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When Fraud Wears Religious Cassocks

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Abstract
Taiwan is a social environment with a great diversity of religions. Taiwanese people have the freedom of beliefs and are enthusiastic about making donations. However, due to the lack of Religious Groups Act, namely the charity law, it accidentally leads to the establishment of social associations in the name of religious charities around everywhere, and some of them have expanded like the scale of listed companies. On the other hand, the government has no legal source able to supervise and audit the donated property to know whether it is truly used for the purpose of charity or public welfare; Taiwan has become a hotbed of religious financial crime under the freedom of religions protected by the constitution. Thus, this paper aims to propose a hypothesis that if the multi-level marketing of Ponzi scheme is used on charitable fundraising, assisted by the donated property as capital, and combined with the corporate management, a religious association claiming to be engaged in charities will possibly transform into a business like a Ponzi enterprise. To enable the government to safeguard the property of public welfare and the interests of donators’ personality right through more positive measures, suggesting that the Taiwan law-making department should pass the Religious Groups Act as soon as possible.

Keywords: religious groups, donated property, Ponzi scheme
Introduction

1. Research Background

This study is based on the background of the Taiwan social environment with a great diversity of religions. Taiwanese people having the freedom of beliefs are enthusiastic about joining charitable activities and generous in making donations. There are at least 27 kinds of religious associations in Taiwan, including Buddhism, Tibetan Buddhism, Taoism, Christianity, Catholics, Islam, and so on. It can be seen that various religions are thriving and robust in Taiwan. A researcher observed that Taiwanese people have a great deal of affection of investing time and money in joining religious activities far more than those of other types of associations. In terms of social work, it does not only reveal the cultural and moral significance, but also reflects an outlook of the society.\(^1\)

The Act of Supervising Temples was enforced in Taiwan in 1929 without any provisions of audit and liability to ensure financial transparency. According to the Taiwan Ministry of the Interior, there are roughly about 18 religions practicing in Taiwan. With numerous new religions and some religions' commercialization, the Cabinet believed that it's necessary to regulate religious organizations' operations by enacting the draft of Religious Groups Act. The bill was later introduced to the legislature's Home and Nations Committee on Dec. 18, 2002. If the bill were passed into law, all religious organizations in Taiwan would have been required to register with local governments' civil affairs departments. In compliance with the registration, religious organizations would have to describe their activities and list their assets to prevent the fraudulent solicitation of funds. Under the regulations, religious organizations would have been allowed to found religious schools to be eligible for Ministry of Education accreditation if they met ministry criteria.

In other words, currently, due to the lack of related laws to govern religious groups, it accidentally leads to the establishment of social associations in the name of religious charities around everywhere in Taiwan where some have expanded like the size of listed companies. The government has no legal grounds to supervise and review the donated property whether it is truly used for the purpose of charity and public welfare, or not.

2. The nature of religious groups

A religious association must be non-profitable by law, namely, one type of non-profit Organization (NGO). Thus, the so-called religious groups or associations are usually divided into three categories: foundation legal person, temple, and social association. To comply with the definition of non-profit organization, religious groups must first register with the court as a foundation legal person so to fit in the category of non-profit organization (NGO)\(^2\). In contrast with other religious NGO, churches commonly involve in partial charities but pay more attention to theological Studies,

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doctrinal preaching and believers managing, with strong religious awareness. However, many religious groups in Taiwan seem to be walking on the legal boundary between profitable business and religious studies, which have become religious corporations, neither entirely non-profit nor devoted to the religious school, which contradicts the religion’s nature like a distorted structure.

3. What is a Ponzi scheme

The Ponzi scheme appeared in the early 20th century of the United States. Its name comes from the fraud leader Charles Ponzi. It developed from the pyramid scheme. A Pyramid Scheme is a business model that recruits members via a promise of payments or services for enrolling others into the scheme, rather than supplying investments or sale of products or services. Its basic concept is that an organization compels individuals to join and make a payment. In exchange, the organization promises its new members a share of the money taken from every additional member that they recruit. For the directors, the scheme is potentially lucrative, and the organization’s membership has a strong incentive to continue recruiting and funneling money to the top of the pyramid. Such organizations seldom involve sales of products or services with value. Without creating any goods or services, the only way for a pyramid scheme to generate revenue is to recruit more members or solicit more money from current members. Eventually, as recruiting multiplies, recruiting becomes quickly impossible, and most members are unable to profit; as such, pyramid schemes are unsustainable. A well-known example is the Hong-Yuan organization, running a Ponzi scheme, set up in 1981 in Taiwan, all of a sudden bankrupted in 1990, after having absorbed USD 90 billion dollars.

Some companies operate as pyramid schemes, and consumers often confuse legitimate multi-level marketing (MLM) with pyramid schemes. Their difference is that the legitimate MLM actually sell their product to members of the general public, without requiring these consumers to pay anything extra or to join the MLM system. MLM’s may pay commissions to a long string of distributors, but these commission are paid for real retail sales, not for new recruits. Nevertheless, pyramid schemes however may purport to sell a product, but they often simply use the product to hide their pyramid structure. While some people call MLMs in general pyramid selling, others use the term to denote an illegal pyramid scheme masquerading as an MLM.

The pyramid scheme applies the MLM to recruit members and collect money. If the MLM can be adopted in a legal business, it will be possible to be used in a Ponzi scheme by setting up a religious non-profit organization. Recalled in December of 2008, Bernard Madoff, the former NASDAQ Chairman and founder of the Wall Street firm Bernard L. Madoff Investment Securities LLC, admitted that the wealth

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management arm of his business was an elaborate Ponzi scheme. Madoff founded the Wall Street firm Bernard L. Madoff Investment Securities LLC in 1960, and was arrested on December 11, 2008. Prosecutors estimated the size of the fraud to be $64.8 billion, based on the amounts in the accounts of Madoff's 4,800 clients as of 2008. One of the causes that Madoff's kingdom could have existed over 40 years before it fell is the founder was a trusted, well-known person at the time.

4. A Hypothetical Proposition

This paper, accordingly, wants to propose a hypothetical proposition that if the multi-level marketing of “Ponzi scheme” is applied onto the charitable fundraising mechanism, assisted by the donated property as corporation capital, and combined with the managerial model, those religious groups claiming charities will possibly transform into a business like a "Ponzi Enterprise". Imagine that religious volunteers who receive no wages from the organization, and instead, their only incentive received is to be acknowledged as a pious follower. It is a great honor to be conferred a holy Buddhist name by the religious leader. In addition, through the multi-level volunteers to recruit members, if each senior member manages 40 volunteers in below who solicit at least 60 US dollars per month respectively, how much a religious organization of having over 100,000 volunteers can collect a day from all over Taiwan. It is worth attention that these members and volunteers are free, no labor costs. In other words, as long as the donated property comes in constantly, such an upgraded Ponzi Enterprise will not fall.

Certainly, a religious organization can raise fund easily in public because they promise to help the people who suffer from disease, poverty, and any disastrous events. However, what if only a small portion of the fund actually used on the aforementioned people in need, and far less than the proportion of that should be spent. Would it be charged with fraud or not, and what our government can do about it? We will discuss next to support our contentions presented in this paper.

Conclusion

1. Free assembly and association

The articles 13 and 14 of Taiwan Constitution ensure the freedom of belief, and the freedom of assembly and association. Besides, under the article 4 of the Civil Associations Act (CAA), civil associations are divided into three categories: occupational associations, social associations, and political associations. The organization established by religious groups generally belongs to the category of social associations. Although the article 39 of CAA requires a social association must obey its initial founding purpose, i.e. to promote culture, academic research, medicine, health, religion, charity, sports, fellowship, social service, or other public welfare. A professor at the Department of Religious Culture and Organization Management, Aletheia University, Taiwan said to the media that the Tzi-Chi religious association has acquired billions of dollars every year through fundraising from the public. However, the fund’s use is not transparent and not in accordance with the

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requirement of at least 70% of which must be spent in doing charities. Moreover, these religious groups that promise to be engaged in charities enjoy tax exemption and purchase state-owned lands with low prices.

2. A likely Ponzi enterprise

Generally speaking, a religious-based charitable association is set up by the donated property, which is in nature a legal person and must be engaged in doing charities or public welfare. Citing the most recent case as examples, the Taiwan Supreme Administrative Court ruled that Buddhist Tzu Chi Medical Foundation is not fully devoted to charities because only 1.19% and 1.11% of total revenues are spent on charitable activities, and merely 1.48% and 1.56% of total expenses are used for the charitable purposes. The Court denies Buddhist Tzu Chi Hospital’s appeal with the following reasons: (1) Appellant registered as a foundation, meaning a non-profit organization. However, a medical foundation that is formed as a corporate foundation must operate for the purpose of public welfare. (2) Appellant uses the donated property to set up a hospital but only takes out 1% from its medical net income annually for doing charities. From such a tiny proportion of usage in charities, obviously, it does not meet the requirements as a foundation. (3) Moreover, the statements of charitable expenditure and the execution report of charities are produced by the appellant, which record financial auxiliary expense for individual cases, auxiliary expense for promoting body organ’s donation, expense for organizing patients groups, expense for community and home care, expense for community hygiene education, expense for training volunteers, expense for free clinic, expense for referral and consultation and so on. Despite the aforementioned accounts presented to the court, they are made by the appellant and the Court received no confirmative evidence able to judge those expenses are true. Consequently, the Court ruled that the Buddhist Tzu Chi Hospital is not a substantially charitable religious organization, thus, not entitled to enjoy exemption from taxations anymore.

3. Difficulty in proving fraud

Due to legislative insufficiency, even if donators discover the donated money is not used properly or in proportion for the purpose of charities, the only remedy for donators is to sue for the breach of oral promise or financial fraud. According to the article 339 of Taiwan criminal law, a person who by fraud causes another to deliver to him property belonging to such other or to a third person for purpose to exercise unlawful control over other’s property for himself or for a fourth person shall be sentenced to imprisonment for not more than five years or short-term imprisonment; in lieu thereof, or in addition thereto, a fine of not more than five hundred thousand dollars may be imposed. A person who by the means specified in the preceding paragraph takes an illegal benefit for himself or for a third person shall be subject to the same punishment. An attempt to commit an offense specified in one of the two preceding paragraphs is punishable. That is, to constitute fraud, the prosecutor must bear the burden of proof to prove the defendant’s subjective intention and objective

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9 Taiwan Supreme Court Administrative Case No. 144 (2013).
10 Art. 339 of the Taiwan criminal law.
act to be able to satisfy with the statutory requirements, i.e. the defendant’s intent and deliberate fraudulent act. In brief, deceptive tactics and illegal possession of other’s property are the cause and effect which constitute a financial fraud.

Regrettably, a fund solicitor’s subjective intent is hard to be proven, if she contends that she does believe the donated property will be used for charities, and she knows nothing about where the money goes. Needless to say that the donated property is public assets, but there are no laws for the government to audit its flow and usage. Moreover, there is no way to stop personal donations from flowing into these charitable religious organizations. Ironically, the numbers of suicidal events, poor people, and those who need help do not significantly decrease in Taiwan every year. As a routine donator, I couldn’t help thinking that if the donated property is not mostly used onto those people in need, I am actually a giver or a part of the Ponzi scheme?

4. Court decisions on religious fraud

In United States v. Bakker, James O. Bakker was a well-known televangelist in the United States. He was convicted of fraud but later appealed to challenge his sentence on the grounds that the trial judge's personal religious beliefs tainted the sentencing. In 1974, James Bakker formed a corporation known as the PTL. PTL stands for "Praise the Lord" and "People that Love." The PTL's activities soon expanded from their initial focus on televised religious broadcasting. For example, in the late 1970s PTL began construction on "Heritage USA," described by PTL officials as a Christian retreat center for families. The concept of the center became increasingly ambitious. In 1983, Bakker announced plans to enlarge the center by adding a vacation park, "Heritage Village," that would include the 500-room Grand Hotel. Between 1984 and 1986, appellant announced further proposals to expand the Village by constructing the Towers Hotel, 50 bunkhouses, and several additional facilities.

Bakker planned to finance these projects by selling lifetime partnerships. He offered eleven different partnership programs ranging in cost from $500 to $10,000. Eight of the partnerships promised benefits that included annual lodging in one of the Heritage Village facilities. In January 1984, appellant began using the mail to solicit lifetime partners. Also, from February 1984 through May 1987, Bakker used broadcasts carried on the PTL Television Network and various commercial affiliates to solicit lifetime partners. Many of these partners drew on meager incomes to purchase Heritage Village lodging benefits. Appellant raised at least $158 million through the sale of approximately 153,000 partnerships with lodging benefits.

Bakker promised television viewers that he would limit the sale of partnerships to ensure that each partner would be able to use the facilities annually. Appellant, however, oversold the partnerships. He promised, for instance, to limit the sale of Grand Hotel partnerships to 25,000 but actually sold 66,683. In addition, Bakker used relatively few of the funds solicited from the partners to construct promised facilities. Instead, Bakker used partnership funds to pay operating expenses of the PTL and to

12 Id.
13 Id.
support a lavish lifestyle. This extravagant living included gold-plated fixtures and a $570 shower curtain in his bathroom, transportation in private jets and limousines, an air-conditioned treehouse for his children and an air-conditioned doghouse for his pets. This combination of overselling partnerships and diverting partnership proceeds meant that the overwhelming majority of the partners never received the lodging benefits Bakker promised them.

In response to these activities, a grand jury on December 5, 1988 indicted Bakker on eight counts of mail fraud in violation of 18 U.S.C. Sec. 1341, fifteen counts of wire fraud in violation of 18 U.S.C. Sec. 1343, and one count of conspiracy in violation of 18 U.S.C. Sec. 371. Bakker's trial began on August 28, 1989 and lasted five weeks. The jury found him guilty on all 24 counts. The court sentenced him to 45 years imprisonment and fined him $500,000. Bakker raises a host of challenges to his conviction. 

The United States Court of Appeals, Fourth Circuit, concludes that Bakker's trial was free of reversible error. In regard to his sentence, the Court agrees with Bakker that the trial court abused its discretion by taking impermissible considerations into account when sentencing him. During sentencing, the judge stated of Bakker: "He had no thought whatever about his victims and those of us who do have a religion are ridiculed as being saps from money-grubbing preachers or priests." Bakker contends that these comments reveal that the trial judge abused his discretion and violated due process by factoring his own sense of religiosity and victimization into the sentence he imposed on Bakker. Circuit Judge Wilkinson re-stressed that the Court remands this case with genuine reluctance. Yet, the fact remains that this case involves the explicit intrusion of personal religious principles as the basis of a sentencing decision; at least, that is not an unfair reading of the trial court's comments in this case. Finally, Bakker’s conviction is affirmed, sentencing remanded.

Taiwan has experienced a number of scandals in recent years involving religious organizations illegally soliciting donations. For example, Chi-Li Sung, a cult leader who claimed to have supernatural powers, was alleged to have illegally solicited several million dollars in donations and was sued by some of his followers for fraud in 1997. Next, in 2001, some 1,800 former followers of Tai Ji Men Qigong Academy accused the head of the academy, Shih-Ho Hong, of taking money from them while they were studying with him. Similar cases, such as the defendant Hongming Lin has preached Taoism through television and radio broadcasting for many years, who claimed able to help audiences modify misfortune then further established a Super Century Company by selling shares and distributing bonus to their members, exactly adopting the Ponzi scheme. He has acquired illegal amount up to more than 40 million dollars. Another defendant Qiu Bihui also used the same trick, who declared as a teacher of spirit able to communicate with the ghosts, by selling magic stones to heal sick people. There are many other cases with regard to religious crimes; for example, the defendants committed sexual abuses, and whipped a teenager to death.

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14 Id.
15 Id.
16 Taiwan Supreme Court Criminal Case No. 111 (2014).
17 Id.
18 Taiwan Supreme Court Criminal Case No. 3692 (2013).
by exercising the black arts\textsuperscript{19}.

Moreover, the US court papers just released a piece of news that, Taipei Smartphone maker HTC Corp’s founder, Cher Wang, was defrauded out of US$7.4 million dollars by a church elder couple. The US Attorney’s Office, Northern District of California, said Jonathan Chang, aged 60, and his wife, Grace Lee Chang, aged 57, were the defendants. Plaintiff, Wang and her husband, Wen-chi Chen are devout Christians and that they founded the “Faith, Hope, Love Foundation” to support Christian organizations around the world. Defendants, Jonathan Chang and his wife served as church elders between 2002 and 2011 and were in charge of the church’s finances, allegedly remitted the money given by Wang, to the organization they set up, instead of the church. In other words, defendants did not inform the church about the donation and diverted the money into their personal account\textsuperscript{20}.

5. Foreign legislature for reference

Estonia is a developed country with an advanced, high-income economy that is among the fastest growing in the EU. Since Taiwan and Estonia have some similarities, we especially studied the Estonian Churches and Congregations Act and summarized its points as follows\textsuperscript{21}: Chapter one, general provisions, §1(1) declares the purpose of the Act is to provide the procedure for membership of churches, congregations, associations of congregations, monasteries and religious societies and the regulation of their activities in order for freedom of religion as ensured for everyone by the Constitution to be exercised. §1(2) reminds of the provisions of the Administrative Procedure Act that applies to administrative proceedings prescribed in this Act. §2(1) defines religious associations. §3(1) stresses the main activities of churches, congregations, associations of congregations, and monasteries include professing and practicing their faith, primarily in the form of religious services, meetings and rites, and confessional or ecumenical activities relating to morals, ethics, education, culture, and confessional or ecumenical social rehabilitation activities and other activities outside the traditional religious rites and services of the churches or congregations. §3(2) requests that the objective or main activity of churches, congregations, associations of congregations and monasteries shall not be the earning of income from economic activity. §3(4) accounts for that a religious society shall be entered in the non-profit associations and foundations register pursuant to the procedure prescribed by the Non-profit Associations Act. §5(1) explains that a religious association is a legal person in private law with regard to whom the Non-profit Associations Act applies in.

Next, chapter 2 declares freedom of religion of individual. Chapter 3 accounts for the procedures of foundation, registration, merger, division and dissolution of religious associations. Chapter 5 highlights the formation of a minister of religion and its management board. Chapter 6 lists the most important rules about how to deal with the assets of religious associations. §25(5) enable a religious association to organize

\textsuperscript{19} Taiwan Supreme Court Criminal Case No. 622 (2016).
\textsuperscript{21} Estonia Churches and Congregations Act, 2002.
the accounting pursuant to the provisions of the Accounting Act and its statutes, in which annual report is a must. That is, once a religious association and religious society enters in the non-profit associations and foundations register, it shall submit an annual report pursuant to subsections 36(5) and 78(3) of the Non-profit Associations Act. In addition, §26(1)(2)(3) orders that a review or audit may be called for pursuant to the procedure established in the statutes; the members of the management board and of other bodies shall allow controllers or auditors to examine all documents necessary for conduct of a review or audit and shall provide necessary information; and the controllers and auditors shall prepare a report concerning the results of a review or audit and present the report to the body which called for the review or audit. §27(1) specifies that upon dissolution of a congregation or monastery which belongs to a church or association of congregations, the assets remaining after satisfaction of the claims of creditors are transferred to the corresponding church or association of congregations. Moreover, upon termination of the activities, as specified in the statutes, of a church, an association of congregations, a congregation or monastery which does not belong to a church or association of congregations, the assets remaining after satisfaction of the claims of creditors are transferred to the state and may be used only for charitable or educational purposes. In last, Chapter 7 claims application of this Act to religious associations.

6. Suggestions

Faith is a powerful motivator. While there was no spiked punch in Gerald Payne’s Ponzi scheme, there was a lot of bilking, dishonesty and greed, all in the name of God. In the 1990s, Payne and his cohorts devised a massive pyramid scheme that would ultimately divest roughly 18,000 people of between $450-$500 million dollars. Undelivered returns of both faith-based and monetary investments finally brought the scam to a sticky halt. Despite the legal victory, many of the faithful investors never saw their money again. Dr. David Barrett, the first editor of the World Christian Encyclopedia and a researcher for the Study of Global Christianity Center, has been studying religious financial fraud for more than 20 years. According to an estimate from the Center’s researchers, Christian religious leaders will commit $90 million in financial crimes daily and the fraud is growing at a rate of 5.97% each year. If the researchers are correct, religious financial fraud among Christians will almost double in 14 years to $60 billion annually by 2025.

From the contractual aspect, when religious associations promise to use the donated property on charities, they should bear the liability to have their words come true and actively demonstrate to the public what work they have done and how they use the money to accord with the regulations. Once they fail to do so, they are not allowed to fundraise or solicit donations by law. Hence, it is necessary to pass the Religious Groups Act in Taiwan to confer the enforcement the legal source to carry out governmental duties and functions of protecting public assets because NGOs also enjoy all kinds of exemption from taxation. Moreover, the forepart of the article 339

of Taiwan criminal law aims to ensure people’s legal interests of property and personality rights. There are no donators who would like to be treated like fools, if they would have known their donated property put into certain cheaters’ private pockets. Citing the Taiwan Judicial Yuan Interpretation No. 372, the maintenance of personal dignity and the protection of personal safety are two of the fundamental concepts underlying the constitutional protection of the people's freedoms and rights. The donators of course have the rights to know and see the proof how their donated property is used.

The Act of Supervising Temples in Taiwan has enacted over 20 years which is obviously out of date. There are many problems regarding temple’s illegal buildings, lands, personnel, taxations, donations and so on, which have not been solved properly for a long time. In addition, the legal forms, the supervision of fundraising, the donated property’s usage, the stepping into profitable business, and taxations of the Buddhist charitable organizations were controversial topics that have stirred heated discussions lately in Taiwan. The bill aimed at acknowledging the wide range of religions now having practiced in Taiwan, stamping out fraud by religious organizations and allowing religious schools to apply for official recognition of their qualifications, passed its first reading in the legislature. Unfortunately, the bill have been very quiet since 2002 to 2016, and now still stuck in the Legislative Yuan waiting for review. Religious organizations violating the law will be disbanded by the government, if the Legislative Yuan passes the draft. The bill will finally give the authorities a legal basis to regulate religious organizations' operations in Taiwan. The bill is worth our support.

The government has obligatory duties to actively supervise the activities of non-profit organizations by law. Just as in Bakker case, the judge stated of Bakker: "He had no thought whatever about his victims and those of us who do have a religion are ridiculed as being saps from money-grubbing preachers or priests." It’s also the thing we should do, to clear the God’s good name.

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25 Taiwan J.Y. Interpretation No. 372.
References


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Abstract
Yazd city is the first adobe and the second historical city in the world. Placement of valuable historical texture of this city in a circle of worn out context has caused the Gradual burial of social, economic, skeletal and functional life especially in the public spaces of historical core of town. In addition, the expansion of urban crime and increasing social vulnerability in the region reduced the high value of this texture and has faced the valuable historical public spaces with matters like security reduction, street harassment and reputation of insecurity that makes the most attractive tourist area of Yazd not to have a worthy attention especially to the citizens. One of the fundamental objectives of the public spaces of the city design, maintain security and tranquility that is achieved through the expansion of a physical security system. On this basis we must make these spaces in a way that contains sufficient capacity of security for the presence of all social groups. Within the scope of the historical areas that are valuable heritage of the past, the design should be conducted very cautiously. So this research in a manner of descriptive-analysis examine the impact of skeletal features of public spaces to create the local security and Environmental comfort. And address with a definition of secure spaces and its position in city of Yazd and exciting crimes in the historical core Centre of it (Fahadan neighborhood). And among the physical environmental factors it considers the impact of light factor in preventing the urban crimes and examines the rate of its dependency with security and insecurity. Finally, in order to increase security, and using the obtained data, some solutions are offered in accordance with special historical and value features of Fahadan.

Keywords: Security, Secure urban space, Urban crime, Skeletal physical features, Fahadan-Yazd
Introduction

Today, the phenomenon of crime and social damage is considered as an inseparable part of anonymous and enormous urban spaces. The most worrying matter is the convert of past secure spaces to cozy corners As a result of the passage of time and practical usage changing. What is glaring among these is the lack of compliance between the form and skeletal of the past with today's needs and living conditions.

What is indisputable is that, functional resurgence and renovation activity is considered as one of the most effective ways of keeping alive the valuable historical context and what is being seen in Fahadan neighborhood these days confirms this matter too. But the forgotten point of this renovation is the change in habits and behavior of residents and audience of textures and urban spaces. so that narrow and hard faced alleys, that once with intense supervision of residents were safe places of commuting for all classes of society even for women and children, nowadays with protecting the skeleton and changing the conditions in to the museum usage it has become a frightening place even for juvenile and men. Regarding this matter, in some circumstances that people have to pass these paths they choose the shortest possible way very cautiously. This is while these contexts commemorate within itself the precious treasures of old monuments such as Ziaiyeh School, Jame Mosque, twelve Imam Shrine and many other old precious monuments that all of the tourists who travel to Yazd are very keen to visit them.

What seems essential at first to this context is maintaining the skeleton and structural features of existing monuments. Beside this matter the preservation of urban life is of high importance to protect the social values of texture. Among the physical factors affecting the environmental quality, light is of those factors that without any need to physical fundamental changes and damaging the valuable background of context greatly increase the environmental compatibility and the whole collection of skeleton with today's conditions and needs.

In this research within an exact definition of what we know about the security of these areas in protecting our functionality as a cultural and social heritage, with a simple systematic design of the beautiful role of light we try to get the balanced condition that while it fulfills the need of security it doesn't reduce the values of context and be compatible with social renovation condition. The data used in this research is obtained from preparing the questionnaires from three groups of residents, passers and supervisors that tourists are in the group of supervisors.

Basics and theoretical concepts

Security:

John lang in human basic needs model examines hierarchy and the relationships between the needs in categories that include physiological needs, security dependence, , dignity and self-confidence, the realization of himself and aesthetic and put the security as one of the basic needs in the second rank of this category. Eric Forum, John Ashton, Leonard dohel, have introduced the security in order, the person's mental health in society ,anon- alternative quality in a healthy society ' and a basic need for urban space.
In the category of needs, security is introduced after the physiological needs (water, food, etc.) as the most important and most fundamental needs. In this classification that is done by mazlu, the most important need in terms of Spiritual need is security that is considered as the most important goal of life and the essence of the mental health.

Security in society is considered in three levels. From the individual to the family, the village, the town, the national level and the global system and at every level, the matter of security is considered in a variety of ways:

- Individual security and family Security
- Rural and urban security
- National and global security

The designers of the urban environment as decision makers of living environment mostly involve the two first levels of classification in their work. It is obvious that the existence of a secure individual and family system ensure the existence of a society with a high security coefficient. In every level of this classification four basic dimensions of security can be considered: financial security; safety security, social security, intellectual security.

**Crime:**

So the category of security as a result of establishing the order is accounted as the most fundamental and the most extensive pillar in the life of every person and society so that all sociologists and theorists believe that the most sublime perfection of society can be found in the unity of security and order. What threatens this perfection is the existence of anomie and insecurity that based on the vulnerability is divided into three categories:

- Crimes against people: battering, murder, rape, addiction, prostitution and other acts against the moral
- Crimes against property: theft, drug trafficking, gambling, and smuggling, vandalism.
- Crimes against the Government: demonstration, political corruption, tax fraud, etc.

So every behavior or characteristic that is in contrast with accepted and expected values and norms of society and a lot of people appraise it as negative and rejected behavior is considered to be a deviation.

There are a lot of reasons for deviation and insecurity but in urban environment we should pay more attention to the following factors:

- The possibility of the safe presence of offender in the crime scene due to the lack of fear to be recognized.
- The presence of the offenders' stimulus attractive and vulnerable targets.
- The presence of more crime facilitator agents than preventive factors.
Generally in order to clarify the subject we can categorize the factors affecting the rise of crime and insecurity in society into four categories: social factors, economic factors, cultural factors and environmental factors.

Chart1- factors affecting the rise of urban crime resource: researchers

The part of this diagram that has been considered in this research is the affection of environmental factors in rise of security and in preventing the anomie. According to the needs, values and their goals humans transform the environment and mutually get impressed by the transformed environment, on the basis of the efforts and results of the studies, the theories outlined in this field emphasis on two significant parts:

1. Regarding the natural environment factors (weather, wind, temp, sea, mountains, Plains, latitude) and their impact on human behavior
2. Paying attention to the affection of manmade environment especially urban environments, on human behavior. In spite of the theory of determinism and the impact of conclusive factors and nontangible natural environment, crime is a manmade phenomenon and is affected by the circumstance of the manmade environment of society and the place of crime. The arrangement of the form of city and its social order cannot separate from each other; equally they develop and mutually shape each other.

**Environmental factors affecting the security**

There are a lot of factors affecting the rise of urban insecurity and crime but to mention all of them is not of the question of this article, what is of interest here, is the environmental factors affecting the creation of criminal behavior and abnormalities that based on the feature of cities are included as:

1. The rapid transformation of the urban environment that doesn't allow the compliance with the environment to the human.

2. The new unknown neighborhoods and buildings that with attracting the newcomers greatly reduce the spontaneous supervision.

3. The reduction of mass control that is outcome of going away of the doctrinal beliefs and reduction of necessity to be committed to the beliefs and communicational commitments.

These factors are divided in another form in the skeleton of city:

1. the size of the neighborhood: the big scales, unplanned accumulation, separation of neighbors ties causes the development of abnormality and loosening of social relations and monitoring and thus degrade the level of security and increases the urban crime.

2. Spatial structure of neighborhoods: in urban neighborhoods the physical quality of units is compatible with social behaviors. Hence each neighborhood has its own features apart from other neighborhoods. Behavioral patterns of neighborhoods especially in youth ages has great impact that in the case of overcoming the environment anomic features, the increase of crime in the area is expected.

3. The distribution of public services and facilities: the division of appropriate services in the area prevents the rise of objectionable behaviors and vandalism.

4. The quantity and quality of the activities

5. The type and the shape of the dwellings: buildings with poor design can have a significant role in spreading the disease in poor health, physical isolation and depression syndrome,. Moreover environmental structure can convey the violence, the complex situation of the residential areas in the cities, facilitate the street crimes such as bag- picking. Pick pocketing.
In the past, the old texture of Iran had certain physical features and spatial structure, so that this type of structure and features, such as the existence of roads, gates, mosques, baths, and Neighborhood Center... caused the distinction one neighborhood from others. The consequence of this spatial cohesion was social cohesion and security and the prevention of anomalous behaviors in each of the localities.

**Light:** light is the first requirement for any kind of visual perception. In absolute darkness, we neither see the space, nor the form and color. But it is not the only physical necessity and its psychological value is one of the most important human life factors in all of the fields. In addition to its applied usage light has always had the symbolic value. Light has been a component of the essence of life. In many cultures light or Sun, as the source of light, has been considered as a divine element and it has been respected by the people.

When you don’t see a shape due to the dismal the first step toward a vulnerable space is taken. This feature will attract the people who need dismal places for meeting their needs. This is that the frequency of crime happening is of a great difference in day and night and light factor intensifies the crime happening condition of the place. One of the most characteristic of natural light is its, sequence and its transformation during the day that makes its moving and changing in different hours. Light is used in the building as an independent and obvious element apart from other elements and concepts so that its dims are obviously visible inside a dark and dismal skeleton. Light is the most transparent, the softest, the easiest and the cheapest structural materials in the production of the qualities and required objects in human environment. Light is the thing that provides the possibility of personalization and gives meaning to everyday activities and reflect the life in imaginations and provides the variable mental states. In harsh and dull space light can welcome the audience such as soft refuge. For this reason the light is most suitable structural material that is able to give form, beauty, pleasure and convenience to our everyday activities. Light is able to offer us the possibility to create the smart and compatible environmental systems in reconstruction of the artificial environment.

