

Pertanika Journal of

SOCIAL SCIENCES & HUMANITIES

VOL. 29 (1) MAR. 2021



A scientific journal published by Universiti Putra Malaysia Press



PERTANIKA JOURNAL OF SOCIAL SCIENCES & HUMANITIES

About the Journal

Overview

Pertanika Journal of Social Sciences & Humanities is the official journal of Universiti Putra Malaysia. It is an open-access online scientific journal. It publishes original scientific outputs. It neither accepts nor commissions third party content.

Recognised internationally as the leading peer-reviewed interdisciplinary journal devoted to the publication of original papers, it serves as a forum for practical approaches to improve quality in issues pertaining to social and behavioural sciences as well as the humanities.

Pertanika Journal of Social Science & Humanities is a **quarterly** (*March, June, September, and December*) periodical that considers for publication original articles as per its scope. The journal publishes in **English** as well as in **Bahasa Malaysia** and it is open for submission by authors from all over the world.

The journal is available world-wide.

Aims and scope

Pertanika Journal of Social Sciences & Humanities aims to develop as a pioneer journal for the social sciences with a focus on emerging issues pertaining to the social and behavioural sciences as well as the humanities. Areas relevant to the scope of the journal include Social Sciences—accounting, anthropology, archaeology and history, architecture and habitat, consumer and family economics, economics, education, finance, geography, law, management studies, media and communication studies, political sciences and public policy, population studies, psychology, sociology, technology management, and tourism; Humanities—arts and culture, dance, historical and civilisation studies, language and linguistics, literature, music, philosophy, religious studies, and sports.

History

Pertanika Journal of Social Sciences & Humanities was founded in 1993 and focuses on research in social and behavioural sciences as well as the humanities and its related fields.

Vision

To publish journal of international repute.

Mission

Our goal is to bring the highest quality research to the widest possible audience.

Quality

We aim for excellence, sustained by a responsible and professional approach to journal publishing. Submissions can expect to receive a decision within 120 days. The elapsed time from submission to publication for the articles averages 180 days. We are working towards decreasing the processing time with the help of our editors and the reviewers.

Abstracting and indexing of Pertanika

Pertanika Journal of Social Sciences & Humanities is now over 27 years old; this accumulated knowledge and experience has resulted the journal being abstracted and indexed in SCOPUS (Elsevier), Clarivate Web of Science (ESCI), EBSCO, DOAJ, Agricola, ASEAN CITATION INDEX, ISC, Microsoft Academic, Google Scholar, and MyCite.



Citing journal articles

The abbreviation for Pertanika Journal of Social Sciences & Humanities is Pertanika J. Soc. Sci. & Hum.

Publication policy

Pertanika policy prohibits an author from submitting the same manuscript for concurrent consideration by two or more publications. It prohibits as well publication of any manuscript that has already been published either in whole or substantial part elsewhere. It also does not permit publication of manuscript that has been published in full in proceedings.

Code of Ethics

The *Pertanika* journals and Universiti Putra Malaysia take seriously the responsibility of all of its journal publications to reflect the highest publication ethics. Thus, all journals and journal editors are expected to abide by the journal's codes of ethics. Refer to *Pertanika*'s **Code of Ethics** for full details, or visit the journal's web link at: http://www.pertanika.upm.edu.my/code_of_ethics.php

Originality

The author must ensure that when a manuscript is submitted to *Pertanika*, the manuscript must be an original work. The author should check the manuscript for any possible plagiarism using any program such as Turn-It-In or any other software before submitting the manuscripts to the *Pertanika* Editorial Office, Journal Division.

All submitted manuscripts must be in the journal's acceptable **similarity index range**: ≤ 20% − PASS; > 20% − REJECT.

International Standard Serial Number (ISSN)

An ISSN is an 8-digit code used to identify periodicals such as journals of all kinds and on all media–print and electronic.

Pertanika Journal of Social Sciences and Humanities: e-ISSN 2231-8534 (Online).

Lag time

A decision on acceptance or rejection of a manuscript is reached in 120 days (average). The elapsed time from submission to publication for the articles averages 180 days.

Authorship

Authors are not permitted to add or remove any names from the authorship provided at the time of initial submission without the consent of the journal's Chief Executive Editor.

Manuscript preparation

Most scientific papers are prepared according to a format called IMRAD. The term represents the first letters of the words *Introduction, Materials and Methods, Results, And Discussion*. IMRAD is simply a more 'defined' version of the "IBC" (*Introduction, Body, Conclusion*) format used for all academic writing. IMRAD indicates a pattern or format rather than a complete list of headings or components of research papers; the missing parts of a paper are: *Title, Authors, Keywords, Abstract, Conclusions, References,* and *Acknowledgement*. Additionally, some papers include *Appendices*. For manuscripts in **Bahasa Malaysia**, the title, abstract and keywords should be written in both **English** and **Bahasa Malaysia**.



The Introduction explains the scope and objective of the study in the light of current knowledge on the subject; the Materials and Methods describes how the study was conducted; the Results section reports what was found in the study; and the Discussion section explains meaning and significance of the results and provides suggestions for future directions of research. The manuscript must be prepared according to the journal's Instruction to Authors (http://www.pertanika.upm.edu.my/Resources/regular_issues/Regular_Issues Instructions to Authors.pdf).

Editorial process

Authors who complete any submission are notified with an acknowledgement containing a manuscript ID on receipt of a manuscript, and upon the editorial decision regarding publication.

Pertanika follows a double-blind peer -review process. Manuscripts deemed suitable for publication are sent to reviewers. Authors are encouraged to suggest names of at least 3 potential reviewers at the time of submission of their manuscripts to Pertanika, but the editors will make the final selection and are not, however, bound by these suggestions.

Notification of the editorial decision is usually provided within 120 days from the receipt of manuscript. Publication of solicited manuscripts is not guaranteed. In most cases, manuscripts are accepted conditionally, pending an author's revision of the material.

As articles are double-blind reviewed, material that may identify authorship of the paper should be placed only on page 2 as described in the first-4-page format in Pertanika's Instruction to Authors (http://www.pertanika.upm.edu.my/Resources/regular_issues/Regular_Issues_Instructions_to_Authors.pdf).

The journal's peer review

In the peer review process, 2 or 3 referees independently evaluate the scientific quality of the submitted manuscripts. At least 2 referee reports are required to help make a decision.

Peer reviewers are experts chosen by journal editors to provide written assessment of the **strengths** and **weaknesses** of written research, with the aim of improving the reporting of research and identifying the most appropriate and highest quality material for the journal.

Operating and review process

What happens to a manuscript once it is submitted to *Pertanika*? Typically, there are 7 steps to the editorial review process:

- The journal's Chief Executive Editor and the Editor-in-Chief examine the paper to determine
 whether it is relevance to journal needs in terms of novelty, impact, design, procedure,
 language as well as presentation and allow it to proceed to the reviewing process. If not
 appropriate, the manuscript is rejected outright and the author is informed.
- 2. The Chief Executive Editor sends the article-identifying information having been removed, to 2 to 3 reviewers. They are specialists in the subject matter of the article. The Chief Executive Editor requests that they complete the review within 3 weeks.
 - Comments to authors are about the appropriateness and adequacy of the theoretical or conceptual framework, literature review, method, results and discussion, and conclusions. Reviewers often include suggestions for strengthening of the manuscript. Comments to the editor are in the nature of the significance of the work and its potential contribution to the research field.
- The Editor-in-Chief examines the review reports and decides whether to accept or reject
 the manuscript, invite the authors to revise and resubmit the manuscript, or seek additional
 review reports. In rare instances, the manuscript is accepted with almost no revision. Almost



without exception, reviewers' comments (to the authors) are forwarded to the authors. If a revision is indicated, the editor provides guidelines to the authors for attending to the reviewers' suggestions and perhaps additional advice about revising the manuscript.

- 4. The authors decide whether and how to address the reviewers' comments and criticisms and the editor's concerns. The authors return a revised version of the paper to the Chief Executive Editor along with specific information describing how they have addressed the concerns of the reviewers and the editor, usually in a tabular form. The authors may also submit a rebuttal if there is a need especially when the authors disagree with certain comments provided by reviewers.
- 5. The Chief Executive Editor sends the revised manuscript out for re-review. Typically, at least 1 of the original reviewers will be asked to examine the article.
- 6. When the reviewers have completed their work, the Editor-in-Chief examines their comments and decides whether the manuscript is ready to be published, needs another round of revisions, or should be rejected. If the decision is to accept, the Chief Executive Editor is notified.
- 7. The Chief Executive Editor reserves the final right to accept or reject any material for publication, if the processing of a particular manuscript is deemed not to be in compliance with the S.O.P. of *Pertanika*. An acceptance notification is sent to all the authors.
- 9. The editorial office ensures that the manuscript adheres to the correct style (in-text citations, the reference list, and tables are typical areas of concern, clarity, and grammar). The authors are asked to respond to any minor queries by the editorial office. Following these corrections, page proofs are mailed to the corresponding authors for their final approval. At this point, only essential changes are accepted. Finally, the manuscript appears in the pages of the journal and is posted on-line.



Pertanika Journal of

SOCIAL SCIENCES & HUMANITIES

Vol. 29 (1) Mar. 2021



A scientific journal published by Universiti Putra Malaysia Press





Pertanika Journal of Social Sciences & Humanities

AN INTERNATIONAL PEER-REVIEWED JOURNAL

EDITOR-IN-CHIEF

Wong Su Luan, Malaysia

Information and Communication Technology in Education

CHIEF EXECUTIVE EDITOR

Abu Bakar Salleh

Biotechnology and Biomolecular Science

UNIVERSITY PUBLICATIONS COMMITTEE

Zulkifli Idrus, Chair

EDITORIAL STAFF

Journal Officers:

Kanagamalar Silvarajoo, ScholarOne Siti Zuhaila Abd Wahid, ScholarOne Tee Syin-Ying, ScholarOne Ummi Fairuz Hanapi, ScholarOne

Editorial Assistants:

Ku Ida Mastura Ku Baharom Siti Juridah Mat Arip Zulinaardawati Kamarudin

PRODUCTION STAFF

Pre-press Officers:

Nur Farrah Dila Ismail Wong Lih Jiun

WEBMASTER

IT Officer:

Munir Hayat Md Bahrin

EDITORIAL OFFICE

JOURNAL DIVISION

Office of the Deputy Vice Chancellor (R&I) 1st Floor, IDEA Tower II UPM-MTDC Technology Centre Universiti Putra Malaysia 43400 Serdang, Selangor Malaysia.

General Enquiry

Tel: +603 9769 1622 | 1616

executive_editor.pertanika@upm.edu.my URL: www.journals-jd.upm.edu.my

PUBLISHER

UPM PRESS Universiti Putra Malaysia

43400 UPM, Serdang, Selangor, Malaysia.

Tel: +603 9769 8855 | 8854 Fax: +603 9679 6172

E-mail: penerbit@upm.edu.mv URL: http://penerbit.upm.edu.my







EDITORIAL BOARD 2020-2023

Ahasanul Haque

Marketing, International Business International Islamic University Malaysia, Malaysia.

Ainin Sulaiman

Technology Adoption, Technology Management, Digital Divide, Information, Computer and Communication Technology (ICT), Social Network Sites University of Malaya, Malaysia.

Azlinda Azman

Social Work Education and Practice, Psychosocial Assessment, HIV and AIDS, Clinical Social Work Universiti Sains Malaysia, Malaysia

Haslinda Abdullah

Social and Developmental Psychology Universiti Putra Malaysia, Malaysia

Hazita Azman

Applied Linguistics and Literacy Universiti Kebangsaan Malaysia, Malaysia.

James Chin

Southeast Asian Politics, Flectoral Systems and Competitions
University of Tasmania, Australia.

James R. Stock

Management Studies, Marketing, Logistics and Supply Chain Management, Quantitative Method University of South Florida, USA.

Jusang Bolong

Human Communication, Computer-Mediated Communication Universiti Putra Malaysia, Malaysia

Mansor H. Ibrahim

Monetary Economics International Centre for Education in Islamic Finance (INCEIF), Malaysia.

Mohamad Fazli Sabri

Consumer Finance, Consumer Behavior Universiti Putra Malaysia, Malaysia.

Mohd Roslan Mohd Nor

Inter-Religious Relation, Islamic Coping Strategies, Islamic History and Civilisation University of Malaya, Malaysia.

Muhammad Shahbaz

Applied Economics, Environmental Beijing Institute of Technology, China.

Muzafar Shah Habibullah

Economics, Monetary Economics, Banking, Macroeconomics Universiti Putra Malaysia, Malaysia.

Romeo B. Lee

Demography, Global health De la Salle University, Philippines

Steven Eric Krauss @ Abd.

Lateef

Youth development, youth participation, qualitative research methods, human resource development. UPM, Malaysia.

Tey Nai Peng

Social Sciences, Population and Demographic Studies
University of Malaya, Malaysia.

Timothy Teo

ICT in Education, Educational Psychology Murdoch University, Australia.

Ting Su Hie

Sociolinguistics, Academic writing, Strategic competence, Applied linguistics Universiti Malaysia Sarawak, Malaysia.

Victor T. King

Anthropology / Southeast Asian Studies White Rose East Asia Centre, University of Leeds, UK.

INTERNATIONAL ADVISORY BOARD 2018-2021

Barbara Wejnert

Political Sociologist: Gender Studies, Macro Political and Social Changes University at Buffalo, SUNY, USA.

Carolyn Graham

Music, Jazz Chants Harvard University, USA.

Faith Trent AM FACE

Education: Curriculum development Flinders University, Adelaide, Australia.

Gary N. Mclean

Community and Social Development, International Human Resource Development, Organizational Development
Executive Director, International Programs, EAHR, Teas A&M University, USA.

Graham Thurgood

English Language Studies, General Linguistics, Discourse and Syntax California State University, Chico, USA.

Handoyo Puji Widodo

English Language Teaching, ESP, Language Curriculum-Materials Design and Development, and Language Methodology English Language Center, Shantou University, China

John R. Schermerhorn Jr.

Management Studies, Management and Organizational Behaviour, International Business Ohio University, USA.

Kent Matthews

Economics, Banking and Finance, Modelling and Forecasting the Macro Cardiff Business School, UK.

Lehman B. Fletcher

Economics, Agricultural Development, Policy Analysis and Planning Iowa State University, USA

Mohamed Ariff

Economics, Finance, Capital Market, Islamic Finance, FIscal Policy Sunway University, Malaysia

Pal Ahluwalia

African Studies, Social and Cultural Theory, Post-colonial Theory Pro Vice-Chancellor (Research and Innovation) University of Portsmouth, UK.

Phillip Jones

Architectural Science, Sustainability in the Built Environment Welsh School of Architecture, Cardiff University, UK

Rance P. L. Lee

The Chinese University of Hong Kong, China.

Royal D. Colle

Cornell University, USA.

Shonda Buchanan

American Literature Interim Chair Hampton University, USA.

Vijay K. Bhatia

Education: Genre Analysis and Professional Communication City University of Hong Kong, China.

ABSTRACTING AND INDEXING OF PERTANIKA JOURNALS

The journal is indexed in SCOPUS (Elsevier), Clarivate-Emerging Sources Citation Index (ESCI), BIOSIS, National Agricultural Science (NAL), Google Scholar, MyCite, ISC. In addition, Pertanika JSSH is recipient of "CREAM" Award conferred by Ministry of Higher Education (MoHE), Malaysia.

The publisher of Pertanika will not be responsible for the statements made by the authors in any articles published in the journal. Under no circumstances will the publisher of this publication be liable for any loss or damage caused by your reliance on the advice, opinion or information obtained either explicitly or implied through the contents of this publication.

All rights of reproduction are reserved in respect of all papers, articles, littled in Pertanika provides free access to the full text of research articles for anyone, web-wide. It does not charge either its authors or author-institution for reference judging articles or user-institution for accessing incoming articles.

No material published in Pertanika may be reproduced or stored on microfilm or in electronic, optical or magnetic form without the written authorization of the Publisher.

Copyright © 2018-19 Universiti Putra Malaysia Press. All Rights Reserved



Pertanika Journal of Social Sciences & Humanities Vol. 29 (1) Mar. 2021

Contents

Foreword Abu Bakar Salleh	i
Language and Linguistics	
Self-efficacy and Critical Thinking of Novice and Experienced EFL Teachers: A Sequential Mixed Methods Study Mojgan Rashtchi	1
Urban English Learners' Perceptions Towards the Influence of Second Language Identity on Employment Opportunities in Malaysia Minder Kaur Parthaman Singh, Jo Yee Liew, and Ching Sin Siau	27
'Let's take a look': An Investigation of Directives as Negotiating Interpersonal Meaning in Engineering Lectures Heri Kuswoyo, Eva Tuckyta Sari Sujatna, Lia Maulia Indrayani, Akhyar Rido and Doris Macdonald	47
The Morphosyntactic Abilities of Bilingual Malay Preschool Children Based on the Malay and English Sentence Repetition Tasks Zur Hanis Hamim, Rogayah Abdul Razak and Badrulzaman Abdul Hamid	71
Education	
Activity-Based Teaching of Quran for Deaf Students in the Special Education Integration Program Izuli Dzulkifli, Asmawati Suhid, Fathiyah Mohd Fakhruddin and Nor Aniza Ahmad	91
Workplace Skills and Teacher Competency from Culinary Arts Students' Perspectives Hanis Mohamed, Mohd Hazwan Mohd Puad, Abdullah Mat Rashid	107
and Rahimah Jamaluddin	
Applying Fractional Strategies on Number Line among Primary School Students	127
Teoh Sian Hoon, Geethanjali Narayanan and Parmjit Singh	
Factors Influencing High Academic Achievement of Stateless Migrant Children in Tak Province, Thailand Peson Chobphon	141

Law	
Disclosure of Nanomaterials under Nanotechnology Product Inventory, Voluntary Certification, and Voluntary Labelling Nor Akhmal Hasmin, Zinatul Ashiqin Zainol, Rahmah Ismail and Juan Matmin	157
Standard Operating Procedure (SOP) for Arrest and Detention of Autists by Royal Malaysia Police (PDRM) Zuliza Mohd Kusrin, Wan Nur A'ina Mardhiah Wan Rushdan and Mohd Al Adib Samuri	175
Ratification of International Labour Convention and the Reformation of Trade Union Recognition Process in Malaysia Siti Suraya Abd Razak and Nik Ahmad Kamal Nik Mahmod	193
Online Gambling in Malaysia: A Legal Analysis Guru Dhillon, Lee Sook Ling, Maran Nandan and Jason Tze- Xi Nathan	207
Psychology	
An Assessment of Internet Addiction among Pre-University Students You Huay Woon, Nurulhaidah Daud and Nor Farhah Razak	221
Effects of Acceptance and Commitment Group Therapy on Iranian Couples' Marital Satisfaction in Malaysia Nastaranalsadat Hosseini, Poh Li Lau, Diana Lea Baranovich and Siaw Leng Chan	229
Psychometric Evaluation of the Malay Version of the Multidimensional Beck Youth Inventories-2 (BYI-2 Malay): Measuring Self-Concept, Anxiety, Depression, Anger, and Disruptive Behaviour among Adolescents in Sheltered Homes Wai-Eng Ding, Kit-Aun Tan, Jia-Yuin Fam, Firdaus Mukhtar, Munn-Sann Lye, Hamidin Awang and Khadeeja Munawar	249
Prevalence and Associated Factors of Depression and Anxiety in Adolescents Residing in Malay-operated Non-government-run Sheltered Homes in Selangor, Malaysia Firdaus Mukhtar, Wai-Eng Ding, Munn Sann Lye, Hamidin Awang and Khadeeja Munawar	267

Sociology

Review Article

Conceptualisation of Financial Exploitation of Older People: A Review Nurfadhilah Che Amani, Rojanah Kahar, Rahimah Ibrahim and Muslihah Hasbullah 291

Filipino Families in Slum Communities and their Tales of Survival in Times of Pandemic: An Exploration of Wellness Dimensions Jem Cloyd M. Tanucan and Marlon T. Bojos	311
Participation of Individuals with Disabilities in Political Activities: Voices from Jordan	329
Zahraa Jamel Rahahleh, Mizyed AbdelFattah Hyassat, AbdelLatif Khalaf Alramamneh, Obaid Abdalkarim Sabayleh, Ra'ad AbdEl Kareem Al-Awamleh and Azeez Ahmad Alrahamneh	
Socio-Contextual Factors as Determinants of Psychological Wellbeing of Selected Aged in South Africa: A Moderating Approach Ali Arazeem Abdullahi, Anathi Ntozini and Rotimi Oguntayo	349
Consumer and Family Economics	
Consumer Perceived Value of Organic Vegetables: Does Ethnic Group Matter? Ong Choon Hee and Tan Koh Lin	367
Consumer Adoption of Alipay in Malaysia: The Mediation Effect of Perceived Ease of Use and Perceived Usefulness Tze Kiat Lui, Mohd Haniff Zainuldin, Kwang-Jing Yii, Lin-Sea Lau and You-How Go	389
Which Consumers are Least Likely to Have a Balanced Diet in Japan? Akira Ishida and Emiko Ishida	419
Literature	
Transnational Identity in Unaccustomed Earth: A Study of Jhumpa Lahiri's and Chitra Banerjee Divakaruni's Short Fictions Aisyah Hasnan and Mohamad Rashidi Mohd Pakri	439
Decolonization, Neo-Apartheid and Xenophobic Violence in Phaswane Mpe's Welcome to Our Hillbrow Mustafa Mohammed Abdullah, Hardev Kaur Jujar Singh, Omar Mohammed Abdullah and Mohammed Fleih Hasan	457
Joel's Self-Redemption in the Unnatural Narrative Structure of Charlie Kaufman's Eternal Sunshine of the Spotless Mind (2004) Nur Aainaa Amira Mohd Said, Arbaayah Ali Termizi, and Mohammad Ewan Awang	471
Media and Communication Studies	
Gender Stereotyping in TV Drama in Pakistan: A Longitudinal Study <i>Qurat-ul-Ain Malik and Bushra Hameed-ur-Rahman</i>	489

Malaysian Youth eHealth Literacy via Healthcare Websites: A Study on Factors Forming Sexual and Reproductive Health Information-seeking Intention	509
Andrew Jason George and Moniza Waheed	
Authenticity in Reality Television—The Case of 'Sing! China' Yuting Xie, Megat Al Imran Yasin, Syed Agil Shekh Alsagoff and Lay Hoon Ang	527
Political Sciences and Public Policy	
Assessment of Political Participation and Democratic Governance in Nigeria's Fourth Republic Muhammad Fuad Othman and Victor Vincent Okpe	547
The Nigerian State and International Human Rights Laws in the Fourth Republic Solomon I. Ifejika	565
The Arab Spring and the Egypt-United States of America's Relations in Post-Revolution Era Hossein Taghdar, Zaid Ahmad and Abdolreza Alami	583
Economics	
Determinants of Financial Liberalization in SAARC Region Syed Danial Hashmi, Iram Naz, Farrukh Mehmood and Mattiullah Farooqi	601
Economic Efficiency of Stingless Bee Farms in Peninsular Malaysia Estimated by Data Envelopment Analysis (DEA) Norhidayah Che Soh, Nur Syahirah Samsuddin and Mohd Mansor Ismail	617
Architecture and Habitat	
Review Article A thematic Review on Industrialised Building System (IBS) Publications from 2015-2019: Analysis of Patterns and Trends for Future Studies of IBS in Malaysia Mohd Zairul	635
Arts and Culture	
Alienation Effect in Kee Thuan Chye's Wayang Kulit Adaptations in 1984 Here and Now and The Big Purge Arbaayah Ali Termizi, Hoo Poh Ying, Nur Aainaa Amira Mohd Said and Faris Abdullah Sani	653

Management Studies	
Leveraging Intellectual Capital Dimensions for Promoting Learning Organization in a Rural Development Agency Amiruzie Ramli and Roziah Mohd Rasdi	669
Religious Studies	
Interpretative Phenomenological Analysis of the Experiences of Kapampangan Flagellants – Kristos Nestor Lambino Sibug, Philip Joseph David Sarmiento, Cristina Canlas Samia, Paolo Tayag Lumanlan and Benita Malonzo Bonus	689
Technology Management	
Design and Application of a Legal Game to Promote Factual Investigation Knowledge for Undergraduate Law Students Chainarong Luengvilai, Noppon Wongta and Pitipong Yodmongkol	707
Tourism	
Review Article Understanding the Importance of Stakeholder Management in Achieving Sustainable Ecotourism	731

Ahmad Salman, Mastura Jaafar and Diana Mohamad



Foreword

Welcome to the First Issue of 2021 for the Pertanika Journal of Social Sciences and Humanities (PJSSH)!

PJSSH is an open-access journal for studies in Social Sciences and Humanities published by Universiti Putra Malaysia Press. It is independently owned and managed by the university for the benefit of the world-wide science community.

This issue contains 40 articles; 38 regular articles and 2 review articles. The authors of these articles come from different countries namely Indonesia, Iran, Japan, Jordan, Malaysia, Nigeria, Pakistan, Philippines, and Thailand.

A regular article entitled "Standard Operating Procedure (SOP) for Arrest and Detention of Autists by Police" sought to understand the legal rights of autists for a specific SOP applicable for their arrest and detention. This study shows that there are differences between the specific SOP for autists and standard SOP for typical suspects. The detailed information of this article is presented on page 175.

Mizyed AbdelFattah Hyassat and colleagues dissected the barriers to and the depth of political engagement of individuals with disabilities living in Jordan, in their article, entitled "Participation of Individuals with Disabilities in Political Activities: Voices from Jordan". The results revealed that the most prevalent obstacles that people with disabilities encountered regarding participating in political activities were poor communication, their own negative attitudes towards politics and politicians, and inaccessible physical environments. It is a very well research on interdisciplinary studies: a blend of political, sociological and psychological academic domains. Further details of the study can be found on page 329.

A selected article from the scope of management studies, entitled "Leveraging Intellectual Capital Dimensions: Focus on a Rural Development Agency as a Learning Organization" examined three intellectual dimensions of intellectual capital (human, structural, and relational) in a rural development organization and their contributions to a learning organization. The study shows that the structural capital being the most significant predictor of the learning organization. The organization's long establishment is reflected in its strong structural capital, with intact governance, function and strategies that help workers achieve maximum organizational learning. Details of this study are available on page 669

We anticipate that you will find the evidence presented in this issue to be intriguing, thought-provoking and useful in reaching new milestones in your own research. Please recommend the journal to your colleagues and students to make this endeavour meaningful.

All the papers published in this edition underwent Pertanika's stringent peer-review process involving a minimum of two reviewers comprising internal as well as external referees. This was to ensure that the quality of the papers justified the high ranking of the journal, which is renowned as a heavily-cited journal not only by authors and researchers in Malaysia but by those in other countries around the world as well.

We would also like to express our gratitude to all the contributors, namely the authors, reviewers, Editor-in-Chief and Editorial Board Members of PJSSH, who have made this issue possible. PJSSH is currently accepting manuscripts for upcoming issues based on original qualitative or quantitative research that opens new areas of inquiry and investigation.

Chief Executive Editor
Dato' Dr. Abu Bakar Salleh
executive_editor.pertanika@upm.edu.my



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Self-efficacy and Critical Thinking of Novice and Experienced EFL Teachers: A Sequential Mixed Methods Study

Mojgan Rashtchi

TEFL Department, Faculty of Foreign Languages, North Tehran Branch, Islamic Azad University, Tehran, 1651153311, Iran

ABSTRACT

Self-efficacy and critical thinking (CT) contribute to teachers' successful performance in their profession and can ultimately develop the education system of society. The researcher designed a sequential explanatory mixed methods study to follow three objectives in exploring practical opportunities for EFL teacher development. First, it examined the relationship between SE and CT of novice and experienced teachers. Next, it investigated whether the two groups differed in the two variables. Third, it explored whether an instruction on CT skills could promote teachers' thinking skills and self-efficacy. The results of Pearson's r showed a positive correlation between the two dispositions. However, no statistically significant differences were found between the CT and self-efficacy of the groups. In the second phase, a quantitative study with a static group comparison design was followed by a qualitative study that investigated participants' improvement after receiving training on thinking skills. The results of the Multivariate Analysis of Variance

ARTICLE INFO

Article history:
Received: 29 April 2020
Accepted: 6 August 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.01

E-mail address: mojgan.rashtchi@gmail.com (MANOVA) indicated statistically significant differences between the groups' self-efficacy and CT. At the final step, volunteers from the experimental group were interviewed to clarify the results obtained from the quantitative phase. The study has implications for teachers and teacher trainers.

Keywords: Critical thinking, EFL teachers, self-efficacy, thinking strategies

INTRODUCTION

Any educational system owes its success mostly to the productive role teachers play in the process of teaching and learning. Teachers' lack of motivation, efficiency, and self-reflection can lead to the system's failure and may affect society as teachers are responsible for the education of future citizens (Lipman, 2003). Thus, internal processes that shape teachers' behavior among which stands the sense of selfefficacy is worthy of attention. Selfefficacy reflects the extent of one's belief in achieving a goal and affects the way a person thinks, acts, and encourages himself/herself (Bandura, 1977). In education, self-efficacy refers to one of the motivation expectancy components and describes the extent to which an individual believes s/he can accomplish a particular task (Pintrich & De Groot, 1990), or is prepared to do a specific action (Bandura, 1995; Zimmerman, 2000). Thus, self-efficacy is the basis of "beliefs in one's capabilities to organize and execute the courses of action required to produce given attainments" (Bandura, 1997, p. 3).

On the other hand, self-efficacy and critical thinking (CT) involves higher-order thinking skills and is the supreme by-product of an educational system. Researchers agree that education can benefit from the inclusion of CT in its curricula, which would be possible only when teachers equipped with CT ability do their best to cultivate learners' thinking skills (Lipman, 2003; Synder & Synder, 2008). As a social and emotional ability, CT consists of seeking the truth, being open-minded,

systematic, analytic, mature, inquisitive, and self-confident. These characteristics, if possessed, can portray most of the features an ideal teacher should have. Therefore, the presence of a relationship between CT with many of the attributes of successful teachers is predictable. However, since CT is not a natural disposition possessed by all individuals and is a learnable ability (Schafersman, 1991), the existence of a causal relationship indicating that instruction on the improvement of thinking skills can affect teacher characteristics is thoughtprovoking. The finding that teaching CT skills can improve teachers' self-efficacy might be illuminating for educators seeking to promote the quality of education. Such a conclusion may draw educators and teacher trainers' attention to consider CT as one of the components of teachers' knowledge base (see Koehler & Mishra, 2009). It may encourage thinking skills in pre-service and in-service teacher training courses.

Accordingly, the present study followed three purposes. First, it aimed to examine whether there was a relationship between self-efficacy, as the characteristic teachers need to act successfully in their career, and CT of novice and experienced teachers. Considering years of expertise was vital since it could reveal whether years of involvement in the teaching profession per se could affect teachers' sense of self-efficacy and thinking skills. Therefore, as a second objective, it investigated the difference between the self-efficacy and CT of the groups. The findings would underscore the role of teacher training courses regardless

of the years of teaching experience. Third, it explored whether practicing thinking skills could have an impact on the two variables under scrutiny. The finding could be illuminating for policymakers regarding including thinking skills practices in teacher training courses.

A close look into the definitions of self-efficacy and CT reveals that both involve reflection. That is to say, selfefficacy enables teachers to self-reflect; and allows individuals to "symbolize, learn from others, plan alternative strategies, regulate one's own behavior, and engage in self-reflection" (Pajares, 1996, p. 543). Additionally, as Dewey (1933, pp. 56-57) argued, reflective teaching requires "establishing conditions that will arouse and guide curiosity; of setting up the connections in things experienced that will on later occasions promote the flow of suggestions, create problems and purposes that will favor consecutiveness in the succession of ideas" (italics in original). Thus, the two concepts can lead to the professional development of teachers. However, although several researchers have advocated the direct teaching of thinking skills (Lipman, 1984; Paul, 1995) self-efficacy, as Pajares (1996) argued, is the predictor of human behavior which, in turn, is the outcome of the interaction of different factors and thus not teachable.

The domain of language teaching (EFL/ESL) has also witnessed a focus on the concept of reflective teaching since the 1990s (Kumaravadivelu, 2003). Language teachers are supposed to have a critical

view toward their profession and reason about the way they "conceptualize, construct explanations for, and respond to the social interactions and shared meanings that exist within and among teachers, students, parents, and administrators, both inside and outside the classroom" (Johnson, 1999, p. 1). Reflective language teachers are expected to evaluate themselves and their actions in the classroom and build their skills over time. These responsibilities require language teachers to be problem-solvers and decisionmakers and thus deal with CT issues. The idea that by practicing thinking skills EFL teachers can enhance their self-efficacy establishes the significance of the present study.

LITERATURE REVIEW

Self-efficacy

The theoretical framework of self-efficacy uncovers its origins in Bandura's (1977) assertion that what people think, believe, and feel about themselves can affect their behavior in social settings. Self-efficacy lets individuals evaluate their ability to do tasks at a specific time and obtain the desired outcome as a result of one's effort (Bandura, 1986; Pajares, 1996). Thus, teachers' self-efficacy could be the reason for the significant differences in learners' performances of the same knowledge and skill (Bandura, 1986) or the difference in student's achievements (Bouffard-Bouchard, 1990).

Furthermore, as Bandura (1986, 1997) puts it, teachers with a higher sense of self-efficacy own more elevated levels of

self-confidence and improve the teaching and learning environment. Success in implementing classroom practices relies on teachers' view of their capability to deal with the challenges they encounter in their classes. Research indicates that teachers with high levels of self-efficacy are more flexible, have a higher willingness to change their teaching methods, and show more interest in their profession (e.g., Allinder, 1994; Guskey, 1988; Tschannen-Moran & Hoy, 2001).

Many studies have focused on teacher self-efficacy and have shown its relationship with different aspects of the teaching profession. For example, Schwab (2019) found a positive correlation between teachers' general self-efficacy and studentspecific self-efficacy. The studies by Marashi and Azizi-Nassab (2018), and Rashtchi and Jabalameli (2012) revealed that the level of language proficiency and using different language teaching strategies increased with high degrees of self-efficacy. Swanson's (2012) study indicated that self-efficacy negatively correlated with professional attrition. Likewise, Chacón's (2005) survey of 100 EFL instructors' sense of efficacy in Venezuelan middle schools showed a correlation between teachers' perception of their self-efficacy and their self-reports regarding their knowledge of culture and the four English language skills. The study by Rodríguez et al. (2009) underscored the role of self-efficacy in motivation and professional involvement of Spanish university teachers. Although these studies explored the relationship between selfefficacy and different variables, one factor was common among them: the constructive role of self-efficacy in teachers' professional performance. The present study was one step beyond correlational studies and intended to explore whether training in CT could affect teachers' self-efficacy.

Critical Thinking

The origins of CT can be traced back to 2000 years ago when Socrates used cooperative dialogues to answer his students' questions, and thus cultivate their thinking skills. Dewey regarded it as an active process by which individuals think about a phenomenon, ask questions from themselves, and attempt to find answers rather than look for information from someone else (Fisher, 2001). Therefore, CT is the ability to evaluate, reason, and find evidence to support the reasons (Lipman, 2003).

The components of CT, as identified by the Delphi Project in the 1980s, was that it is "purposeful, self-regulatory judgment which results in interpretation, analysis, evaluation, and inference" (Facione, 1990, p. 2). Paul's (1995) definition as the ability to think about thinking underscores the role of metacognition in CT and clarifies how reflection and critical thinking merge. Paul (1993) differentiated between aimless thinking and purposeful thinking and argued that purposeful thinking helped individuals discovered, solved problems, and reasoned. If individuals can engage in purposeful thinking, they can achieve goals, undertake acts, and appear efficient.

Some studies have addressed EFL teachers' CT and have sought to find its relationship with teaching success or self-efficacy (e.g., Ashraf et al., 2017; Shangarffam & Poshti, 2011). In addition to these correlational studies, teachers' perceptions regarding implementing CT in different educational settings have been the subject of various studies (e.g., Marin & Pava, 2017; Zhang et al., 2020). Some researchers have also explored the impacts of teaching the disposition to EFL teachers by implementing different language skills (e.g., Behdani & Rashtchi, 2016, 2019; Sabah & Rashtchi, 2016a, 2016b).

The present sequential mixed methods study consisted of two phases. The descriptive stage intended to verify whether there was a relationship between experienced and novice EFL teachers' CT and self-efficacy. Additionally, it aimed to examine whether there were differences between their CT and self-efficacy. In the next stage, an explanatory mixed methods study (Creswell, 2014) comprising a quantitative phase followed by a qualitative one was performed. The quantitative research had a static group comparison design (Best & Kahn, 2006) examining the impact of thinking skills instruction on self-efficacy and CT. The qualitative section involved semi-structured interviews. The following research questions helped obtain the objectives.

RQ1: Is there a relationship between experienced EFL teachers' self-efficacy and CT?

RQ2: Is there a relationship between novice EFL teachers' self-efficacy and CT?

RQ3: Do novice and experienced teachers differ in the sense of self-efficacy?

RQ4: Do novice and experienced teachers differ in CT skills?

RQ5: Does teaching CT skills have any impact on teachers' self-efficacy and CT?

RQ6: How do participants perceive classroom instructions?

METHODS

Participants

One hundred and twenty Iranian EFL teachers selected in two different groups based on purposive sampling participated. One group comprised novice teachers with zero to five years of teaching, and the other group involved experienced teachers with more than ten years of experience. The researcher employed Palmer et al.'s (2005) criteria that regard five years of teaching experience to be the criterion in differentiating between novice and experienced teachers.

The participants had studied TEFL, English Translation, or English Literature and were either lecturing undergraduate students at different universities or were teaching in private language institutes in Tehran. Table 1 demonstrates their demographic information.

In the second phase, 20 novice male and female teachers who had participated in the first phase volunteered to take part in CT classes and formed the experimental group. Nineteen novice teachers who agreed to answer the CT and self-efficacy

questionnaires for the second time after a two-month interval without any treatment formed the control group. Table 2 illustrates their demographic information.

Table 1
Participants' demographic information

Gender	Experienced Teachers >10	Novice Teachers 0-5 Years
Male	25	28
Female	35	32
Total	60	60
Educational Degree	Ph.D. Holders 25	Ph.D. Students 20
	M.A . 30	M.A. 15
	B.A . 5	B.A . 25
Age Range	35-50	22-32

Table 2

Participants' demographic information in experimental and control groups

Gender	Experimental Group 0-5 Years	Control Group 0-5 Years
Male	5	7
Female	15	12
Total	20	19
Educational Degree	Ph.D. Students	Ph.D. Students
	M.A . 9	M.A. 6
Age Range	24-45	24-44

Researcher

The researcher instructed CT classes. As a personal interest, she has studied and practiced Philosophy for Children (P4C) since 2005. Translations of *Thinking together*

(Cam, 1998/2011), *Thinking Stories* (Cam, 1993/2007a, 1994/2007b, 1997/2007c) into Persian have helped her develop an understanding of CT and reflective teaching. She has also participated in some workshops

and has run several workshops on P4C in the Institute for Humanities and Cultural Studies in Tehran, Iran.

Instruments

The researcher used three tools to collect data. The first one was the California Critical Thinking Skills Test (CCTST), Form B. The test has been widely used to evaluate the respondents' CT skills in seven areas of analysis, interpretation, inference, evaluation, explanation, deduction, and induction. The test has 34 items in multiple-choice format and proposes different scenarios that require the respondents to demonstrate their reasoning and decision-making skills (Knox, 2013).

The second tool was Teachers' Sense of Efficacy Scale (TSES) developed by Tschannen-Moran and Hoy (2001). The scale has 24 items with reader answers from 1 (nothing) to 9 (a great deal) and examines three areas of instructional strategies, classroom management, and student engagement. The reliability indices of the questionnaire reported by the authors are 0.91, 0.90, and 0.87 for the three mentioned areas, respectively. The correlation of the TSES with previous scales of self-efficacy has guaranteed its construct validity (The survey is available at: https://wmpeople.wm.edu/site/page/mxtsch/researchtools).

The last instrument was a semistructured interview the researcher used to gather data regarding the participants' perceptions regarding the treatment and the extent to which it could affect their sense of self-efficacy. The researcher examined the clarity of the questions by asking two colleagues to explain what each meant to them (Appendix A).

Materials

For teaching CT skills, the researcher utilized The Critical Thinking Workbook by Global Digital Citizen Foundation (available at https://globaldigitalcitizen. org/resources). The book provides several activities that develop problem-solving, decision-making, argumentation, and reasoning, as the components of thinking skills (Marzano & Pollock, 2001). The researcher also prepared some worksheets (printed off from the Critical Thinking workbook or designed by her) for classroom practice (Appendix B). The topics of the discussions were adopted from critical thinking resources (e.g., Lipman & Sharp, 1980; Cam, 1997/2007c, 1998/2011).

Procedure

The First Phase. It took three months to gather the required data. Usually, one shortcoming of survey studies is that respondents do not answer the questionnaires willingly. This problem impelled the researcher first to contact individuals and explain the purpose of the study. If they agreed to participate, she sent the questionnaires via e-mail or referred to them in their workplace. No time limits were set for answering the surveys. However, the CCTST took about 45 minutes and TSES 10 to 15 minutes to answer.

The Second Phase. Twenty novice teachers volunteered to participate in a critical thinking course run by the researcher. The classes continued for ten sessions, each session 100 minutes. The classroom arrangement was a U-shaped chair configuration so that the participants could see each other, and the teacher could see everyone during discussions. The teacher recorded the classroom discussions for further analysis.

The first session was devoted to lecturing on the background and definition of CT. The teacher addressed issues like what thought is, the difference between reflective thinking and undirected thinking, and the three types of critical, creative, and caring thinking. She also explained the importance of CT in educating people to become responsible citizens.

From sessions two to ten, each course followed two cycles. In the first cycle, the teacher started the class with a topic and a question on the board. Then she asked the participants to state their impression or answer the problem. Usually, five or six individuals offered their ideas, which the teacher wrote on the board with their names beside the comments. Writing the names helped the class address individuals when necessary. The teacher required the participants to reason for their choice of the best statement. This activity was the beginning of dialogic discussions or what is called Socratic dialog. The teacher challenged ideas, asked for reasons, insisted on considering others' perspectives, and invited the participants to draw conclusions and make generalizations. At the next stage, the teacher wrote on the board the concluding sentences expressed by every individual. Finally, each of the participants stated whether they agreed or disagreed with the conclusions. In the second cycle, which took about 20 minutes, the participants were engaged in doing worksheets. Table 3 shows the topics and activities done in each session.

Table 3

Classroom procedure for the critical thinking course

Sessions	Topics	Worksheets
One	An introduction to critical thinking	-
Two	Comparing fact and opinion; truth and reality	Writing statements about fact and opinion
Three	Fairness. Are you a fair person? Can you give examples of instances that you think you have/have not been fair? Providing some scenarios for discussion	Scenarios on cases of making decisions in tense situations

Table 3 (Continued)

Sessions	Topics	Worksheets
Four	Rules, regulations, and self- regulation. Should we always obey the rules? What will be the outcomes of following/not obeying the rules?	Scenarios on incidents that people may or may not obey the rules
Five	Discussing "what would happen if you had one day to live?	Scenarios on instances of what would happen if
Six	Time. How would it have been like if we had not had the concept of time?	Write ten things which can be done / cannot be done in a time limit.
Seven	Decision making. Do teachers think about how their decisions may affect students' lives?	Write examples of instances in which a teacher is allowed/not allowed to violate the rules of teaching.
Eight	Kindness. To what extent can we be kind to people? And to our students?	The participants were provided with some scenarios on challenging issues to decide whether to be kind or not
Nine	Devotion. How can we show our dedication to our country, job, family, etc.?	Write an imaginary dialogue with someone who is not devoted to his/her job.
Ten	Responsibility. What responsibilities do we have in our life/job?	Write ten statements that show you are a responsible person.

During discussions, the participants were quite active and seemed to appreciate the procedure. Their improvement in becoming tolerant, listening to others before starting to talk, and trying to look for reasons to convince others was conspicuous. One significant characteristic that developed gradually was that when the learners were asked questions or their viewpoints were challenged, they avoided abrupt reactions. They paused for a few seconds to give themselves some time to think and started to talk expressively. This feature was vital as it was a sign of thinking, evaluating, and finding reasons to defend their position before passing judgment. The following are excerpts from the conversations in sessions three and ten among participants A (PA), B (PB), C (PC), and the teacher (T).

Excerpt One, Session Three.

PA: What does fairness have to do with teaching? ... we are mixing things up. I don't find any association between being a teacher and fairness.

T: Don't you think, as teachers, we have some responsibilities?

PA: Is fairness a responsibility?

PC: It is not. We must teach and follow the rules of the institute, ... I don't want trouble. T: Don't you think that by being unfair to our students, we are giving them a bad feeling no matter how good we are teaching?

PA: It does not concern me. It is difficult to take charge of these things. I must develop lesson plans ...not think about marginal things...

PB: *I* was treated like that

T: When you were a student?

PB: Yes. Unfair, and I felt miserable.

T to PA: Can you point to a teachers' responsibilities? I am going to write them down on the board.

Excerpt Two, Session Ten.

PA: I think I have some implicit responsibilities. I believe we can help our students behave appropriately; it needs patience.

PC: Having good relations with parents of trouble makers [students].

PA: Ensuring that everyone is learning...

T: How?

PA: By selecting different teaching methods.

PB: Checking if all students are learning...

PC: Looking at all students with one eye ...

PA: Do something encouraging in class.

Post-test

In the eleventh session, 20 participants in the experimental group and 19 members in the control group sat for the CCTST and TSES.

Interview

Seven teachers from the experimental group agreed to participate in the interviews. The first two questions served as warm-up questions to build an emotional relationship between the researcher and the respondents. Questions three to seven were the primary concern of the study. They explored the

extent to which the treatment could have caused changes in the participants' CT and whether such changes could be related to self-efficacy. With participants' consent, the conversations were recorded. Each interview session took about 30 minutes.

