@gmail.com

If Philosophy Marries Sociology: Some Reflections on the Innovations they Bring

Türkan Fırıncı Orman, Başkent University, Turkey

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Abstract

This paper aims to analyze the interconnectedness of philosophy and sociology in terms of two newly emergent subdivisions of sociology, namely philosophical sociology and the sociology of philosophy. In the first part, sociology of philosophy is debated based on its strengths and its close relation to the history of philosophy. Especially, as an undisputed pioneer of the field, Collins' work is being reviewed. In the second part, Chernilo's project of a new idea of the philosophical sociology is debated by referring to the main discussion on normativity and humanity, highlighting its potential to reflect on the future of the social theory. Thus, in the concluding part, it is stressed that both subdivisions have substantial contributions to the sociology of knowledge but they have quite different positions when compared theoretically. The comparison is based on their epistemological novelty, ontological positions, theoretical and conceptual foundations, methodologies they apply and, in terms of their understanding of universality.

Keywords: Philosophical sociology, sociology of philosophy, R. Collins, D. Chernilo, social theory.

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Introduction

This study aims to address the multiple aspects of the complex relationships between sociology and philosophy, and mainly their potential openings which they represent in the latest trend of social crises. I thus want to compare two subdivisions of sociology, sociology of philosophy and philosophical sociology in terms of their basic assumptions, problem areas, and theoretical positions. It is mostly agreed now that as Riesch (2014: 30) points many of the old boundaries have become blurred in our era, “with prominent sociologists (for example Latour, 2010) ‘coming out’ as philosophers while prominent philosophers (for example Kitcher, 2001) have started covering the societal element of science”.

In the first part, sociology of philosophy is debated based on its strengths and its close relation to the history of philosophy. Especially, as a pioneer of the field, Collins’ work (1998) as one of the areas of empirical sociology (Heidegren and Lundberg, 2010) and seen as a complete survey of the history of philosophy from a purely sociological point of view (Munz, 2000) is being reviewed. In the second part, Chernilo’s (2014) project of a new idea of the philosophical sociology is debated by referring to the main discussion on normativity and humanity, highlighting its potential to reflect on the future of the social theory. In his attempt to discuss philosophical sociology he intentionally reviewed the early twentieth-century tradition of philosophical anthropology “which is more to see as a systematic inquiry into ‘general concepts’ of humanity and human properties” (2014: 342). And a good example of such position can be seen, as Chernilo (2017:51) points, in Karl Löwith’s work of *Max Weber and Karl Marx* (1932).

It is important to consider that Chernilo (2014) makes it clear that his use of philosophical sociology has little to do with the application of networks analysis to intellectual history, as in Collins’ *Sociology of Philosophies* (1998). He describes philosophical sociology as “a philosophically informed form of sociology” (Chernilo, 2014: 342). Yet, a comparison of these two approaches offering novelty in the sociological thinking and both combining sociology with philosophy could give insights on the current trend in contemporary social theory. Moreover, innovative approaches might also reveal alternative solutions which could transmit us to a long-awaited moral and political consensus in the social sciences.

R. Collins and Sociology of Philosophy: Intellectual Actors on Stage

In his works, Randall Collins presents a quite different position and challenges the traditional sociology of knowledge (Heidegren and Lundberg, 2010: 7) as he thinks philosophical thought and social position cannot be linked without intermediary elements. In order to understand Collins’ account, a brief introduction is necessarily pointing his sociological approach, method, and techniques he employs, and also his original terminology which he introduced within his work of *The Sociology of Philosophies* (1998). The critical reviews are also briefly presented.

Collins conducted a rich, systematic, and empirically grounded account of intellectual change in three civilizations, namely Western, Indian and Asian. The subject of his work is the analysis which he presents as a new theory on social and conceptual networks showing the developmental process in the World philosophies (Hall, 2000:

201). Collins argues that intellectual thinking is an outcome of intergenerational chains of influences that are neither random nor deterministic. Creativity is not facilitated by mere ideas, culture, material base, or by random processes, but is produced in the intersection of external shocks and network configurations.

Looking to the methodology he employs he uses the history of philosophy to test his ideas about the relationship between concrete human interactions and social structure that is, “the relation between what have come to be called the micro and the macro” (Goodman, 2001: 92). He uses his “*micro-macro theory*” of interactional ritual chains in order to explain how broad linkages among *intellectual actors (networks)* create an autonomous arena of discourse or an argumentative community. He synthesizes Goffman and Durkheim to posit multiple intellectual interaction ritual chains which constitute a kind of macro space, and whose rituals are specialized for and meaningful only to intellectuals.

Collins’s view has close relations to the ethnomethodology and conversational analysis. These micro sociologies do not wholly reject macro-sociological concepts, but they attempt to improve on their explanations by reconstituting macro concepts on radically empirical micro-foundations (Goodman, 2001: 92). Macro concepts such as schools of philosophy, cultural capital, opportunity structures, and the like, are used but always with the understanding that they should be translatable into actual interactions between people. Collins’s micro-sociology does not focus on the individual subject; rather, for Collins, the micro is the empirically observable interactions between individuals. Therefore, Collins’s analytical focus is not the individual philosopher but the small social circles that met regularly and that, if successful, became the core of influential philosophical schools (Goodman, 2001: 93).

Fuller (2000: 247-48) who finds Collins account Eurocentric (concluding the Western Philosophy is the most progressive philosophical culture amongst all) in his critical review reveals Collins work with the following features. Collins defined philosophy using its official definitions (e.g. through disciplinary histories) for sociological purposes, self-definitions (philosophical schools) and less of symptomatic definitions (philosophical works). But public definitions are ignored. With regards to ontology, Collins focuses on the progress (or lack) of philosophy as an activity and its autonomy from society as a subject needed to be sociologically explained. Epistemologically speaking, Collins uses narrow reflexivity meaning that philosophy reflects on the logical presuppositions of its claims. Thus, Collins position denies or excludes the wider reflexivity which philosophy reflects on the social conditions of its practice.

Some of the key notions which seem very important in his theory are “*emotional energy (EE)*”, “*interaction rituals*” (IRs), “*law of small numbers*” and “*networks of philosophers*”. The concept of “*emotional energy*” (EE) is only presented in the abstract of his book. He never offers a single concrete case taken from memoirs or diaries of lecture, conference, discussion, or debate where participants describe the sort of emotional content (Goodman, 2000). “EE stands for feelings of confidence, elation, spiritual strength, enthusiasm and power of initiative. People with high EE are therefore enterprising and possess self-confidence” (Heidegren and Lundberg, 2010: 8). The emotions associated with ritualized group interactions constitute micro-mechanisms that explain the patterns of actions that make up social structures

(Goodman, 2001: 93-94). Collins calls these encounters “*interaction rituals*” (IRs). They generate the central features of social organization—authority, property, and group membership—by creating and reproducing binding cultural symbols and associated emotional energies. Collins (2000: 159) thinks the objects of the common focus of attention in a successful IR become symbols representing membership; individuals can carry these symbols with them as reminders of the group’s intensity and as personal batteries for EE. Collins does provide us with many examples of interaction ritual chains in philosophy (Goodman, 2000).

Collins’s study suggests that only three to six active philosophical schools are able to reproduce themselves for more than one or two generations. He calls this the “*law of small numbers*” (Collins, 1998: 81-82; Goodman, 2001: 95). The number of schools of thought that reproduce themselves in the following generations is on the order of three to six: the lower limit because the minimum of argument, two positions, usually generates a third as plague upon both houses; the upper limit because beyond this, additional positions lose visibility and cannot recruit followers to carry their memory to the next generations. When the upper limit is violated, the next generation experiences a collapse and amalgamation of schools (Collins, 2000: 164). “Given that creativity is a process fraught with conflict, the number of philosophical schools will necessarily exceed one. If only one position dominates the field, as depicted, philosophy stagnates” (Heidegren and Lundberg, 2010: 10).

Collins’ intellectuals consist of concrete groups of friends, discussion partners, teachers, students, etc. It is in small, closed, “*networks of philosophers*” and intellectuals that ideas are born and tested. These groups are oriented towards other similar groups within the philosophical attention space – not towards a political or social public. It is thus a mistake, according to Collins, to trace philosophical thought back to socio-political or cultural factors. Instead of being reflections of, for example, class interests, the Protestant spirit or male/female thought is determined by the rivalry between groups within the philosophical field (Collins, 2002: 48). When an intellectual tradition or an academic subject has started to produce its own symbols, tools and research questions, these can no longer be explained on the basis of general cultural or socio-political factors. They have already left society behind them (Heidegren and Lundberg, 2010: 8). The most influential innovations, according to Collins (2000: 164) occur where there is a maximum of both vertical and horizontal density in the networks, where creative conflict builds up among unbroken chains across the generations so that the famous ideas become formulated through the mouths and pens of a few individuals.

Even though each civilization Collins discuss is molded from different starting-point, and thus contains a distinct developmental path, the general principle of intellectual change through vertical and horizontal networks is universal. It contains two inter-linked patterns 1. Stratification, and 2. Solidarity along emotionally charged specialized symbols representing membership in intellectual networks. Diverse vertical intergenerational sequences and horizontal disputes with contemporaries define the parameters of the intellectual discourse. Without these intellectual networks, human knowledge can be destroyed for ages. According to Collins prolific philosophers are products of these circles of creativity and of chains of significant teachers and students. As depicted earlier, the main function of these groups is not cognitive but rather emotional.

Criticisms posed on Collins' Account

Collins (2000a: 299) himself, summarizes the criticism towards his account into two main camps: Those who find his approach too sociological, losing the central character of philosophy and progress toward truth, and those who find his analysis too close to Whig history, caught within the views of the contemporary philosophical establishment, not sufficiently constructivist or pluralist. And alternatively, some critics find his internalist analysis of intellectual networks problematic and they would like to put more emphasis on the traditional externalist sociology of knowledge. Some specific comments are exemplified in the following:

- “Collins’s sociological view of philosophy is completely and, I might add, extravagantly formal. The contents do not count, and the sociology is conceived entirely in terms of who knows whom, that is, it is a study of the formal links between practitioners of the art or craft of philosophy” (Munz, 2000: 208-209).
- “The key element lacking in Collins’s account, I shall argue, is a clear notion of intellectual progress. This puts me at odds with Collins’s historical sociology since he makes a sharp disjunction between philosophy and science” (Jarvie, 2000: 274).
- “He tends to exaggerate, to overstate his claim by saying that nothing but networks matter. This will not do. Other theories and the realities that they describe are not really given a proper hearing” (Hall, 2000: 203).
- “While Collins’s macrosociology of knowledge provides important insights into the role of conflict in an intellectual field, his microsociology is more problematic. In particular, Collins’s micro theory ignores the fundamental importance of social interpretations. This leads him to use a vague and unproductive notion of emotions” (Goodman, 2001: 92).

D. Chernilo and Philosophical Sociology: Humanity in Question

In the case of philosophical sociology Chernilo (2015) thinks the main intellectual source for the idea comes from philosophical anthropology. A second insight for the idea comes from Max Weber’s lecture on *Science as a Vocation* (1970). Weber contends that sociology can make a contribution to public debates by unpacking the various practical and indeed normative implications of different policy options. “By means of its expert empirical knowledge, sociology can cast a critical eye on what is exactly being advocated, both in normatively and in practice, in particular instances” (Chernilo, 2015: 5).

In order to understand Chernilo’s account and its strengths a brief introduction is necessary by presenting the main problem of his thought, his sociological approach, and also the key themes he has introduced within his works of *The Idea of Philosophical Sociology* (2014) and *Debating Humanity: Towards a Philosophical Sociology* (2017). Chernilo (2014) debates the contemporary sociology and degeneration of the institutions has two problems: First, one underlying common theme to all these crises refers to the problematic location of the normative in social life. For him the normative is not the central sphere of social life – it arguably never was – but nor is it possible to conceptualize the social without it.

Thus, Chernilo sustains the idea of philosophical sociology on three main pillars: (1) a revalorization of the relationships between sociology and philosophy; (2) a universalistic principle of humanity that works as a major regulative idea of sociological research, and; (3) an argument on the social (immanent) and presocial (transcendental) sources of the normative in social life (Chernilo, 2014).

In his work Chernilo (2014) refers to the German sociology to the first and good examples of the philosophical sociology which argued partly normativity and epistemology within the sociological theory in such as Tönnies discussed ethical and good conduct of life (2015) or Simmel (1909) putting the concept of philosophical anticipation which differentiates sociology from its mere scientific contributions by having metaphysical dimensions. But his strongest reference is to Löwith's work of *Max Weber and Karl Marx* (1932), debating that both sociologists investigated "what is it that makes man 'human' within the capitalistic world" (Chernilo, 2014: 343). And Löwith (1993) simultaneously offered a new kind of sociology that empirically informed and normatively oriented, and this is why they are seen as philosophical sociologists.

Chernilo (2014: 345) has pointed out the universalistic principle of humanity. He thinks the status of the shared humanity should be philosophically and normatively grounded. For this purpose, he differed three main ways in which conceptions of the human have actually operated in sociology's history such as "*substantive*" (eg. theories of Marxism, Psychoanalysis, Utilitarianism, theories of power and theories of language which may end up with monistic accounts of human nature rather than an abstract principle of humanity), "*teleological*" (eg. theories of evolutionist, modernizing, historicist and dialectical approaches focus on the establishment of the progressive social order, as Jews, Slavs, slaves, blacks, women, children- have been placed outside the human family) and "*counterfactual*" theories (eg. Margret Archer's explicit call for the clarification of contemporary sociology's principle of humanity). With the reference to the counterfactual theories, the principles of humanity, Chernilo concludes, makes apparent that sociological research treats all human beings as equally equipped for the creation and recreation of social life. "It is human rather than socio-cultural empathy that makes sociological work possible" (Chernilo, 2014: 348). In summary, Chernilo argues that sociology's principle of humanity is conceptually, methodologically, and normatively universalistic in character.

Chernilo makes an argument on the social (immanent) and pre-social (transcendental) sources of the normative in social life. The debate on Bendix's thoughts leads Chernilo to say that we mistake the relative independence of human nature vis- a- vis social factors for reductionist ideas that only consider humanity's irrational elements and we end up with conceptions of both the social and the human that are wholly devoid of normative content. In relation to this irrationalism Chernilo analyse contemporary sociology and finds it problematic as there are two accounts regarding the normative in social sciences, which are non-normative understanding of the normative (reducing the normative to what people think the normative is) and militant positions (anticipating rather than explicitly pursues normative self-clarification) that are highly normative in orientation. In both cases, mainstream sociology has grown skeptical of its own ability to think normative as normative. Paradoxically constructivism, postmodernism, postcolonialism, and globalism all contribute to advance or criticize normative questions with their anti-positivistic arguments.

Chernilo (349) discuss Weber's (value-free social science) and Bourdieu's positions (less powerful actors ought to be favored against those of more powerful ones) within this context and finds both problematic.

Some of the key themes which seem very important in Chernilo's theory are "*humanity*", "*post-humanity*", and the "*sociology of human rights*". Chernilo in his *Debating Humanity* (2017) points out that "all good sociological questions are, in the last instance, also philosophical ones". Sociology and philosophy always had a close but problematic relation. The early sociological imagination was very much embedded in the philosophical debates of its time such as Marx, Simmel, Tönnies. In order to see that sociologists need to know more philosophy, the interconnectedness between sociology and philosophy then becomes visible. Weber, Marx or Simmel, they both accepted and rejected the significance of philosophy vis-a-vis sociological research. And the future prospect of sociology is similar to the historical one. Just there is, of course, much social theory debate (Chernilo & Beer, 2017).