Knowing the process of taking advantage of the Sun as much as the process of the formation of different materials or different underlying shapes is necessary to design a building, but the usage of light at night due to the lack of natural sunlight is of high importance. Crimes and especially financial crimes generally occur at night and darkness and undoubtedly one of the reasons of occurring the crimes is the dismal and being away from the spotlight of people. So missing the space in darkness will provide appropriate situation for creating anomie. Paying attention to the condition that provide proper vision from inside of buildings with better lighting in an effective way can increase the natural passages care, streets and privacy around homes and buildings and reduce the amount of crime. Spaces that some reasons other than physical reasons has converted them to the nondefense's spaces, with supplying proper lighting are capable of becoming spaces with no problem and in this way we can prevent their vulnerability.
**Color in light**: colors have always surrounded the human and have dominated them, ((the world that we see is made of two important visual elements: form and color that are interdependent for each other.))

Color is a visible reflection that is obtained by the passage or publishes or reflection by the objects. Colors are important not only in terms of their beauty but also because of the emotional and psychological effects that have on people.

In most cities, there are not even compiled principles in urban spaces how about light and color to organize along other urban issues. Depending on the environment, climate and culture and based on the principles of color design, we should be able to guide the managers, designers, and even the people in the choice of colors of light.

Psychologically the type of combination of color used in the light of living environment, work place and urban space subconsciously affects the mental condition of people. For example the usage of deep colors in spaces for audience group with high intention will increase the rate of anger and aggression and deviant behaviors a lot.

In addition, since the color of lights can make deep space and even create the space, and make the objects understandable and legible and show their performance, create a sense of unity, induce continuity and regularity, indicate the important monuments and has caused the paths and streets to be seen by the people they are greatly important.

3. Fahadan neighborhood as a case study

One of the oldest neighborhood of Yazd city, is Fahadan. that is located alongside the Bazarnoneighborhood, ShahAbolghasem and Koshkenov This neighborhood that is the heart of Yazd city before the rise of Islam. From North to Fahadan street, from South to the bazarno neighborhoods and vaght o saat, from West to the Koshkenov and Shah Abolghasem, from East to Imam Khomeini Ave. «Fahd» means Prominent and wise because in the past this neighborhood was the place of Lords, elders and Prominent. In the early fifth century A.H fahadan quarter has been created and from the oldest monuments of this neighborhood we can refer to the tomb of Sheikh Fahadan, Fahadan mosque, Ghadamgah mosque and ZiaiyehSchool (prison of Eskandar).

In this area that is under the supervision of municipality in particular, any construction and changing in the buildings is strongly prohibited. For this reason, many of the old residents have abandoned the area and most of the current residents are immigrants with mixed and heterogeneous cultures. Hence the sense of belonging to this area greatly has reduced and the rate of spontaneous monitoring in this area is very low. Another reason of this inappropriate replacement is the reduction of Rental prices by the center of switching location of this area in the city. Such a condition by the residence status of the colonies has faced this quarter with social problems and urban crimes especially theft, addiction and drug trafficking. Although the inhabitants of this area distinctly are highly religious believers but the rate of crime in this area shows that their living environment is prone to crime. Furthermore, residency of people who have grown up in a different place apart from
this space, has caused them to encounter an environment that is not able to fulfill their needs.

Therefore, since the motivation of the second generation of this area is not formed correctly such areas are exposed to a variety of social threats and move the environmental neighborhood toward instability.

Regarding this presupposition we examine this subject from the resident’s perspective.

table 1: the priority of the existing offences within the scope. Resource: researchers

<table>
<thead>
<tr>
<th>Type of crimes</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bag picking, pick pocketing, The stealing of</td>
<td>33.4</td>
</tr>
<tr>
<td>Street fight, extortion and scurrility</td>
<td>23.9</td>
</tr>
<tr>
<td>Buying and selling and use drugs</td>
<td>21.7</td>
</tr>
<tr>
<td>Street harassment, intentional jostle and chasing</td>
<td>10.7</td>
</tr>
<tr>
<td>Burglary</td>
<td>10.3</td>
</tr>
</tbody>
</table>

Diagram 2: the priority of the existing offences within the scope. Resource: researchers

The results of 50 surveys in Fahadan neighborhood as it show in table 1 and diagram 2 it specifies the priority of the existing offences within the scope.

As previously mentioned, the existence of preventing agents is accounted as one of the contributing factors in reducing urban crime occurrence. So the rate of police presence from the residents view is asked and its results are shown in table 2 and chart 3.
As the above table shows, the main supervision of police is limited to temporary patrol and request of people. This factor on the side of being a cozy environment and the existence of dark and labyrinth spaces has prone the environment greatly to crime occurrence. In Figure 5 the position of texture and the sample of lighting in day and night is depicted.
As previously mentioned, the change of Fahadan from a residential neighborhood to a neighborhood of tourism, has caused the majority of area to become empty of native citizens, such a matter motivated us to ask three groups questions about daylight and the rate of its affection on it, the results achieved can be express as follows.

Table 3: Hours and tendency rate presence in the texture. Resource: Researchers

<table>
<thead>
<tr>
<th>Hours and tendency rate of traffic by the residents in the texture</th>
<th>Percenta</th>
</tr>
</thead>
<tbody>
<tr>
<td>All hours of the day with full consent and confidence</td>
<td>10.1</td>
</tr>
<tr>
<td>Just before sunset, the lack of difference between pedestrian</td>
<td>46.5</td>
</tr>
<tr>
<td>Just before sunset, riding preferred</td>
<td>8.9</td>
</tr>
<tr>
<td>Prefer not to pass the texture on foot</td>
<td>34.8</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Hours and tendency rate of presence in the texture by the pedestrian and supervision</th>
<th>Percenta</th>
</tr>
</thead>
<tbody>
<tr>
<td>All hours of the day with full consent and confidence</td>
<td>23.5</td>
</tr>
<tr>
<td>Just before sunset with consent</td>
<td>45.7</td>
</tr>
<tr>
<td>Just before sunset under compulsion</td>
<td>10.3</td>
</tr>
<tr>
<td>Prefer not to pass the texture</td>
<td>18.6</td>
</tr>
</tbody>
</table>
In the studies on Fahadan quarter its security problems were examined and recognized that in general we can summarize it in the following cases:

- Lack of adequate supervision by the police force
- Complex and disparate social groups
- The traffic of strangers and removing the borders dating and neighborhood
- Lack of adequate lighting, especially in pavements and places prone to crime
- Lack of monitoring and protecting the lighting equipment's and as a result of social damage they go away
- Removing the lighting scope by creating the obstacles like shrubs and panels
- The limitation of sight from inside to outside in the passages by changing the applied utilization
- The existence of dark corners in the path of pedestrians
- The existence of broken light bulb in lighting system

The best place of committing crime for offenders is the place that cannot be accurately monitored and is far from the view sight of others. Also regarding the conditions that cause appropriate view inside the buildings with better lighting, in an effective way increase the natural care of pathways and streets and spaces around houses and buildings and decrease the crime rate. Undoubtedly lightening is the basic factor in getting the desirable environment as well as providing the welfare and safety and scenic beauty of day and night in manmade environment. Different being of lighting rate in terms of location is significant in lighting design, based on this a selection of criteria and standards in accordance with condition of Fahadan quarter is mentioned in the following summary:

- In the spaces used by the tourists at the time other than open sight, the radiation of light should be in a way that no other elements prevent the light to illuminate the space.
- To choose Safe paths and provide their illumination for pedestrian to come and go after sunset.
- By the use of special bulb and Cap for the street light prevent the destruction of lighting fixtures and occurrence of vandalism.
- To use the bright light in dangerous paths regarding the matter that such light doesn't create a shadow of darkness beyond itself and disturb the pedestrians.
- To provide adequate light for places along the way that needs to be oriented.
- Reduction of contrast between light and shadow, especially along the way of corridors and hallways
- Taking advantage of a couple of light instead of a light in order to provide a coherent coordination of the lighting level.
- Ensure the compliance with the type of light and its color and with culture and environment of area and its residents.
- The use of lighting in order to identify the paths especially for the movement of tourists and to secure the dark pathways with high potential of crime occurrence.
4. Conclusion:

Every space gets two dimensions with light, day and night with changing the amount of light they will link together. Light is a subject that in any specific period of time, has given special emotion and concept to architecture and life. Light is used for reaching different goals and concepts, for instance, to create an aperture and leading the light to a subject causes the emphasis on that subject or using a soft and moderate motion of light induces a spiritual sense to the space that entering such a space a human feels a sense of respect and distinction. This feature is also used in the dome part of Ziaiyeh School that with heightening of construction and lighting on its roof has expressed the construction a typical of splendid monument. And the other case of using the light in basic design of this historical texture has been the use of windows in hallways and their special lighting that has caused the motion or in vestibule the pause. This concept would be effective with the sequence of human motion in these spaces and creation of varieties in the paths.
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Questionnaire

Dear responder, Hello beforehand we appreciate you for the time you spend to answer this questionare.as you know security in every neighborhood is one of the significant factors of satisfaction and serenity .regarding the historical context of Fahadan neighborhood and restriction of fabric changes in it we decided to examine the influence of light and brightness in security of this neighborhood.in this research we have put effort to measure the rate of security and its dependence on light and brightness of neighborhood and try to improve its quality. Furthermore, the information obtained from this questionnaire is only used for the student paper of M.A in urban design.

1. Gender
   Woman man

2. Are you a citizen of Yazd? Yes No

3. Motivation in texture
   In the period of residence..........................
   Visitors of the monuments are the tissue in the presence of history... How many times...
   Using other space in order to..................

4. If you are a tourist, please answer this question.
   Which method have you used for sightseeing in the texture?
   Individually in a group individually with a leader

5. How much have you walked in not crowded paths of quarter?

6. Have you ever been disturbed when crossing the frightening scope?
   Yes No

7. How would you rate the presence of women and children in the neighborhood after sunset? A lotmoderatefew

8. Do you feel secure when passing the streets and alleys of quarter? Yes No

9. How do you rate the presence of the police force in your neighborhood?
   (A) Permanent surveillance; the police force as a permanent patrol police station covers the whole region.
   (B) Temporary surveillance; the police force monitors the neighborhood by bicycle, riding or on foot.
   (C) The police presentation is just in the case of resident request.
   D-The police force has nosupervisionon the neighborhood.

10. Which of the following crimes occurred more in Fahadan?
   (A) Financial crimes such as pick pocketing, stealing of motorcycle, burglary
   B- Street fight, extortion and scurrility
   C-Buying and selling and use drugs and use drugs
   C-Street harassment, to make snide remarks, to frighten the women and children

11. Until what time of the day or night and in what manner do you commute?
   (A) all hours of the day, without restrictions, and does not make any difference to be on foot or riding.
   (B) Before sunset walking or riding without restrictions
   C-before sunset with a preference to use the vehicle
   D-I prefer never pass the neighborhood on foot

12. To what extent the streets and alleys of Fahadan have sufficient light?
   Non few moderate a lot

13. Are the paths and streets of Fahadan secured?

14. How much are there the abandoned and dark spots in Fahadan quarter?
   Non few moderate a lot
15. Does the lamps of houses and alleys provide the adequate light in the neighborhood?
16. As the final question with respect to the experience of using the space of Fahadan quarter what solutions do you recommend to improve the lighting condition and enhance the security of your neighborhood?

Thanks
Abstract
In the nineteenth century mechanical printing replaced direct communication/dialogue/speech. In the wake of the twentieth century radio and television occupied a corresponding space along with print media as a source of information and communication. The advent of the twenty-first century introduced the Internet thus multiplying the cognitive, affective and behavioral impact of communication. In the course of these developments, the traditional means of political communication – one-to-one communication, posters, murals, banners, group meetings, etc. – are losing their relevance. Does it disturb the democratic spirit of a country? Is media grabbing the domain of political communication or is it intentionally left vacant by the apathetic political activists? Objective: To contest and question the role of political communicators (other than media) thus recognizing the hegemonic spread of media. The concomitant questions are: 1) How effective are the various means of political communication? 2) Can political communication ensure people’s participation a democratic objective? 3) How far has political communication been able to influence people’s participation in the political system in Delhi per se? Methodology: The main source of data for this empirical study is the information obtained by a structured questionnaire served to a randomly selected sample of about 1100 residents of Delhi during February 2014 to February 2015. The data collected has been analysed from the perspective of various research questions. The same analysis will be used to supplement the enquiry proposed in this paper.

Keywords: political communication, participation, democracy
Introduction

Over the years, the multiplicity of research approaches used by political communication scholars has been developing. Earlier, scholars and practitioners of politics simply observed how people communicated about politics, analyzing what appeared to be the consequences, and speculating why these consequences were occurring and how they could be produced or avoided. In modern times, study methods have become far more deliberate and systematic, beginning with formulating hypotheses, which are then tested, using a variety of methods. Such formal investigations have been greatly aided by the development of sophisticated communication technologies. Though the research tools and technologies have changed, the main foci of research have remained the same.

The overriding concern of this paper is an idea that the key to building trust between the government and the society is communication. Democracy, itself, is best understood as a continuous dialogue between the governors (or those who aspire to be so) and the governed about their values and priorities. The task of political elites is to understand the pulse of the public, and develop the dispositions and aspirations of the electorate into a political and public policy agenda. The role of policy communications in democratic governance is about winning hearts and minds – a vital but much understated aspect of policy-making in India. We hesitate to own up policies, even those which are manifestly beneficial to us, because we are (intentionally or unintentionally) alienated from the policy making process. All communication that flows from the power corridors often appears to be partisan and is majorly a formal informative exercise rather than an attempt towards making democracy more participatory. Though the government, political parties, media, business, civil society and other groups make all possible efforts to address people in an attempt to influence their participation in the political system, the nature and extent of people’s response to various types of communication is, however, at best a wild guess. To our knowledge this area is still under-researched and no systematic study has been made to understand such behavioral response of the people. Hence the proposed study.

In a parliamentary democracy, developed means of communication between government and governed ensures that the former is responsive to the latter. Electors are required to choose between various alternatives on offer, and need information before they can express choices. If the government intends to continue to govern by consent, it also requires information about the electors – behavioral configuration, demands, aspirations, reactions, etc. This is from where the unending ‘government-governed communication web’ is sewn.

The word ‘communication’, though sounds simpler, has been given varied meanings: flow of information to stimulate a response; sharing information, an idea, or an attitude; sharing elements of behavior; meeting of minds, or creating an understanding; transmission of information from one (or a group) to another (or a group) through symbols; and so on. One common thread passing through all these definitions is the element of ‘sharing’ something between people – information, ideas, behavior, understanding, internalized experiences or feelings.
The understanding of the word ‘communication’ will not be complete without mentioning that ‘mere presence of two people together is communication’. Because any action a person takes in the presence of another (silence, making/ avoiding eye contact, moving away, heavy breathing, etc.) has a message value (and can be interpreted and understood, if need be). Paul Watzlawick rightly remarked that ‘one cannot not communicate when in the presence of another’. With this in mind, we began study.

RESULT AND DISCUSSION

A. MEDIA AS A MAJOR SOURCE OF POLITICAL INFORMATION

1) The phased out yearlong interaction with the people of Delhi and the opportunity of observing three elections in Delhi (Elections for Delhi Legislative Assembly in 2013 and again in 2015 and Lok Sabha elections in 2014) enabled us to identify various modes of political communication employed by the government and various interest groups. Some of the more important modes were media (electronic, print and social media); rallies; area meetings; posters; handbills door to door campaign; nukkad nataks; wall writing; padyatras; personalized gift items like caps, t-shirts, wrist bands, batches, key chains, collar pins; and interaction with political activists. Out of all these, media is considered as the major source of providing political information across all socio-economic categories (Table Numbers 1, 2). For example, in the category based on income nearly 50% of the respondents get political information from media. Media appears to have partially supplanting more informal channels of communications in party organizations also.

2) The impact of posters, hoardings, handbills, wall writing, etc. on which political parties spend crores of rupees has a very little impact on educated people. (Table 2)

3) Another important finding is that people do not receive much information from political activists. The data shows that people get more information from friends as compared to political activists. In the education based category this difference is noticeable: among undergraduates-10.90% get political information from friends as compared to just 5.56% getting such information from political activists; these percentages in ‘others’ category are 18.90% and a bare minimum of 6.46%. (Table 2)

Discussion

Media has been able to make its reach wider and deeper into the society. The ways in which a particular event is verbally manipulated, broadcasted or published has a significant impact on the political attitudes and behavior of the people. The educated respondents were aware of the inbuilt bias of the private news channels and the resultant manipulation of the news but, because of lack of time, accessibility and economic viability of the media, and availability of diverse opinions, they still believed that media is the best source of political information. Posters, hoardings, wall writings, murals, etc., almost fail to make an impact as a source of political information. The observation is that on most of the posters and hoardings the picture of a politician dominates rather than the message. Also, such posters and hoardings gather attention majorly from those who are either ideologically/politically committed...
or have a close or even a distant connection with a particular leader or activist. The experience of the researchers indicated that among the uneducated and the lower income group, people were more attracted by the photos, colors, and style and large and creative designing of the posters and hoardings and not by the messages.

The strategy of political parties to reach the citizens through posters, hoardings, wall writings, handbills etc., appears to have failed significantly. It is a reality that during inter-election period the political parties neither organize activities or programs to involve people (other than dharnas, rallies or protests wherein also little attempt is made to enlist active participation) nor do they plan to interact with the people on regular basis. Surprisingly enough even when political activity was at its peak in Delhi, the political activists failed to be an effective source of political information.

<table>
<thead>
<tr>
<th>Source of political information</th>
<th>&lt;25000 Lakh</th>
<th>25000-2.5 Lakh</th>
<th>2.5-15Lakh</th>
<th>&gt;15 Lakh</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Media (TV,newspaper,radio, etc)</td>
<td>145</td>
<td>237</td>
<td>133</td>
<td>33</td>
</tr>
<tr>
<td>B Poster/hoarding/handbill</td>
<td>32</td>
<td>71</td>
<td>34</td>
<td>8</td>
</tr>
<tr>
<td>C Political activists</td>
<td>20</td>
<td>17</td>
<td>25</td>
<td>13</td>
</tr>
<tr>
<td>D Friends/Family</td>
<td>44</td>
<td>48</td>
<td>36</td>
<td>9</td>
</tr>
<tr>
<td>E From all of the above</td>
<td>42</td>
<td>68</td>
<td>53</td>
<td>32</td>
</tr>
<tr>
<td>F Any other</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Source of political information</th>
<th>Undergraduate</th>
<th>Graduate +</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Media(television,newspaper,radio, etc.)</td>
<td>237</td>
<td>186</td>
<td>97</td>
</tr>
<tr>
<td>B Poster/hoarding/handbill</td>
<td>48</td>
<td>67</td>
<td>33</td>
</tr>
<tr>
<td>C Political activists</td>
<td>24</td>
<td>39</td>
<td>13</td>
</tr>
<tr>
<td>D Friends/Family</td>
<td>47</td>
<td>56</td>
<td>38</td>
</tr>
<tr>
<td>E From all of the above</td>
<td>72</td>
<td>110</td>
<td>20</td>
</tr>
<tr>
<td>F Any other</td>
<td>1</td>
<td>1</td>
<td>0</td>
</tr>
</tbody>
</table>
B. Maximum Use of Political Communication is Made During Elections

All through the year political parties and government agencies make innumerable efforts to communicate policy initiatives, programs, actions, dissents and alternatives to the people. Here also television and newspapers become the most prominent agents to communicate the above messages. Since both these media are majorly unidirectional, i.e., information from the sender (government or the political party) is communicated to the receiver (citizens), people’s opinion or their desire to engage the political activist/representative in a dialogue is rarely taken into consideration. Approximately 50% of the people, across all considered socio-economic categories, were contacted by the political activists/leaders/representatives only during elections. (Table 3 and 4)

1) About 20% of the people were never contacted by any political representative/leader/activist.
2) About 22% of the people were contacted once a year or just by chance.

Table-3: Frequency of Political Communication according to Profession of Respondents

<table>
<thead>
<tr>
<th>Frequency of political communication</th>
<th>Business</th>
<th>Service</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Frequently(once or more than once a week)</td>
<td>2</td>
<td>14</td>
<td>15</td>
</tr>
<tr>
<td>B Seldom (every month/3 months/6 months)</td>
<td>12</td>
<td>31</td>
<td>26</td>
</tr>
<tr>
<td>C Very rare once a year/by chance/not certain)</td>
<td>42</td>
<td>79</td>
<td>57</td>
</tr>
<tr>
<td>D Only during election time (for their interest only)</td>
<td>85</td>
<td>163</td>
<td>186</td>
</tr>
<tr>
<td>E Never</td>
<td>29</td>
<td>65</td>
<td>81</td>
</tr>
<tr>
<td>F Any other</td>
<td>0</td>
<td>3</td>
<td>1</td>
</tr>
</tbody>
</table>
Table-4: Frequency of Political Communication according to Caste of respondents

<table>
<thead>
<tr>
<th>Frequency of political communication</th>
<th>General</th>
<th>OBC</th>
<th>SC/ST</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Frequently (once or more than once a week)</td>
<td>15</td>
<td>7</td>
<td>7</td>
<td>0</td>
</tr>
<tr>
<td>B Seldom (every month/three months/six months)</td>
<td>51</td>
<td>4</td>
<td>14</td>
<td>0</td>
</tr>
<tr>
<td>C Very rare (once a year/by chance/not certain)</td>
<td>101</td>
<td>37</td>
<td>36</td>
<td>1</td>
</tr>
<tr>
<td>D Only during election time (for their interest only)</td>
<td>256</td>
<td>71</td>
<td>81</td>
<td>3</td>
</tr>
<tr>
<td>E Never</td>
<td>143</td>
<td>23</td>
<td>21</td>
<td>1</td>
</tr>
<tr>
<td>F Any other</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>
Discussion

The timings of this project gave the researchers an opportunity to engage the respondents during and around legislative assembly elections and Loksabha elections. This was the time when every political party was making all out efforts to reach maximum number of voters through various means – posters, handbills, media, nukkad sabhas, door-to-door campaigns, padyatras, etc. As a result most of the respondents were aware of the major issues, important candidates, controversies, and future agenda of political parties. But their views about these electoral campaign activities and the desperate attempts of the political parties to communicate were well understood as ‘calculated efforts to garner votes’ by almost all the respondents.

The informal discussions with the respondents centered on the structured questionnaire raised concern about two issues:

a) Political parties treat the people merely as voters and yet do not bother to inform them or communicate with them frequently. Parties have failed to establish a network to get a feedback from the people. Even during elections efforts are made to ‘sell’ their own agenda, public friendly policies, and ‘brand leaders’ to the people rather than enlisting the demands and requirements of the so called ‘voters’. Even when political representatives/leaders interact with them (that too during elections or rarely ever) they only talk about what they have in mind. It is mindboggling that a sizeable number of respondents in these categories know very well that these representatives only pretend that they are listening to the people!
b) Media is considered as the most important, accessible, economical and effective source of political communication but the most desired form of political communication turned out to be ‘one-to-one communication’. Citizens prefer frequent meetings and one-to-one communication/interaction with the political activists/representatives. They might get information from media but people want to participate in decision making process. But they are unaware about the avenues through which they can participate.

IMPACT OF VARIOUS MEANS OF POLITICAL COMMUNICATION
The basis on which the respondents judged the impact of political communication varied depending on their profession, age, and education. The broad classification of such factors is:

i. Accessibility
ii. Availability
iii. Trust
iv. Possibility of Communication/Interaction
v. Economical
vi. Interesting/Invoking curiosity
vii. Timely
viii. Continuity

The lack of participation in the political processes was attributed to the following reasons:

i. Insufficient information regarding participatory avenues
ii. Lack of organised efforts from the government or the political parties to enlist participation
iii. Inefficient and meaningless political communication
iv. Political apathy on the part of the citizens

Conclusion

Though the means used to influence citizens are ample in number and are used frequently by different political actors yet the above mentioned reasons raise a genuine concern. The users of the means of political communication have yet to realise the power of persuasion that they possess. Abraham Lincoln, once said: ‘…he who moulds public sentiment goes deeper than he who enacts statutes or pronounces decision. He makes statutes and decisions possible or impossible to be executed’.  

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References


Time Series Analysis of Thai Flooding Effects on Japanese Insurance Companies

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Abstract
In this paper, we analyzed effects of the 2011 Thai flooding on Japanese economics. In the paper, we propose, as a new time series economics data analysis method, an integrated approach of Singular Value Decomposition on stock data and news article text mining. There we first find the correlations among companies’ stock data and then in order to find the latent logical reasons of the associations, we conduct text mining. The paper shows the two-stage approach’s advantages to refine the logical reasoning. Concerning the Thai flooding effects on the Japan’s economy, as unexpected moves, we have found the serious harms on the Japanese insurance companies, especially SOMPO Japan even though the Thai flood did not occur in Japan.

Keywords: Time Series Analysis, Random Matrix Theory, Japanese Insurance Companies, Thai
Introduction

In this paper, we will analyze effects of the 2011 Thai flooding on Japanese economics. Many Japanese companies were devastated by the floods. To analyze the damages, we use Singular Value Decomposition (SVD) on stock data to find the correlations among companies' stock data. The approach is called the random matrix theory in the financial field. As the stock price data, we used Nikkei 225 that expresses the Japanese major companies’ economical climates. The target period is from September to December in 2011. In 2011, the Japan economy was severely damaged by the great East Japan earthquake that happened on 11th March. To pay the insurance premium, Japan major insurance companies were also damaged. In addition, the flood in Thai in the beginning of the October also attacked the Japanese economy. In the paper, we focus on the time series changes of the insurance companies after the Thai flooding.

In the next section, we shall explain a random matrix theory. In the section “Time Series Stock Data Analysis”, we describe the result of the SVD. The data used is the Nikkei 225 during three months from October to December 2011. In the section “Cause and Effect Relationship between Japanese Insurance Companies and the Thai Flood”, we would like to reveal the cause and effect relationship between Japanese insurance companies and the Thai flood from the result of the SVD. Then in the section “Time Series Movement of Effects”, we evaluate the time series movement of damage effect. Finally, we conclude the paper.

Random Matrix Theory

In the section, we will explain our methods. Our final research objective is measurement of natural disaster effects on Japan's economy conditions. The disasters include Japan’s earthquakes and other countries’ earthquakes and floods. In the methods, first we analyze Japan's stock price data such as Nikkei 225. The analysis method we adopted is Singular Value Decomposition (SVD) (B. Efron, 2010, C. M. Bishop, 2006). The SVD is used in various kinds of applications; For example, in text mining, LSA (Latent Semantic Analysis) uses the SVD. Concerning the SVD math process, Shirota et al. visually explained the intrinsic meanings (Y. Shirota, and B. Chakraborty, 2015, Y. Shirota, and B. Chakraborty, 2016).

We conduct the SVD on the standardized return values of stock price data. The return value is defined to be the ratio between today’s price and the previous day’s one and defined as follows: $G_{i,j} = \ln(S_{i,j}/S_{i,j-1})$ where $S_{i,j}$ is the i-th company’s stock price on j-th day and $G_{i,j}$ is the return value on j-th day.

In the stock data analysis, each company’s data during the period is standardized, so the mean value becomes 0 and the standard deviation becomes 1. Because different stock values have varying levels of variance, the return value must be standardized. In our previous researches on the Thai 2011 flooding effects, we had found the damaged industry classes by using the SVD methods (M. F. Lubis, Y. Shirota, and R. F. Sari, 2015, M. F. Lubis et al, 2015). The SVD is a kind of Principal Component Analysis (PCA). Mathematically, from SVD, we can obtain two kinds of eigenvectors (principal components). In this analysis, we call them (1) Brand-Eigenvector and (2)
Dailymotion-eigenvector. The Brand-eigenvector identifies similar movement companies. The Dailymotion-Eigenvector covers the class’s average time series fluctuation.

By the flooding, many Japan-affiliated companies in Thai were damaged. The damaged products included hard disk drives, electric parts of automobiles, food and beverages, and digital cameras (S. Sukegawa, 2013, P. Cooke, 2013). To find the damaged company class, we used the well-known fact that Japanese digital camera company Nikon was severely devastated. We searched Nikon as the mark to find the damaged Japanese company Brand-Eigenvectors. The element value of each company may be positive or negative. Its positive/negative is only up to the eigenvector direction. The damaged company element may be positive. If a principal component has many damaged companies with large element values, the principal component can be interpreted as the damaged class.

In general, the SVD method is, in a financial analysis, called the random matrix approach and it is utilized to find the stable company classes (M. Potters, J.-P. Bouchaud, and L. Laloux, 2005, G. W. Anderson, A. Guionnet, and O. Zeitouni, 2009, J.-P. Bouchaud, and M. Potters, 2011). Using the extracted stable classes, they make a high performance portfolio (V. Plerou, P. Gopikrishnan, B. Rosenow, L. A. N. Amaral, and H. E. Stanley, 2000, V. Plerou, P. Gopikrishnan, B. Rosenow, L. A. N. Amaral, T. Guhr, and H. E. Stanley, n.d.). Our usage of eigenvalues and eigenvectors in the SVD is identical to one by Plerou’s proposed cross correlation analysis (G. W. Anderson et al, 2009, J.-P. Bouchaud et al, 2011). The conversion method between both was described in our paper (M. F. Lubis et al, 2015). Our research goal is, however, completely different from theirs and we would like to find the time series effects of the disaster on stock prices. A disaster triggers a stock downfall and one industry's breakdown inflicts harm and transmit on others like a supply chain breakdown. The effects are dynamic and not stable; some industries will recover soon and the damage will instantly diminish and others are not. We would like to investigate the time series changes from a viewpoint of time series data analysis. In other words, we are interested in the effect duration period and its magnitude.

**Time Series Stock Data Analysis**

In the section, we describe the result of the SVD. The data used is the Nikkei 225 during three months from October to December 2011. We have conducted SVD on each month. The matrix size on each month is 225 (companies) times 20 (days). Therefore, we can obtain 20= Min (225, 20) principal components each month. Among the Oct. 20 principal components, we did select #2, #3, #5, #6, #7, #8, and #13 as the damaged classes. The October was the most severely damaged month. Fig.1 shows the selected five damaged Brand-Eigenvectors and their damaged industry names in October. The selection criteria is 1.2 there. The industry elements with bigger than 1.2 are extracted and drawn there. The edge length has no meaning in the graph. In Fig.2, the original Japanese industry names are written in Japanese, and only key company names are written in English such as NIKON and AJINOMOTO. The class, #3, can be interpreted as a food and drink industry class because they include AJINOMOTO, KIKKOMAN, MEIJI, KIRIN, and ASAHI. The #5 class include many financial industries such as Bank of YOKOHAMA, Bank of
SHIZUOKA, Bank of CHIBA, RESONA (bank), and SOMPO JAPAN. The #7 class include many spinning/textile companies such as TORAY, TEIJIN.

Let us consider the time series change on the classes. Fig. 2 shows monthly movements on the numbers of the extracted industries with bigger than 1.2 values. For example, the number of #3 has changed as 20 – 28 – 21. Fig. 4 also shows the time series changes that focuses on the eigenvalue magnitudes. The eigenvalues express the class effect impact; the bigger it is, the more harms exist. Among classes, we can see the class integrations and divisions. In October and November, #2 could be interpreted as an electronics industry class, from the member lists. As the both values in Fig. 2 and 3 are the biggest among the classes, we can interpret that the class was the most damaged class. This is consistent with the fact that the electronics companies had severely damaged. However, in December, the electronics industry category has been divided into #5, #7, and #8. It is possible to assume that the electronics industry had many damages, and we can guess that they consumed a plenty of time to recover from the damages. The damages must have prolonged; therefore, the class was divided to three classes depending on the damage recovery features.

On the other hand, the drink and food industry must have been recovered quickly. In October, #3 could be interpreted as a food and drink industry class. The eigenvalue of #3 in Fig. 4 October data, 14.2, is the second largest one in October; however, in November, there is no food and drink industry anymore, and in December, we can find a few beverage companies in #13. The ratio is the smallest in the month. It means that food and drink industry recovered from the flood more quickly than electronics industry.