RESULTS

First Phase

Pearson's r was used to answer the first research question. As Table 4 shows. there was a positive relationship between self-efficacy (SE) and CT of experienced teachers. The strength of the relationship, as indicated by Cohen (r=.10 to .29 small, r=.30 to .49 medium, r=.50 to 1.0 large, 1988, pp. 79-81), is large (r=.70>.50). The coefficient of determination, helped the researcher discovered how much variance the two variables shared and was obtained by squaring r value (r=.70). The result shows a 49 percent overlap between CT and self-efficacy. In other words, critical thinking helps explain 49% of the variance in respondents' scores on the selfefficacy questionnaire. Therefore, since the coefficient exceeds the significance level (.05), it can be stated that there is a strong, positive correlation between the two variables, r=.70, n=60, p \leq 0.01, with high levels of CT related to high levels of self-efficacy.

The same computations were used to address the second research question. Table 5 shows a positive relationship between self-efficacy and CT of novice teachers. The strength of the relationship is large (r=.585>.50). The coefficient of

determination shows a 34% overlap between the two variables. In other words, there is a strong, positive correlation between selfefficacy and CT of novice teachers, r=.5850, n=60, p \le .01.

Table 4

Correlation between experienced teachers' self-efficacy and CT

		SE	CT
SE	Pearson Correlation	1.000	.702
	Sig. (2-tailed)		.000
	N	60	60
CT	Pearson Correlation	.702	1.000
	Sig. (2-tailed)	.000	
	N	60	60

^{*}Correlation significant at .01 level

Table 5

Correlation between novice teachers' self-efficacy and CT

		SE	CT
SE	Pearson Correlation	1.000	.585
	Sig. (2-tailed)		.000
	N	60	
CT	Pearson Correlation	.585	1.000
	Sig. (2-tailed)	.000	
	N	60	60

^{*}Correlation significant at .01 level

The next step was to examine whether the two groups' correlation values were significantly different using the online calculator available at http://vassarstats.net/rdiff.html (Pallant, 2016). In the online calculator, the two correlation values (i.e., .70 and .60) and the number of participants in each group were entered. The result of the procedure (Table 6) shows that z value was

equal to .93, and the p-value (two-tailed) is .35. Since the p-value is larger than .05, the result is not statistically significant. Thus, it can be inferred that experienced and novice teachers' correlation coefficient values were not statistically significant, although a higher correlation was observed for experienced teachers (r=.70). It can be concluded that the relation between self-

efficacy and CT is independent of years of experience.

The researcher compared the groups' means for each trait to answer the third and fourth research questions. Table 7 shows the descriptive statistics on self-efficacy and CT. The skewness ratios (obtained from dividing statistic by standard error) were 2.19 and 0.92 for the experienced teachers' group and 1.03 and 2.03 for the novice teachers' group on the two traits. The ratios beyond ± 1.96 indicate that the distribution of the scores on CT and self-efficacy scales were not normal, and parametric tests for comparing the mean scores of the groups could not be utilized.

Thus, the non-parametric Man-Whitney U test was employed for comparing the means.

As Table 8 reveals, there was no statistically significant difference between the two groups regarding self-efficacy U = 1657, p = 0.453, and CT U = 1762, p = 0.842. The p-values (larger than 0.05) indicated that the two groups did not differ in their levels of CT and self-efficacy. In sum, the statistical analyses revealed a relationship between self-efficacy and CT, and there were no statistically significant differences between experienced and novice teachers regarding the two traits.

Table 6

Difference between groups' correlations using an online calculator

Teachers	r	n	Obtained z value	p-value
			(two-tailed)	
Experienced	.70	60	.93	.35
Novice	.60	60		

Table 7
Groups' descriptive statistics for self-efficacy and critical thinking

						Ske	wness
						Statistic	Std.
	N	Min.	Max.	Mean	SD		Error
SE							
Experienced	60	111.00	194.00	160.11	28.122	-0.678	0.309
Novice	60	108.00	210.00	157.83	30.313	-0.320	0.309
CT							
Experienced	60	16.00	28.00	21.36	3.019	0.285	0.309
Novice	60	16.00	29.00	21.40	3.026	0.620	0.309

Table 8

Results of Mann-Whitney U on self-efficacy and critical thinking

Mann-Whitney U	Results			
Mann-Whitney U – Self-efficacy	1657.500			
Wilcoxon W	3487.500			
Z	-0.750			
Asymp. Sig. (2-tailed)	0.453			
Mann-Whitney U- Critical Thinking	1762.500			
Wilcoxon W	3592.500			
Z	-0.199			
Asymp. Sig. (2-tailed)	0.842			

Second Phase

Quantitative Analysis. The results of the participants' scores on the two questionnaires were extracted from the first phase and compared via independent samples t-test to examine whether the experimental (n=20) and control (n=19) groups differed in their mean scores obtained from TSES and CCTST before the treatment. Table 9 shows the descriptive statistics. The skewness ratios had to be computed to ensure the use of parametric tests for comparing the

groups' means on CT and self-efficacy. The skewness ratios of the experimental group's self-efficacy (M=154, SD=31.36) and CT (M=21, SD=2.70) were 0.3 and 0.22. The skewness ratios of the control group's self-efficacy (M=149, SD=31.23) and CT (M=21, SD=3.5) were 1.84 and 1.43. Since all ratios fell between ±1.96, it could be concluded that the distributions of the groups' scores on both scales were normal to perform parametric tests.

Table 9

Descriptive statistics on self-efficacy and critical thinking before treatment

	N	Min.	Max.	Mean	SD statistic	Skewness	
	statistic	statistic	statistic	statistic		Statistic	Std. Error
SE Experimental	20	108.00	210.00	154.30	31.367	-0.160	0.512
SE Control	19	108.00	210.00	149.84	31.232	0.116	0.524
CT Experimental	20	18.00	27.00	20.90	2.693	0.944	0.512
CT Control	19	16.00	29.00	20.94	3.503	0.751	0.524

Table 10 illustrates the results of the independent samples t-test before the treatment. As shown, there were no statistically significant differences between the self-efficacy t (37) = .445, p=.66, and CT t(37) = .047, p=.96 of the groups (p-values larger than .05 indicate no statistically significant differences). This test could ensure the researcher that any changes in the experimental group would be due to the treatment.

For answering the fifth research question, Multivariate analysis of variance was conducted to investigate whether there was a statistically significant difference between the two dependent variables of the experimental and control groups (i.e., self-efficacy and CT). One condition for running

MANOVA is that the dependent variables should be related (Pallant, 2016). The results obtained from the first phase of the study (i.e., running Pearson's r to examine the correlation between self-efficacy and CT of experienced and novice teachers) indicated a strong relationship between self-efficacy and critical thinking (r=.70 for the experienced and r=.585 for the novice teachers). Therefore, the use of a MANOVA was appropriate. The test investigated whether there was a statistically significant difference between the two dependent variables of the groups after the treatment. Table 11 shows the descriptive statistics.

The preliminary assumption was performed to examine for normality and homogeneity of variance-covariance

Table 10
Independent samples t-test for self-efficacy and critical thinking, pretest

	Leven's test for Equality of Variances					t-test for equality of means		95% Confidence Interval of Difference	
	F	Sig.	t	df	Sig. 2tailed	Mean Dif.	Std. Error Dif.	Lower	Upper
SE Equal variances assumed	0.006	0.938	0.445	37	0.659	4.457	10.027	-15.860	24.776
CT Equal variances assumed	0.298	1.14	0.047	37	0.962	-0.0473	0.9975	-2.06	1.97

matrices. As Table 12 shows, since the p-value =.119 was larger than 0.05 (the

last row in the table), the assumption of normality was not violated (p>.05).

Table 11

Descriptive statistics of the groups on the post-tests

	Groups	Mean	SD	N	
SE	Experimental	177.6000	24.83715	20	
	Control	150.4737	30.85156	19	
	Total	164.3846	30.78928	39	
CT	Experimental	27.8500	2.03328	20	
	Control	21.1053	3.03488	19	
	Total	24.5641	4.25376	39	

Table 12

Box's test of equality of covariance matrices

Statistic	Result
Box's M	6.210
F	1.949
df1	3
df2	271286.853
Sig.	.119

As Table 13 shows, the p-values (p=.261 & p=.074) were larger than 0.05; thus, the assumption of the homogeneity of variances (p>.05) was met for both constructs.

As illustrated in Table 14, there was a statistically significant difference between the experimental and control groups on the dependent variables, F (2, 36) =34.06, p< .001; Wilks' Lambda=0.37. Partial eta squared effect size that shows the proportion of the dependent variable explained by the independent variable was 0.654, indicating a large effect size (0.01 or 1% Small, 0.06 or 6% Medium., 0.138 or 13.8% Large; Cohen, 1988). Therefore, 65 percent of the variation in the dependent variables was due to the treatment the participants received.

Table 13

Levene's test of equality of error variances

		Levene Statistic	df1	df2	Sig.
SE	Based on Mean	1.301	1	37	.261
CT	Based on Mean	3.381	1	37	.074

Table 14

Multivariate tests

			Partial Eta				
Effect		Value	F	Hypothes df	Error df	Sig.	Squared
Intercept	Pillai's Trace	0.990	1733.128	2	36	.000	.990
	Wilks' Lambda	0.010	1733.128	2	36	.000	.990
	Hotelling's Trace	96.285	1733.128	2	36	.000	.990
	Roy's Largest Root	96.285	1733.128	2	36	.000	.990
Groups	Pillai's Trace	0.654	34.059	2	36	.000	.654
	Wilks' Lambda	0.346	34.059	2	36	.000	.654
	Hotelling's Trace	1.892	34.059	2	36	.000	.654
	Roy's Largest Root	1.892	34.059	2	36	.000	.654

Qualitative Analysis. Question 3 probed the respondents' perceptions regarding the instruction. The answers showed that they were optimistic and appreciated the activities. However, they all asserted that before attending the classes, they did not know much about CT or its implementation:

"It was interesting to learn about critical thinking, I had heard about it before but did not know what exactly it was."

"I learned how critical thinking is practiced and what issues it covers."

Regarding question 4, the respondents acknowledged some changes in their viewpoints. The crucial issue was that they had never thought about the concepts discussed during the course. They believed that the classes kindled a new way of looking at things and made them aware of the outcome of their actions. The participants confirmed that cognitive involvement and concentration on a subject could enable them to follow a line of thinking and avoid moving from one issue to another without any definite conclusion achieved. They had found out how difficult decision-making was and how one's decisions might have

different impacts. The following excerpts are clarifying:

"I learned to look at things from different perspectives. For making the best decision, I should think about what happens if I were in another person's position."

"I had not thought deeply about decision-making and how it affects others. Now, I am aware [decisions] have outcomes...for example, failing a student or correcting papers."

"The highlights of the discussions was fairness. I had not thought about it before. I'll try to be fair to everyone and to re-evaluate my actions."

"I learned to think... I had never engaged in deep thinking before...I believe."

"I realized that there is not a single solution. Things are too complex; solving them needs deep thinking with others."

"I learned to give a second thought to my decisions before taking action."

In sum, the answers led the researcher to infer that the course was successful in introducing CT. It showed the difference between the perspectives of a critical thinker and others. Problem-solving and decision-making activities were useful in activating the teachers' attention to the actions they should take in challenging situations.

The answers to question 5 were fascinating. The interviewees had decided

to formulate more profound questions to invite students to practice thinking:

"I will try to ask more open-ended questions and be less instructive and give more class time to students."

"I will try to prepare some inferential questions from the English lessons."

They would also try to relate the themes of the English lessons to CT-related issues:

"I will select topics to stimulate thinking in conversation classes. In writing classes, I will choose topics to activate thinking skills."

The respondents also mentioned they would consider alternative classroom activities:

"I will go for group activities to help learners work together and promote their patience for others' viewpoints."

"I will use more questioning and answering to let students give and receive feedback from classmates."

Question 6 stimulated complaints regarding troublemaking students. However, the respondents asserted that the classes helped them think about ways to deal with challenging situations, be more patient, and look for ways to calm down learners instead of disregarding them:

"I think problems need to be solved; I have to re-try to learn how to deal with upsetting situations."

The teachers believed that the course encouraged thinking about their classroom practices and self-evaluation. Additionally, looking for reasons would help them in establishing fruitful relations with students, administrators, and parents. They believed that the type of classroom management used in the course exemplified how to start dialogs, activate learners, and create an atmosphere to stimulate interaction. The general belief was that classroom management was related to success in establishing a good rapport with students.

Responses to the last question were affirmative. The interviewees believed that although they needed more practice, the classes were a new experience and had helped them develop a positive attitude toward their careers. They maintained that learning is a process of thinking, and teachers should help learners in the process:

"I have to be a more energetic teacher."

In sum, respondents verified that the classes contributed to the realization of how to involve in deep thinking. The interviewees stated that the course gave them self-confidence as they noticed their improvement in thinking activities. They asserted that similar classes in the future would be fruitful.

DISCUSSION

While the results of the first phase were in line with previous studies (e.g., Kozikoğlu, 2019; Shangarffam & Poshti, 2011), it revealed that years of experience is not an indicator of the degree of self-efficacy and critical thinking skills. Although this finding cannot address the questions of causality, the correlations between "good thinking"

(Lipman, 2003, p. 36) and positive emotions toward the teaching profession can deepen our understanding of teacher education domain. The relationship between the two influential characteristics can lead educators to conclude that fostering thinking skills can motivate teachers and promote their selfconfidence, as stated by the interviewees. It can have a role in the teachers' well-being and help them avoid "negative emotionssuch as anxiety, sadness, anger, and despair" (Fredrickson, 2001, p. 218). Fostering EFL teachers' critical thinking can enhance their attention and understanding and contribute to their classroom actions. It can also improve their interactions with students, parents, and administrators, as the participants' assertions in the interview sessions clarified. This finding is consistent with Johnson's (1999) explanation of reflective teaching. Likewise, the argument finds support from the broaden-and-build theory of positive emotions, which argues that by "building people's personal and social resources, positive emotions transform people for the better, giving them better lives in the future" (Fredrickson, 2001, p. 224). The author of the present research goes further to postulate that critical thinking practices pave the way for the construction of positive emotions that EFL teachers need to develop their teaching behavior. This change can affect their views of themselves and give them the self-confidence to reason and analyze issues when encountering challenging situations. The results obtained from the second phase of the study constitute a complement to this assumption.

The relatively low scores of the respondents on CCTS and TSES in the first stage justified the implementation of the second phase. The positive impact of instruction on self-efficacy and critical thinking showed that teaching thinking skills could support teachers in changing their viewpoints regarding themselves and gaining self-confidence vis-à-vis taking charge of their environment. The researcher assumes that instruction activated the participants' cognitive skills toward thinking and could "increase the probability of a desirable outcome" (Halpern, 1999, p. 70). Classroom practices provoked teachers' consciousness to view the process of teaching from a different perspective. Thus, it can be postulated that the instructions could affect teacher cognition; that is, "the unobservable cognitive dimension of teaching-what teachers know, believe, and think" (Borg, 2003, p. 81). The discussion and activities helped the participants practice purposeful thinking, or as Paul (1995) mentioned, think about thinking.

Moreover, as stated by the interviewees, tasks such as problem-solving, decision-making, reasoning, and argumentation are appropriate practices for improving thinking ability. These tasks give individuals insight into different issues, shape their perspectives, help them defend their viewpoints, and finally provoke their thinking. The findings underline the value of implementing discussions as a strategy that can cultivate thinking skills (Freely & Steinberg, 2014; Rashtchi & Sadraeimanesh, 2011). As Paul et al. (1995) argued, individuals should be

provided with opportunities "to puzzle their way through to knowledge and explored its justification, as part of the process of learning" (p. 300).

The results find support from researchers who maintain that adult learners do not naturally use critical thinking skills, but these complex abilities develop over time (Kurfiss, 1983; Paul, 1993) and can change the quality of their thinking (Rashtchi, 2007; Schafersman, 1991). It seems that practicing higher-order thinking skills can provide an appropriate way to develop what teachers need for success in encountering students, parents, and administrators as they can be involved in an ongoing process of self-evaluation and evaluation of others. Engaging in reasoning skills can affect how teachers conceive themselves and can help them demonstrate their expertise in educational settings.

One issue to consider is that teacher education programs mainly focus on technological improvement, pedagogical knowledge, and conceptual understanding of the content (Koehler & Mishra, 2009). However, incorporating knowledge of thinking and reasoning skills may accelerate teacher development (Rashtchi & Khoshnevisan, 2019) and help teachers in schooling their students. Pre- and in-service teacher training courses are suggested to include such activities in their curriculum to encourage teachers to think about past experiences that can lead to creating reflective teachers (Peacock, 2009). Many studies have indicated that teachers do not precisely know what critical thinking is (Marin & Pava, 2017; Zhang et al., 2020). The participants' answers to the third interview question, in line with the previous studies, verify their lack of knowledge about critical thinking. Thus, incorporating such understanding into teacher training courses seems beneficial for cultivating thinking skills and in the long-run to the betterment of societies.

As inferred from the interviews, the treatment was useful in stimulating teachers' thinking skills and drawing their attention to subjects that are decisive in teaching but are considered as common understanding, such as fairness, decision-making, and selfassessment. As the respondents asserted, the classes could encourage them to consider evaluating themselves and their teaching habits. They believed that they should look for different teaching methods and strategies to meet all students' learning styles and preferences. This finding coincides with Bandura's (1997) definition that teachers' decisions to achieve goals and their ability to take actions to accomplish them signify their self-efficacy. Bandura (1986) believed that reflection was the most prominent characteristic of human beings enabling them to evaluate themselves and their thoughts. Consistent with this idea is the concept of reflective teaching, which has been the focus of researchers who assign a dynamic role to teachers as curriculum developers, professional decision-makers, and problem solvers (e.g., Dewey, 1933; Hillier, 2005). Thus, the primary concern of teacher educators should be fostering such characteristics by employing appropriate

training courses and developing necessary materials.

The treatment, as stated by the respondents, had encouraged asking more profound questions in EFL classes and seizing the opportunity to trigger students' thinking skills. This finding shows the teachers' realization of the importance of critical thinking. Accordingly, it is in line with the concept of reflective teaching, which defines reflectivity as creating situations to encourage curiosity (Dewey, 1933).

Another highlight extracted from the interviews was that critical thinking classes portrayed an active classroom environment with utmost engagement in the learning process. This finding underscores the benefits of activity-based courses, which allows teachers to practice thinking instead of listening to lectures about critical thinking. The classes could invite the participants to self-reflection, the result of which would be reconsidering teaching techniques, strategies, and behaviors that relate critical thinking to self-efficacy in the three areas of instructional strategies, classroom management, and student engagement (Tschannen-Moran & Hoy, 2001).

Correlational studies would be of little use in explaining teacher development unless they ignite discussions for coming up with practical programs for promoting teachers' capabilities, such as self-efficacy and critical thinking. Teacher education requires interventional studies that suggest how to affect teacher characteristics to become agents who can leave their impacts

on educational settings. Without designing appropriate programs for training teachers to be reflective, discussions on the merits of reflective teaching would remain at theoretical levels. Teachers should practice analyzing, questioning, evaluating, self-evaluating, and decision-making as critical thinking components in pre- and in-service programs.

CONCLUSION

Teachers play a primary role in education since the changes in teachers' characteristics will improve students' learning. This study showed the decisive role of instruction on the development of teachers' thinking skills and self-efficacy after the relationship between the two dispositions was verified in the first phase of the study. The findings lead the researcher to suggest incorporating critical thinking instruction in teacher training courses. It is time to move from theorizing to taking practical steps for upgrading education by cultivating critical thinking among EFL teachers. One component of teachers' knowledge base should include teachers' performances in higher-order thinking skills, fostered by thinking practices. It would be good to look at critical thinking as a line of pedagogy and expect administrators, policymakers, and curriculum developers to work for its establishment in all areas of teacher education.

Further studies should focus on the role of critical thinking on other teacher characteristics like motivation and burnout. One limitation of the study was that teachers

volunteered to take part in its different phases. Therefore, one possibility is that the participants had higher motivation than typical teachers. Another limitation was the lack of a follow-up study to examine the extent to which critical thinking the instructions have lasting impacts on teachers' thinking and performance.

ACKNOWLEDGEMENT

I am thankful to my friend, Dr. Farzaneh Shahrtash, who introduced to me the concept of critical thinking some twenty years ago. She encouraged me to learn and work in the domain. Her encouragement has changed my view of teaching.

REFERENCES

Allinder, R. (1994). The relationship between efficacy and the instructional practices of special education teachers and consultants. *Teacher Education and Special Education*, 17, 86-95. https://doi.org/10.1177/088840649401700203

Ashraf, H., Garmabi, H., & Fayendari, M. B. (2017). Do critical thinking skills lead to success in language teaching? A case of Iranian EFL teachers based on their gender and degree of education. The Journal of English Language Pedagogy and Practice, 10(20), 17-28.

Bandura, A. (1977). Self-efficacy: Toward a unifying theory of behavioral change. *Psychological Review, 84*, 191-215. https://doi.org/10.1037/0033-295x.84.2.191

Bandura, A. (1986). Social foundations of thought and action: A social-cognitive theory. Prentice-Hall.

Bandura, A. (1995). *Self-efficacy in changing societies*. Cambridge University Press.

- Bandura, A. (1997). *Self-efficacy: The exercise of control*. Freeman.
- Behdani, R. S., & Rashtchi, M. (2016). Assessing critical thinking ability via the writing process: Developing and implementing a rating scale. Iranian. *Journal of English for Academic Purposes*, 5(2), 97-115.
- Behdani, R. S., & Rashtchi, M. (2019). Process writing and enhancement of critical thinking ability: Is writing a vehicle or an ingredient of critical thinking? *Iranian Journal of Applied Language Studies*, 11(1), 181-200.
- Best, J. W., & Kahn, J. (2006). *Research in education* (10th ed.). Pearson.
- Borg, S. (2003). Teacher cognition in language teaching: A review of research on what language teachers think, know, believe, and do. *Language Teaching*. *36*, 81-109. https://doi.org/10.1017/s0261444803001903
- Bouffard-Bouchard, T. (1990). Influence of self-efficacy on performance in a cognitive task. *The Journal of Social Psychology, 130*(3), 353-363. https://doi.org/10.1080/00224545.1990.9924591
- Cam, P. (2007a). Thinking stories: Philosophical inquiry for children: Vol.1 (F. Shahrtash & M. Rashtchi, Trans.). Hale & Ironmonger. (Original work published in 1993).
- Cam, P. (2007b). Thinking stories: Philosophical inquiry for children: Vol.2 (M. Rashtchi & F. Shahrtash, Trans.). Hale & Ironmonger. (Original work published in 1994).
- Cam, P. (2007c). Thinking stories: Philosophical inquiry for children: Vol.3 (F. Shahrtash, N. Ebrahimi, & M. Rashtchi, Trans.). Hale & Ironmonger. (Original work published in 1997).
- Cam, P. (2011). Thinking together: Philosophical inquiry for the classroom (M. Rashtchi & F. Shahrtash, Trans.). Hale & Ironmonger. (Original work published in 1998).

- Chacón, C. (2005). Teachers' perceived efficacy among English as a foreign language teacher in middle schools in Venezuela. *Teaching and Teacher Education*, 21(3), 257-272. https://doi.org/10.1016/j.tate.2005.01.001
- Cohen, J. W. (1988). Statistical power analysis for the behavioral sciences (2nd ed.). Lawrence Erlbaum.
- Creswell, J. W. (2014). Research design. Sage.
- Dewey, J. (1933). How we think. Heath.
- Facione, P. (1990). Critical thinking: A statement of expert consensus for purposes of educational assessment and instruction. The California Academic Press.
- Fisher, A. (2001). *Critical thinking an introduction*. Cambridge University Press.
- Fredrickson, B. L. (2001). The role of positive emotions in positive psychology: The broadenand-build theory of positive emotions. *American Psychologist*, 56(3), 218-226. https://doi.org/10.1037/0003-066x.56.3.218
- Freely, A. J., & Steinberg, D. L. (2014). Argumentation and debate: Critical thinking for reasoned decision making. Cengage Learning.
- Guskey, T. R. (1988). Teacher efficacy, self-concept, and attitudes toward the implementation of instructional innovation. *Teaching and Teacher Education*, 4(1), 63-69. https://doi.org/10.1016/0742-051x(88)90025-x
- Halpern, D. F. (1999). Teaching for critical thinking: Helping college students develop the skills and dispositions of a critical thinker. *New Directions for Teaching and Learning*, 80, 69-74. https://doi.org/10.1002/tl.8005
- Hillier, Y. (2005). Reflective teaching in further and adult education. A&C Black.
- Johnson, K. E. (1999). *Understanding language teaching: Reasoning in action*. Heinle & Heinle.

- Knox, D. K. (2013). The California critical thinking skills test. *Clemson Thinks*. http://www.clemson. edu/academics/programs/thinks2/documents/ scholars/summer 2013/knox cctst.pdf
- Koehler, M. J., & Mishra, P. (2009). What is technological pedagogical content knowledge? Contemporary Issues in Technology and Teacher Education, 9(1), 60-70.
- Kozikoğlu, I. (2019). Investigating critical thinking in prospective teachers: Metacognitive skills, problem solving skills and academic selfefficacy. *Journal of Social Studies Education Research*, 10(2), 111-130.
- Kumaravadivelu, B. (2003). Beyond methods: Macrostrategies for language teaching. Yale University Press.
- Kurfiss, J. (1983). Intellectual, psychosocial, and moral development in college: Four major theories. Council for Independent Colleges. https://eric.ed.gov/?id=ED295534
- Lipman, M. (1984). The cultivation of reasoning through philosophy. *Educational Leadership*, 42(2), 51-56.
- Lipman, M. (2003). *Thinking in education* (2nd ed.). Cambridge University Press.
- Lipman, M., & Sharp, A. M. (1980). Writing: How and why. Institute for the Advancement of Philosophy for Children.
- Marashi, H., & Azizi-Nassab, F. (2018). EFL teachers' language proficiency, classroom management, and self-efficacy. *International Journal of Foreign Language Teaching & Research*, 6(22), 89-102.
- Marin, M. A., & Pava, L. (2017). Conceptions of critical thinking from university EFL teachers. English Language Teaching, 10(7), 78-88. https://doi.org/10.5539/elt.v10n7p78
- Marzano, R. J., & Pollock, J. E. (2001). Standards-based thinking and reasoning skills. In A. L.

- Costa (Ed.), *Developing minds, a resource book* for teaching thinking (pp. 29-35). Association for Supervision and Curriculum Development.
- Pajares, F. (1996). Self-efficacy beliefs in academic settings. *Review of Educational Research*, 66(4), 543-578. https://doi.org/10.3102/00346543066004543
- Pallant, J. (2016). SPSS survival manual (6th ed.). Open University Press.
- Palmer, D. J., Stough, L. M., Burdenski, T. K., & Gonzales, M. (2005). Identifying teacher expertise: An examination of researchers' decision making. *Educational Psychologist*, 40(1), 13-25. https://doi.org/10.1207/s15326985ep4001_2
- Paul, R. W. (1993). *Critical thinking*. Foundation for Critical Thinking.
- Paul, R. W. (1995). *The logic of creative and critical thinking*. The Foundation for Critical Thinking.
- Paul, R. W., Binker, A. J. A., Martin, D., & Adamson, K. (1995). Critical thinking handbook: High school. Center for Critical thinking and Moral Critique.
- Peacock, M. (2009). The evaluation of foreign-language-teacher education programmes. Language Teaching Research, 13(3), 259-278. https://doi.org/10.1177/1362168809104698
- Pintrich, R., & De Groot, E. (1990). Motivational and self-regulated learning components of classroom academic performance. *Journal of Educational Psychology*, 82(1), 33-40. https://doi.org/10.1037/0022-0663.82.1.33
- Rashtchi, M. (2007). A pathway toward critical thinking through cooperative writing in an English college course in Iran. *The Near and Middle Eastern Journal of Research in Education*, 2(1), 1-11. https://doi.org/10.5339/nmejre.2007.2.1

- Rashtchi, M., & Jabalameli, B. (2012). How attitude, self-efficacy, and job satisfaction relate with teaching strategies? *Issues in Language Teaching*, *I*(1), 189-224.
- Rashtchi, M., & Khoshnevisan, B. (2019). The developmental stages of teachers: A critical analysis. In B. J. Waynne & C. Cobanoglu (Eds.). *Advances in global education and research* (Vol. 3; pp. 2-8). ANAHEI. https://scholarcommons.usf.edu/anaheipublishing/vol3/iss2019/1/
- Rashtchi, M., & Sadraeimanesh, F. (2011). Is debate a useful strategy in enhancing the reading comprehension and critical thinking of Iranian EFL learners? *Theory and Practice in Language Studies*, 1(4), 361-369. https://doi.org/10.4304/tpls.1.4.361-369
- Rodríguez, S., Núñez, J. C., Valle, A., Blas, R., & Rosario, P. (2009). Auto-eficacia Docente, Motivación del Profesor y Estrategias de Enseñanza [Teaching self-efficacy, teacher motivation and teaching strategies]. Escritos de Psicología, 3(1), 1-7.
- Sabah, S., & Rashtchi, M. (2016a). An analysis of the impact of using reflective practices on the Iranian EFL teachers' critical thinking ability. *Language Related Research*, 7(7), 1-21.
- Sabah, S., & Rashtchi, M. (2016b). Critical thinking in personal narrative and reflective journal writings by in-service EFL teachers in Iran: Assessment of reflective writing. Journal of Teaching Language Skills, 35(3), 157-182. doi: 10.22099/jtls.2016.3900
- Schafersman, S. (1991). An introduction to critical thinking. http://www.freeinquiry.com/critical-thinking.html

- Schwab, S. (2019) Teachers' student-specific self-efficacy in relation to teacher and student variables, *Educational Psychology*, 39(1), 4-18. https://doi.org/10.1080/01443410.2018.1516861
- Shangarffam, N., & Poshti, N. R. R. (2011). The relationship among EFL teachers' critical thinking, self-efficacy, and their perception of effective teaching. *Journal of Applied Linguistics*, 4(1), 175-207.
- Swanson, P. (2012). Second/foreign language teacher efficacy and its relationship to professional attrition. *Canadian Modern Language Review,* 68(1), 78-101. https://doi.org/10.3138/cmlr.68.1.078
- Synder, G. L., & Synder, M. J. (2008). Teaching critical thinking and problem solving skills. *The Journal of Research in Business Education*, 50(2), 90-99.
- Tschannen-Moran, M., & Hoy, A. W. (2001). Teacher efficacy: Capturing an elusive construct. *Teaching and Teacher Education*, 17(7), 783-805. https://doi.org/10.1016/s0742-051x(01)00036-1
- Zhang, H., Yuan, R., & He, X. (2020). Investigating university EFL teachers' perceptions of critical thinking and its teaching: Voices from China. Asia-Pacific Education Researcher (Advance online publication). https://doi.org/10.1007/ s40299-020-00500-6
- Zimmerman, B. (2000). Self-efficacy: An essential motive to learn. *Contemporary Educational Psychology*, 25(1), 82-91. https://doi.org/10.1006/ceps.1999.1016

APPENDIX A

Interview Questions

- 1. Can you explain your idea about the critical thinking class?
- 2. What do you think about the topics?
- 3. What did you learn from the course?
- 4. Do you think the instruction could cause any changes in you? Can you talk about them?
- 5. Do you think the classes may affect the strategies and techniques you use in your classes?
- 6. Do you think the classes may have any impact on your classroom management in the future?
- 7. Do you think the classes may affect the way you usually treat your students?

APPENDIX B

A worksheet, session three: Read the following and explain your position.

- 1- One student cheats on the final exam. According to the school regulations, she should fail and repeat the course. However, her mother is a very close friend of yours. What is your decision?
- 2-Nick overhears two students bragging about having posted some inappropriate images of a female student online for a joke. Should he: A) Mind his own business B) Report the incident to the school principal C) Confront the boys and defend the student?
- 3- Sally's mother is suffering from a strange illness. She should take her to the doctor, but she doesn't have enough money. She finds a package of money in the street. What should she do?
- 4- You witness a bank robbery, and follow the perpetrator down an alleyway. He stops at an orphanage and gives them all the money. Would you: A) Report the man to police since he committed a crime B) Leave him alone because you saw him do a good deed.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Urban English Learners' Perceptions Towards the Influence of Second Language Identity on Employment Opportunities in Malaysia

Minder Kaur Parthaman Singh^{1*}, Jo Yee Liew¹, and Ching Sin Siau²

¹Department of English Language & Communication, Faculty of Social Sciences & Liberal Arts, UCSI University, Kuala Lumpur Campus, 56000 Cheras, Kuala Lumpur, Malaysia ²Centre for Community Health Studies (ReaCH), Faculty of Health Sciences, Universiti Kebangsaan Malaysia, 50300, Kuala Lumpur, Malaysia

ABSTRACT

The purpose of this study was to identify and investigate urban English learners' perceptions towards their second language identity in Malaysia and the influence of the said identity on their employment opportunities in Malaysia. This research was an exploratory study that employed a qualitative research design. The data was analysed for second language identity development factors and participants' perception on the influence of their English language identity on their employment opportunities. The second language identity development factors identified were personal, social, professional, educational and learning environment. These factors were found to have influenced the participants' second language identity development. The participants' perception on the influence of their English language identity on their employment opportunities were analysed and discussed. This study has implications for studies on English language proficiency and employment opportunities in Malaysia as well as providing English educators with a different outlook on the

ARTICLE INFO

Article history:
Received: 3 August 2020
Accepted: 12 November 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.02

E-mail addresses: minderkaj@gmail.com (Minder Kaur Parthaman Singh) jo_yee@hotmail.my (Jo Yee Liew) chingsin.siau@gmail.com (Ching Sin Siau) *Corresponding author resources used to teach English learners. Recommendations for future studies include conducting a long-term project that involves participants noting down their narratives such as a photo-elicitation project, to use as data for furthering this research.

Keywords: Employment opportunities, English language proficiency, perceptions, second language identity, urban English learners

INTRODUCTION

Urban English learners live in an environment where they are often in contact with the English language, thus have the opportunity to practice it, as reported by Gobel et al. (2013). Urban areas provide opportunities for learning and include a plethora of experiences which build skills. Glaeser (1999) stated that the scale of economies allowed by urban areas grant better schools to be built, therefore facilitating the delivery of formal education. Hanapi and Nordin (2014) had noted that graduate unemployment in Malaysia was prevalent and it was often tied to the quality of their English language mastery. This suggests that urban English learners should have a high awareness of their second language identity since English learning resources may influence English learners and generally affect second language identity development as shared by Besser and Chik (2014). This ties in as such that urban English learners' second language identity may play a role in their employment opportunities.

However, most urban English learners in Malaysia are not aware of their second language identity nor the influence it may have on their employment opportunities. Sarudin et al. (2008) had found that most studies on English language proficiency among Malaysian university graduates often resonated a feeling of uneasiness with the graduates' level of English proficiency. More recently, Selvaratnam (2019) pointed out that the primary reason that one in five of the 200,000-yearly public university

graduates were unemployed might be due to their poor English language proficiency. The decline in English proficiency has been attributed to patriotic sentiments emphasizing the fusion of language-usage with national identity (Selvaratnam, 2019).

The rejection of learning the English language due to identity issues could in turn jeopardise an individual's job opportunities, especially as English language is considered to be important among employers (e.g., Ting et al., 2017; Zainuddin et al., 2019). According to Sekharan Nair et al. (2012), the lack of English proficiency may lead to occupational segregation and affect employment prospects in Malaysia. If this persists, there will be limitations to urban English learners' employment opportunities as there will be a lack of awareness of one's second language identity as well as the influence it may have on employment prospects. As such, this study aims to answer two research questions (RQ), as follows:

RQ1: How do urban English learners perceive their identity as second language learners and factors leading to its development?

RQ2: How do urban English learners perceive the influence of second language learner identity on employment opportunities in Malaysia?

Theoretical Background

Recent research has discovered urban/rural and class differences in self-perception of intelligence, and differences in educational goals and academic achievement. Swami

and Furnham (2010) found in a nationwide study of self-assessed intelligence, that urban participants tended to have higher self-assessments than their rural counterparts. Kudrna et al. (2010) found parallel results regarding the connection between social class and self-assessed intelligence, with participants of a high social class having significantly higher self-assessments when their social class was salient. Baharudin et al. (2010) found that academic goals and academic achievement also varied based on location. In addition, urban students of the English language are exposed to more vocabulary learning strategies compared to rural students (Ab Dollah & Shah, 2016), which may lead to better proficiency. These studies suggest that urban English learners should have high awareness of their second language identity since English learning resources may influence English learners and generally affect second language identity development (Besser & Chik, 2014).

Second language identity is defined in a study by Benson et al. (2013) as "any aspect of a person's identity that is linked to their knowledge or use of a second language" (p. 28), and according to De Fina (2012), identities can be regarded as collective or individual, as social or personal, as mental constructs or as the product of actions. According to Norton and Mckinney (2011), the 'identity' approach to learning English as a second language takes into account the learner's membership in a community. As such, the learner may have an accepting attitude of his/her identity as a second-

language learner, or the learner may reject this identity if it comes into conflict with the society's norms and aspirations (Amini, 2020; Wahid & Pilus, 2017).

In Malaysia, the majority of the bilingual population use English language as the second language (Campbell, 2018). The English language is almost native in many colonized countries around the world, including pre-independent Malaysia. In 1967, despite the implementation of the National Language Policy in Malaysia and the process of the English language being slowly phased out as the primary medium of instruction in secondary and tertiary education, English is still essential to facilitate international trade, diplomacy, tourism and advancing the science and technology sector in the country. It had been outlined by Crismore et al. (1996) that English would play a large role in enabling the nation to achieve the goals of development and progress by the year 2020, a point which was reiterated by Selvaratnam (2019). In this current global era, Information Technology has made the English language paramount for most countries in the world and foreign investors prefer Englishspeaking countries (Selvaratnam, 2019). When the '80s came to Malaysia, the country's economic focus shifted from the agriculture sector to the industrial sector. In response to this new development, the Malaysian government emphasized on the learning of English to assist in gaining new knowledge and skills to better advance the country's economy. Globalization placed nations on a competitive level and

both public and private organizations are pursuing competent graduates who are skilled in English.

Existing Research

The related studies in this section summarize the framework behind this study. The studies collectively discuss urban English learners, second language identity and English language and employment opportunities in Malaysia. Each of these studies is discussed in the following paragraphs.

On urban English learners, Gobel et al. (2013) conducted a descriptive study of Malaysian urban and rural students' attributions for success and failure in learning English as a second language. The findings indicated that urban and rural students held different attribution ratings for the success and failure for learning English as a second language with the urban group being more willing to attribute success to their own ability, effort, and study skills than the rural group. They hypothesized that the urban group was much more study-wise and confident as they had a greater belief in their own ability to take control of their successes in the language classroom.

In line with Swami and Furnham (2010), Kudrna et al. (2010) and Baharudin et al.'s (2010) research discovered that there were urban/rural and class differences in self-perception of intelligence, and differences in educational goals and academic achievement. Swami and Furnham (2010) examined inter-ethnic, rural—urban, and sex differences in self-assessed intelligence in a Malaysian general population sample. In

general, results found that in a nation-wide study of self-assessed intelligence, that urban participants tended to have higher self-assessments than their rural counterparts. The study was further expanded in Kudrna et al. (2010). Baharudin et al.'s (2010) study examined connections between educational goals, parenting practices of single-mothers and single-fathers and the academic achievement of their adolescents. The results found that academic goals and academic achievement also varied based on location.

Moving on to second language identity, Besser and Chik (2014) conducted a study on understanding how young learners position themselves as speakers of a foreign language. Their study established that it was important to consider how educational policy, cultural values and the distribution of resources might impact young learners studying in similar contexts. This is paired with De Fina's (2012) study where she analyzed identities in sociolinguistics and applied linguistics from three discursive approaches. One studied primarily social identities, a second focused on personal or biographical identities, and the third pushed for a complication of established identity theories in the face of new developments in technology and the digital world. She stated that identities could be regarded as collective or individual, as social or personal, as mental constructs or as the product of actions. Her definitions of identity ties in well with Besser and Chik's (2014) study where they explained that learning resources formed an integral part of second language learning, ultimately forming one's second language identity. The study of second-language identity and the motivation to learn English has also been explored in Malaysia, albeit rarely. A few studies suggested that among Malays, English usage beyond the classroom could constitute a threat to their Malay identity as a result of the belief that "Malayness" is defined not only by ethnicity and religion, but also the employment of the Malay language as well (Rajadurai, 2011; Wahid & Pilus, 2017).

Block's (2007) empirical research links second language learning and identity that looks into Firth and Wagner's (1997) second language acquisition research. His study helped to identify factors of second language identity development. Block (2007, p. 872) mentioned in his study that he hoped to have shown how second language identity researchers had managed "to carve out a corner" for themselves in second language acquisition that did not exist 15 years before his study. The study also surmised that identity was still a key construct in second language acquisition research. In a similar context, Norton's (1997) study served as an introduction to the special-topic issue of the TESOL Quarterly on Language and Identity. The researcher illustrated the significant relationship among identity, language learning and classroom teaching. She drew on the issue as a whole to address the prevalent theme in many of the contributions, which was the ownership of English internationally.

On English language and employment opportunities in Malaysia, Sekharan Nair

et al. (2012) investigated the possibility of lack of English proficiency contributing to poor market value among new graduates in Malaysia as well as to identify the aspects of the language proficiency skills that was most favored by the Malaysian work sector. The results surmised that the lack of English proficiency might lead to occupational segregation and affected employment prospects in Malaysia. Going back a few years before, Lim (2010) conducted a study aimed to develop statistical profiling models of low employability graduates in Malaysia. It was found that ethnicity, English language proficiency and types of degree obtained were significant predictors of graduates' employability which was measured either by the number of days being unemployed or the probability of being unemployed. One of the implications in his study was that English language proficiency was found to have a significant influence on graduates' employability. A qualitative study on employers' views found the English language proficiency was an important consideration in the customer service and marketing fields (Ting et al., 2017). A further study confirmed that more than 90% of employers and students in Malaysia agreed that English language proficiency was important for employment in Malaysia (Zainuddin et al., 2019).

The connection between urban English learner's second language identity and employment opportunities in Malaysia is one that is sparsely looked into. The review of previous studies on the combined topics of urban English learners, second

language identity and English language and employment opportunities in Malaysia show that there is a gap in the literature, as most studies are based on either of the topics, mostly focusing on English language and employment opportunities. This study hopes to fill in the gap by finding a correlation between urban English learner's second language identity and their employment opportunities and prompting more research on this connection.

METHODS

This study is an exploratory study that aims to identify urban English learners' perceptions towards their second language identity in Malaysia. Subsequently, to investigate urban English learners' perceptions towards the influence of second language identity on employment opportunities in Malaysia. This study took on a qualitative research design, in which interviews were used to collect data from 12 participants. A semistructured interview was used to collect data with regards to the urban English learners' perceptions towards their second language identity and the influence of the said identity on employment opportunities in Malaysia.

Participants and Sampling

This study employed purposeful sampling, which according to Creswell (2012) is to intentionally select participants to learn and understand the central aspect of the study. The inclusion criteria are individuals between the ages of 19 to 35, who are in Pre-University or have Pre-University qualification, have had at least one-year work experience, part-time or full time, and is currently living in Malaysian urban areas, defined by the Department of Statistics Malaysia as any gazetted area of more than 5km radius with more than 10,000 inhabitants and with at least 60% of its inhabitants involved in non-agricultural activities (Department of Statistics Malaysia, 2020). The participants must also identify themselves as second-language speakers of English. The number of participants is determined by the saturation of data, upon the determination of which three more participants will be sampled (Francis et al., 2010). Table 1 below illustrates a brief background for the 12 participants.

Table 1

Demography and work experience of interview participants

Participant (nickname)	Age	First Language	Educational Level	Work Experience
Aminah	25	Bahasa Malaysia	Bachelor's Degree	Internship at an aviation company
Boy	22	Mandarin	Bachelor's Degree	Part-time promoter at shopping malls

Table 1 (Continued)

Participant (nickname)	Age	First Language	Educational Level	Work Experience
Chandri	23	Tamil	Bachelor's Degree	Internship at kindergarten, Part-time promoter & Part-time kindergarten assistant teacher
Dilah	23	Mandarin	Bachelor's Degree	Internship at a Taiwanese high school
Elina	22	Cantonese	Bachelor's Degree	Internship at board games café & Part-time sales assistant
Fang Yu	22	Cantonese	Bachelor's Degree	Internship as content writer
Goya	23	Malayalam	Bachelor's Degree	Part-time short film director & photographer
Hilos	25	Uzbek	Bachelor's Degree	Internship at a private university
Ivy	23	Mandarin	Bachelor's Degree	Internship as marketing executive
Hasmin	23	Bahasa Malaysia	Bachelor's Degree	Internship as museum curator, marketing executive & project manager
Kay	21	Mandarin	Bachelor's Degree	Part-time English tutor
Liu Hua	23	Mandarin	Bachelor's Degree	Internship as kindergarten assistant teacher

Instrument and Location

Individual semi-structured interviews were conducted on 12 participants who fulfilled the inclusion criteria. Creswell (2012) explained that one-on-one interviews were a type of individual interviews which was fitting for interviewing participants who were eloquent in expressing their ideas. LeCompte and Schensul (1999) maintained that a semi-structured interview allowed for further investigation into the central aspect as necessary. The interviews included questions that identified urban English learners' perceptions towards their second language identity and the influence of their second language identity on employment opportunities in Malaysia. The interview questions were adapted from Roshid and Chowdhury's (2013) study, which was a similar study on English language proficiency and employment among Bangladeshi graduates' success in finding employment in Australia. The five interview questions were:

- 1. What factors do you think are important for your second language identity and why? 2. Which factors do you think can affect your second language identity and how?
- 3. What are some of the useful resources for you to learn English? Do you think these resources generally affect your second language identity and how?
- 4. What language enables you to stand a higher chance of employment and why? 5. Did your English language help you in any employment opportunities and why?