For him, the core dimension of being human (say *humanity*) is our unique ability to acknowledge each other as humans through normative ideas, practices, and institutions. This is a fundamental social fact. Secondly, imagination is important as human reflexivity gives us the ability to create new practices institutions and ideas: The imagination as the ability to envisage stuff that is actually new. It is our normative imagination which gives us the ability to create new forms such as human rights. In his book Chernilo (2017) presents a selection of writers. Starting from Sartre and Heidegger, the following chapters focus on post 2nd World War writers such as Arendt in the 1950s and 60s, Parsons in the 1960s and 70s, Jonas and Habermas in the 1970s and 80s, Taylor in the 1990s, Archer and Boltanski after the turn of the century.

Chernilo thinks (Chernilo and Beer, 2017), we see the normative dimensions of social life is dependent upon conceptions of the human are not always or necessarily articulated in full. The ways in which we grant rights to each other, the ways in which we construe justifications for our social arrangements, the ways in which we evaluate whether certain practices or institutions are acceptable or not, all these normative issues are the ones that are construes around ideas of the human (Chernilo and Beer, 2017): He points that only a universalistic conception of the human is adequate for the purposes of sociological research, and more importantly, as normative standpoint: empirically, this is the case because the human potentials that we now have in the 21st century are, if not the same, at least wholly comparable with those of 2,000, 3,000 or 5,000 years ago: the linguistic, social, emotional and bodily skills that constitute us as members of the same species. Conceptually, this is also the case because fundamental social relations such as competition, cooperation, hierarchies, solidarity, violence, etc. are again universals that we found in all known human societies; and, normatively, this matters because sociology has a core critical edge that favors those emancipatory values, practices, and institutions that open up spaces that had been closed before for particular groups.

With regards to the debate on "*post-humanity*" Chernilo (2014: 340) thinks post-social and indeed post-human standpoints embracing premature with the following words: "I should rather suggest that we are not in a position to make such claims not least because we still do not fully understand the role that ideas of humanity and

human nature have actually played within sociology. In turn, this exploration may help us account for sociology's difficulties in understanding the normative."

Chernilo (2017), also questions the implicit notions of the human (of *the Anthropos*) that are being mobilized in the Anthropocene debate. From the geological point of view in various disciplines of natural sciences, humans are a new geological epoch that is dominated by human activity: humans are agents with the demonstrated ability to fundamentally alter the normal cycles of nature. This debate emerged in the past 15 years and recently is also available in social sciences and humanities. The vision of the future that the Anthropocene portrays is fundamentally dystopian claiming that natural resources are depleted in a way that human life is being questioned. Chernilo and Beer (2017)- discuss that the slavery, torture or extreme poverty univocally and universally are wrong. Ideas of justice, fairness or freedom – are in need to be defined- do not hold unless we uphold universalistic ideas of humanity. For Chernilo, this is the main difference he has with posthumanism, poststructuralism, and postcolonialism of all kinds, they all reject the possibility of a universalist concept of humanity. For Chernilo their ideas of justice of fairness and equality are reduced to strategic bargaining (e.g. Bourdieu), positionality (postcolonialism) or power relations (Foucault).

Chernilo discusses the artificial intelligence and he says this is not his central concern. 19th century it was machine driven physical power; in the 20th-century cybernetics in the 1940s to the ideas of the information society in the 1990s, it was information-processing machines that were to enhance human, and now in the 21st century the argument is that genetically-enhanced nature and indeed computer-generated intelligence which is thought to alter human predicament. This is the wrong way of thinking for Chernilo (Chernilo and Beer, 2017). The correct way is to seek an improved understanding of the set of anthropological features that remain stable in the human makeup. As technology is the fundamental link between nature and society, it has always played and continue to play a key role in the ways in which humans see themselves. For Chernilo, transhumanist utopias (carbon-free and free from disease-and-death ideas of humanity become realized) are more like dystopias, exaggerated claims of radical transformation of the human.

Chernilo (2015:5) also criticize the Bruno Latour's (2013) discussion on the illusion of humanity and the claim that there is a need to a new ontology which can do without the distinction between humans and nonhumans. Chernilo finds Latour's philosophical result of his investigation even more reductionist ontology that allows only for the networks.

Lastly, it is important to stress that Chernilo (2014:351) finds it important to discuss the connection of the "*sociology of human rights*" with the enlightenment and the natural law tradition and to stress the importance of the human dignity. The relativistic challenge is that like all social institutions human rights are socially constructed. And their insufficient practical purchase and only partial success in terms of their normative standards. The contribution of philosophical sociology lies here in unpacking the interconnections between their anthropological grounding in a principle of humanity that remains pre-social and their social-cultural actualization. Thus, the normativity of human rights can only be justified in relation to a universal but is lived and actualized in the particulars of our actually existing polities; their normativity is immanent because they are only exercised in society but it is also transcendental in

terms of our innate ability to recognize others and ourselves as members of the same human species.

Conclusion

It is concluded that both subdivisions have substantial contributions to the sociology of knowledge but they have quite different positions when compared theoretically. The comparison is based on their epistemological novelty, ontological positions, theoretical and conceptual foundations, methodologies they apply and, in terms of their understanding of universality (See Table 1).

Collins intends to use the history of philosophy to test his ideas about the relationship between concrete human interactions and social structure. He is also criticized by some who find his analysis too close to Whig history. With his tendency to embrace Weber, Marx, Durkheim, Goffman, Mead, network metaphors, mathematical sociology, and historical sociology, Collins's general view is diachronic in this respect. Yet, when we think about the implications of his theory the *universality of horizontal a vertical intellectual networks* that he offers could give new insights in our era in which technology (such as neural networks, deep-learning, big data debates, digital identities, new forms of information- quantum, and etc.) is getting more and more interconnected with human's (and nonhuman's) behavior and is one of the most important in shaping societies.

Feature	Collins	Chernilo
General View	Diachronic	Futuristic
Description of Philosophy	Formalistic towards philosophy	Contextual towards philosophy
Ontology	Philosophies (Thought)	Normativity (Ethics) and Humanity
What sort of analysis	Weber, Durkheim, Macro-Micro	Philosophical Sociologists: e.g. Weber, Marx, and Etc.
Methodological Approach	Quantitative	Qualitative
The dominant standpoint	SOCIOLOGY: From sociology of knowledge to the sociology of philosophies	PHILOSOPHY: From philosophy of knowledge to the philosophical sociology
Universality	Universality of horizontal and vertical networks	Universality of humanism and a human nature.

Table 1. Theoretical Comparison of the Sociology of Philosophies and the Philosophical Sociology.

On the other hand, we can posit Chernilo's view as futuristic in some kind. Chernilo says he is not keen on embarking on speculative futurology in terms of trends that may be reshaping our notions of the human. But we can certainly see some powerful challenges in the ways in which we see and treat each other as humans. On the negative side, there are wars, patterns of forced migration, natural disasters and the persistence of extreme forms of poverty and coercion. On a more positive note, we find the democratization of technology, growing life-expectancy or increased literacy. It is perhaps in the unanticipated interaction between these forces, and their

exponential cycles of reproduction at unprecedented speed and globally, where the future transformation of the human may lie.

Thus, for Chernilo we do indeed need to reflect on post-human cyborgs, non-human actants, material cultures, and biopolitical transformations, and we may eventually have to redefine our ontologies of the human and the social accordingly. But philosophical sociology offers the reminder that, first, we still do not fully understand what human beings are vis-à-vis our conceptualizations of the social and, secondly, that all these insights matter on the basis of prior and systematic human intervention; we care about them because of their consequences on human and social life.

Finally, it could be said that both subdivisions offer a dual approach, both scientific (sociological) and philosophical although having opposing methodological approaches, different standpoints, and quite differing ontologies. With the reference to their potential implications and themes they refer to, I believe the future very much lies before these innovative theories.

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Contact email: turkanfirinci@gmail.com

Revisiting Industrial Policy and Strategic Coupling Strategy Under the Era of Hyperglobalization

Chean Chung Lee, National University of Singapore, Singapore

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Abstract

In a more independent and interdependent world, it is suggested that in order for states to be successful in economic development, one has no choice but to connect with the world capitalist economy. Although there is no explicit law enforcing this rule, Khong (2018) argues that the experience of the last sixty years provides a clear answer, and even a “tested maxim” that in order for nations to climb the ladder of economic prosperity, the only way is to link up with the world capitalist economy. However, as opposed to “passive integration”, it is suggested that “active strategic integration” will be a better option to protect the negative offshoots of hyperglobalization. What level of “activeness” is considered appropriate? How “strategic” should it be to reap the benefits of global economy while not suffering as much from the adverse impacts? This paper aims to provide a critical review on globalization, and further elaborate different strands of “active strategic integration”, namely industrial policy, strategic coupling, and counteracting premature deindustrialization.

Keywords: Hyperglobalization, Industrial Policy, Strategic Coupling

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INTRODUCTION

Globalization

Globalization which, for economic discussions purpose, often refers to free circulation of capital, labor, goods and technology across national boundaries (Molanovic, 2012). The Institute for Public Policy Research (2012) suggests three categories of globalization: the first stage (First Globalization) between 1870 and 1914, Second Globalization began after World World II until the latest financial crash (1944- 2009), and what we experience now is the Third Globalization.

There is also another categorization coined by Rodrick (2018, p.28): Hyperglobalization. It refers to the phenomena since 1980s on ‘extensive economic integration and limited political integration’, as well as ‘the attempt to eliminate all transaction costs that hinder trade and capital flows’. Hyperglobalization represents a major shift from the Bretton Woods rules to Washington Consensus policies, which gained momentum in the first half of Second Globalization. Under hyperglobalization, trade rules were extended tremendously to cover non-trade areas like intellectual property and sanitary standard that what were previously considered to fall under the domestic policy category. This shift has dramatically increased trade, financial openness and capital flow, but also significantly weakened local governance mechanism and state sovereignty.

One has to be mindful that globalization can be an inter-subjective term as a result of different collective experiences of growth. Piketty (2014, p. 98) reminded this by explaining that “public opinion in different countries varies so widely in regard to commercial and financial globalization and indeed to capitalism in general”. It is under this context that, in order to address issues pertaining to globalization (and hyperglobalization) in a meaningful way, we have to discuss the multiple dimensions of globalization, namely knowledge, trade, labor, FDI, capital market, and perhaps others.

Many economists argue for globalization. They claim that free trade and financial liberalization can allocate resources more efficiently, thus reduces overall costs and raises productivity. International trade under the global capitalism system, in essence, has reduced poverty and promoted (and still promoting) economic growth in many developing countries. The proponents also argued that free trade can help create jobs, make companies more competitive, and lower prices for consumers (Collins 2015).

Also on a positive note, Stiglitz (2004, p. 470) opined that globalization of knowledge topped the list as the strongest force for growth in emerging markets. This is because it transfers both technical knowledge and ideas on policies as well as institutions to developing countries. Not so much on globalization on capital flows, he opined. FDI that will stay longer is probably more positive, bringing not only capital, but also technology, institutions, management knowledge, foreign market, and expatriates.

However, the rest of the elements of globalization are far more controversial. Liberalization of short-term capital flow has been the most contentious aspect of globalization. The recent 2008 global sub-prime crisis, and even dated back to the Asian financial crisis, can be attributed to uncontrolled liberalization of capital flow.

Liberalization of trade, while often applauded for bringing growth to developing countries, have serious setbacks. While developed countries enthusiastically pushed for reducing trade barriers, they are often spared from doing the same. At the same time, lowering trade barriers from both sides will give comparative advantages to developed countries in gaining access to commodity and market of the developing countries more easily than the latter do.

Globalization of labour is less discussed. In principle, believers of global efficiency in capital flow should also endorse free flow of labour from areas of low productivity to areas of high productivity. However, the agenda of free capital and goods flows are overemphasized, while the mobility of labour hardly mentioned. 'The fact that the globalization agenda has focused on the free movement of capital, and virtually ignored the movement of labour, reflects in part who is controlling the agenda' (Stiglitz 2004, p. 471). As a result, it is not uncommon to see growing skepticism towards current form of globalization.

After recognizing different dimensions of globalization, now we shall examine how globalization affects growth of developing countries in different ways. Stiglitz (2004, p. 473) argues that mass capital liberalization destroys more jobs in developing countries than creating them. Conventional theory of comparative advantages believe that resources will move from low productivity uses to high productivity uses, thereby making everyone better off.

However, jobs are not created overnight. It requires a recipe of conducive business environment, low risk and low cost of capital. Globalization and uncontrolled flow of capital will not guarantee a positive climate for business, but aggravate them. Rodrick (1997, p. 4) further suggests that reduced barriers to trade accentuate the asymmetry between groups that can cross international borders, namely owners of capital, highly skilled workers and professionals, and those that cannot. Unskilled and semiskilled workers and most middle managers, who belong in the second category, bear the brunt of globalization. Therefore, removing jobs in protected industries do not necessary creating new and productive jobs, but often lead to unemployment.

Second, globalization results in higher financial and business risks. Indeed, 'the anticipation of risk itself has adverse effects' (Stiglitz 2004, p. 474). As mentioned earlier, higher risks will fetch higher premium in terms of capital cost, thereby adversely affecting job creation and entrepreneur ventures.

Third, capital flows may not translate into more growth. Instead, it will cause the appreciation of currency, and possibly inflation. Cases in some countries where empty properties crowded out real domestic investments, but local people find it harder to survive with higher property cost are some good examples of adverse effect to growth.

Fourth and the most important impact - the loss of sovereignty over monetary policy, financial institution and management over social capital. International financial organizations, notably International Monetary Fund (IMF), World Bank and World Trade Organization (WTO), impose non-financial terms and constraints that are lacking political legitimacy. Certainly trade has implications on domestic norms and social arrangements that embody them. 'Globalization becomes contentious when a local workplace practices, legal rules, environmental standards, and social safety nets

are undermined' (Rodrik 1997, p.31). As a result, the solution that is not political sustainable will undermine social cohesion, especially in developing countries where prevailing identity politics is still predominant with existing social cleavages. In long term, that will create political and social instability and further impede growth.

Because of the reasons stated above, globalization is apparently a double-edge sword for the developing countries. On the negative side, globalization has been vilified for increasing poverty, resulting in job loss, and even impeding growth. This relates to our hypothesis: Is participating in global economy the only way out? The answer is self-explanatory: other options are much worse. Just to name a few, South Korea, China and Vietnam were in economically dire situation before the opening up of their economies. North Korea remains so until today.

However, not all countries that embrace world capitalist economy are successful. While central planning evidently fails, unrestrained opening of free market recurrently lead to dismal results. The growth of Argentina and many Latin American countries slowed down after following the liberalization prescriptions of neoliberalism (also known as Washington consensus). In Sub-Saharan Africa, the growth prospect is even bleaker. On the other hand, many East Asian countries, notably Japan, Korea, Taiwan, China and Vietnam managed to integrate themselves into world economy while retaining high growth. It ponders us to ask, what went wrong and what went right? What is the best way to deal with the negative impacts of globalization yet able of reaping benefits from it? Here, three instruments and scenario, namely industrial policy, strategic coupling and the phenomenon of premature deindustrialization will be discussed.

Industrial Policy

Industrial policy is one of the instruments for strategic integration into the world economy. Chang (2003, p. 112) defined industrial policy as 'a policy aimed at particular industries (and firms as their components) to achieve the outcomes that are perceived by the state to be efficient for the economy as a whole'. The impressive developmental stories in Japan, Korea, Taiwan and Singapore can be attributed to deliberate state interventions via active industrial policy. All of them deployed a 'set of policies to deliberately change the market prices and production priorities' (Singh 1998, p. 71), and enabled the 'national champions to overcome their latecomer disadvantages and to achieve economies of scale in domestic and international competition' (Yeung 2016, p. 6).