Spinning industry also does change. In October, spinning industry class is #7 (the eigenvalue is 12.2), and it changes into #3 in November (See Fig. 3). After the month,
the class number is stable as #3. Absolutely, spinning industry was suffering from the flood for a while because their factories were flooded. For instance, TORAY is a maker of fibers, textiles, resins, plastics, films, chemicals, ceramics, composite materials, medical products, and electronics, according to its official website, and this company has some factories in Thailand. TTS, Thai Toray Synthetics, has three factories in Bangkok, Ayutthaya, and Nakhon Pathom. TTTM, Thai Toray Textile Mills, has one factory in Nakhon Pathom, too.

The factory in Ayutthaya had the worst damages, and it needed more time to operate the factory. However, the others started to resume their operation in the year. In addition, Toray carried out alternative production immediately using its global networks. Toray could manage and make a quick recovery from the flood; hence, Toray did not have as terrible troubles as an electronics industry. It is quite possible to assume that other spinning companies had the similar actions, and as a result, spinning industry itself was not as a seriously damaged industry as an electronics industry.

Let us consider the financial industry class. The class, #5, in October can be interpreted as a financial industry, and there are lots of Japanese general insurance companies in the class. These companies themselves did not have physical direct damages. Nonetheless, the level of damage is the third largest in October. The reason must be that there were bunches of Japanese companies in Thailand and that the insurance companies had a huge amount of insurance expenses of them. Later, we could confirm the cause and effect relationship by conducting SVD.

![Figure 2: Monthly movements on the numbers of damaged industries involved in each damaged Brand-Eigenvector. From the left, October, November, and December.](image)

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Cause and Effect Relationship between Japanese Insurance Companies and the Thai Flood

In the section, we would like to reveal the cause and effect relationship between Japanese insurance companies and the Thai flood from the result of the SVD. The data used in this research is also the Nikkei 225 during three months from October to December 2011. We conducted SVD on each month. The matrix size on each month is 225 (companies) times 20 (days). Hence, we can obtain 20 = Min(225,20) principal components each month.

In Japan, there are three representative general insurance companies: (1) Tokio Marine & Nichido Fire Insurance Co., Ltd., (2) MS&AD Insurance Group Holdings, Inc., and (3) SOMPO Japan Nipponkoa Insurance Inc. The earthquake happened on 11th March, and the Thai flood occurred in the beginning of October. The effect by the flood was considerably large because there were a lot of damaged Japanese companies tried to receive insurance supports from the insurance companies. In the period October to December, these companies’ stock prices were declining as shown in Fig. 4 to 6. The drift coefficients (average growth rates) of the three companies were negative. According to a website, CostDown (http://www.costdown.co.jp/blog/2011/12/post_2180.html), the incurred claims by the Thai flood on the major insurance companies were enormous as shown in Table 1.
Figure 4: The Stock Price Change of Tokio Marine & Nichido Fire Insurance Co., Ltd.

Table 1: Estimated Incurred Claims by the Thai Flood on Insurance Companies

<table>
<thead>
<tr>
<th></th>
<th>TM&amp;NF</th>
<th>MS&amp;AD</th>
<th>Sompo Japan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimated Incurred Claims by the Thai Flood (JPY)</td>
<td>110.0 billion</td>
<td>198.0 billion</td>
<td>94.1 billion</td>
</tr>
<tr>
<td>Estimated Incurred Claims by the Thai Flood (USD)</td>
<td>1.409500 billion</td>
<td>2.483280 billion</td>
<td>1.205760 billion</td>
</tr>
</tbody>
</table>

*1JPY = 0.01281USD on 12/5/2011

Figure 5: The Stock Price Change of MS&AD
First, we shall describe the analysis results on the Oct. data. From the SVD result, we found that Brand-Eigenvector #5 was the flood damaged company class. In more precise expression, that is the negative part of Eigenvector #5. As shown in Fig. 7, the Brand-Eigenvector #5 negative part includes Nikon, Pioneer and so forth. We know that these companies have been damaged. Therefore, the group is considered to be the flood damaged class. There we found that SOMPO, the insurance company, also appeared in the class with the large element value -1.32 together with Pioneer and Nikon.

We shall show you another result about SOMPO that is SOMPO’s all element values on all principal components (See Fig. 8). As the total number of principal components in Oct is 19, the number of SOMPO elements is also 19 (See Fig 8).
Figure 8: SOMPO element values in October on all principal components. The absolute values are larger on #5 and #7.

There, the absolute element values of SOMPO on #5 and #7 are larger than others. Because the Brand-Eigenvector #5 negative part can be interpreted as the flood damaged company group, we could say that SOMPO must have been damaged by the flood.

Figure 9: The Brand-Eigenvector #7 in October. The circle mark shows the three major insurance companies.

Next let us see the Brand-Eigenvector #7 (see Fig. 9). There in the positive part, we found many flood damaged companies such as Nikon, Torey, Nikki and so forth. On the other hand, when we see the negative part of the Brand-Eigenvector #7, we could see many no flood-damaged companies and there are the abovementioned three major
insurance companies. In the Brand-Eigenvector #7, the positive direction shows the positive damaging level by the flood. We can, therefore, say the Brand-Eigenvector #7 negative part shows no tendency corresponding to the flood damages.

**Time Series Movement of Effects**

In the section, we evaluate the time series movement of damage effects. First we shall see the Nov. data results. In Fig. 10, SOMPO element values in Nov. on all principal components are shown. The absolute value on #6 is larger than others. Therefore, we think that the #6 principal component is the feature of SOMPO. Therefore, we will see the Brand-Eigenvector #6 (See Fig. 11). There in the #6 negative part we found Nikon and Pioneer. Then we can say that this group is the flood damaged group. By comparison of the representative members, we found that the #5 negative part in Oct. had similarity to the #6 negative part in Nov. The SOMPO element value was -1.32 in #5 Oct. and -1.04 in #6 Nov. So we think that this decrease from -1.32 to -1.04 may be caused by shrinking of the flood impact on SOMPO. Table 2 shows this SOMPO element values’ time series movement.

Next let us see the Dec. results. In the Dec. results, we cannot find SOMPO in the flood damaged company groups. SOMPO appeared, however, in #5 Dec. as shown in Fig 12. The Brand-Eigenvector #5 negative group included other two insurance companies. It may mean that the Brand-Eigenvector #5 negative group represents the general tendency of the Japanese insurance companies at the time and there is no effect by the Thai flooding.

![Figure 10: SOMPO element values in November on all principal components. The absolute values on #6 is larger.](image-url)
Figure 11: The element data of the Brand-Eigenvector #6 in November.

Figure 12: The element data of the Brand-Eigenvector #5 in December

Table 2: SOMPO Element Values

<table>
<thead>
<tr>
<th>MONTH</th>
<th>Thai Flood</th>
<th>Non Thai Flood</th>
</tr>
</thead>
<tbody>
<tr>
<td>OCT</td>
<td>1.32 (#5 negative)</td>
<td>1.49 (#7 negative)</td>
</tr>
<tr>
<td>NOV</td>
<td>1.04 (#6 negative)</td>
<td>None (&lt;1.2)</td>
</tr>
<tr>
<td>DEC</td>
<td>None (&lt;1.2)</td>
<td>1.09 (#5 negative)</td>
</tr>
</tbody>
</table>
Conclusion

In the paper, we propose, as a new time series economics data analysis method, an integrated approach of Singular Value Decomposition on stock data. Concerning the Thai flooding effects on the Japan’s economy, as unexpected moves, we have found the serious harms on the Japanese insurance companies. From the SVD result, we found that Brand-Eigenvector #5 was the flood damaged company class because there are the Thai flood damaged companies such as Nikon and Pioneer. With these companies, SOMPO Japan exists in Brand-Eigenvector #5 in Oct; hence, we could say that SOMPO was damaged by the Thai flood. To support this result, we searched web news about incurred claims by the Thai flood, we found out one website, CostDown, and this website reported the amounts of estimated incurred claims by the Thai flood on Japanese insurance companies. The total payment of each insurance company is a tremendous loss; therefore, we proved that there is a causal and effect relationship between the Thai flood and Japanese insurance companies. The most possible reason is that there are lots of flooded Japanese factories and branches in Thai, and as a result, Japanese insurance companies had to pay a huge amount of money. The paper showed the correspondence between the eigenvectors and the web news data. This approach is really helpful and eye-opening to contribute to people, not only professionals but also people who do not have a detailed knowledge of a specific topic. The reason is that a normal stock price change graph cannot tell us what kind of factor, a natural disaster, a policy, and so on, affects to its stock price. In addition, it is really difficult to find out a convincing factor for even professionals especially when there are more than two factors. This approach does not require people to know a lot of detailed knowledge about a topic in the field. So people can analyze a cause and effect on its topic. Therefore, this approach can let more people analyze topics much more easily than now. We will continue to study the natural disaster damages on Japanese stock market.

Acknowledgement

We thank Prof Takako Hashimoto for her wide range of knowledge about Thai economy that helps our research. This research was partly supported by funds from the Telecommunications Advancement Foundation research project in 2015 to 2016. In addition, this study was partly supported by a grant from the Gakushuin University Computer Centre special project 2016.
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The Diversity of Indigenous Wisdom on Grief: Exploring Social Work Approaches to Bereavement

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Nur Atikah Mohamed Hussin, Universiti Sains Malaysia, Malaysia
Anneli Silvén Hagström, Linköping University, Sweden

Abstract
The aim of our study was twofold: 1) to describe the diversity of indigenous wisdom on grief and maintaining relationships with the deceased by exploring practices of Buddhists in Japan, Muslims in Malaysia and Christians in Sweden; and 2) to discuss social work approaches for bereaved families based on their indigenous wisdom.

Background: The International Federation of Social Workers and International Association of Schools of Social Work established the Global Definition of The Social Work Profession in 2014, which considers indigenous knowledge as a main underpinning of social work and encourages social workers to develop approaches that accommodate local values and traditions. However, in some societies, such as Japan, psychotherapeutic bereavement interventions for bereaved families are becoming more common. Theories supporting such interventions are considered applicable to all peoples, irrespective of cultural differences.

Method: Using literature reviews, the authors describe their respective societies’ indigenous rituals and spiritual values concerning grief and death. They also critically examine bereavement interventions used in their respective societies.

Findings and discussion: Psychological theories underpinning bereavement interventions tend to reflect Western or Christian values. They are not consistent with the values of Buddhist Japanese and Islamic Malaysians. They could lead to these non-Western mourners being considered maladjusted or pathological, and ultimately to their disempowerment. The rapid process of secularization is depriving Japanese and Swedish people of the chance to use their indigenous wisdom. This might force them to depend more on Western bereavement interventions, some of the concepts of which they do not agree with.

Keywords: Grief, Bereavement, Indigenous wisdom, Cultural diversity, Social work, Japan, Malaysia, Sweden, Religions, Secularization, Buddhism, Islam, Christianity
Introduction

People worldwide currently are greatly influenced by globalization, not only economically, but also conceptually in various aspects of our social lives. We, the authors, are social work scholars, and our paper focuses from a social work perspective on grief and how people have dealt with this very painful experience. We discuss some possibly harmful effects of globalization on people’s life with grief, especially those effects promoted through American-made concepts. As Watters (2010) wrote:

With the increasing speed of globalization, something has changed. The remarkable diversity once seen among different cultures’ conceptions of madness is rapidly disappearing. A few mental illnesses identified and popularized in the United States—depression, post-traumatic stress disorder, and anorexia among them—now appear to be spreading across cultural boundaries and around the world with the speed of contagious diseases. Indigenous forms of mental illness and healing are being bulldozed by disease categories and treatments made in the USA. (p. 3)

Consequently, grief is one of the emotions that are labeled as a disease through the process of globalization and the medicalization of intrapersonal issues, although what is meant by “grief” is different in different cultures (Rosenblatt, 2008). In this trend, what we should remember is that such application of a medical model to grief can deprive humans of their power for living. Averill and Nunley (1988) warned of the danger of applying medical models to emotions:

Emotions, as ordinarily conceived, are value-laden phenomena. In order to make emotions fit the medical model, they would have to be stripped of their value characteristics, and hence of much of their meaning and social function. (p. 90)

Both meaning-making of human life events and utilization of social functions are crucial for the social work profession. Thus, this medical model of emotions clashes with the social work ethos. As Goldsworthy (2005) states:

A meaning-making approach to grief and loss removes the language of pathology and illness associated with grief and loss, and instead frames it as part of the experience of change that touches each of us throughout the rich tapestry and journey of life. It is consistent and compatible with social work values and ethics . . . . (p. 176)

On the other hand, when we consider meanings of human life events associated with grief and bereavement, we believe we should pay more attention to how people have dealt with such stressful experience traditionally, which we call “indigenous wisdom,” including religious responses, because “in coping with grief and other sources of stress, many people turn to religious resources, perhaps in part because these resources offer something beyond the limits of this world as people confront crises of meaning” (Kelley & Chan, 2010, p. 201). For millennia before grief was medicalized, people in each part of the world had developed their indigenous wisdom to overcome difficulties related to grief. In order to take a meaning-making approach seriously, we need to revisit indigenous wisdom.
“The Global Definition of the Social Work Profession,” which was approved by both the General Meeting of the International Federation of Social Workers (IFSW) and the General Assembly of the International Association of Schools of Social Work in July 2014, represents a new foundation for social work practice, which stresses the importance of indigenous wisdom. It states:

Social work is a practice-based profession and an academic discipline that promotes social change and development, social cohesion, and the empowerment and liberation of people. Principles of social justice, human rights, collective responsibility and respect for diversities are central to social work. Underpinned by theories of social work, social sciences, humanities and indigenous knowledge [emphasis added], social work engages people and structures to address life challenges and enhance wellbeing. (IFSW, 2017)

The term “Indigenous” may remind readers of Aborigines in Australia and Native Americans. Actually, the commentary of the definition by IFSW defines indigenous people as those who “typically aspire to remain distinct culturally, geographically and institutionally, rather than assimilate fully into national society” (IFSW, 2017). However, we believe social workers’ definition of social work can be extended so that it includes not only the knowledge of indigenous people, but also local knowledge, because we have realized that the dream of globalization of social work practice might cause local knowledge to be ignored. As Gray and Coates (2008) state:

As with many modern, Western professions, social work adheres to the globalization agenda by holding to certain universal views of social life which can be applied to all situations and contexts. Despite the profession’s expressed concern for “starting where the client is at” social work is following Western assumptions and beliefs and it seems unwilling to take seriously the realities of the social situation in which many people live their daily lives. (p. 13)

If this sort of criticism and concern about the globalization discourse of international social work is considered in relation to the Global Definition, we feel our proposed extension of the definition of indigenous knowledge would be largely agreed upon.

In sum, the trend of globalization, with the wave of medicalization and commercialization of mental health care, is now making a medical model of grief more common. Grief is being stripped of its tremendously deep meanings as one of the most serious human life events, and changed into a mere symptom of mental disorder, which can have very common patterns in every part of the world, and which can be cured or prevented by ready-made prescriptions. Mourners have been respected and empathized with, as those enduring inevitable experiences that every person would experience sooner or later, but now they are at risk of being treated as possible patients of mental disorder. That is against the mission of social workers, which is to empower people.

In order to cope with such a social trend, we want to illustrate local knowledge or indigenous wisdom for alleviating grief in three different cultures: Muslim culture in Malaysia, Buddhist culture in Japan, and Christian culture in Sweden. We do not intend to ignore other religions and cultures in each of the countries. However, in order to simplify our illustration, we focus on some of their typical cultures.
The three cultures are chosen for three reasons. First, the three cultures’ religious backgrounds are those of three different major religions: Buddhism, Islam, and Christianity. Second, Japanese and Swedish cultures are amongst those with the least religiosity, while Malaysians have high religiosity (Inglehart et al., 2010). According to Gallup’s survey in 2009, when asked whether “religion is an important part of [your] daily life,” 17% of Swedes and 24% of Japanese said yes, while 96% of Malaysians said the same (Crabtree, 2010). Third, the cultural map of the world drawn by Inglehart and colleagues (2010) shows that these three countries and the US can be distinguished by two cultural values dimensions: “Traditional versus Secular-Rational Values” and “Survival versus Self-Expression Values.”

[The first] dimension reflects emphasis on obedience to traditional authority (usually religious authority), and adherence to family and communal obligations, and norms of sharing—or, on the other hand, a secular worldview in which authority is legitimated by rational-legal norms, linked with an emphasis on economic accumulation and individual achievement.

[The second dimension] reflects the fact that in postindustrial society, historically unprecedented levels of wealth and the emergence of the welfare states have given rise to a shift from scarcity norms, emphasizing hard work and self-denial, to postmodern values emphasizing the quality of life, emancipation of women and sexual minorities and related Postmaterialist priorities such as emphasis on self-expression. (p. 9).

Then, if we add the United States to our consideration as the country that is aggressively promoting globalization in the mental health field as mentioned above, according to Inglehart and colleagues (2010), Japan and Sweden are on the edge of Secular-Rational Values, while Malaysia and the United States are located on the area of mildly traditional values; and, Sweden is extremely and the United States is mildly adherent to self-expression values, while Japan and Malaysia are in the middle of the continuum of survival and self-expression values. By ignoring the extent of their adherence to each value, we draw a simple map in Figure 1.

![Figure 1: Four countries on a cultural map](image-url)
Adapted and simplified from “Location of 80 societies on a global map of cross-cultural differences,” by Inglehart et al. (2010).

While considering these cultural differences in these countries, let us illustrate cultural matters related to grief in the three regions. Also, we will discuss what practice social workers could follow with mourners under those circumstances.

The Muslim-based religious culture in Malaysia

Malaysia is a country in South-East Asia. “According to a 2000 government census, about 60% of the population were Muslim” (“Malaysia,” 2007). Islam is the official religion of the country. Islam influences the Malay people in various aspects of their daily life (Ghinani, 1998). An observation of the daily life of a Malay community would showcase various religiously collectivistic activities such as having frequent visits to a religious institution such as a mosque. If a death occurs in a Malay community, various rituals are observed that involve not only the immediate family members of the deceased, but also the community at large (Morgan, 2002; Sakr, 1995).

The Quran clearly describes the concept of death and life in the Hereafter. According to Islam, life in the world serves as the purpose of being a test for humans (Quran: 67:2). The Hereafter, then, is created to measure the “successes” of humans in enduring the test according to Islamic rules. This influences the ways the Malay people deal with various aspects of death. In Islam, death is to be accepted as part of the overall divine plan (Giladi, 1993). When a Muslim dies, his/her eyes and mouth should be closed and the limbs should be straightened. The body should be turned to the direction of Mecca, the direction Muslims also face when offering their prayers. Before the burial, the body should be bathed, scented and shrouded in unsewn pieces of white cloth. It is crucial for the deceased to be buried as soon as possible. A funeral prayer is held at a mosque. The family and community members follow the funeral procession to the graveyard. The funeral procession happens within 24 hours of death.

After the burial the family members will often organize tahlil arwah (a collective prayer session for the dead). This ritual emphasizes the search for forgiveness and blessing for the deceased. People conduct this ritual three days after the burial. This ritual can be interpreted as a way in which the Malays maintain their bonds with the deceased. It is emphasized that even though the relationship has ended in this world, the bereaved can still conduct some actions that can be beneficial to the deceased in terms of providing blessing to the dead. Muslim graveyards are normally near the mosques so that the deceased are able to listen to their prayers. Their graveyard is the best place to visit for helping them to practice self-reflection. Those who visit their parents’ graveyard every Friday will be rewarded with heaven in the Hereafter. Malays maintain continuing bonds with the deceased through religious activities. Rather than just praying for the deceased, Malays prepare a feast and invite their friends and family members to pray for the deceased during the ceremony of the feast. They participate in such feasts a certain number of days after the person’s death, on his/her death anniversary, or on days of religious celebration. Malays also believe they must do good deeds—not only visiting graveyards but also giving alms and reciting the Quran—so the deceased will benefit, for example by gaining entry to Heaven and receiving lighter punishment on Judgement Day.
In Malaysia, there are no specific policies that specify what interventions should be offered to grieving individuals. Most of the support focuses on practical aspects such as funeral arrangements. In terms of the practice of intervention for grieving, there is a lack of comprehensive understanding on what to do in professional settings, partly because Malays are reluctant to seek professional help such as that of a counselor or a therapist. Many Malays believe that psychological disturbance, including grief, is to be attributed to either physical or supernatural causes (Razali & Najib, 2000). They believe that a supernatural spirit occurs with the will of God, and that it makes them have negative feelings. Bomoh (shamans) are more often consulted with than are mental health specialists, especially for emotional and psychological problems.

According to Maqsood (2002), Muslims can grieve, but their religion puts a certain limitation on their grieving. Muslims are prohibited from displaying any extreme responses such as wailing and hurting themselves. Muslims are advised to turn to God during stressful episodes and at times of grief. However, Malay Muslims need to understand that they have the right to grieve. Social workers are challenging the mentality of Muslims that believes to talk about the deceased would show a lack of piety. Some Malay Muslims believe that talking and thinking about the deceased may signify their distrust of God. They try to forget the deceased and pretend that they are moving on with their lives. Social workers in Malaysia have to enlighten such people and encourage them to embrace their own ways of grieving.

**The Christianity-based secular culture in Sweden**

Sweden is a country in the North of Europe. Until agreement was reached on the separation of church and state, the Church of Sweden, an Evangelical Lutheran church, represented the religion of the state, and “according to recent estimates, about 79.6% of the population belong to the Church of Sweden” (“Sweden”, 2007). In Sweden, now a dominantly secular society, traditional grief theories which emphasize that the bonds to the deceased should be definitively ended dominate the grief discourse in terms of of lay theories. These are applied both by professionals and mourners themselves, who expect to be able to “let go” of the relationship to the deceased. However, in research interviews with bereaved people it is clear that mourners do retain their bonds with related deceased persons, but that they may be ashamed to express such connection for fear of being regarded as abnormal or mentally ill.

Apart from the funeral, people in general do not go to services in church or visit the grave as often as occurred in the historical Christian period, when these practices were part of everyday life. In the present postmodern time, people use the Internet to find a voice and to share their experiences of loss with others, but also to communicate with the deceased—for example in memorial blogs. After catastrophic deaths a collective mourning is expressed, usually at the scene of the incident, but in general grief is managed more in an individualistic fashion and many mourners express the feeling of being alone in grief.

Grieving people are generally not offered professional bereavement support. A consequence is that problems related to loss and mourning tend to be constructed as individualistic mental issues in need of psychiatric healthcare. Only a few bereavement care facilities exist that offer a therapeutic approach whereby mourners
are provided a space to reflect on their relationship to the deceased and life after the loss.

Death is quite a taboo subject in Swedish culture and mourners interpret the silencing reactions in their family and social networks as expectations to “move on” in life rather than to “dwell on” the loss experience. Some deaths are more taboo than others, such as those caused by drug addiction, murder or suicide; family members as a consequence experience being stigmatized in grief with a loss of social support. However, these taboos are perhaps changing as mourning family members are speaking about their experiences in public more frequently than previously as a way to increase knowledge and reduce stigma; for example, in the form of chat blogs on the Internet, written autobiographies or film documentaries. The challenge for the field of social work is to incorporate a knowledge base about loss and grieving grounded in mourners’ own narratives of experience, so professional social workers can support grieving in the encounter with clients who have experienced all kinds of losses, not only as a result of death. One such example is a narrative approach to grieving, which particularly supports mourners to become narrators of their own bereavement stories in order to support a reconstruction of meaning and identity in the wake of profound loss that resists stigma (Silvén Hagström, 2016).

The Buddhism-based secular culture in Japan

Japan is a country in East Asia. Most Japanese have two religions: Buddhism and Shintoism. According to a national survey in 2015, the numbers of believers in Buddhism and Shintoism are 88.7 million and 89.5 million respectively (Ministry of Education, 2015). The total number of the Japanese population in 2015 was 127 million (Statistics Bureau, 2016). The fact that the total number is less than the sum of the numbers of believers of the two religions shows “Japanese people adhere to more than one religion” (Hood, 2015, p. 90). Judging only from these figures alone, Japanese may appear to be very pious people, but according to Inglehart et al. (2010), a mere 24% of Japanese people say that they are religious. Mullins (2011) may help solve this puzzle, stating:

In popular consciousness, “religion” is often understood in a highly restricted way to refer only to organized religion or religious institutions. Consequently, Japanese usually claim to be “without religion” (mushūkyō) because they do not identify themselves as members of one particular religious group. The majority of Japanese, nevertheless, continue to participate in household and institutional rituals, festivals, and annual events, and many hold what most observers would regard as “religious” beliefs. (pp. 63)

One such ritual is a Buddhist funeral. According to the 2014 survey of the Japan Consumers’ Association (as cited in Sōgi Annainin, 2017a), over 90% of funerals were conducted in Buddhist ways while only 4% were non-religious.

A big problem of these funerals is the cost. Japanese funerals are mainly administrated by funeral companies, and according to the Japan Consumers’ Association’s survey in 2014 (as cited in Sōgi Annainin, 2017b), the average cost of a funeral is 1,890,000 yen (16,800 USD, if 1 USD = 133 JPY). The average of the first monthly salary of a college graduate was 202,000 yen in 2015 (Ministry of Health,
So, the funeral cost is about eight times the average monthly salary of a college graduate. Consequently more and more people want to avoid having funerals. An Internet survey of a thousand over-40-year-old persons shows that 48.8% of the respondents say that they do not want to have their own funerals done (PR Times, 2010). A quite similar result is obtained by another Internet survey, of 432 people from their 20s to 40s: 50.0% of respondents hope to avoid holding a funeral (iSHARE, 2010).

On the other hand, Japanese Buddhism has traditionally included ancestor worship, and that cultural factor helps maintain the continuing bonds between the bereaved and the deceased among family members. A traditional family has its own Buddhist altar within their house, and “many of the interactions in front of the buddha altar are continuations of the bond which was there before the person died” (Klass, 1996, p. 296). However, that custom is decreasing because Buddhism is losing power among the people. Japan has 77,000 Buddhist temples, about 20,000 of which have no monks (Ukai, 2015, p. 241). Japanese Buddhist temples are now disappearing, and a void in religiosity or spirituality is growing in Japan.

To fill the void in spirituality, a new cultural phenomenon is spreading, which Shimazono and Graf (2012) have called “the new spiritual culture,” which is “differentiated from traditional religion and traditional notions of ‘spirituality’ by its embrace of seemingly secular concerns like healthcare and healing, business ethics and self-help” (p. 459). On the wave of the cultural phenomenon of mental health, a Western-born discourse of grief and recovery, the Grief Work Hypothesis, is spreading in Japan. According to that hypothesis,

Principles of grief counseling and therapy follow the view that, in the course of time, bereaved persons need to break their ties with the deceased, give up their attachments, form a new identity of which the departed person has no part, and reinvest in other relationships. People who persist in retaining a bond with their deceased loved one are in need of counseling or therapy (Stroebe, Gergen, Gergen, & Stroebe, 1992, pp. 1206-1207).

Although this concept is already considered obsolete by researchers (Hall, 2014), many Japanese professionals and volunteers supporting mourners still use it. Additionally, a suicide prevention act came into force in Japan in 2006, according to which psychological support service with the Grief Work Hypothesis for family survivors of suicide is subsided by local governments. On the other hand, some family survivors hold traditional concepts of keeping bonds with the deceased and hope they will live with grief; consequently they have conflicts with professionals and volunteers, who stress “overcoming” or “resolving” grief (Oka, 2016).

The challenge for social workers is to work with such mourners by de-pathologizing and normalizing grief. By de-pathologizing themselves, people can empower themselves. Social workers then will work with them to improve their lives.
In the non-religious cultures, people behave differently in terms of religion: in one culture, people still follow many religious rituals while in the other they do not. All three cultures are influenced by the globalization of mental health concepts and medicalization. The epicenter of this wave, the USA, is located differently from any of the three countries in the two value dimensions of traditional versus secular-rational values and survival versus self-expression values. This difference implies that people in the three cultures might have cultural difficulties in incorporating globalized concepts into their lives or combining them with their indigenous wisdom.

Our approaches to grief or bereavement could be divided into two types (Table 2): One is to accept grief as part of life (Approach A) and the other is to pathologize it (Approach B). Each has different perceptions of relationships with the deceased,
which can be summarized as “continuing bonds” or “ties to be severed,” respectively. These perceptions are greatly influenced by religions: Japanese Buddhism encourages continuing bonds with the deceased, while Christian doctrines may encourage people to sever ties. Community power will bolster continuing bonds with the deceased, as the Malay case shows. Boosted by the modern trend toward medicalization and the Grief Work Hypothesis, Approach B, disguised as “science,” is now spreading in many countries, and some professional bereavement workers treat mourners as “patients,” which can disempower people. On the other hand, Approach A is congruent with the Global Definition of the Social Work Profession in the sense that taking grief as a normal part of human life helps to empower mourners. Social workers should respect the diversity of approaches to grief and help the bereaved use Approach A, if that is their wish.

<table>
<thead>
<tr>
<th>Perceptions on grief</th>
<th>Relationships with the deceased</th>
<th>People orientation</th>
<th>Major theories, knowledge, frameworks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approach A</td>
<td>Normal part of life</td>
<td>Continuing bonds</td>
<td>Empowerment</td>
</tr>
<tr>
<td>Definition of Social Profession</td>
<td></td>
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<td>Indigenous wisdom, The Global Work</td>
</tr>
<tr>
<td>Approach B</td>
<td>Pathologized Grief</td>
<td>Ties to be severed</td>
<td>Disempowerment, patientization</td>
</tr>
</tbody>
</table>

Table 2: Two Approaches to Bereavement

Many questions are left unanswered. First, it is obvious that cultures differ in different areas with different histories and socioeconomic situations. What is important for social workers is the metaphors or narratives used in facing the death of the loved ones and grieving. For example, what metaphors do Japanese or Swedes use as equivalents to “forgiveness” in Malay Islam? We need to explore more metaphors, narratives or stories around grief and bereavement. Second, on the wave of globalization, can there be universal elements that all the world’s social workers should know will work with mourners. How should we use “universal knowledge” and “local knowledge” or a combination of both? Third, as mentioned above in the section on Malay Islam, religious concepts could keep mourners isolated. Is there any pattern about religious or indigenous knowledge that works with mourners in maladaptive ways? Fourth, numerous theories and concepts have been developed for mourners by psychologists, but the mission of social workers focuses on the social function of mourners. To clarify the mission in the specific context of working with grieving people, we need to know the societal positions of mourners, who are not “patients.” Fifth, as social workers, we should not take grief or bereavement as a mere psychological phenomenon causing much stress to families or close friends. Grief and bereavement are linked to death, which is the inevitable destination of all our lives. We are the offspring of numberless people who experienced their own deaths. Our ancestors have surely accumulated wisdom in indigenous ways. In the chaotic era of globalization, that wisdom deserves our dedication.

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References


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Facing the Challenge of Being a Woman Officer in the Belgian Army:
Personality Profile and Coping Strategies

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Abstract
Forty years ago, the first women soldiers joined the Belgian army. Since then, much progress has been made in the feminization of the staffs, particularly through various laws and policies implemented on this purpose. However, female staff is still a largely under-represented group in the Belgian army. This could be mainly explained by the fact that the characteristics traditionally assigned to women do not match the military culture, primarily based on so-called “male” values. Given this situation, we tried to identify the personality profile and the coping strategies of those women who chose to pursue a leadership career, as army officer, in a male-dominated environment. We therefore conducted a survey with a selected sample of 38 female military officers. Four tools were used: an anamnestic questionnaire, the Revised NEO Personality Inventory, the Coping Inventory for Stressful Situations and the Coopersmith Self-Esteem Inventory. From the main sample, we then extracted a subsample of 17 officers who agreed to participate in a semi-structured interview.

The results of the personality inventory revealed high marks in the areas of extraversion and consciousness, and a low score in neuroticism. The CISS allowed us to demonstrate that our subjects do not use a specific style of coping and the CSEI highlighted that their self-esteem is within the average range. The semi-directive interviews confirmed these results and allowed us to observe that most of our subjects do not perceive discrimination relating to their career development even if the access to promotions is still limited.