The research aim and objectives were defined for the participants before the interview. As detailed in Eisner (2014), the participants were also asked for their opinions of 'what is a second language identity?' before being told the operational definition of second language identity for objective understanding on the topic. Follow up questions were posed as needed and the interviews ranged from 30 to 60 minutes. The interview questions have been moderated by experienced researchers. Location of the research was focused on Malaysian urban cities where employment opportunities, as well as youths seeking employment opportunities, are prevalent.

Data Collection and Analysis Procedures

Figure 1 shows the proposed conceptual framework of the study which guided the data collection and analysis process. The type of data that was collected in this study was the narrative discussion provided by the participants during the individual interview. The responses were audio-recorded and transcribed verbatim. This study employed the integrated approach for the data analysis to develop the code structure, where codes were derived to be compared to the study's theories as well as referring to initial codes prepared from literature related to this study. Curry (2016) explained that this approach maintains the advantages of inductive coding and accepted different types of codes that were useful in forming certain types of outputs. The themes and sub-themes

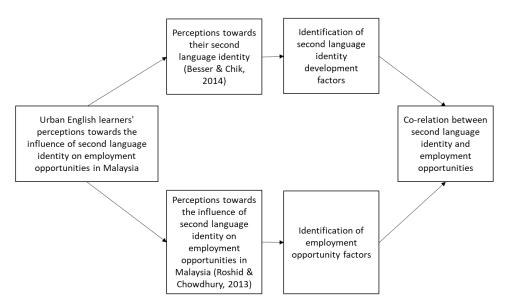


Figure 1. Conceptual framework of the study

were then generated by identifying patterns of themes from the codes. Two areas are investigated; perceptions towards their second language identity as suggested by Besser and Chik (2014) and perceptions towards the influence of second language identity on employment opportunities in Malaysia as suggested by Roshid and Chowdhury (2013). From the investigation of these two areas, comes the identification of second language identity development factors and employment opportunity factors. This then leads to affirming whether there is a correlation between second language identity and employment opportunities.

RESULTS AND DISCUSSIONS

The first research question identified the urban English learners' perceptions on their second language identity via second language identity development factors and useful English language learning resources. For the second research question, the urban English learners' perceptions towards the influence of second language identity on employment opportunities in Malaysia were identified via participants' personal perceptions on whether English language enabled higher chance of employment and whether English language proficiency and identity helped in employment opportunities. Table 2 illustrates the summary of findings.

Perceptions on Their Second Language Identity

Data analysis of the first research question revealed that urban English learners' perceptions on their second language identity via second language identity development factors were personal, social,

Table 2
Summary of findings

Themes	Sub-themes
Answers RQ1: Personal factors are important for second language identity development	 to express oneself better strive for better English proficiency speaking English would be perceived as high class English empowers oneself to be able to use English around the world love and interest for English language to be perceived as well educated
Answers RQ1: Social factors are important for second language identity development	 to communicate with friends and lecturers to better present oneself
Answers RQ1: Professional factors are important for second language identity development	 to communicate with clients and customers employers usually interview in English English language is required in one's line of profession
Answers RQ1: Educational factors are important for second language identity development	 to better understand information English as a medium of instruction to communicate in class teachers teaching English using non-English language in schools
Answers RQ1: Learning environment may affect second language identity development	 friends and classmates in university speak English speaking English in high school would come off as arrogant learning English in schools was for the sake of exams university courses conducted in English family members recognizing the importance of English language participating in English related competitions

Table 2 (Continued)

Themes Sub-themes Answers RQ1: Place of living as a factor English is used more often in cities like that may affect second language identity Kuala Lumpur development hometown does not encourage using English language hometown did not have readily accessible Internet for most families in the past social media Answers RQ1: Useful resources to learn English TV shows YouTube videos English movies English cartoons English songs English books Dictionaries online articles socializing in English Answers RQ1: English learning comfortable expressing in English on social resources may influence second language identity development depiction of scenarios in resources are not relatable to personal experience social media supports the curiosity to learn socializing in English helps one to maintain English language identity TV shows depicts the importance of English resources pushed to learn, to write and to speak English better started speaking vulgar words while learning English through songs learning English on Facebook causes one to write poorly in essays books help widen intercultural knowledge depictions of scenarios on resources forms expectations towards everyday live events vocabulary learned from books can be used in studies and daily life

Table 2 (Continued)

Themes Sub-themes Answers RQ2: English language enables most employers hire those who speak higher chance of employment English as a second language most workplace in Malaysia uses English for communication most employers hire fluent English speakers fluent English speakers help companies to communicate with international clients employers usually interview in English English language proficiency is important to impress employers English language helps to perform well at work English language skills are needed for certain employment companies want to be perceived as "high class" with English speakers" Answers RQ2: English language given more responsibility at work because proficiency and identity help in of English proficiency employment opportunities ideal job requires usage of English English language identity helps to improve **English** education able to understand the convey the instructions in English to be able to communicate to international level of English language fluency and proficiency provides an advantage more confident speaking English to be perceived as well educated and confident

professional, educational and learning environment. Participants' perceptions on useful resources to learn English and how those resources generally affected their second language identity also contributed to the first research question.

Learning Environment Affects Second Language Identity Development.

Among the five-second language identity development factors, learning environment was the only factor that was cited by all 12 participants. The next most cited factor was social factor with 9 participants citing it,

followed by professional and educational with 7 participants and personal with 6 participants respectively. While citing the learning environment might affect second language identity development, most participants elaborated that "speaking English in high school would come off as arrogant" and "learning English in schools was for the sake of exams" can affect one's

second language identity. Such a finding is not unusual as such ideology was found to be persistent in the Malaysian context. Kim (2006) had found that using the English language was often being viewed as trying to "show off" and to boast oneself. Figure 2 below shows a participant's narrative that reiterates the point of discussion.

Participant: Aminah

"Because in high school, there's a restriction in not being able to have that identity to be honest. Because I come from Sekolah Menengah Kebangsaan so its mixed but because majority is Malay and back then people have this idea, that if you speak in English, you're trying to be a snob. You're trying to be snobbish, you know, you're not being yourself. Because they relate you very closely to your race, to your culture."

Figure 2. Participant's narrative on "speaking English in high school would come off as arrogant"

Next, the perception that learning English in schools was for the sake of exams was echoed in Chang and Goswami's (2011) study on factors that affected the implementation of communicative language teaching. Their study was conducted on Taiwanese college English classes, and

they found that one of the factors that impeded the implementation was the "examoriented" style of teaching, where students were driven to utilize English language in an academic sense only. Figure 3 below shows a participant's narrative that reiterates the point of discussion.

Participant: Boy

"If we learn English, we learn the grammar, the punctuation, we learn how to spell the word, but we don't really learn how to use the language... "How are you?", "I am fine thank you, how are you?" "I am fine thank you too" [laughs] Like in my primary school, we may think that it is the only way to greet people. Because you don't really use it with the English talking people and like a formula you have to memorize, like a question must be followed by an answer. Like tag questions have a certain way to form the sentence at the end and how they should answer you, like if you ask "isn't it?" then you should answer "it is" right? That kind of work.. like homework."

Figure 3. Participant's narrative on "learning English in schools was for the sake of exams"

English Language-Learning Resources.

Moving on to participants' perception on useful resources to learn English and how those resources generally affect their second language identity also contributed to the first research question, the 12 participants stated social media, English TV shows, YouTube videos, English movies, English cartoons, English songs, English books, dictionaries, online articles and socializing in English as useful resources to learn English. The most cited resources are English books and English movies. The type of English books the participants read were mostly fantasy genres such as Harry Potter by J. K. Rowling, which was cited the most. The elaboration that the participants gave were that reading English books helped with widening vocabulary and learning new terms or phrases. Alsup (2010) stated in her book that an aspect of identity formation was embedded in literature and youth identity development was the notion of narrative identity. She explained that the stories one told about their personal experiences grew in detail as one moves through childhood and into adulthood. Hence, reading young adult literature, such as fantasy books may have an impact on one's identity development. This is also true in the context of this study, where some of the participants who grew up reading J. K. Rowling's Harry Potter, found traces of the experience in their second language identity. Figure 4 below shows a participant's narrative that reiterates the point of discussion.

Participant: Ivy

"For books, I think the easier way for you to learn is through, for example, short stories, novels, those kind of light reading, not like textbooks or exercise book because when you want to do the questions, you'll feel pressured, you wouldn't feel like you want to continue learning it, but like if you just read the story, enjoy the story, of course slowly it would improve your vocabulary. You improve your grammar...During my childhood, I read the Enid Blyton, I was attracted to the book cover at first actually because it's very cute. I read the books and also I read Harry Potter...the words that they use are also not complicated. So, it's easier to understand, as a teenager, it's easier for me to digest so that's why the interest developed from there."

How does these resources generally affect your second language identity?

"Yes, of course...I feel that my world is bigger because I am exposed to different cultures. Like for example, when I read Harry Potter maybe I know some UK cultures those sort of things...So my language identity it affects me in a way that I feel I enjoy English language class more than before. Yes because I discovered the joy of learning it. So, that is why I enjoy my English class more than I was before. I also observe the difference in the accent, for example, Harry Potter, they are UK accent right?...I feel that it's very formal and it attracts me the accent. But I don't really try to emulate in real life, I feel quite shy to emulate in real life."

Figure 4. Participant's narrative on English language fantasy books having an impact on one's identity development

Next, the resource, English movies, most participants explained that while watching an English movie, having the subtitle on, be it English subtitles or another language's subtitles, helps with understanding the language better. Etemadi's (2012) study suggests that subtitled movies proved to be more efficient at developing listening

comprehension. The study also suggests that subtitled movies help students learn a foreign language judging from improvement in reading and listening comprehension, word recognition, decoding skills and vocabulary acquisition. Figure 5 below shows a participant's narrative that reiterates the point of discussion.

Participant: Liu Hua

"I watch all kinds of movies and dramas and because mostly they are in Chinese. And then the subtitles will be in English. Because it's kind of like, it's not direct translation but then it teach you the word actually. Because they have Chinese subtitle and English subtitle, together. So when you don't know the word you can directly refer to the word up there, in Chinese. So I think it's very useful for learning English."

How does these resources generally affect your second language identity?

"I think it does. Because sometimes the academic word that you learn from essay books, you can actually use it in your essay writing during exam. So, you get higher marks, so your identity is kind of upgrade I'd say. And then for newspaper and books, the words that we learn from newspapers and subtitles all that, I think we can apply in daily life. So, it makes your speech more fluent."

Figure 5. Participant's narrative on English language movies as a useful resource to learn English

Perceptions towards the Influence of Second Language Identity on Employment Opportunities

Data analysis of the second research question revealed that all 12 of the participants stated that English was the language that enabled the higher chance of employment in Malaysia, and that their English language proficiency and identity helped in employment opportunities.

English Language Enables Higher Chance of Employment in Malaysia. All 12 of the participants stated that English was

the language that enabled higher chance of employment in Malaysia. The most cited explanation was "most employers hire fluent English speakers", "English proficiency is important to impress employers" and "ideal job requires English language skills". This has been cited by studies on English language and employment in Malaysia in the past two decades, such as, Ball and Chik (2001), Sarudin et al. (2008), Lim (2010), Sekharan Nair et al. (2012), Roshid and Chowdhury's (2013), and Selvaratnam (2019). All these studies agreed that English language proficiency

was crucial for employment in Malaysia and now with this study's participants nodding in unison as well. Figure 6 below shows a participant's narrative that reiterates the point of discussion.

Participant: Hasmin

"English. Because first of all, I am looking for employment in the private sector in Malaysia. And main language used when they're putting out job vacancies are usually in English especially for big companies. And companies that are looking to go international, they would usually be English. So being good in English will give you an advantage, to just be noticed by the employer especially if you have a good cover letter or your resume reflect correctly. So during interviews you can usually, in this companies, they will interview you in English. So if you're good in English, you can present yourself well, confident and I think that's highly attractive to those hiring managers."

Figure 6. Participant's narrative on English language enabling a higher chance of employment in Malaysia

English Language Identity Helped in Employment Opportunities. An interesting finding is that almost all of the participants stated that English language identity would help in employment because their ideal or dream job required language skills and identity. It is important to note that even though most of the participants are taking a university course in English, only four of them, Chandri, Fang Yi, Kay and Liu Hua intend to become an English educator

in the future. Hence, it is peculiar that 11 out of 12 participants' ideal or dream jobs would, either directly or indirectly, require English language skills and/or identity. This would further strengthen this study's hypothesized connection between urban English learners' second language identity and their employment opportunities in Malaysia. Figure 7 below shows a participant's narrative that reiterates the point of discussion.

Participant: Liu Hua

"I think it does help me in my employment opportunities because when you speak English to them the first time, before interviews also, they would perceive you like, you are educated, you are presentable. And then they would give you like higher marks you know, during the interview. Even before they interview, they have a better impression of you just because you speak English. And then they would start asking you "Do you know how to differentiate between this or this?" They would look at you differently...They will think of you as.. "Yeah you can speak English, you're going to teach the students well." Even though they didn't check your grades. They would think of you as "OK. I think you're up for the job.""

Figure 7. Participant's narrative on English language identity helping in employment opportunities

CONCLUSION

This study has shown that it may take more than just English language proficiency to secure a job in today's working world. Because it is undeniable, especially in the Malaysian context, that English language proficiency and its attributes to employability is still a frequently discussed issue decades later, shown in Gaudart (1987) and 21 years later in Sarudin et al. (2008). This issue is also reiterated by Selvaratnam (2019). This study has thus, obtained relevant data that may fill in the research gap in fields regarding second language identity and employment opportunities. Supported by the English language identity development factors provided by the participants themselves, this study may provide English educators the latest or even more effective methods to teach English learners. This is applicable in today's context, as the world advances towards the fourth industrialization. Those resources mentioned by the participants in this study contain a few newer resources that many other non-native English learners may not have utilized while developing their language proficiency and identity. Researchers who are interested in further expanding this topic might consider obtaining a larger sample for qualitative data analysis. A larger sample would mean more time should be invested into the study. However, a larger sample would be paramount to further strengthen the connection between second language identity and employment opportunities. It would also be good to consider conducting a long-term project that involves participants

noting down their narratives such as a photo-elicitation project, to use as data for furthering this research. This can provide a more detailed and in-depth narrative as well as perception.

ACKNOWLEDGEMENT

We would like to thank all the participants of this study.

REFERENCES

- Ab Dollah, R., & Shah, P. M. (2016). A comparison between vocabulary learning strategies employed by urban and rural schools students. *Journal of Education and Social Sciences*, *4*, 114-121.
- Alsup, J. (Ed.). (2010). Young adult literature and adolescent identity across cultures and classrooms: Contexts for the literary lives of teens. Routledge. https://doi.org/10.4324/9780203853139
- Amini, A. (2020). Social identity: A composite concept in Social Sciences research. *Journal of Social Sciences and Humanities Research*, 8(3).
- Baharudin, R., Hong, C. Y., Lim, S. J., & Zulkefly, N. S. (2010). Educational goals, parenting practices and adolescents' academic achievement. *Asian Social Science*, 6(12), 144-152. https://doi.org/10.5539/ass.v6n12p144
- Ball, R., & Chik, R. (2001). Early employment outcomes of foreign and educated graduates: The Malaysian experience. *Higher Education*, 42(2), 171-189. https://doi.org/10.1023/A:1017579415737
- Benson, P., Barkhuizen, G., Bodycott, P., & Brown, J. R. (2013). Second language identity in narratives of study abroad. Palgrave Macmillan. https://doi.org/10.1057/9781137029423
- Besser, S., & Chik, A. (2014). Narratives of second language identity amongst young English

- learners in Hong Kong. *ELT Journal*, 68(3), 299-309. https://doi.org/10.1093/elt/ccu026
- Block, D. (2007). The rise of identity in SLA research, post Firth and Wagner (1997). *The Modern Language Journal*, *91*, 863-876. https://doi.org/10.1111/j.1540-4781.2007.00674.x
- Campbell, J. (2018). English language and an inclusive Malaysia. *3L: The Southeast Asian Journal of English Language Studies*, *24*(3), 206-219. http://doi.org/10.17576/3L-2018-2403-15
- Chang, M., & Goswami, J. S. (2011). Factors affecting the implementation of communicative language teaching in Taiwanese college English classes. *English Language Teaching*, 4(2), 3-12. https://doi.org/10.5539/elt.v4n2p3
- Creswell, J. (2012). Educational research planning, conducting, and evaluating quantitative and qualitative research (4th ed.). Pearson.
- Crismore, A., Ngeow, K. Y. H., & Soo, K. S. (1996). Attitudes toward English in Malaysia. *World Englishes, 15*(3), 319-335. https://doi.org/10.1111/j.1467-971X.1996.tb00118.x
- Curry, L. (2016). Fundamentals of qualitative research methods [Video]. Yale University. https://www.youtube.com/watch?v=wbdN sLWl88
- De Fina, A. (2012). Discourse and identity. *The Encyclopedia of Applied Linguistics*, 1-8.
- Department of Statistics Malaysia. (2020). *Population and Housing Census*. https://www.dosm.gov.my/v1/index.php?r=column/cone&menu_id=bDA2VkxRSU40STcxdkZ4OGJ0c1ZVdz09
- Eisner, E. (2014). Objectivity in educational research. *Curriculum Inquiry*, 22(1), 9-15. https://doi.org/10.1080/03626784.1992.11075389
- Etemadi, A. (2012). Effects of bimodal subtitling of English movies on content comprehension and vocabulary recognition. *International Journal of English Linguistics*, 2(1), 239. https://doi.org/10.5539/ijel.v2n1p239

- Firth, A., & Wagner, J. (1997). On discourse, communication, and (some) fundamental concepts in SLA research. *The Modern Language Journal*, 81(3), 285-300. https://doi.org/10.1111/j.1540-4781.1997.tb05480.x
- Francis, J. J., Johnston, M., Robertson, C., Glidewell, L., Entwistle, V., Eccles, M. P., & Grimshaw, J. M. (2010). What is an adequate sample size? Operationalising data saturation for theory-based interview studies. *Psychology* and Health, 25(10), 1229-1245. https://doi. org/10.1080/08870440903194015
- Gaudart, H. (1987). English Language Teaching in Malaysia: A historical account. *The English Teacher*, *16*(1987), 17-36.
- Glaeser, E. L. (1999). Learning in cities. *Journal of Urban Economics*, 46(2), 254-277. https://doi.org/10.1006/juec.1998.2121
- Gobel, P., Thang, S. M., Sidhu, G. K., Oon, S. I., & Chan, Y. F. (2013). Attributions to success and failure in English language learning: A comparative study of urban and rural undergraduates in Malaysia. *Asian Social Science*, 9(2), 53-62. https://doi.org/10.5539/ass.v9n2p53
- Hanapi, Z., & Nordin, M. S. (2014). Unemployment among Malaysia graduates: Graduates' attributes, lecturers' competency and quality of education. *Procedia-Social and Behavioral Sciences*, 112(2014), 1056-1063. https://doi.org/10.1016/j. sbspro.2014.01.1269
- Kim, L. S. (2006). Masking: Maneuvers of skilled ESL speakers in postcolonial societies. In A. Hashim & N. Hassan (Eds.), English in South East Asia: Prospects, perspectives and possibilities. University of Malaya Press.
- Kudrna, L., Furnham, A., & Swami, V. (2010). The influence of social class salience on self-assessed intelligence. *Social Behavior and Personality: An International Journal*, 38(6), 859-864. https:// doi.org/10.2224/sbp.2010.38.6.861

- LeCompte, M., & Schensul, J. (1999). *Analyzing & interpreting ethnographic data*. Altamira.
- Lim, H. E. (2010). Predicting low employability graduates: The case of University Utara Malaysia. *The Singapore Economic Review,* 55(03), 523-535. https://doi.org/10.1142/s0217590810003870
- Norton, B. (1997). Language, identity, and the ownership of English. *TESOL Quarterly*, 31(3), 409-429. https://doi.org/10.2307/3587831
- Norton, B., & McKinney, C. (2011). An identity approach to second language acquisition. In D. Atkinson (Ed.), *Alternative approaches to Second Language Acquisition* (pp. 73-94). Routledge.
- Rajadurai, J. (2011). Crossing borders: The linguistic practices of aspiring bilinguals in the Malay community. *Australian Review of Applied Linguistics*, 34(1), 24-39. https://doi.org/10.1075/aral.34.1.02raj
- Roshid, M. M., & Chowdhury, R. (2013). English language proficiency and employment: A case study of Bangladeshi graduates in Australian employment market. *Mevlana International Journal of Education*, 3(1), 68-81.
- Sarudin, I., Zubairi, A. M., Nordin, M. S., & Omar, M. A. (2008). The English language proficiency of Malaysian public university students. In Enhancing the Quality of Higher Education Through Research: Shaping Future Policy (pp. 40-65). The Ministry of Higher Education (MOHE) Malaysia.
- Sekharan Nair, G., Rahim, R., Setia, R., Husin, N., Sabapathy, E., Abd Jalil, N., Razlan, R. M., Mohamad, R., Mat So'od, S. M., Md Yusoff, N. I., Mohamed, N. M., & Abu Seman, N. (2012). Malaysian graduates English adequacy in the job sector. *Asian Social Science*, 8(4), 143-147. https://doi.org/10.5539/ass.v8n4p143

- Selvaratnam, V. (2019). Malaysia: National language policy and employability. *International Higher Education*, 96(Winter), 16-18. https://doi.org/10.6017/ihe.2019.96
- Swami, V., & Furnham, A. (2010). Self-assessed intelligence: Inter-ethnic, rural-urban, and sex differences in Malaysia. *Learning and Individual Differences*, 20(1), 51-55. https://doi.org/10.1016/j.lindif.2009.11.002
- Ting, S. H., Marzuki, E., Chuah, K. M., Misieng, J., & Jerome, C. (2017). Employers'views on importance of English proficiency and communication skill for employability in Malaysia. *Indonesian Journal of Applied Linguistics*, 7(2), 315-327. https://doi. org/10.17509/ijal.v7i2.8132
- Wahid, R., & Pilus, Z. (2017). Learning English in a third space? Malay students in an Englishspeaking university in Malaysia. *Journal of Social Sciences & Humanities*, 25(3), 1167-1180.
- Zainuddin, S. Z. B., Pillai, S., Dumanig, F. P., & Phillip, A. (2019). English language and graduate employability. *Education+Training*, 61(1), 79-93. https://doi.org/10.1108/ET-06-2017-0089





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

'Let's take a look...': An Investigation of Directives as Negotiating Interpersonal Meaning in Engineering Lectures

Heri Kuswoyo^{1, 2*}, Eva Tuckyta Sari Sujatna², Lia Maulia Indrayani², Akhyar Rido¹, and Doris Macdonald³

ABSTRACT

The role of directives with command and question speech functions in teaching and learning contexts has received increased attention across a number of disciplines in recent years. This current study was aimed at investigating the use and function of directives with command and question speech functions as a dimension of interpersonal realization in aerospace engineering lectures at Delft University of Technology, Netherlands. Focusing on the English mood system, this study applied Halliday's (1985, 1994) and Eggins's (1994) Systemic Functional Linguistics (SFL) approach. A qualitative content analysis was carried out in four selected content lessons. The data were collected through videotaped recordings as found

ARTICLE INFO

Article history:

Received: 14 October 2020 Accepted: 13 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.03

E-mail addresses:
hery@teknokrat.ac.id (Heri Kuswoyo)
eva.tuckyta@unpad.ac.id (Eva Tuckyta Sari Sujatna)
lia.maulia@unpad.ac.id (Lia Maulia Indrayani)
akhyar_rido@teknokrat.ac.id (Akhyar Rido)
dmvm@niu.edu (Doris Macdonald)
*Corresponding author

at cosmolearning.org. The findings showed that engineering lecturers employed various types of directives. In terms of commands, the lecturers used imperative, declarative, and modulated interrogative moods. In addition, lecturers used interrogative and declarative moods to pose questions. The lecturers used commands to express their attitudes, to organize their messages, to check students' understanding, and to signal the contents of the exams. Meanwhile, in terms of questions, they function to elicit

¹Department of English Literature, Faculty of Arts and Education, Universitas Teknokrat Indonesia, Lampung 35132, Indonesia

²Department of Linguistics, Faculty of Cultural Sciences, Universitas Padjadjaran, Jatinangor-Sumedang 45363, Indonesia

³Department of English, College of Liberal Arts and Sciences, Northern Illinois University, Illinois 60115, USA

students' background knowledge, to check on students' comprehension, and to handle classroom management issues. The findings of this study can be used by English for Academic Purposes (EAP) professionals, in particular, language lecturers preparing students for the English for Medium Instruction (EMI) study. Also, stakeholders should use the findings of this study as a tool to improve English for English Special Purposes (ESP) teaching and learning in the context of the engineering classroom.

Keywords: Command, engineering lectures, negotiating interpersonal meaning, question, SFL

INTRODUCTION

Lecturing is the most popular teaching form in university academic courses (Rido et al., 2020; Taghizadeh & Namayandeh, 2020). During the teaching and learning process, lecturer and student interaction is often required to develop several higherlevel learning outcomes. The language used during classroom interaction has various functions that reflect the meaning of speakers' utterances, such as asking questions and making statements, offers, or commands (Rich, 2016; Walsh, 2011). This is particularly paramount for the advancement of academic learning in which students are challenged to question ideas and concepts to gain a deeper understanding (Moore, 1989; Palma, 2014).

Simultaneously, the language used in a classroom creates particular relationships between lecturer and students to build interpersonal meaning and negotiation to reveal what students feel and think (Komarawan, 2019). Therefore, negotiating interpersonal meaning becomes salient. Through negotiating interpersonal meaning, lecturers interact, take turns, and exchange meaning in roles with students in order to convey ideas and give-receive information effectively (Williams, 2011). Furthermore, negotiating interpersonal meaning is crucial in building talk or dialogue with students (Yuliati, 2012) and of great importance as part of understanding learning and learners' language development (Sahan, 2020; Xuan & Huang, 2017).

This study discusses the speech role of directive with commands and questions as a means of negotiating interpersonal meaning in the classroom where English is used as the medium of instruction (EMI). Both commands and questions are linguistic elements of interactive lecture discourse; on behalf of students, these can develop and strengthen communicative skills for any speech function (Morell, 2004). In addition, both textual and interpersonal roles occur in commands and questions. They can serve as referential, coherent, organizational instruments, and define the role of the lecturer towards students. The directive with commands and questions is also central to the pedagogical range of lecturers and their effectiveness is essential to the optimization of learning outcomes (Waring & Hruska, 2012). With regard to commands and questions, Halliday's (1985, 1994) systemic functional linguistics (hereafter SFL) approach to interpersonal meaning is used to identify the English mood system during the interactions. English mood concerns "basic interpersonal distinctions in clause types such as declarative, interrogative, and imperative" (Quiroz, 2018, p. 137). As illustrated in Figure 1, English clauses are described as three essential interactions.

The term "mood" refers to the primary interpersonal system of clauses by considering the occurrence of functional mood elements of the subject and finite in a clause (Martin, 2018; Martin et al., 1997). Based on this system, a clause consists of two functional elements, namely mood and residue (Bloor & Bloor, 2004; Sujatna, 2013). Mood is the combination of the functional constituents of subject and finite of a clause, while residue is the combination of predicator, complement, and/or adjunct of a clause. Research on directives as a realization of negotiating interpersonal meaning with different approaches, such as pragmatics, sociolinguistics, and discourse studies has been conducted.

However, it appears that these approaches are unsatisfactory because they do not take the wider communicative contexts into account. Thus, the present study fills the gap with SFL as an approach to language in its entirety. Such an approach describes language in actual use in texts and their contexts (Ghadessy, 1999; Kuswoyo et al., 2020; Sujatna, 2013).

The key subject of this study is the collaborative dialogue that takes place in English as a medium of instruction (EMI) university contexts, focusing on one aerospace engineering department at a university in the Netherlands, the Delft University of Technology. The Netherlands was chosen as the research context based on two criteria, namely, its ranking as one of the best global universities for engineering in the Netherlands (Morse, 2017) and its high ranking for English language skills (EF English Proficiency Index, 2020). In addition, EMI is increasingly used in

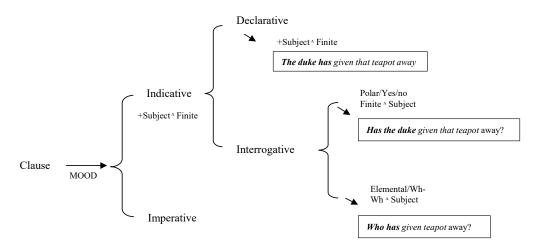


Figure 1. System network for English mood (Halliday, 1985, 1994)

Dutch engineering lectures (Breetvelt, 2018; Vinke & Jochems, 1993). In today's world, the engineering discipline has become an essential technical literacy for 21st century (Qadir et al., 2020). As Crystal (2013, as cited in Björkman, 2018) pointed out, English has established itself as the dominant science lingua franca. Moreover, English is the dominant foreign language used as instruction in universities throughout Europe and the world (Soruc & Griffiths, 2017; Vinke & Jochems, 1993). Nevertheless, there are some common issues with EMI teaching and studying such as students' inadequate language proficiency, having to educate the indigenous people and teachers, and the lack of foreign host language students' abilities (Coleman, 2006; Rido, 2020). In Mukminin's (2019) study, some Indonesian students studying in Dutch institutions of higher education were found to have faced difficulties due to linguistic issues. The students had trouble using their English in listening, speaking, reading, and writing, which prohibited them for sharing with others. Dearden (2014) added that a lack of resources, the changing role of lectures, and a standard level of EMI teachers were still problematic. Given these findings, this study is necessary to help facilitate the preparation of NNS students in EMI contexts to study since they will interact with lecturers, researchers, and other students from diverse linguistic backgrounds who are engaged in academic work related to that particular field. Therefore, this study was guided by the following research questions:

- 1. How are command and question speech functions realized in different grammatical moods in engineering lectures?
- 2. How do commands and questions enhance negotiating interpersonal meaning in engineering lectures?

LITERATURE REVIEW

Previous studies

Many studies have become increasingly interested in the realization of directives with commands and questions as an expression of thoughts, opinions, feelings, and attitudes in classroom contexts (Andriany, 2011; Dalton-Puffer, 2005; Sunardi et al., 2018; Waring & Hruska, 2012). These studies have proven that directives are integral to lecturers' pedagogical repertoire, and their efficacy crucial to optimizing learning outcomes. An early study by Dalton-Puffer (2005) explored directives as an aspect of interpersonal communication management in classrooms where a foreign language was used as a medium of instruction. The study showed that in the Austrian CLIL classroom, students received more indirect and modified requests. In other words, various linguistic moves such polite requests in English were found. In another study, Andriany (2011) examined interpersonal utterances in English as a foreign language classroom in Medan, Indonesia. She noted that the representation by clause system emphasis on interpersonal lexicogrammar in the studied texts indicated that the mood structure of each text was realized either by teachers or students.

Another study that also looks specifically at directives is that of Waring and Hruska (2012). In their study, they explored issues of clarity and relevance that could render directives problematic and incurred understanding difficulties in pedagogical interaction. Their findings revealed that multiple self-repairs, unspecified references, conflicting messages, and question designs that failed to adequately limit the range of acceptable answers were some factors that could reduce the clarity of a directive. In subsequent work, Sunardi et al. (2018) studied the lexico-grammatical realizations of interpersonal meaning in an Indonesian university's context where English was used as a foreign language. The findings showed that declarative clauses, interrogative clauses, and imperative clauses predominated, but often to serve individuated functions. A teaching-centered approach in classrooms informed the prevalence of the declarative clauses. In addition, the interrogative clause was also used by the lecturer to help students understand the learning materials. Finally, the imperative clause was often used to ask students to do something relevant to the understanding of learning materials.

A number of studies with different frameworks and methodologies have examined directives with commands and questions as an important way of creating conversation or dialog in academic settings with the students and as part of the comprehension of learning in general and language production (Xuan & Huang, 2017). However, studies dealing with the analysis of negotiating interpersonal

meaning in the classroom specifically directives using a SFL approach are limited. What is missing from this growing body of research on directive use in EMI contexts is an investigation of how EMI lecturers construct mood structures in classroom interaction. Thus, this study aims to address this gap in the literature by investigating the importance of the directive as a means of negotiating interpersonal meaning in the classroom.

Conceptual Framework

This study largely uses a framework of mood structure rooted in Halliday's (1985, 1994) theory, and further developed by Eggins (1994). The SFL framework guides this study and has led to a substantial amount of empirical research on a variety of speech functions and mood systems. SFL considers language as a social semiotic structure, involving experiential, interpersonal, and textual meanings (Halliday & Matthiessen, 2014). From the interpersonal meaning perspective, language is used to help us engage in interactions with others, take on positions and communicate emotions, behaviors, and thoughts, and to understand them (Eggins, 1994; Fontaine, 2013; Lock, 1996).

This study focuses on the understanding of interpersonal meaning through directives with question and command of the speech functions. With regard to the directive, Eggins (2004) developed a model of typical and non-typical mood in clauses. She proposed, for example, that not all demands for goods and services had to

be imperatives: commands were typically expressed by imperative clauses but they could also be expressed by declaratives or modulated interrogatives. While questions are usually expressed by interrogatives, they, too, can be expressed by modulated declaratives. Meanwhile, Lock (1996) urged that the category of directives included order, prohibition, suggestions, permissions,

and requests. Yet, some linguists (Eggins, 2004; Halliday, 1985, 1994; Schleppegrell, 2013; Thompson, 2014) use different terms. In terms of command, Lock (1996) used directives, and he differentiates between questions and directives. As Table 1 shows, a model of negotiating interpersonal meaning in English directives with commands and questions is elaborated.

Table 1
Model of English directives: Commands and questions (Adapted from Eggins, 2004; Halliday, 1985, 1994)

Speech function		e typical mood in use	Ways of interacting	Example
Command (demanding goods & services)	1.	Imperative mood (typical clause mood)	to get something done directly	"Read Henry James"
	2.	Declarative mood (non-typical clause mood)	to get something done	"I'm hoping you'll read some Henry James"
	3.	Modulated interrogative mood (non-typical clause mood)	indirect request for information	"Would you mind reading Henry James, please?"
	4.	Permission directive (non- typical clause mood)	requires an action	"May I have a match?"
	5.	Question Directive (non-typical clause mood)	to get something done indirectly	"Got a match?"
	6.	Hints (non-typical clause mood)	indirect and require considerable knowledge of the situation	"The matches are all gone" "I am not really good prepared for"
	7.	Need statement (non-typical clause mood)	to mark them as requests by adding "please",	"I need a match, please!"

Table 1 (Continued)

Speech function	The typical mood in clause	Ways of interacting	Example
	8. Wishes (non- typical clause mood)	to get something done indirectly	"What I would like you to do later is"
	9. Desires (non- typical clause mood)	to get something done indirectly	"I want you to write a little heading"
	 Obligation (non- typical clause mood) 	to get something done directly	"You must return it according to your catalog number"
Question (Demanding information)	Interrogative mood (typical clause mood)	to ask for information to encourage someone to think about something	"Is <i>The Bostonians</i> by Henry James?"
	2. Modulated declarative (non-typical clause mood)	to ask for information	"I was wondering whether <i>The Bostonians</i> might be by Henry James"

METHODS

Research Design

This study used Krippendorff's (2004) qualitative content analysis, characterized as a research technique for making textual inferences replicable and true in the sense of their use. This study was based on a systematic and analytical method for rational inference from oral, visual, or written knowledge to explain and measure particular phenomena (Downe-Wamboldt, 1992).

Data Collection

This study was based on the Cosmolearning. org freely available online lecture series

(https://cosmolearning.org). Cosmolearning. org is a web platform collection of educational videos from hundreds of universities, educators, and professionals. Four aerospace engineering lectures from the University of Delft in the Netherlands were the main resources for this study. These lectures were chosen because of their scientific content and because English is used as the medium of instruction for this subject. The lecturers in these videos are all fluent, though non-native speakers of English, three males, and one female. There are two limiting factors in the analysis that should be noted: (1) this study used only transcripts, focusing on analyses of mood structures while recognizing that non-verbal,

visual and prosodic clues are also part of the complete lecture setting; (2) following Siepmann (2005), as is typical for research on ready-made corpora, there was no data triangulation. This study is, therefore, based on judgments of plausibility rather than on certainty (Mann & Thompson, 1998, as cited in Deroey & Taverniers, 2012). Table 2 presents a description of the lectures used in this study. These lecturers will be referred to by their initials throughout.

Creswell (2009) noted that any qualitative study should choose participants or sites deliberately to help researchers better understand the problem and research problems, including video and visual content. Regarding the criteria for data selection, the video recorded lectures were collected from https://cosmolearning.org

and distributed across four broad themes: (1) Ballooning (JH) (https://cosmolearning.org/video-lectures/introduction-aero-eng-ballooning/), (2) How aircraft fly (JS) (https://cosmolearning.org/video-lectures/how-airplanes-fly/), (3) Fundamentals of aerodynamics (HB) (https://cosmolearning.org/video-lectures/aerodynamics-1-fundamentals/), and (4) Flight mechanics (MV) (https://cosmolearning.org/video-lectures/flight-mechanics-1-introduction/).

All four video-recorded lessons were first transcribed verbatim manually. After that, they were transcribed into text format using YouTube auto-transcribe service. The decision was made to use this feature because it provides highly accurate, consistent, and quality transcription (Adrina, 2019).

Table 2

Description of lecturers in the current study

Transcripts Number (label)	Participants (initials)	Gender	Topic/title	Duration
L1 AeEn	JH	Male	Ballooning	1
LI_ACEII	JΠ	iviaie	Banooning	1:26:13
L2_AeEn	JS	Male	How aircraft fly	1:34:59
L3_AeEn	НВ	Female	Aerodynamic fundamentals	1:26:09
L4_AeEn	MV	Male	Flight Mechanics	1:28:19

Data Analysis

The data analysis in this study was carried out in four steps: decontextualization, recontextualization, categorization, and compilation. The decontextualization stage included accessing, downloading, and transcribing the videotaped lectures the manual and audio transcriptions were checked for accuracy and read in their entirety for cohesion. Next, the relevant meaning units were identified and then the coding for each of these used an open coding procedure. A sample of the coding scheme of transcribed text is illustrated in Table 3.

After open-coding of the data was completed, similar characteristics in the data set were identified and classified. The transcribed utterances were divided into question clauses and command clauses based on the mood system suggested in Halliday (1985, 1994) and Eggins (1994). At the contextualization stage, the original texts were reread alongside the final list of units of meaning to check that all aspects of the material were addressed concerning the research questions. The third stage is

categorization. In this stage, the authors identified themes and categories rooted in the data from which they arise. Finally, the compilation of data included a summary of themes, categories, or sub-themes presented in tabular format (Bengtsson, 2016). To ensure validity of the data sorting, a peer debriefing and an independent accuracy check by a linguistic expert not involved in the data gathering process were undertaken. Table 4 presents an example of how data were organized and presented; in this example, an imperative form is used with an advisory function.

Table 3
Sample coding of transcribed text data

Data No.	Meaning Unit (Utterances)	Condensed meaning unit (Clauses)	Category	Coding
Im_03/I	So let's change this formula! We know that the air density is by mass divided by volume, which means that the volume is mass divided by density.	Let's change this formula.	Command	Use imperative (typical clause)

Table 4

Example of data presentation

	Mo	ood		Residue	
Function	Subject	Finite	Predicator	Complement	Adjunct
Advice			Remember	that!	

RESULTS

In this section, the findings from the analysis of directives with commands and questions in EMI engineering lectures are presented. These directives manifest various grammatical moods and functions in the dimensions of interpersonal interaction in aerospace engineering lectures.

Table 5 presents the different categories of command and question functions in the data

as they relate to various grammatical moods. Commands in these aerospace engineering lectures were found to be manifested through imperative, interrogative, and declarative mood structures. The function of each sub-mood type "directive" is also presented in Table 5. A thorough discussion of grammatical moods and their functions in the data follows.

Table 5
Summary of English directives in the aerospace engineering lectures

	mmands emanding Goods & Services)	Questions (Demanding Information)		
1.	Imperative Mood (Typical mood clause)	1.	Interrogative Mood (Typical mood	
a.	Advice "So please also remember these!" "Remember that! We said that."	a.	clause) Request (Wh-Interrogative) "How many passengers do you think travel annually by air?"	
b. с.	Warning "Don't ask me why they did it." "Don't study it too intensively." "Please be aware!" Instruction	b.	"What's the general principle?" Confirming or denying information (Yes/No Question) "Does that make sense?"	
C.	"Let's change this formula!" "So take out your notebook." "Let's go to the first force!"	2. a.	Declarative Mood (Non- typical mood clause) Request	
2.	Declarative Mood (Non- typical mood clause)		"There are three general principles."	
a.	Obligation "You have to be able to understand all the forces." "So you have to understand all the forces that act on the aircraft."		"There is a little functional feeling in the atmosphere but there is another way."	
b.	Necessity "You really should remember it also for the exam." "You can use some kind of snowball effects."			

Table 5 (Continued)

Commands (Demanding Goods & Services)

Questions (Demanding Information)

- 3. Modulated Interrogative Mood (Non-typical mood clause)
- a. Permission Directive
 "Can I now just integrate and do something in general or not?"
- b. Question Directive
 "Maybe could you please go to the
 service desk and ask for new batteries
 for my microphone, please?"

Command Speech Functions

This section presents not only the function and categories of command but also the grammatical moods instantiating them in the aerospace engineering lectures studied. Grammatical mood encodes how the conditions are arranged to offer interpersonal meanings such as challenges, agreements, statements, refusals, among others. The discussion also aims at highlighting the connection between the semantic organization, the mood structure of the clauses, and grammar differences. Within clauses of various mood forms, the authors then define the functional elements and their configurations. As noted earlier, two constituents are established in interpersonal meaning: mood and residue. Mood is defined as the primary interpersonal system of clauses by considering the occurrence of functional mood elements of the subject and finite in a clause. Meanwhile, the residue is merely what is "left over" once the mood has been established. Residue is the combination of predicator, complement, and/or adjunct of a clause.

Imperative Mood.

The use of imperative in the classroom is influenced by the role relationships among lecturer and students. As the center of the teaching-learning activities, the lecturer is responsible for students' understanding of the learning materials. In this context, the lecturer is entitled to ask students to do something related to their understanding of the learning materials. These roles are consistent with Lock's (1996) descriptions. In many contexts, directives are expressed by imperative mood as commands or orders, which the speaker expects to be obeyed. This study demonstrates that the engineering lecturers used imperative moods for advice, warning, and instruction as illustrated in Table 6.

Advice

Here, the lecturers made commands using the imperative mood consisting of only a residue or no mood element at all. As is typical for the imperative, the subject is not specified since it can only be the addressee

Table 6
Imperative mood used in engineering lectures

	Mo	ood		Residue	
Function	Subject	Finite	Predicator	Complement	Adjunct
Advice			Remember	that!	
Warning		Don't	study	it	too intensively: circumstantial
Instruction	Let's		go		to the first force: circumstantial

"you." The lecturers used mood types that function as advice using the element of residue only. For example, in Excerpt 1, the lecturer attempts a demand intended to influence student behavior.

Excerpt 1

1. Remember that! We said that the pressure inside and outside is approximately the same (Im 15/I)

In this example, the lecturer and students are discussing pressure, which previously has been explained. The lecturer then directly orders students to review, referring to the earlier lesson, thereby making a connection between the current activity and a specific previous lesson. As Lee (2016) reported, such a strategy is important because students would be more confident in performing activities with which they were familiar. By making intertextual links between the current activity and a specific classroom event in the past, lecturers further maintain the course continuity.

Warning

In implementing an imperative mood, engineering lecturers also used it as a warning. This imperative consists of a finite negative mood element only, also with no overt subject illustrated in Excerpt 2.

Excerpt 2

 We can also ask about this but don't study it too intensively. Don't study it for all the older dates and so on (Im_1/II)

In the discussion of the history of aircraft, the command not to study "too intensively" comes as a response to a student's question. The goals of this lecturer's command are predominantly facts concerning the content, while the questions asked by students are concerned mostly with exams. Thus, it is natural for the lecturer to use this mood system since he is in control of the classroom.

Instruction

This kind of mood type was the most frequently used by the engineering lecturers. In excerpt 3, the lecturer ordered the students using elemental subject of mood *let's*. The subject refers not only "you" but also "you and me." Halliday and Matthiessen (2014, p. 166) argued that "'let's' itself' is best interpreted as a wayward form of the subject."

Excerpt 3

3. Let's go to the first force! I first I would like to talk about the lift, the lift over aircraft. (Im 24/II)

In Excerpt 3, the lecturer and students discussed three main components of force: the empty weights that structure all systems, such as lift, drag, and thrust. In this context, the lecturer told the students they would discuss these components one at a time. It implies that the clause is structured to enable

the speaker to express opinion and attitude; as Morell (2004) found, a command can function both textually and interpersonally.

Declarative Mood.

Demands for goods and services are typically (but by no means always) realized by imperatives (Eggins, 2004). They can be also realized by declaratives. The findings (refer Table 7) demonstrate that the lecturers used the declarative mood mainly to encode obligation and necessity.

Obligation

The findings show that the lecturers also used declarative mood to indicate obligation. Ervin-Tripp (1976) noted that any declarative or interrogative was to be interpreted as a command to be executed if it related to an event or operation within the remit of the addressee.