Chang (2003, pp. 46-52) argued that there are three strands of beliefs on the role of the state: welfare economics, neoliberalism and institutionalism. Welfare economics focuses on the market failure and its inherent consequences: monopoly, externality and inadequate public goods. Standing at the opposite side of welfare economics, neoliberals believe that extending the role of the state beyond its minimal functions of providing basic security, rule of law and support for free market are a form of tyranny. Besides that, state intervention in a complex modern economy is simply impossible and better leave it to the 'spontaneous' order of the market. Also, due to principal-agent problem, state intervention is likely to create allocative inefficiencies, rent-seeking attitude and eventually government failure.

Institutionalism differentiates welfare economics and neoliberalism by explaining that the ‘success of an economy depends on an array of economic and political institutions, of which the market is only one, if a very important, component’ (Chang 2003, p. 46). While the critique of the neoliberals on welfare economy have provided some important reflections, it has failed to address why some states can be so successful by adopting the institutionalist’s industrial policy. Indeed, both welfare economy and neoliberalism strands believe in the institutional primacy of market, which the latter does not. Market is only one of the many economic institutions. Institutionalism explicitly recognizes the role of the state as the ‘designer, defender and reformer of many formal and informal institutions, while taking seriously the political constraints on the effective exercise of such a role (Chang 2003, p.52).

Nevertheless, World Bank (1993) claimed that the East Asian miracle was not due to industrial policy, but market-friendly strategy adopted by these countries. However, overwhelming evidence shown that these countries did not follow the doctrine of market-supremacy - taking a hands-off market-friendly approach and leaving prices and priorities to be determined by the market. Ajit (1998, p. 70) listed down a wide array of interventionist instruments used by these countries:

- import controls;
- control over foreign exchange allocations;
- provision of subsidized credit, often at negative real interest rates, to favoured firms and industries;
- control over multinational investment and foreign equity ownership;
- heavy subsidization and ‘coercion’ of exports, particularly in South Korea;
- a high active state technology policy;
- restrictions on domestic competition and government encouragement of a variety of cartel arrangements in the product markets;
- promotion of conglomerate enterprises through mergers and other government measures (again particularly in South Korea);
- wide use of ‘administrative guidance’, indicating non-transparency of government interventions.

Obviously, the experience of these countries ‘is certainly an argument against laissez-faire; nor does it provide any support for “command” planning of production of the Soviet-type, which in effect supplants the market together’ (Ajit 1998, p. 71). This reaffirmed the case of successful industrialization using the industrial policy approach. Rather than stuck into the conventional ways of welfare economics or neoliberalism, elites of these countries focus on the role of the state and how institutions are arranged and prioritized to achieve its economic development goals.

What are the advantages of industrial policy? Chang (2003, p.113) suggests that state can play the role as the manager of conflict and as an entrepreneur. It is argued that new modern industrial economies require large fixed investment, or scale economies. Firms’ considerations for competition will result in the case of under-investment (insufficient entry) or over-investment (price war), therefore justifying the needs for state to intervene in ensuring optimal participation. To overcome this, states as the manager of conflicts can use industrial policy tools, such as regulating entry license, providing limit for production and expansion, and offering negotiated exits to keep its production at optimal level.

Of course, it is not easy to arrive at which level is optimal. However, just as there is government failure, there is also market failure. In the modern complex economic system, where the factors of production are 'interdependent in use but dispersed in ownership' (Abramovitz 1986, p. 402), coordinated efforts are ever more desirable to bring effective structural change. It is at this context that state can play the role as central agent in providing a vision for the future – hence the important of state as an entrepreneur.

Under the age of globalization with growing influences of Multinationals Corporations (MNCs) and foreign direct investment (FDI), is industrial policy still relevant? While it is true that FDI and MNCs are playing an increasingly important role under the wave of globalization, it does not mean that states should forego its coordination and entrepreneurial roles under the guidance of industrial policy.

To begin with, what is good for MNCs is not necessary good for the host country. MNCs are investing in a state for profits. The predatory nature of MNCs will cause them to maximize profit extraction and repatriation to their original headquarters, which can be easily done via transfer pricing or royalty payments. MNCs will also tend to keep high-level activities such as R&D in their home country, thus preventing positive spillover effect expected by the host country.

Apart from that, many successful developmental cases using FDI are not as it claimed. A number of countries in East Asia, while not against hosting FDI in certain areas, have had rather restrictive policies toward FDI. Singapore heavily relied on MNCs, but deliberately directed FDI toward government-designated priority sectors (Chang, 2003, p.252). Korea adopted a selective strategy on FDI by only targeting at strategic sector. As a result, as of mid-1980s, only 5% of the MNC subsidiaries in Korea were wholly owned, compared to more than half in Mexico and Brazil (Evans 1987, p.208). At the same time, Malaysia that had fairly liberal attitudes toward MNCs and one of the most favorable destination of FDI in the world, now suffered prolonged economic slowdown. Malaysia is likely to find it difficult to move into more sophisticated industries that will help it sustain long-term growth (Lall 1995, p. 771).

Strategic Coupling

While industrial policy has influenced the growth and development in East Asia countries significantly, it is perhaps more relevant to rethink the role of the state in a more complex, globalized and interconnected world. In the 1970s, it is largely the industrial policy that has driven the growth of state-nurtured firms to become national champion. The success of Samsung, Hyundai, Hon Hai and STC are certainly the results of their states' relentless efforts to promote export-led industrialization. Today, contrary to institutionalists' view, there is a counter-argument that the best time for industrial policy might be over.

Apparently, as these firms have grown to be more international, there were more away from their home states. Starting in 1980s, the firms slowly enjoyed more autonomy and no longer dependent on state support. At the same time, states find it more confined to provide sufficient support to the firms as they grow bigger and more global. Additionally, as another force - globalization began to set in East Asia, big national firms can now connect themselves to the global production networks, which

in turn sustains their growth and expansion. In today's world, firms are no longer necessarily owe their new competitive advantage to policy intervention by their home developmental state.

Therefore, instead of the all-powerful developmental states that were steering growth in the early days, there is a need to reframe this state-centric thesis into firm-specific narrative. National firms are no longer the by-products of the developmental state, but active actors with stronger autonomy, developed organizational and established own decisions.

In view of that, Yeung (2016) argues the developmental state approach is becoming increasingly obsolescent in the post-1990 context. 'Its predominant focus on state initiatives and capacities in early industrialization has rendered itself locked-into a conceptual path dependency premised on seeing the economy and its key agents (firms) through the state and its political choice. Its ability to provide insights into the rise of East Asian firms in the global economy become handicapped by its analytical baggage of state-centrism'. (Yeung 2016, p. 15)

Therefore, to respond to the dynamic articulation of East Asia economies into the global economy, new lens are required to provide new insights. Instead of industrial policy, it is the 'strategic coupling' instrument that these firms have adopted to continue their growth in the age of expanding global production networks.

To untangle this concept, it is referred that 'by "strategic", it affords greater analytical significance to firm-specific initiatives, such as technological innovation, capacity building, international market development, and so on. By "coupling", it refers to the dynamic relational process through which national firms decouple partially from domestic political-economic structures – developmental states or associated institutions – over time and couple with lead firms in global production network'. (Yeung 2016, p.4)

An example of this is how the global production network of iPhones. In 2015, the contract of assembling 700 million iPhones was given to Foxconn Technology. Hon Hai Precision Industry, Foxconn's parent company is the creation of Taiwan's successful industrial policy. However, most of the production lines of Foxconn today are situated in Mainland China and not Taiwan. It is harder to tell how Taiwan's developmental policy can benefit Hon Hai today.

On the other hand, Samsung from Korea has shipped more than 837 million phones to users worldwide in 2013-2014 period alone, surpassing Apple to be the largest smartphone vendor in the world. Samsung, the largest chaebol in Korea today, is also a beneficiaries of the domestic developmental state with institutional, political and financial support. According to Yeung, organizationally fragmented and spatially dispersed production networks constitute a new form of economic structure, one that underpins today's complex global economy and its uneven developmental outcomes (Yeung 2016, p. 1). Therefore, it is the strategic coupling, and not industrial policy, that have explained how these firms continue its growth trajectory today.

Phenomenon of Premature Deindustrialization

Here is another thought: Industrial policy might be successful in the past, but it is increasingly difficult in the face of globalization. In the East Asian cases, manufacturing is the main engine of productivity and economic growth. Manufacturing allows rapid economic catch-up because its high-productivity nature and its production technologies are relatively easy to be imported, as compared to the limitation in agriculture and service sectors. Research of Rodrik (2018, p. 80) shown that manufacturing industries will ‘close the gap with the technology frontier at the rate of 3 percent per year regardless of policies, institutions, or geography’.

While the discovery on the miracle of manufacturing seems to be a good news for many aspired developing countries, the bad news is, it is more difficult to duplicate the success of the development pattern of these countries using industrial policy today. The predicaments are the effect of globalization and technological progress.

As Rodrik’s (2018, p.90) argues, ‘rapid global technological progress in manufacturing has reduced the prices of manufactured goods relative to services, discouraging newcomers in developing countries from entry’. The advancement of technology is making manufacturing more capital and skill intensive, and less labor-dependent. These factors, combined with increased trade from China and other exporters to the rest of the world, has suppressed the likelihood of poor countries to develop simple manufacturing. The reason is simple: why produce ourselves as we can get the imported goods cheaper in the market?

As a result of these combined forces, percentage of contribution from the services industry compared to manufacturing has increased over time. However, most of the service jobs created are from the low-end petty services. The development process without going through proper industrialization (which primarily propelled by manufacturing activities) is worrying as it has pulled the overall productivity downward. Premature deindustrialization has affected Brazil’s manufacturing employment to peak at only 16 percent and Mexico at 20 percent, far from the early industrialized states of over 30 percent (Rodrik 2018, p. 90).

As more economic growth will come from the service economies, it is clear that it will be more challenging for policy makers to craft the future path of development. Do they have to focus on wider investment in human capital and education so that more quality service jobs can be created? How to have selective industrial policy when growth is now anchored on non-tradable services? Will the recent trade war between US and China unleashes the much needed domestic manufacturing potentials, hence rejuvenates the industrial policy tools?

CONCLUSION

It is not easy for states to win the game of economic development. Strong evidences have shown that in order to enjoy the fruits of development, states have to participate in the world capitalist economy. However, effects of globalization such as free flow of capital, disproportionate comparative advantages, profit-minded FDIs, restrictive movement of labour, and unfair trade practices are detrimental to domestic growth. If you run for help from the Bretton Woods Institutions – IMF, World Bank and WTO,

they will impose policy changes – often to further liberalize market and capital flow, which in turn are leaving states with even limited political and policy choice. In post-1998 Asia financial crisis and 2008 global credit crunch era, states are more aware that unconditional participation in neoliberalism world order will be self-damaging.

In fact, Chang (2014) argues that British and the US, the two strong advocates for free market and free trade, were the fervent users of interventionist industrial policy measures in their early age of development few centuries ago. Started in the fourteenth century, British protected its infant woolen textile industry through import tariffs. The government intervention was even stepped up in the sixteenth century when Robert Walpole, Britain's first prime minister, launched a wide-ranging industrial development program. 'It provided tariff protection and subsidies (especially to encourage export) to strategic industries' (Chang 2014, p. 60).

Likewise, Alexander Hamilton, the first treasury secretary of the US, argued that the government of an economically backward nation, such as the US (at that time), needs to protect and nurture 'industries in their infancy' against superior foreign competitors until they grow up (Chang 2014, p. 62). This protectionist policy lasted the next hundred years, until the Second World War.

History has revealed that both British and the US benefited enormously from their protectionist and interventionist approach of economic and industrial policy. However, once they have attained economic supremacy over others, they liberalized the economy and trade. Not only they have done so, they even impose free trade, liberalization and unfettered globalization to others for their own benefits. Chang (2003) claimed that this is a way of 'kicking away the ladder':

'The historical picture is clear. When they were trying to catch up with the frontier economies, the Now-developed Countries (NDCs) used interventionist trade and industrial policies in order to promote their infant industries'. 'If this is the case, the current orthodoxy advocating free trade and laissez-faire industrial policies seems at odds with historical experience, and the developed countries that propagate such a view seem to be indeed "kicking away the ladder" that they used in order to climb up to where they are' (Chang 2003, p. 13).

It does not matter on whether if it is done intentionally based on naked national interest or misinformed goodwill by some policymakers. Developing states have to be aware of this 'ladder-kicking' exercise, and do not fall into the persuasion and pressure easily. While it is important to connect with the world economy, blindly following the doctrine of neoliberalism policies might not lead to intended results. A mindful, selective and strategic integration that considers socio-political factors are crucial in ensuring better chance of success.

In a nutshell, it is important to allow states to have more maneuvering on policy choices and institution building. To 'win the game' of economic development, at the very least, states need to comprehend different interpretation of globalization, make more informed policy decision, and to have better understanding on the history of economic development.

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Who Helps the Teams to Win the Games? – The Case of the NBA

Yung-Hsiang Ying, National Taiwan Normal University, Taiwan
Hua-Chen Chang, National Taiwan Normal University, Taiwan

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Abstract

Increasing the winning percentage is a common goal for each head coach in National Basketball Association (NBA). Understanding the strategic deploy of the team and providing appropriate incentive to motivate each player are crucial to achieve this goal. In this study, we argue that teams with head coaches with experience in team management have better performance than those without. Managerial experiences may enhance ones' ability to see the whole picture of tactic planning as well as to understand each player and maintain better interpersonal relationship. In addition, we investigate whether or not salary disparities are related to winning percentage of the teams. Greater disparity may be the result of heroism but discourages team morale. Our argument is unique in the aspect that existing literatures emphasize the impact of characteristics of head coach on team performance; such as ages, tenures, and experiences as ball players, but not the experience as team manager. Employing data from Basketball Reference from Sportrac for season 2012/2013 to 2016/2017, panel ordinary least square methods with fixed and random effects are performed for analyses. Our findings suggest that managerial experience of head coaches is significantly positive related to team performance. Secondly, salary disparities are not related to team performance. This finding is consistent with that of Berri and Jewell (2004) but somewhat different from that of Frick, Prinz and Winkelmann (2003).

Keywords: coach, experience, team performance

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Introduction

The sport industry is a thriving business. In Figure1, it reported that a comparison of growth rate of US GDP, NBA revenue and box office revenue. It suggests that the NBA which is a fast-growing organization has better growth rate in comparison with US GDP and box office revenue. As the result of our survey, we notice that sport industry has great market potential value. However, the basic of sport industry is the quality of the matches. To have the best quality of the games, the NBA needs talent players and great coaches to support the content.