Keywords: Woman officers, Belgian Army, Personality Profiles, Coping strategies
Introduction

Forty years ago, the first women soldiers joined the Belgian army. Since then, much progress has been made in the feminization of the staffs, particularly through various laws and policies implemented on this purpose. However, female staff is still a largely under-represented group in the Belgian army (7.6% vs 10.3% on average in the armed forces of NATO member nations in 2014).

This could be mainly explained by the fact that the characteristics traditionally assigned to women do not match the military culture, primarily based on so-called “male” values. Since early childhood, girls and boys are indeed educated in a differentiated way and this gendered approach very deeply defines what is socially expected of a woman and a man. Later, these learnings reinforce a divided view of the world of work and restrict access to certain gender-centered professions, such as the military career. According to these stereotypes, women should show dedication, caring for others, greater emotional sensitivity and some mental flexibility. On the other hand, they are also often described as less strong than men and even, as physically vulnerable. This profile does not correspond to the one that define a good soldier: physical and mental strength, courage, self-control, obedience...

In the army, these stereotypes remain very present and hamper women's access to high hierarchical levels. This could explain why many studies focus on gender stereotypes and more specifically, on the possible links between sexual stereotypes and leadership efficiency (Boldry et al., 2001; Boyce & Herd, 2003). Moreover, the studies rarely focused on senior women army officers and these successful women are rarely studied in the scientific literature through their psychological characteristics. Our research attempts to fill the gaps by approaching these women ‘own personality, skills and talents and by analyzing, among other things, the strategies they used to succeed their professional career.
2. Methodology

2.1. Purpose of the research

The purpose of our research was to identify the personality profile and the coping strategies of those women who chose to pursue a leadership career, as army officer, in a male-dominated environment.

2.2. Research questions

Our research questions were: What are the main personality traits that characterize the female officers in our sample? What type(s) of coping strategies do the female officers use to overcome the difficulties they encounter in their workplace? What is the level of self-esteem of our female officers? What were the personal motivations which led our female officers to join the army? Do the female officers consider that it is difficult to be a woman in the army? What are the factors that enable these women to effectively combine work and family life?

2.3. Instrumentation

In order to investigate our research questions, five tools were used: an anamnestic questionnaire, the Revised NEO Personality Inventory, the Coping Inventory for Stressful Situations, the Coopersmith Self-esteem Inventory and semi-directive interviews.

2.3.1. The anamnestic questionnaire

The first tool, the anamnestic questionnaire, gave us the opportunity to collect information about individual life course. This information was completed by some identifying data (age, army, and years of service). The anamnestic questionnaire authorized us to offer a description of the sample’s characteristics.

2.3.2. The Revised NEO Personality Inventory (NEO-PI-R; Costa & Mc Crae, 1992)

The NEO-PI-R is a personality inventory based on the idea that personality traits are hierarchically organized: from the most general to the most specific. It assesses the Big Five personality traits (Plaisant et al., 2010): Extraversion, Agreeableness, Conscientiousness, Neuroticism, and Openness to Experience. Additionally, the inventory assesses six subordinate dimensions (known as facets) of each of the main personality factors.

The NEO-PI-R is a self-administered questionnaire of 240 items (descriptions of behavior) answered on a five-point Likert scale (ranging from "strongly disagree" to "strongly agree"). At the end of the pass, all the notes of the subject are transferred to a profile sheet. The individual is then located in relation with each dimension and facet according to a reference group. The administration of the full version takes between 30 and 40 minutes.
The French translation of NEO-PI-R was carried out by Rolland and Petot in 1994. This translation was first validated in a preliminary study involving 447 students and then in an examination of 801 adults (Rolland 1998 in Bouvard, 2009). The French adaptation of the tool has satisfactory psychometric qualities.

### 2.3.3. The Coping Inventory for Stressful Situations (CISS; Rolland, 1998)

The CISS is an instrument of self-assessment strategies used by people confronted with stressful situations. “Coping strategies refer to the specific efforts, both behavioral and psychological, that employ people to master, tolerate, reduce, or minimize stressful events”. It is based on three main dimensions: Task (the participant seeks a solution to the problem by action), Emotion (it is quickly overwhelmed, missing distance, and gives emotional responses) and Avoidance (it tries to reduce the stress either by distraction or social diversion, which are two subscales of the inventory). This questionnaire includes 48 items (16 items for the dimension of the task, 16 for emotion, and 16 for avoidance). The Avoidance-oriented scale resulted in the identification of two subcomponents: Distraction (8 items) and Social Diversion (8 items). This tool gave us the possibility to identify common patterns of coping strategies in the sample (Endler & Parker, 1990).

### 2.3.4. The Coopersmith Self-Esteem Inventory (Coopersmith, 1984)

The Coopersmith Self-Esteem Inventory is a 50-item measure of attitudes toward oneself. For each item, participants answer whether the statement provided is “like me” or “not like me”. This brief self-report questionnaire has no time limit, but assessment usually takes fifteen minutes. Five subscales yield scores for self-esteem in relation to general, social, familial and professional self. The scores from these subscales are combined for a general self-esteem score. The scale is accompanied by an eight-item lie scale to assess defensiveness. In the field of psychology, self-esteem is considered as an important component to good mental health and stability.

### 2.3.5. Semi-directive interviews

We used semi-directive interviews in order to investigate some of our research questions. This instrument is interesting because it respects the interpersonal dimension of communication. In a semi-structured interview, the interviewer generally has a framework of themes to be explored. This is why he generally has a prepared interview guide. Interview guide helps the researcher to focus on the selected topics without constraining them to a particular format. Our interview guide was centered on topics related to the personal motivation and the difficulties experienced but also on work and family life reconciliation.
2.4. Samples and research planning

38 subjects composed our first sample; all of them were female military officers. These 38 subjects answer the questions of the anamnestic questionnaire and were assessed by the three standardized tests (the Revised NEO Personality Inventory, the Coping Inventory for Stressful Situations and the Coopersmith Self-Esteem Inventory). The second sample is a subset of the first one (17 subjects) and was selected in order to participate in the semi-directive interview.

![Figure 2: Research planning]

3. Main results

3.1. Anamnesis information

The average age of our first sample is 33.87 years (with a standard deviation of 6.13). The youngest participant is 25 years old, the eldest is 56 years. Our officers experienced on average 13.34 years of service with a minimum of 2 years and a maximum of 38 years.

<table>
<thead>
<tr>
<th>SAMPLE 1 (38 subjects)</th>
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<td>Army: 17</td>
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Mean age: 33.87 years  
\[\sigma = 6.13; \text{min} = 25; \text{max} = 56\]

Years of service: 13.34 years  
\[\sigma = 6.92, \text{min} = 2; \text{max} = 38\]

Table 1: characteristics of sample 1

The average age of our second sample is 34.35 years (with a standard deviation of 7.27). The youngest participant is 26 years old, the eldest is 56 years. Our officers experienced on average 15.29 years of service with a minimum of 2 years and a maximum of 38 years.
SAMPLE 2 (17 subjects)

| Army: 6 | Air Force: 4 | Medical component: 4 | Navy: 3 |

Mean age: 34.35 years  
($\sigma = 7.27$; min = 26; max = 56)

Years of service: 15.29 years  
($\sigma = 8.16$, min = 2; max = 38)

Table 2: characteristics of sample 2

3.2. Revised NEO Personality Inventory

What are the main personality traits that characterize the female officers in our sample?

The results of the personality inventory revealed high marks in the areas of extraversion and consciousness, and a low score in neuroticism. These results highlight an important emotional stability.

![Figure 3: Results of the Revised NEO Personality Inventory](image)

**Neuroticism (low)**

A low "neuroticism" score indicates that, compared to the population average, our female officers tend to feel less negative affects (such as guilt, sadness, fear...). They are characterized by a low anxiety level and low stress vulnerability. They are thus able to adequately control their impulses and to successfully face stressful situations. They are little affected by the distress of others and by failures.
Extraversion (high)

A high "extraversion" score indicates that they have a positive perception of reality, of themselves and about life in general. They are optimistic and show high energy, cheerfulness and sociability in everyday life. They preferably look for stimulating environments rather than calm ones and enjoy working with many people around them. They appreciate to live a hectic and busy lifestyle.

Conscientiousness (high)

A high "conscientiousness" score indicates that they are driven by a wish for self-improvement and success. They are determined and persistent. Professionally reliable and self-disciplined, they feel well-prepared to face the challenges and are confident in their own skills. They are very attentive to their moral obligations.

These results are in line with those of Detrick and Chibnall (2006) which analyzed the psychological profile of the most able police officers. According to this study, the best police recruits (men and women) also have high "conscientiousness" and "extraversion" scores while they have a low "neuroticism" score. These results show that a particular personality is maybe required to perform a function such as military or police, both for women and men.

3.3. Coping Inventory for Stressful Situations

What type(s) of coping strategies do the female officers use to overcome the difficulties they encounter in their workplace?

The CISS allowed us to demonstrate that our subjects do not use a specific style of coping: all scores are in the mean zone, except the task-oriented coping score which is a very little higher (56.87). Therefore, we can say that our female officers seem able to adapt their strategies according to various encountered situations.

According to the findings of Firth-Cozen and Morisson (1989), women would use more coping strategies centered on emotion whereas men would prefer task-oriented strategies. We can observe the opposite in our sample. It therefore appears that
women tend to deploy coping strategies closer to those of men when they have to deal with a gendered job.

3.4. Coopersmith Self-Esteem Inventory

What is the level of self-esteem of our female officers?

According to Lasser and Priou (1998), women in a so-called male occupation show high level of self-confidence. Surprisingly, the scores obtained by the subjects of our sample (41.58/50) do not reveal very high self-esteem. Indeed, in reference to the calibrated total scores, their own total mean score is between the 32nd and 69th percentile (class 3 of 5 - scores between 41 and 45). The self-esteem of our subjects is therefore within the average range (Coopersmith, 1984) but, during the semi-directive interviews, they explained that their self-esteem had grown stronger whenever a challenge had been overcome.

<table>
<thead>
<tr>
<th>Scale</th>
<th>General</th>
<th>Social</th>
<th>Familial</th>
<th>Professional</th>
<th>TOTAL</th>
<th>Lie</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean score</td>
<td>21.1</td>
<td>6.76</td>
<td>6.63</td>
<td>7.08</td>
<td>41.58</td>
<td>3.76</td>
</tr>
<tr>
<td>Scale maximum</td>
<td>26</td>
<td>8</td>
<td>8</td>
<td>8</td>
<td>50</td>
<td>8</td>
</tr>
</tbody>
</table>

Table 3: SEI results

These results also show that senior women officers have less integration difficulties because of the respect for hierarchy that characterize the Army, as well as the obligation of respect and obedience towards all officers.

We can also notice that the results of table 3 show that they have a higher self-esteem in the professional subscale (7.08/8) than in the family (6.63/8) and the social (6.76/8) ones. This confirms a true personal achievement through their professional activity.

Finally, if we compare the officers' lie scale score with the reference population’s one, we find that our sample has a slightly higher mean score (3.76 vs. 3.22). However, since the gap between these two scores is relatively small, we don't believe that any defensiveness has influenced the results of the test in any way.

3.5. Semi-directive interview

What were the personal motivations which led our female officers to join the army?

The main personal motivations of our female officers to join the Belgian army were the opportunities offered by this corps in which physical fitness is a job requirement: moving, traveling, sport training and facing challenges. Taking part in humanitarian missions was also an appreciated dimension of the job. Their choice was moreover conditioned by the opportunities for personal development and self-perfection, as well as by the emphasis on moral values. At last, earning a wage during schooling is an important aspect that, according to them, shouldn't be ignored.
Do the female officers consider that it is difficult to be a woman in the army?

Our subjects have a positive perception of their professional experience even if they are sometimes confronted with sexist jokes. They develop positive relationships with male colleagues but they regularly feel obliged to prove themselves more than the male officers. They do not perceive discrimination relating to their career development even if the access to promotions is still limited.

What are the factors that enable these women to effectively combine work and family life?

Most of the women of our sample are married (14/17), 8 of them with a soldier, and 3 are single.

Our subjects do not want to sacrifice their family life in order to succeed in their career. However, they sometimes feel guilt and frustration of not being able to do both as perfectly as they would like. They need to be very organized and able to plan their everyday life. They also need to implement different external supports (help from the spouse, cleaning person, for housework, babysitting, etc.).

It seems that the military husbands pay particularly attention to the career of their wives: they do all they can to allow them to fully live their live as officers because they know how involving this profession could be. They share everyday tasks and intensively participate in the education of children. They also take over when their wives are absent. Our subjects report that the Ministry of Defense ensures not to send the two members of a couple abroad at the same period.

4. Conclusion

Being a woman in the Belgian Army is still a challenge but discrimination seems to be less intensive than some years ago. The professional experience in a male environment is clearly positive even though it requires a great motivation and a good adaptability. Military women officers are very sensitive to moral values and demonstrate high emotional stability. Even if they do not have a high self-esteem, they can take advantage of their flexibility and can adapt their coping strategies according to the encountered situations. Because they love their job, they show great organizational qualities and unfailing motivation to achieve the goals they have set for themselves. As they don't want to be torn between their roles as mother and officer, they do everything they can to keep a good balance between work and family life.
References


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**Why Do You Go to A Museum and Why Don’t? – A Case Study of Motivations to Visiting Antalya Museum, Turkey**

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Abstract

Museums are critical for resource conservation, while they can provide a recreational setting and enhance visitor’s leisure experience. Museums also play an important role in the hospitality and tourism industry, as they attract domestic and international travelers. Museums serve as social, cultural, and economic enrichment. The purpose of the research included understanding the motivations to visit the Antalya Museum in Turkey in order to suggest a marketing communication design. Underpinned by the theory of planned behavior, semi-structured interviews were conducted with 85 visitors and 85 non-visitors who were selected by a purposeful sampling in order to elicit salient beliefs on their museum visits. The results showed three types of beliefs. With respect to behavioral beliefs, the most frequently reported advantage of visiting the museum was learning, followed by experiencing exhibits, while more than half of the visitors and non-visitors did not identify any disadvantages. Regarding normative beliefs, both the visitors and non-visitors perceived that their family members and friends supported their museum visits, whereas more than half of them did not recognize anyone who disagreed with their museum visits. Concerning perceived control beliefs, both the visitors and non-visitors explained that transportation and location were the major facilitator for their visits, whilst nearly half of the visitors did not report any obstacles to their visits. It is suggested that the motivations to visit the museum, such as learning, family support, and accessibility, should be incorporated into the design of communication messages when promoting the museum visits.

Keywords: Museum, motivation, theory of planned behavior, salient beliefs, promotion
Background

Museums play an important role in the recreation and tourism industries, as they attract a number of visitors and have become a destination for domestic and international travelers (Brida, Meleddu, & Pulina, 2012b; Jansen-Verbeke & Rekom, 1996) and an economic source (Brida, Disegna, & Scuderi, 2013). Despite the significant role, museums have been encountered an increase competition with other attractions and struggled for governmental fund and public support (American Association of Museums, 2012). This has led museum to become market-oriented, paying attention to public needs and expectations. Understanding why some people visit a museum and why others do not visit provides insights for a marketing strategy of the museum and tourism policy. The purpose of the research was to understand the motivation of people toward visiting Antalya Museum in Turkey. In order to obtain a clear understanding of the reason behind visiting or not visiting the museum, the salient beliefs about visiting the museum of visitors and non-visitors needs to be elicited.

Many authors have reported the contributors motivating people to visit museums (Axelsen, 2007; Burton, Louviere, & Young, 2009; Falk, Heimlich, & Bronnenkant, 2008; Packer, 2006; Packer & Ballantyne, 2002; Powell & Kokkranikal, 2015; Thyne, 2001). Falk and Dierking (2000) contended “free-choice learning” as a major anticipated outcome of all museum visitors’ experiences. Thyne (2001) used the laddering technique to uncover the reasons to visit the museum in New Zealand and reported socialization being with family and friends as a major purpose of visiting the museum in addition to education and learning. Packer and Ballantyne (2002) compared the motivations to visit educational leisure settings at a museum, an aquarium, and an art gallery in Australia and found that museum was the important place of learning. These research findings revealed learning is one of the major motives for museum visitors regardless of the degree of its prominence. A museum researcher John Falk (2009), who extensively reviewed studies on the motivations of museum visits, maintained that an obvious reason for a museum visit – learning – was overlooked. “Some come to learn explicitly, some come to learn implicitly, but all come to learn!” (p.56). Learning seems to be indispensable reason for visiting a museum.

Falk and his colleagues (Falk, 2006, 2009) conducted interviews with visitors at the California Science Center about their reasons to visit there and concluded that their expectations and motivations for a museum visit could be clustered the visitors into five identity-related categories: explorer, facilitator, experience seeker, professional/hobbyist, and spiritual pilgrims. These five identities indicate that there is a particular aspect that each of the identities has to fulfill. Fulfilling the need of playing these identities is the motive for museum visitors. Sheng and Chen (2012) conducted questionnare surveys at five museums in Taiwan to investigate visitor’s expectations and identified five types of experience expectations: easiness and fun, cultural entertainment, personal identification, historical reminiscence, and escapism. Their findings also indicate that people show a particular expectation to fulfill when they visit a museum and that they visit a museum when they feel a need of satisfying one or more of the five types of expectations. These study findings suggest museum managers to consider certain predilections toward museums and design promotional
communication messages and attractive exhibitions in a way to fulfill such predilections to promote their museums.

Powell & Kokkranikal (2015) conducted interviews with visitors to the Imperial War Museum in the U.K. and reported that socialization, interactions with exhibits, and the location of the museums were important motivating factors. They found that extrinsic motivations were more dominant than the intrinsic one to visit the museum, while motivations were multi-faced and a combination of both intrinsic and extrinsic ones. In contrast to these findings, Mastandrea et al. (2016) found that intrinsic motivations were more influential than the extrinsic ones for university students in Italy to visit a museum. Young audiences perceived external behavioral control, such as a lack of information, time, and chance, high price, as a constraint and driven by interest in arts, fulfilling pleasure, and emotional engagement. The authors suggested that for young people, an opportunity to visit would need to be reminded. These research findings suggest that there are multiple unequivocal reasons to visit as well as interpersonal purposes. They also suggest museum marketers to segment their target audiences, position themselves in a way that they can serve such a segmented audience, and provide each targeted segment with a particularly designed experiences and events in order to promote their museums.

As we have argued above, museum visitors have beliefs on their museum visits, while some people believe some constraints to visit or are unaware of the needs to fulfill at a museum. Uncovering what people believe in regard to their museum visits will allow museum marketers to design promotional communication, events, and exhibitions presentations to attract visitors to their museums. Research is needed to understand the reasons why people visit or do not visit a certain museum in order to obtain such a guideline for museum marketing.

Arguably, one of the most widely applied theoretical frameworks by which to explain behavioral performance is Ajzen’s (1991, 2012) Theory of Planned Behavior (TPB). This theory postulates that an individual’s intention to perform a behavior is a central motivational factor to influencing a behavior and that the intention is assumedly directly influenced by three determinants: attitude, subjective norm, and perceived behavioral control. These direct determinants are affected by respective counter-beliefs in regard to performing the behavior. Attitude toward the behavior is formed by behavioral beliefs, which are the expected outcomes and consequences of performing the behavior as well as the evaluation of each of the outcomes and consequences. Subjective norm is constructed via normative beliefs, which are the perceived social pressures of whether important referents approve or disapprove of his/her performing the behavior. Perceived behavioral control is formulated via control beliefs, which are the perceived presence of factors that may facilitate or impede the ease of the behavioral performance.

According to the TPB, it can be predicated that understanding the relevant salient beliefs on a particular behavior will allow us to predict the behavioral occurrence. Additionally, investigating the salient beliefs of a particular behavior may enable us to not only identify what makes an individual perform the particular behavior but also to uncover what makes him/her not perform the behavior. Focusing on the salient beliefs on a particular behavior will contribute to examining the likelihood that a certain behavior will occur, which may help design a marketing communication strategy to
promote the museum visits. Research is needed to investigate the beliefs about visiting Antalya Museum. Additionally, in order to understand why some people do not visit the museum, research focusing on non-visitors is needed. Therefore, research about the beliefs on visiting Antalya Museum was needed with two groups: visitors and non-visitors. This exploratory belief elicitation research was aimed at identifying the visitor’s and non-visitor’s salient beliefs about their visits to Antalya Museum.

Antalya Museum is one of the largest archeological museums in Turkey and exhibits a comprehensive archeological collection. Antalya is a Mediterranean beach resort city that attracts international tourists all year round. Antalya Museum is located at a scenic coastline and close proximity to central downtown of the city. It can be reached by frequent public bus and tram.

Methods

Following the theoretical rationale and measurement procedures of Ajzen (n.d.), Beeton et al. (2005), and Ham et al. (2008), elicitation research was undertaken at Antalya Museum in November 2015. Semi-structured one-on-one interviews were conducted at the site with a convenience sample of visitors and non-visitors. Interview respondents included adults who were 18 years of age or older. Interviewers approached an individual visitor at the museum to invite him/her to the interview. They also approached adult individuals outside of the museum to ask them whether they have ever visited a museum in the past, and if not, they were invited to the interviews.

Following widely applied TPB-based instrument, the interview guide contained six open-ended questions, each of which related to one of the TPB’s three main beliefs (i.e., behavioral beliefs, normative beliefs, and control beliefs), in addition to questions on demographic information.

1. What do you see as the advantages or good things that could occur by visiting Antalya Culture and Arts today?
2. What do you see as the disadvantages or bad things that could occur by visiting Antalya Culture and Arts today?
3. Who (individuals or groups whose opinions you consider personally influential) do you think would support or approve of your visiting Antalya Museum today?
4. Who (individuals or groups whose opinions you consider personally influential) do you think would object or disapprove of your visiting Antalya Culture and Arts today?
5. What factors or circumstances enable or make it easy for you to visit Antalya Culture and Arts today?
6. What factors or circumstances make it difficult for you to visit Antalya Culture and Arts today?

The questions were adopted from Ham et al.’s (2009) study, changing wordings to fit this research. The interviewers were multilingual in English, Turkish, and/or Russian, as the city collected international tourists and these languages are typically used among tourists.
The interview responses were transcribed verbatim in English even if the original language was another language. A content analysis of the interview responses identified beliefs with respect to visiting the museum and provided an inventory of behavioral beliefs, normative beliefs, and control beliefs potentially salient to the behavior. In the analysis, the texts were broken into discrete elements so as to better examine the similarities and differences among the responses, and major ideas and recurring themes were identified.

**Results**

**Respondents**

A total of 170 respondents participated in the interviews, including 85 visitors and 85 of non-visitors. As the Table 1 shows, the majority of visitors and non-visitors responded in English (85% and 67%, respectively), while more number of the non-visitors (29%) responded in Turkish than the visitors (13%). The major age ranges of the visitors were 20s (29%), 30s (28%), and 40s (16%), while almost a half of the non-visitors were 20s (49%). The gender of visitors and non-visitors split almost equally.

<table>
<thead>
<tr>
<th>Language spoken</th>
<th>Age range</th>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visitors (n=85)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>English</td>
<td>18-19</td>
<td>6 (7%)</td>
</tr>
<tr>
<td>Turkish</td>
<td>20s</td>
<td>25 (29%)</td>
</tr>
<tr>
<td>Russian</td>
<td>30s</td>
<td>24 (28%)</td>
</tr>
<tr>
<td>Russian</td>
<td>40s</td>
<td>14 (16%)</td>
</tr>
<tr>
<td></td>
<td>50s</td>
<td>6 (7%)</td>
</tr>
<tr>
<td></td>
<td>60s or over</td>
<td>9 (11%)</td>
</tr>
<tr>
<td></td>
<td>Unknown</td>
<td>1 (1%)</td>
</tr>
<tr>
<td>Non-visitors (n=85)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>English</td>
<td>18-19</td>
<td>8 (9%)</td>
</tr>
<tr>
<td>Turkish</td>
<td>20s</td>
<td>42 (49%)</td>
</tr>
<tr>
<td>Russian</td>
<td>30s</td>
<td>15 (18%)</td>
</tr>
<tr>
<td>Russian</td>
<td>40s</td>
<td>13 (15%)</td>
</tr>
<tr>
<td></td>
<td>50s</td>
<td>5 (6%)</td>
</tr>
<tr>
<td></td>
<td>60s or over</td>
<td>2 (2%)</td>
</tr>
</tbody>
</table>

The TPB-based interview question uncovered a range of visitor motivations to the museum. Table 2 presents a summary of responses in respect to each of the three TPB belief categories: behavioral beliefs, normative beliefs, and perceived behavioral control beliefs. The total percentage calculated exceeds 100% because respondents offered multiple responses.
<table>
<thead>
<tr>
<th>Visitors (n=85)</th>
<th>Frequency (%)</th>
<th>Non-visitors (n=85)</th>
<th>Frequency (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Behavioral Belief</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Advantage</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Learning</td>
<td>60 (70.6)</td>
<td>Learning</td>
<td>38 (44.7)</td>
</tr>
<tr>
<td>Experiencing exhibits</td>
<td>21 (24.7)</td>
<td>Experiencing exhibits</td>
<td>36 (42.3)</td>
</tr>
<tr>
<td>Others/Miscellaneous</td>
<td>14 (16.4)</td>
<td>No advantage</td>
<td>13 (15.3)</td>
</tr>
<tr>
<td>Miscellaneous</td>
<td></td>
<td>Miscellaneous</td>
<td>13 (15.3)</td>
</tr>
<tr>
<td><strong>Disadvantage</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No disadvantages</td>
<td>42 (49.4)</td>
<td>No disadvantages</td>
<td>43 (50.5)</td>
</tr>
<tr>
<td>Low quality of presentation</td>
<td>17 (20.0)</td>
<td>Getting bored</td>
<td>10 (11.8)</td>
</tr>
<tr>
<td>Becoming unpleasant/disappointed</td>
<td></td>
<td>Spending time/money</td>
<td>10 (11.8)</td>
</tr>
<tr>
<td>Getting bored</td>
<td>4 (4.7)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No answer</td>
<td>2 (2.3)</td>
<td>Inadequate facility quality</td>
<td>5 (5.9)</td>
</tr>
<tr>
<td>Others</td>
<td>9 (10.6)</td>
<td>Being crowded</td>
<td>4 (4.7)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>No Answer</td>
<td>2 (2.3)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Others</td>
<td>6 (7.1)</td>
</tr>
<tr>
<td><strong>Normative Belief</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Approval</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Family</td>
<td>28 (32.9)</td>
<td>Family</td>
<td>41 (48.2)</td>
</tr>
<tr>
<td>Friends</td>
<td>19 (22.4)</td>
<td>Friends</td>
<td>28 (27.1)</td>
</tr>
<tr>
<td>Advertising</td>
<td>12 (14.1)</td>
<td>Lecturer</td>
<td>12 (14.1)</td>
</tr>
<tr>
<td>Myself</td>
<td>10 (11.8)</td>
<td>No One</td>
<td>10 (11.8)</td>
</tr>
<tr>
<td>Lecturer</td>
<td>7 (8.2)</td>
<td>Advertising</td>
<td>4 (4.7)</td>
</tr>
<tr>
<td>Others</td>
<td>6 (7.1)</td>
<td>Others</td>
<td>8 (9.4)</td>
</tr>
<tr>
<td>No One</td>
<td>3 (3.5)</td>
<td>No Answer</td>
<td>1 (1.2)</td>
</tr>
<tr>
<td>No Answer</td>
<td>2 (2.3)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Disapproval</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No One</td>
<td>44 (51.8)</td>
<td>No One</td>
<td>48 (56.5)</td>
</tr>
<tr>
<td>Family</td>
<td>12 (14.1)</td>
<td>Friends</td>
<td>23 (27.1)</td>
</tr>
<tr>
<td>Friends</td>
<td>10 (11.8)</td>
<td>Family</td>
<td>8 (9.4)</td>
</tr>
<tr>
<td>Others</td>
<td>6 (7.1)</td>
<td>Others</td>
<td>5 (5.9)</td>
</tr>
</tbody>
</table>
Perceived Control Belief

<table>
<thead>
<tr>
<th>Facilitator</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transportation</td>
<td>34 (40.0)</td>
</tr>
<tr>
<td>Location</td>
<td>23 (27.1)</td>
</tr>
<tr>
<td>Weather</td>
<td>7  (8.2)</td>
</tr>
<tr>
<td>Tour</td>
<td>5  (5.9)</td>
</tr>
<tr>
<td>Time/commitment</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Others</td>
<td>21 (24.7)</td>
</tr>
<tr>
<td>Transportation</td>
<td>36 (42.4)</td>
</tr>
<tr>
<td>Location</td>
<td>26 (30.6)</td>
</tr>
<tr>
<td>Entrance Fee</td>
<td>8  (9.4)</td>
</tr>
<tr>
<td>Time/commitment</td>
<td>5  (5.9)</td>
</tr>
<tr>
<td>Museum card</td>
<td>5  (5.9)</td>
</tr>
<tr>
<td>Friend</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Advertisement</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Weather</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Nothing</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Others</td>
<td>3  (3.5)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Impediment</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nothing</td>
<td>41 (48.2)</td>
</tr>
<tr>
<td>Weather</td>
<td>20 (23.5)</td>
</tr>
<tr>
<td>Time/commitment</td>
<td>7  (8.2)</td>
</tr>
<tr>
<td>Entrance fee</td>
<td>5  (5.9)</td>
</tr>
<tr>
<td>Location</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Others</td>
<td>12 (14.1)</td>
</tr>
<tr>
<td>Nothing</td>
<td>15 (17.6)</td>
</tr>
<tr>
<td>Entrance fee</td>
<td>15 (17.6)</td>
</tr>
<tr>
<td>Time/commitment</td>
<td>9  (10.6)</td>
</tr>
<tr>
<td>Transportation</td>
<td>9  (10.6)</td>
</tr>
<tr>
<td>Weather</td>
<td>9  (10.6)</td>
</tr>
<tr>
<td>Low interest</td>
<td>5  (5.9)</td>
</tr>
<tr>
<td>Location</td>
<td>4  (4.7)</td>
</tr>
<tr>
<td>Others</td>
<td>6  (7.1)</td>
</tr>
</tbody>
</table>

Note: The total percentage calculated exceeds 100% because respondents offered multiple responses.

Behavioral Belief

The majority of the visitors (70.6%) reported learning as an advantage of visiting the museum, while 44.7% of the non-visitors reported so. Close to one fourth of the visitors considered experiencing exhibits to be an advantage, whilst 42.3% of the non-visitors did so. Fifteen percent of the non-visitors responded that there were no advantages brought by a museum visit. Other responses concerning advantages of visiting the museum reported by the visitors (16.4%) included beautiful plants and enjoyment, while many other responses were not associated with the advantages. Those reported by the non-visitors (15.3%) involved sharing information with others, high quality of exhibits, and free-time activity, while many other responses were not associated with the advantages.

A half of the visitors (49.4%) and non-visitors (50.5%) did not find any disadvantages of visiting the museum. The quality of presenting exhibits was regarded as disadvantage by visitors (20%). Non-visitors viewed spending their time or money (11.8%), becoming unpleasant or disappointed (7.1%), and inadequate quality of facility (5.9%) as disadvantageous. Getting bored was also a disadvantage for the visitors (4.7%) and non-visitors (11.8%). Both visitors (4.7%) and non-visitors (4.7%) found crowdedness as a disadvantage. Other responses regarding disadvantages mentioned by the visitors (10.6) involved inadequate facility quality, spending time/money, and others. Those by the non-visitors (7.1%) included location, language, and being meaningless.
**Normative Beliefs**

Normative beliefs discuss the approval or disapproval of important others towards visiting the museum. More than thirty percent of the visitors (32.9%) and non-visitors (48.2%) felt their family member’s approval or encouragement. Friends also play a part in approval of visiting the museum for visitors (22.4%) and non-visitors (27.1%). Advertising, such as people’s and guidebook’s reviews and recommendations, was found to be an approving source for the visitors (14.1%) and non-visitors (4.7%). The self played an important role in deciding the museum visit for the visitors (11.8%). Both the visitors and non-visitors reported that lecturers (8.2% and 14.1%, respectively), other people than already mentioned people (7.1% and 9.4%, respectively), and no one (3.5% and 11.8%, respectively) would approve of their visits.