Table 7

Declarative mood used in declarative lectures

	Mood					
Function	Conjunctive adjunct	Subject	Mood adjunct	Finite		
Obligation	So	You		have to		
Necessity		You	really	should		
		Res	idue			
Function	Predicator	Complem	ient	Adjunct		
Obligation	understand	all the forces act	that can on	the aircraft		
Necessity	remember	it	also	for the exam		

Excerpt 4

4. So, you have to be able to understand all the forces that act on the aircraft. (Dec 27/IV)

In Excerpt 4, MV, in explaining equations of motion of an aircraft, asserts that students must understand the forces first. In this context, MV obviously gave a command to students by realizing the proposal in the form of a modulated declarative mood clause Subject ^Finite. It can be most clearly seen in his utterances "you have to." Moreover, as Iedema (1997) noted, obligation ("have to") is realized incongruently as "important,". and the implication is that MV, is obligating learners to understand the foundational material before he proceeds to the next discussion. In addition to this obligation function, the lecturer can also use a declarative to encode necessity, as indicated by HB's modulated finite "should" in Excerpt 5.

Necessity

The goals of using a declarative with a modal finite expressing necessity are to order the addressee to do something; the speaker is putting forward an opinion about whether or not that something should be done (Butt et al, 2000).

Excerpt 5

5. You really should remember it also for the exam (Dec 15/III)

In excerpt 5, HB explains one of the formulas, highlights it visually, and verbally associates

it with the contents of an upcoming exam. Here HB chose the declarative mood clause to realize the meaning, with modulated finite "should," expressing not a probability but a necessity (Eggins, 2004).

Modulated Interrogative Mood.

The findings show that engineering lecturers not only used imperative and declarative moods but also modulated interrogative mood. In the Table 8, the lecturer ordered permission and action of the students by using modal finite "can" and "could." In terms of "permission." Blum-Kulka et al. (1989) and Dalton-Puffer (2005) distinguished between actions, products, permissions, and information as forms of request objectives. The current findings indicate that the most direct demands for action are made. Further, the research results show that requests for action are most direct.

Permission Directive

Excerpt 6

6. Can I now just integrate and do something in general or not? (PerDir 1/III)

Lecturer HB, in Excerpt 6, is discussing pressure density and velocity. Here she appears to be asking permission from the students to integrate and do something the material into the general, using a conventionally indirect a modal finite *can*. Eggins (2004) stated that imperative was not only the types of speech function that demanded action as a question directive such as this might also function this way.

Modulated interrogative mood used in engineering lectures

	Adjunct: circumstantial	in general or not?	to the service desk?
	Adju circu	in ge not?	to the
	Predicator Conjunctive Predicator Complement Adjunct: adjunct	something	
Residue	Predicator	do	
Res	Conjunctive adjunct	and	
	Predicator	integrate	please go
	Subject Adjunct: circumstantial	now just	
	Subject	I	уоп
Mood	Finite: modal	Can	could
	Mood adjunct		Maybe
Function		Permission directive	Question directive

A second type of modulated interrogative mood found was the question directive. The following data shows how the engineering lecturer used the finite "could" to demand actions.

Question Directive

Excerpt 7

7. Maybe could you please go to the service desk and ask for new batteries for my microphone please! (ModIn 1/I)

Excerpt 7 shows that JH ordered the student's action. He directed a student to get some new batteries since, in his explanation, his microphone did not work. After a few minutes, the student returned to the class with new batteries. As Ervin-Tripp (1976) noted, the question directive gives listeners an out by explicitly stating some condition that would make compliance impossible. It seems clear that JH chose this kind of mood according to his judgment regarding his power, social distance, and right to impose on another.

Question Speech Functions in Engineering Lectures

Question speech function refers to the types of grammatical mood used by engineering lecturers in the corpus studied. In terms of question speech functions, the findings show that the engineering lectures used interrogative Mood for requesting and confirming or denying information and declarative mood for requesting.

Interrogative Mood.

Wh-Interrogative

The Wh-interrogative structure was the most frequently used by engineering lecturers. In the following excerpt, the engineering lecturer asked the students Wh-interrogatives with a finite "do." Questions realized with a Wh-interrogative clauses request specific pieces of information. For Wh-interrogatives, the residue is split, coming in past before the mood and completing after the mood as in Table 9.

Excerpt 8

8. How many passengers do you think to travel annually by air? (Inter 1/I)

Excerpt 8 is from a discussion among students and JH of transportation aeronautics. To build or elicit students' background knowledge, JH asked open referential questions with finite "do" and began by using a circumstantial adjunct, "How many passengers." He posed the question to the entire class. This strategy is in line with Lee's (2016) findings that, as teachers attempt to activate students' knowledge, they invite them to jointly reconstruct this knowledge through a series of teacher-student exchanges. Furthermore, Rido (2017) had noted that open referential questions were used not only to evaluate the students reading skills critically but also to elicit unknown information and get longer responses.

Question speech function used in engineering lectures

	Adjunct: circumstantial	by air?	
Residue	Adjunct	annually	
	Complement Adjunct: mood	travel	sense?
	Predicator	think	make
Mood	Subject	уош	that
	Finite	op	Does
Residue	Wh/Adjunct: circumstantial	How many passengers	
Function		Request (WH- Interrogative)	Confirming information (Polar/ Yes/no Questions)

Polar Interrogative

The following excerpt shows how the engineering lecturers posed elided questions (yes/no question) with adjunct polarity, "Yes," and complement "question." This kind of question requires confirmation or denying information.

Excerpt 9

Excerpt 10

10. Does that make sense? (Int 36/II)

Excerpts 9 and 10 show JS asking students elided questions, "Yes, question?" and yes/ no questions, "Does that make sense?" to check on students' comprehension. Richards & Lockhart (1996, in Lee, 2016) stated that they had used it to handle classroom procedures and management issues rather than the lesson's content. Additionally, it functions as "punctuation" informing students that the instructions should be clear. so they should be ready to proceed. Asking a polar interrogative can identify how far students understand the material; it can also monitor learning and encourage students to use the target language in the form of verbal responses (Rido, 2017).

Declarative Mood.

A question refers to any stretch that functions to elicit information from the addressee (Thompson, 2014). In other words, it is usually expressed by interrogative (Eggins, 2004). Typically, it has an ordering of the two elements of Finite Subject. Eggins (2004) added that a question could be expressed not only by an interrogative but also by a modulated declarative. However, modulated declaratives were not found in this typical mood. This is in line with the findings Fikri et al. (2014), who did not find it in a question speech function, rather in a statement speech function, such as "First of all, I would like to inform you...." On the other hand, this study revealed that interrogative mood could also be expressed by declarative mood question as illustrated in Table 10 and Excerpt 11.

Excerpt 11

11. There are three general principles? (ModDec2/I)

Here JH poses an open referential statement to the entire class to ask how to generate lift, after which a student answers incompletely. In his explanation, JH then signals the answer by uttering, "There are three general principles?" Such a question normally

Table 10

Declarative mood question used in engineering lectures

Function	Mood		Residue
	Subject	Finite	Complement
Question	There	are	three general principles

expects confirmation as a response. As Eggins (2004) stated, this was categorized as a non-typical mood clause because a common question was expressed by Finite^Subject. However, the current findings show that it is formed as Subject ^ Finite. In addition, in such a declarative Mood question, rising intonation and context must always be taken into account.

DISCUSSION

The aim of this study was to investigate how lecturers used directives with commands and questions to negotiate interpersonal meaning in EMI aerospace engineering lectures. The current study also examined grammatical mood of command and question. The results indicate that lecturers used various mood clauses to instantiate a variety of meanings/functions. In terms of command, lecturers applied three kinds of mood namely, imperative, declarative, and modulated interrogative. The findings have suggested that lecturers use them to express their attitude and opinion, such as giving advice, warning, or instruction, and also encoding obligation, necessity, permission, and questions.

In the extracts presented above, typical imperative with the mood marker "let's" was frequently used, largely to issue orders or to instruct. The use of that kind of mood demonstrates how lecturers and students do something relating to the understanding of the learning contents or materials. This in keeping with Dalton-Puffer's (2005) findings, where the use of inclusive first-person plural (the "us" of "Let's") casts

lecturer and students as a group already en route together. It can be argued that the imperative mood found as the most used in the present study was in contrast with the finding of Andriany (2011) and Sunardi et al. (2018), who found interrogatives were used more than imperatives. In addition, command speech function was realized by declarative mood. This finding is consistent with Eggins' (2004) theory that demands for goods and services are typically realized by imperatives but can also be realized by declaratives. It is worth noting that declarative mood is categorized as a nontypical mood clause with two functions, obligation and necessity.

With regard to obligation, the findings of this study confirm Iedema's (1997) findings that attribute modulated finite "have to" as an important mood clause element. For example, "You have to be able to understand all the forces that act on the aircraft" indicates that the engineering lecturer obligated his students to understand that topic first before they continued discussing another topic. In addition, the function of necessity also signals important information that should be known by students, as can be seen in clause, "You really should remember." As Eggins (2004) reported, the modulated mood "should" indicated a meaning of necessity. Another non-typical mood found in the command speech function is modulated interrogative mood, used by the engineering lecturers to request permission and action. In terms of permission, the findings of this study confirm those of Blum-Kulka et al. (1989) and Dalton-Puffer (2005) as distinguishing between action, products, permissions, and information as forms of request. This finding also accords with Eggins's (2004) theory, which shows that the imperative is not the only speech function type but is complemented by use of the modulated interrogative with indirect demand or speaker-based condition.

Meanwhile, in terms of questions, lecturers employed two kinds of mood, interrogative and declarative. These function as requesting specific information and confirming or denying information. Both Wh-interrogatives and polar interrogatives were found, and this is consistent with previous observational studies (Lee, 2016; Rido, 2017) in which Wh-interrogatives were employed in attempts to activate students' knowledge, to elicit unknown information, and to check students' understanding. The engineering lecturers also used polar interrogatives to check students' understanding and to handle classroom management. In terms of declarative mood, however, the results of the current analysis have not previously been described. A possible explanation for this might be that interrogative function can also be expressed by declarative mood. The clause "there are three general principles" for example, indicated a question speech function. In doing so, however, rising intonation and context must be considered. This finding may help us to find new ways of building interaction with students. To this end, modulated declarative mood was not found. The findings do not correspond with

Eggins's (2004) theory, which identified modulated declarative as the question speech function. It can be argued that engineering lecturers mostly used interrogative not only to ask for information but also to encourage students to think about something. Thus, the findings suggested that Wh-interrogative was frequently used to build or elicit students' knowledge and engagement with the material.

CONCLUSION

In conclusion, aerospace engineering lecturers used various types of directives with commands and questions. They involve typical and non-typical mood clauses. The lecturers shared a large number of types of commands comprising imperative, declarative, and modulated interrogative moods. At the same time, the lecturers used two types of mood clauses, interrogative and declarative. The findings from this study suggest that lecturers and students exchange interpersonal meaning through various grammatical moods with their varying communicative functions. Notably, this variety of form and function could enhance negotiating interpersonal meaning to create an interactive learning and increased learner comprehension.

There are some implications of choosing command and question speech functions in aerospace engineering lectures. Commands seemed to fulfill their function not only to express opinion and attitudes but also to organize a message, to review earlier lessons, to ensure students' common knowledge base, to signal important information

related to the contents of the exam, and to exert power, distance, and imposition. Meanwhile, questions functioned to build or elicit students' background knowledge, to jointly reconstruct knowledge through a series of teacher-student exchanges, to evaluate the students' speaking skills, to elicit unknown information and get longer responses, to check student comprehension, and to handle classroom procedures and management issues.

The results of the study are useful in many ways. First, the findings of this study contribute to a pedagogical discourse that can be realized in two sets of language choices, such as regulative register (dealing with teaching-learning activity's goals, aims, and directions) and instructional register (dealing with the "material" to be taught and learned). Second, stakeholders can also use the findings of this study as a tool to improve foreign language learning in the context of the engineering (or other science-based) classroom. Third, EAP practitioners and programs working to prepare students for EMI study may consider an SFL approach to language learning and teaching that reflects the realization of grammatical mood through negotiating interpersonal meaning.

To this end, this study has yielded some interesting results; however, these findings are limited in two ways. First, this paper investigated only a particular discipline of engineering, aerospace engineering, and further studies should look at various disciplines and various EMI contexts. Second, the study was constrained to an in-depth analysis of a limited number of

lectures, and future research could engage larger corpora to get a fuller picture of the interaction of mood types and interpersonal classroom effects.

ACKNOWLEDGEMENT

We would like to thank Universitas Padjadjaran and Northern Illinois University for their support which has facilitated the preparation of this work. Our thanks also go to the Ministry of Education and Culture of the Republic of Indonesia for BPP-DN Scholarship and PKPI/Sandwich-like Program. Thanks are also due to Universitas Teknokrat Indonesia for administrative support. We would also like to thank the anonymous reviewers for their fruitful comments and constructive feedback.

REFERENCES

Adrina, J. (2019, December 22). What is the best transcription service for YouTube videos? *Quora*. https://www.quora.com/What-is-the-best-transcription-service-for-Youtube-videos

Andriany, L. (2011). *Ujaran interpersonal dalam wacana kelas: Analisis linguistik sistemik fungsional* [Interpersonal utterances in classroom discourse: Systemic functional linguistic analysis; Doctoral dissertation, Universitas Sumatera Utara]. University of Sumatera Utara Institutional Repository. http://repository.usu.ac.id/handle/123456789/28991

Bengtsson, M. (2016). How to plan and perform a qualitative study using content analysis. *Nursing Plus Open*, 2, 8-14. https://doi.org/10.1016/j.npls.2016.01.001

Björkman, B. (2018). English as a lingua franca in spoken genres in the international university: Introduction. *Journal of English as Lingua*

- Franca, 7(2), 225-228. https://doi.org/10.1515/jelf-2018-0019
- Bloor, T., & Bloor, M. (2004). *The functional analysis of English: A Hallidayan approach*. Arnold.
- Blum-Kulka, S., House, J., & Kasper, G. (1989). *Cross cultural pragmatics: Requests and apologies*.

 Aplex Publishing Corporation. https://doi.org/10.2307/415556
- Breetvelt, I. R. I. S. (2018). English-medium instruction in Dutch higher education: A policy reconstruction and impact study. *L1 Educational Studies in Language and Literature*, *18*, 1-24. https://doi.org/10.17239/L1ESLL-2018.18.03.10
- Butt, D., Fahey, R., Feez, S., Spinks, S., & Yallop, C. (2000). Using functional grammar: An explorer's guide (2nd ed.). National Centre for English Language Teaching and Research.
- Coleman, J. A. (2006). English-medium teaching in European higher education. *Language Teaching*, 39(1), 1-14. https://doi.org/10.1017/S026144480600320X
- Creswell, J. W. (2009). Research design: Qualitative, quantitative, mixed methods approaches (3rd ed.). SAGE Publications.
- Dalton-Puffer, C. (2005). Negotiating interpersonal meanings in naturalistic classroom discourse: Directives in content-and-language-integrated classrooms. *Journal of Pragmatics*, *37*(8), 1275-1293. https://doi.org/10.1016/j.pragma.2004.12.002
- Dearden, J. (2014). English as a medium of instruction—a growing global phenomenon: Phase 1. British Council.
- Deroey, K. L. B., & Taverniers, M. (2012). Just remember this: Lexicogrammatical relevance markers in lectures. *English for Specific Purposes*, 31(4), 221-233. https://doi.org/10.1016/j.esp.2012.05.001

- Downe-Wamboldt. (1992). Content analysis: Method, applications, and issues. *Health Care for Women International*, 13(3), 313-321. https://doi.org/10.1080/07399339209516006
- EF English Proficiency Index. (2020, December 5).

 EF English proficiency index A ranking of 100

 countries and regions by English skills. https://

 www.ef.edu/epi/regions/Europe/netherlands/
- Eggins, S. (1994). An Introduction to systemic functional linguistics. Pinter Publisher.
- Eggins, S. (2004). *An Introduction to systemic functional linguistics* (2nd ed.). Continuum.
- Ervin-Tripp, S. (1976). Is Sybil there? The structure of some American English directives. *Language in Society*, *5*(1), 25-66. https://doi.org/10.1017/S0047404500006849
- Fikri, Z., Padmadewi, N. N., & Suarnajaya, I. W. (2014). Mood structure analysis of teacher talk in EFL classroom: A discourse study based on systemic functional linguistic theory. *Jurnal Pendidikan Bahasa Inggris Indonesia*, 2(1). https://doi.org/10.23887/jpbi.v2i1.1361
- Fontaine, L. (2013). *Analyzing English grammar: A systemic functional introduction.* Cambridge University Press.
- Ghadessy, M. (1999). *Text and context in functional linguistics*. John Benjamins Publishing.
- Halliday, M. A. K. (1985). An Introduction to functional grammar. Edward Arnold.
- Halliday, M. A. K. (1994). *An Introduction to functional grammar* (2nd ed.). Edward Arnold.
- Halliday, M. A. K., & Matthiessen, C. M. I. M., (2014). An introduction to functional grammar. Hodder Arnold.
- Iedema, R. (1997). The language of administration: Organizing human activity informal institutions. In F. Christie & J. R. Martin (Eds.), *Genre and*

- institutions: Social processes in the workplace and school (pp.73-100). Continuum.
- Komarawan, Y. (2019). Constructing interpersonal meaning in Indonesia science classrooms through language, space and gaze. *KEMANUSIAAN: The Asian Journal of Humanities*, 26(1), 1-23. https://doi.org/10.21315/kajh2019.26.1.1
- Krippendorff, K. (2004). Content analysis: An introduction to its methodology (2nd ed.). Sage Publications.
- Kuswoyo, H., Sujatna, E. T. S., Indrayani, L. M., & Rido, A. (2020). Schematic structure and lexicogrammatical features of aerospace engineering English lectures: A systemic functional linguistic approach. Asian EFL Journal, 27(4.6), 171-203.
- Lee, J. J. (2016). "There's intentionally behind it...":

 A genre analysis of EAP classroom lessons. *Journal of English for Academic Purposes*, 23,
 1-14. https://doi.org/10.1016/j.jeap.2015.12.007
- Lock, G. (1996). Functional English grammar: An introduction for second language teachers.

 Cambridge University Press.
- Martin, J. R. (2018). Interpersonal meaning: Systemic functional linguistics perspective. *Functions of Language*, *25*(1), 2-19. https://doi.org/10.1075/fol.17018.mar
- Martin, J. R., Matthiessen, C. M. I. M., & Painter, C. (1997). Working with functional grammar. Arnold.
- Moore, M. G. (1989). Editorial: Three types of interaction. *American Journal of Distance Education*, 3(2), 1-7. http://dx.doi.org/10.1080/08923648909526659
- Morell, T. (2004). Interactive lecture discourse for university EFL students. *English for Specific Purposes*, 23, 325-338. https://doi:10.1016/S0889-4906(03)00029-2

- Morse, R. (2017, December 5). Best global universities for engineering in the Netherlands. *US News and World Report*. https://www.usnews.com/education/best-global universities/netherlands/engineering
- Mukminin, A. (2019). Acculturative experiences among Indonesian graduate students in Dutch higher education. *Journal of International Students*, 9(2), 488-510. https://doi.org/10.32674/jis.v0i0.265
- Palma, G. (2014). A classroom view of negotiation of meaning with EFL adult Mexican pupils, *SAGE Open*, 4(2), 1-14. https://doi.org/10.1177/2158244014535941
- Qadir, J., Yau, K. A., Imran, M. A., & Al-Fuqaha. (2020). Engineering education, Moving into 2020s: Essential competencies for effective 21st century electrical and computer engineers. Edarxiv. https://doi.org/10.35542/osf.io/gptse
- Quiroz, B. (2018). Negotiating interpersonal meanings: Reasoning about mood. *Functions of Language*, 25(1), 135-163. https://doi.org/10.1075/fol.17013.qui
- Rich, S. (2016). Exploring critical thinking and negotiation of meaning through MinecraftEDU: A case study of elementary language learners [Doctoral dissertation, Boise State University]. Boise State University Theses and Dissertations. https://scholarworks.boisestate.edu/td/1112/
- Rido, A. (2017). What do you see here from this picture? Questioning strategies of master teachers in Indonesian vocational English classrooms. *TEFLIN Journal*, 28(2), 193-211. http://doi.org/10.15639/teflinjournal.v28i2/193-211
- Rido, A. (2020). Why they act the way they do?: Pedagogical practices of experienced vocational English language teachers in Indonesia.

- International Journal of language Education, 4(1), 24-37. https://doi.org/10.26858/ijole.v4i2.9935
- Rido, A., Kuswoyo, H., & Ayu, R. (2020). Interaction management strategies in English literature lectures in Indonesian university setting. *Indonesian Journal of EFL and Linguistics*, 5(2), 315-337. http://doi.org/10.21462/ijefl.v5i2.286
- Sahan, K. (2020). ELF interaction in English-medium engineering classrooms. *ELT Journal*, 74(4), 418-427. https://doi.org/10.1093/elt/ccaa033
- Schleppegrell, M. J. (2013). The role metalanguage in supporting academic language development. *Language Learning*, 63(1), 153-170. https://doi.org/10.1111/j.1467-9922.2012.00742.x
- Siepmann, D. (2005). Discourse markers across languages: A contrastive study of second level discourse markers in native and non-native text with implications for general and pedagogic lexicography. Routledge.
- Soruc, A., & Griffiths, C. (2017). English as a medium of instruction: Student's strategies. *ELT Journal*, 73(1), 38-48.
- Sujatna, E. T. S. (2013). Mood system and transitivity of the airlines slogan: A comparison of national and regional airlines. *International Journal of English Linguistics*, 3(3), 42-52. https://doi.org/10.5539/ijel.v3n3p42
- Sunardi, S., Tarjana, M. S., Poedjosoedarmo, S., & Santosa, R. (2018). Interpersonal realizations of pedagogic discourse in Indonesian EFL classrooms. *International Journal of Language Teaching and Education*, 2(3), 205-215. https://doi.org/10.22437/ijolte.v2i3.5678
- Taghizadeh, M., & Namayandeh, N. (2020). Engineering students' level on CEFR-based lecture tasks, strategy use, and their problems and attitudes. *The Asian ESP Journal*, 16(3), 30-63.

- Thompson, G. (2014). *Introducing functional grammar* (3rd ed.). Routledge.
- Vinke, A. A., & Jochems, W. M. G. (1993). English proficiency and academic success in international postgraduate education. *Higher Education*, 26(3), 275-285.
- Walsh, S. (2011). Exploring classroom discourse: Language in action. Routledge.
- Waring, H. Z., & Hruska, B. L. (2012). Problematic directives in pedagogical interaction. *Linguistics and Education*, *23*(3), 289-300. https://doi.org/10.1016/j.linged.2012.06.002
- Williams, G. M. (2011). Examining classroom negotiation strategies of international teaching assistants. *International Journal for the Scholarship of Teaching and Learning*, 5(1), 1-16. https://doi.org/10.20429/ijsotl.2011.050121
- Xuan, W., & Huang, X. (2017). Understanding interpersonal meaning-making in Chinese high school students' ESL writing: A systemic functional perspective. *The Asia-Pacific Education Researcher*, 26(5), 227-238. https://doi.org/10.1007/s40299-017-0343-4
- Yuliati. (2012). Interpersonal meaning negotiation in the teacher-student verbal interaction. *The International Journal of Social Sciences*, 11(1), 52-60.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

The Morphosyntactic Abilities of Bilingual Malay Preschool Children Based on the Malay and English Sentence Repetition Tasks

Zur Hanis Hamim¹, Rogayah Abdul Razak^{2*} and Badrulzaman Abdul Hamid¹

¹Speech Science Program, Centre for Rehabilitation and Special Needs Studies, Faculty of Health Science, Universiti Kebangsaan Malaysia, 50300, Kuala Lumpur, Malaysia

ABSTRACT

Sentence repetition task has been proven to be a tool that can detect language difficulties and is indicative of abnormal language. In Malaysia, studies on the language abilities of bilingual children in sentence repetition (SR) tasks are sparse. Therefore, this study is aimed at examining the morphosyntactic abilities of 60 bilingual Malay children aged 4;0 to 6;11 based on SR tasks in Malay (L1) and English (L2). In the SR task, participants were asked to listen carefully to sentences being read out and then repeat verbatim the sentences heard. Their responses were scored based on accuracy, syntax, grammar, and word categories. The findings demonstrated a significant difference between the two languages in terms of accuracy [df= 118, t=1.990, p= .049]; the Malay language had statistically higher scores compared to English scores. There was also a significant difference on the performance based on age factor, [Malay (df_{5,54}=3.561, p= .007); English (df_{5,54}=2.894, p= .022)]. The results also revealed that the omission of both content and function words was more prominent compared to other error types. A triangulation of the quantitative and qualitative data was done. The findings highlighted the morphosyntactic abilities of the bilingual children in both languages and error patterns produced.

Keywords: Bilingualism, morphosyntax abilities, second-language acquisition, sentence repetition task

ARTICLE INFO

Article history: Received: 10 August 2020 Accepted: 13 February 2021 Published: 26 March 2021

 $DOI:\ https://doi.org/10.47836/pjssh.29.1.04$

E-mail addresses:
zurr.hanis@gmail.com (Zur Hanis Hamim)
rogayah@segi.edu.my (Rogayah A. Razak)
badrulhamid@ukm.edu.my (Badrulzaman Abd Hamid)
* Corresponding author

INTRODUCTION

In Malaysia, most speakers are multilingual or at least bilingual. However, multilingualism in Malaysia is unique as the mixture of existing languages is based on the status of the languages. Standard languages and their colloquial varieties are used inextricably, and this code mixing presents unique

²Dept of Postgraduate Studies, Faculty of Education, Language and Psychology, SEGI University, 47810, Selangor, Malaysia

challenges in the management of bilingual children at risk of language problems.

Studies on bilingual children are often beset by the dichotomy of standard versus colloquial varieties. Uneven distribution of abilities in a child's languages, crosslinguistic associations within bilinguals, and individual variations also posed challenges in the diagnosis and treatment of language impairment (Kohnert, 2010). These developmental differences may lower the accuracy scores in imported language assessment tools and make a bilingual child's language appears disordered when compared to a monolingual counterpart (Paradis, 2009, 2010). On top of that, the lack of locally developed bilingual language assessment tools has hampered successful identification of bilinguals with developmental language difficulties (Woon, 2012), of which it is said affects about 7% of the world population (Tomblin et al., 1997). A child's score on a standardised test poses the question as to whether it represents limited exposure to the second language or is it more of a developmental deficit. If it is the latter, evidence of language impairment must be apparent across both L1 and L2. The risk of under- or over-diagnosis, therefore, can be minimized by tests such as sentence repetition (SR) task which has been proven to be highly sensitive to differentiate language delay due to bilingualism rather from language impairment (Komeili & Marshall, 2013).

SR task has been widely used as a tool to measure children's language abilities, particularly their morphosyntactic knowledge (Kaltsa et al., 2019). The high diagnostic accuracy, specificity, and sensitivity of SR have made the task to be a reliable measure of language impairment (Conti-Ramsden et al., 2001; Leclercq et al., 2014; Marinis & Armon-Lotem, 2015; Orlovska & Rascevska, 2014; Riches, 2012; Riches et al., 2010; Seeff-Gabriel et al., 2010; Stokes et al., 2006; Thordardottir & Brandeker, 2013; Thordardottir et al., 2011). However, not much has been reported on bilingual SR tasks to test bilingual children in Malaysia. In this study, we are going to investigate the language abilities of bilingual Malay children speaking Malay-English in the respective SR tasks, i.e., the English SR and Malay SR. The SR tasks could subsequently be a reliable tool to identify bilingual Malay children speaking Malay and English who might be at risk of language impairment.

Bilingualism

Bilingualism can be acquired either simultaneously during childhood or learnt successively either during childhood or adulthood. Although bilingual children's language milestones are believed to be the same as monolingual children (Brojde et al., 2012), their receptive and expressive language skills may vary. This may be due to factors such as language dominance, language exposure, and language input which can also contribute to a delay in language development (Hoff & Core, 2013; Hoff et al., 2012). As bilingual speakers typically possess stronger and weaker languages within their language repertoire,

they would use the more dominant language more often than the other with better proficiency, greater vocabulary, longer sentences, and fewer pauses (Montrul, 2009).

Although balanced proficiency would be possible, the attainment of L2 can vary across individuals. A study on Hmong natives in the USA found that children who were exposed to Hmong and English at preschool for at least 16 months showed significant improvement on pictureidentification and naming task in English, as compared to the younger group who had only attended preschool for 9 months (Kan & Kohnert, 2005). However, no evidence of significant changes was found in L1 (Hmong) based on each task across both groups. The more enriching class experience with L2 (English) through instructions by teachers and therapists had facilitated English development more significantly than Hmong which was only used in transitions between classrooms.

The findings of relatively stable development of L2 – as opposed to increasing skills in L1 – stand in contrast to the more recent study of Gatt and Dodd (2019). Their study revealed that children at 3-4 years old at preschool-entry level showed consistent growth in their receptive and expressive lexical abilities in their L1 (Maltese) but limited improvement in L2 (English), despite significant exposure of the L2 in preschool. Notice that, in the studies mentioned, discrepancies in lexical trajectories were still detected despite similar time length of language contact. Such

findings implied (a) that systematic bilingual education was insufficient to maintain the sequential bilingual development of the L2, and (b) that other factors such as different language pairs, their typological distance, and their L1/L2 status could be more impactful for the development of bilingual language.

Sentence Repetition Task as a Measure of Morphosyntactic Abilities of Bilingual Children

Polišenská et al. (2015) claimed that SR was capable of measuring working memory, language abilities or the relationship between these two aspects. SR involves construction of gradual complexities in the form of syntactic structure and vocabulary relative to age, memory capacity, and language abilities of the child to proportionally draw from their grammatical system. Several studies (Montgomery et al., 2010; Riches et al., 2010; Willis & Gathercole, 2001) suggest that the task necessarily taps on the syntactic knowledge stored in the longterm memory (LTM) to repeat the sentence input, besides depending on the shortterm memory (STM) and other cognitive processes including phonological short-term memory (PSTM) and working memory. It is hypothesised that participants would analyse a sentence at the phonological, morphosyntactic, and semantic levels and use the production system to regenerate the meaning of the sentence from activated representations in LTM in carrying out this task. Relatively long and complex sentences used in the SR task will make it possible to investigate the areas of morphosyntax and lexical phonology based on the assumption that children will be able to repeat the sentences had they acquired the relevant syntax knowledge (Polišenská et al., 2015; Theodorou et al., 2017). In the SR task, sentence length and vocabulary are kept consistent to ensure that the children's memory will not be disproportionately affected in any structures or languages (Marinis & Armon-Lotem, 2015). So far, SR has been used by studies in numerous languages including Cantonese (Stokes et al., 2006), Italian (Vicari et al., 2002), and Mandarin (Woon et al., 2014).

In recent years, SR task has garnered much attention for its ability to determine the difference between typical and atypical development in bilingual population. A pocket of systematic grammatical errors such as the omission of grammatical morphemes, the modification of word order, and the substitution of vocabulary were found across bilinguals. In line with these findings, it is suggested that children with different language profiles make different types of errors (Meir et al., 2015). While children of typical language development would typically repeat content and function words and inflections with equal accuracy, children with language impairment were reported to repeat function words and inflections less accurately than content words, with the most common error being omission (Komeili & Marshall, 2013). In a recent study by Kaltsa et al. (2019), it was reported that (a) Greek monolinguals outperformed Albanian-Greek sequential and simultaneous bilinguals in

SR, and (b) vocabulary and syntactic skills were closely related for simultaneous but not for sequential bilinguals.

While SR has been extensively used to determine language abilities of bilingual children around the world, limited research has been done on the language development of bilingual Malaysian children for speech language therapy (SLT) purposes apart from the studies done by Woon (2012) and Ooi and Wong (2012). Woon (2012) reported that the bilingual Mandarin-English children showed better performance in the Mandarin SR task than the English SR, thus reflecting their developmental stages of the lexical and morphosyntactic knowledge. Unlike younger children, most 5- and 6-year-old children were found to have acquired most of the selected classifiers, aspect markers and complex structures featured in the study. Interestingly, errors produced in the English SR task were also common errors found in an adult's grammar. Meanwhile, Ooi and Wong (2012) observed that the Chinese children's omission of verbs, prepositions, and copula- BE was likely to be seen in children with language impairment than typically developing children and that it could be attributed to the influence of the L1 (Chinese) because preposition and copula-BE were optional in Chinese.

This study aims to investigate the morphosyntactic abilities of typically developing bilingual Malay preschool children in two languages that they use – Malay and English – based on a bilingual sentence repetition task. The following objectives are addressed in the study: (i)

to determine the performance in terms of the morphological and syntactic abilities of the bilingual children based on the SR task, (ii) to examine the influence of the two languages – Malay and English – on the children's performance, and (iii) to identify error patterns produced in the SR task. It is hypothesized that (a) there would be two factors, i.e., age and language which would significantly affect the performance of the bilingual Malay children on the two SRs, and (b) Malay bilingual children would perform better in their L1 (Malay) compared to their L2 (English).

METHOD

Participants

Purposive sampling method was used to select participants for this study. The SR tasks were administered to 60 bilingual preschool children of Malay ethnicity aged 4;0-6;11 years old around Klang Valley. These children spoke Malay as their L1 and learnt English as their L2 when they entered kindergarten. 70% of

them had spent at least one year in Englishmedium preschools. The children were also reported by teachers, parents, or caregivers to have demonstrated typical executive functioning abilities in their physical, cognitive, social, and behavioral domains. Potential participants who were reported by parents, teachers or caregivers as having a history of communication difficulties were excluded from the study. Table 1 presents the demographic profiles of participants.

Materials

The SR tasks consist of two sections, namely, a) Section A: Multilingual Sentence Imitation Task (Multi-SIT) (adapted from Marinis et al., 2012) to suit Standard Malaysian English variety and b) Section B: Aktiviti Pengulangan Ayat dalam Bahasa Malaysia/Malay SR (an adaptation from Abu Bakar, 2017). Each task in the respective language was amended to control for the same number of morphosyntactic targets, resulting in 24 counter-balanced sentence items. A few original structures were omitted as it was found to be inappropriate

Table 1
Demographic profiles of participants according to age groups

Age range (y;m)	Mean age (y;m)	No. of male participants	No. of female participants	Total number of participants	No. of children attending public preschools	No. of children attending private preschools
4;0-4;5	4;02	4	6	10	3	7
4;6-4;11	4;08	5	5	10	1	9
5;0-5;5	5;01	4	6	10	0	10
5;6-5;11	5;08	5	5	10	2	8
6;0-6;5	6;01	4	6	10	0	10
6;6-6;11	6;08	6	4	10	3	7
Total		28	32	60	9	51

Note. (y;m), years; months

from the aspects of sociolinguistics for the target population. Both lists are made up of the following structures: a) SVO+AUX/MODAL (4), (b) Negation SVOA (1), (c) Wh-question (3), (d) Passives (4), (e) Complement sentence (Malay 3; English 2), (f) Compound sentence (2) (g) Subordinate sentence (Malay 1; English; 2), (h) Object-relative clauses (2), (i) Subject-relative clause (2), and (j) Cleft sentence (2).

Procedures (SR protocol)

The study was conducted using the procedure of the LITMUS SR protocols as outlined in Marinis and Armon-Lotem (2015). Two practice items were given in the Malay and English SR respectively, before the start of each task. During testing, each participant was instructed to listen carefully to the audio recording of sentences via a headset and then was asked to repeat verbatim the sentences heard. The scoring method was based on COST Action IS0804. Responses for SR tasks were scored based on four components, namely accuracy (overall), grammaticality, sentence type, and types of errors. For accuracy, score 1 was given if the sentence was correctly repeated (allowances may be given), and score 0 if there were errors. Meanwhile, for grammaticality, score 1 was given if the sentence had no grammatical errors, regardless of whether it matched the target sentence, and score 0 if the sentence was ungrammatical. As for sentence type, score 0 was given if the child did not produce the targeted structure, e.g., if the child produced a subject relative clause instead of an object relative clause

or an active sentence instead of a passive sentence. The maximum overall score is 24. Ample time was given for the child to respond, and their inputs were scored and coded in the scoring sheet. A qualitative analysis was conducted to provide an indepth analysis of the errors produced by the participants. The error categories employed were a) omission, b) substitution, or c) addition of content and function words.

RESULTS

Accuracy, Grammaticality and Sentence Type Scores

The means and standard deviations for each group on the overall performance of the bilingual preschool Malay children are presented in Table 2. Generally, the mean scores in both languages across the age groups increased with the increase in age.

One-way ANOVA revealed significant mean differences between the 6 age groups in both languages based on age factor: MSR [df _{5,54}=7.091, p< .05]; ESR [df _{5,54}=5.021, p<.05]. Based on English SR post-hoc comparison, three age group categories; 5;6-5;11, 6;0-6;5 and 6;6-6;11 are significantly higher than the age group of 4;0-4;5. The mean scores of 5;6-5;11, 6;0-6;5 and 6;6-6;11 groups are reported at (11.0 ± 5.676) , (14.6 ± 5.232) and (17.6 ± 3.502) respectively; meanwhile, the mean score of the age group 4;0-4;5 is reported at (7.3 ± 6.273) . Further Malay SR post-hoc comparisons revealed that two age group categories 6;0-6;5 and 6;6-6;11 are significantly higher than the age groups of 4;0-4;5 and 4;6-4;11. The mean scores of 6;0-6;5 and 6;6-6;11

Table 2
Descriptive statistics of the accuracy scores in the SR tasks according to age group

A 00 00000 (1100)		Mala	y SR	Engli	sh SR
Age group (y;m)	N	Mean	SD	Mean	SD
4;0-4;5	10	9.5	4.696	7.3	6.273
4;6-4;11	10	10.4	3.406	6.8	4.050
5;0-5;5	10	14.2	2.658	11.0	4.422
5;6-5;11	10	15.1	4.408	11.0	5.676
6;0-6;5	10	15.4	3.864	14.6	5.232
6;6-6;11	10	15.4	3.204	17.6	3.502
Total	60	13.13	4.367	11.38	6.098

DF=5.54

Note. (y;m), years; months

Table 3
Correlations between accuracy, grammaticality, and sentence type scores

			Grammaticality	Sentence type
Malay SR	Accuracy	Correlation	0.878	-0.857
		Significance (2-tailed)	0.122	0.143
English SR	Accuracy	Correlation	0.723	-0.588
		Significance (2-tailed)	0.277	0.412

groups are reported at 15.4 ± 3.864 and 15.4 ± 3.204 , while the mean scores for 4;0-4;5 and 4;6-4;11 groups are at 9.5 ± 4.696 and 10.4 ± 3.406 , respectively. There was also a significant difference between the two languages in terms of accuracy [df= 118, t=1.990, p= .049]. Statistically, Malay had a higher score (13.13 + 4.28) compared to English (11.38 + 6.11).

Table 3 presents the correlations between the three components of SR tasks. Correlation analyses showed that, despite the negative correlation observed between SR accuracy and sentence type scores, the accuracy scores and grammaticality scores in Malay and English languages showed positive correlation. This supports the notion a) that grammatical knowledge is important

to ensure the accuracy in SR task and b) that, despite the accurate performance on the content and functions words in the sentences, the syntactic structure of those sentences repeated may not match the targeted sentence type.

Morphosyntactic Analyses of Bilingual SR Task

Morphological performance in SR tasks was determined based on the number of content and function words used in each sentence stimuli. Content words in both tasks comprised nouns, verbs, adjectives, and adverbs (refer Figure 1). Function words in the ESR included articles, copula-BE, determiners, conjunctions, prepositions, pronouns, auxiliary verbs,

modals, and question words. Meanwhile, function words in the Malay SR included article, conjunctions, prepositions, pronouns, question words, auxiliary verbs, and negation. Since the bilingual SR is constituted from differing numbers of content and function words, the mean numbers of content and function words repeated correctly by each group were converted to percentage scores and tabulated as seen in Table 4.

Furthermore, a two-way ANOVA test was conducted to identify the interaction between language as the within-subject variable and age factor as the between-subject variable on each word category in the performance of bilingual children in this study. Simple main effects in the production of content word showed that there was a significant interaction between the effects of age groups and language on the production of content words, F(11, 108)

Table 4
Group performances on word categories in Malay SR and English SR

Age group	Malay	SR (%)	English SR (%)	
(y;m)	CW	FW	CW	FW
4;0-4;5	63.60	35.60	66.40	50.80
4;6-4;11	61.30	39.20	55.10	37.90
5;0-5;5	69.70	45.80	83.90	76.90
5;6-5;11	74.20	50.70	68.20	49.30
6;0-6;5	77.0	62.0	86.50	71.70
6;6-6;11	71.90	59.30	88.40	75.90

Notes. CW, content word; FW, function word; (y;m), years; months

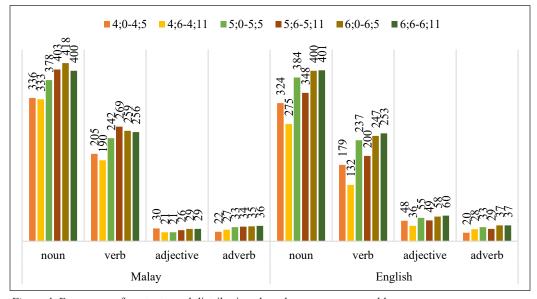


Figure 1. Frequency of content word distributions based on age groups and language

= 2.338, p= .047. The analysis revealed a statistically significant main effect of age groups, F(11, 108) = 8.932, p= .000 but not-statistically significant main effect of language type F(11, 108) = 0.366, p= .546. As for the production of function words, no interaction was found between the two variables, F(11, 108) = 2.252, p = .054. Again, the analysis revealed a statistically significant main effect of age groups, F(11, 108) =8.526, p= .000 and significant main effect of language type F(11, 108) = 117.469, p= .000. All significant pair comparisons based on Bonferroni post-hoc test between age groups at both word categories with their p values are presented in Table 5 and Table 6.

Error Patterns

This study examined the error patterns produced by the participants in all age groups specifically comparing function word and content word errors within the thematic error types. In Table 7 and Table 8, the data presents reversal patterns upon the three types of errors. There was a steady decrease in the mean of omission errors and a steady increase in the mean of substitution and addition errors as the age increased. Overall, omission error was more prominent compared to other error types.

In Table 9, we present examples of morphological and syntactic errors in the repetition of the sentences in English. The asterisk symbol * indicates an ungrammatical production of the sentence. As can be seen from the examples in Table 9, not all errors resulted in ungrammatical response as some sentences still adhered to the correct word order.

In Table 10, we present the example of morphological and syntactic errors in Malay. The relative clause (RC) marker 'yang' (that) is not yet used or deleted by participants as this is a structure which is acquired later beyond the preschool years.

Table 5
Age pair comparisons (significant p values only) based on content word

Age group (y;m)	4;0-4;5	4;6-4;11	5;0-5;5	5;6-5;11	6;0-6;5	6;6-6;11
4;0-4;5					.003	.011
4;6-4;11			.001	.045	.000	.000

^{*}The mean difference is significant at the .05 level.

Note. (y;m), years; months

Table 6

Age pair comparisons (significant p values only) based on function word

Age group (y;m)	4;0-4;5	4;6-4;11	5;0-5;5	5;6-5;11	6;0-6;5	6;6-6;11
4;0-4;5					.004	.002
4;6-4;11					.000	.000
5;6-5;11					.048	.02

^{*}The mean difference is significant at the .05 level.

Keynote. (y;m), years; months

Table 7
Mean (SD) of types of errors in Malay SR

Age group	Omi	ssion	Subst	itution	Add	ition
(y;m)	CW	FW	CW	FW	CW	FW
4;0-4;5	31.2 (10.87)	36.6(12.51)	1.5 (1.51)	0.9 (1.3)	0.5 (0.53)	0.1 (0.32)
4;6-4;11	32.6 (10.9)	32.2 (9.89)	1.7 (1.16)	3.1 (2.33)	0.7 (0.68)	1.4 (1.17)
5;0-5;5	22.5 (7.32)	27.3 (4.14)	1.8 (1.48)	1.3 (1.34)	1.0 (1.05)	0.8 (1.03)
5;6-5;11	19.5 (10.24)	22.9 (8.69)	2.4 (1.51)	1.6 (1.27)	2.0 (2.58)	2.9 (1.66)
6;0-6;5	18.3 (10.14)	19.3 (1.87)	2.2 (1.42)	1.7 (1.42)	0.6 (0.84)	1.7 (1.16)
6;6-6;11	19.6 (8.04)	19.7 (7.92)	3.9 (3.25)	2.0 (2.26)	0.9 (0.87)	2.2 (1.03)
Total	23.95 (9.59)	26.33(7.50)	2.25(1.72)	1.76(1.65)	0.95(1.09)	1.51(1.06)

Keynotes. SD, standard deviation; CW, content word; FW, function word; (y;m), years; months

Table 8
Mean (SD) of types of errors in English SR

Age group	Omi	ssion	Subst	itution	Add	ition
(y;m)	CW	FW	CW	FW	CW	FW
4;0-4;5	26.2(17.15)	48.3(27.37)	1.2 (1.81)	1.7 (2.45)	0.5 (0.53)	1 (1.56)
4;6-4;11	36.8(18.04)	63.8(21.3)	0.8 (1.55)	1.0 (1.41)	0.2 (0.42)	0.8 (1.14)
5;0-5;5	11.3 (6.84)	35.2(16.1)	1.1 (0.74)	4.9 (3.51)	0.5 (0.71)	2.7 (2.16)
5;6-5;11	24.9(19.96)	49.2(24.85)	1.2 (1.62)	2.6 (2.50)	0.7 (1.06)	1.7 (1.83)
6;0-6;5	8.9 (8.56)	19.4(15.39)	1.7 (2.06)	8.2 (4.47)	0.4 (0.52)	2.8 (1.93)
6;6-6;11	8.3 (8.63)	17.5(13.34)	1.5 (1.08)	6.3 (3.89)	0.5 (0.85)	3.1 (3.11)
Total	19.4(13.19)	38.9(19.73)	1.25(1.47)	4.11(3.04)	0.46(0.68)	2.01(1.96)

Keynotes. SD, standard deviation; CW, content word; FW, function word; (y;m), years; months

Table 9
Examples of English sentence repetitions scored based on grammaticality

Morphological error	Sentence type	Target sentence	Participants' response
Omission of <i>-ed</i> inflection	Obj-relative clause	The children liked the chocolates that they bought.	The children like to eat chocolates.
Omission of copula- BE	Short-actional passive	She was stopped at the big, red lights.	She stop ¹ at the big, red lights.
Omission of auxiliary <i>did</i>	Wh-question	Who did the monkey hit at the zoo?	Who hit the monkey at the zoo?
Omission of Prep head in PrepP adjunct direction	Short-actional passive	The children were taken to the office.	*The children were taken office.