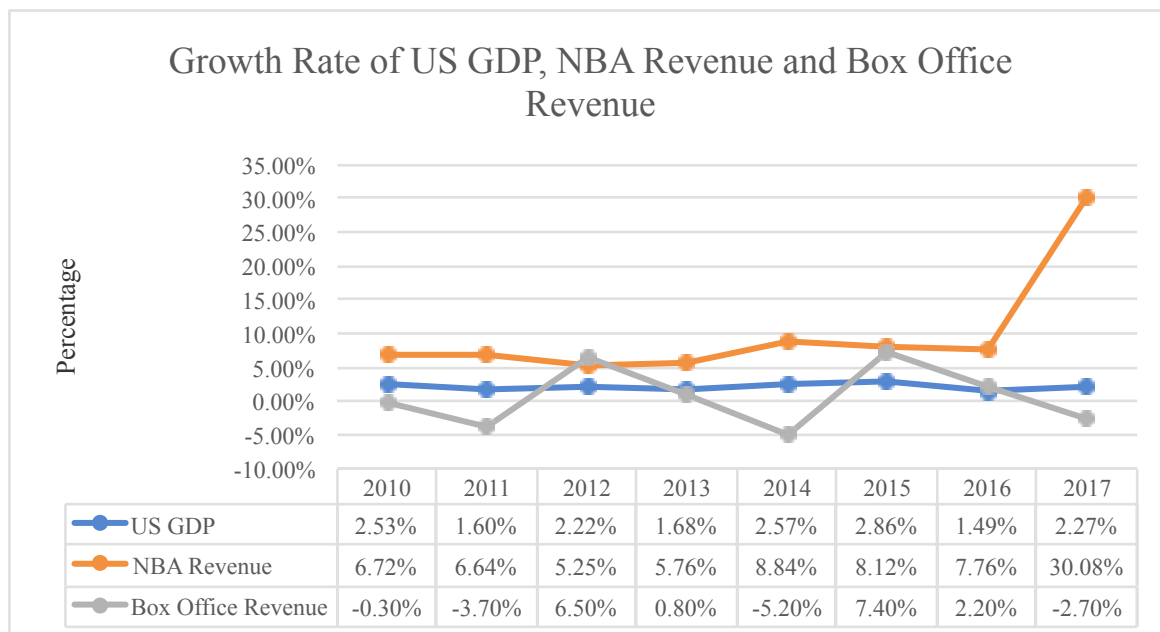


Figure 1 Growth Rate of US GDP, NBA Revenue and Box Office Revenue

Source: <http://www.worldbank.org/>, <https://www.statista.com/> and <https://www.boxofficemojo.com> edited by author

The NBA is a dream stage where plenty of basketball players desire to stay. It has two conference: East and West. Both of two conferences have 15 teams each. There are a lot of basketball players who have the best gift on basketball in the world.

With these talent basketball players, there is a fact that they need the top sport management to achieve some important goals, for instance, the title of NBA championship. Winning a title is every player's goal, but there is just an O'Brien trophy for the championship team. To be the winner, each of these teams make a suitable plan for themselves. Some teams are very dominant for a long time, so they might only need the very one last puzzle piece for the championship to enter the final game of the NBA. Some are the bottom of the league. For them, they have no idea about the puzzles for the championship, only they need the players who have super power to change them into a playoff-level team from a team which is bottom of the standing. To achieve their goal, they might have a decision which is to tank. Lose each of games in the regular season. Once they are the bottom of standing in the league, they can have higher draft selection to choose a player who has more talent in the NBA draft. The last one type is that the teams are middle of the standing. They might neither enter the playoff, nor have better draft selection. For this situation, they

have to make a choice with either doing some trades for making in playoff, or tanking for better draft selection to get a more talent rookie player and rebuild the team for benefiting the team both competitively and financially (Walter and Williams, 2012).

There are not only three situations of the teams but also others. It might be that there are 30 teams in different condition. However, a team would evaluate its situation and then find out the suitable strategy for it. It's an important operation issue which the management group should deal with. There are many characters in the group. Such as owners, president of basketball operation and general manager. As Wong and Deuber definition of a general manager's (GM) duties, it follows:

A GM will generally be involved in nearly all operations of the club, including business operational items such as finances, marketing, stadium issues and media and public relations. Then, of course, the GM is responsible for basketball operations such as coach selection, scouting, contract negotiations and perhaps most importantly, player personnel decisions. Whether the GM has decision-making authority or merely advisory input into each of these categories varies from team to team. Obviously, the teams' success in all of its operations is quite difficult if the team does not first succeed on the court. (Wong and Deuber 2011)

However, a general manager might have no power of decision making in a team. In some teams, the President of Basketball Operation has the power of decision making. Due to this reason, we call the one who has power of decision making as GM.

As a coach, he/she has different responsibility and goal from the management group. The International Council for Coaching Excellence (ICCE) and the Association of Summer Olympic International Federations (ASOIF) stated that coaching functions focus on raising athlete performance and personal development. As a result, we notice that they have totally different goal from each other. The management team concentrate on how to make the whole company better; however, a coach aims on elevating performance of the team's athletes. This paper wants to discuss that a fact which the head coach is/was the executive of the team. If the head coach is a GM, it benefits the team or not. For instance, Gregg Popovich, the head coach of the San Antonio Spurs, is the president of the basketball operation. He makes a lot of great decision for the Spurs which won 5 times championship in 20 years. Due to this example, more and more teams made the similar decision to inspire the team's ability of competition.

This paper is organized as follows. Chapter II describes that the past literatures. Chapter III describes the data and the method we used. Chapter IV tests our hypothesis and discusses the results. Chapter V will present our conclusions.

Literature Review

This section divided into three parts to discuss. The first part disserts the characteristics and responsibilities of the roles of managers and coaches, and how they help the team. Second, there are some studies that investigated the impact of the payroll and salary inequality on the team performance. In the final part, we studied the dismissal of the head coach in the mid-season which several scholars have contributed

some evidence.

Sport General Managers and Coaches

General Managers

Generally, there are some common feature of the top management team. Zaleznik (1992) mentioned that the managers seek order, control, and rapid resolution of problems. Mintzberg (1973) interviewed with CEOs and had a conclusion that there are 10 principal roles, which can be clustered into three categories: interpersonal, informational, and decision related. As the above mentioned, the management team needs to be a precious decision maker and maximize the performance. In various professional team sports, each team has a management team to achieve the team's goals. In baseball, Wong and Deubert (2010) had a conclusion that a General Manager team is powerful decision maker who usually has the influence to form a professional baseball team to compete at the major league level. In the field of the NFL, a GM is mostly in charge of the overall management and direction of the club, involving, possibly most essentially, the success of the team on the field (Deubert, Wong and Hatman 2013). For the basketball, a GM is required to have the ability of leading an organization and the potentiality to help his/her team to a championship. It generates the limitless work hours, responsibilities, obstacles and shortage of job security worthwhile (Wong and Deubert 2011). As mentioned above, the sports management team is required that they had to know how to make decisions and build up a team which has excellent competency.

Coaches

In the previous literature, Cruickshank & Collins (2015) mentioned that it mostly includes the coach organizing practice sessions and training schedules, supporting the development and refinement of physical, technical, and tactical skills for competition, and leading the performers or team throughout a season and beyond. Donofrio (2011) suggested that success of all coaches can be attributed to two things: one is the technical skill and knowledge about the game that a coach has. Leadership and motivation are critical to translating this knowledge into on the field success. Cote, Young, North, & Duffy, (2007) stated that excellent coaches know how to deploy their own competencies such as that they are consistent with the needs of their athletes and the context in which they work.

Payroll and Salary Disparity

Some studies have contribution about the influence of the salary dispersion on the team performance. Depken (2000) used the intrateam Herfindahl–Hirschman index to measure the salary dispersion and discover that the wage inequality has negative effect on the team performance in MLB. Depken and Lureman (2017) and Kahane, Longley, and Simmons (2013) found the evidence that greater wage disparity on NHL teams decreases team performance, but differ from Frick, Prinz and Winkelmann (2003). Berri and Jewell (2004) had a result that wage disparity is not found to be a statistically significant determinant of team wins in the NBA; however, Frick et al. (2003) found that a higher level of wage disparity is able to have a positive relationship with team performance. Mondello and Maxcy (2009) discovered that it had negative influence of the wage disparity on team performance. In some literatures, the higher payroll has positive influence on team performance. Hall, Szymanski and Zimbalist (2002) found that player expenditure has statistically significant evidence to

create improved performance in English soccer. Stimel (2011) suggests that a team can temporarily win more games by spending more on payroll, but not permanently.

2.3 Dismissal of the Coach

There is some evidence for the dismissals of the head coach. White, Persad and Gee (2007) found that in the period of 1989 to 2003 changes of head coach in mid-season in the NHL have had a positive influence on performance for the remainder of the season and for the subsequent season. Lago-Peñas (2011) concluded the analysis result that the team performance is positively influenced by the shock effect of a turnover over time. Results reveal no effect of coach turnover in the long term in football. Martinez and Caudill (2013) discovered that midseason coaching change leads to improved team performance in about sixty-one percent of the cases examined. As mentioned above, it has positive effect in the NHL and NBA. In football, it has good effect in the short run but no influence in the long term.

Data and Research Method

Research Method

In this paper, we intended to discuss several issues. First, we are interested in how a head coach with experience of management team influences team performance. Wong and Deubert (2011) elucidated several qualifications and characteristics: playing experience, coaching experience, education, age, race, gender and family ties. Also, they organized four paths to become the NBA GMs.

Table 1 The probability to be a GM

The Path	Probability
Former College Player but not NBA Player	26/84
Former NBA Player	38/84
Non-former Player	17/84
Former Coach	49/84

Source: National Basketball Association General Managers: An Analysis of the Responsibilities, Qualifications and Characteristics. Vill. Sports & Ent. LJ, 18, 213 edited by author

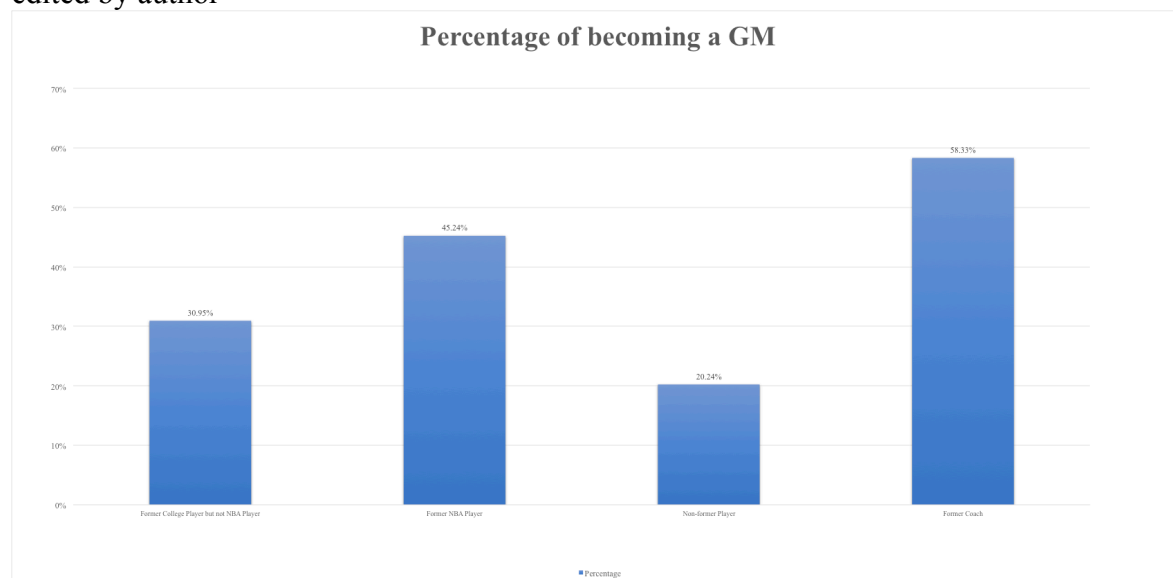


Figure 2 The Percentage of Becoming a GM

Source: National Basketball Association General Managers: An Analysis of the Responsibilities, Qualifications and Characteristics. Vill. Sports & Ent. LJ, 18, 213 edited by author

As their result, a GM who has coaching experience has more chance to be an executive for the NBA team. Whereas a coach might have experience of being the highest power person who possess the decision-making of the player personnel. We are interested in the influence that head coach with experience of GM on team performance in the NBA. It could build up a hypothesis that a head coach with management experience might have positive influence on team performance. Additionally, this paper investigates impact of head coach undergoing professional player career on team performance.

Second, we discuss with dismissal of head coach in the mid-season. Most of the theory asserted that changing the head coach will make team performance better. In recent decade, it happens 32 times of dismissal of the head coach in the mid-season. In 32 times, there are some team getting improved on team performance. As the result, to examine the effect of dismissal of head coach, it could form a hypothesis that dismissing head coach contribute positive impact on team performance.

Finally, payroll and salary dispersion are the most common issue to debate. Depken (2000) build up a production function with total team salary as an instrument

and created the intrateam Herfindahl–Hirschman index (HHI) for measuring salary dispersion. Frick et al. (2003) found that the greater wage disparity has positive contribution on team performance. However, Berri and Jewell (2004) had a different conclusion with Frick et al. (2003). Berri and Jewell (2004) found that there is no statistically significant evidence of the impact of wage disparity on team performance. In Berri and Jewell (2004) 's statement, they inferred that a player would have less time sharply to play if this player were not satisfied with the level of salary disparity. Eventually, payment streams in the future could slow to a trickle.

The result of Frick et al. (2003) can be explained by the fact that there are fewer active number of the roster in comparison of other sports. Additionally, a single “star player” may play primely important role for the team’s performance. Two studies have different results and conclusions. Frick et al. (2003) views from the nature of the basketball. According to the latest CBA (collective bargaining agreement) for the NBA, the maximum salary of a player can be from 25% to 35% of a team’s total salary in the year which the player negotiates his contract with basketball team. To keep or recruit the talent players who have dominant performance, the teams need to offer them maximum deal for attract those talent players. As the result, it could form the hypothesis that a higher salary disparity influences positively on team performance.

Instead of using team payroll as a variable, we prefer to develop total salary dividing by luxury tax apron which is a level to punish a team which pay too much. In the NBA, there is a salary cap ceiling for each team to avoid that a team use much money to attract a lot of all-star players who are very dominant. In addition, after the resigning the CBA in 2016, the team payroll restriction ceiling level increased dramatically as shown in figure 3. A team pays more than the level of luxury tax apron which means that the team is willing to pay more for the players. If a team was willing to pay more for players salary, it could inspire them to compete. We could deposit the hypothesis that the greater ratio of total salary dividing by luxury tax apron has positive impact on team performance.

In this research, we use the winning percentage as the dependent variable for measurement of team performance. While we discuss the variable of the coach, it is difficult to use a variable to describe coach. In order to measure the coach as variables, we use some proxy variables for it. This study uses management experience (MGT) as a dummy variable which is attributed the value of 1 if the head coach has experience of a GM. It makes a dummy variable which is assigned the value of 1 if the head coach experiences professional player career (ExPro), moreover, the interaction term of management and professional player experience ($MGT \times ExPro$). And we also set the coach tenure in professional team (EXP) and dismissal head coach in mid-season (CHANGE) as proxy variables. This study estimates intra-team salary disparity using Herfindahl–Hirschman index (Depken, 2000)

$$HHI_{it} = \sum_{i=1}^N \left(\frac{\text{Individual Player's Salary}}{\text{Total Salary}} \right)^2$$

To measure the payroll of the amount, we use the ratio of total salary dividing by

luxury tax apron ($\frac{TOTAL}{LTA}$) as a variable.



Figure 3 Luxury Tax Apron from 2012-2013 to 2016-2017

Source: www.spotrac.com edited by author

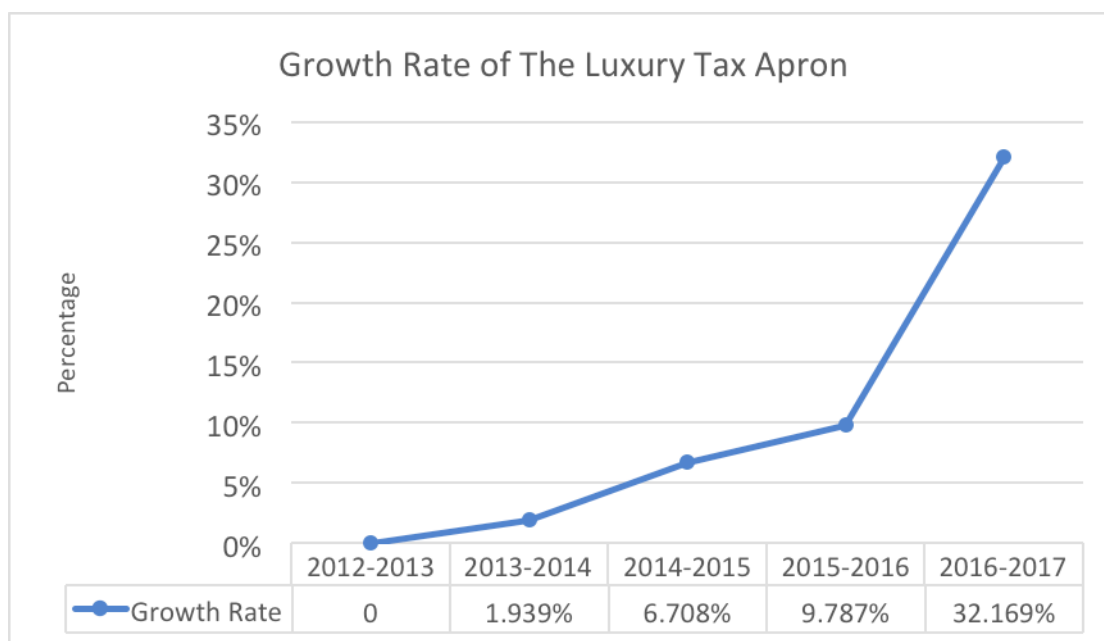


Figure 4 Growth Rate of The Luxury Tax Apron

Source: www.spotrac.com edited by author

Table 2 List of hypotheses

Hypothesis

H1: The head coach with management experience contributes positive impact on team performance.