Both the visitors (51.8%) and non-visitors (56.5%) reported that no one would disapprove of their museum visits. Family members played an important role in feeling being disapproved of their museum visits by the visitors (14.1%) and non-visitors (9.4%). The visitors and non-visitors also regarded friends would disapprove of their museum visits (11.8% and 27.1%, respectively). Others influenced disapproving visiting the museum for visitors (7.1%) and non-visitors (5.9%).

**Perceived Control Beliefs**

The findings revealed some facilitators and obstructs of visiting the museum. The visitors and non-visitors also recognized some facilitators and impediments of their museum visits. Both the visitors (40.0%) and non-visitors (42.4%) explained that transportation made their visits to the museum easy. The location of the museum facilitated their visits for some visitors (27.1%) and non-visitors (30.6%). Weather facilitated the visitors (8.2%) more than the non-visitors (4.7%). Time and/or other commitment was regarded as a facilitator by the visitors (4.7%) and non-visitors (5.9%). Participating in a tour encouraged the visitors (5.9%) to visit the museum. For the non-visitors, the entrance fee (9.4%), a museum card (5.9%), which offers the owner unlimited number of free entrance in a year, friends (4.7%) and advertising (4.7%). Other responses of the visitors (24.7%) included friends, advertisement, curiosity, entrance fee, museum card, and others. Those of the non-visitors (3.5%) included tour and university commitment.

Close to a half of the visitors (48.2%) did not perceive any impediment to visit the museum, although a smaller number of non-visitors (17.6%) did so. Weather was a constraint for the visitors (23.5%) and non-visitors (10.6%) as well as time and/or other commitment for the visitors (8.2%) and non-visitors (10.6%). A larger number of the non-visitors viewed the entrance fee (17.6%) was an obstacle to visit the museum than the visitors (5.9%). A small number of both visitors (4.7%) and non-visitors (4.7%) reported location of the museum was a difficulty. Transportation (10.6%) and lack of interest (5.9%) were a difficulty in visiting the museum for the non-visitor. Other responses (14.1%) by the visitors included transportation, language, visibility/signage of the museum, unfamiliarity with the city, and others. Other responses (7.1%) of the non-visitors involved friends and family, museum card, and others.
Discussion

The findings of the research showed that both visitors and non-visitors perceived similar advantages and disadvantages of visiting the museum. More number of the visitor than the non-visitors perceived the positive outcomes of visiting the Antalya Museum, such as learning something new and experiencing the exhibits. Although none of the visitors reported any advantage of visiting the museum, a small percentage of the non-visitors reported so. These findings may indicate that people who haven’t visited the museum perceive fewer or no benefits, which partially explains their lack of interest to visit the museum.

The disadvantages that were reported by the visitors who had viewed and experienced the exhibits were related to the quality of exhibit presentation, while those by the non-visitors were experiencing boredom and unpleasantness/disappointment at viewing the exhibits. Additionally, although it was a small number, more numbers of the non-visitors than visitors viewed time and entrance fee required to visit the museum as a disadvantage. These findings suggest two alternative actions to be taken by the museum. First, the exhibition design may be improved because the ways to present exhibits can influence how visitors experience and understand what is presented in the museum. The manner in which the exhibits are presented can be changed into a way that can attract and hold visitor's attention and interests. Second, the positive outcomes of visiting the museum, such as learning new facts and the quality collections, should be clearly communicated with the public, and thereby the museum would be recognized as worth spending time and money.

It was found that both the visitors and non-visitors perceived support from their family members and friends for their museum visits. The visitors seemed to be less influenced by other individuals than non-visitors but felt social pressure from advertisement and have determined their visits by themselves. Advertising is critical particularly for tourists to decide on where to visit. As museums are generally one of the major attractions at the travel destination (Brida et al., 2012b; Jansen-Verbeke & Rekom, 1996), the information about the museum can contribute to the decision-making of tourists. The visibility of the museum should be heightened in order for tourists to be aware of the museum. It is also suggested that a communication message in advertisement emphasizing the family support may be effective to attract people, particularly those who have not visited the museum. For example, a message may look like “the museum is for family recreation”, “your child learns at the museum”, or “share your knowledge with your children.” If the museum is viewed as a place for holiday activity and family recreation, it will more likely be recalled or at least aware of when people make a holiday plan.

The accessibility to the museum appeared to be a major facilitator for the museum visits. Both the visitors and non-visitors perceived that the transportations to and location of the museum had made or will make them easy to visit the museum. This showed that the museum embraces a strong advantage in attracting visitors. Additionally, the cost of visiting the museum was a constrain for the non-visitors, which supported the previous research by Brida et al. (2012a) who found entrance fees discouraged repeat visits, particularly for those in a low income group. This finding suggests widely advertising a museum card that offers an unlimited entree in a year for residents in Turkey. The museum card allows the owners to visit almost all...
public and many of private museums and heritage sites across the nation with one time fee. It may be helpful to communicate with the public about the benefits that can be gained from visiting the museum and the worth of paying for them.

Additionally, it should be noted again that almost a half of the visitors did not perceive any constrains to visit the museum, while a small number of the non-visitors did so. Some of the non-visitors also reported the no advantages derive from visiting the museum, and a wider range of disadvantages were reported by the non-visitors than the visitors. These findings may indicate that non-visitors were likely to identify a reason for not visiting the museum in order to justify their action, which may be explained by cognitive dissonance theory (Festinger, 1957) that postulates a tendency for individuals to seek consistency between their attitudes and behaviors. It may be advisable for the museum to try to alter the non-visitors’ attitudes toward visiting the museum in a favorable manner, which may consequently lead to favorable cognition and/or behavior as well. Communicating with the public about the advantages of the museum – learning, great collections, location, and museum card - in a way to influence their attitudes is needed.

Major differences between the visitors and non-visitors

The most frequently mentioned responses were identical in all three beliefs for visitors and non-visitors. Second or third most frequently reported items might be a significant indicator to differentiate between the visitors and non-visitors. For example, non-visitors reported that visiting the museum did not produce a benefit for them while it creates boredom, which may indicate a need to communicate positive outcomes of the museum visits with the public. For the current museum visitors, weather seemed to have influenced their decision to visits. The ability or at least willingness to pay for the entrance fee may be a key differentiator among individuals who did and did not visit the museum. People who currently do not go to the museum may have likely found variety of reasons for not visiting the museum to justify themselves.

Suggestions for the museum

The knowledge of the beliefs of current and potential visitors on the museum visit will provide a guideline to develop a promotion strategy to encourage their visits to the museum. The findings of this research suggested the following actions for the Antalya Museum to take in order to promote the museum visits:

- The expected benefits gained from visiting the museum should be communicated with the public, such as learning and experiencing the quality collections, and thereby the museum would be perceived to be worth spending time and money by both visitors and non-visitors.
- The benefits of a museum card should be clearly communicated with local residents for their purchase, so that they may view the entrance fee as inexpensive.
- Advertisement of the museum should be carried out through a wide variety of vehicles, such as guidebooks, magazines, brochures, tour guides, and hotel concierges, so as to reach individuals who may not be aware of the museum as their holiday activity or tourist attraction.
• An easy access to the museum in a central downtown location should be clearly described in a promotional message.
• The museum can be promoted as a weather accommodating activity, such as for rainy days, cold temperature, and too hot to be outside.
• Family support for the museum visit may be emphasized, such that children likes to go or wife/husband wants to go together, so as to regard the museum visits as family recreation or a good day out.
• The exhibition design can be improved in a way that can attract and hold visitor's attention and interests.

Limitations

Careful attention should be paid when interpreting the results. The convenient sampling did not allow the researchers to obtain representative responses to generalize the findings. Systematic random sampling is suggested. Data collection took place only in one month and should be carried out for a longer period of time or across seasons so as not to be influence by potential seasonal differences. Qualitative responses from visitors and non-visitor should also be quantitatively collected and analyzed so as to project the results to the population.

Conclusion and implications for future research

The theory of planned behavior (TPB) framework helped uncovering the salient beliefs on visiting the Antalya Museum, and belief elicitation was found to be informative to guide the design of promotional communication messages to current and future visitors to the museum. The most frequently mentioned responses were identical in all three belief categories for visitors and non-visitors. The second or third major response can be taken into consideration in developing a marketing strategy. Only a range of three types of beliefs was qualitatively revealed, and the importance and weight of each of these beliefs will need to be quantitatively examined in future, so that which type of belief and what specific message may be focused on in order to promote museum visits.
References


Interpretation is a communication approach to making a personal meaning and connections with things, places, people, and concepts that an audience is experiencing and typically takes place at a recreational or informal learning setting. It helps the audience to better understand and appreciate the object being interpreted, and can be used for sustainable resource management and community development. Interpreter training is considered to be one of the most influential mechanisms for the improvement of the quality of interpretation. The purpose of the research was to examine the impact of an interpreter training course in Japan and uncover the perceptions of the training participants regarding necessary knowledge, skills, and abilities to become a successful interpreter. Questionnaires with open-ended questions were administered with 17 training participants before, during, and after a four-day training course. The most frequently reported important learning was the principles of interpretation, followed by a theme/goal of interpretation, the diversity of interpretation, and experiential format to be taken in interpretation. In contrast, the most prominent difficulty for the trainees was developing a theme/goal of interpretation and designing interpretation. The trainees regarded interpretation as information transmission and an experiential activity. They were interested in developing their communication skills. These findings suggested the areas that a future training program can keep emphasizing on as strength, improve as weakness, and newly offer as an opportunity to grow, respectively. Overall, the training course helped the trainees to develop their knowledge and abilities to perform interpretation.

Keywords: Interpretation, training, impact assessment, SWOT analysis
Introduction

Interpretation is an approach to communication with pleasant-seeking audiences in such places as museums, parks, historic sites, zoos, aquariums, and botanical gardens as well as in wineries, breweries, food factories, and any place that people visit to have a good time and possibly learn something of interest (Ham, 2013). It is often delivered at recreational and tourism settings and attempts to make a personal meaning and connections with things, places, people, and concepts that an audience is experiencing. Tilden (1957) defined interpretation as “an educational activity which aims to reveal meanings and relationships” and offered six principles of interpretation more than a half century ago, which has been a central concept of interpretation.

Interpretation can enhance audiences’ understanding and appreciation of the natural and cultural environment, and monitoring and role-modeling of ecologically and socially appropriate behaviors (e.g., Ballantyne & Hughes, 2001; Huang, Weiler, & Assaker, 2015). For example, in tourism settings, researchers have argued that managing visitors’ behaviors minimizes the adverse environmental and social impact of tourism and that interpretation on site can help mitigate such deteriorating impacts and cultivate stewardship of the site (Moscardo, 1998; Powell & Ham, 2008). Many scholars have argued significant and substantial contribution of interpretation to sustainable tourism for which quality interpretation is necessary (e.g., Moscardo, 1998; Weiler & Black, 2003; Weiler & Ham, 2001). Assuring the quality of interpretation is indispensable for the success of sustainable tourism.

Interpreter training is considered to be one of the most influential mechanisms for the improvement of the quality of interpretation (Black & Weiler, 2005; Weiler & Ham, 2001). The US-based National Association for Interpretation (2009) analyzed the standards and competencies required in contemporary interpretive practice and recommended 12 categories into which the standards and benchmarks for interpretation practice should fall. These standards suggest that interpreter training should be offered at multiple levels based on specific required skill sets. Ballantyne and Hughes (2001) investigated ecotour guides’ perceptions of their roles in Australia and found that the participated guides perceived provision of information and enjoyable experiences as an important function. They also reported that most of the participated guides viewed their interpretation techniques as weakness and suggested the interpretation techniques be emphasized in guide training programs. Focusing on the communicative role of tour guides, Weiler and Walker (2014) studied a tour guide training program in Tonga to identify training content and reported the impacts of the program on the trainees’ perceptions. Their findings suggested that programs should include information on visitor expectations, the four domains of experience brokering (i.e., physical, interactive, cognitive, and affective), and the six principles of interpretation (i.e., involving, thematic, relevant, enjoyable/engaging, accurate, and logical) in guide training. The authors maintained that “training that focuses exclusively on the hard skills necessary for guides to lead and manage groups can fall short of enabling guides to be successful at meeting the needs and expectations of visitors and brokering a quality experience.” Certain skills are necessary to become a successful guide.
Researchers have argued that the competencies and standards ought to be determined based on evidence available in the interpretation literature and in published research results (e.g., Ward & Wilkinson, 2006) and that training components should be determined based on what the literature has revealed with respect to good and best practices (e.g., Ballantyne & Hughes, 2001; Weiler & Ham, 2002; Weiler & Walker, 2014). This research focused on an interpreter training course in Japan and examined its impact on the training participants. It aimed at uncovering the perceptions of the training participants in terms of necessary knowledge, skills, and abilities to become a successful interpreter.

**Training course**

An interpreter training seminar was conducted over four days in the summer of 2016 in Tokyo in Japan. It was offered in a Tokyo Metropolitan Natural Park that was surrounded by mountains and set aside on the Okutama Lakeshore. The park is one of the most active places of nature interpretation.

The training course was offered by one main trainer and several assistant trainers who gave a lecture or overviewed a training session. It was composed of chronologically the definition and principle of interpretation, self-history analysis, experiences of guided walks and personal interpretive programs, research on resources, delivering techniques, communication exercises, planning a short walk, theme/goal/objective, risk assessment and management, and performing a short walk. At an early stage of the training course, one of the authors offered a one-hour lecture concerning the definition and principle of interpretation (i.e., those of Tilden and Ham’s) and the examples of interpretation offerings (i.e., talks, guided tours, exhibitions, wayside panels, and printings). The training participants included interpreters, pre-service interpreters, and individuals who were interested in interpretation with little or no interpretive experience. Ten men and seven women participated in the training course.

**Method**

The research was carried out with 17 trainees in a three-nights and four-days long training course in the summer of 2016. It included pre-, during-, and post-training questionnaires. Each questionnaire included three to five open-ended questions without identifying the name of the respondent. The pre-questionnaire asked the trainees about the expectation for the training course, perception of interpretation, and future plan in regard to interpretations. The during-questionnaire was administered in the end of each day during the training course in order to examine the impact of the course on the participants’ understandings and perceptions. The post-questionnaire was carried out one month after the training course had ended, which was not included in this paper.

Each question in the pre- and during-questionnaire was classified within a SWOT analysis framework (Figure 1). This research provided the information only on strength, weakness, and opportunity, while another research result offered the information on threat. Strengths included (a) the important learning and (b) the understanding of interpretation. Weaknesses involved (c) the difficulty in understanding what was taught in training. Opportunities contained (d) the expectation for the training course and (e) skill and knowledge desired to further
develop in future. Threats encompassed (f) the challenges to interpretive profession to grow, which derived from the previous research conducted by the authors in 2012 and 2013 (Yamada, Yoshino, & Wilson, 2016).

Figure 1. Questions in the SWOT analysis framework with the timing when the questions were asked.

<table>
<thead>
<tr>
<th>Strength</th>
<th>Weakness</th>
</tr>
</thead>
<tbody>
<tr>
<td>What was the most important learning for you today? (Day 1, 2, 3, and 4)</td>
<td>What was difficult to understand or practice today? (Day 1, 2, 3, and 4)</td>
</tr>
<tr>
<td>How do you understand what interpretation is? (Pre-training , Day 1, 2, 3, and 4)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Opportunity</th>
<th>Threat</th>
</tr>
</thead>
<tbody>
<tr>
<td>What do you expect of the training course? (Pre-training)</td>
<td>The challenges identified through interviews with trainers and trainees in the previous research in 2012-2013.</td>
</tr>
<tr>
<td>What skills or knowledge do you wish to further advance? (Day 1, 2, 3, and 4)</td>
<td></td>
</tr>
</tbody>
</table>

The following section describes the results of the pre- and during-training questionnaires.

**Results**

All responses were categorized into groups that share similar meanings and shown in Figure 2. The frequency of responses that consists of each category was also included in the table. The total frequency was larger than 17, the number of the trainees because the respondents were able to provide multiple answers and some of the questions were asked on multiple days. The question on the expectation of the training course was asked before the training course had started, while the questions on the important learning, understanding of interpretation, difficulty in understanding, and desirable skills and abilities to develop were asked at the end of each day during the training course.

**Important learning**

The most frequently reported important learning of the day was the principles of interpretation, followed by the objectives/themes, diversity of interpretation, being experiential, and the definition of interpretation. The principles of interpretation that were taught in the training course included the Tilden’s (1957) six principles of interpretation and Ham’s (2013) four qualities of interpretation. The responses on a(n) theme/objective and relevancy were independently categorized, as they were individually reported by the trainees, whereas they may have been considered to be one of the principles of interpretation. Others included a variety of subjects reported by one or two respondent(s), such as feedback, considering audience, passion and interests, design of interpretation, communication, interaction with others, and tangible and intangible concepts. These areas, which were perceived to be important by the respondent, indicated the effectiveness of the training course and were considered to be strengths of the training course.
Understanding of interpretation

The most frequently reported response on how the trainees understood interpretation was transferring information. This category differed from communication and denoted a purposeful information delivery. The majority of the trainees also understood that interpretation was being experiential, offering first-hand activities, rather than mere information transmission. They viewed interpretation as having a(n) theme/objective, making a connection between an object and audience, intriguing audience’s interest, making audience aware of an issue, and producing a change in audience. For some trainees, interpretation was communication, being relevant, enjoyable, and organized, which were equal to Ham’s four qualities of interpretation. These understandings of the respondents were regarded as strength of the training course, as they fell within the training subjects.

Difficulty in learning

The respondents were requested in the end of each day to describe any difficulties they felt to understand or implement what they were taught during training sessions. The most common responses were no difficulties. The respondents reported a(n) theme, goal, and/or objective was difficult to understand or incorporate into designing interpretation. They also perceived the design of interpretation as difficult. Some respondents reported difficulty in making interpretation relevant, comprehending the definition of interpretation, and understanding the usage or purpose of interpretation, and apprehending a training session. Other difficulties mentioned by the respondents included sense of wonder, exercising what was taught, adjusting for diverse audiences, and being organized and experiential. These difficulties reported by the respondents may be viewed as weaknesses of the training courses.

Although a(n) theme/objective was perceived as important, it was also reported as difficult to understand by some trainees, which may suggest an improvement in future training. Trainees may require an exercise opportunity to put this concept into practice during a training course in order to fully develop that ability.

Expectation for the training course

The training participants were requested to describe their expectations for the training course before arriving at the training venue. The frequency of the response to this question was the same with the number of respondent (n=17), as this question was asked only one time. The most commonly described expectations involved learning delivering techniques (n=11), followed by interacting with other participants (n=6), understating interpretation (n=4), communication (n=4). Two trainees respectively listed experiencing interpretation, the environment surrounding the venue, and something new. Satisfying these expectations should conceivably increase the level of satisfaction of the participants, which may indicate an opportunity for the training course to emphasize in future training.
Desirable skill and knowledge to further develop

The respondents were asked what skills and abilities they wish to further develop at the end of each day during the training course. Understanding interpretation, such as the design of interpretation and techniques to make interpretation relevant, organized, and enjoyable, was their major concern, followed by communication, delivering techniques, and public speaking. Performing Ham’s four qualities of interpretation was reported as desirable skills to develop. Product knowledge was also reported as an area to be advanced. These desirable skills and knowledge may be viewed as an opportunity for training course to extend its focus in the future. Particularly the areas that were consistently reported as the expectation and desirable skills and knowledge to further develop can be foci of a future training course, such as communication skills and delivering techniques of interpretation.
Figure 2. Summary of the responses with SWOT Analysis framework

<table>
<thead>
<tr>
<th>Strength</th>
<th>Interpretation is</th>
<th>Weakness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Important learning</td>
<td>n=70</td>
<td>Difficult learning</td>
</tr>
<tr>
<td>n=151</td>
<td></td>
<td>n=62</td>
</tr>
<tr>
<td>Principles of interpretation</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>Theme/objective</td>
<td>9</td>
<td>0</td>
</tr>
<tr>
<td>Diversity of interpretation</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td>Being experiential</td>
<td>7</td>
<td>9</td>
</tr>
<tr>
<td>Definition of interpretation</td>
<td>6</td>
<td>1</td>
</tr>
<tr>
<td>Viewpoint</td>
<td>4</td>
<td>0</td>
</tr>
<tr>
<td>Enjoying own interpretation</td>
<td>4</td>
<td>1</td>
</tr>
<tr>
<td>Being relevant</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Practice/field experience</td>
<td>3</td>
<td>0</td>
</tr>
<tr>
<td>Others</td>
<td>6</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Opportunity</th>
<th>Threat</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expectation for the training n=31</td>
<td>Desirable skill/ability n=69</td>
</tr>
<tr>
<td>Delivering technique</td>
<td>1</td>
</tr>
<tr>
<td>Interacting with others</td>
<td>6</td>
</tr>
<tr>
<td>Understanding interpretation</td>
<td>4</td>
</tr>
<tr>
<td>Communication</td>
<td>4</td>
</tr>
<tr>
<td>Experiencing interpretation</td>
<td>2</td>
</tr>
<tr>
<td>Experiencing the surrounding</td>
<td>2</td>
</tr>
<tr>
<td>Experience something new</td>
<td>2</td>
</tr>
<tr>
<td>Delivering technique</td>
<td>8</td>
</tr>
<tr>
<td>Speaking</td>
<td>8</td>
</tr>
<tr>
<td>Public speaking</td>
<td>6</td>
</tr>
<tr>
<td>Knowledge of nature</td>
<td>4</td>
</tr>
<tr>
<td>Theme/goal/objective</td>
<td>3</td>
</tr>
<tr>
<td>Others</td>
<td>3</td>
</tr>
</tbody>
</table>
Threat

In this research, threat was not investigated but was guided by the previous research findings on interpreter training in Japan (Yamada et al., 2016). Their findings through the interviews with trainers and trainees showed that interpretive profession had encountered three major challenges to further flourish in Japan: (a) the ambiguity of the operational definition of interpretation, (b) a lack of opportunity to perform, and (c) a lack of a training system. These challenges appeared to be not under control of trainers and require an external assistance in ameliorating them, which indicates the threats for interpreter training in Japan. The following descriptions included the findings of the previous research.

The interviews with trainers and interpreters showed a discrepancy between their views toward interpretation. The different viewpoints likely caused the ambiguity of the operational definition of interpretation. The ambiguity of definition and goals of interpretation is challenging for interpreters. It can lose a focus and provide unclear guidelines for interpreters to follow. Without a clear goal, it is not possible to know the success of an interpretive activity. Additionally, the ambiguity of the operational definition of interpretation may contribute to an insufficient recognition of the role of interpretation, as the interpreters and trainers reported paucity of social recognition of interpretation in Japan. Interpretive profession seemed to be inadequately recognized by managers and the public. The likely outcome of interpretation must be visible, or at least measurable, so that people would appreciate interpretation and then have a supportive attitude toward interpretation.

A lack of an opportunity to perform interpretation was reported as a constraint for interpreters to develop their skills by both the interpreters and trainers. This is also one of the challenges to the profession in the Unites States (Lackey, 2008) showing a lack of full-time positions and lack of practical field training. The lack of opportunity to perform may link to another issue – a lack of opportunities to interact with other professional interpretations.

According to the trainers, there was no nationwide training system that trainers and interpreters could follow and no certification program that assured the quality of interpreter’s acquired skills and abilities. This issue introduced two outcomes to the field: instable quality of interpretation and training. Interpretive professions include a variety of tasks and thus require diverse competencies. Without a systematic training system that offers a framework and guideline, it is not easy to design and offer an effective training course that helps become a successful interpreter. A lack of a training system and/or guideline of interpretation is likely to contribute little to improving the quality and establishment of interpretive profession. The lack of training system may have contributed to the quality of trainers as well. Some of the trainers showed a desire to learn about training. Trainers may rely only on their experience and intuition when they design and conduct a training course. There may have been an issue of inadequate skills of trainers, which could contribute to the ambiguity of operational definition of interpretation because the necessary skills and abilities to be taught in training may not be articulated.
Discussions

Effectiveness of the training course - Strength

The areas frequently and consistently reported as important appeared to be a major impact of the training course. The trainees perceived being experiential and considering the principles of interpretation as most important and essential for successful interpretation. It is suggested that these areas remain being focused and strongly emphasized in future training. It was revealed that the trainees appreciate the principles of interpretation, which included Ham’s four qualities: having a theme/an objective, being organized, being relevant, and being enjoyable. Incorporating these principles into the design of interpretation seems to be a next step to advance the trainees’ abilities, as the principles and design were also reported as being difficult and desirable to advance.

Improvement of the training course – Weakness

Incorporating a(n) theme/goal/objective into designing interpretation appeared to be a difficult concept for the trainees, although it was regarded as important and a core of interpretation, as it was described earlier. These findings may indicate that this subject can be taught in a different way in order to facilitate better acquisition of this skill. In the researched training course, the trainees had a performance opportunity to design and deliver a short interpretive talk incorporating a theme and objective. Still, they seemed to have needed an opportunity to reassure their learned knowledge and skills. The definition of interpretation and being relevant may also need to be paid attention to in order to improve the trainees’ comprehension in a future training course. A hands-on practice may be a key for effective learning in a training course.

Future opportunity to grow – Opportunity

The consistently reported skills and abilities that the trainees expected to learn in the training course and desired to further advance included communication and delivering techniques. These findings are consistent with the previous research findings (Ballantyne & Hughes, 2001) that the trainees reported the use of interpretation technique as their weaknesses. It is suggested that a future training course focus on these two subjects in order to respond to the trainees’ needs. In so doing, the trainees may wish to practice communicating with audience and delivering interpretation (e.g., talks and guided-walks) in a training course. Although the researched training course had involved such an opportunity and may have satisfied with the trainee’s needs to some degree, such hands-on opportunities can be offered much more. Being experiential was needed in training.

The trainees in this research expected to interact with other interpreters and learn other’s practice in the training, which was coincide with the findings of the previous research (Yamada et al., 2016). In that research, the interpreters lacked an opportunity to interact with interpreters at other settings and learn other interpretation practices, and the trainees also pointed out that interpreters lacked experiencing and learning other practices. It was reported in the previous research that few such opportunities had been available. This research finding may suggest that one of the purposes of participating in a training course is to meet other interpreters to broaden their views.
Constraints for or exogenous influences on interpreter training – Threat

In the present research, the trainees reported that the definition and purpose of interpretation were important while they also perceived those subjects as difficult to understand. This finding may suggest that the trainees were not clear how to put these concepts into practice. Or, it may be an indication of the ambiguity of the definition and purpose of interpretation that were taught in the training course. The operational definition of interpretation may need to be thoroughly taught in a training course because it had been identified as a challenge to the interpretive profession in the previous research (Yamada et al., 2016). Interpretation is used at a wide variety of settings, including natural parks, museums, aquariums, zoos, and other informal learning occasions, and such variety may contribute to the confusion of the trainees who have little or no interpretive experience. If an interpreter does not clearly understand a purpose for which s/he designs an interpretive activity (e.g. talk and guided walk), s/he may encounter a difficulty in completing it. Additionally, as it was discussed earlier, the trainees viewed designing interpretation was difficult, and that difficulty may have come from the ambiguity of the operational definition and purpose of interpretation.

Lastly, in this research, the trainees had wished to practice what they had learned while they were in the training course, which may be an indication of a lack of performance opportunity for interpreters. It was reported in the previous research (Yamada et al., 2016) that interpreters had encountered a difficulty to improve their skills due to few or no opportunities to perform. Interpreters may expect exercising as much of their skills and abilities as possible during a training course to improve them. If so, a future training course may need to alter its approach: to provide trainees with more opportunities to perform rather than lectures, or to target at different trainees who are novice to the field and wish to learn the concept more than practical skills.

Conclusion

This research focused on an interpreter training course and examined its impact. It also investigated the trainees’ perceptions of necessary knowledge, skills, and abilities to become a successful interpreter. The trainees appreciated the principles of interpretation and delivering techniques of interpretation. It appeared that the training participants expected and appreciated a hands-on practice during the training course. As the society have changed and the demands and expectations of audience have grown, the skills and abilities expected of interpreters have also evolved. Such needs should be incorporated into interpreter training. Weiler and Walker (2014) maintained that guide training informed by theory and research can successfully deliver the knowledge and skills required by the guides (i.e., interpretive guides). The findings of this research suggested the areas that a future training course can emphasize and improve. There are much more that interpretation can contribute to a sustainable tourism, and enhancing the quality of interpreter is more than necessary.
References


Losing Our Way in Public Education

Jim Shon, University of Hawaii, USA

Abstract
How Public Educational Policy Reform has Lost Its Way
American education has lost its sense of mission, its direction, its connection to real life, and its willingness to change its structure and administration. We do not attend to civic literacy, financial literacy, teamwork, project-based learning, and creation of global citizens. Graduates typically reject a sound grounding in history, geography, and the social sciences. The school day is still based on an industrial model of short, single subject classes, segregated by ages, and with little time or encouragement to work in, and be evaluated, as problem solving teams. We seldom give credit for student success in the arts, the science fair, the speech & debate leagues, history day, or community service learning. Adults use language to write poetry, short stories and novels, screenplays, grants, research reports, biographies and history. None of these are featured in most K-12 graduate requirements. In creating strategic plans we often craft goals and strategies in single statements designed to apply to all ages and grades - five year olds and eighteen year olds. The primary structural and governance reform arena – charter schools, are by all calculations funded for operations at 80% of that for traditional public schools. Almost nowhere do we believe that public charter students deserve to learn in publically funded facilities. A sound, objective, systems analysis would dramatically change how we structure and deliver and administer public education – with a practical commitment to education of the whole child, with well prepared teachers.
REALITY CHECK

Public schools are enormously successful for large numbers of students. This paper is not about how public education is failing, but rather what is holding us back from reaching more students more effectively.

What is in the wagon? What’s holding us back? One size fits all, control from the top, multiple layers of approval, red tape, high stake tests, no room for art or music, a short school day, a large factory of a school, an unattractive profession, power to influence the classroom….

MEGA TRENDS

Recently, the Hawai’i Department of Education and the Board of Education have been engaged in the process of revising its strategic plan. A new plan was approved. Among its many challenges, are traditional structures and approaches that are being swamped by megatrends, and the information age.

Learning continues to be confined and defined as seat time in single subject, with single-age, short classes where students are atomized and assessed only as individuals. Success is defined as achieving individual proficiency on just two of the four major subjects – language and math.

Success in science is measured only by a final exam in biology. Student engagement and learning outside of the physical and temporal school is not formally recognized for graduation. No formal credits are awarded for success in the science fair, the speech league, history day, youth symphony, robotics competition, awards for achievement in the visual arts, or civic engagement and service learning.

Students who take history are not asked to write it. Students who take language arts are not asked to produce poems, or short stories, or novels, or screen plays, etc. Students who take science, are not required to engage in scientific analysis or problem based learning. S.T.E.M. does not require multi-disciplinary learning.
For many years, I was a senior judge at the State Science Fair. It is amazing what these project-oriented students can learn, explain, and achieve. They partner with mentors at MIT and Harvard, and all the best universities. They create computer models of the brain. They correct NASA calculations for asteroids. In all cases, these students had the motivation and the good fortune to have a great mentor/teacher at their school, and the grit to continue a scientific project for several years. In all cases, they stood as the tiny minority of students at their school with this kind of experience.

One major barrier to education reform is the lack of alternative assessments that replicate the real world of work and human aspiration. For example, we might identify some workforce needs as the following:

**Workforce needs**
- Ability to work as a productive team member;
- Ability and willingness to take risks;
- Ability to think creatively to solve problems;
- Ability to acquire new, unforeseen skill sets through ongoing training and micro-credentialing;
- Ability to communicate outside of the immediate agency culture and structure.