¹This error is ignored for the omission of copula-BE error type, but it is taken into account for the omission of *-ed* inflection error type.

Table 10
Examples of Malay sentence repetition scored based on grammaticality

Morphological error	Sentence type	Target sentence	Participants' responses
Omission of relative marker yang	Sub-relative clause	a) Lukisan yang manakah kakak lukis di bilik darjah? (Translation: Which drawing did the sister draw in the classroom?)	*Lukisan manakah kakak lukis di bilik darjah?
Substitution of <i>di</i> -passive to <i>kena</i> passive substitution of preposition <i>oleh</i> to <i>dengan</i>	Passive	b) Kucing Ali dilanggar oleh kereta semalam. (Translation: Ali's cat was hit by a car yesterday.)	Kucing Ali kena langgar dengan kereta semalam.

^{*=} ungrammatical

Table 11
Frequently substituted and added content words in the bilingual SR

	Malay SR		English SR	
	Target word	Substitution/ Addition	Target word	Substitution/ Addition
Noun	biri-biri (sheep)	kambing (goat)	homework	book
	gunung (mountain)	bukit (hill)	student	children
			mango	apple
Verb	bersarapan pagi (have breakfast)	makan (eat)	baked	make, eat
	siapkan (finish)	buat (do)	liked	loved, love
	bercita-cita (aim)	nak (want to)	bought	got, brought
Aspect	sedang (is, still)	sudah (already), tengah (still)	-	-
Adverbs	kelmarin (the day before yesterday)	semalam (yesterday)	-	-

The formal passive prefix <u>di</u> is substituted by the colloquial passive *kena* (get).

Additionally, substitutions made reflected the higher proficiency of the participants in Malay compared to English as presented in Table 11. The noun substitutions in English were in the form of hyponyms (broader meaning) compared to hypernyms (specific meaning) in Malay.

The verb substitutions in Malay were more accurate in meaning compared to verb substitutions in English SR.

DISCUSSION

An analysis of the effects of bilingualism and age on quantitative scoring of SR tasks was made possible by categorising the children into different age groups. Firstly,

the significant differences between all age groups in both SR tasks based on the overall accuracy scores suggested that age is an important factor in the successful repetition of sentences as an increase in age suggests an increase in the cognitive, processing abilities and memory capacity (Pineo, 2014). The trajectory of syntactical development across all age groups demonstrated high developmental sensitivities (Conti-Ramsden et al., 2001; Marinis & Armon-Lotem, 2015; Thordardottir et al., 2011). Secondly, the children performed significantly more accurate in L1 than L2. Regardless of age, all bilingual children performed similarly based on accuracy - higher SR accuracy in their L1 than L2. This result matched with general expectations that SR performance in L1 would be better than L2. The children only learn English formally when they are enrolled in preschools, generally around the age of 4. They use Malay at home and are generally more exposed to Malay in the first three years of life.

Even though English is a strong L2 in Malaysia (Thirusanku & Md Yunus, 2014), its bilingual situation is never quite the same as in the West. Unlike Malaysia, the bilingual individuals in the West often come from the marginalized group who are immersed in the monolingual English environment. Learning L2 in the L1 environment (Malay being the dominant language) may restrict the ESL learners to get real life L2 exposure and hence may impede their L2 learning. This finding supports the notion that the wider language experience and exposure in their mother tongue accumulated through time

make better language knowledge as can be seen in the proficiency in grammar and semantic information in L1 compared to L2 (Al-Zoubi, 2018).

In addition, the overall accuracy and grammaticality measure was positively correlated with each other. Our results corroborate the results from other studies which showed that overall language acquisition in monolinguals, as well as bilinguals (a), is strongly affected by the amount of language exposure a child gets, which then could be equated based on age factor, and (b) is often seen in the development of vocabulary and grammar (Thordardottir, 2011, 2014). Nevertheless, there seemed to be no interaction between sentence type and accuracy. This is because, in contrast to grammaticality measure, the procedure in giving scores for sentence type is less rigid. The child will be given a point for grammaticality even if the sentence type is wrong, for example:

Target sentence: Who did the monkey hit at the zoo? (object question)

Response: Who hit the monkey at the zoo?(subject question)

In the above sentence, children responded by making an error on the thematic role assignments partly due to the omission of auxiliary 'did' and movement of the *wh*-word NP. The theta role of *wh*-NP object in the target sentence was changed to *wh*-NP subject position in the child's repetition, hence falsely making this *wh*-NP as the Agent, instead of the 'monkey' that now appears to look like a Patient, which

thus led to a change in *wh*-movement type sentence and an error in meaning. Note that, even though the response was not correct, the sentence was grammatical according to the structure of *wh*-subject type sentence; hence, the children scored 1 for grammaticality but 0 for sentence type and accuracy. This allowance was given to the children in the study as the error of assigning a Subject to an Object in *wh*-sentence is typical among children (Philip et al., 2002).

An error analysis was conducted to explore the idiosyncrasies of the morphosyntactic abilities of the children in this study. The most notable error was the omission error. Younger children with an emerging vocabulary would make more omission errors compared to the older children who have bigger vocabulary size due to more inputs and exposure from their own learning. Likewise, it appears that the lack of knowledge of function words would limit the children's options in the repetition (Komeili & Marshall, 2013). In substitutions, children also showed specific abilities to substitute open-class content words. As children could not repeat the word prompts, they would rely on their knowledge of words and its semantic domains and used words which were either closer or further away from the word targeted depending on their level of proficiency in the language.

A higher language proficiency level would have participants use hyponyms (specific meaning) equivalents and a weaker language proficiency level would produce equivalents which are hypernyms (broader meaning) and further from the meaning of the targeted word. In Malay SR, children

tended to use hyponyms for substitution of nouns compared to English where children tended to use hypernyms (refer Table 11 for more examples). The verb substitutions in English tended to be inaccurate and at times totally wrong compared to verb substitutions in Malay SR which were closer in meaning to the original verb. Our findings thus hypothesised that the higher number of content words known to children, the better it would facilitate them in either their substitution or addition strategy (Long, 1993). It is interesting to note that, regardless of the word substituted, the new word is found to have the same semantic domain as the original word. In addition, their choice of words reflects more of the colloquial variety, and this is expected since the participants were mostly exposed to their colloquial varieties of each language in their home environments. This also suggests that their vocabulary knowledge is shaped around high-frequency lexical items which are used in their spoken language daily.

The omission rate of function words was found to be higher compared to content words, indicating the nature of functions words which are difficult to acquire. Functional words carry grammatical meaning and are thus difficult to learn (Tomasello, 2002). Omission of English morphemes such as past tense inflection *-ed*, copula-BE, and auxiliary verb 'did' as shown in Responses 1 and 2 of Table 9 serves as evidence that inflections are harder to produce among Malay bilingual children because Malay does not inflect the verb and has no equivalent of the auxiliary or dummy DO. Malay has different manifestations for

tenses compared to English (Razak et al., 2018). While English inflects the verbs for tenses, Malay uses lexical items such as adverbial of time or aspect to mark tense. In the context of L2 acquisition in Malaysia, the absence of inflection and different morphological structures between Malay and English, including -s, -es markers for plurality, and reflexive pronouns are some of the difficult morphological aspects faced by Malaysian students in learning L2 (English; Jalaluddin et al., 2008; Mat Awal et al., 2007). Another function word which is difficult to acquire is preposition. Response 3 in Table 9, *The children were taken office, is considered ungrammatical due to the omission of the preposition 'to' which is the head of the prepositional phrase. Without the presence of this head, the PrepP structure is thus rendered invalid and ungrammatical.

The rate of omission for the (a) relative marker 'that' (English) and 'yang' (Malay), (b) preposition 'by' (English) and 'oleh' (Malay), and (c) prefix <u>di-</u> to indicate the passive voice in Malay was found to be high. These errors were not uncommon as such omissions are reflective of colloquial Malay or English spoken in Malaysia. In the colloquial Malay and English varieties, the optional relative pronoun marker 'yang/ that' is often absent especially when the relative pronoun is the object of the verb, for example,

Target sentence: *Mommy baked the cake* that we like.

Response: Mommy baked the cake we like.

In Malay SR, the relative marker 'yang' is also omitted (refer to Response 1 of Table 10 *Lukisan manakah kakak lukis di bilik darjah? instead of the target response Lukisan yang manakah kakak lukis di bilik darjah?). Children omitted the relative marker 'yang' which resulted in an incomplete relative clause structure. Even though 'yang/that' is omitted, the meaning is manifested covertly in context. In Standard Malay, the RC marker 'yang' is obligatory. This resonates with Aman (2007)'s study which had children in her study produced relative clauses without 'yang' and the unmoved in-situ wh-questions based on Colloquial Malay. This is also supported by Abu Bakar et al. (2016) who studied the comprehension and production of relative clauses among two groups of Malay children -aged 4-6 years old and 7-9 years old - and found that preschool children had limited abilities with RC structures and had instead relied on simplification and substitution strategies. The RC structures were also not fully acquired by the older children in that they could produce subject relative clauses but not object relative clauses (ORC). The acquisition of RC seemed to continue into the later part of the primary school years. Relative clauses seemed to be a structure which was acquired later due to their complexity. It is a feature of formal Malay variety which children are exposed to only when they start schooling.

Passives seemed to be difficult to acquire too. Among the errors of derived verb forms such as prefixes meN- and beR-, the highest affixed error was the

prefix di- in passives. In Malay, the di + base verb form is taught formally and is mostly used in formal situations such as academic settings, newspapers, books, and government correspondences. The bilingual children, however, showed a preference of using the adversative 'kena' (get) passive form, which is far more common in Colloquial Malay (Abu Bakar, 2017; Chung, 2005). One reason could be that the formal di- involves a non-canonical word order while the kena passive retains the canonical SVO order, thus, making it easier to repeat. It is interesting to note that children with greater exposure (the older children in this study) found passive with prefix di- easier as they might have been exposed to it longer than the younger children and might have learnt it as part of their learning in school (Abu Bakar, 2017). Generally, children also tended to use the agentless passive sentence, and, even if it is mentioned, it is usually not preceded by the preposition 'oleh /by' as shown in the example below:

Target sentence: Mainan itu akan dibeli oleh ayah di bandar.

Toy-affix the will PASS-buy by father at town

'The toy will be bought by father in town.'

Response: Mainan itu dibeli ayah di bandar. (omission of 'oleh/by')

In addition, the older age group children were also more persistent in substituting *oleh*/by with *dengan*/with (refer Response

2 in Table 10: Kucing Ali kena langgar dengan kereta semalam). In this example, the children chose to substitute 'oleh/by' with the multi-purpose preposition form 'dengan/with' as their strategy. 'Dengan/ with' in Colloquial Malay carries multiple meanings: accompaniment, instrumental, and conjunction (dan/and) whereas, in Standard Malay, it has only one meaning that is accompaniment. Furthermore, it is not grammatical to use dengan/with with passives as the meaning of agent can only be conveyed by the preposition oleh/by. Preposition such as dengan seems to have a relational meaning for different purposes, and this may pose difficulties to young language learners. Thus, for Malay children who are first exposed to Colloquial Malay and then subsequently learn formal Malay, they will need to learn to transition from Colloquial Malay to formal Malay or viceversa whenever appropriate.

With regards to error patterns at the syntactic level, this study focused on children's use of word order cues to comprehend both canonical and noncanonical order. The canonical word order in both Malay and English is subjectverb-object (SVO). The word order is not difficult for typically developing children as children can process them linearly (Montgomery & Evans, 2009; Montgomery et al., 2017). However, this is not the case with younger children and children whose language is impaired. Complex structures such as passives, object-relative clause, and embedded wh- questions are, however, non-canonical in nature. They exhibit nonSVO word order and thus are difficult to comprehend than canonical structures (Abu Bakar, 2017). According to Montgomery et al. (2017), although the surface forms of passives, object-relative, and object-questions are different, children must come to realize that (a) NP1 appears in the subject position but it functions as a patient and (b) NP2 occupies the object position but it functions as an agent. These new thematic role assignments entail movement that is hard to be perceived by young language learners. A similar difficulty is shown in the example below:

Target sentence: The homework that teacher gave me was easy. (Subject RC)
Response: I get the homework. It's easy. (2 simple sentences)

In the case of movement-derived structures such as the example above, children might have treated the movement operation as an option. This usually costs them to simplify complex sentences; in this case, the sentence with a complex NP subject which embeds a RC is split into two simple sentences. This demonstrates the inability of the children to repeat embedded complex noun phrase structure sentence. Another difficult structure is the ORC (as shown as Response 3 in Table 9) in which participants repeated the targeted Object-Wh NP as a Subject-Wh NP with the latter being the easier form. The children's poor performances in repeating non-canonical structures and movement-derived structures show no significant improvement with age (as similar patterns of errors were

also distributed among older children), indicating that these structures are structures which are acquired much later.

CONCLUSION

The current paper investigated sentence repetition among Malay bilingual preschool children using Malay-English and found that accuracy measures could detect the morphosyntactic developmental trajectories of the sequential bilingual population. Older children appeared to be more successful than younger children, and they were generally more accurate in their L1 morphosyntactic performance than L2. Additionally, omission on both content and function words was found to be prominent among all age groups. It was also found that substitution and addition errors are unique only to children of older age groups, indicating limited knowledge on function words among younger children. Given the heterogeneity of the bilingual communities in Malaysia, i.e., the types of schools and the socioeconomic backgrounds, it would be interesting to investigate future research exploring other grouping of languages such as English-Mandarin-Malay among Chinese bilingual children. This would bring up further intricacies of the nature of bi/multilingualism in Malaysia. Findings from this study could be used as a basis for such research using SR task, looking at morphosyntactic abilities. It is also highly recommended that future research, with regards to the paradigm of this study, uses data from atypical population to generate differential diagnosis.

ACKNOWLEDGEMENT

We are grateful to Bi-SLI working group COST Action IS0804 Language Impairment in a Multilingual Society: Language Patterns and the Road to Assessment for the template of SR task and Theodoros Marinis from University of Konstanz for his assistance in scoring guidelines. Finally, our appreciation goes to the children participants who took part in this study, their parents, and teachers.

REFERENCES

- Abu Bakar, N. (2017). Kemahiran sintaksis dalam kalangan kanak- kanak Melayu dengan kecelaruan bahasa spesifik [The syntactic abilities of Malay children with Specific Language Impairment (SLI); Unpublished doctoral dissertation]. Universiti Kebangsaan Malaysia.
- Abu Bakar, N., Razak, R. A., & Lim, H. W. (2016). Pemerolehan klausa relative dalam kalangan kanak-kanak Melayu: Satu kajian awal [The acquisition of relative clauses among Malay children: A preliminary study]. *GEMA: Online Journal of Language Studies*, 16(3). 145-165. http://doi.org/10.17576/gema-2016-1603-10
- Al-Zoubi, S. M. (2018). The impact of exposure to English language on language acquisition. Journal of Applied Linguistics and Language Research, 5(4), 151-162.
- Aman, N. (2007). The acquisition of Malay whquestions. Lincom Europa.
- Brojde, C. L., Ahmed, S., & Colunga, E. (2012). Bilingual and monolingual children attend to different cues when learning new words. *Frontiers in Psychology*, *3*, 155. http://doi.org/10.3389/fpsyg.2012.00155
- Chung, S. F. (2005). Kena as a third type of the Malay passive. *Oceanic Linguistics*, 44, 194-214. http://doi.org/10.1353/ol.2005.0017

- Conti-Ramsden, G., Botting, N., & Faragher, B. (2001). Psycholinguistic markers for specific language impairment. *Journal of Child Psychology and Psychiatry*, 42, 741-748. http://doi.org/10.1111/1469-7610.00770
- Gatt, D., & Dodd, B. (2019). Preschoolers' lexical skills in two majority languages: Is there any evidence for the onset of sequential bilingualism? *International Journal of Bilingualism*, 24(2). https://doi.org/10.1177/1367006919826408
- Hoff, E., & Core, C. (2013). Input and language development in bilingually developing children. Seminars in Speech and Language, 34(4), 215-226. http://doi.org/10.1055/s-0033-1353448
- Hoff, E., Core, C., Place, S., Rumiche, R., Senor, M., & Parra, M. (2012). Dual language exposure and early bilingual development. *Journal of Child Language*, 39, 1-27. http://doi.org/10.1017/ S0305000910000759
- Jalaluddin, N. H., Mat Awal, N., & Abu Bakar, K. (2008). The mastery of English language among lower secondary school students in Malaysia: A linguistic analysis. *European Journal of Social Sciences*, 7(2), 106-119.
- Kaltsa, M., Prentza A., & Tsimpli, I. M. (2019). Input and literacy effects in simultaneous and sequential bilinguals: The performance of Albanian-Greek-speaking children in sentence repetition. *International Journal of Bilingualism*, 24(2), 159-183. http://doi.org/10.1177/1367006918819867
- Kan, P. F., & Kohnert, K. (2005). Preschoolers learning Hmong and English: Lexical semantic skills in L1 and L2. *Journal of Speech Language and Hearing Research*, 48(2), 372-83. http://doi.org/10.1044/1092-4388(2005/026)
- Kohnert, K. (2010). Bilingual children with primary language impairment: Issues, evidence and implications for clinical actions. *Journal of Communication Disorder*, *43*(6), 456-473. http://doi.org/10.1016/j.jcomdis.2010.02.002

- Komeili, M., & Marshall, C. R. (2013). Sentence repetition as a measure of morphosyntax in monolingual and bilingual children. *Clinical Linguistics & Phonetics*, 27(2), 152-162. http://doi.org/10.3109/02699206.2012.751625
- Leclercq, A. L., Quémart. P., Magis, D., & Maillart, C. (2014). The sentence repetition task: A powerful diagnostic tool for French children with specific language impairment. *Research* in *Developmental Disabilities*, 35, 3423-3430. https://doi.org/10.1016/j.ridd.2014.08.026
- Long, J. (1993). Pemerolehan imbuhan pada peringkat prasekolah dan implikasinya terhadap pendidikan bahasa [Acquisition of affixation at the preschool level and its implications to language education]. Dewan Bahasa dan Pustaka.
- Marinis, T., & Armon-Lotem, S. (2015). Sentence Repetition. In S. Armon-Lotem, J. D. Jong, & N. Meir (Eds.), Methods for assessing multilingual children: Disentangling bilingualism from Language Impairment (pp. 95-124). Multilingual Matters. https://doi.org/10.21832/9781783093137-007
- Marinis, T., Chiat, S., & Armon-Lotem, S. (2012).
 Multi-lingual sentence imitation task (Multi-SIT)-30 sentences. University of Reading.
- Mat Awal, N., Jalaluddin, N. H., Hamid, N. Z.
 A., & Abu Bakar, K. (2007, June 14-16).
 First language influence on second language performance: A study of common English grammatical errors among rural secondary school students [Conference presentation].
 The Second Biennial International Conference on Teaching and Learning of English in Asia, Langkawi, Malaysia.
- Meir, N., Walters, J., & Armon-Lotem, S. (2015).
 Disentangling SLI and bilingualism using sentence repetition tasks: The impact of L1 and L2 properties. *International Journal of Bilingualism*, 20(4), 421-452. https://doi.org/10.1177/1367006915609240

- Montgomery, J., & Evans, J. L. (2009). Complex sentence comprehension and working memory in children with specific language impairment. *Journal of Speech, Language, and Hearing Research*, 52(2), 269-288. https://doi.org/10.1044/1092-4388(2008/07-0116)
- Montgomery, J., Gillam, R. B., Evans, J. L., & Sergeev, A. V. (2017). "Whatdunit?" sentence comprehension abilities of children with SLI: Sensitivity to word order in canonical and noncanonical structures. *Journal of Speech Language and Hearing Research*, 60(9), 2603. https://doi.org/10.1044/2017 jslhr-1-17-0025
- Montgomery, J., Magimairaj, B., & Finney, M. (2010). Working memory and specific language impairment: An update on the relation and perspectives on assessment and treatment.
 American Journal of Speech-language Pathology / American Speech-Language Hearing Association, 19, 78-94. https://doi.org/10.1044/1058-0360(2009/09-0028)
- Montrul, S. (2009). Reexamining the fundamental difference hypothesis: What can early bilinguals tell us? *Studies in Second Language Acquisition*, *31*(2), 225-257. https://doi.org/10.1017/S0272263109090299
- Ooi, C. C.-W., & Wong, A. M.-Y. (2012). Assessing bilingual Chinese-English young children in Malaysia using language sample measures. *International Journal of Speech Language Pathology*, *14*(6), 499-508. https://doi.org/10.3 109/17549507.2012.712159
- Orlovska, M., & Rascevska, M. (2014). Construction and psychometric properties of Sentence Repetition Test (SRT) for Latvian primary school children. *Journal of Educational and Social Research*, 4(4), 104.
- Paradis, J. (2009). Second language acquisition in childhood. In E. Hoff & M. Shatz (Eds.), *Handbook of Language Development* (pp. 387-406). Blackwell. https://doi.org/10.1002/9780470757833.ch19

- Paradis, J. (2010). The interface between bilingual development and specific language impairment. Applied Psycholinguistics, 31, 3-28. https://doi.org/10.1017/S0142716409990373
- Philip, W. C. H., Coopmans, P., Atteveldt, W., & Van Der Meer, M. (2002). Subject-object assymmetry in child comprehension of wh-questions. In A. H.-J. Do, L. Dominguez & A. Johansen (Eds.), Proceedings of the 25th Boston University Conference on Language Development (pp. 587-598). Cascadilla.
- Pineo, R. (2014). Sentence repetition performance in bilingual children with SLI compared to age and language-matched peers [Master's dissertation, McGill University, Montreal]. eScholarship McGill.
- Polišenská, K., Chiat, S., & Roy, P. (2015). Sentence repetition: What does the task measure? *International Journal of Language and Communication Disorders*, 50(1), 106-118. https://doi.org/10.1111/1460-6984.12126
- Razak, R. A., Neelagandan, A., Md Yusof, N., Lim, H. W., Ahmad, K., & Madison, C. (2018). The validation of the Malay Preschool Language Assessment Tool (MPLAT): The screening and diagnostic versions. Malaysian Journal of Public Health Medicine, Special Issue, 1, 191-115.
- Riches, N. G. (2012). Sentence repetition in children with specific language impairment: An investigation of underlying mechanisms. *International Journal* of Language & Communication Disorders, 47(5), 499-510. https://doi.org/10.1111/j.1460-6984.2012.00158.x.
- Riches, N. G., Loucas, T., Baird, G., Charman, T., & Simonoff, E. (2010). Sentence repetition in adolescents with specific language impairment and autism: An investigation of complex syntax. *International Journal of Language & Communication Disorders*, 45(1), 47-60. https://doi.org/10.3109/13682820802647676

- Seeff-Gabriel, B., Chiat, S., & Dodd, B. (2010). Sentence imitation as a tool in identifying expressive morphosyntactic difficulties in children with severe speech difficulties. *International Journal of Language & Communication Disorder*, 45(6), 691-702. https://doi.org/10.3109/13682820903509432
- Stokes, S. F., Wong, A. M.-Y., Fletcher, P., & Leonard, L. B. (2006). Nonword repetition and sentence repetition as clinical markers of specific language impairment: The case of Cantonese. *Journal of Speech Language and Hearing Research*, 49(2), 219. https://doi.org/10.1044/1092-4388(2006/019)
- Theodorou, E., Kambanaros, M., & Grohmann, K. K. (2017). Sentence repetition as a tool for screening morphosyntactic abilities of bilectal children with SLI. *Frontiers in Psychology*, 8(2104). https://doi.org/10.3389/fpsyg.2017.02104
- Thirusanku, J., & Md Yunus, M. (2014). Status of English in Malaysia. *Asian Social Science*, 10(14). https://doi.org/10.5539/ass.v10n14p254
- Thordardottir, E. (2011). The relationship between bilingual exposure and vocabulary development. International Journal of Bilingualism, 15(4), 426-445. https://doi.org/10.1177/1367006911403202
- Thordardottir, E. (2014). The typical development of simultaneous bilinguals: Vocabulary, morphosyntax and language processing in two age groups of Montreal preschoolers. In T. Grüter, & J. Paradis (Eds.), *Input and experience in bilingual development* (pp. 141-160). John Benjamins. https://doi.org/10.1075/tilar.13.08tho
- Thordardottir, E., & Brandeker, M. (2013). The effect of bilingual exposure versus language impairment on nonword repetition and sentence imitation scores. *Journal of Communication Disorders*, 46(1), 1-16. https://doi.org/10.1016/j.jcomdis.2012.08.002

- Thordardottir, E., Kehayia, E., Mazer, B., Lessard, N., Majnemer, A., Sutton, A., Trudeau, N., & Chilingaryan, G. (2011). Sensitivity and specificity of French language and processing measures for the identification of primary language impairment at age 5. *Journal of Speech Language and Hearing Research*, 54, 580-597. https://doi.org/10.1044/1092-4388(2010/09-0196)
- Tomasello, M. (2002). The emergence of grammar in early child language. In T. Givón & B. Malle (Eds.), *The evolution of language out of prelanguage* (pp. 309-328). Benjamins. https://doi.org/10.1075/tsl.53.17tom
- Tomblin, J. B., Records, N. L., Buckwalter, P., Zhang, X., Smith, E., & O'Brien, M. (1997). Prevalence of specific language impairment in kindergarten children. *Journal of Speech, Language and Hearing Research*, 40(6), 1245-1260. https:// doi.org/10.1044/jslhr.4006.1245

- Vicari, S., Caselli, M. C., Gagliardi, C., Tonucci, F., & Volterra, V. (2002). Language acquisition in special populations: A comparison between Down and Williams syndromes. *Neuropsychologia*, 40(13), 2461-2670. https://doi.org/10.1016/ S0028-3932(02)00083-0
- Willis, C., & Gathercole, S. (2001). Phonological short-term memory contributions to sentence processing in young children. *Memory*, *9*, 349-363. https://doi.org/10.1080/09658210143000155
- Woon, C. P. (2012). Use of nonword and sentence repetition tasks among Mandarin-English bilingual children in Malaysia [Unpublished Master's thesis]. Universiti Putra Malaysia.
- Woon, C. P., Ngee T. Y., Lim, H. W., & Bee. E. W. (2014). Measuring grammatical development in bilingual Mandarin-English speaking children with a sentence repetition task. *Journal of Education and Learning*, 3(3). https://doi. org/10.5539/jel.v3n3p144



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Activity-Based Teaching of Quran for Deaf Students in the Special Education Integration Program

Izuli Dzulkifli^{1*}, Asmawati Suhid², Fathiyah Mohd Fakhruddin² and Nor Aniza Ahmad³

¹Research Centre for Quran and Sunnah, Faculty of Islamic Studies, Universiti Kebangsaan Malaysia (UKM), 43600 UKM Bangi, Selangor, Malaysia

²Department of Language and Humanities Education, Faculty of Education Studies, Universiti Putra Malaysia (UPM), 43400 UPM Serdang, Selangor, Malaysia

³Department of Foundations of Education, Faculty of Education Studies, Universiti Putra Malaysia (UPM), 43400 UPM Serdang, Selangor, Malaysia

ABSTRACT

The formal teaching and learning of the Quran for the hearing-impaired students in Malaysia is carried out at Special Education Schools offering Special Education Integration Program, locally known as 'Program Pendidikan Khas Integrasi' (PPKI). The teaching and learning of the Quran for hearing-impaired students are based on the Special Education Curriculum of the Islamic Education subject. In order to enhance the achievement of deaf students in learning the Quran, teachers need to plan lessons relevant to the content of the learning of the Quran and students' abilities. The objective of this study was to explore the activity-based teaching, such as reading and memorizing, employed by teachers who were teaching the Quran to deaf students in eight primary schools offering PPKI. This study utilized the qualitative approach in the form of case studies, using the interview technique and document analysis to obtain data. The findings showed the main activities inculcated in the learning of the Quran were reading and writing skills. These activities were carried out individually and in groups based on the different characteristics of the deaf students. Therefore, teachers should be aware of students' ability levels and the different characteristics of the students'

ARTICLE INFO

Article history:
Received: 15 June 2020

Accepted: 14 January 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.05

E-mail addresses: izuli@ukm.edu.my (Izuli Dzulkifli) asmawati@upm.edu.my (Asmawati Suhid) fathi@upm.edu.my (Fathiyah Mohd Fakhruddin) nor_aniza@upm.edu.my (Nor Aniza Ahmad) * Corresponding author and profoundly deaf so that the planned learning activities could be conducted smoothly during the teaching and learning sessions.

hearing impairments such as mild, severe,

Keywords: Activity-based, deaf students, integration program, special education, teaching Quran

INTRODUCTION

Effective teaching is essential to ensure students are able to achieve the learning objectives of a lesson. Teachers also need to diversify their teaching strategies to engage students' interest in learning a particular subject (Noreen & Rana, 2019). Teaching strategies are skills in designing and managing teaching methods and techniques to achieve learning outcomes (Lom, 2012). Among the teaching strategies that can be used are; teacher-centered, student-centered, material-centered, and activity-based or assignments. Activity-based strategies mean teachers engage students in activities or assignments that provide opportunities for students to practice or apply learning content issues that are already learned (Anwar, 2019). During the teaching and learning activities, there are a few things that teachers need to pay attention to. These include choosing and organizing learning activities for students to actively participate. Teachers need to provide opportunities for each student appropriate to his/her ability in the classroom. The learning activities should attract the interest of the students and accordingly develop their specific skills (Patil et al., 2016).

In this regard, teachers need to be creative in using a variety of teaching and learning strategies, especially activity-based. Activities in given learning can be conducted in groups or individually in the classroom by the teachers (Yassin et al., 2019). To ensure that student learning outcomes are achieved, teachers can gather students with the same skills in one group.

An important point for teachers is to take into account the low-performance students, where the individual approach can be utilized, so more attention can be paid to these students in order to overcome any learning problems encountered (Gremmen et al., 2016). This is because each student has a different characteristic, ability, weakness, and capability including the deaf students. According to Ahmad (2012), there are different levels of hearing impairments such as mild, moderate, severe, and profoundly deaf. Sometimes there are also a number of these students experiencing a variety of other disabilities other than hearing impairments such as learning disability (Ntinda et al., 2019). The combination of the various disabilities that a student may have requires the teacher to plan the lessons wisely and effectively.

LITERATURE REVIEW

In 2011, the Ministry of Education of Malaysia established the Islamic Education Primary School Special Education Standard Curriculum Hearing Problems known as Kurikulum Standard Sekolah Rendah Pendidikan Khas Pendidikan Islam Masalah Pendengaran based on the Malaysian Education Development Plan 2013-2025 (Ministry of Education Malaysia, 2012). Based on the development of this curriculum, it provides an area and opportunity for deaf students to learn Islamic knowledge in depth especially the Quran. The objectives and aims of the Quran education are to produce students who can read, recite and understand the Quran well

and fluent, students who will constantly read and recite the Quran both at home and schools, and to produce well-educated and knowledgeable students who will always apply the teachings of the Quran in their lives (Ministry of Education Malaysia, 2005). Thus, the Quran is not only viewed from the point of correcting the reading alone, but the aim of learning the Quran also includes the *tilawah* (reciting), *tajwid* (proficiency), memorizing, appreciation and application.

The teaching of the Quran to deaf students also focuses on the teaching of Arabic letters known as 'hijaiyyah'. The Ouran teaching normally starts with learning the basic Arabic letters or consonants used in the Quran. The basic sounds in the Quran or the phonemes consist of several Arabic consonants with different tones, manner, and place of articulation and cues. These are difficulties faced by non-native Arabic speakers in producing these Arabic sounds (Saari et al., 2012). For the hearing-impaired students who can speak, they can use the *Igra' Module* as one of the Quran learning methods (Ishak et al., 2012). In fact, there are still some special education teachers who are not proficient in teaching the Quran lessons specifically to deaf students because of lack of training (Ghadim et al., 2013). This will slightly interfere with the smooth implementation of the student activities in the learning of the Quran in the classroom.

As discussed earlier, the Quran is taught to students in the mainstream and special education in the Islamic Education subject. The teaching and learning objectives of the Quran in the schools emphasize *tilawah* (reciting), understanding, memorizing the Quran, issuing the rules of the tajwid (proficiency), elaborating the meanings of the verses, appreciating and taking lessons from any single verse (Ministry of Education, 2005). According to Ishak (2011), the field of tilawah (reciting) Quran learning is one of the most difficult areas for students with hearing impairments. In the field of the tilawah (reciting) Quran, the students need to recite it fluently and proficiently and this is their main problem. Without hearing aids, they cannot hear the sound of Quran recitation. But some say imitate the sound by looking at the movement of the teacher's lips while the teacher teaches the Quran (Dzulkifli et al., 2020).

To understand the Quran is to understand the language, which is the Arabic language. The Arabic language in the context of the education system in Malaysia is considered a foreign or second language (Abdullah et al., 2017). Therefore, the discussion related to the learning of the Quran has its own perspective based on the second language learning theory (Yah@Alias et al., 2019). Jum'ah (1990) had discussed three dominant theories related to second language learning which were; behavioral theory, the natural language theory, and cognitive theory. These three theories are essentially the same as those related to first and second language acquisitions. Therefore, every student learning the Quran must be taught to recognize the hijaiyyah, the Arabic letters. These letters should be pronounced accurately in accordance with

the Arabic *lahjah* (accent) and according to the pronunciation, characteristics, and the *tajwid* (proficiency) rules (Nahi, 2018). Teachers should then plan and use appropriate methods to teach the Quran based on the different listening and speaking ability levels of these students with hearing impairments. As the teaching of the Quran involves various skills such as reciting, memorizing, and writing, teachers need to emphasize the instruction, demonstration, and error correction aspects (Yaakub et al., 2005).

The effectiveness in delivering a course content is not only dependent on Pedagogical Content Knowledge that teachers have (Tickle, 2000) but on the effort to create effective teaching. Teachers need to master the content of the subject and be aware of student learning styles as well as the teaching and learning strategies (Kim, 2017). Therefore, this study aims to explore the activity-based teaching of the Quran for deaf students in schools.

METHODS

This study utilized the qualitative approach in the form of a case study by using semi-structured interviews and document analysis to obtain data. Eight (8) teacher participants were selected based on purposive sampling who had at least three years of experience in teaching Islamic Education and Quran to deaf students in primary schools in Selangor. The choice of the study area in Selangor was based on the most prevalent number of deaf students studying in the said state in Malaysia as shown in Table 1 below.

Table 1
Number of deaf students in PPKI primary schools by state

		Category of	of Disability		
No	State	DE			
		M	F		
i	Johor	49	36		
ii	Kedah	11	20		
iii	Kelantan	28	23		
iv	Melaka	20	8		
V	Negeri Sembilan	11	4		
vi	Pahang	19	23		
vii	Perak	43	47		
viii	Perlis	-	-		
ix	Pulau Pinang	13	14		
X	Sabah	29	16		
xi	Sarawak	18	11		
xii	Selangor	86	76		
xiii	Terengganu	15	11		
xiv	WP Kuala Lumpur	14	2		
$\mathbf{X}\mathbf{V}$	WP Labuan	3	3		
xvi	WP Putrajaya	11	11		
	Total	370	305		
	Total	6	75		

Note. DE-Deaf, M-Male, F-Female Source: Special Education Data Year 2019 (Ministry of Education Malaysia, 2019)

The above data shows the state with the highest number of students with hearing impairments in the Integrated Special Education Program (*PPKI*) in Selangor with 162 students. The selection of teachers as study participants was also based on the specific criteria of experience in teaching Islamic Education and the Quran for deaf students for at least three (3) years as shown in Table 2.

The data in Table 2 shows a total of eight teachers who met the criteria were selected after receiving information through the

Table 2
Participant's demographic information

Teacher	Sex	Age	Experience in Teaching Islamic Education/Quran for Deaf Students
T1	Female	40	19 Years
T2	Female	43	10 Years
T3	Female	36	10 Years
T4	Female	48	5 Years
T5	Female	45	3 Years
T6	Female	33	3 Years
T7	Male	34	7 Years
T8	Male	32	6 Years

Selangor State Education Department and the headmasters. The actual names of the teachers participating in the study were kept confidential and replaced by codes, such as for example, the first participant teacher for the study was coded as T1. The document analysis was based on documents related to the teaching and learning for the deaf students such as circulars from the Ministry of Education Malaysia, syllabus, and teaching record books obtained from several of the participants to further strengthened the interview data.

FINDINGS

The findings of the study on the utilization of teaching aids were based on the following partially structured interview questions, and the data has been analyzed using a thematic approach.

- 1. How do you plan the teaching of the Quran to deaf students?
- 2. What are the activities commonly implemented in the teaching and learning of the al-Quran for deaf students?
- 3. How do you implement activity-

- based teaching in the learning of the Quran for deaf students?
- 4. What are some of the challenges you face in implementing the activities during the teaching of the Quran to deaf students?

The findings showed some of the participants implemented a number of activities in their teaching and learning of the Quran for deaf students based on several aspects such as; skills in learning the Quran, the category of students, and activities by groups or individuals.

Skill Activities on the Learning of the Quran

The reading and writing skills are very synonymous in the learning of the Quran because they help students to memorize the verses of the Quran. However, before the reading and writing skill activities, the deaf students must be introduced to the letters and words of the Quran. Recognizing letters and word signs is the main fundamental principle the students who want to study the Quran have to learn. However, in this study, there were some deaf students who used

hearing aids and cochlear implant devices. These devices helped them to hear and enabled them to recite the Quran. So, some teachers used the strategy of introducing single letters through gestures or hand codes such as in the interview data with Teachers No.2, No.7, and No. 8.

"I started by introducing the letters and then connecting them. Then the next level is entering the word signs. But for a student to achieve this is a little slower than the mainstream students". (Interview: T2)

"We have the activity of recognizing letters, then to the continuous letters, and then to letters with word signs. Just like the mainstream, except the additional gestures". (Interview: T7)

"Our strategy is, for the lower-level students who are more towards recognizing letters and with word signs". (Interview: T8)

According to T2 most of his students were of low performance in recognizing Arabic letters and word signs in the Quran. Thus, he focused more on the planning of Arabic letters and word sign activities for his students.

"For the Tilawah al-Quran the recognition of letters and the word signs, the students made many mistakes. So, I did more on the letters and word recognition activity". (Interview: T2)

The implementation of activities in the learning of the Quran was supported by the analysis of the Daily Teaching Plan documents from some of the study participants as follows.

RECOMMENDATIONS FOR STUDENT ACTIVITIES:

1. Teacher introduced single word sign above and single word sign below.

Example: زرذد ن

- 2. The teacher read using the *hijaiyyah* hand code with single word sign above.
- 3. The teacher introduced the *hijaiyyah* word codes to the students with single word sign below. (Document Analysis: T7)

Standard Learning of the Quran Hijaiyyah letters

- 1. Recognizing the Single Hijaiyyah Letter
- 2. Reading (gestures / Code) Single Hijaiyyah Letter. (Document Analysis: T8)

One of the main things that needed to be emphasized in the learning of the Quran after recognizing the *hijaiyyah* (Arabic letters) was recognizing the words. The planning of word-recognition activities was usually implemented for level 1 students as included in the Special Education Standard Curriculum. For students who could voice out, they would be trained to read or pronounce words. One of the ways students used to recognize words was to arrange the

words in a specific *surah*. Examples were from the interview data with Teachers No.1 and No.2.

"But I'm more focused on these students who recognize the words. If the student already recognizes the words, he/she can already arrange the words to form the sentence in the surah". (Interview: T2)

"The student who recognizes the letters well, we will then teach him to recognize the sentence". (Interview: T8)

Generally, the reading skills activity planned by the teachers was for the deaf students to speak and voice out. Whereas, the use of hand codes or hand gestures was for students who could not voice out. These were obtained through the interview data with Teachers No.1, No.2, and No.3.

"If a student who is able to voice out, he/she will read with his/her voice. Those who cannot voice out they will read using hand codes or hand gestures". (Interview: T1)

"Reading activities should depend on the students. If that student definitely cannot voice out, he/she definitely cannot read. If the student can voice out a little, he/she then can read". (Interview: T2)

"Students who can read we will teach them to read. If he/she cannot read, we teach him/her to read using gestures". (Interview: T3) The Quran reading activities were also supported based on the analysis of the Islamic Education Curriculum Standard Document for Hearing Problems as follows:

Content Organization of the Quran:

- 1. Recognizing and reading the Quran using gestures/codes if necessary.
- 2. Understanding the meanings of *surah al-Fatihah* and *Surah Lazim (al-Dhuha till al-Nas)* and internalizing the teaching.

Meanwhile, the planning of the writing skill activities was carried out to train the deaf students to sketch and form the *hijaiyyah* letters or words from the Quran verses. Examples were from data interviews with Teachers No.1 and No.3.

"After the reading activity, we start the exercises or writing activities." (Interview: T1)

"Usually, these students can write. For those who are proficient in writing, I also provide copywriting letters and verses of the Quran". (Interview: T3)

The lesson planning based on the skill activities acquired from the interview data and the document analysis above was suitable for deaf students in learning the Quran. Although some students were unable to voice out or read the words from the verses of the Quran, they could still learn the Quran by writing and using hand codes or hand gestures. These were also supported by the document analysis from the Director-

General of Education Malaysia (2011) circular, Ministry of Education Malaysia as follows:

In implementing a special education curriculum, teachers can modify the teaching and learning methods or techniques, when giving and arranging activities, subjects, and teaching aids to achieve the purpose and aims of the special education.

Activity-Based Student Criteria

The deaf students had different levels of hearing impairment. Some students were in the mild level, some in the severe level and some were profoundly deaf. And there were some of these students who could speak by using a hearing aid and cochlear implant devices and others could not because there were profoundly deaf. There were some participants who planned skill activities based on students' hearing and speaking levels. These were obtained from interview data with Teachers No.5 and No.6.

"Some of my students can hear very little and cannot voice out." (Interview: T5)

"Some of my students even say they cannot." (Interview: T6)

There were also study participants who stated some of their students could not hear at all and could not follow the learning process.

"These students are not the same. Some can hear, others can follow when we say Aa Ba. There are some who cannot hear at all and cannot follow the learning". (Interview: T1)

"He can hear and he can speak but he has a little speech impediment". (Interview: G4)

"The students' deafness level is different. There is a moderate level, a severe level and a very severe level". (Interview: T6)

"Some of them can hear a little, some can speak a little, and some have a short tongue, they can speak but not clearly". (Interview: T7)

Some of the deaf students also had multiple disabilities such as learning disabilities. Generally, deaf students with learning disabilities focused less on learning in the classroom and needed more guidance than other students in the learning of the Quran. These were obtained from the interview data with Teachers No.1 and No.7.

"There are also students who have other combination of problems. These type when we teach, they cannot follow the learning. And we guide the students as part of teaching activity". (Interview: T1)

"If a student also has a learning disability, we need to give him/her a little more guidance than the other students". (Interview: T7)

Among other characteristics or problems with deaf students were learning disabilities such as autism. Usually, students with

autism found it difficult to focus on learning. These were obtained from the interview data with Teachers No.2, No.3, and No.6.

"There are students who cannot hear at all and they have slight autism, they have trouble focusing attention in class". (Interview: T2)

"One of the students also has learning problems. That is why he cannot memorize the sign language. He even cannot voice out". (Interview: T6)

Group Learning Activities

For some of the study participants, the activities were planned by dividing the students into groups. This was because some students learned well and some students were a bit slow to receive the learning content. Thus, some of the study participants planned the al-Quran teaching by dividing the students into groups, so that learning could be conducted smoothly. These were obtained from interviews with Teachers No.2 and No.8.

"Usually, I plan activities by dividing them into groups. Where the students can receive learning quickly, they will be in Group A and those who are slow in receiving or are still blurred will be in Group B". (Interview: T2)

"I divide the students according to their ability levels. For the good ones, we have reading activities. For those who cannot read we put them in another group". (Interview: T8)

The findings from the interviews were supported by findings from the analysis of the Curriculum Standard and Assessment Document of the Curriculum for Primary Special Education Hearing Impairment which stated teachers could divide students into groups in order to recognize the *hijaiyyah* letters with the word signs.

Teachers held Quiz activities: Recognizing letters according to groups.

- i) The letters with word signs above
- ii) The letters with word signs below

However, some of the study participants planned individual Quran teaching activities such as, for example, from the interview data with Teachers No.4, No.5, and No.7.

"But with these hearing-impaired students, we must focus one by one. Even if it is a class of four, it's like 40. Because they are different in terms of IQ. Their ability level is different. So, actually, they should be given one-to-one attention". (Interview: T4)

"I plan to teach individually. Those who can hear I teach them to read at the same time. If they cannot hear, I use gestures according to the textbook". (Interview: T5)

"If a student has learning problems, we need to guide him/her individually". (Interview: T7)

Briefly, some of the study participants had planned the activity-based teaching and learning of the Quran. Findings from the interviews on the planning of the student-centered teaching were supported through the Curriculum Standard and Assessment Document analysis. Among the teaching and learning strategies as stated from the Curriculum Standard and Assessment Document Curriculum for the Islamic Education Primary Education Special Education for Hearing Disabilities, the emphasis was on activity-based learning.

The Assignment Analysis Approach involved the process of dividing skills into several simple components or steps so that a student can master and learn. The Assignment Analysis Approach helped teachers to arrange the skills they wanted to teach, providing consistent training and assessing the students' achievement levels. The Assignment Analysis Approach could be implemented as follows:

- Ensuring the appropriate skills were taught to students according to their ability level.
- Briefly elaborating on the selected skills
- Breaking the selected skills into small steps.
- Adapting the learning steps according to the capability and ability of the students.