H2: The dismissal of head coach contributes positive impact on team performance.

H3: The greater salary dispersion contributes positive impact on team performance.

H4: The greater total salary dividing by luxury tax apron contributes positive impact on team performance.

Referring to the model of Depken (2000) and Frick et al. (2003), this paper sets up the equation as follows:

$$WINPCT = \beta_0 + \beta_1 MGT_{it} + \beta_2 ExPro_{it} + \beta_3 ExPro \times MGT_{it} + \beta_4 EXP_{it} + \beta_5 EXP^2_{it} + \beta_6 HHI_{it} + \beta_7 \left(\frac{SAL}{LTA} \right)_{it} + \beta_8 CHANGE_{it} + \varepsilon_{it}$$

Table 3 List of the variables

Variables	Meaning	Measurement
MGT	The head coach is/was management team (including GM, President and VP of Basketball Operation)	Dummy variable The head coach is/was management team (including GM, President and VP of Basketball Operation) = 1, else 0
ExPro	The head coach was professional player	Dummy variable The head coach was professional player = 1, else 0
ExPro × MGT	The interaction term between the ExPro and MGT	
EXP	The experience of head coach	
EXP ²	The square of experience	
HHI	Measure salary dispersion	$\sum_{i=1}^N \frac{Player's\ Salary_i^2}{Total\ Salary^2}$
$\frac{SAL}{LTA}$	Measure the willingness of paying team payroll	$\frac{Total\ Salary}{Luxury\ Tax\ Apron}$
CHANGE	Change head coach in mid-season	Dummy variable Change head coach in mid-season = 1, else 0

Data Description

The NBA is composed of 30 teams which have competition in a regular season and play-off season schedule. The regular season is played in 82 games and the best 8 teams of each conference (East and West Conference) participate playoff. To simplify the empirical analysis process, we only study the data from regular seasons. The data are acquired from the website, Sportrac and Basketball Reference. The Sportrac is a website which involves information of sports team, and player contracts on the internet. This website was founded by Michael Ginnitti & Scott Allen in 2007. It provides a team payroll, player valuation, and more research tools for a variety of groups. The Basketball Reference which is used by some researchers (e.g. Omidiran, 2011) is an online sport-related data resource. Furthermore, it provides the information of baseball, hockey, football, soccer etc. The data of salary are obtained from Sportrac which is available for the period of 2011-2012 ~ 2021-2022. Additionally, to prevent from the impact of the change on the collative bargaining agreement (CBA), this study avoids 2011-2012 and 2017-2018 due to a fact that both of two seasons had ratified the CBA. We used 2012-2013 ~ 2016-2017 as our panel dataset. In this period, there are some teams which perform a strategy that hire a head coach who has the experience of management team. For instance, the San Antonio Spurs appointed Gregg Popovich, the head coach of the Spurs, as the President of Basketball Operation. Additionally, the Golden State Warriors hired Steve Kerr who possessed the experience of the GM of the Arizona Suns as head coach. Moreover, it happened several times to change head coaches in mid-season in this period.

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Variable	Description	Mean	Std	Min	Max
WIN_PCT	Team winning percentage	0.5	0.1548	0.122	0.89
MGT	The head coach is/was management team (including GM, President and VP of Basketball Operation)	0.1733	0.3798	0	1
ExPro	The head coach was professional player	0.5333	0.5006	0	1
ExPro × MGT	The interaction term between the ExPro and MGT	0.0867	0.2823	0	1
EXP	The experience of head coach	16.34	9.1063	1	38
EXP ²	The square of experience	349.3667	309.0823	1	1444
HHI	Measure salary dispersion	0.1391	0.0296	0.0905	0.2517
SAL/LTA	Measure the willingness of paying team payroll	0.8181	0.1625	0.3499	1.3567
CHANGE	Change head coach in mid-season	0.08	0.2722	0	1

As the result of Depken (2000) and Frick et al. (2003), the result of the Hausman test which examines that this equation favors random or fixed effect suggests that it preferred the random-effect model. For the completeness of estimation, we decided to examine the equation in both of two models.

Empirical Results

Table 5 Panel estimation results (dependent variable: winning percent; preferred estimate: random effects)

Random Effect Model			
Form	Variable	coefficient	std. error
Linear	Intercept	0.1004	0.0714
	MGT	0.0776**	0.0373
	ExPro	-0.0478**	0.0238
	ExPro × MGT	0.0965*	0.0537
	EXP	-0.0013	0.0040
	EXP ²	3.0775*10 ⁻⁵	0.0001
	HHI	-0.1429	0.3562
	SAL/LTA	0.5405***	0.0622
	CHANGE	-0.0778**	0.0372
N		150	
Hausman Test			
H = 7.1980 with p-value = prob (chi-square (8) > 7.1980) = 0.5154			

*significant at the 10% level; **significant at the 5% level; ***significant at the 1% level

Table 5 report the result of estimating equation in linear form for the random effects model. The Hausman test result which between the fixed and random effects model supports the random effect model is consistent with the consequence of Depken (2000) and Frick et al. (2003). Additionally, there is no qualitative difference between two results of models.

Generally, the empirical results support the hypothesis which the head coach with management experience has positive influence on team performance. This result implies that the managerial experience helps the head coaches to organize the whole team between the front office and the players. Dewey (1997) presented that the principle of continuity of experience means that every experience both takes up something from those which have gone before and modifies in some way the quality of those which come after. Building up a team which is strong enough to compete with other teams for the titles is the duty of a manager in sport industry. To achieve this goal, perhaps the most important part is to find out some players who is suitable for the team. Moreover, a GM also is responsible for hiring the head coach for the team. A head coach is the fundamental of a team's court strategy. He not only train and develop his/her players, but also create a system for the team. Each coach has different coaching philosophy on the court. Some coaches might believe in that tough defense makes a team win the titles or some may be faith in run and gun (a term for fast break). Due to a fact that every system needs the most suitable players to maximize the performance of the team on the court. Both of two roles have their

unique challenges in basketball operation. These two roles need to collaborate with each other. If a head coach has the managerial experience, he/she might have better understanding about the consideration of a GM. It might make easier to mutually exchange perception with each other.

There is no statistically significant evidence that salary disparity has negative influence on team performance in the NBA. This result is consistent with Berri and Jewell (2004) but contrary to Frick et al. (2003). However, the predicted coefficient on total payroll is positive and statistically significant same as we anticipated. It could assert that the greater spending on players will contribute positive influence on team performance.

In our origin speculation, the result should follow Frick et al. (2003) because the fact that the managers of the NBA would offer the maximum salary contract which includes from 25% to 35% of team payroll for attracting the top players. If a team has two dominant players, their salaries might hold larger percentage of team payroll. However, our result which is consistent with Berri and Jewell (2004) suggested that there is no statistically significant evidence that the salary disparity has influence on team performance. We could infer that some teams offered a talent player maximum contract but didn't build up the team around him or he didn't fit with the system of the head coach.

The total salary has positive effect on team performance. As we estimated, the teams pay more spending on players, it can have better team performance. This measurement tests that the teams are willing to pay luxury taxes or not. If a team is willing to pay luxury taxes, it means that this team spends larger money on the players and it agrees to pay the luxury taxes.

The previous literatures prove that the dismissal of head coach in mid-season contributes positive impact on team performance (White, Persad and Gee, 2007; Lago-Peñas, 2011; Martinez and Caudill, 2013). Our result suggests that firing the head coach in mid-season has negative relationship with team performance. The reason which the estimation result is exhibited is that these teams which demand to change the head coach usually have bad team performance in that season. However, basketball is a team sport which really needs systematic strategy. The head coach might need some time to figure out how to position the player in the team via games for a long time, especially the team which has plenty of rookies.

Conclusions

This research's purpose is to examine the effect of the head coach with management experience on the performance of professional basketball teams. In previous studies, there are some researches which focus on the tenure, the professional player experience and the change of the coach in the mid-season. We could learn that there is no relative research on the coach's managerial experience. Through this study, it proves that the head coach with management experience has positive influence on team performance. In our result, the effect of salary dispersion might have no significant influence on team performance. Though the teams are willing to pay more money, even they need to pay luxury tax, to enhance the teams' roster. In the end, we find out that change of the head coach has negative impact on team performance.

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Preferences for the Sex-composition of Children in Vietnam: An Examination of its Effect on Fertility Desire

Nguyen Thi Hai Yen, Chulalongkorn University, Thailand
Pataporn Sukontamarn, Chulalongkorn University, Thailand

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Abstract

This paper aims to investigate whether of the variation in preferences for the sex-composition of children can explain the variation in fertility desires of women with one child and describing the trend, pattern of fertility desires in Vietnam. Using the national data set from Vietnam Multiple Indicator Cluster Survey (MICS) data sets 2014 investigates the relationship between gender of children and fertility desire. The broad-brush preliminary results from logistic regression show that number of children and gender of children that women have, will effect on her fertility desire. Mothers who have one child that is a girl having higher potential fertility desire compare with others. There is indeed a positive relationship between son preference and fertility desire in Vietnam. Women who do not have at least one son have the highest fertility desire. The findings can potentially have some policy implications for specific Vietnamese fertility policy.

Keywords: son preference, fertility, fertility desire, Vietnam

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Introduction

A recent phenomenon in Vietnamese society is a "missing" women that are deficit of girls because of son preference. Together with China and India, Vietnam are the leaders in Asia in son preferences (Das Gupta, 2010; Guilmoto, 2007). Deficit of girls becomes more popular in Vietnam, particular in North of Vietnam. Explaining for son preference in Vietnam can be based on the culture, religion and belief system of the Vietnamese. Vietnamese parents believe boys are more valuable than girls. Typically, the proverb is "Nhất nam viết hữu thập nữ viết vô" (One son is having some, ten daughters are having none) and "Con gái dải không qua ngọn cỏ" (Girls do not cross the grass). Unless the son is born, the woman will be under pressure from her husband's family, especially her mother-in-law and her husband. Without having a son, the husband would be discriminated, even mocked as "weak or poor" by his friends, relatives, and colleagues. If parents do not have a son, it is considered as not having the next generation because of a lost family name. The son of Vietnam receives more economic and social benefits than daughters, such as inheriting of special assets such as land or house, caring for elderly parents, worshiping or religious roles that only sons can perform, perpetuation of the family name (Le et al., 2017; UNFPA Vietnam, 2012; Vui LT, Duong DTT, & Hoa DTP, 2012).

In May 2017, the Minister of Health Vietnam issued an alert about the imbalanced sex ratio at birth in Vietnam. Nearly 50% of provinces and cities have a higher sex ratio at birth than in the previous year. The difference in fertility desire among mothers based on two indicators of their history birth, which are the number of children and sex of children. Although a number of quantitative studies on the association between fertility and son preference has been done based on evidence from a number of countries, there is an absence of a quantitative insight based on the evidence from Vietnam, where both fertility and son preference has undergone significant changes. To do so, the paper uses the female individual-level data from the sample of the Multiple Indicator Cluster Surveys in 2014. Logistic regression were used to see the relationship of sex composition of children and fertility desire controlling for socio-demographic variables in Vietnam.

This paper, as a result, aims to investigate whether of the variation in sex composition of children can explain the variation in fertility desires both over time and across region and describing the trend and pattern of fertility desires in Vietnam in 2014 by using MICS data. Specifically, we examine how gender of children (emphasis on the number of boys that women had) affect fertility desire in six economic region in Vietnam where are well-documented about son preference.

Literature Review

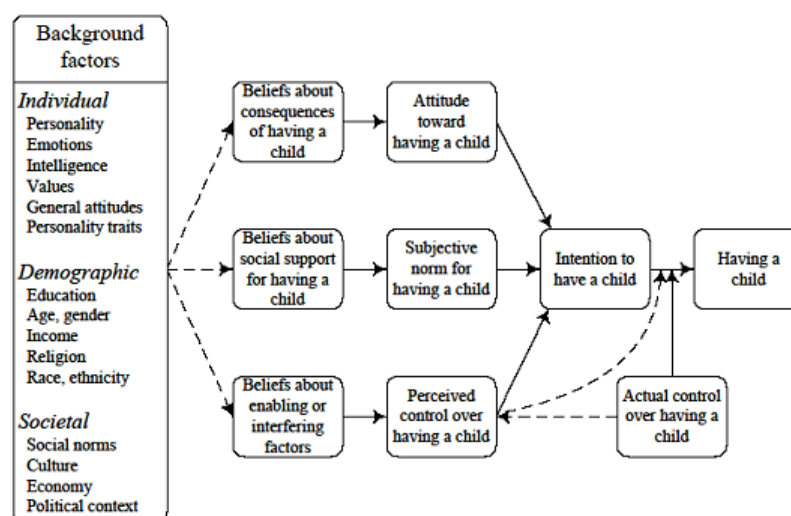
The Theory of Planned behavior

Fertility desire or desire in generally is branches/forms of behavior. Based on the theories of behavior we can identify the factors that directly and indirectly affect on fertility derise. One of the theories of behavior is theory of planned behavior that was introduced by Ajzen and Fishbein in 1991.

Following theory of planned behavior: intentions/desires are seen as directly dependent on three components: attitudes, norms and perceived behavioral control. Attitudes are a key construct in psychology and in the study of social change. An attitude can be defined as "the degree to which a person has a favorable or unfavorable evaluation or appraisal of the behavior in question. Social-psychological approaches to decision-making emphasize attitudes as a key determinant of desires and, therefore, subsequent behavior as opposed to more distant value orientations. Attitudes have frequently been used as explanatory factors in demographic studies of childbearing desires and behavior (Billari, Philipov, & Testa, 2009)

Ajzen and Fishbein (2005) classify background factors in three groups. First, "individual" factors, such as personality traits, mood, emotion, intelligence, values, stereotypes, general attitudes, experience. Second, "social" factors, such as education, age, gender, income, religion, race, ethnicity and culture. Third, "information" factors, such as knowledge, media, and intervention. A desire to perform a specific behavior. In other words, TPB focuses on purposeful actions. There is a positive relationship between specific desire and specific behaviors. The magnitude of this relationship depends on the type of behaviour and on the time-interval between intentions and behaviour. In order to understand the mechanisms of individual decision-making, following TPB framework necessary to understand the determinants of intentions. Second, attitudes subjective norms, and perceived behavioural control attached to a specific behaviour are the proximate antecedents of behavioural intentions.