None of these is integrated into any practical change in our public schools. The final version of the revised strategic plan (http://www.Hawai‘ipublicschools.org/DOE%20Forms/Advancing%20Education/SP2017-20.pdf) are mostly a reaffirmation of the status quo in assessments. The very same general strategic goal statements are applied to five year olds and eighteen year olds. Working and being assessed as groups - beyond team sports or band competition – is rare to nonexistent. Only individual testing is considered valid.

Another disconnect, perhaps a lost sense of mission, is what we could call the Essential Clusters of Literacy, i.e.

**Essential Clusters of Literacy**

- Financial, statistical, & economic literacy;
- Civic and citizenship literacy;
- Cultural literacy;
- Geographical literacy;
- Environmental literacy;
- Technical literacy;

Few would argue that these are not important for future adults. Yet, we are unable to go beyond token programs for small percentages of students to pursue these. We continue to invest in very industrial forms of “credits.” Higher education institutions often do not acknowledge that civic and citizenship education are part of its mission. If it were, all students would be required to take some course or courses – just as they are required to take language courses.
CONNECTING K-12 TO HIGHER EDUCATION

Teacher Recruitment and Retention

This has been an ongoing challenge for literally decades. The Hawai‘i Educational Policy Center prepared a 2008 report to the legislature exploring this issue.


Among its findings at the time were that UH and other colleges were “producing” about 700 new teachers per year, and about 300-400 were retiring. If this were the whole story, over time, teacher shortages should decrease. This is not the case. Approximately 5% of teacher positions go unfilled each year. There are currently about 12,500 filled positions. Just in elementary classes (the easiest to fill) there are some 300 vacancies.

Not only it is difficult to recruit future teachers in general, it is especially difficult for the areas of greatest need: Special Education and high school. The College of Education and other university actors have been aggressively recruiting on campus, yet it is difficult to overcome the perception that teaching is not an attractive or lucrative profession.

The Hawai‘i Department of Education reports that retention of teachers after five years of service is consistently in the high forties to low fifties percent. Many reach retirement, and many leave the teaching profession altogether. It would appear that teaching is no longer perceived as a life-long career for half of our teachers.

Among the issues for the profession is the increasing amount of student debt for college graduates, and the difficulty living comfortably on a teacher’s salary. Addressing student debt might be an important strategy for recruitment, but it would not address the issue of people leaving the profession after five years.

An additional strategy that might be helpful would be an aggressive recruitment/credentialing effort targeting substitute teachers, seeking to move them into permanent teaching employment. Currently there are nearly 2,500.

Potential Collaboration with the Community Colleges

Of all the moving and varied parts of our higher education system, the Community Colleges are potentially the most flexible in adapting to the 21st century. Yet, when we look at the Literacy list, we cannot yet say that we, as a state, value these.

Higher Education Trends

- Porous membranes between institutions – CC instructors are often teaching on high school campuses; AA credits translating into 4 year campus credits; MOOCs taught from far away, and credited locally;
- Micro-credentials; competency based learning and assessments; (more like merit badges than Carnegie credits);
• Young adults (and their parents?) more likely to turn to Internet based video tutorials - short and targeted – than to sign up for a class;
• Declining interest in formal, terminal/traditional degrees;
• Higher education spread over several years – in an out, in and out.

Assuming there is some validity to this incomplete list, I see a potential overlap between the mission and educational programs of CC and our K-12 public schools, particularly high schools. Specifically, college level courses could be fill the following needs and model their implementation:

• The need to develop objective and authentic (non-bubble test) assessments for a wide range of group project learning – where all members of the group receive the same grade (this could be a % of a traditional class where the overall grade is still individual);
• The need to develop more syllabi that are multi-disciplinary;
• The need to experiment with a percentage of a graduation requirement that is a series of micro-credentialed, on-line skill and knowledge acquisitions, and which is not confined temporally to a single semester (i.e. you have 18 months to get your “merit badges” in X number of skills – to be evaluated by a qualified faculty member);
• The need to create and solidify individual portfolio demonstrations of competency in major areas of learning– what Hawai‘ians might call Hoʻoike;
• The formal recognition of out of classroom authentic learning;
• The integration of Essential Literacies as a requirement for all graduates.

In short, commonly embraced social goals for public education cannot yet bridge the mission gaps between K-12 schools and higher education.

UNFORGIVING DATA ON HAWAI‘I

The Big Picture for Hawai‘i: Based on the DBEDT Data Book

• 18,000 Hawai‘i births a year. Thus, roughly 17-18K 4th graders needing preschool experiences.
• Over 7,000 fourth graders receive no preschool experiences.
• 14,000 enter public kindergarten each year.
• 9,000 emerge from public high schools each year…down by @ 5,000.
• Public School Enrollment about is about 180,000.
• At least 250,000 young Hawai‘i citizens between the ages of 18 and 29 years, did not vote: plenty to have dramatically influenced any statewide election.
• No required arts instruction in elementary, middle or high school in HIDOE.
• No credit for success in the science fair, speech league, history day, service learning, Youth Symphony, etc.
• Strategic Plan goals same for 5 year olds, and 18 year olds.
In addition, we know that 57% of Hawai’i public school students are considered disadvantaged. Nearly one in five high school students are chronically absent from school.

**SCHOOL EMPOWERMENT**

Recently there has been a movement toward decentralizing some powers to the school level through more funding and some flexibility. The new state Strategic Plan edges in this direction, and a new Governor’s initiative blueprint pushes this idea further.

The ultimate school centered governance model can be found in charter schools. State law grants charters the following powers:

“(f) The governing board shall be the independent governing body of its charter school and shall have oversight over and be responsible for the financial, organizational, and academic viability of the charter school, implementation of the charter, and the independent authority to determine the organization and management of the school, the curriculum, virtual education, and compliance with applicable federal and state laws. The governing board shall ensure its school complies with the terms of the charter contract between the authorizer and the school. The governing board shall have the power to negotiate supplemental collective bargaining agreements with the exclusive representatives of their employees.”

This degree of autonomy is far from the norm in Hawai’i for its department schools. The new state strategic plan does not allude to this as a model it wants to follow. THE BOE AND DOE have policies that explicitly place all financial and significant power above the school level…either at the district, or the Superintendent’s office, or the Board itself. Many “waivers” require Board approval. HEPC did an analysis of Board policies relating to empowerment:  [http://manoa.Hawai'i.edu/hepc/wp-content/uploads/HEPC-Analyzing-BOE-Policies-RE-School-Empowerment.pdf](http://manoa.Hawai'i.edu/hepc/wp-content/uploads/HEPC-Analyzing-BOE-Policies-RE-School-Empowerment.pdf)

Here is a typical policy that, on its face, is a common statement of responsibility. However, in the context of who makes important decisions, it is clear it is not the school.

“The superintendent shall be responsible for:
1. Serving as secretary to the board of education.
2. Performing all duties necessary to the proper conduct of the department, subject, however, to the approval of the board.

3. **Planning, organizing, staffing, directing and controlling the educational program, finances, personnel and facilities of the department.”**

Put another way, schools will not be making major decisions about planning, organizing, staffing, directing and controlling programs and finances.
One potential mechanism for expanding school powers could be the School Community Councils (SCC) at every department school. However, the department and the board are very explicit that the SCC is not to exercise meaningful authority:

“The School Community Council:
• Is not a governing board;
• Does not hire and fire the principal;
• Does not control school finances;
• Does not evaluate teachers or other staff;
• Is not a forum for promoting personal agendas; and
• Is not a body whose members “represent” constituencies.”

Thus, trends toward school level flexibility and empowerment have not yet grown to the point where actual policies have changed.

EDUCATING THE WHOLE CHILD AND APPLYING RESEARCH – NOT REALLY

The inability to incorporate educational research into the mainstream of public education is chronic. Specifically:
• We fall short on providing quality preschool experiences for all our children;
• We continue to schedule intense subject classes for teens in the early mornings;
• We dismiss the arts as relevant to minority and disadvantaged students;
• We make no connection between the lack of engagement and voting in young people and poor citizenship and civics education;
• Project-based learning and authentic assessments are not yet integrated as common and essential features of public education.

The teenage brain

Consider how we address the realities of adolescence. The teenage brain, and this is true for all cultures and ethnic groups, has its own daily cycles and rhythms. Adolescents are nocturnal creatures. Teens are awake at night, but groggy until midmorning… And yet, we still cram many highly challenging academic subjects into the early school day. High schools are scheduled for the convenience of the system, but not for maximum learning by young adults.

How Big is too Big?

The size of the “learning community” has an impact as well: A 2008 HEPC study comparing Hawai‘i with 15 other states and U.S. averages, many which had more academically successful systems, found the most important factor was the size of the school. Hawai‘i’s schools are, on average, among the largest (enrollments) in the Nation. This makes it more difficult to shift power down the chains of command.

Arts Instruction, General Academic Success, and Closing the Gaps


In this 2015 data, we learn that:
• 45 states require arts instruction at the elementary level…but not Hawai‘i
• 45 states require arts instruction at the middle school level… but not Hawai‘i
• 44 states require arts instruction at the high school level… but not Hawai‘i
• 26 states require course credits in the arts for graduation… but not Hawai‘i.

Our State Department of Education has reported a dramatic increase in the number and percentage of students in recent years who have “disadvantages,” meaning they are English Learners, Special Education students, and coming from families that qualify them for free or reduced lunch. The current estimate is 57% of all Department students. It is significant that much of the research suggests that arts education has positive impacts on school success for disadvantaged children. Currently, there appears to be no overt strategy by either the State Board of Education or the Hawai‘i Department of Education to increase arts education in Hawai‘i public schools. The newly approved Board of Education strategic plan makes no mention of arts education as an essential element in whole student education.

In a longitudinal study of 25,000 secondary school students, those with higher involvement in the arts scored better on measures of persistence than their peers with lower arts involvement.

Art Facilitates cross-cultural understanding.

Arts experiences foster pro-social behaviors and social tolerance that help prepare students for life in an increasingly global and culturally diverse world. Ensemble performance, community mural painting, and other group arts experiences in which participants are from diverse backgrounds demonstrate particular value for developing cross-cultural understanding.

Art Builds community and supports civic engagement.

Arts programs foster a sense of community among participants that supports their personal, artistic, civic, and social development. They also offer a vehicle for effecting change in the surrounding community. Students who have had an arts-rich education volunteer more often and exhibit greater civic engagement than other students.
Art Fosters a creative community.

Students who study the arts in their school years are more likely to engage with the arts in later life as consumers, performers, or creators than their peers who receive no arts education. Additionally, researchers find that the more art forms students study, the greater their arts participation in adulthood.”

Arts and Achievement in At-Risk Youth: Findings from Four Longitudinal Studies

With 57% of Hawai‘i public school students disadvantaged in one or more ways, you might think that educators would take note of the impact of the arts on those of low socioeconomic status. Not so.

In 2012 The National Endowment for the Arts published a study on the impact of the arts on at risk youth. https://www.arts.gov/sites/default/files/Arts-At-Risk-Youth.pdf

Among its findings:

“Academic Achievement
Teenagers and young adults of low socioeconomic status (SES) who have a history of in-depth arts involvement show better academic outcomes than do low-SES youth who have less arts involvement. They earn better grades and demonstrate higher rates of college enrollment and attainment.

“Among low-SES students:

1. Eighth graders who had high levels of arts engagement from kindergarten through elementary school showed higher test scores in science and writing than did students who had lower levels of arts engagement over the same period.

2. Students who had arts-rich experiences in high school were more likely than students without those experiences to complete a calculus course. Also, students who took arts courses in high school achieved a slightly higher grade-point average (GPA) in math than did other students

3. In two separate databases, students who had arts-rich experiences in high school showed higher overall GPAs than did students who lacked those experiences.

   Better GPAs were also observed among high-SES students who had earned arts credits in high school: 3.17, on average, compared with 2.97 for the high-SES students who had earned few or no arts credits, and 2.84 for the full sample.

4. High school students who earned few or no arts credits were five times more likely not to have graduated than students who earned many arts credits.
5. Both 8th-grade and high school students who had high levels of arts engagement were more likely to aspire to college than were students with less arts engagement.

6. Arts-engaged high school students enrolled in competitive colleges — and in four-year colleges in general — at higher rates than did low-arts-engaged students.

Even among high-SES individuals, college-going rates were higher if students had engaged in arts-rich experiences in high school, according to a separate database. Ninety-four percent of the high-arts group went on to a four-year college, versus 76 percent of the low-arts, high-SES group.

7. Students who had intensive arts experiences in high school were three times more likely than students who lacked those experiences to earn a bachelor’s degree. They also were more likely to earn “mostly A’s” in college.

Even among students of high socioeconomic status, those with a history of arts involvement earned “mostly A’s” at a higher rate than did students without an arts-rich background (55 percent versus 37 percent).

CITIZENSHIP EDUCATION

A New 2016 Report from the Education Commission of the States shows Hawai‘i on low end of civic education efforts. “States including Rhode Island and Tennessee establish the purpose and goals of civic and citizenship education in state law. Pennsylvania not only specifies that students learn “their solemn duty and obligation to exercise intelligently their voting privilege and to understand the advantages of the American republican form of government as compared with other forms of government,” but further specifies required courses and areas of study within civic education. The scope of civic learning commonly includes federal and state institutions and structures, historical documents such as the Constitution and Bill of Rights, principles of democracy, rule of law, elections and voting, rights and responsibilities of citizenship, and flag etiquette.”

On the other end of the spectrum, state statutes may establish only a basic course requirement or recommendation and allow school districts to develop specific guidelines. Hawai‘i and D.C. statutes establish a minimum requirement that social studies be offered as a course of study. Vermont specifies a minimum course of study that includes citizenship, history, and Vermont and United States government. Similarly, South Carolina requires one year of instruction on the United States Constitution. Virginia requires local school boards to establish character education aligned with state board curriculum guidelines.

It should be noted that the University does not include in its perceived mission an obligation to further educate young adults on civics, citizenship, and democracy.

COMPETENCY-BASED, PROJECT-BASED, AUTHENTICALLY ASSESSED LEARNING

Basic Policy Questions

There are many complex layers to implementing competency--based and project--based learning, including creation of authentic assessments.

The level of school. Is there a difference between competency and project based learning at the elementary level – where one teacher is responsible for all subjects – and a middle or high school environment – where there are distinct subjects, realms of knowledge, disciplines, and teacher credentials? If the answer is yes, how would we talk about and address these two educational delivery environments?

Out of school success. Looking at middle and high schools, is it possible to recognize and incorporate authentic learning contexts, such as success in music performance, success in visual arts, success in the science fair, success in History Day, and success in the Speech League? If the answer is yes, are there ways to provide both funding and “equivalency credits” for success in these areas?

Progressive, sustained projects. Is it possible to create a progressive series of competencies and projects from elementary through high school that does not require a major overhaul of the State’s GLOs, Learning Objectives and Benchmarks? If the answer is yes, can Complex Areas be tasked with creating these?

Doing what adults do. Is it possible to look at how adults use specific areas of learning as a guide for constructing the progressive series of competencies and projects culminating in a mature portfolio upon graduation? For example, rather than learning about history, would it be possible to require students actually write history – a biography, a history research paper, the history of an event or a place? Rather than learning how to read and write English in a generic sense, would it be possible to require students to produce a set of poems, short stories, a novel, a screen play, a play? Rather than learning about biology, would it be possible to require that all students pose a scientific hypothesis and then design and implement experiments to prove or disprove it?

Authentic assessments. We do not judge competency in music through a written test – experts listen to the audition or performance. We do not judge a hula competition through a written test – experts, kupuna – watch and judge. We do not admit any athlete to a team via a written exam – they must try out. And for awarding high quality teachers a special national credential – great and experienced teachers observe and judge. The essential question is whether it is possible to use experienced and expert assessors – such as the judging at the science fair – as a supplement to traditional assessments.
The World Bank Analysis. In 2003, The World Bank articulated what it felt were the shifts needed in public education: The World Bank’s publication, *Lifelong Learning in the Global Knowledge Economy*, contrasted the characteristics of traditional and lifelong learning models in this way: (World Bank, 2003, p. 29)

<table>
<thead>
<tr>
<th>Traditional Learning</th>
<th>Lifelong learning</th>
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<tbody>
<tr>
<td><em>The teacher is the source of knowledge.</em></td>
<td><em>Educators are guides to sources of knowledge.</em></td>
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<tr>
<td><em>Learners receive knowledge from the teacher.</em></td>
<td><em>People learn by doing.</em></td>
</tr>
<tr>
<td><em>Learners work by themselves.</em></td>
<td><em>People learn in groups and from each other.</em></td>
</tr>
<tr>
<td><em>Tests are given to prevent progress until students have completely mastered a set of skills and to ration access to further learning.</em></td>
<td><em>Assessment is used to guide learning strategies and identify pathways for future learning.</em></td>
</tr>
<tr>
<td><em>All learners do the same thing.</em></td>
<td><em>Educators develop individualized learning plans.</em></td>
</tr>
<tr>
<td><em>Teachers receive initial training plus ad hoc in-service training.</em></td>
<td><em>Educators as lifelong learners. Initial training and ongoing professional development are linked.</em></td>
</tr>
<tr>
<td><em>“Good” learners are identified and permitted to continue their education.</em></td>
<td><em>People have access to learning opportunities over a lifetime.</em></td>
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THE Curriculum Development Perspective: The Importance of Inquiry Many educators are coming to embrace the importance of inquiry in the development of educational policymaking, systems development, governance, curriculum development, professional development, and student learning. These levels of inquiry speak not only to an individual student or classroom, but the very process by which educational systems and schools change. Any educational system or curriculum that does not set as its goal these in-depth levels of inquiry is at a great disadvantage. The following was developed by the University of Hawai‘i’s Curriculum Research and Development Group:
Increasingly educators are promoting a broad and comprehensive definition of assessment and evaluation. The importance of high quality, innovative, inquiry-based and project based assessments and evaluation methods are central to the holistic development of a system, a school and a student. An important lesson of No Child Left Behind is that a narrow definition of assessment (i.e. high stake multiple choice tests in two or three subjects) leads to a narrow and counterproductive curriculum that cannot speak to the needs of the whole child.

Central to the promotion of 21st century learning may be development of a fully articulated, sequential, discipline-based inquiry curriculum from preschool through grade 12. This curricular component might embrace the themes of many forms of literacy for Citizen and Society. Student citizens evolve out of a broad and authentic experience in the sciences, technologies, and humanities. As products of this curricular experience, students meet local, national and international standards, become prepared for post-secondary studies, become sophisticated and critical users of electronic and other informational media, become eager continuing learners, become able contributors to society, and become ready to take leadership roles when needed. There is a spirited ongoing debate on how to connect the dots between theoretical broad policies.

**What is Project Based Learning (PBL)?** Project Based Learning is a teaching method in which “students gain knowledge and skills by working for an extended period of time to investigate and respond to an authentic, engaging and complex question,
problem, or challenge. The Buck Institute for Education (http://www.bie.org/blog/gold_standard_pbl_essential_project_design_elements) identifies the following Essential Project Design Elements:

- **A Challenging Problem or Question**
- **Sustained Inquiry** - Students engage in a rigorous, extended process of asking questions, finding resources, and applying information.
- **Authenticity** - The project features real-world context, tasks and tools, quality standards, or impact – or speaks to students’ personal concerns, interests, and issues in their lives.
- **Student Voice & Choice** - Students make some decisions about the project, including how they work and what they create.
- **Reflection** - Students and teachers reflect on learning, the effectiveness of their inquiry and project activities, the quality of student work, obstacles and how to overcome them.
- **Critique & Revision** - Students give, receive, and use feedback to improve their process and products.
- **Public Product** - Students make their project work public by explaining, displaying and/or presenting it to people beyond the classroom. http://www.ascd.org/publications/educational_leadership/feb08/vol65/num05/Project-Based_Learning.aspx

Author Jane David discussed the ideals and the realities of PBL:

*What Research Says About … / Project-Based Learning Jane L. David*

**“WHAT'S THE IDEA?”**

The core idea of project-based learning is that real-world problems capture students' interest and provoke serious thinking as the students acquire and apply new knowledge in a problem-solving context. The teacher plays the role of facilitator, working with students to frame worthwhile questions, structuring meaningful tasks, coaching both knowledge development and social skills, and carefully assessing what students have learned from the experience. Advocates assert that project-based learning helps prepare students for the thinking and collaboration skills required in the workplace.

Project-based learning creates opportunities for groups of students to investigate meaningful questions that require them to gather information and think critically. Typical projects present a problem to solve (How can we reduce the pollution in the schoolyard pond?); a phenomenon to investigate (Why do you stay on your skateboard?); a model to design (Create a scale model of an ideal high school); or a decision to make (Should the school board vote to build a new school?).
"WHAT'S THE REALITY?"

Although projects are the primary vehicle for instruction in project-based learning, there are no commonly shared criteria for what constitutes an acceptable project. Projects vary greatly in the depth of the questions explored, the clarity of the learning goals, the content and structure of the activity, and guidance from the teacher. The role of projects in the overall curriculum is also open to interpretation. Projects can guide the entire curriculum (more common in charter or other alternative schools) or simply comprise a few scattered hands-on activities. They might be multidisciplinary (more likely in elementary schools) or single-subject (commonly science and math). Some are whole class, others small group, and some individual.

Fully realized project-based teaching has never been widespread in mainstream public schooling. Teachers have little training or experience in the approach. Moreover, the time demands of projects, especially in today's context of standards, high-stakes tests, and pacing guides, understandably discourage many teachers from venturing into the kinds of collaborative student investigations that form the foundation of project-based learning. Because teachers tend to find this approach difficult to implement with low-performing students and may lack supporting technology, it is less likely to be embraced in high-poverty schools, which could increase rather than lessen existing inequities.”

CONCLUSIONS

The essential purposes of a public education system, to develop, stimulate and inspire the life of the mind, nurture logic and a love of learning, and prepare a generation for responsible and successful lives, seem to have given way for easy to measure tests. Institutional convenience and affordability transcend what we know about learning and schools.

We are being held back from moving faster and farther with vestiges of a crusty, factory model of regimentation. We acknowledge but can’t quite seem to adopt and incorporate research on the brain and learning.

The school empowerment movement, and its ultimate expression through the charter schools, holds promise. Yet the world, and the needs of keeping up, will not wait forever. Real progress may come if and when the educational establishment can embrace genuine, research-based improvements.

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Bilingual Language Production: Shared or Separate Processing?

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Abstract

Language production processes have recently been of interest to many psycholinguistic researchers. While human beings are able to acquire multiple languages at the same time, this has pointed to the fact that different mental cognitive processes may be involved in multilingual language production. An existing debate in bilingual research is the question whether the mental linguistic representations in bilinguals are governed by a separate or shared processing mechanism (Kecskes, 2006; Poulisse & Bongaerts, 1994; Riehl, 2005). While this controversy may involve a broad scope of discussion, it has indeed provided a solid basis for the subsequent empirical research to further document bilingual speakers’ speech processing, such as code-switching (Azuma & Meier, 1997; Kecskes, 2006; Kootstra, Hell, & Dijkstra, 2012; Meuter & Allport, 1999; Poulisse & Bongaerts, 1994; Riehl, 2005), neural laterality (Hull & Vaid, 2007), or executive function (Bialystok & DePape, 2009). While previous research has mostly been interested in the bilingual code-switching phenomenon (e.g. Hartsuiker et al., 2004), it has been unclear whether there is a difference in the mental representations of bilinguals, who differed in the age of acquisition (AOA) of the second language, given the fact that language proficiency is positively associated with the degree of code-switching and structural priming (Chen & Ng, 1989; Kecskes, 2006; Kootstra et al., 2012). Thus, the purpose of this paper is not only to review the current state of bilingual speech production research but also to examine whether AOA influences early/late bilinguals’ speech production representations and its processing structure.

Keywords: Bilingualism, Code-switching, Language Production, Age of Acquisition
Introduction

In recent years, language production processes have been of interest to many psycholinguistic researchers. While human beings are able to acquire multiple languages at the same time, this has pointed to the fact that different mental cognitive processes may be involved in multilingual language production in comparison to monolingual speech production (Banich & Mack, 2003). An existing debate in bilingual research is the question whether the mental linguistic representations in bilinguals are governed by a separate or shared processing mechanism (Kecskes, 2006; Poulisse & Bongaerts, 1994; Riehl, 2005). While this controversy may involve a broad scope of discussion, it has indeed provided a solid basis for the subsequent empirical research to further document bilingual speakers’ speech processing, such as code-switching (Azuma & Meier, 1997; Kecskes, 2006; Kootstra, Hell, & Dijkstra, 2012; Meuter & Allport, 1999; Poulisse & Bongaerts, 1994; Riehl, 2005), neural laterality (Hull & Vaid, 2007), or executive function (Bialystok & DePape, 2009). While previous research has mostly been interested in the bilingual code-switching phenomenon (e.g. Hartsuiker et al., 2004), it has been unclear whether there is a difference in the mental representations of bilinguals, who differed in the age of acquisition (AOA) of the second language, given the fact that language proficiency is positively associated with the degree of code-switching and structural priming (Chen & Ng, 1989; Kecskes, 2006; Kootstra et al., 2012). Thus, the purpose of this paper is not only to review the current state of bilingual speech production research but also to examine whether AOA influences early/late bilinguals’ speech production representations and its processing architecture.

Bilingual Production Models – Spreading Activation

It has been generally agreed that the underlying processing mechanism for speech production involves several levels of representations. Dell (1986)’s spreading activation theory, for example, proposes a series of interconnected levels, where the activation of a unit also activates other relevant units in a network. This simply accounts for why people commit speech errors, such as slips of the tongue (Dell, 1986; Garrett, 1980). While it can be seen that the spreading activation theory mostly focuses on monolingual speakers’ speech representation, similarly, it can still explain bilingual speakers’ speech production, particularly code-switching. The ability to code-switch between two languages has been classified into two types: (1) Unintentional Switch and (2) Intentional Switch. Unintentional code-switching, namely conditioned code-switching, is the phenomenon that bilingual speakers happen to switch from one language to another incidentally (Riehl, 2005). Intentional switches bear more psychological reasons, such as lack of a word in one language or social identity (Riehl, 2005; Poulisse and Bongaerts, 1994). In the following subsections, an attempt is made to situate the code-switching phenomenon in the context of the interactive network and spreading activation in order to examine whether code-switching bilingual production is governed by a shared or a separate mechanism.
A Separate or Shared Language Network?

Strong Separate Account

Based on Dell’s theory of spreading activation (Aitchison, 1994; Dell, 1986), Riehl (2005) has proposed an interactive activation model that accounts for bilingual production and code-switching. In the interactive bilingual network, it is assumed that bilinguals have two distinct, yet inter-related language networks, as the bilinguals use only one language at the same time, yet they are able to switch to another language due to a trigger word. Empirical evidence comes from observations of unintentional switches, which Riehl (2005) argued that such unintentional switches are triggered by phonologically-similar proper nouns, non-existent L1 word, bilingual homophones, and discourse markers. This offers support to a separate bilingual production network that there should be two separate nodes in either language; unintentional switches occur when the nodes in other language are incidentally selected.

When an English-German bilingual activates the image of “beaver”, for example, not only will the lemma “BEAVER” in English be activated, but its phonologically-similar counterpart “BIBER” in German will also be activated. When the phonetic pattern for L2 “BIBER” is activated, it also sends a feedback to the lemma “beaver”, thus the lemma in both languages become available. If the bilingual is currently in the context where the use of the German L2 is possible, then very likely the “BIBER” in German will be selected and activated, and eventually the activation causes the L2 word to be spoken.

Mixture of Shared and Separate Account – Evidence from Code-switching

While a recent proposal by Riehl (2005) has claimed that bilinguals have two separate interactive language networks, another account, which is also based on spreading activation, had already been proposed earlier by Poulisse and Bongaerts (1994). The difference between Riehl (2005) and Poulisse and Bongaerts (1994) is that the former made no clear assumption about language membership of a lemma, but the latter proposes that the strength of a lemma’s language membership is highly correlated with a bilingual speaker’s proficiency, suggesting that the highly proficient bilinguals may possess a shared bilingual speech network.

Poulisse and Bongaerts (1994) have found three groups of participants: (1) University Dutch-English speakers (2) Grade 11 native Dutch English as a second language (ESL) speakers and (3) Grade 9 native Dutch ESL speakers. These three groups were asked to (1) name an object in English (2) describe a novel in English (3) recall a Dutch story and retell it in English and (4) talk about a topic with a native English speaker. Results indicate a gradational pattern that the grade 9 participants code-switch more than the rest of two groups, whereas the university participants did the least code-switching. This has pointed to the fact that less-proficient bilingual participants’ lexical selection, word-form encoding, and articulation are less automatic, implying that their L1 lexical items will be selected faster than the L2 items. This is because the language membership L2 English has not yet attached strongly to the English lemmas, causing the lexical selection of English L2 to be slower; thereby less-proficient speakers exhibit more code-switching back to L1. However, once a bilingual speaker becomes more proficient in the L2, the resting
level of the L1 will increase, as the speaker gains a more automatic control for both languages. Such automatic control therefore suggests that proficient bilinguals have the greater control of managing two languages at the same time, and therefore code-switching will be more context-dependent.

Strong Shared Account

Shared Conceptualization – Evidence from Translation Effect

Researchers in the school of a strong shared bilingual network advocate that the lexical access to either language is based on a shared network of conceptualization (Chen & Ng, 1989; Kecskes, 2006). The empirical evidence comes from the translation effect and the structural priming effect. From an earlier study by Chen & Ng (1989), they have hypothesized that the language processing network for bilinguals is shared because bilinguals are able to find a translation-equivalent L2 word from their L1. In their experiment, a group of Chinese L1 English L2 bilinguals were recruited. The experiment has three conditions: (1) translation-equivalent prime-target pair (L1: CAT; L2: CAT) (2) related prime-target pair (L1: CAT; L2: DOG) and (3) unrelated prime-target pair (L1: CAT; L2: WATCH). The participants had to decide whether the presented target (English or Chinese) is a word or non-word. Results indicated that the decision latencies in the translation condition are the shortest, regardless whether the presented target is L1 or L2. This lends strong support to the fact that bilingual lexical access is shared and concept-driven, as translation equivalents will activate only a single conceptual item.

Shared Syntax – Evidence from Structural Priming Effect

While the translation effect has been found to support the shared bilingual processing account at the level of conceptualization, the structural priming effect also explains a shared language network for bilinguals at the syntactic level. In a recent study by Kootstra, Hell & Dijkstra (2012), they have used an auditory priming paradigm to examine whether bilinguals’ code-switching production is influenced by the auditory structural input. The auditory prime is a code-switched sentence (Dutch-English) with a syntactic structure NP+VP+PP, where the code-switching position is fixed at PP. Results have shown that fluent Dutch-L1-English-L2 bilinguals’ description of the picture is strongly affected by the auditory prime and the code-switching position in the prime. That is, their production is more likely to be code-switched and the code-switching position actually fully aligns the auditory prime, particularly in the condition where the auditory prime and the picture contains the same word. However, contradictory results were obtained from the 9th grade Dutch ESL speakers. That is, an effect of structural priming is not significant. Taken together, these findings have offered support to the shared account for syntactic representation, as the fluent bilinguals are able to describe a sentence in their both languages with the influence from the previously-heard syntactic knowledge.
Implications for Future Research

Upon careful examinations of past literature in bilingual production theories, it can be seen that the debate between a shared or separate bilingual language processing has had different empirical basis. Advocates for separate processing regard code-switching as unintentional and consider it to be similar to the slip-of-the-tongue phenomenon, as in monolingual production research, whereas advocates for a shared processing have argued that code-switching can be experimentally documented by the factor of translation and the effect of structural priming.