DISCUSSION

The objective of this study was to explore the activity-based teaching used by teachers who were teaching the Quran to deaf students in primary schools. The teachers implemented a number of activities in their teaching and learning of the Quran for the deaf students based on several aspects such as skills in learning the Quran, the category of students, and activities by groups or individuals. Deaf students had problems with the spelling of the Arabic letters and words from the Quran verses. There were students who could pronounce well but still had problems in spelling. The main difficulty faced by deaf students was the disability to detect and receive sound. Therefore, the use of sign language was their main medium of communication in learning (Loughran, 2013). From this study, some deaf students also had difficulty remembering the sounds of the Arabic letters and words. The cause was their hearing senses which made them unable to capture the pronunciation of the letters properly.

This study shows that teachers started the teaching activities by introducing and spelling the single letters of the Quran with signs to students. After mastering the single letters, the teachers continued introducing letters and words from the Quran verses to the students. For students who could voice out, they would be trained to read or pronounce words by using their voice. Although some students were unable to voice out or read the words from the verses of the Quran, they could still learn the Quran by writing activities. Teachers also carried out writing the verses of the Quran activity as one way to help the students memorize the Quran. Teachers asked the students to arrange the words in a specific surah

to assess the Quran memorization among the students. Some teachers carried out the learning activities among the students in groups. But there were some of these students with learning disabilities and they needed more guidance than others. So, some of the teachers taught these students individually to improve their achievement in learning the Quran. In addition, there were students who also had trouble spelling and reading the Quran because the language of the Quran is Arabic. This was something new to the deaf students for they were communicating with Sign Language which was their first language.

Arabic language in the context of education in Malaysia is considered a foreign or second language like English (Yah@Alias et al., 2019). Among the skills that are found in language learning from a second language, perspective is the ability to recognize, observe, and utter (pronounce) symbols or reading symbols (letters) that are found in the text and to be able to relate them to meanings. At this stage, some of the objectives of the reading skills will be achieved when students are able to read reading materials fluently as well as able to recognize in general on ideas, information and important content the author or text is trying to convey.

The aim of learning the Quran for deaf students in schools is not to finish reading the Quran as in the learning of the Quran among students in the mainstream. In fact, the aim of the said learning is to introduce a number of specific *surahs* based on the ability of the hearing-impaired students.

The teaching of the Quran for deaf students is through two main methods, speaking or voicing out as well as the use of hand codes and sign language. In addition, teachers who teach deaf students can also use finger-spelling and writing methods to aid comprehension and to enhance student achievement. However, the use of Total Communication, which combines speech, hand gestures, facial mimics, and body movements, is the best way of communicating teachings to the hearing-impaired students (Lederberg et al., 2014).

Like another second language, deaf students must adapt to a different way of processing language when learning the Quran both reciting and writing. For purposes of teaching the Quran, however, much of the second language pedagogy has been helpful in teaching deaf students. As discussed earlier, the learning of the Quran emphasizes more on the aspects of reciting, memorizing, and comprehension the verses (Nahi, 2018). From the reciting aspect, deaf students who could voice out would be taught to read using the voice. While deaf students who could not speak were taught to read using hand codes and sign language. Briefly, the learning of the Quran for the deaf students was intended to enable the students to recognize the Arabic letters and recite through gestures the surah lazim or choices and to cultivate interests in reciting the Quran and practicing its reading in everyday life.

So, the main thing to give attention to in the learning activities of the Quran for the deaf students were the reciting and writing

skills. For students who were first taught to recognize single and continuous letters after learning the recognition of letters and words, teachers then could plan the reciting and writing skills (Othman & Kassim, 2017). The Quran reading skills activities were very important for hearing-impaired students, especially those who could speak. Besides, teachers could also plan the teaching and learning activities of the al-Quran with writing activities. With writing activities, the hearing-impaired students were able to recognize and identify the Arabic letters which could help them to recite and memorize the words or verses of the Quran. The activity of arranging letters and words through card pieces or papers could also help the hearing-impaired students to recite Quranic verses. To increase the Quran recitation and writing skills among deaf students, teachers are proposed to give assignments such as handouts, overhead projector, on the board, or web page and be flexible with assignment deadlines. They can provide copies of their notes to the students and allow the students to meet them before a reciting and writing assignment is due to clarify what is expected. Therefore, the students have an opportunity to recite with voice if they can speak and rewrite before the due date and deadlines.

Because most deaf students have speech problems, the Quran reading and reciting skills are not fully taught. In this case, students must first be given speech therapy to enable them to be taught to recite the al-Quran. Students with mild, moderate, and severe hearing impairment could be taught to speak using amplifying tools through the components of speech training, articulation, lip-reading, and auditory training (Wilson, 2013), so they could be exposed to the reading and reciting of the al-Quran. When using notes, slides, or boards in teaching the Quran, teachers should allow students time to read what is written before starting to speak again. It is not possible to read and lip-read at the same time. In fact, it is not possible for any student to read and listen at the same time. If the teachers are using videos in teaching, make sure the subtitle or transcript of the videos are provided as commentary. Teachers can also conduct teaching activities by dividing students into groups other than individually so students can focus and understand the lessons being taught. This is because, between them, there are many different characteristics of hearingimpaired students. In this regard, teaching and conducting activities individually can help students achieve the learning objectives of the learning of the Quran faster.

This study also found some study participants made teaching plans individually or in groups. This was because there were many different characteristics of the deaf students between one and another. One of the most effective ways of teaching and learning was through cooperative learning (Yassin et al., 2019). That is, grouping the weak students with the better students where the latter would guide the weak ones in the group (Alrayah, 2018). By dividing the students into groups based on the mastery levels of the content, learning then could run smoothly. For some study participants,

the idea of teaching individually could help students to achieve the learning objectives of the Quran more effectively (Slavin, 1987). Individualized teaching is particularly important for deaf students who also had learning disabilities. They need to be guided individually by teachers because they have multiple disabilities. So, some of the study participants stated teaching deaf students could not just be student-centered only, but also teacher-centered.

It was clear among the deaf students, there were various levels of hearing and speech disabilities as well as other characteristics of impairments. However, not all Islamic Education teachers are qualified to teach the Ouran to deaf students. Despite mastering the Quran, they have to know and master the teaching method of sign language in teaching and learning deaf students. Teachers should be aware of the various ability levels and characteristics of the students so that the teaching and learning activities could run smoothly during the teaching and learning sessions. In order to implement the Quran teaching and learning activities as planned and orderly, the emphasis would be on drilling, repetition, and continuous reading exercises. In addition, the preparation of reading materials suitable to the levels of the deaf students as well as the use of various teaching aids in teaching like; printed materials such as textbooks, card, worksheet and the use of Information and Communication Technology (ICT) such as a computer, website and liquid crystal display (LCD) could assist the students to master the

learning of the Quran. Future research needs to analyze the teaching instruction especially for deaf students with multiple disabilities and find the best practices for these students and what practices can be carried over into the field of Quran education.

CONCLUSION

Activity-based teaching is one of the forms of learning the Quran for deaf students in schools. In order to implement the learning activities, teachers should know the different background characteristics of the hearingimpaired students. Reading and writing activities are among the learning activities of the Quran for students in schools. In this case, the hearing-impaired students should be taught to recognize and pronounce the Arabic letters first. For those who could not speak, they are taught to read the letters with hand codes or sign language. In addition, writing activities could also help deaf students to achieve the objectives and learning outcomes of the Quran. Through writing activities, students are able to recognize the single and continuous Arabic letters as well as recognizing the words with signs. In this case, are large. And if there are few students, such activities could be conducted individually, especially when the deaf students also have learning disabilities. All of these activities should be conducted in stages either from easy to the more difficult or from the lower to the higher levels that had been set in the national or mainstream curriculum. Whatever teaching or learning activities of the Quran planned by the teachers for the deaf students, they should be in accordance with the special education curriculum as stated in the national curriculum. Attending courses and training related to teaching deaf students will increase the competency of the teachers who teach deaf students the Quran in schools.

ACKNOWLEDGEMENT

This article was published as part of a study from the National University of Malaysia Research Grant: GUP-2016-073.

REFERENCES

- Abdullah, A. H., Omar, M. C., Sulaiman, A. A., & Muhamad, N. (2017). The Arabic grammar competence and performance among religious stream students at national lower secondary school, Terengganu, Malaysia. *International Journal of Academic Research in Progressive Education and Development*, 6(3), 174-188. http://dx.doi.org/10.6007/IJARPED/v6-i3/3170
- Ahmad, A. (2012). Mengenal dan menangani orang kurang upaya [Recognizing and addressing people with disabilities]. Dewan Bahasa dan Pustaka.
- Alrayah, H. (2018). The effectiveness of cooperative learning activities in enhancing EFL learners' fluency. *Journal of English Language Teaching*, 11(4), 21-31.
- Anwar, F. (2019). Activity-based teaching, student motivation and academic achievement. *Journal of Education and Educational Development*, 6(1), 154-170.
- Dzulkifli, I., Suhid, A., Fakhruddin, F. M., & Ahmad, N. A. (2020). Teacher communication in teaching al-Quran to special needs pupils with hearing disabilities. *Universal Journal of Educational Research*, 8(1A), 36-43. https://doi.org/10.13189/ujer.2020.081306

- Ghadim, N. A., Alias, N., Rashid, S. M. M., & Yusoff, Z. M. (2013). Mother's perspective toward al-Quran education for hearing impaired children in Malaysia. *The Malaysian Online Journal of Educational Technology*, 1(4), 26-30.
- Gremmen, M. C., Van den Berg, Y. H., Segers, E., & Cillessen, A. H. (2016). Considerations for classroom seating arrangements and the role of teacher characteristics and beliefs. *Social Psychology of Education*, *19*(4), 749-774. https://doi.org/10.1007/s11218-016-9353-y
- Ishak, H. (2011). Amalan pengajaran guru Pendidikan Islam di Sekolah Kebangsaan Pendidikan Khas (masalah pendengaran) satu kajian kes [Teaching practises among Islamic Education teachers in Special Education Schools (hearing disabled students) a case study] (Doctoral thesis). Universiti Kebangsaan Malaysia.
- Ishak, H., Halim, A., Majid, R., & Bari, S. (2012).

 Amalan pengaran guru dalam pengajaran dan pembelajaran Pendidikan Islam di Sekolah Kebangsaan Pendidkan Khas (masalah pendengaran) [Teaching practises among Islamic Education teachers in Special Education Schools (hearing disabled students)]. Journal of Islamic and Arabic Education 4(2), 11-24.
- Jum'ah. (1990). Saikolojiyyah wa al-marad al-Aqliyy [Psychology and mental illness]. Alam al-Ma'rifah.
- Ministry of Education Malaysia. (2005). *Modul pengajaran Pendidikan Islam* [Islamic Education teaching module]. Dewan Bahasa dan Pustaka.
- Ministry of Education Malaysia. (2012). *Pelan pembangunan pendidikan Malaysia 2013-2025* [Malaysia Education blueprint 2103-2025].
- Kim, M. S. (2017). Multimodal modeling activities with special needs students in an informal learning context: Vygotsky revisited. *Journal of Mathematics Science and Technology Education*, 13(6), 2133-2154.

- Lederberg, A. R., Miller, E. M., Easterbrooks, S. R., & Connor, C. M. (2014). Foundations for literacy: An early literacy intervention for deaf and hard-of-hearing children. *The Journal of Deaf Studies and Deaf Education*, 19(4), 438-455. https://doi.org/10.1093/deafed/enu022
- Lom, B. (2012). Classroom activities: Simple strategies to incorporate student-centered activities within undergraduate science lectures. *The Journal of Undergraduate Neuroscience Education, 11*(1), A64-A71.
- Loughran, S. (2013). Cultural identity, deafness and sign language: A postcolonial approach. *LUX: A Journal of Transdisiciplinary Writing and Research form Claremont Graduate University,* 2(1), 1-8. https://doi.org/10.5642/lux.201301.19
- Nahi, M. (2018). Amalan pengajaran tilawah al-Quran berkesan dalam kalangan guru Pendidikan Islam [Effectiveness teaching practises of tilawah al-Quran among the Islamic Education teachers] (Doctoral thesis). Universiti Teknologi Malaysia.
- Noreen, R., & Rana, A. M. K. (2019). Activity-based teaching versus traditional method of teaching in mathematics at elementary level. *Bulletin of Education and Research*, 41(2), 145-159.
- Ntinda, K., Thwala, S. K., & Tfus, B. (2019). Experiences of teachers of deaf and hard-of-hearing students' in a special needs school: An exploratory study. *Journal of Education and Training Studies*, 7(7), 79-89. https://doi.org/10.11114/jets.v7i7.4274
- Othman, M. S., & Kassim, A. Y. (2017). Pelaksanaan amalan pengajaran guru Pendidikan Islam sekolah menerusi kaedah penyoalan berdasarkan Kemahiran Berfikir Aras Tinggi (KBAT) [Implementation of the practise of teaching Islamic Education schools through questioning methods based on Higher Order Thinking Skills (HOTS)]. Journal of Advanced Research in Social and Behavioural Sciences, 7(1), 1-9.

- Patil, U., Budihal, S. V., Siddamal, S. V., & Mudenagudi, U. K. (2016). Activity based teaching learning: An experience. *Journal of Engineering Education Transformations*, (Special Issue), 1-5. https://doi.org/10.16920/jeet/2016/v0i0/85433
- Saari, N. A., Umat, C., & Mat Teh, K. S. (2012). Factors affecting the learning of the Holy Quran among severely and profoundly hearing-impaired children with a cochlear implant. *IOSR Journal of Humanities and Social Science*, *2*(1), 85-92. https://doi.org/10.9790/0837-0218592
- Slavin, R. (1987). A theory of school and classroom organization. *Educational Psychologist*, 22(2), 89-108. https://doi.org/10.1207/s15326985ep2202 1
- Director-General of Education Malaysia. (2011). Surat pekeliling ikhtisas bilangan 5: Pelaksanaan Kurikulum Standard Sekolah Rendah Pendidikan Khas (KSSR) pendidkan khas tahap satu mulai 2011 [Professional circular letter No. 5: Implementation of Special Education Primary School Standard Curriculum (KSSR) special education level one starting 2011]. Kementerian Pendidikan Malaysia.
- Tickle, L. (2000). *Teacher induction: The way ahead.*Open University Press.
- Wilson, C (2013). A different language: Implementing the total communication approach. *Scottish Journal of Residential Child Care*, 12(1), 34-45.
- Yaakub, R., Hashim, S., & Ahmad, M. Z. (2005). Pedagogi: Strategi dan teknik mengajar dengan berkesan [Pedagogy: Effective teaching strategies and techniques]. PTS Publications & Distributors Sdn. Bhd.
- Yah@Alias, M. H., Lubis, M. A., & Mohamad, M. (2019). Kemahiran membaca teks Arab sebagai bahasa kedua: Penelitian dari perspektif teori dan kurikulum [Reading skills of Arabic text as a second language: A Study from the perspectives of theory and curriculum]. INSANIAH: Online

Journal of Language, Communication, and Humanities, 2(1), 26-44.

Yassin, A. A., Razak, N. A., & Maasum, T. N. R. T. M. (2019). Cooperative learning: General and

theoretical background. *Advances in Social Sciences Research Journal*, 5(8), 642-654. https://doi.org/10.14738/assrj.58.5116



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Workplace Skills and Teacher Competency from Culinary Arts Students' Perspectives

Hanis Mohamed¹, Mohd Hazwan Mohd Puad^{2*}, Abdullah Mat Rashid² and Rahimah Jamaluddin²

¹Ministry of Education Malaysia, 62604 Putrajaya, Malaysia ²Faculty of Educational Studies, Universiti Putra Malaysia, 43400 UPM Serdang, Malaysia

ABSTRACT

Workplace skills are essential skills needed by graduates today to fulfill the demands of employers. Employers in the hospitality industry are looking for well-prepared Culinary Arts graduates that possess adequate training and are equipped with workplace skills to fill up positions in the job market. Apart from skills, teacher competency impacts the acquisition of knowledge and workplace skills among Culinary Arts students and contributes to the issue of unemployment. This study aims to differentiate workplace skills and teacher competency based on gender, socio-economic status, as well as academic and vocational achievements of Culinary Arts students. Furthermore, the relationship between workplace skills and teacher competency is assessed. This correlational study was conducted at Malaysian vocational colleges offering 2-year Culinary Arts programs involving 198 final year students. A 5-point Likert-scale questionnaire was used for data collection. The findings demonstrated that the students' workplace skills and perception of teacher competency were at a moderate level. No significant differences were noted based on gender, socioeconomic status, as well as academic and vocational achievements. Teacher competency and workplace skills were correlated moderately and positively. This study provides a basis and serves as a reference to the Technical and Vocational Education and Training practitioners to design a curriculum for vocational college students in improving the acquisition of students' workplace skills.

ARTICLE INFO

Article history: Received: 30 May 2020 Accepted: 30 November 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.06

E-mail addresses:
hanismohamed76@gmail.com (Hanis Mohamed),
hazwan@upm.edu.my (Mohd Hazwan Mohd Puad)
abmr@upm.edu.my (Abdullah Mat Rashid)
imah_upm@upm.edu.my (Rahimah Jamaluddin)
* Corresponding author

Teachers are recommended to play an active role in efficiently integrating workplace skills in the learning process to enhance their competencies.

Keywords: Academic achievement, culinary arts, teacher competency, vocational achievement, vocational college, workplace skills

INTRODUCTION

Education and skills are an important combination that contributes to sustainable globalization and socioeconomic growth. In this digital age, the survival of workers depends greatly on the quality of their personal skills. By mastering a wide variety of skills, students can distinguish themselves in this era of competition, multiculturalism, and globalization. Skilled graduates are required to fill in the vacant jobs in the industry, either as semi-skilled workers or skilled workers. These workers are needed to improve lifestyles and better social unity. To be hired for work, graduates should be prepared with the required workplace skills, not just in academic and technical knowledge (Hanafi, 2015; Harreveld, 2010). This idea is shared by the field of Technical and Vocational Education and Training.

Technical and Vocational Education and Training (TVET) plays a role in providing education and skills training that meet the demands of the industry and workplace. TVET aims to equip every individual with the appropriate skills for the work field and to fulfill employers' demands. United Nations Educational, Scientific, and Cultural Organization (UNESCO) has defined TVET as technical and vocational education besides general education that involves the subject of science, technology and mastering practical skills, attitude, understanding, and knowledge in a variety of jobs in the economy sector (UNESCO, 2020). TVET is responsible for processing and producing professional labor as well as acting as a milestone to develop a country (Ahmad et al., 2015). TVET has also become an important contributor to produce highly-skilled, knowledgeable, innovative, and competitive employees. Thus, TVET institutions have been established to fulfill this responsibility and to produce a pool of high-quality TVET students for the country, who have mastered a specific set of skills for the industry. In accordance with the context of vocational knowledge, TVET is a workbased education and training process with a strong emphasis on industry practice and occupation (Chinedu & Mohamed, 2017; Heusdens et al., 2016).

According to Cole and Tibby (2013), workplace skills are the skills that can support students to build a variety of knowledge, skills, behavior, characteristics, and personal attitudes that meet work demands. Similarly, Yorke and Knight (2004) stated that employability skills shared the same terms with workplace skills, a set of achievements, skills, understandings, and personal attitudes that enabled graduates to obtain jobs, succeed in their careers, and contribute to the economy, society and themselves. Harreveld (2010) mentioned that workplace skills could be described as a skill set to be attained, maintained, and enhanced through learning both on- and off-the-job in formal and informal settings. In order to be competitive in the working environment, graduates need to remain alert about the significant workplace skills that are required to get hired to a position and maintain the job. Graduates who possess workplace skills are a country's important asset that can greatly impact employers and help boost the economy to a higher level (Puad & Desa, 2020).

In Malaysia, vocational college is one of many positive ways to create human capital that is recognized by the world and to become a high-income country. The establishment of a vocational college aims to develop skilled graduates, meet the industry demand, teach entrepreneurial characteristics, encourage professionalism, support lifelong learning, and raise education to higher levels. A vocational college offers programs and courses that consider the industry demand while being more comprehensive and matching employers' expectations of hiring skilled and trained employees. For the past few years, with the acquisition of hands-on skills and knowledge in the fields, vocational college graduates have a high employability and marketability record.

A report by the Malaysian National Graduates Employability Blueprint (2012-2017) mentioned that some of the issues employers had experienced with graduates included poor communication skills, especially in English (55.8%), low personnel skills in terms of attitude and personality (37.4%), inexperience in solving problems (25.9%) and limited knowledge in the specific field (23.8%). The situation is quite similar in the field of hospitality. Alhelalat and Talal (2015) stated that graduates in hospitality lacked problem-solving skills, learning skills, technology skills, data collection and analysis skills, language proficiency and management skills, and leadership skills in order to meet industry standards. Consequently, while undergoing industry training, on-job-training (OJT) hospitality students encountered weaknesses in the mastery of employability skills such as communication skills, personnel skills, work commitment, and teamwork skills (Kok & Quah, 2017). The low levels of workplace skills are also related to the instructor factor as the instructor does not clearly understand the requirements of workplace skills. Teachers feel unconfident and incompetent to integrate workplace skills into technical classes in vocational colleges (Hanafi, 2015; Techanamurthy et al., 2015). Therefore, these situations become gaps and warrant further research. Thus, there is a need to study the workplace skills of technical and vocational students as well as teacher competency in vocational colleges to observe the current situation.

Workplace Skills Required by the Industry

Workplace skills refer to the ability and efficiency of final semester students of arts culinary vocational college to apply the elements of workplace skills introduced by the Secretary's Commission on Achieving Necessary Skills (SCANS) before they go on-job-training and until they can meet employers' demand in the industry. Workplace skills are a non-technical efficiency owned by an individual that has newly started work in the industry. These skills have become a priority for employers in employee selection. Kane et al. (1990) stated that workplace skills consisted of two skills, namely basic skills and workers' competency that they needed to strengthen their work performance, as stated in the SCANS Model. The model is orientated around skills and efficiency.

SCANS focuses on a critical aspect of schooling, also referred to as a living system. SCANS comprises of three foundations of skills: (1) basic skills, (2) thinking skills, and (3) personal qualities. This model has identified five competencies that are important for future work success; these are resources, interpersonal, information, systems, and technology. Resources include identifying, organizing, planning, and allocating, while interpersonal refers to working with others in a diverse team. Information includes interpreting and communicating, and systems include understanding complex interrelationships. Technology is identified as working with, selecting, and applying technologies. According to SCANS, all these elements of the workplace skills should not be used separately, but need to be combined and integrated to produce significant performance. SCANS argues that students can obtain huge benefits if they are exposed to working environments that need various workplace skills. Furthermore, SCANS identifies that parents, teachers, and employers can help strengthen the students' workplace skills to prepare students for the real workplace. For instance, both teacher and student spend time in class to discuss on how students gain necessary workplace skills effectively in the current changing workplace (Rashid, Bakar, Asimiran & Tieng, 2009).

Workplace skills contribute about 85% of job needs and job readiness, compared to 15% of academic and basic skills (Wats & Wats, 2009). The data shows that basic knowledge and academics do not guarantee graduates a job if they are not equipped with workplace skills (Prasad & Parasuraman, 2015; Sharma & Sharma, 2010). Workplace skills are also defined as one set of attributes, skills, and knowledge that are truly needed by all employees in the industry to ensure that they become effective employees (Wikle & Fagin, 2015). Meanwhile, Cobb et al. (2015) stated that workplace skills were personnel skills and interpersonal skills that were difficult to be seen and rated. Suleman (2016) stated that it was not easy to define workplace skills because there were no boundaries on skills sets reported by employers in the job advertisement. At the same time, Mustafa et al. (2008) stated that workplace skills did not have a single definition, but the definition varied according to text and context. According to Tyagi and Tomar (2013), workplace skills integrate the right proportion of these components into formidable abilities and eventually transform those skills into competencies. Workplace skills are also referred to with various names in other countries with different cultures, such as soft skills, generic skills, employability skills, non-technical skills, key competencies, common skills, core skills, and others. Table 1 shows the different terminology of workplace skills among different countries.

The Ministry of Education in Malaysia stated that workplace skills are important

Table 1
Terms of workplace skills based on the country

Country	Definition
United Kingdom	Core skills, key skills, common skills, employability skills
New Zealand	Essential skills
Australia	Key competencies, employability skills, generic skills
Canada	Workplace skills
United States	Basic skills, necessary skills, workplace know-how, generalizable skills, workplace skills, transferrable skills
Singapore	Critical enabling skills
France	Transferable skills
Germany	Key qualifications
Switzerland	Trans-disciplinary goals
Denmark	Process independent qualifications
Japan	Non-technical skills, key skills
Malaysia	Employability skills, generic skills, soft skills

Source: National Centre for Vocational Education Research (2004)

elements needed for employees to be flexible, innovative, and able to solve different tasks. Specific workplace skills, such as communication skills, teamwork skills, leadership skills, problem-solving skills, decision-making skills, analytic skills, computational skills, and cultural skills, are needed by employers; these are crucial for employees to succeed in their career journey. This requirement is emphasized in the Malaysia Education Blueprint (2013-2025) (Ministry of Education Malaysia, 2013). There are six key attributes needed by every student to be globally competitive, namely (1) leadership skills, (2) bilingual proficiency, (3) ethics and spirituality, (4) national identity, (5) knowledge, and (6) thinking skills. These skills are top-notch skills for students to be hired and secure a job in the marketplace.

Culpin and Scott (2012) divided workplace skills into hard skills that were

a combination of technical or content knowledge and skills, soft skills from the attitude or interpersonal behaviors, communication, and critical thinking. At the same time, Prasad and Parasuraman (2015) clarified that basic skills and workplace skills were needed for students mastering job-seeking skills. The skills included nine important factors in job-skills: personal behavior, training needs, academic skills, communication skills, soft skills, corporate skills, technical skills, job-seeking skills, and schooling. In addition, Oliver et al. (2014) categorized workplace skills needed by employers into five wide groups, which were (1) basic skills that consist of written communication and oral, problem-solving, and critical analysis; (2) ability to adapt to new situations and workplace, learn with autonomy; (3) expand new ideas and innovations, teamwork and interpersonal skills, information technology skills; (4)

work under pressure and stress management skills, flexible and adaptable, meet the deadlines, and also (5) specific technical skills and domains.

To obtain a job in a competitive market, graduates need to master workplace skills that consist of discipline and integrity, interpersonal skills, professionalism, creativity and innovation, lifelong learning, and applied knowledge skills in the courses joined (Puad, 2015; Tang, 2019a). Besides, it has become a priority for employers to hire graduates equipped with communication skills, interpersonal skills, the ability to work in a group and solve problems critically, and other unique skills (Ismail, 2012; Singh & Singh, 2008). Not only that, industries are prone to select well-trained and ready-made graduates for the workplace (Heusdens et al., 2016).

Driving Quality Teachers through Competency

There is plentiful literature demonstrating that instructors are essential to student success, including the acquisition of knowledge and skills. The instruction and interaction of teachers with students is the cornerstone around which effective schools are built (Arnold, 2011; Wenglinsky, 2002). In terms of skills development, a quality teacher plays a significant role in influencing students' workplace skills. To optimize students' workplace skills, factors such as teacher outreach, retention, preparation, professional development, evaluation, and teacher competency need to be focused on. Competency is a combination of the

knowledge, skills, understandings, and attitudes expressed and demonstrated in behaviors when performing a task (Topor et al., 2010). Competency is a characteristic that an individual possesses in connection with their work performance (Muslim & Yunos, 2014; K. M. Salleh et al., 2016). To optimize student learning, teachers must have expertise in a wide-ranging array of competencies in an enormously complex environment where hundreds of critical decisions are required each day (Hansen et al., 2007).

Typically, the finest teachers display enthusiasm and excitement for the subjects they teach. More than just generating excitement, they provide a road map for students to reach the goals set before them. The best teachers are proficient in all aspects of teaching such as instructional delivery, formative assessment, and classroom management. Equally significant, they are fluent in a multilayered set of social skills that students recognize and respond to, which leads to more excellent learning (Attakorn et al., 2014; Sofian, 2008). These skills must be defined as explicit behaviors that teachers can master for use in classrooms.

This study focuses on two variables, namely workplace skills and teacher competency. Both variables are based on theories and models related to the field of study. The theory of Bronfenbrenner Ecology forms the basis for the theoretical framework of this study. The theory has been proven significant in providing insight into

all the surrounding factors that contribute and play a role in individuals' growth and development, including workplace skills and knowledge. The ecological model of Bronfenbrenner's theory explains the differences in an individual's knowledge, development, and competencies through the support, guidance, and structure of the society in which they live. In the vocational college context, teacher competency plays a role in influencing students' workplace skills. The interactions between several overlapping factors affect a student significantly. This theory can also help develop government policies and programs that can benefit our society, such as vocational colleges.

Thus, this paper aims to investigate the perception of workplace skills and teacher competency among Culinary Arts students in Malaysian vocational colleges. The researchers conducted the study based on the following questions. (1) Are there differences in workplace skills and teacher competency based on gender, socio-economic status, the academic and vocational achievement of Culinary Arts students in Vocational Colleges? (2) What is the relationship between workplace skills and teacher competency?

METHOD

The researchers used quantitative research by using a correlational study design. In this research, the study population comprised the final year students of Malaysian Vocational College Diploma (DVM) in Culinary Arts programs in Malaysian vocational colleges. The total population was 377 students of Culinary Arts from 16 vocational colleges in Peninsular Malaysia. The sample of the study included 198 students. Respondents were selected based on a proportional and stratified randomized sampling method. Vocational colleges in Peninsular Malaysia were categorized into central, northern, and east coast zones. Based on the zones, a proportional number of samples were assigned. Permission to conduct this research was obtained from the (1) Department of Education Planning and Research, Ministry of Education Malaysia, (2) the Department of Technical and Vocational Education and Training, Ministry of Education Malaysia, and (3) the Ethics Committee for Research Involving Human Subjects of Universiti Putra Malaysia.

The researchers used a self-rating questionnaire as the research instrument. The questionnaire was developed by adapting and adopting material from the previous studies related to technical and vocational training education. The questionnaire measures the level of students' workplace skills. The questionnaire was prepared in the Malay language after being verified by experts in the field. The authors utilized a self-rating strategy with a five-point Likert scale questionnaire to gather respondents' feedback on the perception of workplace skills and teacher competency. This part contains 40 items measuring the seven elements of workplace skills that need to be evaluated: a) basic skills, b) thinking skills, c) resources skills, d) informational

skills, e) interpersonal skills, f) system and technology skills, and g) personal qualities. The researchers used instruments adapted from the Department of Labor (1992), Kadir (2014), and Kazilan (2008). Data was collected from the respondents by using mail. To do so, the researchers contacted one culinary art instructor from each vocational college involved in this study and sent the questionnaires to them by mail. The instructors then randomly disseminated the questionnaires to students based on the list names registered for each culinary art class. All the randomly chosen respondents completed the instruments and returned them to their instructors. The instructors mailed the collected questionnaires back to the researchers.

RESULTS AND DISCUSSIONS

Demographics

Based on respondents' demographic information in Table 2, male respondents made up 33.3% of the total respondents, while the rest were female students. 28 students had a family monthly income under RM980, 86 students under RM3860, 69 students between RM3860 to RM8319, and 15 students above RM8319. The table also shows that 101 students received excellent results, 89 students received credit results and eight students received pass results for their academic CGPA. While for the vocational CGPA, 48 students obtained excellent competency, 123 students obtained good competency, and 27 students obtained competent results.

Table 2
Demography of respondents (N=198)

Demography	Frequency	Percentage (%)	
Gender			
Male	66	33.3	
Female	132	66.7	
Family monthly income			
Under RM980.00	28	14.1	
Under RM3860.00	86	43.4	
Between RM3860- RM8319.00	69	34.8	
RM8319.00 and above	15	7.6	
Academic CGPA			
3.67 – 4.00 (Excellent)	101	51.0	
2.67 – 3.33 (Credit)	89	45.0	
2.00 – 2.33 (Pass)	8	4.0	
0.00 – 1.67 (Fail)	-	-	
Vocational CGPA			
4.00 (Excellent Competent)	48	24.2	
3.67 (Good Competent)	123	62.2	
2.67 – 3.33 (Competent)	27	13.6	
0.00 - 2.33 (Not Competent)	-	-	

Gender, Socioeconomic Status, and Student Achievement Factors

Based on the findings in Table 3, the researchers identified that the overall level of workplace skills for males was medium where M = 4.26 and SD = 0.34 while the level of workplace skills for females was also medium where M = 4.19 and SD = 0.30. The overall level of workplace skills for the students with family monthly income under RM980 was medium where M = 4.31 and SD = 0.32. The overall level of workplace skills for the students with family monthly income between RM980 to RM3890 was

also medium where M = 4.21, SD = 0.32. Next, the overall level of workplace skills for students with family monthly income between RM3860 to RM8319 was medium where M = 4.18 and SD = 0.30. The overall level of workplace skills for the students with family monthly income above RM8319 was medium where M = 4.22 and SD = 0.32.

The overall level of workplace skills for students with excellent academic CGPA results is medium (M = 4.24, SD = 0.30). In contrast, the overall level of workplace skills for students with credit results for academic CGPA was medium where M = 4.19 and SD

Table 3
Workplace skills of respondents (N=198)

	Mean of Workplace Skills						
Demography	Basic	Think- ing	Resources	Informa- tional	Interper- sonal	System & Technology	Personal
Gender							
Male	4.29	4.23	4.20	4.21	4.23	4.29	4.32
Female	4.40	4.14	4.07	4.08	4.22	4.06	4.28
Family monthly income							
Under RM980	4.46	4.27	4.23	4.22	4.26	4.22	4.44
RM980 - RM3860	4.35	4.21	4.09	4.12	4.22	4.14	4.27
RM3860 - RM8319	4.34	4.10	4.06	4.07	4.24	4.12	4.27
RM8319 and above	4.34	4.14	4.26	4.20	4.14	4.05	4.33
Academic CGPA							
3.67 - 4.00 (Excellent)	4.40	4.20	4.09	4.14	4.26	4.17	4.30
2.67 - 3.33 (Credit)	4.34	4.12	4.11	4.11	4.19	4.09	4.30
2.00 - 2.33 (Pass)	4.15	4.41	4.42	4.06	4.20	4.22	4.13
0.00 - 167 (Fail)	-	-	-	-	-	-	-
Vocational CGPA							
4.00 (Excellent Competent)	4.42	4.15	4.04	4.14	4.28	4.13	4.34
3.67 (Good Competent)	4.38	4.20	4.15	4.14	4.22	4.13	4.29
2.67 – 3.33 (Competent)	4.20	4.11	4.08	4.03	4.16	4.16	4.23
0.00 – 2.33 (Not Competent)	-	-	-	-	-	-	-

= 0.32. The overall level of workplace skills for students with pass results for academic CGPA was medium (M = 4.23, SD = 0.40). The overall level of workplace skills for students with excellent competent results for academic CGPA was medium (M = 4.23, SD = 0.32). In contrast, the overall level of workplace skills for students with good competent results for vocational CGPA was medium (M = 4.22, SD = 0.031). The overall level of workplace skills for students with the competent results for vocational CGPA was medium (M = 4.15, SD = 0.35).

Table 4 shows the overall level of teacher competency based on gender. The male respondents' competency was medium where M = 4.26 and SD = 0.43. While the overall level of teacher competency based

on gender, females was also medium (M = 4.14, SD = 0.42). The overall level of teacher competency based on the students' family monthly income of under RM980 was medium (M = 4.20, SD = 0.44). The overall level of teacher competency based on the students' family monthly income of between RM980 and RM3860 was medium (M = 4.23, SD = 0.42). The overall level of teacher competency based on the students' family monthly income of between RM3860 and RM8319 was medium (M = 4.11, SD = 0.45). Finally, the overall level of teacher competency based on the students' family monthly income of above RM8319 was medium where M = 4.17 and SD = 0.39.

The overall level of teacher competency for students with excellent academic CGPA

Table 4
Teacher competency of respondents (N=198)

Demography	Mean	Standard Deviation
Gender		
Male	4.26	0.43
Female	4.14	0.42
Family monthly income		
Under RM980	4.20	0.44
RM980 - RM3860	4.23	0.42
RM3860 - RM8319	4.11	0.45
RM8319 and above	4.17	0.39
Academic CGPA		
3.67 - 4.00 (Excellent)	4.14	0.42
2.67 - 3.33 (Credit)	4.22	0.42
2.00 - 2.33 (Pass)	4.26	0.61
0.00 - 167 (Fail)	-	-
Vocational CGPA		
4.00 (Excellent Competent)	4.14	0.50
3.67 (Good Competent)	4.18	0.40
2.67 – 3.33 (Competent)	4.22	0.44
0.00 – 2.33 (Not Competent)	-	-

results was medium (M = 4.14, SD =0.42). Whereas, the overall level of teacher competency for students with credit results for academic CGPA was medium where M = 4.22 and SD = 0.42. Next, the overall level of teacher competency for students with pass results for academic CGPA was medium where M = 4.26 and SD = 0.61. The teacher competency level for students with excellent and competent results for vocational CGPA was medium (M = 4.14, SD = 0.50), while the overall level of teacher competency for students with good competent vocational CGPA results was medium where M = 4.18and SD = 0.40. Additionally, the overall level of teacher competency for students with competent vocational CGPA results was medium where M = 4.22 and SD = 0.44.

Based on Table 5, the findings show that there were no significant differences in workplace skill levels based on gender differences according to each component of basic skills, thinking skills, resources skills, informational skills, interpersonal, system, and technology skills, and personal skills as the p-value was under 0.05 where p = .60, p = .56, p = .06, p = .09, p = .16, p = .09 and p = .74, respectively. Furthermore, the results show that there was no significant differences in the workplace skill levels based on socio-economic status according to each component of basic skills, thinking skills, resources skills, informational skills, interpersonal, system and technology skills, and personal skills as the p value was under .05 where p = .69, p = .20, p = .017, p = .51, p = .81, p = .60 and p = .14, respectively.

There were no significant differences in the workplace skill levels based on the students' academic CGPA according to each component such as basic skills, thinking skills, resources skills, informational skills, interpersonal skills, system and technology skills, and personal skills as the p value was under .05 where p = .24, p = .08, p = .12, p = .82, p = .53, p = .36 and p = .46, respectively. Additionally, the results show that there were no significant differences in the workplace

Table 5
Analysis of workplace skills differences according to demographic group (N=198)

Differences						
Components of Workplace	Gender Socio-Economic Status		CGPA Academic	CGPA Vocational		
Skills	t, p-value	F, p-value	F, p-value	F, p-value		
Basic skills	-1.66, .60	0.47, .69	1.42, .24	2.23, .11		
Thinking skills	1.47, .56	1.55, .20	2.46, .08	0.57, .56		
Resources skills	1.93, .06	1.65, .17	2.08, .12	1.17, .31		
Informational skills	1.80, .09	0.76, .51	0.19, .82	0.61, .54		
Interpersonal	0.08, .16	0.32, .81	0.62, .53	0.87, .41		
System and Technology skills	3.59, .09	0.61, .60	1.02, .36	0.04, .95		
Personal	0.72, .74	1.80, .14	0.78, .46	0.77, .46		

Note. *Significant at confidence level .05

skill levels based on the students' vocational CGPA according to each component such as basic skills, thinking skills, resources skills, informational skills, interpersonal skills, system and technology skills, and personal skills as the p value was under .05 where p = .11, p = .56, p = .31, p = .54, p = .41, p = .95 and p = .46, respectively.

Based on the teacher competency level analysis for gender differences as shown in Table 6, the researchers concluded that there was no significant gender level difference in the p-value = .168 where it was under .05. Not only that, the researchers concluded that there were no significant differences in socioeconomic status levels as the p-value = .352 was under .05. Next, there were no significant differences in students' academic CGPA levels where the p-value was p = .396, under .05. Lastly, there were also no significant differences in students' vocational CGPA levels where the p-value was p = .731 under .05.

Relationship between Teacher Competency and Workplace Skills

Based on Table 7, the findings show that the significant relationship between workplace skills and teacher competency was moderate and positive (r = .512, p<.05). Both workplace skills and teacher competency tended to increase together with the upward slope. However, the relationship does not guarantee growth or benefit. It just denotes that both variables move together in the same way.

Workplace skills refer to the combination of knowledge, skills, and efficiency that are owned by employees in order to qualify themselves, obtain a job, and maintain the position. Employers emphasize workplace skills as one of the prerequisites to employ workers in their organization. Workplace skills are not technical skills and are not academic, but involve a few skill aspects such as basic skills, thinking skills, interpersonal skills, resource skills, informational skills, system and technology skills, and personal skills.

Table 6
Analysis of teacher competency differences according to demographic group (N=198)

		Differences		
	Gender	Socio-Economic Status	CGPA Academic	CGPA Vocational
-	t, p-value	F, p-value	F, p-value	F, p-value
Teacher competency	1.94, .16	1.09, .35	0.93, .39	0.31, .73

Note: *Significant at confidence level .05

Table 7
Correlation between workplace skills and teacher competency (N=198)

	r	p-value	Interpretation
Workplace Skills - Teacher Competency	.51	.001	Moderate and positive relationship

Note: *Significant at confidence level 0.05

Based on the findings, the researchers found out that the overall level of workplace skills for males is medium where M = 4.26and SD = 0.34 while the level of workplace skills for females was also medium where M = 4.19 and SD = 0.30. The overall level of workplace skills for students with family monthly income under RM980 was medium where M = 4.31 and SD = 0.32. Similarly, the overall level of workplace skills for students with family monthly income between RM980 to RM3890 was medium where M = 4.21 and SD = 0.32. The overall level of workplace skills for students with family monthly income between RM3860 to RM8319 was also medium (M = 4.18, SD = 0.30). Additionally, the overall level of workplace skills for the students with family monthly income above RM8319 was medium where M = 4.22 and SD = 0.32.

The overall level of workplace skills for students with excellent academic CGPA was medium (M = 4.24, SD = 0.30). Not only that, the overall level of workplace skills for students with credit results for academic CGPA was medium where M = 4.19 and SD = 0.32. The overall level of workplace skills for students with pass results for academic CGPA was medium (M = 4.23, SD = 0.40). The overall level of workplace skills for students with excellent competent results for vocational CGPA was medium (M = 4.23, SD = 0.32). Furthermore, the overall level of workplace skills for students with good competent results for vocational CGPA was medium where M = 4.22 and SD = 0.31and the overall level of workplace skills for students with competent vocational CGPA results was medium where M = 4.15 and SD = 0.35.

The mean interpretation used in this research shows that the workplace skills of the final semester students of Culinary Arts Diploma of Vocational College in Peninsular Malaysia is at a medium level. This finding is equal to Adnan's (2005) findings of final semester students' workplace skills in hospitality courses in three polytechnics that were also found to be at a medium level. It is also the same as the study done by Rufai (2014) that mentioned that the workplace skills of mechanical engineering students in the technical college of North Nigeria were at the medium level. This situation shows that students of the vocational and technical stream at all age levels and educational institutions face problems in mastering and understanding the importance and the need for workplace skills in their lifestyle. Therefore, vocational college institutions need to identify various methods and strategies to expose their students to workplace skills before they get into on-job training and begin working in the industry. This exposure can be expected to provide students with an understanding of the need for mastering workplace skills as their job guarantee. Finding from Saari and Rashid (2013a) shows the type of company where student attached during on-job training can correctly estimate about 46 percent of students would get a job offer. Furthermore, there is a significant difference between workplace skills of student attached with multinational corporation company and other companies (Saari & Rashid, 2013b).

Next, research findings show that final semester students of Culinary Arts Diploma of Vocational College in Peninsular Malaysia had trust in and are confident with their workplace skills, especially in basic skills. Basic skills are important criteria that students need to possess in order to qualify for vocational college. Without basic skills such as reading, calculating, speaking, and listening, students might encounter problems with the education system in vocational colleges as 80% of vocational education emphasizes practical learning and only 20% is theory. They must obtain a competent level for the practical examination and pass the theory examination as one of the conditions to get a Malaysia Vocational Diploma.

Other than that, students are so confident that their workplace skills are already being exposed to implementing a final year project in the first year and second year. With the final year project, students are guided individually to create products and good project writing through reading reference materials up until the level where they need to present their research findings to the evaluator. Indirectly, this assists students to master basic skills and personal skills.

However, there are studies that have found different results compared to this research. The research done by Atan et al. (2015) on the readiness of workplace skills students of the final semester in Diploma of Hotel and Catering in Johor Bahru Politeknik showed a high level of workplace skills. Research by K. M. Salleh et al. (2016) also indicated that their

respondents, consisting of 322 technical graduates, had high workplace skill levels. The same was noted in research done by Kok and Quah (2017); their study findings identified that employers found the workplace skills students of Hospitality (Culinary and Hotel Operation) Community College to be of a high level while they were on the job training. These varying study findings could be due to a few factors, including different participant ages and the course studied. The respondents are vocational college students who complete their education in Malaysia Vocational Diploma as young as 20 years old. Other institutions such as community colleges, training skills institutes, polytechnics, and public universities have considered taking students with the Malaysian Certificate of Education (SPM). Students of the vocational college were chosen based on their PT3 results that are not in the excellent category. Apart from that, student exposure during their on-job-training is another factor that gave additional results. Students who had already done their on-job training had been directly exposed to workplace skills compared to the final semester students of DVM, who were yet to take part in their on-job training.

Overall, this research finding shows that final semester students of Culinary Arts Diploma of Vocational College in Peninsular Malaysia have acquired workplace skills before going for on-job training and working in the industry. The vocational college education system is work-based learning orientated, which includes working

competency, entrepreneurship, and soft skills. The Core Abilities (CA) module aims to help students acquire those skills; it is compulsory for students to get competent in this module before they are awarded the Malaysia Vocational Diploma. The research findings could also provide employers with a new perspective about assessing workplace skills in graduates from vocational colleges during their on-job training in the industry. In this relation to this, vocational education transformation shows that it can produce skilled graduates based on courses. These graduates have workplace skills as needed by the employer (Zakaria & Nair, 2019).