In 2009, Billari, Philipov & Testa applied the theory of planned behavior to consider fertility intention. According to the theory of planned behavior approach, background factors influence the construction desires through their effect on attitudes. These may include, for instance, economic theories (emphasizing income, wealth, education) and ideational theories of fertility (emphasizing religion, value orientations), as well as general demographic factors such as gender, age, cohort (Billari et al., 2009). Billari, Philipov & Testa classify background factors in three groups. First, "Individual" factors, such as personality traits, mood, emotion, intelligence, values, Stereotypes, general attitudes, experience. Second, "social" factors, such as Age, education, gender, income, religion, race, ethnicity. Thirdly "social" factors include social norms, culture, economic and political context.

Figure 1: The theory of planned behavior applied to fertility decisions

The Theory of traits-desires-intentions-behavior sequence

Warren Miller and David Pasta were the first authors mention about the traits-desires-intentions-behavior sequence (TDIB). In their theory, they concerned about male's desire and female's desire that combined couple's behavior. TDIB sequence characterizes the process through which latent motivations enter consciousness in the form of specific desires, which then generate specific intentions, which in turn lead to goal-related behaviors. Miller and Pasta (2000) used a four variable: age at menarche, age at first sexual intercourse, age at first pregnancy, and number of pregnancies and variables as respondent's age, education, religion, religiosity, ethnicity, marital status, parity, work status, and gender role, income ect as determinants of fertility desire. They assume that motivations/attitude affect both the intensity of desire for children and the number of children desired; together with attitudes and beliefs concerning child timing, these factors translate into actual child-timing desires and intentions

In a series of papers, Miller and Pasta present and apply a detailed theoretical model in which "childbearing motivations" affect fertility desires, desires and behavior. In turn, childbearing motivations are influenced by biologically based dispositions that may be partially inherited as well as influenced by early life-course experiences. Miller and Pasta assume that motivations affect both the intensity of desire for children and the number of children desired; together with attitudes and beliefs concerning child timing, these factors translate into actual child-timing desires and desires. The "Childbearing Questionnaire" originally proposed by Miller (1995) measures childbearing motivation by separating "Positive Childbearing Motivation" and "Negative Childbearing Motivation". Among the positive childbearing motivation some subscales are identified concerning "(1) joys of pregnancy, birth and infancy; (2) traditional parenthood; (3) satisfaction of child rearing; (4) feeling needed and connected; (5) instrumental values of children", among the negative childbearing motivation the subscales identified concern "(1) discomforts of pregnancy and childbirth; (2) fears and worries of ; (3) negatives of child care; (4) parental stress (Miller, Bard, Pasta, & Rodgers, 2010; Miller, Severy, & David, 2004)

Data and sample

This study is based on the information from Viet Nam Multiple Indicator Cluster Survey (MICS) data sets 2014 in Vietnam. The information related to women of reproductive ages, ranging from 15 to 49 years. For each year's MICS survey have a different sample size. In 2014 Viet Nam Multiple Indicator Cluster Survey collected 10,018 households, with 9,827 women and 3,316 children interviewed. In 2011 MICS survey interviewed 11,614 households, with 11,663 women (age 15-49) and 3,678 children under age five. In 2006 interviewed 8,356 households, with 10,063 women (age 15-49) and 2,707 children under age five.

Multiple Indicator Cluster Surveys which are collected in 1999, 2000, 2006, 2011, 2014 applied for the entire population in Vietnam by 3 types of questionnaire namely household questionnaire, individual questionnaire for women, questionnaire for children under five. In some countries have individual questionnaire for men but this questionnaire do not have in MICS survey in Vietnam (General Statistic Office, 2011; Kersten, 2010). Funding for the survey was provided by the United Nations Children's Fund (UNICEF)

MICS programme was born in order to provide an international household survey that can internationally comparable between countries. Starting in the 1990s until now MICS was launched sixth round with specific purpose for each round. The aim of the 1st round to adapt to the World Summit for Children, 3rd round in 2006 response to the Millennium Development Goals (MDGs). The most recent round is the sixth round that set up with global goals - Sustainable Development Goals (SDGs)

Variables

Dependent variable

The key outcome of our research was fertility desire. Fertility desire plays a role as dependent variable of this research. Fertility desire was defined as the desire to have another child in the future of women from 15-49 at the time of interview. Firstly, respondents were divided two groups, including women who were currently pregnant and otherwise. And then asked if they desired to have another child in the future. Those that will desire to have another child in the future were asked about how far in the future (months/years) they wanted to wait to have another child, and the period of waiting was categorized as <1 year, 1-2 years, 3-4 years or 5 or more (5+) years.

Independent variable

The main independent variable in my study is sex composition of children. The first to measure sex composition of children is still controversial at present. To look deeply at the impact of gender of children on women's desire to have more children, in our study, sex composition of children of women with one child was measure as dummy variable with 1: have a son and 0: otherwise.

3.2.3 Control variables

There are three kinds of control variables in this study.

Firstly, The characteristics of the women, which includes age, level of educational attainment, access to mass media: newspaper, radio, television, computer, and internet, number of child death (experience of child death), physically able to get pregnant (fecundity), Age at first married, Age child of last birth, marital status, and the characteristics of the household which includes religion, wealth index, region, having older person in household. Secondly, control variable is region. Thirdly, gender equality/women empowerment with proxy variable is attitude with domestic violence. The key variables are women's empowerment that it was measured by types of attitudes about gender roles. These information were extracted from sets of questions included in MICS questionnaire. Attitudes toward domestic violence consider by a series of question "Sometimes a husband is annoyed or angered by things that his wife does. In your opinion, is a husband justified in hitting or beating his wife in the following situations: If she goes out without telling him? If she neglects the children? If she argues with him? If she refuses to have sex with him? If she bums the food? If she does not complete housework to his satisfaction; if she is doubted about her being faithful; if she disclosed that she was unfaithful". Base on context of Vietnam, the authors divide into 3 groups of women's empowerment indicators. Attitudes toward wife beating: Belief that none of the 6 reasons for wife beating are justified. Must to say No with one of 6 variables: If she goes out without telling him? If she neglects the children? If she argues with him? If she bums the food? If she does not complete housework to his satisfaction; if she is doubted about her being faithful. Attitudes toward refusing sex: Belief that women have a right to refuse sex (is a husband justified in hitting or beating his wife in the following situations: If she refuses to have sex with him?). Attitudes toward faithful: (is a husband justified in hitting or beating his wife in the following situations: if she disclosed that she was unfaithful).

Methodology

In order to achieve research goals, we would like to use the following methods:

To see the trend of fertility, fertility desire, sex composition of children and sex ratio at birth of Vietnamese women 2014, the paper uses the female individual-level data from the multiple indicator cluster survey (MICS), provided by <http://mics.unicef.org/>. Descriptive Statistics is used for describing, presenting, summarizing current situation and trend of gender of children and fertility desire in Vietnam.

To investigate the effect of gender of children on women's desire to have more children through social norm affect, a model set up as follow:

$$F_{ih} = \alpha_0 + \beta_1 G_{ih} + \beta_2 C_{ih} + \beta_3 W_i + \beta_4 H_i + \beta_5 Y_h + \beta_6 R + \beta_7 E_i + \beta_8 T_i + u$$

Where lowercase i denotes for individual and h denote for household. F_{ih} is the measure of fertility desire of individual women in household indicating whether women want to have more children or not; G is a vector of gender of children that affect to fertility desire

Logistic regression were used to see the relationship of sex composition of children and fertility desire controlling for socio-demographic variables in Vietnam.

The Findings

Table 1 shows number observations and percentage of sex composition of current children according to women's fertility desire. It is clear that the majority of women with at least one son do not want to have additional children whereas women with at least one daughter report high percentage of wanting to have more children. The summary statistics show that in group one child and no want to have more children, the larger percentage are the ones with son (61.36%).

Table 1: Sex composition of children by women's fertility desire

Characteristics of Women	Fertility desire		
	No (obs,%)	Yes (obs,%)	P-value
<i>Women with one child (n=1,502)</i>			0.001
1 son	289 (61.36)	537 (52.09)	
1 daughter	182 (38.64)	494 (47.91)	
Total	472(100)	1,031 (100)	

Note: n: Number observation. Obs: observation

Table 2 shows the results of our multivariate logistic regression models. The main hypothesis proposed that women with no sons would be more likely to have higher fertility desire compared to women with at least one son. Our results support this hypothesis. Women without sons show higher odds of having a desire for additional children relative to those with sons. Specifically, among women with one child, those with one daughter are nearly 1.4 times higher the odds of those with one son to desire more children.

We found the relationship between control variables and women's fertility desire. Increasing 1 year in the age of mother leads to 0.9 times decrease in the odds of having more child. For those with one child, women with higher education are more likely to want to have additional children compared to low educated women. Having elderly in the household have higher fertility desire however this variable does not statistically significant. Those who are living in Red river delta higher fertility desire than Southeast. It is consistent with TFR by region in Vietnam where the highest TFR found in Red river delta. The higher wealth index shows higher fertility desire because of the increase of cost raising the child in Vietnam.

Table 2: Logistic regression odds ratios of women's fertility desire

	One Child
	O.R. (S.E.)
<i>Group 1: Women with one child (Ref. one son)</i>	
1 daughter	1.459*** (0.209)
<i>Sex ratio at birth at provincial level</i>	1.031 (0.0203)
<i>Age of mother</i>	0.898* (0.0572)
<i>Age at first married</i>	1.094**

	(0.0463)
<i>Age group of mothers at last birth (Ref 15-20 ages)</i>	
20-24 ages	1.074
	(0.349)
25-29 ages	0.771
	(0.396)
30-34 ages	0.363
	(0.275)
35-39 ages	0.172*
	(0.179)
40 up	0.0957
	(0.137)
<i>Living with a male partner (Ref. Not living with a male partner)</i>	15.35***
	(4.394)
<i>Husband-wife gender equality attitude (Ref. disagree with violence)</i>	1.180
	(0.174)
<i>Contraceptive use (Ref. no using contraception)</i>	0.631**
	(0.114)
<i>Education (Ref: Primary)</i>	
Lower secondary	1.229
	(0.276)
Upper secondary	1.316
	(0.327)
Vocational school	1.486
	(0.525)
College/university & above	1.773*
	(0.532)
<i>Religion (Ref. No religion)</i>	
Buddhism	0.699*
	(0.141)
Christian	1.156
	(0.307)
Other religion	0.468**
	(0.169)
<i>Mass media access (Ref. No Mass media access)</i>	1.101
	(0.675)
<i>Region (Ref.South east)</i>	
Red river delta	1.262
	(0.353)
Northern midlands and mountain area	1.695**
	(0.434)
North central and central coastal area	1.346
	(0.343)
Central highlands	1.427
	(0.356)
Mekong river delta	1.107

	(0.240)
<i>Urban (Ref. Rural)</i>	0.974
	(0.161)
<i>Wealth index (Ref. poorest)</i>	
Second	1.267
	(0.321)
Middle	1.492
	(0.390)
Fourth	0.968
	(0.252)
Richest	1.169
	(0.356)
<i>Working status (Ref. Still working)</i>	1.063
	(0.225)
<i>Having elderly in the household</i>	1.186
	(0.222)
<i>Experiment child dead (Ref. Not Experiment child dead)</i>	1.651
	(0.717)
<i>Child age last birth</i>	0.946
	(0.0615)
<i>Number observation</i>	1502
Pseudo R-sq	0.304

Notes: Standard errors in parentheses. Ref.: Reference category. Significance levels:

* $p < 0.1$, ** $p < 0.05$, *** $p < 0.01$.

Conclusions

Our results indicate that the sex composition of children had a strong and statistically significant positive association with women's desires for additional children, after controlling for demographic and socioeconomic factors, gender equality context within the household and social norms of fertility behavior. Having all daughters rather than all sons are associated with higher fertility desire among Vietnamese women of childbearing age. These findings suggest that the strength of traditional cultural norms of son preference prevails in Vietnam and shows childbearing patterns of Vietnamese women. For women with one child, having all daughters rather than all sons was associated with higher fertility desire among Vietnamese women of childbearing age. Women with no son would be more likely to have higher fertility desire compared to women with at least one son. The Vietnamese government has been advocating pronatalism policies, especially with Ho Chi Minh city, where TFR is just 1.4 over the last 10 years. However, in some areas, the campaign is not successful. This study potentially shows that son preference be regarded as one of the important reason for reducing fertility desire with those who already have at least one son in Vietnam

From these results, we suggest some policies as below

- The government should continuously ban ultrasounds to detect fetal sex to reduce sex-selective abortion.
- Combined with encouraging mass media and other social outlets to enhance women's value to society

- Creating conditions for women to promote their roles in the family and society

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Contact email: haiyen.sarah@gmail.com

Challenges and Success Factors for Knowledge Sharing Using Information and Communication Technologies (ICTs) in Development Projects

Andi Sahriah Alam, University of Melbourne, Australia

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Abstract

‘Wicked nature’ of major social, economic, health, and education, and environmental problems has posed significant challenges that needs to be tackled with focused dialogue and knowledge sharing from wide range of settings and actors whose goal is the same. Unfortunately, these perspectives are scattered in disparate locations: in the mind of marginalized people, government staffs, development practitioners, and academics. Knowledge sharing across this wide range of space and stakeholders can be fostered by ICTs that have been deployed by many development projects. However, although these projects invest heavily in ICTs, they neglect management of context-dependent knowledge, creating barriers in the process of knowledge sharing. Knowledge withholding because of political gain, territorial behaviours, and norms of secrecy is one of the main challenges in knowledge transfer among a community of practice. A member of community fears to share their knowledge since knowledge is regarded as a power bringing extrinsic reward to its owner, since they have particular attachment to the knowledge, and since norms do not embrace mistake, thus, they conceal the full story of lessons learned. This fear is based on a contestation of interest between ‘I’ and ‘Us’. Therefore, in order to maximize the utilization of ICT for knowledge sharing in development projects, this paper aims to identify challenges faced by community of practice in knowledge sharing using ICTs in independence and interdependence lens and to determine success factors to tackle these challenges. This paper uses meta-ethnography approach with a total of 16 concepts from 65 articles identified.

Keywords: communication technology, knowledge sharing, development project

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Introduction

‘Wicked nature’ of major social, justice, economic, health, education, and environment problems has increased (Hulsebosch et al., 2006) and posed significant challenges that needs to be tackled with focused dialogue and knowledge sharing from wide range of settings and actors with mutual objectives (Clappison et al., 2013; Harvey et al., 2013). Unfortunately, these perspectives are scattered in different corners: in the minds of marginalized people, government staffs, development practitioners, and academics (Harvey et al., 2013).

Capturing and facilitating knowledge sharing across this wide range of space and diverse sets of people can be fostered by communities of practice (Sethi, 2017) or a learning network (Gumann & Mullinax, 2015) and their utilization of ICTs (Clappison et al., 2013; Howland et al., 2015). The concept of “communities of practice” is referred to a group of people who implement joint activities, exchange knowledge, deepen their expertise, share common objective and practice through a routine interaction with one another (Sethi, 2017).

ICTs enable these communities to share knowledge and access information in the non-physical space (Howland et al., 2015). However, although development interventions invest heavily in ICTs, they neglect management of context-dependent knowledge, creating barriers in the process of knowledge sharing. Knowledge sharing cannot automatically happen with ICTs alone. The platforms developed should be appropriate with context and knowledge sharing process where they were deployed (Janus, 2016).

Therefore, in order to maximize the utilization of ICTs for knowledge sharing in development projects, this paper aims to identify challenges faced by community of practice in knowledge sharing using ICTs in independence and interdependence lens and to determine success factors to tackle these challenges.