It can be seen that only two studies from the above (e.g. Poulisse & Bongaerts, 1994; Kootstra et al., 2012) have taken bilingual speakers’ language proficiency into account. Commonalities from these two studies show that more proficient bilingual speakers are more likely to manage two languages simultaneously during a code-switching elicitation task (Poulisse & Bongaerts, 1994) and also they are more likely to produce a code-switched sentence if they are auditorily-primed with the same structure (Kootstra et al., 2012).

While language proficiency plays a role in the bilingual production processes, it has been unclear, however, whether the factor of age of acquisition (AoA) – which has already been examined extensively in second language perceptual research – affects the bilingual production processes. Based on Flege, Munro, & MacKay (1995)’s finding that early-arrived bilinguals (L1: Italian; L2: English) have close-to-native-like pronunciation of English consonants, it can be hypothesized that the age, in which a person acquires the L2, has an influence on the connection strength of language feature (or language membership) at the level of lemma access, lexical selection, and syntactic assembly (or namely sentence production). That is, for people who acquired an L2 earlier and are very proficient in their L1 & L2, both of their L2 & L1 lemmas have a higher likelihood to be shared and well-formed, triggering a more automatic control of both languages and thereby least code-switching at the process of lexical selection and syntactic production.

To test the above hypothesis, future research should recruit four groups of participants with two independent variables (AOA and Language Proficiency): (1) Early L1&L2 proficient bilinguals (2) Early only-L2-proficient bilinguals (3) Late L1&L2 proficient bilinguals (4) Late only-L1-proficient bilinguals. A code-switching elicitation priming task can be used, similarly to what Kootstra et al. (2012) have conducted. It will be expected that the early bilinguals will exhibit a more shared L1-L2 network at the processes of lemma access, lexical selection, and syntactic production, based on the assumption that early bilinguals have higher likelihood of developing two languages simultaneously and proficiently (Genesee & others, 1989). Late bilinguals, on the other hand, will exhibit a more separate L1-L2 network at the level of lemma, lexical selection, and sentence production, based on the fact that the development of their second language is subject to the interference from their L1 (Kroll & Stewart, 1994), thereby suggesting that the L2 nodes at each level in the network are more likely to be weakly-formed.
Conclusion

The present paper has re-visited previous bilingual production research based on the question of a shared bilingual network or that of a separate bilingual network. Based on what have been reviewed, research in general has agreed that bilingual code-switching can be the empirical phenomenon, motivating investigations whether their production network is governed by a shared or a separate mechanism. Researchers in the school of separation consider code-switching to be more unintentional and error-prone, whereas researchers in the school of shared network regard code-switching as more intentional, and it may be subject to an influence from the effect translation-equivalent and structural priming.

Based on these empirical facts, it has been unclear so far whether age distinction, documented extensively in L2 acquisition research, affects a bilingual speaker’s mental speech representations with respect to code-switched productions. It has been suggested that early bilinguals may possess a more shared network in production due to their stable ability of managing two languages simultaneously. Thus, the present paper has offered implications for future research to focus on two factors, such as age of acquisition and language proficiency in hopes to further unify the existing bilingual code-switching research and solve the debate between a shared bilingual processing and a separate bilingual processing.

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Adding Value to Thailand Robusta Coffee through Geographical Indication

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Abstract
Coffee is the most valuable and widely traded tropical agricultural product. Thailand is one of the top coffee producers in the world. The country was also ranked third among the coffee producing countries of Asia with the Robusta coffee (Coffea Canephora) accounting for 99% of its production. Thus, Robusta coffee is the chief coffee crop grown which provides substantial economic return. Coffee is one of the few types of goods and products that are grown or produced highly correlated with the quality and reputation of the coffee flavor. Geographical indication has similar role as a trademark that is indicative of the popularity or goodwill of the product. It is a powerful tool for building brand for agricultural products using the image and reputation of community. GIs is also the key measures to distribute the coffee to the market.
This paper aims to study the possibility to add value to Thailand Robusta coffee through the geographical indications (GIs). In-depth interviews, survey, and literature review were used to gather information on the value chain. We found that the Robusta coffee processed by agricultural groups and community enterprise in southern Thailand had a great potential to be registered as GIs coffee. In addition, to convey the background landscape and culture of southern Thailand as a world-class tourist attraction in advertising or publicity, it would be advantageous and also lead to differentiation of coffee products and market access in the future.

Keywords: Adding value, Geographical Indications (GIs), Thailand Robusta coffee
Introduction

Geographical indications (GIs) are a type of intellectual property for adding value to the brand. Thus, the registration of geographical indication is a significant step in raising a product to a higher level and creating a regional brand. GIs can also use as a tool to develop the rural sector policy and encourage local producers to earn more income that will lead to links to other industry sectors such as tourism, including to maintain and preserve local wisdom and traditional culture. GIs are used to identify products that come from certain regions and have particular characteristics that indicate the product’s quality or reputation (e.g. “Champagne,” “Roquefort”). GIs are protected by various legal principles and statutes - including sui generis GI laws, trademarks, certification marks, and collective marks - all GIs function to certify that a product possesses certain qualities, is made according to traditional methods, or enjoys a certain reputation due to its geographical origin. While the oldest and most developed systems of GI protection are found in Europe, other developing countries have recently begun implementing GI legislation domestically and seeking protection in international trade agreements, with the goals of promoting rural development and protecting local heritage and the natural environment (Barnette, 2012). Geographical Indications (GIs) has been well-known in Europe for quite some time as a values-based label on high quality products (Carpenter and Larceneux, 2008).

Coffee is the most valuable and widely traded tropical agricultural product. Thailand is one of the top coffee producers in the world as of 2014. The country is ranked third among the coffee producing countries of Asia with the Robusta coffee accounting for 99% of its production. Robusta coffee (Coffea Canephora) is the chief coffee crop grown in the country which provides substantial economic return (Fairtrade foundation, 2012; Wikipedia, 2016). Coffee is one of the few types of goods and products that are grown or produced highly correlated with the quality and reputation of the coffee flavor. Doi Tung and Doi Chaang, Arabica coffee is grown in the northern province of Chiang Rai. Doi Tung is single-origin, harvested only from the hills of Doi Tung in Chiang Rai. It is shade grown and undergoes careful processing starting from the selection of coffee species to roasting and packaging. Doi Tung was granted a Thai GI by the Department of Intellectual Property, Ministry of Commerce, in 2006. Doi Chaang coffee is produced in a village, known as Ban Doi Chang. Villagers, particularly Akha hilltribe farmers, were given Arabica plants of good quality for cultivation from a royally initiated program. After 20 years of successfully growing coffee, villagers grew frustrated at being exploited by middlemen when it came to prices. They decided to form their own business group, which was registered as Doi Chaang Coffee Original Company (Thailand Government Public Relation, 2015). So, Arabica-based Doi Chaang and Doi Tung coffee are the example of Thailand coffee’s success cases with international recognition. Both are well-known as high-quality coffee producer with many carefully-designed procedures behind the scene. Consistent processing methods, self-processing with strictly quality control on entire value chain products, high-standard facilities are the main factors contributing to their fine taste. They also pay attention to the link between coffee with its origins and story of relevant people. Currently, both have been registered as geographical indication (GI) products in domestic as well as European Union market. Doi Tung and Doi Chaang brands were able to use the GI mark from 3 August 2015 onwards, 20 days after the announcement on the EU’s Official Journal (Thailand Government Public Relation, 2015).
The coffee which has the geographical indication can be a monopoly or semi-monopoly market structure. It also highlights the product differentiation using an intellectual property. In addition, it can be controlled inputs and output to the standard level, and has the power to set prices in the market. Elevation the Thailand Robusta coffee using a geographical indication is an important strategy to add value to coffee industry to create sustainable local economies and communities more effectively, in addition to sale only the raw coffee bean. However, to get up into geographical indication, the product must be produced by a given process since seeds, seedlings, maintenance, harvesting, roasting, and grinding coffee. Promoting the coffee to register as a geographical indication can also rely on the value chain analysis. However, when looking at the overall creation value of Thailand Robusta coffee, the developmental process has been delayed and does not clear about the identity. Thus, the coffee industry in Southern Thailand wasted a huge opportunity to add value to coffee production. The return was not enough to propel the community or encourage farmers to produce the lifestyle and sustainable growth, as they should be. In spite of, there are the development opportunities when considering that the southern provinces are also known as a famous tourist places similar to Chiang Mai and Chiang Rai.

This paper aims to study the possibility of registration of a geographical indication to Thailand Robusta coffee by using the value chain analysis and studying the mechanisms of coffee market including the interaction of those involved in the market, whether they are buyers manufacturers to determine the level of supply and demand and prices in the market. The value chain in the production and distribution of Thailand Robusta coffee has core processes, which consists of pre-harvest, post-Harvest, manufacturing, and trading. In addition, there are three sub-processes as follows: (1) improving productivity and quality improvement include reducing production costs; (2) adding value by conversion into standard products; and (3) marketing and logistics. We also study about the support activities, including infrastructure, information systems, research and development, quality control, and how to create a story for marketing communications.

**Literature Review**

A geographical indication (GI) is a sign used on a product to denote its origin where a specific quality, characteristic or reputation of the product is essentially attributable to that origin. For example, “Bordeaux” is a GI for wine originating from the region of Bordeaux in the south of France, where it has been produced since the eighth century. Similarly, “Tequila” is a GI for liquor originating from the town of Tequila in the state of Jalisco, Mexico, where the liquor has been produced for over 200 years. Other examples of GIs include: “Champagne”, “Darjeeling Tea”, “Jamaica Blue Mountain Coffee”. A GI can be a geographical place name (e.g., “Champagne”), a symbol (e.g., a picture of the Eiffel Tower, the Statue of Liberty, orange tree), the outline of a geographical area (e.g., the outline of the state of Florida or a map of the Dominican Republic) or anything else capable of identifying the source of a product. Historically, there has been no uniform approach to the protection of GIs. Countries have adopted various legal principles and statutes to ensure the domestic protection of GIs. Some countries have enacted specific sui generis legislation to protect GIs; some afford protection under existing laws governing trademarks; others use a combination of both. GIs are also protected through unfair competition laws, consumer protection laws and laws protecting trade names or trademarks from passing off and other false
and misleading trade practices. An international framework for the protection of GIs has evolved over time, beginning with the Paris Convention, where a special form of GI referred to as an appellation of origin was afforded international protection. Most recently, the TRIPS Agreement internationalized the protection of GIs by promoting a standard definition of GIs and prescribing certain minimum standards by which they must be legally protected throughout WTO member states. A number of countries have entered into various bilateral, multilateral and international arrangements to bolster the protection of their GIs in foreign territories (International Trademark Association. 2015). Geographical indications are a current topic at the international level. The Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPs), which became effective in 1995, is considered the first multilateral agreement giving an explicit definition of the term “geographical indication”. According to the TRIPs definition “geographical indications” are “indications, which identify a good as originating in the territory of a Member, or a region or locality in that territory, where a given quality, reputation or other characteristics of the good is essentially attributable to its geographical origin” (TRIPs Article 22.1). Furthermore, TRIPs requires from every signatory to establish minimum standards for the protection of GIs through their national law. Developed countries had to implement the TRIPs requirements by 1996, developing and transition countries by 2000 and for the least developed countries the final date for the implementation was extended to the year 2006 (Calboli. 2006). Protected Geographical Indication (PGI) name of a region, a specific place or a country, used to describe an agricultural product or a foodstuff originating in that region, specific place or country, and which possesses a specific quality, reputation or other characteristics attributable to that geographical origin, and the production and/or processing and/or preparation of which take place in the defined geographical area. GI’s fit perfectly with the differentiation goals because: (1) it provides producers the opportunity to position their origin and communicate directly with consumers who demand it; (2) it protects the reputation that producers of well-known origins have built; (3) it is an effective and reliable instrument to ensure fair labeling; (4) it is a tool to educate and generate less price sensitive and loyal consumers. GI’s also benefit all actors in the coffee chain as follows: (1) Producers: opportunity to position their origin and communicate directly with consumers who demand it. Accordingly, they can be rewarded for their quality efforts; (2) Roasters: using GI’s allow them to protect their quality and reputation and know who and what is behind the product they bought; (3) Retailers: traceability requirements, food safety and high value products are usually associated with GIs; (4) Consumers: Demand more accurate information about products and their link to quality factors. GI’s are the perfect and reliable instrument (Silva. 2008).

GIs are a form of intellectual property, thus requiring regulation and enforcement of protection in order to be used as a value-enhancement tool. The EC-ASEAN intellectual property rights cooperation program (ECAP-II) represents one of the many food-related alternatives the European Union (EU) has been involved in with regards to Thailand. In this framework, the promotion of GIs for food products has been one of the key activities (Hamburger. 2010). In Thailand, the government officially launched the framework law to recognize and protect Geographical Indications in 2003: the Geographical Indication Act of B.E. 2546 (2003) followed by Thai Geographical Indication Logo Approval B.E. 2008 under the charge of Department of Intellectual Property, Ministry of Commerce. As of June 2010, Thailand had registered 35 GIs products, 29 of which were from Thailand, 5 from the
EU and one from Peru. Despite the fact that Thai regulations do not require products to subject to third party inspection and certification procedures, it is remarkable to note that a certain number of Thai registered GI s are under external control by accredited certification bodies (ten products as of June 2010). Besides the already registered GI s products in Thailand, 34 other products have applied and are currently undergoing the process of evaluation, showing an interesting trend in product application to Thai regulations on geographical indication. Geographical Indications product registration should not be considered the ultimate arrival point for Thai products in the European market, but rather the first step to communicating the high quality and added value characterized by GI s products. Information provision, promotion and proper marketing strategies should be designed and implemented to stimulate the interest of gatekeepers, and among consumers at large, an understanding and appreciation of the diverse array of unique and high-quality products bearing the Thai Geographical Indications label. There are numbers of potential marketing strategies suggested by gatekeepers that could be used to introduce Thai GI s products as follows: (1) information provision through public relations and communication; (2) showing the region of origin of products and telling the stories behind them; (3) assuring product safety and guaranteeing quality; (4) demonstrating products and letting consumers try them; (5) developing export platforms for Thai cuisine and fruits; (6) starting with pilot products which are typical, high quality, and without environmental and social problems; (7) differentiating Thai GI s products from other products by quality, healthiness, and packaging; (8) offering promotions to gatekeepers; and finally, (9) selecting the proper distributors through which to channel Thai GI s products (Canavari et al. 2010).

So far no international register for GI s does exist. Therefore, an overview of already protected and registered GI s in the coffee market will be provided by surveying the literature and using data from trademark bases as well as from governments and grower associations. In this context it is necessary to distinguish between the domestic and the foreign market. Since coffee consumption in producing countries is still at a low level with the exception of Brazil, the export markets are more important in terms of income than the domestic market (Lewin et al. 2004:59). The ASEAN countries of Malaysia, Indonesia and Thailand also stand on a similar footing with other developing countries and therefore increased levels of protection would be advantageous to their economies. Since the natural resource and traditional knowledge form the fundamental elements for the development of grass root economy, GI s can be used as effective marketing of economic value (Jaovisidha. 2003). According to the Department of Agriculture (2015), the coffee planting area in

Figure 1. GI Thai Public brand
(Department of Intellectual Property’s Regulation for Thai GI Logo Approval. 2008.)
Thailand covers 290,000 rai, or 116,000 acres, while production are 30,000 tons a year. Out of this production, 8,000 tons are Arabica beans. In 2014, Thailand exported 700 tons of coffee, valued at 3.6 million US dollars. Out of this amount, 10 percent was exported to EU. Doi Chaang is exported to Canada, the United Kingdom, Italy, Malaysia, South Korea, and Australia, while Doi Tung coffee is exported mainly to Japan. Demand for coffee in the global market has been increasing. It stood at eight million tons annually during the past three years. Statistics show that, in 2012, demand for coffee beans by processing plants in Thailand came to 67,620 tons, up from 61,480 tons recorded in 2011. The volume rose to about 70,000 tons in 2013.

In Thailand, there are two coffee varieties grown commercially for consumption: Robusta and Arabica. The best coffee is usually produced from Arabica beans, which are usually roasted and made into fresh coffee. The Arabica variety is grown on highlands in the North, especially in Chiang Mai, Chiang Rai, Mae Hong Son, and Phetchabun province. The weather in these provinces is cool, in comparison with the rest of the country. While, the Robusta variety are widely grown as cash crop in the South, especially in Chumphon, Ranong, Nakorn Si Thammarat, Phang-Nga, and Krabi province, covering a total area of 423,947 rai. It is mainly used for instant or blended coffee. With topography and climate make quite a lot of different varieties grown coffee is a different breed. As domestic demand for coffee is on the rise, Thailand imports a great volume of coffee each year. Because of the higher quality of the Thai Arabica coffee, when compared with that of Laos and Myanmar, it is sold at higher prices. With the ASEAN Community, Thai coffee growers are likely to face greater competition. The Department of Agriculture pointed out that, coffee at lower prices from neighboring countries is likely to compete with Thai coffee. This situation would affect Thai coffee growers, so they need to adjust themselves by improving productivity and reducing production costs at the same time. According to the International Coffee Organization, statistics on coffee production in ASEAN countries in the 2011/2012 production year show that Viet Nam came first in terms of Robusta output, accounting for 37.8% of the global production. Indonesia came second, with 13%, followed by Thailand at 1.7%, Laos at 1.2%, and the Philippines at 0.7%. As for the Arabica variety, Indonesia came first, accounting for 2.2% of the global production, followed by Viet Nam at 1.2%. Looking at per capita consumption in 2011, Laos registered at 1.4%, followed by the Philippines at 1.38%, Vietnam at 1.07%, Indonesia at 0.86%, and Thailand at 0.44% (Thailand Government Public Relation. 2014).

Often Robusta has its taste described as burnt tires or rubbery, which sounds disgusting. One reason that the taste isn't as good for Robusta is that it has more caffeine compared to Arabica. Which may sound like a positive thing but caffeine carries a bitter taste which makes it an unpleasant drink. In fact the Robusta bean has 2.7% caffeine content, almost double the 1.5% of Arabica. Arabica contains almost 60% more lipids and almost twice the concentration of sugar than Robusta. This factor also probably has a big impact on why we prefer the taste of Arabica. From a price perspective, green bean of Robusta is about half the price of Arabica green beans on the commodity market. However, Robusta is easier to tend to on the farm, has a higher yield and is less sensitive to insects - the extra caffeine is a chemical defense for the coffee seed as the quantity in the Robusta is toxic to bug. All of these factors help bring up the supply and lower the input costs for farmers to produce. With this more attractive price point, a lot of roasters back in the day would
add Robusta to their blend in an attempt to reduce their costs and increase their profits. When coffee was initially sold in the 1900s the quality of coffee slowly and slowly deteriorated in an effort for companies to squeeze the most profit. Literally. Oddly enough, Robusta is still widely used as part of espresso blends – specifically Italian style blends. It is said to help improve the Crema. Robusta as being lower quality, it’s not always the case. Top notch specialty Robusta coffee will usually taste as good as or better than low end Arabica. However, high end Robusta isn’t widely used or available. Rather, Robusta is usually used as a filler or cost reducer. (Pabari. 2014). Specialty coffees are not precisely defined but cover a wide range of somehow differentiated coffees, such as organic, fair trade and bird-friendly coffee. Besides these kinds of coffee another type of specialty coffee called single-origin coffee or coffee with a geographical indication of origin (GI) has been emerging in recent years (Daviron & Ponte 2005; Lewin et al. 2004).

Even though Thailand exports green bean coffee to Europe, this product is roasted, blended and sold under various brands, which do not refer to the country of origin. As a result, the researcher could not find Thai coffee on the Italian, Austrian, or Swiss markets except in specialty shops. However, the researcher obviously did not visit every supermarket or shop in these countries and it is therefore possible Thai coffee might be available through other channels. The main products available in Thai specialty shops are instant coffee and diet coffee. Thai coffee is sold primarily to Thai people since European consumers tend to prefer their own coffee, which is famous for its high quality and suitability for different methods of preparation. It seems that strong information and promotion campaigns should steady partner Thai GIs products registration efforts since European consumers and gatekeepers do not know these products or cannot distinguish the differences of these products in terms of quality and taste out of other similar products. However, the participants in this study said that this could change if Thai suppliers are able to prove the distinguished quality of their products versus others and inform and communicate this information to consumers. The GIs label might be a good marketing tool to introduce quality Thai products in the European market. Thai GIs goods which are considered high quality products could be introduced to the market first, before introducing other, more standard products, so that Thailand can cultivate an image as a producer of high quality products in the minds of European consumers. It is also important to synchronize Thai GIs label from those countries with the European one (Mutual recognition) to maintain the same quality of labels (Canavari et al. 2010).

**Methodology**

This study was a qualitative research. In-depth interviews, survey, and literature review were used to gather information on the coffee value chain (from the raw material until the coffee is delivered to consumers). The sample included farmers and those involved in the Thailand Robusta coffee value chain. The data analysis was focused on the perspective of the privatization of coffee and the adding value process. We also learned the best practices from the success coffee in terms of getting a geographical indication including Doi Tung and Doi Chang coffee from the manufacturer in Chiang Rai. The knowledge was derived synthesis with the basics of Robusta coffee processing in southern Thailand, in order to lead to the registration of GIs including to suggest the story that can bring a narrative and create marketing communications.
Since the main objective of the research is to add value to Thailand Robusta coffee in the south through a geographical indication. Thus, the production and processing sample for in-depth study must contain all three parts as follows: (1) it is an area of growing coffee for a long time; (2) the products are already distributed and well known in the market; (3) the coffee plantation is unique, good quality, and located in a beautiful area which can be encouraged to travel by public authorities and can bring a narrative and create marketing communications. Robusta coffee produced in Southern Thailand meets the above criteria as a world-class tourist attraction, so there is also great potential to create a narrative marketing.

Results

Robusta coffee processed by agricultural groups and community enterprise in southern Thailand had a great potential to be registered as GIs, especially to combine with organic food. The value chain in the production and distribution of Thailand Robusta coffee had core processes, which consisted of pre-harvest, post-harvest, manufacturing, and trading. In addition, there were three sub-processes as follows: (1) improving productivity and quality improvement include reducing production costs; (2) adding value by conversion into standard products; and (3) marketing and logistics.

We also found that the Robusta coffee key distribution channels were as follows: (1) sold through the storefront and trade fair under the government support; (2) wholesaled to retail shops and international airports, mostly 3-in-1 coffee; (3) sold online of coffee roasted and coffee beans; (4) produced and sold to buyers.

Conclusion & Discussion

GIs has similar role as a trademark that is indicative of the popularity or goodwill of the product. It is a powerful tool for building brand for Thailand Robusta coffee products using the image and reputation of community. GIs is also the key measures to distribute the coffee to the market. The Robusta coffee which is registered as GIs must pass all of the production process, as stated in the registration process. So, the quality coffee does not have only in the major companies anymore. Elevating the value chain by coffee growers, coffee-related organizations are part of measures to cope with competition from trade liberalization. The guidelines are include lowering costs, increasing yields and adding value to the product by the agricultural institutions in order to avoid a competitive price. The value chain can be developed more efficiently with activity improvements and have a great deal of the components/elements as follows: (1) Package: change to modern image and tells the story of narrative marketing as a World-class tourist destination on the label and packaging. The GIs label also has a very high benefit for a country like Thailand, to show product quality and let the consumer learn how we take care of the product from production to processing in the food culture to show how they are prepared locally and the quality; (2) Distribution: introduce and build the brand awareness on One Tambon One Product (OTOP) fairs, both local and national level, including to publicity through news, documentary by television, magazines and newspapers and expand the customer base using the word of mouth. The marketing story can offer through a variety of media and opportunities. It can also add the contents of the
program of the Tourism Authority of Thailand, which promotes the festival to watch flowers bloom coffee. The coffee processed products can be the source of study by the local community. Thus, establishing a learning center for coffee learning combined with museum exhibits is another way to strengthen the cities of coffee. This will be the center of the coffee knowledge development and also as a communicate channel for the coffee story to consumers and people concern to study more effectively. The important strategies are information, public relations and communication in order to cope with the problem of consumers’ lack of knowledge. Using new technology (such as QR code) so consumer can scan the coffee story and read through mobile devices and also in LINE application to serve consumer behavior at present.

However, registration GIs separated by region can cause lack of interesting. Alternatively, it is possible to gather registered GIs in group. However, it may cause the coffee of each group lacks a clear identity. Sometimes some areas do not know about a request by a group of farmers, although the Department of Intellectual Property is open to objection or dispute the registration. It would make the operation go smoothly and have more widely benefits, if there is cooperation from the acquisition of manufacturers and trader who want to use a geographical indication. In addition, in order to use the GIs to promote branding, the production process needs to be standardized.

**Acknowledgements**

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References


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Study on Eco-Environment Crisis Coping with System of Russia under Sustainable Development Strategy Background

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Abstract
Ecological crisis is a challenging problem commonly faced by humanity, and environmental protection has become a priority for countries across the world. In recent years, Russia has focused on the treatment of the eco-crisis in its sustainable development strategy, and it has formulated the Environment Protection Law of Russia and Ecological Appraisal Law of Russia, forming a series of ecological regulatory systems, including ecological standard system, ecological registration system, ecological appraisal system, ecological supervision system, ecological compensation system, ecological insurance system and ecological audit system. Russia’s ecological regulatory systems lay emphasis on functions and classifications, which can be summarized as administrative system, legal system and economic system. In addition, Russian insists on some basic principles in its establishment of ecological systems, including coerciveness, participation, and incentiveness.
Based on the analysis of Russia’s basic ecological regulatory systems, this paper attempts to summarize basic connotations, rules, functions and characteristics, reveal the inner link and rules among them, and explore the beneficial experience of other countries. Russia’s ecological standards provide for effective prevention of ecological risks. Meanwhile, it must be admitted that there are also some weak points in Russia’s ecological systems, mainly represented in overlapping management, resulting in relatively low efficiency. These deficiencies deserve our attention and further research.

Keywords: Russia, sustainable development strategy, ecological regulatory system
Introduction

At present, humanity is faced with increasingly serious environmental challenges, including environmental pollution, ecological degradation, and soil erosion and desertification. The strategy of sustainable development has become the common concern of people all over the world. All countries are looking for the right way to implement sustainable development strategies. As a large country full of ecological and mineral resources, Russia always attaches great importance to the study of ecological theory, and regards “the priority of environmental protection” as the basic legal principle in protecting environment and utilizing natural resources. After its independence, Russia learned lessons from the former Soviet Union in dealing with environmental disasters. In particular, after the Chernobyl nuclear disaster, environmental protection and economic development have been given equal priority. Russia has formed a complete set of laws and mechanisms relevant to ecological environment protection, such as legislation, management, decision-making, evaluation, and prevention. Russia’s environmental protection mechanism is of great benefit to China and other countries in promoting the modernization of ecological governance systems and capacity. It has not only theoretical significance and academic value, but also a strong practical significance.

Literature Review

In recent years, people have given more attention to western developed countries in their research on legal policies and systems of ecological and environmental protection. In comparison, people have rarely explored the development of Russia’s ecological regulatory systems, so there is a lack of comprehensive research results in this area.

What is novel about this research is that it captures the basic connotation, principle, procedure, function and characteristic of Russia’s regulatory system, revealing the internal relation and regularity of Russia’s approach. The author does not seek to carry out comprehensive research in this field, but tries to grasp some key and important issues, thus gaining from the experience of other countries.

Methodology and methods

In terms of research methodology, this paper forms a scientific cognitive approach by collecting, identifying, and reviewing previous literatures. The main sources of research data include official literature, reports by relevant research institutions, academic monographs and papers, professional journals and international journals, and some official websites. In addition, the author makes full use of primary materials and literatures, striving to bring objective and accurate comments and conclusions.
Discussion

In Russia, population and industry is concentrated in 20% of the country, thus the environment is significantly stressed. In 185 cities and industrial areas, air pollution is beyond the recommended index. Therefore, Russia attaches great importance to the implementation of sustainable development strategies, environmental protection, and resource utilization, and it has issued a series of laws, regulations, and policies. In addition, Russia plays an active role in dealing with global and regional ecological issues. In order to ensure effective implementation of national ecological laws, ecological policies, and ecological measures, Russia has formulated a set of ecological regulatory and administrative systems, which achieve effective results in dealing with the environmental crisis. These include the Ecological permit system, Ecological standard system and Ecological registration system, Ecological identifying system, Ecological supervision system, Ecological compensation system, Ecological insurance system and Ecological auditing system. These basic systems provide institutional safeguards to protect the environment and ensure effective use of natural resources. They have become the basic norms of Russia’s ecological functional departments, regulatory authorities, non-governmental organizations, civil society environmental governance, and environmental management and supervision.

Chapter I: Comments on Russian ecological system and mechanism

1. Ecological permit system and its characteristics in Russia

The Ecological permit system is composed of specific administrative acts that govern resource exploitation, construction, and other activities that impact the environment. The permit system examines proposals for new activities in these areas in order to decide whether to give permission or not. Russia's ecological permit system is divided into three categories, including the permit for natural utilization, the permit for activities with negative impact on environment, and the permit for other activities related to environment. Article 30 of the Russian Federation Environmental Protection Act stipulates the types of activities for which compulsory ecological permits are granted. The Ecological permit system is widely used in the enforcement of ecological protection laws, which is targeted and flexible.

2. Ecological registration system and its characteristics in Russia

The Ecological registration system requires enterprises to list the kinds of natural resources they use and the relevant environmental impact of production. This information must be submitted to the Russian National Ecological Commission for record. Every enterprise must draft an eco-registration proposal, recording the product description, illustration of the production process, types of natural resources used, impact of production on environment, time, emission and material composition of pollutant discharge, indicator of green ecological force and information of nature use
permit, and payment of environmental pollution and nature use.

In addition to ecological registration of enterprises, the Ecological registration system also includes industrial safety registration, radiological health registration, and hazardous waste registration. Industrial Safety Law for Dangerous Production Project of the Russian Federation stipulates that enterprises engaged in hazardous production operations are obliged to register for industrial safety. According to the provisions of Russian law, enterprises must complete their ecological registration and report their ecological security situations to state and social organizations. The purpose of ecological registration is to predict environmental conditions of enterprises and their surroundings, to supervise the concrete implementation of environmental protection measures, and to reduce security incidents in production.

3. Connotation and Characteristics of Ecological identification System in Russia

The Ecological identification system is one of the most important ecological regulatory systems in Russia, similar to the current environmental impact assessment system in China and the United States. Article 1 of Russian Federation Ecological Identification Act clearly stipulates that ecological identification refers to ecological management and supervision by agencies and social organizations in ascertaining whether the proposed activities conform to ecological requirements, and in determining whether the identified activities are allowed to be implemented or not. The Russian Federation’s ecological identification system has two areas of focus: national ecological identification and social ecological identification.

Russian Federation Ecological Identification Act provides the following principles for the national ecological identification system: mandatory enforcement, scientific demonstration of conclusions, independence, openness, public participation, and above all, identification of any potential environmental crisis. Social ecological appraisal is organized by social groups and non-statutory, civil spontaneous ecological identification activities. The Ecological identification system can effectively reduce risks of decision-making, thus becoming an important environmental protection system implemented by the Russian government.

4. Connotation and characteristics of ecological compensation system in Russia

Ecological compensation is an economic mechanism to protect the environment and improve utilization of resources. The economic mechanism of environmental protection and resource utilization includes various economic instruments stipulated by law. The Ecological compensation system includes a charge system and an economic incentive system of environmental use.

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(1) Connotation of environmental use charge system. According to Article 3 of Russian Federation Environmental Protection Act, legal persons and natural persons should give payments according to the principles of nature use and damage to the environment for economic activities and other activities that create environmental impacts. Environmental use charge system includes three elements: payment for nature use, payment for negative impact on environment, and payment for environmental damage. Russia has drawn up a clear basis for these divisions and detailed standards for charges.