The relationship between lecturer competency and workplace skills has a substantial impact in contributing to the acquirement of workplace skills. Therefore, essential parties such as the Division of Technical and Vocational Education and Training (BPTV) as well as the vocational college management need to ensure that vocational college lecturers understand the importance of workplace skills to students. They need to encourage lecturers from the vocational stream and core stream to integrate workplace skills during the teaching and learning process, both in the classroom and outside. BPTV also needs to draft suitable training for the lecturers to be always prepared with the latest information about workplace skills in accordance with the needs of the industry (Zakaria et al., 2017).

Next, the lecturer needs to understand the need for workplace skills clearly and it is important to the students so that the curriculum objective can be achieved (Tang, 2019b). Other than that, to increase the understanding of workplace skills among students, the lecturer needs to be smart in delivering content and knowledge by using various suitable strategies and interesting methods. Lecturers can be an inspiration to motivate and trigger students' interest (Buntat, 2004; A. Salleh, 2015). Encouraging a positive lecturer and student relationship creates a fun learning situation and increases students' intrapersonal skills (Sidik et al., 2018).

CONCLUSIONS

In conclusion, there is a growing demand for workplace skills among employers in the hospitality industry. In this study, the perceptions of workplace skills among graduates in culinary arts programs could not be differentiated by any demographic information taken into consideration. Interestingly, this finding differs from prior research in this field that has found skills to be related to demographic factors such as gender and family background. However, the skills could be triggered or influenced by other factors or variables that have not been considered in this study. The same pattern is identified in the other variable, teacher competency. The students' perceptions of teacher competency were not influenced by demographic information, gender, socialeconomic status, and student achievement.

Moreover, workplace skills and teacher competency shared the same tendency and moved a similar direction in terms of relationships. Both variables are moderately

related to each other. Teacher competency can be a crucial factor for administration to focus on in order to influence workplace skills, without considering student background and demography. These findings can be used for curriculum developers to plan and design the future curriculum for TVET programs, especially Culinary Arts programs in secondary and tertiary educational institutions. Gender and background should not be factors that differentiate students' performances and ability in mastering TVET skills. The quality and skills assurance division also need to align their focus on internal improvement and teacher competency, which are more crucial and manageable than other unstudied extraneous factors. The limitation of this study is that the study population was limited to only vocational college students in the culinary arts program. Therefore, the inference and generalization of findings are limited to this specific population.

ACKNOWLEDGMENT

This study was funded by the Ministry of Education Malaysia under the *Hadiah Latihan Persekutuan (HLP)* program. Special thanks to Dr. Mohd Hazwan Mohd Puad, Hanis Mohamed, and Dr. Abdullah Mat Rashid for their contribution to this study.

REFERENCES

Adnan, N. A. (2005). Profil kemahiran generik pelajar aliran teknikal di politeknik [Profile of generic skills of technical stream students in polytechnics] (Master's thesis). Universiti Tun Hussein Onn Malaysia.

- Ahmad, M. J., Jalani, N. H., & Hasmori, A. A. (2015, September 14-15). *TVET di Malaysia: Cabaran dan harapan* [TVET in Malaysia: Challenges and Expectations]. In *Seminar Kebangsaan Majlis Dekan-Dekan Pendidikan Awam 2015*. Batu Pahat, Johor, Malaysia.
- Alhelalat, J. A., & Talal, A. (2015). Hospitality and non-hospitality graduate skills between education and industry. *Journal of Business Studies Quarterly*, 6(4), 46-55.
- Arnold, I. (2011). John Hattie: Visible learning: A synthesis of over 800 meta-analyses relating to achievement. *International Review of Education*, 57, 219. https://doi.org/10.1007/s11159-011-9198-8
- Attakorn, K., Tayut, T., Pisitthawat, K., & Kanokorn, S. (2014). Soft skills of new teachers in the secondary schools of Khon Kaen Secondary Educational Service Area 25, Thailand. *Procedia Social and Behavioral Sciences*, 112, 1010-1013. https://doi.org/10.1016/j.sbspro.2014.01.1262
- Atan, N. A., Zakaria, M. A., & Sabidin, F. (2015). Tahap kesediaan kemahiran generik pelajar semester akhir Diploma Hotel dan Katering: Kajian kes [Level of generic skills readiness of final semester Diploma in Hotel and Catering students: A case study]. *Tourism and Hospitality Essentials Journal*, 5(2), 947-954. https://doi.org/10.17509/thej.v5i2.2005.g1387
- Buntat, Y. (2004). Integrasi kemahiran "employability" dalam program pendidikan vokasional pertanian dan industri di Malaysia [Integration of "employability" skills in agricultural and industrial vocational education programs in Malaysia] (Doctoral dissertation). Universiti Teknologi Malaysia.
- Chinedu, C. C., & Mohamed, W. A. W. (2017). A document analysis of the visibility of sustainability in TVE teacher education programme: The case of a Malaysian HEI. *Pertanika Journal of Social Sciences & Humanities*, 25(S), 201-216.

- Cobb, E. J., Meixelsperger, J., & Seitz, K. K. (2015). Beyond the classroom: Fostering soft skills in pre-professional LIS organizations. *Journal of Library Administration*, 55(2), 114-120. https://doi.org/10.1080/01930826.2014.995550
- Cole, D., & Tibby, M. (2013). Defining and developing your approach to employability: A framework for higher education institutions. The Higher Education Academy. https://www. heacademy.ac.uk/sites/default/files/resources/ Employability framework.pdf
- Culpin, V., & Scott, H. (2012). The effectiveness of a live case study approach: Increasing knowledge and understanding of "hard" versus "soft" skills in executive education.

 Management Learning, 43(5), 565-577. https://doi.org/10.1177/1350507611431530
- Department of Labor. (1992). Learning a living: A blueprint for high performance. A SCANS report for America 2000. Secretary's Commission on Achieving Necessary Skills. https://eric.ed.gov/?q=Learning+a+Living%3a+A+Blueprint+for+High+Performance.+A+SCANS+Report+for+A merica+2000.&id=ED346348
- Harreveld, R. (2010). Philipp Gonon, Katrin Kraus, Jürgen Oelkers & Stefanie Stolz (eds): Work, education and employability. *Vocations and Learning, 3*, 257-263. https://doi.org/10.1007/ s12186-010-9044-3
- Heusdens, W. T., Bakker, A., Baartman, L. K. J., & De Bruijn, E. (2016). Contextualising vocational knowledge: A theoretical framework and illustrations from culinary education. *Vocations and Learning*, *9*, 151-165. https://doi.org/10.1007/s12186-015-9145-0
- Hanafi, Z. (2015). Kesepadanan latihan terhadap pekerjaan dalam kalangan graduan kejuruteraan elektrik di kolej komuniti [Training match on job among electrical engineering graduates in community colleges] (Doctoral dissertation). Universiti Teknologi Malaysia.

- Hansen, D. T., Driscoll, M. E., & Arcilla, R. (Eds.) (2007). A life in classrooms: Philip W. Jackson and the practice of education. Teachers College Press.
- Ismail, M. H. (2012). Study on employability of graduates in Malaysia: A survey of employer perspectives. *Prosiding PERKEM VII*, 2(2012), 906-913.
- Kadir, Z. A. (2014). Faktor peramal kemahiran kebolehpasaran dalam kalangan pelajar di Kolej Komuniti dan Institut Kemahiran Belia Negara [Predictive factors of marketability skills among students at Community Colleges and the National Youth Skills Institute] (Master's thesis). Universiti Putra Malaysia.
- Kane, M., Berryman, S., Goslin, D, & Meltzer, A. (1990). The secretary's comission on achieving necessary skills: Identfying and describing the skills required by work. U.S. Department of Labor. https://wdr.doleta.gov/SCANS/idsrw/ idsrw.pdf
- Kazilan, F. (2008). Kemahiran employability dalam kalangan pelajar Institusi Kemahiran Mara di Malaysia [Employability skills among students of Mara Skills Institution in Malaysia] (Master's thesis). Universiti Putra Malaysia.
- Kok, R. A., & Quah, W. B. (2017). Isu dan cabaran yang dihadapi oleh pelajar latihan industri (bidang hospitaliti) dalam penyediaan perkhidmatan pelanggan di restoran [Issues and challenges faced by industrial training students (hospitality) in service preparation customers at restaurant]. In *Ekspresi minda warga TVET* (pp.63-67). Kolej Komuniti Bandar Darulaman, Kementerian Pendidikan Tinggi.
- Ministry of Education Malaysia. (2013). *Malaysia education blueprint 2013-2025*. https://www.moe.gov.my/menumedia/media-cetak/penerbitan/dasar/1207-malaysia-education-blueprint-2013-2025/file

- Mustafa, M. Z. M., Nor, N. M., Salleh, K. M., Madar,
 A. R., Ibrahim, B., Sulaiman, N., & Razzaq,
 A. R. (2008, August 18). Pelaksanaan modul soft skills di Politeknik Kementerian Pengajian Tinggi Malaysia [Implementation of soft skills module at Polytechnic Ministry of Higher Education Malaysia] [Paper presentation].
 Seminar Kebangsaan Kemahiran Insaniah dan Kesejahteraan Sosial (SKIKS) 2008, Melaka, Malaysia.
- Muslim, N., & Yunos, N. (2014). The direction of generic skills courses at National University of Malaysia (UKM) towards fulfilling Malaysian qualifications framework. *Asian Social Science*, 10(4), 195-202. https://doi.org/10.5539/ass. v10n4p195
- Oliver, D., Freeman, B., Young, C., Yu, S., & Verma, G. (2014). *Employer satisfaction survey. Report for the Department of Education*. Workplace Research Centre. https://www.voced.edu.au/content/ngv%3A63946
- Prasad, N. H., & Parasuraman, J. (2015). Acquisition of corporate employability skills: A study with reference to engineering graduates. *IUP Journal* of Soft Skills, 9(2), 22-43.
- Puad, M. H. M. (2015). The role of employability skills training programs in the workforce of Malaysia (Doctoral dissertation). Purdue University.
- Puad, M. H. M., & Desa, H. M. (2020). Dissecting perceptions of new graduates on work orientation and self-confidence in employability skills training program. *Universal Journal of Educational Research*, 8(1A), 70-75. http://doi. org/10.13189/ujer.2020.081310
- Rufai, A. (2014). Conceptual model for technical and employability skills of Nigerian mechanical engineering trades programme (Doctoral dissertation). Universiti Teknologi Malaysia.
- Salleh, A. (2015). Keterlibatan, sokongan pembelajaran dan pencapaian pelajar berdasarkan gender peringkat persekolahan dan

- lokasi [Engagement, learning support and student achievement based on gender at school level and location] (Doctoral dissertation). Universiti Kebangsaan Malaysia.
- Salleh, K. M., Subhi, N. I., Sulaiman, N., & Latif, A. A. B. (2016). Generic skills of technical undergraduates and industrial employers perceptions in Malaysia. *International Journal of Applied Business and Economic Research*, 14(14), 907-919. http://dx.doi.org/10.5539/ass. v8n12p295
- Sharma, G., & Sharma, P. (2010). Importance of soft skills development in 21st century curriculum. *International Journal of Education & Allied Sciences*, 2(2), 39-44. http://doi.org/10.4236/jhrss.2016.42011
- Sidik, I. F., Awang, M. M., & Ahmad, A. R. (2018). Sokongan persekitaran sosial di pelbagai jenis sekolah menengah dalam meningkatkan kemahiran insaniah pelajar [Social environmental support in various types of secondary schools in improving soft skills among students]. *Jurnal Pendidikan Malaysia*, 43(1), 67-76. http://dx.doi. org/10.17576/JPEN-2018-43.03-08
- Singh, G. K. G., & Singh, S. K. G. (2008). Malaysian graduates' employability skills. *UNITAR e-Journal*, 4(1), 14-44.
- Sofian, S. K. S. (2008). Participation of vocational trainees in a supervised work experience and the acquisition of employability skills (Doctoral dissertation). Universiti Putra Malaysia.
- Suleman, F. (2016). Employability skills of higher education graduates: Little consensus on a much-discussed subject. *Procedia Social and Behavioral Sciences*, 228, 169-174. https://doi.org/10.1016/j.sbspro.2016.07.025
- Tang, K. N. (2019a). Beyond employability: Embedding soft skills in higher education. The Turkish Online Journal of Educational Technology, 18(2), 1-9.

- Tang, K. N. (2019b). Innovate higher education to enhance graduate employability. *Pertanika Journal of Social Sciences & Humanities*, 27(3), 1727-1738.
- Techanamurthy, U., Alias, N., & Dewitt, D. (2015).
 Problem-solving skills in TVET: Current practices among culinary arts instructors in community colleges in Malaysia. *Turkish Online Journal of Educational Technology*, 2015, 467-475.
- Topor, D. R., Keane, S. P., Shelton, T. L., & Calkins, S. D. (2010). Parent involvement and student academic performance: A multiple mediational analysis. *Journal of Prevention & Intervention* in the Community, 38(3), 183-197. http://doi.or g/10.1080/10852352.2010.486297
- Tyagi, K., & Tomar, A. (2013). Soft skills for successful career. *Pertanika Journal of Social Sciences & Humanities*, 21(1), 341-350.
- United Nations Educational, Scientific and Cultural Organization. (2020). What is TVET. UNEVOC. https://unevoc.unesco.org/go.php?q=What+is+TVET
- Wats, M., & Wats, R. K. (2009). Developing soft skills in students. *International Journal of Learning*, 15(12), 1-10. http://doi.org/10.18848/1447-9494/CGP/v15i12/46032

- Wikle, T. A., & Fagin, T. D. (2015). Hard and soft skills in preparing GIS professionals: Comparing perceptions of employers and educators. *Transactions in GIS*, 19(5), 641-652. https://doi.org/10.1111/tgis.12126
- Wenglinsky, H. (2002). How schools matter: The link between teacher classroom practices and student academic performance. *Education Policy Analysis Archives*, 10(12), 1-30. https://doi.org/10.14507/epaa.v10n12.2002
- Yorke, M., & Knight, P. T. (2004). Learning & employability: Embedding employability into the curriculum. The Higher Education Academy. http://www.employability.ed.ac.uk/documents/staff/heabriefings/esect-3-embedding_employability into curriculum.pdf
- Zakaria, N., Ma'arof, R., & Ibrahim, B. (2017). Relationship between employability skills towards career management among vocational students. *Pertanika Journal of Social Sciences & Humanities*, 25(S), 73-80.
- Zakaria, N., & Nair, R. (2019). Enhancing the employability of graduates through an industry-led initiative. *Pertanika Journal of Social Sciences & Humanities*, 25(S), 201-216.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Applying Fractional Strategies on Number Line among Primary School Students

Teoh Sian Hoon*, Geethanjali Narayanan and Parmjit Singh

Faculty of Education, Universiti Teknologi MARA Selangor, 42300 Bandar Puncak Alam, Selangor, Malaysia

ABSTRACT

The teaching and learning of fractions have been getting public attention since it is one of the most problematic topics among primary and secondary students. This study aims to investigate to what extent the primary school pupils apply fractional strategies to solve problems on number line. This study was conducted using a qualitative methodology. The data were collected from task-based clinical interviews. The subjects of this study were selected among the Year Five students in Malaysia. A total of eight students participated in this study. This study revealed three types of fractional strategies. They are (1) finding an interval in fractions on number line, (2) applying concepts of decimal and interchange with fraction, and (3) comparing values of fractions. The findings showed achieving fractions arithmetic proficiency is crucial in developing the knowledge of fraction magnitude representations on the number line.

Keywords: Fractional strategies, fractions, interval on number line, number line

INTRODUCTION

Learning of fractions is crucial for the development of mathematical understanding in elementary school (Hoon et al., 2016;

ARTICLE INFO

Article history:
Received: 14 July 2020
Accepted: 03 November 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.07

E-mail addresses: teohsian@uitm.edu.my (Teoh Sian Hoon) geetha@uitm.edu.my (Geethanjali Narayanan) parmj378@uitm.edu.my (Parmjit Singh) * Corresponding author Kor et al., 2019; Lamon, 1999, 2001; Niemi, 1996). The clarification of putting in fractions as a major construct in developing mathematical thinking has been mutually agreed upon by Behr et al. (1983) and Kieren (1976). Yet, it is difficult for many students since it involves conceptual thinking which can be elaborated on in a few factors. Recent studies have been focusing on conceptual thinking which explains factors for understanding fractions. The factors include inductive reasoning, explanations, justifications, the

conception of the magnitude of fractions, representations, and connections with other concepts (Nicolaou & Pitta-Pantazi, 2011). On the other hand, it is typical for teachers in elementary schools to take a longer time compared to teaching other topics, especially when guiding students to understand fractions conceptually. Many instructional devices and tools or teaching aids have been introduced to promote students' understanding in fractions (Hardman, 2005; Moyer, 2001; Reimer & Moyer, 2015). Nevertheless, the impact which can convince educators on how these interventions or any strategies used can increase students' acquisition in learning fractions is still unresolved. Besides, it is crucial to identify students' knowledge in context since all the understanding of fractions can be measured when the learning occurs contextually. The number line is also a good context that enables the educator to assess students' acquisition of mathematics knowledge, identify their errors and misconceptions contextually (Ryan & Williams, 2007). In this study, strategies for applying knowledge of fractions in number lines were investigated. The introduction of the number line seemed to be a key pedagogical decision, as it provides a learning context for an appropriate representation.

Mathematical Knowledge Prior to Fractions

In primary school, students are introduced to the topic Whole Number. A sound understanding of this topic is important before other topics are introduced. Often there are misconceptions of this topic, but fixing this problem would not require too much time compared to other topics like fractions and decimals (Moloney & Stacey, 1997). Working within whole numbers is crucial as it contributes to the learning of other related topics such as fractions and decimals (Lortie-Forgues et al., 2015). On the other hand, making a move to study the subsequent topics of mathematics, upon completing whole numbers, compels a strong foundation not only in whole numbers but also the previous concepts namely the basic mathematical operations. In fact, while working with fractions, students rely heavily on the principles of whole numbers (Karamarkovich & Rutherford, 2019). All concepts learned and mastered as prior knowledge need to be integrated and connected to the new concepts. Thus, this would enable students to grasp new concepts easily.

Learning Fractions

Fractions are rational numbers that are presented in the form of $\frac{a}{b}$, where a is the numerator and b is the denominator. The operation of the division of the two numbers, dividing the numerator by the denominator, is performed when conducting transition from fractions to decimals. In a study on students' learning of rational numbers, Ni (2001) revealed that students gained improvement of a whole number using semantic representation but there was a constraint for the students to construct the concept of fraction equivalence. The

learning of rational numbers especially fractions starts at the early age of schooling, and the learning is repeated under the same topic with different content, and it is applied in other topics throughout the primary and secondary schooling period. Yet, the achievement in rational numbers is worrying. It signifies the importance of having prior knowledge. Marshall (1993) provided guidelines for students' development of rational numbers. He focused on building on the systematic improvement of students' schemata. It was emphasized that the contextual environment based on assessment helps the construction of rational knowledge. The schema is constructed from route knowledge, relational knowledge with the ability to visualize. The schemata include part-whole, quotient, measure, ratio, and operator. Hence, for more understanding of fractions, students need more experience to integrate the schemata of fractions. A number line is suggested as a representation in applying the schemata of learning (Barbieri et al., 2020; Larson, 1980; Morano et al., 2019). On the other hand, the transition of writing decimals to fractions involves both operations of multiplication and division of numbers in ten, hundred, or thousand. This transition is considered successful when the conversion of fractions to decimals and vice versa produces equal value. It was highlighted that students tended to use the decimal form when comparing the magnitude of fractions. Nevertheless, there are possibilities for mistakes made among students (Sackur-Grisvard & Leonard,

1985). Among the mistakes, students tend to interpret that $\frac{1}{3}$, 0.3 or 1.3 provide the same result. Many researchers illustrated the importance of the connection between fractions and subconstructs of fractions such as decimals (Moloney & Stacey, 1997). It was revealed that students tended to use fractions and decimals interchangeably to make the required connections when they were comparing the magnitudes (Ryan & Williams, 2007). Students who can show strong links to any alternatives of fractions have most likely achieved good knowledge in mathematics.

Applying Number Line in Fractions

It was stated that there were advantages to teach number lines for the learning of fractions since a few skills of mathematics could be integrated using number lines (Petitto, 1990). The skills include comparing numbers, sequence, finding the difference, operation, transition of numbers in the number line. The integration of fractions into number lines becomes an important component in mathematics examination (Slyke, 2019). Besides, number line offers learning opportunities for students to estimate numbers on location. Fazio et al. (2016) found that the number line platform of learning was a proper context for students to make estimation value of fractions. Since the number line was recognized as a useful representation to enhance the estimation magnitude of the fraction skill, teachers must understand to what extent their students demonstrated

abilities in developing their fraction skills using a number line (Morano et al., 2019). The enhancement of mathematics skills applying the number line context increases students' mathematical concepts and hence develops their mathematical thinking. Thinking needs more passion, attention, and desire which involves conscious awareness and willingness to learn. Applying the number line is also suggested for purpose of increasing students' attention since more discussion and strategies can be demonstrated in this representation (Barbieri et al., 2020; Larson, 1980; Morano et al., 2019).

METHODS

This study was conducted using a qualitative methodology. The data were collected from task-based clinical interviews. The interviews allow an analysis of students' reasoning (Ginsburg, 1997). The subjects of this study were selected among the Year Five students in Malaysia. A total of eight students participated in this study. The students had been taught the fundamental knowledge of rational numbers in the form of fractions and decimals. Based on the learning contents in the curriculum. these students had been introduced to the relationship between fractions and decimals. The sample was chosen based on their agreement on the invitation to participate in the interview. In addition, at this age, they are able to explain and provide reasoning related to rational numbers as prompted by researchers (Moss & Case, 1999; Steffe &

Olive, 2010). Each respondent was given the same question (Figure 1) and was given some time to work out the answer.

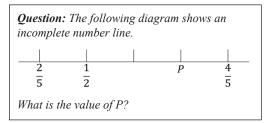


Figure 1. Question

Then the interviewer asked questions to probe into the strategies used to derive the answer. Generally, the questions were similar, asking the respondents to justify. However, when the respondent had no clue how to find the answer, the interviewer guided by making the student more aware of the information given in the number line and linking to the prior knowledge to start working out the answer.

RESULTS

Integrating knowledge from different topics: Finding a Difference and an Interval

Overall, there is a possibility the pupils were distracted when solving the problems in fractions just for a reason of not being well prepared in managing data in terms of fraction. They might have the idea of finding a difference in an arithmetic operation, but the concept of getting a difference through intervals was not well applied in the topic of fractions. Respondent 1 (R1) could not start answering question 1 as there was no idea of what the interval meant.

I : Let's look at this question. How do we find the value of P?

R1: (silence)

I : In between two numbers, there is an interval. How do you find the interval?

R1: (silence)

I : How do you find the difference between these 10 and 20?

R1: I have to minus

I : Yes, it is good. An interval also means difference. So in between these two numbers, $\frac{1}{2}$ and $\frac{2}{5}$, what is the difference?

R1: $\frac{1}{10}$

Similarly, R2 and R5 also had a similar problem to connect the knowledge of finding a difference and finding an interval. They did not respond to the answer but continued to answer the question when they managed to find the value of the difference. Their actions are described as in Figure 2.

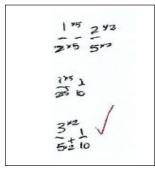


Figure 2. R2's work

I : For the first question, what is the answer?

R2: I don't know how to find this answer.

I : Well, from this question can you tell me the difference between $\frac{2}{5}$ and $\frac{1}{2}$?

R2 : The difference between these two number is $\frac{1}{10}$.

I : How do you get that difference?

R2: First I compute the denominator of these two fractions and then I subtract the fractions to find the difference.

I : Alright, now you see, what is the next step to get P value?

R2: Before getting the P value I add $\frac{1}{2}$ with $\frac{1}{10}$ and get $\frac{3}{5}$. After that, I add $\frac{3}{5}$ with $\frac{1}{10}$ and get $\frac{7}{10}$.

Soalan: Diagram berikut menunjukkan garis nombor yang tidak lengkap
Question: The following diagram shows an incomplete number line.

2 1 3 P 4
5 7

Apakah nilai P?
What is the value of P?

Figure 3. R2's answer

I : Are you sure that is the answer for P value?

R2: Yes, I am sure.

I : Why do you say that?

R2: Because I try to add $\frac{7}{10}$ with $\frac{1}{10}$ and get $\frac{8}{10}$ which is equal to $\frac{4}{5}$ when simplified (as shown in Figure 3)

I : Very good.

R5 responded in a similar way as R2, as described below.

I : How do you find this question? Please find the answer.

R5: I am not sure how to answer this question.

I : Well, what is the difference between $\frac{2}{5}$ and $\frac{1}{2}$?

R5: (silence)

I : Well, how about you make the determinant of all the fraction into the same value.

R5: (silence)

I : When you want to make the determinant the same. You need to get the same values of denominators for fraction $\frac{2}{5}$ and fraction $\frac{1}{2}$.

R5: I got $\frac{4}{10}$ and $\frac{5}{10}$.

I : Yes, now what is the difference between these two values?

 $R5: \frac{1}{10}$

I : Well done. So, what is the value of P?

R5: $\frac{7}{10}$

But, it was different with R4. R4 managed to answer the question by interpreting the line number as a sequence. R4 was familiar with this type of question and said that it was by getting the difference. R4 also shared the concepts in terms of a sequence of increasing and decreasing. R4 had sound knowledge of how to manage the values of fraction as expressed in Figure 4.

$$\frac{\frac{1}{2} \cdot \frac{2}{5} = \frac{5}{10} - \frac{4}{10}}{\frac{1}{5} \cdot \frac{1}{10}} = \frac{8}{10} = \frac{1}{10}$$

Figure 4. R4's work

 I : As you already know, these are mathematics subject questions.
 Have you seen these kinds of questions before? (Referring to number line)

R4: Yes.

I : So, have you learned this in school?

R4: Yes.

I : So from your working here, can I ask why are you subtracting $\frac{2}{5}$ from $\frac{1}{2}$? Why do you subtract instead of adding?

R4: Because these numbers here are going up

I : So you notice that this fraction $\frac{2}{5}$ is bigger than $\frac{1}{2}$?

R4: Yes I: Good.

Applying Decimal Concept to Answer Fractions

Some respondents found that it was easier to answer fractions questions using fractions. The pupils who have knowledge of fractions and decimals seem to prefer presenting the comparison of numbers in decimals. This situation was shown by R3.

I : Can you show to me the answer?

R3: Yes, can.

R3 drew a line first and copied the information from the question. Below each fraction, R3 wrote the decimal that represented the fraction (0.4, 0.5, and 0.8 representing $\frac{2}{5}$, $\frac{1}{2}$ and $\frac{4}{5}$ respectively) as shown in Figure 5. Then wrote 0.6 on the missing part of the number line, between $\frac{1}{2}$ and P. Finally wrote 0.7 below P.

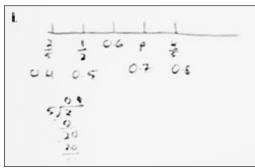


Figure 5. R3's work

I : Can u change the number 0.7 into a fraction form?

R3: Yes, Can. and $\frac{7}{10}$. (said verbally)

I : Can u show me how do you change $\frac{2}{5}$ to get 0.4?

R3: (showed it – the working using long division below the number line)

Comparing Values of Fractions with Same Denominators

Pupils need to have the specific knowledge to manage the learning of fractions. It is important for pupils to develop knowledge of comparing values of different types of numbers. There are concepts to be learned in comparing different types of numbers. In this study, R6 and R7 applied the concept of getting the same denominators in comparing the fractions. They held the major concepts of getting the same denominators, they also possessed knowledge of getting a value for each interval and numbers in a sequence. R6 shared the way to get the answer as below.

R6: Wait, give me time. Why the bottom value is different? I think I can. Is it $\frac{7}{10}$?

I : Yes, it is $\frac{7}{10}$. May I know how you solve this even the denominator?

R6: I change the fraction to the same denominators. I memorise the method conversion of $\frac{1}{10}$, $\frac{1}{5}$, $\frac{1}{4}$, $\frac{1}{3}$ and $\frac{1}{2}$. Then, I just times the number on top after getting the same number at the bottom, I mean the same denominators. I can see each number increases by $\frac{1}{10}$.

Similarly, R7 shared that the difference of the values after changing all the denominators to a common denominator. R7's description is presented below.

R7: $\frac{7}{10}$

I : How did you get the answer?

R7: I need to find the same denominator for both $\frac{2}{5}$ and $\frac{1}{2}$.

I can use 10 as the denominator.

So, $\frac{2}{5}$ equal to $\frac{4}{10}$ while $\frac{1}{2}$ equal to $\frac{5}{10}$. Then the difference between $\frac{2}{5}$ and $\frac{1}{2}$ is $\frac{1}{10}$.

Pupils may have difficulties in solving fractions if they have less knowledge in dealing with the lowest common multiple (LCM). Hence, pupils need to have a strong background of knowledge in the topics which provide the prior knowledge for learning fractions. In learning fractions, a conceptual understanding of getting a common denominator is important. Without the skill, they may have difficulties finding a fraction number or comparing numbers as well as working on the operations of numbers. R8 showed this problem. There was lesser readiness to solve the problem in fractions. It was noticed that the confidence level was lower especially to find the common denominators for the fractions in the sequence as expressed below.

I : What is the first thing you do when you answer this question?

R8: $\frac{1}{2}$ times 5

I: Why?

R8: Because the other denominator also 5.

I : So what is your new denominator for $\frac{1}{2}$?

R8: 10

But, R8 could not find the LCM of 2 and 5 consistently because '5' was multiplied to the denominators of $\frac{2}{5}$ and $\frac{4}{5}$, as what was done for $\frac{1}{2}$, causing confusion that resulted in the constraints of getting the answer. R8 only managed to proceed with the work after getting some assistance.

I : But the denominators for $\frac{2}{5}$ and $\frac{4}{5}$ are still 5.

R8: Then I will multiply with 5 also.

I : So what did you get for the new denominator for $\frac{2}{5}$ and $\frac{4}{5}$?

R8: 25

I : So did you realize all three denominators are not the same even after you changed them?

R8: (silence)

I : Okay. If you found a question like this what is the first thing you need to do?

R8: See the denominator.

 I : So our case now all denominators all different. Then we need to make them the same.

R8: Right.

DISCUSSION

The three meaningful findings that have surfaced from this study are: (1) finding an interval in fractions on a number line, (2) applying concepts of decimal and interchange with fraction, and (3) comparing values of fractions.

Finding an interval or in other words, finding the difference between two numbers is common mathematical knowledge by applying subtraction. In this study, it was found that the pupil who was not confident to conduct an operation to find the interval failed to get a number on the number line. Even though the method of finding a difference or interval between two numbers was introduced at the beginning of the year of their study they still have difficulty in applying the concept. Hence, the inadequacy of this knowledge caused the disability to interpret the concept of interval in fraction This type of knowledge is not only seen when working on a number line or fractions but also in many other contexts of mathematics such as finding the difference between decimals, whole numbers or other non-routine mathematics problems (Namkung et al., 2018). In many different contexts or situations of applying concepts of finding the difference requires more knowledge than merely using the operation of subtraction. Their acquisition of knowledge in the application of subtraction operation can be seen in finding the distance between two points like finding a gap of ages. If the students managed to interpret and express the meaning for the steps of finding the difference, they will be able

to show the ability to find any unknown in the number line. Nevertheless, many researchers express that students need more exposure and guidance in getting into a clear picture for the acquisition of mathematics knowledge especially learning fractions (Bossé et al., 2019). The main aim of the instruction includes enhancing students' acquisition of mathematics knowledge through inquiry. More questioning can be implemented with the application of graphical representation. Graphical representations such as number line are used to relate to pupils' understanding of learning. Students' frequent effort of using number line would help them to explain and provide reasoning in getting and completing the sequence of numbers located on the number line (Tunç-Pekkan, 2015). Hence, conceptually understanding the relationship between finding a difference and interval needs to be enhanced in the teaching and learning when they are exposed to different numbers namely whole number, fractions, and decimal numbers.

The emphasis of similar concepts of finding the difference and interval is also practised in other topics like whole numbers, fractions, and decimals. Nevertheless, gaining a comprehensive understanding of these topics is not an easy task since the knowledge of fractions is not only difficult but is also applied in many important topics of mathematics (Lortie-Forgues et al., 2015.). In this study, the findings show that working on decimals is easier than working on fractions. Many researchers agreed that learning fractions is more

difficult compared to other topics such as decimals and percentages (DeWolf et al., 2015; Hurst & Cordes 2016; Zhang et al., 2013). For this reason, it is certain that proficiency in fractions can help pupils to get a better understanding of multiple topics in mathematics. For a full understanding of fractions, a student should be flexible enough to apply fractions and decimals and the translation between these two. Although decimals and fractions are taught to all students in primary school, the development of knowledge for the two topics has been reported as inadequate among secondary and even some tertiary students in many countries (Brown, 1981; Nesher & Peled, 1986). Only, those students who are able to translate between fractions and decimals, manage to solve multiple problems in comparing the magnitude of numbers in these two forms. This finding echoes the outcome of Ryan and Willians (2007). They found that students who possessed good knowledge of fractiondecimal equivalents were able to make good use of it in the context of number line. The findings also showed achieving fractions arithmetic proficiency is crucial to develop the knowledge of fraction magnitude representations. In this study, for comparing fraction magnitude or value, the pupils needed to find the difference between two fractions. In the process, the Lowest Common Multiple concepts had to be applied for getting an equivalence in the denominator. They applied the knowledge of multiplication in the steps. Findings in this study support outcome of research presented

by Siegler et al. (2011) who interpreted that developing procedural knowledge in fraction arithmetic was vital for students to carry out other aspects of strategies in solving mathematics problems. It echoes that fraction arithmetic can be taught as a support skill when other strategies are applied such as finding an interval between fractions in a number line.

This study provides more input on how students work on a number line. It opens more ideas for teachers to observe students' ability to apply fraction knowledge specifically and how they deal with related knowledge in handling the specific problem on a number line. The input is essential for improving students' learning since learning fractions can be difficult and confusing when the fundamentals are not mastered. In addition, the content of mathematics becomes more compact. It is reasonable to learn fractions together with other rational knowledge namely decimals and percentages with the reality that fractions encompass all of the ways of expressing rational numbers (Fazio & Siegler, 2011).

CONCLUSION

This study has an impact on some focused strategies in learning rational numbers (fractions and decimals). The development of knowledge of representation in rational numbers can be emphasised in two major aspects. Firstly, conducting fraction operations is a major skill in the process of representation of rational numbers. Students' competency in comparing values

of fractions may be influenced by their proficiency in conducting the operation of the fraction. Getting the same denominator is part of the procedure in the operation. Secondly, finding differences in a number line increases the attainment of magnitude knowledge in rational numbers. Within the knowledge of rational numbers (decimals and fractions), the decimal is a subconstruct of fraction since changes from decimals to fraction can be easily done by defining the place values taken, and consideration of writing into tenths, hundredths, and more. Nevertheless, the transition from fraction into decimal involves a more complicated process (Sackur-Grisvard & Leonard, 1985). Thus, some students may find it difficult to make this kind of transition. Failing to do so, they are not able to compare the values in decimals. Ideally, comparing the rational values in terms of decimals may be easier compared to the form of fraction. Nevertheless, when a number line is used in the comparison for a specific arithmetic sequence, it helps to increase students' understanding (Morano et al., 2019; Slyke, 2019). The understanding can be observed by adding in the concept of difference to get the subsequent fraction in the number line, according to the findings from the interview.

ACKNOWLEDGMENTS

This study is part of a larger study and the authors gratefully acknowledge the support given by Faculty of Education, Universiti Teknologi MARA (UiTM), Malaysia.

REFERENCES

- Barbieri, C. A., Rodrigues, J., Dyson, N., & Jordan, N. C. (2020). Improving fraction understanding in Sixth Graders with mathematics difficulties: Effects of a number line approach combined with cognitive learning strategies. *Journal of Educational Psychology*, 112(3), 628-648. http:// doi.org/10.1037/edu0000384
- Behr, M. J., Lesh, R., Post, T. R., & Silver, E. A. (1983). Rational number concepts. In R. Lesh & M. Landau (Eds.), Acquisition of mathematics concepts and processes (pp. 91-126). Academic Press.
- Bossé, M. J., Bayaga, A., Fountain, C., Lynch-Davis, K., Preston, R., & Adu-Gyamfi, K. (2019). Fraction learners: Assessing understanding through language acquisition. *International Electronic Journal of Elementary Education*, 11(2), 113-124. https://doi.org/10.26822/iejee.2019248585
- Brown, M. (1981). Place value and decimals. In K. Hart (Ed.), *Children's understanding of mathematics* (pp. 48-65). John Murray.
- DeWolf, M., Bassok, M., & Holyoak, K. J. (2015). Conceptual structure and the procedural affordances of rational numbers: Relational reasoning with fractions and decimals. *Journal of Experimental Psychology General*, 144(1), 127-150. https://doi.org/10.1037/xge0000034
- Fazio, L. K., Kennedy, C. A., & Siegler, R. S. (2016). Improving children's knowledge of fraction magnitudes. *PloS ONE*, *11*(10), e0165243. https://doi.org/10.1371/journal.pone.0165243.
- Fazio, L. K., & Siegler, R. (2011). Teaching fractions. Educational practices series-22. International Academy of Education-International Bureau of Education.
- Ginsburg, H. (1997). Entering the child's mind: The clinical interview in psychological research and practice. Cambridge University Press.

- Hardman, J. (2005). An exploratory case study of computer use in a primary school mathematics classroom: New technology, new pedagogy? Research: Information and communication technologies. *Perspectives in Education*, 23(1), 99-111.
- Hoon, T. S., Yaakob, N. A., & Singh, P. (2016). Learning fractions. In 7th International Conference on University Learning and Teaching (InCULT 2014) Proceedings (pp. 131-140). Springer.
- Hurst, M., & Cordes, S. (2016). Rational-number comparison across notation: Fractions, decimals, and whole numbers. *Journal of Experimental Psychology: Human Perception and Performance*, 42(2), 281-293. https://doi. org/10.1037/xhp0000140
- Karamarkovich, S. M., & Rutherford, T. (2019). Fraction errors in a digital mathematics environment: Latent class and transition analysis. *Journal of Numerical Cognition*, 5(2), 158-188. https://doi.org/10.5964/jnc.v5i2.150
- Kieren, T. E. (1976). On the mathematical, cognitive and instructional. In R. A. Lesh (Ed.), *Number and measurement: Papers from a Research Workshop*. ERIC/SMEAC.
- Kor, L. K., Teoh, S. H., Mohamed, S. S. E. B., & Singh, P. (2019). Learning to make sense of fractions: Some insights from the Malaysian Primary 4 pupils. *International Electronic Journal of Mathematics Education*, 14(1), 169-182. https://doi.org/10.29333/iejme/3985
- Lamon, S. J. (1999). Teaching fractions and ratios for understanding: Essential content knowledge and instructional strategies for teachers. Lawrence Erlbaum Associates.
- Lamon, S. J. (2001). Presenting and representing: From fractions to rational numbers. In A. A. Cuoco & F. R. Curcio (Eds.), *The roles of representation in school mathematics* (pp.

- 146-165). National Council of Teachers of Mathematics.
- Larson, C. N. (1980). Locating proper fractions on number lines: Effect of length and equivalence. *School Science and Mathematics*, 80(5), 423-28. https://doi.org/10.1111/j.1949-8594.1980. tb09687.x
- Lortie-Forgues, H., Tian, J., & Siegler, R. S. (2015). Why is learning fraction and decimal arithmetic so difficult? *Developmental Review*, *38*, 201-221. https://doi.org/10.1016/j.dr.2015.07.008
- Marshall, S. P. (1993). Assessment of rational number understanding: A schema-based approach. In T. P. Carpenter, E. Fennema, T. A. Romberg (Eds.), *Rational Numbers: An Integration of Research*. Routledge.
- Moss, J., & Case, R. (1999). Developing children's understanding of the rational numbers: A new model and an experimental curriculum. *Journal for Research in Mathematics Education*, *30*(2), 122-47. https://doi.org/10.2307/749607
- Moyer, P. S. (2001). Are we having fun yet? How teachers use manipulatives to teach mathematics. *Educational Studies in Mathematics*, 47(2), 175-197. https://doi.org/10.1023/A:1014596316942
- Moloney, K., & Stacey, K. (1997). Changes with age in students' conceptions of decimal notation. *Mathematics Education Research Journal*, *9*(1), 25-38. https://doi.org/10.1007/BF03217300
- Morano, S., Riccomini, P. J., & Lee, J. Y. (2019). Accuracy of area model and number line representations of fractions for students with learning disabilities. *Learning Disabilities Research & Practice*, 34(3), 133-143. https://doi.org/10.1111/ldrp.12197
- Namkung, J. M., Fuchs, L. S., & Koziol, N. (2018).

 Does initial learning about the meaning of fractions present similar challenges for students with and without adequate whole-number skill?

- Learning and Individual Differences, 61, 151-157. https://doi.org/10.1016/j.lindif.2017.11.018
- Nesher, P., & Peled, I. (1986). Shifts in reasoning. *Educational Studies in Mathematics*, 17(1), 67-79. https://doi.org/10.1007/BF00302379
- Ni, Y. (2001). Semantic domains of rational numbers and the acquisition of fraction equivalence. Contemporary Educational Psychology, 26(3), 400-417. https://doi.org/10.1006/ceps.2000.1072
- Nicolaou, A. A., & Pitta-Pantazi, D. (2011). A theoretical model for understanding fractions at elementary school. *Proceedings of the 7th Conference of the European Society of Mathematics Education*, University of Rzeszow. https://hal.archives-ouvertes.fr/hal-02158191/document
- Niemi, D. (1996). Assessing conceptual understanding in mathematics: Representations, problem solutions, justifications and explanations. *Journal of Educational Research*, 89(6), 351-363. https://doi.org/10.1080/00220671.1996. 9941339
- Petitto, A. L. (1990). Development of number line and measurement concepts. *Cognition and Instruction*, 7(1), 55-78. https://doi.org/10.1207/s1532690xci0701_3
- Remer, K., & Moyer, P. S. (2005). Third-graders learn about fractions using virtual manipulatives:

 A classroom study. *Journal of Computers in Mathematics and Science Teaching*, 24(1), 5-25.

- Ryan, J., & Williams, J. (2007). *Children's mathematics* 4-15: *Learning from errors and misconceptions*. McGraw-Hill Education.
- Sackur-Grisvard, c., & Leonard, E. (1985). Intermediate cognitive organizations in the process of learning a mathematical concept: The order of positive decimal numbers. *Cognition and Instruction*, 2(2), 157-174. https://doi.org/10.1207/s1532690xci0202 3
- Siegler, R. S., Thompson, C. A., & Schneider, M. (2011). An integrated theory of whole number and fractions development. *Cognitive Psychology*, 62(4), 273-296. https://doi. org/10.1016/j.cpgpsych.2011.03.001
- Slyke, C.V. (2019). *GED test prep 2019: 2 practice tests + proven strategies*. Kaplan.
- Steffe, L. P., & Olive, J. (2010). *Children's fractional knowledge*. Springer.
- Tunç-Pekkan, Z. (2015). An analysis of elementary school children's fractional knowledge depicted with circle, rectangle, and number line representations. *Educational Studies in Mathematics*, 89(3), 419-441.
- Zhang, L., Wang, Q., Lin, C., Ding, C., & Zhou, X. (2013). An ERP study of the processing of common and decimal fractions: How different they are. *PLoS ONE*, 8(7), e69487. https://doi.org/10.1371/journal.pone.0069487





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Factors Influencing High Academic Achievement of Stateless Migrant Children in Tak Province, Thailand

Peson Chobphon

Department of Education, Chulalongkorn University, 254 Phayathai Road, Pathum Wan district, Bangkok 10330, Thailand

ABSTRACT

The knowledge gained from this study will contribute to the field of migrant education and could encourage policymakers and educators to implement education programmes to both meet the needs and enable the success of migrant children. This multi-case study examined five factors—family, individual, school/teacher, peer group, and community/culture—that influenced the academic achievement of migrant children. The key participants were six migrant children in Grade 6 in two Royal Thai Government schools in Mae Sot, Tak Province, Thailand, three class teachers, and six caregivers. Data were collected through semi-structured interviews and observations. Creswell's five steps of qualitative data analysis was used: organising and preparing data, reading through all data, coding the data, interrelating the themes, and interpreting the meaning of themes. The seven themes were as follows: (1) the value of education; (2) parents/guardians as important agents to support their children's education; (3) individual characteristics contributing to good grades; (4) the impact of peer relationships; (5) healthy relationships with school and teachers; (6) the

ARTICLE INFO

Article history:

Received: 7 October 2020 Accepted: 26 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.08

E-mail address: peson.c@chula.ac.th Keywords: Academic achievement, educating migrants in Thailand, migrant children success, migrant education, resilience, stateless migrant children, Thailand

power of the community; and (7) gratitude as a motivation for a high level of education.

INTRODUCTION

Thailand's economic expansion has created a demand for labour-intensive jobs that are avoided by Thais. Since 1992, Thailand has become a place where many migrants from Myanmar aim to reside and work to fulfil the need for unskilled labour. Many individuals who migrate to Thailand are uneducated and do not hold the required documents (United Nations, 2015). The International Organization for Migration (IOM) estimated that 200,000 migrant children younger than seventeen were in the country (IRIN Humanitarian News and Analysis, 2009). These children, according to Physicians for Human Rights (2004), are vulnerable to exploitative labour, human trafficking, drugs, and sexual exploitation. Apart from human rights obligations, the Thai government believes that education will generate a positive attitude among migrant children towards the Thai State. Education will also assist them to assimilate to Thai society. Education is seen as a process that would turn migrant children into strong human capital for Thailand. The Thai National Education Act (1999) states that all individuals shall have equal rights and opportunity to receive 12 years of basic education provided by the state, free-of-charge (Nawarat, 2012). However, the law permitting migrant children to be enrolled in school only went into effect in 2005, as the Thai cabinet passed the resolution to allow both registered and unregistered migrant children to participate in Royal Thai Government (RTG) schools under the free 12 years of basic education scheme (OEC, 2008, as cited in Nawarat, 2012). This initiative coincided with a global movement launched by UNESCO as part of the 'Education for All' project. This study aims to examine the factors influencing the academic achievement of six stateless migrant children between 12–16 years of age in Grade 6 in RTG schools in Mae Sot, Tak Province, Thailand. The perspectives of their families and teachers are also included.