Methodology

The paper used a meta-ethnography approach developed by Noblit and Hare (1988). During meta-ethnography process, studies were analyzed while building new interpretations over multiple studies (Atkins et al., 2008). Meta-ethnography is interpretative rather than aggregative and consists of seven stages, i.e., (Noblit and Hare, 1988):

1. Getting started. This paper aims to answer the following questions:
 - a) *What are the challenges of knowledge sharing using ICTs influenced by independence and interdependence relationship in a community of practice or a learning network?*
 - b) *What are success factors for these challenges?*
2. Deciding what is relevant with initial interest of study. Studies which are relevant to this study are retrieved from ScienceDirect electronic database and Knowledge Management for Development Journal using keywords such as: “knowledge sharing”, “ICTs” and “development project”. Articles were restricted to

papers written in English published from 1998 to 2017. There are 168 articles discovered. After screening through abstracts and conclusions, a total of 35 articles are found which are then used in the next stage.

3. Reading the studies. Throughout this process, 35 articles have been read repeatedly. The key concepts (“challenge” and “success factors”) are noted. There are 14 concepts which become the raw data for the synthesis (Campbell et al., 2003) obtained from those 35 articles. This paper also explains the concept of each other.

4. Determine how the studies are related. This stages involves creating a table that contains the concepts from 35 articles which can be seen in Table 1, Table 2, and Table 3. In this stage, relationship between studies must be understood and initial assumption should be made. It can be concluded that a lot of the concepts are comparatively similar, but some concepts are not directly comparable and some concepts are in opposition, so it can be assumed that the studies are related in reciprocal translation, refutational translation and line of argument with second-order construction.

5. Translate one study with another. In this stage, the explanations of each study on challenges and success factors are considered. Concept from one study is translated to another study.

6. Synthesis the translation. During this stage, concepts found were compared, refined, and collapsed, turning into something more meaningful than the others. For example, Clappison et al. (2013) said that one of the success factors for sharing knowledge is having “facilitator”. They said that this concept is about having a particular person who facilitates communicate and translates information. This particular person has also been implied by Howland et al. (2013) by stating the use of “facilitator” would bring tacit and explicit knowledge from community members.

7. Express the synthesis result. This paper is an expression of the synthesis.

Discussion

Based on the synthesis, the results showed 14 concepts for challenges and success factors for knowledge sharing using ICTs in development projects. The synthesis findings are written in four parts: (1) organizational and networking (2) human (3) technology (4) process.

Organizational and networking

Involvement of donor organization

A concept in 5 out of 35 articles relates to how involvement of donor organization influences communities in various ways. It could complicate the objectives of the communities because donor organizations expect them to deliver specific pre-determined outcomes which can be a challenge to ensure learning process within the community (Fullan et al., 2006; Gumann & Mullinax, 2015; Hulsebosch et al., 2016). Community members might be reluctant to share their experiences to other members

or donors, particularly if these include failures or ‘proprietary’ information (Coninck, 2009; Gumann & Mullinax, 2015).

Donors organizations which take multiple roles (sponsor, participant, and advisor) would create inherent contradiction and a confusion of their roles (Hulsebosch et al., 2016). Donors’ advice can be mistakenly considered as an instruction by CoP members (Hulsebosch et al., 2016). This situation leads the ‘advised’ or ‘directed’ network CoP miss the inherent purposes of knowledge sharing, which are collaboration, learning process (Clappison et al., 2013), and creating a horizontal relationship (Hulsebosch et al., 2006).

Table 1. Concepts for organizational and networking



Involvement of donor organization also influences power relationship over CoP (Hulsebosch et al., 2006) and how knowledge is shared within CoP members. Member of CoP which is more skilled or expert in creating innovation and finding best practice may hide their experience to reinforce their status (Webster et al., 2008) as leading organization and main funding recipient within the CoP. Competition for fund, indeed, is the reality of development projects (Hulsebosch et al., 2006), especially when multiple organizations involved in a community working on the same issue to achieve mutual goal. It is an attempt to garner what leverage they can because knowledge is considered an asset for them to attract funding (Webster et al., 2008). In addition, a member possessing knowledge can increase other members’ dependency on them (Webster et al., 2008).

Community members needs to set clear roles and expectations under the presence of donors (Gumann & Mullinax, 2015) and donor organization should be flexible and not interfere with CoP’s management (Sethi, 2017). Baseline study should be held at the beginning of initiation and evaluation to monitor any changes should be separated from learning process (Yadav et al., 2015; Sethi, 2017).

Organizational and community culture

A recurring theme in 12 articles was organizational culture and level of interdependence which defined community of practice (Henderson, 2005; Clappison et al., 2013). Culture, community's interaction style (open or closed) and existing disposition of power can enable knowledge sharing process or slowing the process down (Coninck, 2009; Yadav et al., 2015; Sethi, 2017; Cranston & Pels, 2017). Some communities have the tendency to be hierarchical, closed, and formal in nature which is different from what is expected for a knowledge sharing community using ICTs that is egalitarian, open, and informal (Doodewaard, 2006). Some of impeding factors which hinder the flow of knowledge are the following:

1. Strong hierarchical environment and top-down approach (Henderson, 2005; Carter et al., 2009; Yadav et al., 2015) in which community members consider knowledge is placed at the top hierarchy, creating barrier to effective coordination and knowledge across CoP (Barrett et al., 2005).
2. Bureaucracy and organizational discouragement (Yadav et al., 2015; Sethi, 2017). Members representing their organizations to join CoP might be expected to be open with their fellow within the same organization during discussion, but are expected to be quite during deliberation outside of the organization, hindering knowledge exchange within CoP (Webster et al., 2008).

To openly share information within an organization can be a challenge as well. In some contexts, stored data and information cannot be shared automatically due to bureaucracy process. Lack of access to data and information leads to a 'knowledge fortress mentality' in which people keep their knowledge asset from outsiders, although these data and information are not used by their organization (Karetji, 2005).

3. Conflict of avoidance (Yadav et al., 2015). Members of CoP may choose to engage in knowledge sharing process to maintain interpersonal relationship, protect other members' feeling, minimize discomfort, and avoid disruptions or conflict. The element of reciprocity also influences the likelihood of members to opt to share their knowledge. Members who have received shared knowledge previously may feel duty-bound to reciprocate by sharing their knowledge whenever possible with those who have provided the knowledge or assistance. Member whose requests for knowledge or assistance are reprimanded may feel entitled to withhold knowledge (Webster et al., 2008).
4. Relationship of power between members of CoP that can be reflected through how power is distributed and exercised (Cranston & Pels, 2017). Recognizing one's error can lead to defensive behavior (Coninck et al., 2009). Engrained culture of practice in which people do not embrace culture of freely sharing knowledge with peers and public (Yadav et al., 2015; Hulsebosch et al., 2015)

A CoP with enabling environment would provide a safe space for genuine discussion to build their knowledge and capacity (Mwakalinga, 2005; Handerson, 2005; Cranston & Pels, 2017; Ortiz-Echevarria et al., 2017). Decision-making within a CoP should be decentralized regarding priorities of the network by forging a horizontal, nonhierarchical, open, unregulated and informal network with bottom-up approach,

little organizational structure, and vertical lines communication, giving equal right to members to express their opinions and share experiences regardless of authority levels they have in organization they represent with their own devices (Mwakalinga, 2005; Handerson, 2005; Guzman, 2007; Cranston & Pels (2017); Ortiz-Echevarria et al., 2017)

Relationship and connectedness between community members

A CoP can become an effective network when members have a sociability linked with medium solidarity in which communication is regularly performed (Junne & Verkoren, 2005; Fullan et al., 2006; Carter et al., 2009; Clappison et al., 2013; Sethi, 2017). How members of CoP interact and the kind of relationship already existing between members influences how knowledge is shared and the efficiency of the resulting knowledge exchanged (Adam & Urquhart, 2009). A community with a strong existing relationship can be an important element in which members have known each other before starting knowledge network (Kapma, 2007; Clappison et al., 2013). Although community members are friendly and act like family (Doodewaard, 2006), domineering friendly nuance often leads to difficulties in agreeing on priorities and doing tasks or divisions to cooperate with each other (Carter et al., 2009)

Platforms providing relative anonymity in regard to voice, gender, and social status might be able to break down traditional group norms (Sethi, 2017). However, anonymity could be a challenge for building trust because contributors do not know their audience (Sethi, 2017) and contributors should show their credibility (Doodewaard, 2006). Building trust by encouraging an open knowledge sharing platform is an important element to the success of community collaboration and active participation with healthy relationship (Henderson, 2005; Hulsebosch et al., 2006; Doodewaard, 2006; Guzman, 2007; Gumann & Mullinax, 2015). It is important to stay connected to the community members to understand their responses to the ICTs deployed (Yadev et al., 2015).

Objective, mandate, structure, and system

A community of practice is a system of relationship and made up of community objectives to shape a collaborative culture rather than competition (Junne & Verkoren, 2005; Greenwood et al., 2017). Although different way of thinking, motivations, priorities, approaches, and knowledge base of community members (Hulsebosch et al., 2006; Nascimbeni, 2007; Sethi, 2017) provides an opportunity to draw on wide range of knowledge base, it can be a challenge to provide appropriate knowledge to each member (Clappison et al., 2013) and effective organization practice (White et al., 2014) due to different values CoP members bring and what knowledge is relevant for their priorities (Nascimbeni, 2007).

Based on a spectrum of formality and informality, members' relationships might be defined in detail, framed by structure and operational procedures, or nothing more than undocumented assumptions and past routines shaping the way the CoPs operate (Cranston & Pels, 2017). There is no specific blue print for the best structure and network dynamic (Hulsebosch et al., 2006; Fallah & Addai, 2017). Structure of the network should not be the focus of an intervention and should be explored based on

the objectives of the community and the nature of members relationship (Hulsebosch, 2006).

Communities should ensure that all members have identified and verbalized their intentions to participate to CoP develop stakeholder alignment and have a full understanding of what the CoP entails (Johnson & Khalidi, 2005; Sethi, 2017). It is important for a CoP to regularly connect activities to the larger learning goals and take responsibilities which they develop themselves in a flexible manner to respond changing environment and evolving needs (Henderson, 2005; Gumann; 2015).

Some CoPs might prefer less degree of formalization (organic, open, and informal) without organizational structure, brand, and office and depend on the internet to make them 'a network' focusing more on the relationship between people (Kapma, 2007). However, these communities might evolve to be more formal and governed with a legal entity because they need legitimation attract more funding and become more influential to achieve their objectives (Hulsebosch et al., 2006; Cranston & Pels., 2017).

Leadership roles of leaders

Commitment for sharing knowledge using a technology requires initiative and full support from the top management (Karetji, 2005; Johnson & Khalidi, 2005; Winslow, 2005; Henderson, 2005; Pels, 2009; Jensen, 2015; Yadav et al., 2015; Fallah & Addai, 2017; Greenwood et al., 2017; Ortiz-Echevarria, 2017). They can emphasize the benefit of knowledge sharing and treat participation as an important element by engaging with CoP's activities and or motivating their staffs to engage with CoP's activities (Winslow, 2005; Jensen, 2015; Fallah & Addai, 2017; Greenwood et al., 2017).

Leadership roles is not about a person with authority. These roles can be served by champions from non-management staff, who have leadership quality, strong technical capacity, passion to share their reference, energy and time to commit and devote to the CoP (Hulsebosch et al., 2006; Johnson & Khalidi, 2005; Fullan et al., 2006; Ortiz-Echevarria et al., 2017). Within a CoP, champions serve as a core group to engage members and or outsiders with different perspectives, balance clear challenge and manageable realistic steps (Hulsebosch et al., 2006; Fullan et al., 2006; Greenwood et al., 2017)

Role of intermediary

Junne & Verkoren (2005), Barrett et al. (2005), Henderson (2005), Johnson & Khalidi (2005), Hulsebosch et al. (2006), Coninck (2009), Clappison et al. (2013), Harvey & Catherine (2013), Gumann & Mullinax, 2015; Howland et al. (2015), Fallah & Addai (2017), Sethi (2017) recognize that intermediaries are one of key success for knowledge sharing activities. Selection of intermediary should be tailored specifically to the community, reflecting the complexity and structure of a network. The following are the types of intermediary found in the studies:

1. A facilitator who facilitates communication, keeps members 'hooked' into the network, use both diplomacy and conflict mitigation skills.

2. A technology steward who is responsible for members technological resources whose function is different from other intermediaries who facilitate and broker knowledge. This can be complemented by another intermediary who possess social and organizational skills since most of CoPs do not only require technical assistance
3. A knowledge broker who translates information, bringing tacit and explicit knowledge from network.

Intermediary should moderate interaction in balanced manner to create a relevant interaction by maintaining quality of contribution while balancing participation (Junne & Verkoren, 2005; Fullan et al., 2006). Moderation should not be used as a censorship mechanism, but rather as means to encourage knowledge sharing process (Henderson, 2005). An over-moderated community would inhibit participation of members by excluding genuine exchange, resulting in a stifled discussion (Junne & Verkoren, 2005; Henderson, 2005).

Sustainability

Community sustainability refers to their ability to continue existing in autonomous manner and flourish beyond their initial funding after donor organization has departed (Mwakalinga, 2005; Hulsebosch et al., 2006; Fullan et al., 2006; Rao, 2008; Cranston and Pels (2017). There are three attributes of sustainability that can be indicators for a successful CoP, which are network sustainability, political sustainability, and financial sustainability.

Network sustainability refers to the ability of CoP to deal with membership issues (Hulsebosch et al., 2006). A CoP with volunteer participation depends on social capital rather than funding (Kapma, 2007; Cranston & Pels, 2017). Political sustainability refers to the ability to build its institutional and political legitimacy by fostering strategic alliance, leveraging the relationship for dealing with development issues, and speaking for wider constituency base through policy impact and policy change (Johnson & Khalidi, 2005; Hulsebosch et al., 2006)

Financial sustainability refers to the ability of CoP in organizing resources for their activities through network resource (e.g. member fees and service fees) and grant (e.g. from donor organization and private corporation (Hulsebosch et al., 2006). Inadequate funding has been one of the greatest challenges for a CoP to continue existing (Junne & Verkoren, 2005; Oronje, 2006; Howland et al., 2015). A CoP has a better chance of continuity by diversifying sources of funds (Johnson & Khalidi, 2005).

Participation and reification

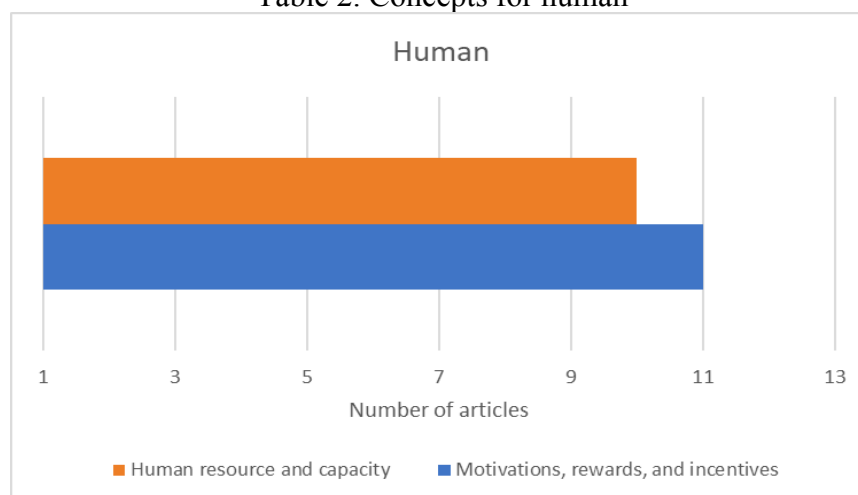
Some CoPs might aim for membership outreach and new linkages by attracting active members and moving the championship roles away from core group of members. The purpose of this effort is to balance between internal exchanges and external view point, to increase sense of belonging and connectedness of members, and to increase opportunities for funding (Junne & Verkoren, 2005; Hulsebosch et al., 2006; Fullan et al., 2006; Fallah & Addai, 2017). Limited networking due to lack of heterogeneity has limited the dissemination of knowledge to the targeted audience (Oronje, 2006).