(2) Connotation of economic incentive system. According to Article 14 of Russian Federation Environmental Protection Act, the government will provide tax relief and preferential policies for enterprises which adopt advanced technology, non-traditional energy, secondary recovery of resources, or recycling of waste. The essence of the ecological incentive mechanism is to use legal economic means to encourage subjects to protect the environment and utilize natural resources in a reasonable manner, thus playing a key role in solving environmental problems.

Chapter II: Evaluation on mutual relations and basic functions of the Russian ecological regulatory system

In system design, Russia focuses on scientific and rational ecological management. In the analysis of Russia's ecological regulatory system, we can summarize mutual relations, influences, and functions within the system. The author holds that there are three kinds of relationships among the different parts of the Russian ecological regulatory system: relative independence relationship, coupling relationship, and progressive relationship. There are different inherent logic relationships and levels in various systems which play different functions.

1. Three relations in ecological system

The current ecological regulatory system in Russia is a complete set of institutional systems which are relatively independent and do not overlap in content and form. At the same time, the various systems are not isolated but interrelated and progressive. There are three different types of relationships between specific ecological systems in Russia. It is generally believed that the independent relationship refers to the elements of the system which are neither mutually exclusive nor coupling. Coupling relationship means elements in the system cooperate with each other for the same subject, thus better achieving system characteristics. Progressive relationship refers to the subjects in the system which belong to the same category in logic and connotation, and each behavior develops according to logical relationships and orders.

(1) In content analysis, Russia's ecological regulatory system has a relatively integrated independence. In view of national ecological permitting, standards, registration, identification, ecological compensation, supervision, monitoring,
insurance, and auditing, each system plays its own role from different aspects, dimensions, and functions, and each cannot be replaced by others.

(2) In terms of system design and operation, the Russian ecological regulatory system has the features of relevance and coupling. It can be easily seen that the systems are based on both mutually independent relationships and interdependent, interactive, and interrelated relationships. If without an access to ecological permission, it is difficult to carry out ecological registration. If there is no corresponding ecological standard, it is impossible to conduct ecological identification and registration, as well as ecological supervision and auditing. The systems are not only closely correlated, but also cross-cutting. For example, the national identification system contains specific national standards, and the ecological insurance system also includes a number of ecological compensation elements.

(3) In view of logical elements, Russia’s ecological regulatory system has a distinct progressive nature. The system has internal logic and progressive levels to its practical processes. For example, from its definite operational practice, it firstly needs to obtain the approval of ecological permits, before carrying out ecological registration. Ecological registration should be put on record, and go through the process of state ecological identification and social identification, with national ecological supervision and ecological monitoring. Violations of ecological regulations or laws are pursued and punished by the state, with encouragement and rewards given to observance and protection of ecological behavior. These acts constitute a set of institutional systems, which are interlocking, mutually restraining, and mutually progressive.

2. On the function of ecological regulatory systems

The Russian ecological regulatory system shows the following characteristics:

(1) At the administrative level, there are systems of ecological permitting, standards, registration, and supervision, which belong to the national administrative system. In other words, any enterprises must strictly abide by national ecological standards to obtain ecological permit approval, registration, and accept supervision from national ecological management organs, social organizations, and citizens. Those failing to meet the requirements and constraints of the above systems will be subject to corresponding legal punishment and sanctions.

(2) At the legal level, there are systems of ecological identification, ecological supervision, and ecological monitoring. Russia attaches great importance to the construction of the legal environment. For example, Russian Ecology Law clearly defines the enforcement principle of national ecological appraisal, thus Russia’s ecological identification is of practical legal significance. National ecological management agencies and relevant social organizations will examine whether
enterprises comply with the legal provisions in the ecological field.

(3) At the economic level, there are the systems of ecological compensation, insurance, and audit, which are an effective economic lever with the objective to encourage enterprises to strengthen ecological security measures and reduce ecological risks of enterprises to the lowest level. Russia's ecological laws and regulations stipulate that ecological compensation is used to regulate and stimulate the protection of natural environment behavior. After long-term practice, it has been proven that the nature-use payment system is an effective economic instrument to regulate rational use of natural resources.

Chapter III: Characteristics of Russia’s ecological system principles

1. A combination of coerciveness and voluntariness principles

Many of the ecological regulatory systems in Russia show a combination of coerciveness and voluntariness. According to the Russian Federation Ecological Identification Act, the connotation of coercion principle of national identification signifies: the Russian Federation empowers a specific national agency to identify economic activities and other activities that require a national ecological assessment under the laws of the Russian Federation. The Russian Federation is obliged to carry out a national ecological appraisal on projects with a high probability of potential ecological risks. The appraisal conclusions have legal validity and must be implemented by enterprises.

In terms of economic activities and other activities not belonging to the scope of national ecological identification, enterprises are allowed to conduct social and ecological appraisal voluntarily. The conclusions of social ecological appraisal has no legal effect, but they serve as references and suggestions to the national ecological appraisal, and they play an important role in social supervision by public opinion. From this point of view, the social ecological appraisal is a necessary supplement to the national ecological appraisal system. In addition, the ecological insurance and ecological auditing system are a typical combination of coerciveness and voluntariness.

2. Complementary principles of openness and participation

National environmental management and supervision needs public support through participation of citizens and social groups. Russia encourages social organizations and citizens to participate in the ecological governance process and monitor whether enterprises comply with environmental laws and regulations or not. Russian laws stipulate that enterprises are obliged to inform state agencies and social organizations of their ecological security status and accept the supervision of state organs and social organizations. For example, enterprises should publish their ecological registration
certificates to social organizations and surrounding citizens, and provide explanations to reasonable questions from social organization and citizens. Moreover, taking ecological appraisal as an example, the law stipulates that openness and social participation is an important principle of ecological appraisal. Citizens and social organizations may participate in and supervise the process of ecological identification, as well as review the results of the ecological appraisal, and they have the right to question the results of the ecological appraisal.

3. Laying equal stress on punitive principle and incentive principle

Russia enacts strict ecological punitive measures. According to national standards and ecological laws, Russia's ecological management and supervision departments will publish information and annual reports on whether ecological objects meet stipulated standards, and they will provide critical reviews on illegal enterprises and industries, investigating their legal liability. In Russia, if an enterprise fails to complete its ecological registration, it will be deprived of its right to use natural resources. It cannot be engaged in economic activities, and it may be subject to heavy penalties. In addition, the state imposes an ecological tax on the production of ecologically harmful products and products that use harmful ecological technologies.

Meanwhile, incentive policies are used to promote protective behaviors by enterprises. According to legal stipulations in Russia, enterprises will enjoy the preferential policies of tax relief and loan concessions if they use advanced technology, non-traditional energy, secondary recovery of resources, or waste recycling. Punitive and incentive principles are intended to help enterprises to fundamentally change backward production modes, use clean energy in production, and reduce energy consumption and pollution, thus achieving positive results in clean production and green environment.

From the theoretical and practical perspective, Russia’s ecological regulatory system is a legal embodiment of the national ecological system. All individuals and organizations in a sovereign country must abide by these legal system arrangements. With increasing attention of governments around the world and the long-term ecological practice, state ecological and environmental laws provide important systems and mechanisms suitable for their national conditions. There are obvious differences between China and Russia in ecological system construction and environmental supervision, with distinct regional, institutional, cultural, social, and economic differences.

In comparison with China and other countries, there are three characteristics in Russia’s theory and practice of ecological protection and regulation:

(1) Stringency and coerciveness of laws, regulations, and systems, which effectively protect the rational use of natural resources and prevent ecological risks and
environmental pollution.
(2) Wide scope of ecological system application, which is not only confined to macroeconomic activities, but also covers almost all microcosmic activities.
(3) Public participation in ecological protection and higher degree of openness in ecological law enforcement process, higher consciousness of law publicity and popularization, and stronger social environmental protection.

**Conclusion**

Russia has consistently adhered to the principle of "prevention first and strict supervision", emphasizing strict control from the source. Projects with ecological risks and poor standards cannot obtain government permission, including international cooperation projects. For example, in the Sino-Russian oil pipeline cooperation project, the Angarsk-Daqing line has been changed due to the worries of Russian ecological organizations that the pipeline may result in pollution to Baikal Lake.

In contrast, China’s ecological regulatory system generally over-emphasizes environmental assessment and licensing, but neglects the implementation of standards. To pursue economic outcomes, local governments follow the procedure of “approval after the project”, thus resulting in cases of "pollution first, treatment later". These negative examples should be worthy of our reflection.

At the same time, due to the slow decision-making process of the system and the overlapping management levels in Russia, ecological crisis prevention and treatment of decision-making efficiency is relatively slow. This becomes an important factor that impacts the integration of ecological policy and mechanism system between Russia and international community. The main direction of reform in Russia should be organizational streamlining. This includes centralization of national ecological supervision and management power in one or two special environmental supervision and management agencies, which have the power to coordinate other environmental supervision and management activities.

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Policy Networks and Linkage of International Relations in the EU and Japan

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Abstract
Policy networks and linkage are tightly connected concepts in the politics. The policy networks defined by Rhodes are set of formal institutional and informal linkages between government and other actors. The policy networks are important elements in the power-dependence theory about intergovernmental relations. This paper investigates not only policy networks in the UK and Japan, but also linkage in the EU. Organization of this paper is composed of three parts. First, surveyed are the policy networks in domestic politics with power dependence among bureaucracy, central government, party, parliament, politicians, interest groups and local government, and linkage by overall approach on various issues between states in foreign politics. Second, I study condition of the equilibrium between central-local governmental relations by analyzing bargaining of the rate support grant policy by which central government attempted to reduce amount of the rate imposed by the local authorities in the UK. I also explore condition of the equilibrium of the administrative and financial reforms by which central government attempted postal privatization and privatization of national universities in Japan. Third, I investigate linkage in the EU. I discuss condition in which the linkage within the EU is strengthened or weakened. Finally, relationship between policy networks of domestic politics and linkage of the foreign politics is considered for Japan-EU Economic Partnership Agreement.

Keywords: Policy Networks, Linkage, UK, EU, Japan
Policy networks and Linkage

The policy networks and the linkages have similarity, meanwhile the former is addressed in the domestic power dependence and the latter in the international interdependence. Policy networks are composed of bureaucracy, central government, party, parliament, politicians, interest groups and local government. Policy networks, especially central government and bureaucracy coordinate domestic and foreign issue and policy. Policy-making has been determined by policy networks. Rhodes defines policy networks as set of formal institutional and informal linkages between government and other actors structured around shared if endlessly negotiated beliefs and interests in public policy making and implementation (Rhodes, 2006, pp. 423-424). Rhodes continues that the power-dependence approach treats policy networks as set of resource-dependent organizations. Their relationships are characterized by power-dependence (Rhodes, 2006, pp. 432-433). On the other hand, in the world of international relations, Kissinger, a pioneer of the ‘linkage’, describes start of the linkage in the Nixon Administration. Kissinger pointed out that Nixon’s view of Soviet Union was not based on all-or-nothing proposition as his predecessors but rather based on comprehensive approach, that is, linkage on issues with varying degree of solubility. Nixon attempted to synthesize all the elements of the superpower relationship into an overall approach which is neither confrontation nor conciliation (Kissinger, 1994, p. 714). Keohane and Nye pointed out that military and economically strong states will dominate organizations and issues by linking their own policies to other states’ policies, however, when military force is devalued, strong states may still attempt linkages on other issues, trade, shipping or oil (Keohane and Nye, 1977, pp. 30-31). Putnam studied entanglement of domestic and international politics. Putnam takes a case of Japan in which the Ministry of Trade and Industry (MITI), the Economic Planning Agency, and some politicians within the Liberal Democratic Party attempted to promote business interest agenda, using U.S. pressure against the resistance of the Ministry of Finance (MOF) (Putnam, 1988, pp. 427-460).

The power-dependence theory (Rhodes, 1986b) and interdependence theory (Keohane and Nye, 1977) involve the policy networks and the linkage, respectively. In Table 1 compare the power-dependence theory and interdependence theory from researchers, research area, objective, common concepts, law, sanction and stability. In Table 2 also compare the policy networks and the linkage from researchers, research area, objective, common concepts and actor.
### Table 1 Comparison between Power-Dependence Theory and Interdependence Theory

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<td>Asymmetry between Centre and Local</td>
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<td>Treaty, Soft Law</td>
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<td>Law with sanction</td>
<td>Treaty and Soft Law without sanction</td>
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<tr>
<td><strong>Stability</strong></td>
<td>Principle of <em>Ultra Vires</em></td>
<td>Collective Security and Balance of Power Alliance</td>
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This Table is made by the author based on Rhodes (1986a, 2006), Nye (2007), and Keohane and Nye (1977).

### Table 2 Comparison between Policy Networks and Linkage

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<tr>
<td><strong>Common Concept</strong></td>
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<td>Bureaucracy, Central Government, Parliaments, Politicians, Interest Group Local Government</td>
<td>States International Organizations</td>
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</table>

This Table is made by the author based on Rhodes (1986a, 2006), Nye (2007), Keohane and Nye (1977) and Katzenstein (1978).
Condition of Equilibrium in the UK and Japan

I consider equilibrium of policies in the UK and Japan. Nash equilibrium of $n$-players game is defined as a condition in which every player takes equilibrium strategy to obtain overall performance criterion, that is, a function of $n$ variables. In other words, if $(n-1)$-players take equilibrium strategies but for the remaining one player (the $i$-th player), the performance degrades (Nash, 1950). If the $i$-th player takes selfish strategy only for his interest, the performance criterion meaning ‘cost’ degrades. The equilibrium is institutively understood as a solution of trade-off among players. Although the world of real politics is far from mathematical theory, I study condition of the equilibrium between central-local governmental relations by analyzing bargaining of the rate support grant policy by which central government attempted to reduce amount of the rate imposed by the local authorities. I also explore condition of the equilibrium of the administrative and financial reforms by which central government attempted privatization of the Japan Post and national universities in the Koizumi Administration. Through this analysis I withdraw result about comparison of policy networks in the UK and Japan.

Rate Support Grant Negotiation in the UK

The negotiation on the local government expenditure is an appropriate case study to understand policy networks in the UK. Especially, the Consultative Council on Local Government Finance (CCLGF) had been an arena for local government expenditure negotiation between central government and local government from 1975 to 1997. The CCLGF was established in 1975 for negotiation, discussion and information changing of the local finance between central government and local government, and abolished in 1997. In November 1997 the Labour Administration, abolishing the CCLGF, newly established the Central-Local Partnership (CLP), based on A Framework of Partnership agreed between central government and the local government associations. The local government financial issues come to be discussed at the Finance Sub Group of the Central-Local Partnership within the organization of the CLP. The CLP was abolished in 2010.

Before establishment of the CCLGF, the negotiation on the local government expenditure existed as a forum between central government and mainly the Association of Metropolitan Authorities (AMA) and the Association of County Councils (ACC). These negotiations on the local government expenditure had strongly been connected with the public expenditure survey (PES) and the rate support grant (RSG) negotiation. The history of the CCLGF can be divided into three eras: previous times of the Consultative Council on Local Government Finance (1970-5), the Labour Administration era after establishing CCLGF (1975-9) and the Conservative Administration era (1979-97). Rhodes noted, in detail, dramatic negotiation process on the local government expenditure between central government and local government associations, along with PES, RSG and the Layfield Committee (Rhodes, 1986a).

During previous times of CCLGF establishment, the forum was held between central government and local government associations, where total expenditure of the local government was fixed as £14.8 billion in 1975/6, and central grant to the local government was decided as £8.4 billion annually. Most amounts of these
negotiations are formalistic (Rhodes, 1986a, p. 102). The statistics of the local authority revenue expenditure shows all expenditures from 1970/1 fiscal year to 1975/6 fiscal year: £5.8 billion (1970/1), £6.6 billion (1971/2), £7.5 billion (1972/3), £9.1 billion (1973/4), £11.5 billion (1974/5) and £14.3 billion (1975/6) (Traverse, 1986, Table App. 2, p. 205). However, the real amounts of distributed RSG are lower than that of negotiation agreement. In fact, the distributed RSG is £7.3 billion (1976/7). The statistics of the RSG shows total amount of grant from 1970/1 to 1975/6 fiscal years: £2.0 billion (1970/1), £2.4 billion (1971/2), £2.7 billion (1972/3), £3.4 billion (1973/4), £4.7 billion (1974/5) and £6.6 billion (1975/6) (calculated by author from Table App 10, Traverse, 1986, p. 214).

Originally PES was designed to survey public expenditures and the White Papers were based on PES. The government’s decisions of the local government expenditure is based on the public expenditure survey (PES) rather than realistic projections of local expenditure. Further, survey of the PES is different from the recommendation by the Expenditure Subgroup in the CCLGF, which encompasses six fields; education, housing, home office services, personal social services, local environmental services and local transport finance (CCLGF Organization in 1975). Although the CCLGF subgroup recommended a 5.8 per cent to increase local expenditure for 1971/2, the Ministry of Housing and Local Government (MHLG) proposed a 3.8 per cent increase on the rate of growth of local authority revenue expenditure. Such negotiations continued up to 1975/76 (Rhodes, 1986a, p. 104).

The stance of the central government towards local government is rather unilateral, far from equal partnership. The Association of Metropolitan Authorities paper in 1971 found difficulty in the connection between PES and RSG negotiations. Nevertheless, the association became to be involved in the RSG negotiations between central government and local government. However, the day came when the association understood that this involvement was illusory. The Chancellor announced £80 million reduction in May 1973 and £120 million reduction in December 1973, without consulting associations. The central government regarded participation of the local associations to the PES just as collecting improved information for decision making by the Cabinet (Rhodes, 1986a, pp. 109-110).

During fiscal years from 1970 to 1975 the economic decline is remarkable and reductions in public spending is seen in 1974/5 and 1975/6 fiscal years. The ratio of pensions’ spending in total spending decreased from 9.8 per cent (1973/4) to 9.7 per cent (1974/5) and 9.5 per cent (1975/6), and ratio of welfare’s spending in total spending decreased from 13.4 per cent (1973/4) to 13 per cent (1974/5) and 12.8 per cent (1975/6) (Nagata, 2015, p. 649). The economic decline and inflation motivated the local government’s reorganization and increases of the local Government’s expenditure. The local authority’s relevant expenditure exceeded the government’s expenditure plans between 1971/2 and 1975/6. The government was against the local government’s overspending the limit set out in PES White Papers and the RSG settlement, meanwhile the associations complained the PES system and government controls of local expenditure (Rhodes, 1986a, p. 106). Especially, the increase of the rate is remarkable in 1974/5 and 1975/6 fiscal years. The increase ratio of the rate per previous year’s rate is 21.5 per cent (1974/5) and 30.2 per cent (1975/6) (calculated by the author from Table App. 3, Traverse, 1986, p. 206).
Two years of 1974 and 1975 are important for local government finance because of introduction of cash limit, the Local Government Act 1974, the Layfield Committee and establishment of the Consultative Council on Local Government Finance (CCLGF). Although the government intended to apply cash limit (1975) only to central grant but did not intend to design a ceiling for local government’s total spending, however, the local government regarded the cash limit as grant cut (Rhodes, 1986a, p. 108). The Local Government Act 1974 was legislated to codify the rate support grant and the rating. The Layfield Committee aimed to review the whole system of local government finance in England, Scotland and Wales. The CCLGF was established to provide meeting for negotiation on the local government finance. The arena for negotiation between central government and local government had changed from the forum to the CCLGF.

Again, RSG negotiation process will be focused after 1975. The government grant in 1975/6 remarkably increased compared with that in 1975/5; £5,256 million in 1974/5 but £7,172 million in 1974/5 (Traverse, 1986, p. 216). However, the economic situation changed declining in 1976. Rhodes pointed out that 1976 marked not only the beginning of a spirit of partnership in PES but also its end, because of loan by the central government from the International Monetary Bank (IMF) and consequent restriction of the local expenditure (Rhodes, 1986a, p. 127). The PES White Paper (Cmdn 6393, HMSO, 1976) announced reduction of local government’s total expenditure in 1977/8 and 1978/9. The local associations had no choice but to accept the government’s action (Rhodes, 1986a, p. 129). Consequently, the local government expenditure in 1977/8 and 1978/9 decreased much, that is, £17,050 million (1983 price) and £13,021 million (1975 price) in 1977/8, and £18,823 million (1983 price) and £12,995 million (1975 price). The degree of the expenditure’s reduction can be understood well compared with that in 1975/6; £15,345 million (1983 price) and £14,790 million (1975 price) (Rhodes, Table Local Government Expenditure from 1975/6 to 1979/80, 1986a, p. 138, Source: Local Government Trends 1983 (London, IPFA, 1984)). What the local associations participated the negotiation at the CCLGF with consciousness of equal partnership cannot be denied. However, the local associations were obliged to follow the guideline of the government, when they confronted unprecedented economic decline and government’s loan from the IMF.

The CCLGF halted its function of the RSG negotiation between government and local associations due to new Conservative Administration. Because new secretary of state, Heseltine, unilaterally announced RSG settlements in 1979/80 and 1980/1. Compared with White Paper, The Government’s Expenditure Plans, 1979-80 to 1982-3 (Cmdn 7439), the reduction ratio is 3 per cent in 1979/80 and 5 per cent in 1980/1 (Rhodes, 1986a, p. 140, John, 1990, pp. 7-15). Since 1979 the Conservative Administration did repeat policy making for the local expenditure’s restriction using the statutes and Circulars (Rhodes, 1997, pp. 112-126). The Local Government, Planning and Land Act 1980 was legislated to institutionalize block grant. The Local Government Finance Act 1982 was legislated to set rate capping. In 1983, GLC and MCC were abolished. The government unilaterally implemented these measures. The poll tax was introduced in the Local Government Finance Act 1988 but soon the poll tax was abolished. Although the CCLGF existed after 1979, these measures have been
implemented without almost negotiation in the CCLGF. The restriction strategy of the local expenditure by the central government raised opposition by the local authorities, therefore, unilateral measures became source of wandering policies.

Here I analyze the equilibrium of the RSG negotiation according to the individual case. Although policy network is autonomous to some extent, the central government had the initiative not only in establishing the CCLGF but also in management of the CCLGF. The associations of the local governments never had the initiative. Therefore, the equilibrium of the RSG bargaining was decided by the central government, because of central power and overspending of the local government. After 1979 bargaining at the CCLGF continued, but stance of the central government became unilateral to the local government. Ironically the unilateral negotiation raised repeated new policies, in other words, wandering policies by the central government.

Administrative and Financial Reforms in Japan

Postal Privatization

Japan Postal Privatization is the most important reform in a series of the administrative and financial reform in the Koizumi Administration. Policy networks are composed of central government, Ministry of Finance, Ministry of Post and Telecommunications, Liberal Democratic Party, and Administrative Reform Meeting. The conflict on Japan Postal Privatization is dispute between the government of Liberal Democratic Party and opposition group consisting of part of Liberal Democratic Party and Democratic Party.

The interim report of the Administrative Reform Meeting, in August 1997, recommended privatization of the services by the Ministry of Post and Telecommunications, that is, Savings service and Post official insurance service are to be privatized except for Post service. However, the final report of the Administrative Reform Meeting resulted in changing nothing. Distribution of opinions for the Postal Privatization was negative not only in Democratic Party but also in Liberal Democratic Party, due to the reason that the privatization may lead to reduction of the Post service. However, the real reason is that the post office is a favorable voting constituency for many members of Congress.

The Koizumi Administration of the Liberal Democratic Party started in 2001. Prime Minister Koizumi emphasized that the Postal Privatization is the most important core in the administrative and financial reform. Although the postal privatization bills were approved in the House of Representatives in July 2005, the same bills were rejected in the Upper House in August 2005. The Prime Minister immediately made a decision of dissolution of the House of Representatives and appealed necessity of the postal privatization in the referendum. The result of the referendum in September 2005 was a land slide win of the Liberal Democratic Party and the postal privatization bills were approved in the special Diet session in October 2005 (The Nikkei, 2005).

I comment equilibrium on Japan Post privatization. The possibility to realize Japan Post privatization was very low due to the opposition group. Condition of the equilibrium on the privatization was determined by the strong leadership by Prime Minister, Koizumi, especially the result of the referendum in 2005. Without
speculative dissolution of the House of Representatives, this equilibrium would not be successfully obtained.

**Administrative Institution of National University in Japan**

The establishment of the independent administrative institution of national university is a series of the administrative and financial reform in Japan. Policy networks are composed of the central government, Ministry of Education, Liberal Democratic Party, Administrative Reform Meeting and National University during process of institutionalizing independent administrative institution, from 1997 to 2004.

In December 1997 the administrative reform meeting presented final report including comprehensive proposals. The report recommended that although the independent administrative institution of national universities may be an alternative, this plan must be discussed, with long view, to improve research and education, with respecting independency of the universities. Following the legislation of Basic Law for central government offices reform in June 1998, the Cabinet decided fundamental plan for reduction and efficiency of national administrative organizations in April 1999. The national universities held a university presidents meeting in June 1999, in which the presidents decided to start the meeting for discussion on the independent administrative institution. In the president meeting, September 1999, Arima, Minister of Education, announced a statement that the independent administrative institution cannot be applied directly to the existing national universities, therefore, special measure is necessary to the national universities. In May 2000 Liberal Democratic Party presented a recommendation on ‘National Universities from now on’, which coincides with the statement of the Minister of Education in September 1999.

Although Nakasone, Minister of Education, emphasized independent administrative institution can be applicable to national universities, the general meeting of the national universities confirmed against direct application in 2000. The Ministry of Education announced a guideline of administrative reform of national universities in June 2001, called Tohyama Plan. This guideline consists of three objectives; reorganization and integration of universities, introduction of management into national universities and introduction of competition through evaluation system by the third party (Research and Examination Meeting on independent Administrative Institution of National Universities, 2002). All the national universities reluctantly began to negotiate with neighboring universities for integration of universities. In the negotiation process, although the Ministry of Education never directly imposed integration plan to each universities, the Ministry of Education indirectly took administrative control using advice and rejection to the proposed plan by the university.

In April 2004 all the national universities newly started as independent administrative institution. However, management of the universities was under control of the Ministry of Education, Culture, Sports, Science and Technology. Though the objective of Tohyama Plan is to strengthen research and education, distributed budget was reduced annually. As a result of the budget reduction, the allocated amount of research budget decreased, the teaching staff supplement became difficult and the teaching staff became busy more than before in documentation of the accountability.
I comment equilibrium on independent administrative institution of the national universities. In the process of independent administrative institution, sharp conflict between Ministry of Education and national universities was not found. Rather in reorganization of the Ministries and Agencies of the government, secret strife between Ministries was remarkable focusing upon which Ministry become a victim of the reorganization. In the work of the reorganization amount of 50,000 persons was estimated to be reduced. Any Ministries and Agencies did not want to be reduced partly. However, amount of the teaching staffs of the national universities was approximately 50,000 persons. The main reason of establishing the independent administrative institution of the national universities is due to the weakest position of the Ministry of Education. Furthermore, another reason is the stance of the national universities against the Ministry of Education. The general meeting of the national university and the president meeting criticized this privatization plan, but they cannot resist thoroughly.

**Linkage of International Relations in the EU**

I consider linkage of the EU agenda in the interdependence of the EU and its Member States. The EU itself has been a linkage from its establishment. Sometimes, threat to the linkage strengthens the linkage again. The Protest in Hungary against the Communist regime was crashed by the Soviet Union (1956) was a motivation for establishment of the European Economic Community (EEC) and the Treaty of Rome (1957). This protest in Hungary strengthened the linkage of the Member States of the EEC. The accident of the Prague Spring in Czechoslovakia against the Soviet Union’s tank (1968) also raised feeling of threat in the European countries and strengthened the linkage of the Member States (EU, https://europa.eu/european-union/about-eu/history/1945-1959_en). The Prague Spring and economic decline in the 1970s motivated participation of the UK to the European Community (1973). This economic risk further proceeded overall reform in the 1980s led by Delors, the eighth President of the European Commission. On the other hand, disparity of cost allocation among Member States weakens linkage of the EU. The Greek financial crisis has been making the EU linkage vulnerable (The Guardian, 2016b). The excessive liability in Greece enforced burden to the Member States and the cost allocation raised question on existence of the EU. Such a disparity of the cost allocation led to the result of British referendum in 2016, the leaving from the EU (The Guardian, 2016a).

**Relationship between Policy Networks and Linkage**

Conflict of interest between Ministries within the same state may influence linkage between states. I investigate relationship between policy networks and linkage. Katzenstein pointed out that ‘today’s international political economy remains unintelligible without a systematic analysis of domestic structures (Katzenstein, 1978, pp. 3-22). In Policy networks, bureaucracy and central government are the most authoritative and influential actors. Prime Minister and Liberal Democratic Party of Japan discusses with bureaucracy and other policy networks in order to make the economic growth and make linkage with the U.S., the UK and the EU. In Japan, the coordination of domestic politics in policy networks affects diplomacy. The domestic politics and foreign policy are relevant. For example, in Japan-EU EPA (Economic Partnership Agreement) bargaining, various policy networks, ministries, and politicians have conflict in interest. Ministry of Foreign Affairs of Japan, Ministry of
Economy, Trade and Industry promoted Japan-EU EPA because EPA makes the economic growth and linkage between Japan and the EU. The industrial product association, Keidanren, promoted this EPA. However, the agriculture association, Japan Agricultural Co-operative (JA), opposed Japan-EU EPA due to the same reason of opposition to the Trans-Pacific Strategic Economic Partnership Agreement (TPP). The agricultural associations feel risky for damage of agricultural product caused by the tariff reduction. They predicted that when the EU requires improvement of access to market on agricultural products, they may lose existing interest. Ministry of Agriculture and Forestry and Fisheries Ministry of Land, Infrastructure, Transport and Tourism promoted Japan-EU EPA as the member of the government, by showing understanding of opposing opinions of the agriculture association with saying ‘We will guard what should be guarded’. Furthermore, from now on, Japan-US FTA and Japan-UK EPA should also be proceeded.

Japan-UK Foreign and Defence Ministerial Meeting is also bilateral linkage. In the meeting the ministers recognized shared values of democracy, the rules of law, human rights and open and transparent market. The ministers confirmed that Japan and UK would cooperate to tackle global security changes (Foreign Ministry of Japan, 2016). In Japan-EU EPA, the opinion concerning tariff reduction of agricultural products is influenced to the ministry. However, as the foreign and defence policy is monolithic, the Foreign Ministry of Japan and Ministry of Defence promoted the Japan-UK Foreign and Defence Ministerial Meeting.

Conclusion

(1) Members of policy network in domestic politics are not equal partnership, because almost agendas are decided by the initiative of the government and bureaucracy. However, what is important is that the equilibrium cannot be reached by only unilateral decision of the government even in the asymmetric power balance. If unilateral decision of the government settles the dispute, there still remains a question why such a lot of time has been consumed for procedures and discussion in the RSG bargaining in the UK, privatization of Japan Post and independent administrative institution of national universities. What is of most importance is the process in which the members of policy network finally ‘persuaded’ after discussion of the dispute with enough time.

(2) The government sometimes requires unilateral control. However, when the government takes unilateral control or bulls the policy, it is not cost-free. The unilateral RSG policy, especially after 1979, was reacted as overspending by the local authorities of the UK. The Conservative Administration was obliged to fall in a chain of unilateral policies.

(3) Confronted national crisis, that is, economic decline and loan of the government from the IMF, the local associations of the UK were obliged to accept guideline of the government in the RSG negotiation.
(4) Sometimes, the threat to the linkage in the EU strengthens the linkage again, as seen in the Hungary Protest and the Prague Spring. On the other hand, disparity of cost allocation among Member States weakens linkage of the EU as seen in the Greek financial crisis.

(5) Conflict of interest groups within the same state may influence linkage between states. The Japan-EU EPA is such case that conflict of domestic interest groups influenced the linkage between Japan and foreign countries, because of damage of agricultural products due to tariff reduction. However, as the foreign and defence policy is monolithic, the Foreign Ministry of Japan and Ministry of Defence promoted the Japan-UK Foreign and Defence Ministerial Meeting.
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