However, there are numerous concerns related to too broad and diverse community to enable meaningful exchange. Some CoPs might prefer smaller and more confidential

forum where they are able to openly and to have more meaningful exchange. The setbacks of smaller forum are that members are homogenous, limiting innovative capacity because of less varied frames of references and streams of thought (Jenne & Verkoren, 2005). Furthermore, they miss the opportunity to share knowledge between a larger numbers of people (Howland et al., 2015).

Human

Table 2. Concepts for human



Motivations, rewards, and incentives

Voluntary participation is highly appreciated when individuals create and join CoPs. Active participation and commitment followed by passion and enthusiasm by community members contributes greatly to the process of knowledge sharing (Ortiz-Echevarria et al., 2017). However, voluntary motivation has its limitation because this kind of participation does not provide direct personal benefit to the members, except for inherent satisfaction in sharing with others (Yadav et al., 2015). Four literatures (Jenne & Verokeran, 2005; Doodewaard, 2006; Yadav et al., 2015; Howland et al., 2015) provide examples in which community members contribute to knowledge sharing activities due to external imposition and mandate set by entities with political and financial power.

Voluntary motivation can result in low level of participation and or decreased participation caused by lack of incentive for engagement, lack of motivation to contribute content, barriers to participation, low interactivity, lack of feedback and limited sharing of knowledge (Munthali et al., Winslow, 2005; Jenne & Verkoren, 2005; Clappison et al., 2013; Yadav et al., 2015; Devare et al., 2017; Sethi, 2017). Network can dissolve when level of participation decreases and the incentive to join a CoP is removed (Jenne & Verkoren., 2005; Clappison et al., 2013; Yadev et al., 2015). Under these circumstances, it is important to provide a sense of gratification to community members for their contribution by applying appropriate incentives (Henderson, 2005; Yadev et al., 2015)

Sethi (2017) emphasizes that it would be helpful to understand diverse individuals' motivations when creating and joining CoPs to shape the network in a way that would

address those intentions. Seven articles mentioned by Sethi (2017) have identified possible motivations to participate and contribute to CoP. Following are various motivations and possible incentives that can be applied:

- Extrinsic motivation, such as personal development, professional identity, capacity development, status and career advancement (Yadev et al., 2015; Sethi, 2017)
- Intrinsic motivation, such as reputation, altruism, and moral obligations to share knowledge (Yadev et al., 2015; Sethi, 2017)
- Interpersonal factors which consist of liking, emotional benefits, feeling of attachment to community, shared values or vision, and networking (Yadev et al., 2015; Sethi, 2017)

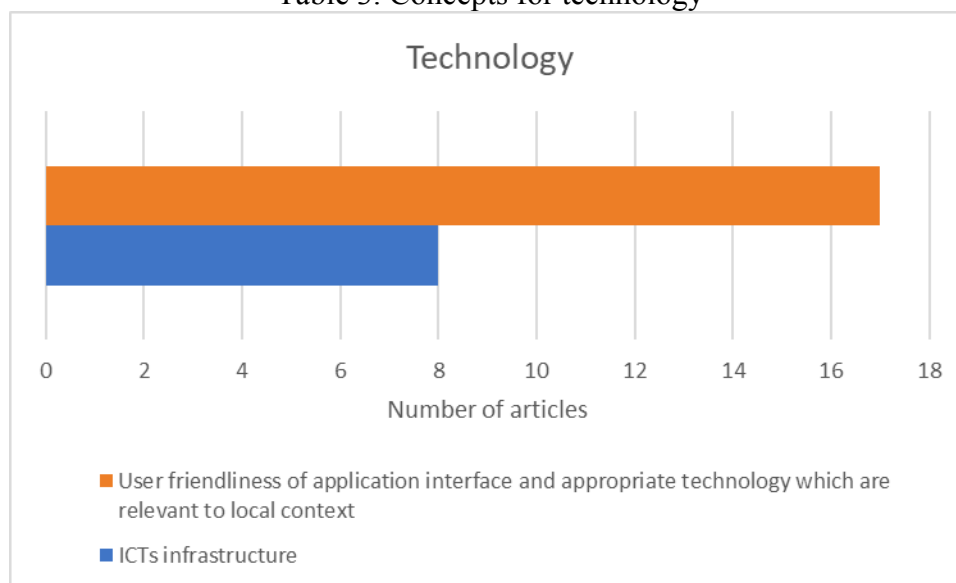
Various rewards can be applied for community members based on their motivation to participate and contribute (Yadev et al., 2015). Extrinsic and intrinsic motivations can be rewarded by a competitive system offering championship or a system which provides monetary gain (Yadev et al., 2015; Devare et al., 2017) while interpersonal motivations can be rewarded by institutionalizing some form of recognition and acknowledgement for contribution (Henderson, 2005; Yadev et al., 2015). For instance, community's recognition on members' good practices boosts them to drive them to develop good practices and share them (Henderson, 2005).

Human resource and capacity

Maximizing utilization of ICTs is not easy to achieve when users lack of knowledge, skills, and self-efficacy to use ICTs (Barrett et al., 2005; Mwakalinga, 2005; Junne & Verkoren, 2005; Oronje, 2006; Doodewaard, 2006; Yadev et al., 2015; and Howland et al., 2015). In addition, community members lack of ability to document their activities and lack of capacity to put knowledge into action because they do not understand how to find, value, absorb, assess critically and interpret knowledge made available through online platform (Karetji, 2005; Oronje, 2006; Doodewaard, 2006; Hammill et al., 2013; Howland et al., 2015). Another sensitive issue that is not easy to confront is a strong generational distinct in aptitude and enthusiasm concerning ICT opportunities in which senior members often feel reluctant to express this inclination or seek assistance (Carter et al., 2009). Building confidence by 'nurturing' network through workshop and training allowing members become familiar with the technologies and knowledge sharing methods is paramount to the success of networking (Hulsebosch et al., 2006; Guzman, 2007; Pels, 2009; Carter et al., 2009; Howland et al., 2015).

Technology

Table 3. Concepts for technology



ICTs infrastructure

Eight articles (Mwakalinga, 2005; Winslow, 2005; Oronje, 2006; Doodewaard, 2006; Guzman, 2007; Hammill, 2013; Yadav et al., 2015; Howland et al., 2015) mentioned digital gap and limited basic infrastructure as one of the most tangible challenge for knowledge sharing using ICTs. Adequate ICT infrastructure can be achieved through government and private company support (Yadav et al., 2015 and Howland et al., 2015)

User friendliness of application interface and appropriate technology which are relevant to the local context

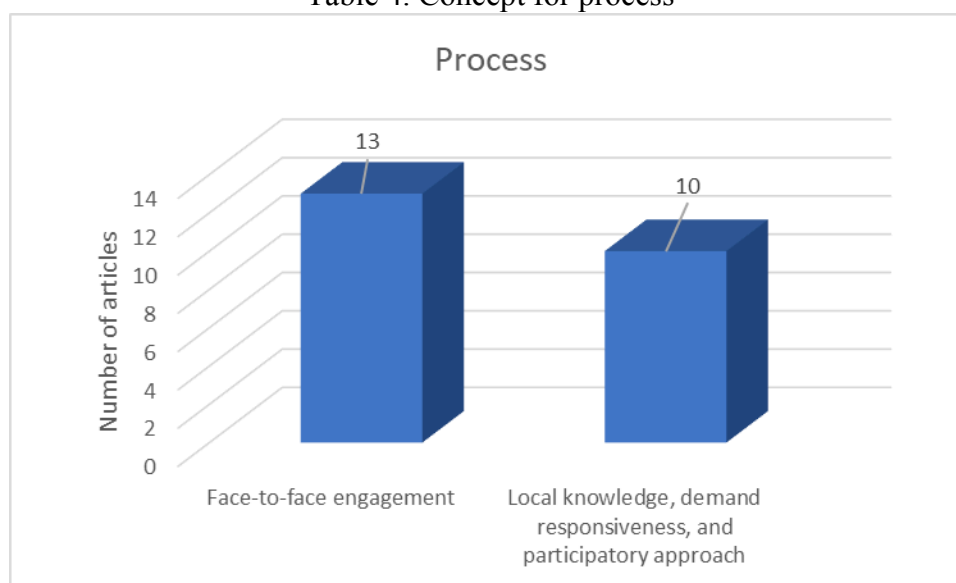
ICTs are able to remove the geographical barrier for people to connect with each other, but this condition can be materialized when these technologies are used, because tools cannot impose community members to share knowledge, interact to each other, and change behavior (Pels, 2009; Sethi, 2017)

User-friendly platforms that both speak to real needs of users and can be utilized without massive investment of time, money, or energy has been recognized as one of the main indicators for success factor for knowledge sharing using ICTs (Hardon, 2005; Doodewaard, 2006; Fullan et al., 2006; Guzman, 2007; Hartwich et al., 2007; Carter et al., 2009; Hammill et al., 2013; White et al., 2014; Yadav et al., 2015; Howland et al., 2015; Fallah & Addai, 2017; Sethi, 2017; Ortiz-Echevarria, 2017). In building a knowledge sharing platform, methodologies and tools should be framed by users' respective, needs, priorities, preferences, context, practices, perceived social and economical barriers (Clappison, et al., 2013 Hammill et al., 2013; Howland et al., 2015; Yadav et al., 2015; Sethi, 2017). Communities do not need latest, most advanced, and tailor-made technologies, but tools that they can use to access knowledge and information (Doodewaard, 2006; Guzman, 2007; Hartwich, 2007). Furthermore, developing and maintaining edge-cutting technologies can be costly for users (Carter et al., 2009), leading for disincentive to use the technologies.

Incorporating relevant, attractive and easy to use technology to build a safe space where community members are able to share conveniently (Guzman, 2007; Carter et al., 2009; Sethi, 2017). There is a growing research highlighting the need to explore technologies beyond web-based communities (Hammill et al., 2013) and promote the creation and communication of tacit knowledge to facilitate culture of oral tradition and literacy problem that remain pervasive in some contexts (Oronje, 2006; Hartwich, 2007). Pattern of ICTs utilization, exploration of previous exposure on technologies and current technologies capabilities should be taken into account when deploying and developing technologies used for knowledge sharing (Mwakalinga, 2005; Hardon, 2005; Guzman, 2007; Yadav et al., 2015; Sethi, 2017).

Process

Table 4. Concept for process



Face-to-face engagement

ICTs can expand the reach and enhance knowledge sharing activities, but human dimension which can be carried through by face-to-face interaction beyond technological exchange remains an crucial element for the success of knowledge sharing activities (Johnson & Khalidi, 2005; Henderson, 2005; Carter et al., 2009; Hulsebosch et al., 2006; Doodewaard, 2006; Nascimbeni, 2007; Clappison et al., 2013; Hammill et al., 2013; Howland et al., 2015; Sethi, 2017).

Offline engagement through ICTs is a mean to share knowledge that should be used strategically as both starting (Clappison et al., 2013) and ending points (Junne & Verkoren, 2005). Tool such website serves as a one-way communication to display information and website which might not be interactive, but the content displayed on website is often the results of intensive interaction (Junne & Verkoren, 2005)

Face-to-face engagement is one of strategies to deploy, especially for a community that is accustomed to oral transmission (Doodewaard, 2006). It is essential for building social capital (Johnson & Khalidi, 2005), community identity (Henderson, 2005), trust (Henderson, 2005; Clappison et al., 2013; Sethi, 2017) and confidence of

CoP members (Hulsebosch et al, 2006; Clappison et al., 2013) . Members are more comfortable to share their opinion and find harmony with each other (Clappison et al., 2013). The existence of offline engagement facilitated by an intermediary has been proven to improve network members' capacity to utilize knowledge for their own good (Howland et al., 2015). Offline engagement is also able to provide opportunities to encourage passive members to be more active for seeking idea exchange and contributing to the community (Howland et al., 2015; Fallah & Addai, 2017).

Local knowledge, demand responsiveness and participatory approach

Some communities depend on tacit knowledge and have a strong oral tradition (Guzman, 2007; Howland et al., 2015). They depend on their experience and expertise stored in their minds as tacit knowledge and generally pass these knowledge around by word of mouth instead of written record (Karetji, 2005; Doodewaard, 2006; Guzman, 2017; Howland et al., 2015). In consequence, when local knowledge and practice are not told and lost, there is no way to obtain the knowledge (Guzman, 2007), limiting knowledge exchange on a broader scale due to distance and time (Karetji, 2005; Coninck, 2009; Howland et al., 2015) because it is more difficult to access tacit knowledge stored in the minds of people. In this sense, documented knowledge is more reliable to be transferred.

Recent trend of knowledge management has been focusing on capturing, codifying, documenting, and sharing knowledge using ICTs to avoid those lost knowledge. However, this trend has led to generally misunderstood rationality that knowledge is an object which is separable from the individual holds it (Berrett et al., 2005). Consequently, those who accustomed to strong oral tradition are required to change their habits in managing knowledge which is difficult to do (Doodewaard, 2006) because it requires energy, time, and motivation. Resistance and refusal to these changes are commonly found in knowledge sharing communities (Nascimbeni, 2007; Carter et al., 2009).

This trend has been exacerbated by little recognition on local knowledge regardless its applicability to the local needs, knowledge generated from previous development interventions and language used by local communities (Karetji, 2005; Oronje, 2006; Clappison et al., 2013; Yadav et al., 2015). Internet is dominated by English language, limiting access for a community who does not speak the language (Mwakalinga, 2005). Establishing platform for knowledge sharing does not only take account of language, but also the kinds of symbols, images, and wording used within a language that are relevant to the community (Barrett, 2005; Guzman, 2007)

Acknowledging local knowledge, profiling existing knowledge resources, a combination of technologies, and cross-cultural communications should be considered to promote knowledge accessible for local and global connection. (Henderson, 2005; Oronje, 2006; Guzman, 2007; Sethi, 2017). Development agencies supporting a CoP's knowledge sharing activities should adapt global knowledge and technology to the local context by localizing global knowledge practice and acknowledging local knowledge and needs (Guzman, 2007; Nascimbeni, 2007). Certain parts of knowledge production and codification should be standardized to help the transfer of local knowledge into other contexts or global perspective (Nascimbeni, 2007).

Conclusion

Multiple development actors join and participate communities of practice for collaboration purpose to tackle development problems by sharing their knowledge and experience. Individuals might represent themselves or their organization that are originally an independent entity before participating CoP. When these individuals become members of CoP, they will develop interdependent relationship. Interdependence among community members can be seen by the interaction between diverse actors with different perspective, motivation, and contribution to negotiate a common and accepted pattern for knowledge sharing using ICTs.

This study has identified challenges and success factors in knowledge sharing activities conducted by CoPs using ICTs based on four parts: (1) organizational and networking, (2) human, (3) technology, and (4) process. Learning for independence and interdependence among members is therefore a necessary factor to identify these challenges and success factors.

The biggest limitation in this study was the a great number of literatures about the topic, but limited access to the resources. A greater number of literatures and diverse databases can increase rigorous of the study. Another limitation is that this study does not distinct 'community of practice', 'learning network', and individuals who participate in a series of knowledge sharing activities, thus, some challenges and success factors identified in one study can not be translated to another one, thus this study has the potential to sit in the spectrum of aggregative rather than interpretative.

Future work of this study is the development of survey questionnaire and focus group interview questions for CoP members who use knowledge sharing platform within their network based on the concepts developed in this study. The purpose of future study is to find consistency and inconsistency with the findings from this study, then to conduct comparative study.

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Contact email: sahriah.alam@gmail.com



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Naka Ward, Nagoya, Aichi
Japan 460-0008
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