The model of resilience, together with Bandura's Social Cognitive Learning Theory (SCL) and Self-Determination Theory (SDT), is used as the central concept of this study. The concept of resilience is defined as an individual's ability to overcome adversity or difficult life challenges and continue their normal development (Luthar et al., 2007). One of the most important pioneers in the study of this concept, from the 1970s onwards, was Norm Garmezy (Rutter, 2012). Contemporary models of resilience are presented as including risk and protective factors and also acknowledge the interdependence of interaction systems (Yates et al., 2014). Individual, family, peer, school and teacher, and community and culture are frequently identified as both risk and protective factors. Both SCL and SDT support the model of resilience. SCL proposes that personal agency is socially rooted and influenced by sociocultural factors. The concept of reciprocal determinism in SCL explains that people's behaviour both influences and is influenced by personal factors and the social environment (Cherry, 2014). SCL highlights the importance of social factors—family,

school, and community – that contribute to children becoming resilient. SDT also focuses on how social and cultural factors facilitate or undermine people's sense of volition and initiative (Deci & Ryan, 2008).

The crucial individual factors that influence academic success are self-efficacy, goal setting, intelligence, and individual behaviour that relates to learning curricular content. Self-efficacy, a focus of SCL, can be defined as people's judgements regarding their ability to learn or perform courses of action at designated levels (Schunk & Pajares, 2009). Through their belief in personal efficacy, people choose types of activities and environments that can shape their way of life (Bandura, 1994). Self-efficacy can be developed from four main sources of influence (Bandura, 1994): mastery experience, social models, social persuasion, and reduction of stress. Selfefficacy beliefs assist people to set their personal goals, gauge how much effort they contribute, realise how long they can endure obstacles, and discover how they react to failure (Bandura, 1994). Most human behaviour is learned through modelling by observing others (Bandura, 1977). A role model can inspire migrant children to succeed. In addition, SDT focuses on the study of life goals that people use to guide their activities. There are two kinds of these goals: intrinsic aspirations and extrinsic aspirations (Kasser & Ryan, 1996, as cited in Deci & Ryan, 2008). Intrinsic aspirations include life goals and personal development, whereas extrinsic aspirations include goals such as wealth, fame, and attractiveness (Deci & Ryan, 2008). Intelligence has been identified as a strong predictor of success (Jamil & Khalid, 2016). Moreover, individual behaviour that relates to learning curricular content, such as learning behaviour (Amirtha & Jebaseelan, 2014), study skills (Fazal et al., 2012), a positive attitude towards subject content (Akey, 2006), and the ability to understand the language of school instruction (Cummins, 2014), contribute to the achievements of immigrant-background students. The amount of exposure to the language may affect vocabulary size and the speed with which children recognise and understand the meaning of spoken words (Konishi et al., 2014). Politeness and respect for elders were described as necessary characteristics in the context of Burmese migrants in Tak Province (International Rescue Committee [IRC], 2011). These two characteristics were also considered successful personality traits in the Thai context (Komin, 1991).

There are many family factors that influence students' academic success, such as socio-economic status, family relationships, and parental involvement. Other important factors that support or hinder a child's opportunity to attend school were how migrant parents value education and the need to earn money (International Labour Organisation [ILO] & Office of Education Council [OEC], 2006). If parents valued education highly, they would provide their children with the opportunity for schooling and keep them at school longer. Conversely, if they considered their child to be a labourer who would work

to provide financial support for the family, they would have less or no opportunity for education. Parents' high educational expectations and communication of their educational beliefs to their children had a powerful effect on their children's academic achievement (Short, 2016). Parenting style (Lam, 2014) also correlates with academic achievement. According to Western parenting style, an authoritative style related to high achievement (Corcoran & Nichols-Casebolt, 2004; Huang & Gove, 2015), while an authoritarian style related to low achievement (Sung & Joohi, 2009, as cited in Huang & Gove, 2015). Conversely, in a study of Asian descendant families who fostered high achievement in children, it was found that their parenting style was authoritarian (Huang & Gove, 2015). The parenting style of Burmese migrants in Tak Province could be defined as authoritarian. In the Burmese migrants' view, it is normal and necessary for parents to discipline their children through the use of physical punishment, scolding, and threats (IRC, 2011). Thus, children had to listen, obey, and respect their parents (IRC, 2011). Simultaneously, parents have a duty to treat their children with Metta, meaning love and desire to help in the welfare and well-being of their children. Metta is a Pali word that is a virtue integral to the Theravada school of Buddhism and is popularly practised in Myanmar (Bodhi, 2005, as cited in IRC, 2011). The example of Metta that Buddharakkhita (1995) provides is a mother who devotes her life to protecting her child and endures every kind of difficulty for the sake of her child. When the two beliefs are interwoven, their parenting style can be described as a 'tough love'—love and concern expressed in a strict manner to make their children behave responsibly. High parental involvement has a positive impact on academic achievement (Avula et al., 2012; Wilder, 2014). Home supervision, such as guiding their children's daily routine, reminding them about homework, reviewing lessons, and talking about school, has positive effects on school achievement (Ma et al., 2016).

Children who belong to peer groups with good academic behaviour are likely to show positive academic behaviour (Masland & Lease, 2013). Strong peer relationships proved to be supportive positive reinforcement (Lawrence, 2014). Peer pressure and victimisation are examples of peers' negative influence. Peer victimisation can lead children to experience sadness, insecurity, anxiety, depression, reduced selfesteem, isolationism, school absenteeism, and reduced academic performance (Papatraianou et al., 2014). Many previous studies state that family warmth, teacher support, and peer friendships could moderate the effect of being bullied (Karlsson et al., 2014; Troop-Gordon, 2015).

School culture and environment can play an important role in supporting academic success for at-risk students (Downey, 2008). Ethnically diverse schools can increase students' sense of belonging because they have friends from a similar culture (Downey, 2008). Students who have a sense of belonging in the school

community are more likely to display higher self-esteem and tend to have better educational outcomes compared to students who feel isolated (Butler et al., 2011, as cited in Webb & Thomas, 2015). Safe and orderly environments encourage and reinforce positive classroom behaviour (Durlak et al., 2011). Teachers are important agents in the school in supporting and promoting protective factors of at-risk students by nurturing their learning skills, academic knowledge, self-efficacy, intrinsic motivation, and persistence to overcome obstacles (Masten et al., 2008).

In 2015, it was estimated that ten percent of the European Union population were migrants, and five percent of this group were children under the age of 15 (Janta & Harte, 2016). Due to this high percentage of migrants, the EU launched education policies to enhance education among migrant children. First, they introduced inclusive education systems in which migrant children had opportunities to learn with native children, and that enabled them to improve their educational outcomes (Dumclus et al., 2013, as cited in Janta & Harte, 2016). Second, it is important to ensure that migrant children have access to early childhood education and care. A study by Borgna and Contini (2014, as cited in Janta & Harte, 2016) revealed that 15-year-old migrant children who attended preschools or day-cares from an early age exhibited minimal differences in their educational outcomes compared to native students. The EU, therefore, proposed the educational policy to ensure that migrant children had this access to early childhood education and care. Third, promoting a good relationship and communication between schools and parents (Janta & Harte, 2016) is necessary, as parental involvement can benefit a student's academic success. Finally, the support of host-country language learning should start in early childhood. Mother-tongue language support also has several benefits for migrant children, as bilingualism can enhance intercultural skills and employment prospects (Salai, 2011; Sirius, 2014, as cited in Janta & Harte, 2016).

Neighbourhoods have an effect on family and individual outcomes (Corcoran & Nichols-Casebolt, 2004; Iruka et al., 2015). Adult neighbours who offer structure and monitoring can be an important source of support for children experiencing risk in their families (Werner & Smith, 1982, as cited in Corcoran & Nichols-Casebolt, 2004). Moreover, community members can create programmes and out-of-school activities that aim to enhance their children's academic abilities and good health (Williams & Portman, 2014). Culture and the beliefs of families regarding the value of education are extremely important for the academic achievement of their children. Another important belief of Burmese migrants in Tak Province was that children had an obligation to show gratitude to their parents. It meant that a child had to look after the parents when they reached adulthood (IRC, 2011). However, some respondents used the example of a child dropping out of school to work to relieve the parents' economic

burden (IRC, 2011) as a way to show their gratitude.

MATERIALS AND METHODS

A qualitative multiple-case study design was used for this study. As a strategic choice, the author first determined two selection criteria for the study cases: migrant children who (1) were in Grade 6 in RTG schools in Mae Sot district, Tak Province, Thailand, and (2) were above the ninetieth percentile of their year groups. However, the incidence of high-achieving migrant students was considered rare. Therefore, RTG schools with a high percentage of migrant students (eighty percent of students) were recruited because they would be more likely to have high achievers who were above the ninetieth percentile of their year groups. There were six schools that met this criterion. The principals of these schools were contacted to explain the objectives and procedures of this research. The principals of the two schools agreed to participate, and these two schools were recruited. All students were ranked, and only migrant children in the top ten percent, a total of six children from the two schools, were chosen to participate. The data collection instruments selected were a semi-structured interview and observation. Most parts of the semi-structured interview were guided by the interview guide, making it more systematic and comprehensive (Patton, 2002). I interviewed six student participants, three class teachers, and six caregivers. The interviews were in Thai, and each participant was interviewed

individually. There were two rounds of interviews, separated by one week between rounds. The purpose of the two rounds was to revisit any unclear evidence collected during the first interviews and observations during the second interview. To establish data triangulation, the observation was used in conjunction with the interview. Observation also assisted the author to better understand the context (Merriam, 1998), and the information gained from the observation could also be used as reference points for the second interview. Data were collected using direct overt observation. Student participants were observed in a natural setting while they were studying in class and taking part in extra-curricular activities without direct participation in the activity. The observation record of the study consisted of the physical setting, people within the setting, and the interaction of the participants with peers and the teacher in context.

To produce credible results, the author was concerned about the validity, reliability, generalizability, and ethical considerations of the study (Merriam, 1998). The data triangulation process and prolonged time in the field were to increase internal validity. To establish data triangulation, three different people were interviewed. Observations of student participants in the class and during activities were recorded in field notes. Information was also triangulated by using all of the above data sources to establish a theme (Creswell & Poth, 2018). Data from each case were collected over approximately one week. Triangulation and an audit

trail were used to increase reliability. An audit trail is a technique for establishing reliability (Merriam, 1998) that involves explaining in detail how decisions are made throughout an inquiry (Merriam, 1998). An audit trail was created by attempting to show how the research instrument was developed and data were collected over six weeks at two school sites. To enhance the generalisability of the study, a replication approach and multisite design were used. Replication logic is similar to that used in multiple experiments (Yin, 2018) meaning that more experiments are conducted to replicate the findings. Two selection criteria were determined for study participants. Six participants at two school sites were selected to support the generalisability of the findings (Merriam 1998). To protect participants' rights, ethical principles were followed. The study was conducted in accordance with The University of Leicester's Research Ethics Code of Practice 2016, and approval from the University of Leicester Ethics Committee was obtained prior to conducting the research.

Creswell's (2009) five steps of data analysis in qualitative research was used. In the first step—managing and organising data—24 MP3 files, recorded during the interviews with the participants, were transcribed into Word documents. All the data were read in the second step. In the third step, the cases and their context were described, and in the fourth step, codes and categories were created for the qualitative data analysis (Creswell & Poth, 2018). Major categories in each case were

compared and then consolidated in multiple ways, whereafter thematic analysis was used (Saldana, 2016). The final step of the case study approach was to develop a naturalistic generalisation of 'what was learned' (Creswell & Poth, 2018).

RESULTS AND DISCUSSIONS

After data from the interview transcript and observation, notes were coded, major categories and sub-categories from clusters of coded data were created. Seven themes emerged: (1) the value of education; (2) parents/guardians as important agents to support their children's education; (3) individual characteristics contributing to good grades; (4) the impact of peer relationships; (5) healthy relationships with school and teachers; (6) the power of the community; and (7) gratitude as a motivation for a high level of education.

The Value of Education

The value that parents placed on education influenced whether they would send their children to school. Parent participants viewed education as a means to gain better socio-economic status for their children—a way to escape from hard work and poverty, acquire a well-paid job, and experience a more positive future. Their desire to support their children to achieve a high level of education can be defined as extrinsic aspirations (Ryan & Deci, 2000). They used extrinsic aspirations to set educational goals for their children. Educational goal-setting is one of the important factors influencing academic achievement (Lawrence, 2014).

Five out of six caregivers had told their children what educational expectations they had of them. Student participant 4 said, 'Dad always told me if I want to get a better job, I need a qualification. I believe Dad's advice'. Communicating their high educational goals and expectations to their children is a form of verbal persuasion. Verbal persuasion from their caregivers, who are regarded as the most influential people in their lives, leads them to try hard to succeed (Bandura, 1977).

Parents/Guardians as Important Agents to Support Their Children's Education

There is no rule regulating migrant caregivers to arrange their children's education. This lack of secure status is why parental support is particularly crucial for these students. Caregivers in this study played an important role in supporting their children's education. They provided the opportunity for their children to learn in school and supported them to stay in school as long as possible. Without the support of parents/guardians, it is extremely unlikely that children will be able to attend school. Notably, difficulties such as language, legality, and knowledge are confronted by parents to enable their children to gain access to schooling when they move to a new country. Socio-economic status was one of the most important factors affecting the opportunities of Burmese migrant children in Thailand to access education (ILO & OEC, 2006). All the families who were interviewed experienced some sort of hardship and financial difficulty. However, some parents viewed these difficulties as

the drive that pushed them to continue to support their children to stay in school as long as possible. To these parents, education was a pathway to better jobs and living conditions. Student participant 2 mother said, 'I am very poor, I have no money, and I don't know my future. However, I hope that my son will study in a university and complete a bachelor's degree course'.

The parental style of parent participants in this research was an authoritarian parenting style. Five out of six parents in this study mentioned that physical punishment and scolding were used for discipline and behaviour management. They also described the positive methods that they used simultaneously. Parent participants treated their children with Metta—love, and desire to help in the welfare and wellbeing of their children (IRC, 2011). They had goodwill towards their children to teach them to be good people (Buddharakkhita, 1995). Student participant 2's mother said that she would fight every kind of difficulty in her life for the sake of her children's education. This corresponded with the example of Metta given by Buddharakkhita (1995). Parent participants' authoritarian style was interwoven with Metta and can be described as 'tough love' or love and concern expressed in a strict way to make their children behave responsibly.

In general, parental involvement refers to parental participation during their children's education. Most parents in this study did not have much formal education. They reported that they were unable to help or understand their children's homework due to their limited knowledge of the subject and language. However, some parents' statements and actions supported their children's learning. For example, they either asked or reminded their children about homework, encouraged their children to perform well in school, and provided a quiet space for their children to concentrate on their homework. Student participant 6 said, 'When I get home, my father always asks how the school is, what I did today and if I have any homework'. The ability to understand and communicate in Thai was important for the success of learning, as Thai was the language medium of both learning and teaching. The amount of exposure to the Thai language affected children's ability to understand Thai (Konishi et al., 2014). Every caregiver in this study facilitated their children's use of Thai. Although most of the student participants spoke Burmese to their parents, they spoke Thai to their siblings at home.

Individual Characteristics Contributing to Good Grades

All student participants reported that they either liked learning or at least had one subject that they enjoyed. When students liked or perceived the usefulness of particular subjects, they became interested in them and paid attention to them, which affected their academic achievement. Four student cases reported they were happy with their grades and believed in their own ability. The other two student participants observed their sisters successfully support themselves studying at a higher level and believed that

they were capable of doing the same. These cases illustrated their self-efficacy beliefs, developed through mastery experience and social models (Bandura, 1994). Good learning behaviour is the key to gaining academic achievement and achieving good grades. Behaviours that teachers felt supported their students to succeed were as follows: their mental ability, creative and analytical skills, problem-solving skills, active participation in class, such as asking and answering questions, and sharing their opinions. Study skills that the participants mentioned were the following: paying attention to and remembering what their teachers taught, always attending classes, having a high level of responsibility, submitting their classwork and homework on time, reading their textbooks, reviewing their lessons, time management, searching for necessary information on the internet, study groups, and effective ways to take a test. These skills supported them in obtaining good grades (Fazal et al., 2012). All student cases mentioned more than one study skill that assisted them to attain a good grade. Although parents and teachers in this study were from different cultures, both of them had high regard for the values of politeness and obedience (IRC, 2011; Komin, 1991). A polite and obedient personality afforded the students a better opportunity to stay in school and participate in leadership roles. Parents tended to support their children's education if they believed that their children were polite and obedient. Student participant 1's mother said, 'Studying in school has made her became stubborn. I did not send her to school to come back being stubborn and arguing with me. If she still argues with me, I will not support her education'. Politeness and obedience were qualities that teachers perceived as good behaviour, and they were one of the most important criteria for choosing student leaders. Teacher participant 2 described the criteria that were used for choosing leaders of school activities: 'They should be polite, careful, neat, tidy, responsible, and unselfish'.

The Impact of Peer Relationships

The findings of this study indicated that strong peer relationships were also a supporting factor (Lawrence, 2014) as they were reported to help the participants to overcome challenging situations such as bullying and slurring from other peers. The support from friends was mainly academic or personal. They spent time together, helped each other in finishing their homework, reviewed lessons, and so forth. They also provided personal and emotional support at a time of need. The personal and emotional support was, for example, giving advice or providing moral support. Both kinds of support were equally important as academic support contributed to a better understanding of the lessons while personal and emotional support could limit the effect of the pressure from friends and could lead to better decision making. Student participant 5 said, 'They help me studying and guide me. When I am alone, I am kind of lost. They remind me and point out things that are important. When I don't understand,

they help me. If an exam is approaching, they warn me to start reading this and that'.

A negative peer relationship was also described as having a negative effect on students' academic performance as it was reported to make student participants feel uncomfortable and not wish to attend school (Papatraianou et al., 2014). Bullying in school and friends leaving school to work were reported risks. A small, thin, male student participant reported that he was antagonised and bullied by other boys, both in class and at the dormitory, and that the incident subsequently made him dislike attending school and staying in the dormitory. His mother, his class teacher, and the warden teacher protected him from being bullied. Student participant five was accused of stealing her classmate's cell phone; she was upset and wanted to move to another school. Her elder sister helped her solve the problem, and her four close friends told her not to worry, not to cry, and that they believed that she did not steal the phone. Student participant 5 said, 'When the person who accused me of stealing the phone spread the rumour and cursed me, one of my close friends told me to ignore it as I didn't do it. Others also supported me'. When her close friend dropped out of school to work in a factory, in Grade 5, student participant three wanted to follow her friend's example. However, her uncle suggested that she graduate from Grade 6 before deciding. Consequently, she decided to further her studies in Grade 6. The findings confirmed that family warmth, teacher support, and peer friendships could protect student participants from unpleasant situations (Karlsson et al., 2014; Troop-Gordon, 2015).

Healthy Relationships with School and Teachers

Schools and teachers were important factors related to the academic achievement of their students. A supportive school climate and activities, a positive attitude and a sense of belonging towards school, and good relationships with teachers were related to positive outcomes for at-risk students.

An ethnically diverse school could increase students' sense of belonging as they would have friends from a similar culture (Downey, 2008). It was clear that both schools used in this study had ethnically diverse groups of students. The six migrant students at both schools who participated in the study reported that they did not feel isolated or singled-out in school. Teacher participant 1 said, 'They do not feel inferior when they study here because they have the same status as most of their friends'. Positive parent-teacher relationships were key to the success of students (Janta & Harte, 2016). Both schools managed two activities that promoted parent-teacher relationships. They were parent meetings and visiting students' residences. The purpose of the parent meeting programme was to notify parents about school policies and inform them about what schools and teachers needed from them. The visiting students' residence programme promoted good relationships between parents and teachers. Teacher participant 3 said, 'They love to be visited by teachers. They will discuss their children's problems, for example, if their children are addicted to online games'. All students and parents reported having a positive attitude towards their schools. In the case of the student participants, the main reason seemed to be that they did not feel isolated or discriminated against in school. Caregivers felt appreciative of the teachers' attentiveness towards their children and the facilities and services provided by the school.

Students reported having good relationships with teachers. All the teachers who were interviewed had had long experience in that area of Thailand and were familiar with Burmese students. From the interviews, they were not prejudiced and treated students equally, regardless of race or ethnicity. Teachers had a good understanding of the migrant students, especially their language limitations and economic constraints. Good teacher-student relationships, especially when they were in the elementary level, played important roles in students' academic development throughout their school lives. Students who had good relationships with their teachers felt safe and secure at schools and enjoyed their lessons. Student participant 6 said, 'I like the teachers here. They are kind and they teach me to be an optimist'.

The Power of the Community

From interviews, parents reported that their community served as a source of information when they first arrived in Thailand. Many parents had little knowledge

of Thailand, and they did not know what public services were available to them as migrants. Owing to their lack of command of the Thai language, they could not or were too frightened to seek information directly from Thai schools. Instead, they asked people in their community for information, such as which schools accepted migrant children. The father of student participant 4 reported, 'At the time, I really wanted my kids to be in school, I kept asking people in the village. I asked them if the school accepted Burmese. I am a Burmese. I kept asking until I knew that Wang Ta School and Ban Tha School accepted migrant children'. In addition, adult neighbours could assist enhancing academic abilities (Williams & Portman, 2014). A good example was student participant 6 who was living in a Christian community. First, the Christian centre provided a free-of-charge minibus to transfer the students in the community to and from school. Second, if the student did not understand her Thai and English lessons, the pastor's son was able to help her. Third, the pastor's wife taught her English three days a week after school.

Gratitude as a Motivation for a High Level of Education

The culture of gratitude to their parents was frequently mentioned by both children and their parents during interviews. The child's obligation to show gratitude to their parents, which meant that the child had to look after the parents when they became an adult, was a common norm of the Burmese migrants in Tak Province (IRC, 2011). The children

were brought up to highly value gratitude in a person. They strongly believed that showing gratitude to parents was the act of a good person. Therefore, children's desire to show gratitude to their parents was an intrinsic motivation because the activity itself was intrinsically satisfying (Deci & Ryan, 2008). The children also conceived that to look after their parents well, it was necessary for them to obtain good jobs and earn sufficient money. Therefore, they had to study hard and achieve good grades. This kind of belief affected their academic achievement; however, the idea of showing gratitude was a short-sighted view and also had its drawbacks. Some participants wanted to guit school when they reached 15 years of age—the minimum age of employment. IRC (2011) similarly suggested that some respondents used the example of a child dropping out of school to work as a way to relieve the parents' economic burden to show gratitude to them.

CONCLUSIONS

It is apparent that the Thai cabinet resolution in 2005, which permitted both registered and unregistered migrant and stateless children access to RTG schools, provided subsidies for tuition fees, school uniforms, textbooks, learning materials, lunch, and granted them 10-year residence permits, has broadened the educational opportunities for these children. However, access to education is not sufficient. To turn migrant children into strong human capital, the Thai Ministry of Education should follow the EU example by creating specific educational policies that

enable success in education among migrant children (Janta & Harte, 2016). In addition, they should aim to increase a positive racial climate associated with higher academic accomplishment and provide education that is relevant and responsive to the needs of migrant children, Multicultural education, designed to deal with increasing cultural diversity within society, is appropriate. It teaches students intercultural skills, to appreciate various traditions and ethnic values (Shafritz et al., 1988), and raises the cross-cultural awareness of students. Furthermore, it aims to provide every child, regardless of their status and ethnicity, equal opportunity to access education and acquire an equal chance to succeed academically (Arphattananon, 2012).

Schools and teachers are important factors related to the academic achievement of their students. Therefore, they should be aware of the importance of promoting the academic achievement of their migrant students. It was found that parent participants were too fearful to approach the school and ask for information. To support migrant students' educational success, school leaders and teachers should create a friendly atmosphere in the school. Schools should create activities that encourage parents to visit and seek information. An activity might, for example, take the form of an 'open house day'. It would be useful if school leaders and teachers could inform parents of the ways to support their children to be successful academically. They could use existing activities such as parent meetings and home visits to share

knowledge about how to support their children's learning and persuade migrant parents to see the value of education. It was found that the parenting style of migrant caregivers was authoritarian. The use of physical and verbal forms of punishment was often mentioned. Teachers should make caregivers understand the negative results of violent physical punishment, especially as parents tend to punish their children more severely when angry. This kind of punishment will harm their children physically and psychologically and cause behavioural problems. Teachers should advise them to punish their children with Metta by providing them with reasons for the punishment, and making them understand their wrongdoing, and should guide caregivers in using non-violent forms of discipline instead. From the results section, it was evident that bullying in schools and negative peer relationships discouraged participants from attending school. Teachers thus play a crucial role in deterring bullying in school and providing support for the victims of the bullying. Study skills are vital tools for successful learning, and teachers should use the content and activities in core subjects as opportunities for students to practice study skills and should provide support to assist them in applying these skills. If students are equipped with useful study skills, they will have a better chance of succeeding academically.

ACKNOWLEDGEMENTS

I would like to express my thanks to all my

participants, the six migrant children, the six parents and three class teachers for sharing their experience and knowledge. I want to thank the director of Tak ESA and the headteachers of both schools for providing me access and making this research study possible.

REFERENCES

- Akey, T. (2006). School context, student attitudes and behavior, and academic achievement: An exploratory analysis. https://www.mdrc.org/sites/default/files/full 519.pdf
- Amirtha, M. T., & Jebaseelan, A. U. S. (2014). Student learning behavior and academic achievement: Unravelling its relationship. *Indian Journal of Applied Research*, 4(12), 57-59.
- Avula, K., Ahmed, M., Mathew, E., Shaikh, R. B., Ashok, J., & Muttappallymyalil, J. (2012). Extrinsic component of resilience among the entry level medical students. *Gulf Medical Journal*, 1(2), 572-578.
- Arphattananon, T. (2012). Education that leads to nowhere: Thailand's education policy for children of migrants. *International Journal of Multicultural Education*, 14(1), 1-15. http://dx.doi.org/10.18251/ijme.v14i1.537
- Bandura, A. (1977). *Social learning theory*. Prentice Hall.
- Bandura, A. (1994). Self-efficacy. In V. S. Ramachaudran (Ed.), *Encyclopedia of human behavior* (Vol. 4, pp. 71-81). Academic Press.
- Buddharakkhita, A. (1995). *Metta: The philosophy* and practice of universal love. Access to Insight Readings in Tharavada Buddism. https://accesstoinsight.org/lib/authors/buddharakkhita/wheel365.html
- Cherry, K. (2014, November 24). What is reciprocal determinism? This theory explores the role

- our behavior plays in our environment. Verywellmind. https://www.verywellmind.com/what-is-reciprocal-determinism-2795907
- Corcoran, J., & Nichols-Casebolt, A. (2004). Risk and resilience ecological framework for assessment and goal formulation. *Child and Adolescent Social Work Journal*, 21(3), 211-233. https://doi.org/10.1023/B:CASW.0000028453.79719.65
- Creswell, J. W. (2009). Research design: Qualitative, quantitative and mixed methods approaches. Sage Publications.
- Creswell, J. W., & Poth, C. N. (2018). *Qualitative inquiry and research design: Choosing among five approaches* (4th ed.). Sage publications.
- Cummins, J. (2014). Beyond language: Academic communication and student success. *Linguistics and Education*, 26, 145-154. https://doi.org/10.1016/j.linged.2014.01.006
- Deci, E. L, & Ryan, R. M. (2008). Self-determination theory: A macrotheory of human motivation, development, and health. *Canadian Psychology*, 49(3), 182-185. https://doi.org/10.1037/ a0012801
- Downey, J. A. (2008). Recommendations for fostering educational resilience in the classroom. Preventing School Failure: Alternative Education for Children and Youth, 53(1), 56-64. https://doi.org/10.3200/PSFL.53.1.56-64
- Durlak, J. A., Weissberg, R. P., Dymnicki, A. B., Taylor, R. D., & Schellinger, K. B. (2011). The impact of enhancing students' social and emotional learning: A meta-analysis of school-based universal interventions. *Child Development*, 82(1), 405-432. https://doi. org/10.1111/j.1467-8624.2010.01564.x
- Fazal, S., Hussain, S., Majoka, M. I., & Masood, S. (2012). The role of study skills in academic achievement of students: A closer focus on gender. *Pakistan Journal of Psychological Research*, 27(1), 37-51.

- Huang, G. H. C., & Gove, M. (2015). Asian parenting styles and academic achievement: Views from eastern and western perspectives. *Education*, 135(3), 389-397.
- International Labour Organisation & Office of Education Council. (2006). Educational opportunity of migrant and hill tribe children in Samut Sakhorn. Office of the Education Council. http://backoffice.onec.go.th/uploads/Book/182-file.pdf
- International Rescue Committee. (2011). Children are puppets and parents move the strings: Concepts of child and family well-being among Burmese migrant and displaced communities in Tak province, Thailand. International Rescue Committee. http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.308.9330&rep=rep1&type=pdf
- IRIN Humanitarian News and Analysis. (2009, June 15). Burmese migrant children missing out on education. *The New Humanitarian*. http://www.irinnews.org/report/84844/thailand-burmese-migrant-children-missing-out-on-education
- Iruka, I. U., Curenton, S. M., & Gardner, S. (2015). How changes in home and neighborhood environment factors are related to change in Black children's academic and social development from kindergarten to third grade. *The Journal of Negro Education*, 84(3), 282-297. https://doi.org/10.7709/jnegroeducation.84.3.0282
- Jamil, F., & Khalid, R. (2016). Predictors of academic achievement in primary school students. *Pakistan Journal of Psychological Research*, 31(1), 45-61.
- Janta, B., & Harte, E., (2016). Education of migrant children: Education policy responses for the inclusion of migrant children in Europe. RAND Corporation. https://www.rand.org/content/dam/ rand/pubs/research_reports/RR1600/RR1655/ RAND RR1655.pdf
- Karlsson, E., Stickley, A., Lindblad, F., Schwab-Stone, M., & Ruchkin, V. (2014). Risk and protective

- factors for peer victimization: A 1-year follow-up study of urban American students. *European Child and Adolescent Psychiatry*, *23*(9), 773-781. https://doi.org/10.1007/s00787-013-0507-6
- Komin, S. (1991). *Psychology of Thai people: Values and behavioral patterns*. National Institute of Development Administration (NIDA).
- Konishi, H., Kanero, J., Freeman, M. R., Golinkoff, R. M., & Hirsh-Pasek, K. (2014). Six principles of language development: Implications for second language learners. *Developmental Neuropsychology*, 39(5), 404-420. https://doi.or g/10.1080/87565641.2014.931961
- Lam, G. (2014). A theoretical framework of the relation between socioeconomic status and academic achievement of students. *Education*, 134(3), 326-331.
- Lawrence, T. (2014). Striving for excellence: Exploring the experiences of economically disadvantaged, African American, middle school students making the choice to be an exception (Unpublished Doctoral thesis). DePaul University.
- Luthar, S. S., Cicchetti, D., & Becker, B. (2007). The construct of resilience: A critical evaluation and guidelines for future work. *Child Development*, 71(3), 543-562. https://doi.org/10.1111/1467-8624.00164
- Ma, X., Shen, J., Krenn, H. Y., Hu, S., & Yuan, J. (2016). A meta-analysis of the relationship between learning outcomes and parental involvement during early childhood education and early elementary education. *Educational Psychology Review*, 28, 771-801. https://doi.org/10.1007/s10648-015-9351-1
- Masland, L. C., & Lease, A. M. (2013). Effects of achievement motivation, social identity, and peer group norms on academic conformity. *Social Psychology of Education*, 16(4), 661-681. https://doi.org/10.1007/s11218-013-9236-4

- Masten, A. S., Herbers, J. E., Cutuli, J. J., & Lafavor, T. L. (2008). Promoting competence and resilience in the school context. *Professional School Counseling*, 12(2), 76-84. https://doi. org/10.1177/2156759X0801200213
- Merriam, S. B. (1998). *Qualitative research and case study application in education*. Jossey-Bass.
- Nawarat, N. (2012). Thailand education policy for migrant children from Burma. *Procedia: Social* and Behavioral Sciences, 47, 956-961. https:// doi.org/10.1016/j.sbspro.2012.06.763
- Papatraianou, L. H., Levine, D., & West, D. (2014).

 Resilience in the face of cyberbullying: An ecological perspective on young people's experiences of online adversity. *Pastoral Care in Education*, 32(4), 264-283. https://doi.org/10.1080/02643944.2014.974661
- Patton, M. Q. (2002). *Qualitative research and evaluation methods* (3rd ed.). Sage Publications.
- Physicians for Human Rights. (2004). No status: Migration, trafficking and exploitation of woman in Thailand. Amazon Web Service. https://s3.amazonaws.com/PHR_Reports/thailand-women-trafficking-2004.pdf
- Ryan, R. M., & Deci, E. L. (2000). Self-determination theory and the facilitation of intrinsic motivation, social development, and well-being. *American Psychologist*, 55(1), 68-78.
- Rutter, M. (2012). Resilience as a dynamic concept. Development and Psychopathology, 24(2), 335-344.
- Saldana, J. (2016). *The coding manual for qualitative researchers*. Sage Publications.
- Schunk, D. H., & Pajares, F. (2009). Development of academic self-efficacy. In A. Wigfield & J. Eccles (Eds.), *Development of achievement motivation*. Academic Press.
- Shafritz, J. M., Koeppe, R. P., & Soper, E.W. (1988). The facts on file dictionary of education. Facts on File.

- Short, R. (2016). Understanding the schooling and literacy beliefs, behaviors, and self-efficacy of low-income African American families. *National Teacher Education Journal*, 9(2), 67-74.
- The Thai National Education Act of 1999, 2 T.H.C § 10 *et seq.* (1999). https://person.mwit.ac.th/01-Statutes/NationalEducation.pdf
- Troop-Gordon, W. (2015). The role of the classroom teacher in the lives of children victimized by peers. *Child Development Perspectives*, *9*(1), 55-60. https://doi.org/10.1111/cdep.12106
- United Nations. (2015) Trends in international migrant stock: Migrants by destination and origin. https://www.un.org/en/development/desa/population/migration/data/estimates2/estimates15.asp
- Webb, M., & Thomas, R. (2015). Teachers' perceptions of educators' and students' role in closing the achievement gap. *National Forum of Teacher Education Journal*, 25(3), 1-8.
- Wilder, S. (2014). Effects of parental involvement on academic achievement: A meta-synthesis. *Educational Review*, 66(3), 377-397. https://doi.org/10.1080/00131911.2013.780009
- Williams, J. M., & Portman, T. A. A. (2014). "No one ever asked me": Urban African American students' perceptions of educational resilience. *Journal of Multicultural Counseling and Development*, 42(1), 13-30. https://doi.org/10.1002/j.2161-1912.2014.00041.x
- Yates, T. M., Tyrell, F. A., & Masten, A. S. (2014).

 Resilience theory and the practice of positive psychology from individuals to societies. http://adlab.ucr.edu/wp-content/uploads/2015/08/Yates-Tyrell-Masten-2015-Positive-Psychology-in-Practice-chapter-14.pdf
- Yin, R. K. (2018). Case study research and applications: Design and methods (6th ed.). SAGE Publications.



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Disclosure of Nanomaterials under Nanotechnology Product Inventory, Voluntary Certification, and Voluntary Labelling

Nor Akhmal Hasmin¹, Zinatul Ashiqin Zainol^{2*}, Rahmah Ismail² and Juan Matmin³

¹Centre of Foundation Studies, Universiti Teknologi MARA, Cawangan Selangor, Kampus Dengkil, 43800 Dengkil, Selangor, Malaysia

²Faculty of Law, Universiti Kebangsaan Malaysia, 43600 UKM Bangi, Selangor, Malaysia ³Department of Chemistry, Faculty of Science, University Teknologi Malaysia,

81310 UTM Johor Bahru, Malaysia

ABSTRACT

Nanotechnology has revolutionised the food industry and flooded the consumers' market worldwide with engineered nanomaterials (ENMs), creating concerns on potential risks towards safety and health. This article analyses the institutional approach for disclosure of information on the presence of ENMs in food products and their limitations. It adopts a doctrinal approach and content analysis by examining relevant literature on disclosure of nanomaterials from journal articles and books from online databases and institutional websites. To overcome the limitations of the institutional approach of nanotechnology product inventories, voluntary certification programme, and voluntary labelling, this article proposes that the information disclosed must be in full and accurate. More importantly, the information on potential risks of exposure, use of nanotechnology, or presence of nanomaterials must be verified and constantly updated. This study hopes to significantly contribute to improving the transparency of nanofood information systems.

ARTICLE INFO

Article history: Received: 05 May 2020 Accepted: 24 August 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.09

E-mail addresses: norakhmal5559@uitm.edu.my (Nor Akhmal Hasmin) shiqin@ukm.edu.my (Zinatul Ashiqin Zainol) irahmah@ukm.edu.my (Rahmah Ismail) juanmatmin@utm.my (Juan Matmin) * Corresponding author *Keywords:* Nanotechnology, nanotechnology product inventory, nanotechnology voluntary certification, nanotechnology voluntary labelling

INTRODUCTION

Nanotechnology research and development at the atomic, molecular, or macromolecular levels, using a length scale of approximately one to one hundred nanometres in any dimension, offers new scientific, economic, and social benefits that have attracted large scale investments from government agencies and private sectors (Wang & Chien, 2013). The unique characters of nanomaterials display novel properties that behave differently from the same materials in bulk (Gallocchio et al., 2015). Owing to its uniqueness, nanotechnology has transacted across various fields such as food and agriculture (Thiruvengadam et al., 2018), pharmaceutical (Brown & Patel, 2015), and consumers' products (Potter et al., 2019).

In the food and agricultural industry, nanotechnology and nanomaterial are integrated throughout the food chain production as a tool and technique for cultivating, processing, or packaging food (He et al., 2019). Such integration has resulted in the production of nanofood (Sodano, 2017). It is estimated that in 2040, the consumer market will continue to see an influx of nanofood, with an estimation of more than 200 food companies worldwide investing in nanotechnology (Helmut Kaiser Consultancy, n.d.). Nonetheless, the benefits of engineered nanomaterials (ENMs) occasionally lead to adverse safety and health effects. This is because the unique features of nanomaterials, which differ from the bulk counterparts, can lead to toxicity. In fact, it is more alarming that the toxicity of nanomaterials cannot be identified from the existing toxicity of the bulk materials due to the different physicochemical properties between these materials (Kumar et al., 2019).

ENMs in food matrices have been shown to pose safety and health risks. The extremely small ENMs incorporated directly into food or food-related products, such as cookware and food packaging, are impossible to be detected by human eyes, or through taste or structure alone. While nanotechnology is popular among manufacturers, it is difficult to estimate the actual volume of nanofood in the marketplace as the manufacturers are not mandated to declare the presence of ENMs in their products. At the moment, some information regarding the presence of ENMs is available through the institutional approach of product inventory, voluntary certification system, or voluntary labelling, which is often without clarity or consistency.

This article elucidates the institutional approaches for disclosure of nanofood by analysing the sufficiency of these approaches to ensure full and accurate disclosure of information regarding the presence of ENMs in food products. This article is organised into four parts. The first part is the methodology of research. The second part offers an overview of the benefits and risks of nanotechnology in the agricultural and food industry. Meanwhile, the goal of this part is to allow readers to acquire sufficient knowledge of nanofood for a better understanding of the need for full and accurate disclosure. The following part analyses existing institutional approaches of nanomaterial disclosure, namely nanotechnology product inventories, nanotechnology voluntary certification system, and nanotechnology voluntary labelling. The last part summarises the finding and discussion, which addresses the limitations of these approaches. This paper ends with a conclusion.

METHOD

The work adopted the methodology of qualitative doctrinal research by analysing the relevant literature from research journals and books available in online databases and institutional websites. A comparative analysis was done for the nanotechnology product inventories in the European Union and the United States with the voluntary certification system and voluntary labelling. This was to uncover the strengths and limitations of the institutional approach and identify the most useful approach for the disclosure of nanomaterials. The finding from the semi-structured interview with NanoVerify was also included so as to provide a more comprehensive picture of the NanoVerify voluntary certification system.

BENEFITS AND RISKS OF NANOTECHNOLOGY IN THE AGRICULTURAL AND FOOD INDUSTRY

In the agricultural industry, the effective use of nanotechnology increases both the quantity and quality of agricultural produce (de Oliveira et al., 2018). Precision farming methods and smart delivery programme can increase crop productivity (Thiruvengadam et al., 2018) using nano-pesticides and nano-fertilisers in the management of phytopathogens, nutrient utilisation, controlled release of pesticides, or fertilizers (Kim et al., 2018). Meanwhile, in the livestock industry, nanomaterial is used as an antimicrobial agent for poultry products (King et al., 2018), animal breeding, and veterinary medicine (Hill & Li, 2017).

For the food industry, the application of nanotechnology is evident in food processing and food supplement. ENMs have been proven to enhance food quality, prolong shelf life, and reduce the problem of food spoilage (Cruz-Romero et al., 2019). ENMs also guarantee the safety of food (He & Hwang, 2016) and increase the physical properties of food by enhancing the appearance, texture, fragrance, and flavour, rendering the physiological appeal to food products (Pradhan et al., 2015). As for food supplements, ENMs can improve the delivery of nutrients through the nanoencapsulation process. The tiny particle of ENMs increases the solubility, bioavailability, and absorption of nutrients at the targeted area at a specific rate (Pathakoti et al., 2017). In the food packaging industry, nanomaterials produced food packaging is more environmentally friendly, flexible, stable, and with a stronger antibacterial agent compared to macro-sized materials (Hagen & Drew, 2016). Various functional benefits of nanotechnology have attracted giant food manufacturers such as Kraft, Ajinomoto, Heinz, Unilever, Mars (Qadri et al., 2018), as well as Nestle and Kelloggs (Sodano, 2017) to invest and manufacture commercial products using nanotechnology. These manufacturers produce many everyday food products, which means nanofood is an everyday food product that is probably being consumed on a daily basis.

The use of ENMs in the agricultural and food industry has increased the oral intake of nanoparticles in day-to-day consumption (Rompelberg et al., 2016).

A scientific study has demonstrated the potential migration of ENMs from food packaging to food matrices. For instance, silver nanoparticle from food packaging was shown to migrate to food matrices when exposed to high temperatures, with longer storage time, and with weaken polymer matrices (Morais et al., 2019). It increases the oral exposure of nanomaterials into the gastrointestinal tract (GIT), which raises safety and health concerns. The unique features of nanoparticles, such as fast motion and tiny, capable of penetrating deeper into the human body and reach the sensitive tissues, could also lead to various potential health complications (Sohal et al., 2018). It is important to highlight that the safety and health risks of ENMs are not based on a hypothetical assumption, but rather on grounded scientific studies.

Based on the theory of risk society of modernity by Ulrich Beck, the risk is seen as an inherent feature of modern society. Manmade risks from technological advancement include nanotechnology is invisible, uncertain, hard to control, and exposes the entire societies at risk (Beck, 1992). Accordingly, citizens and consumers should be allowed to make reasoned actions and choices to prevent and protect themselves from the risks which are made possible through disclosure of accurate information or proper labelling (Throne-Holst, 2012). This highlights the importance of revisiting the approaches of the information disclosure pathway on the risks and benefits of ENMs to ensure enough openness and transparency of information.

FOOD LABELLING IN MALAYSIA

The food labelling requirement in Malaysia is based on the Codex Alimentarius labelling standard issued by Codex Alimentarius Commission (CAC). The CAC is an international body for implementing the FAO/WHO Food Standards Programme. Codex standards have no binding effect on national food legislation (Li, 2014). However, as a member of CAC since 1971, Codex National Committee (CNC), i.e., the national contact point for Codex standards continuously reviews and harmonises the Codex standard with the domestic food regulatory framework (Food Safety and Quality Division, n.d.). Currently, there are ten food labelling standards and guidelines issued by the Codex Committee on Food Labelling (CCFL). Unfortunately, Codex has not issued any standard on nanofood labelling (Codex Alimentarius, n.d.). Arguably, from the perspective of Codex, nanofood and conventional food are subjected to the same labelling standard.

Meanwhile, the food labelling requirement in Malaysia is prescribed by the Food Act 1983 (Act 281). The subsidiary legislation of the Food Act 1983, i.e., Food Regulations 1985, is the primary law on food labelling. Part V of the Food Regulations lists the mandatory requirements for food labelling such as labelling of ingredients, expiry date, weight, strength, and nutrient claim. Consistent with the Codex labelling standard, the act and the regulation do not have a specific provision mandating nanofood to be labelled or distinguished from conventional food.

However, some manufacturers voluntarily opt for additional labelling information to improve their products' commercial value and marketing tools (Golan et al., 2001). The additional information is provided by either voluntary certification or voluntary labelling by private institutions. Although the information provided is voluntary, the labelling is still subjected to the labelling laws. Most importantly, the information provided on the label must be accurate and not misleading.

Several labelling offences may be committed as a result of giving inaccurate and misleading information. Inaccurate information on a food label is a false label as regard to its nature, substance, composition under section 16 of the Food Act, and punishable by fine or imprisonment, or both. Under section 10 (1) (a) of the Consumer Protection Act 1999 (Act 599), inaccurate information amounts to false or misleading representation as to the goods of a particular kind, standard, quality, composition, style, or model, which is punishable with fine under section 25 (1) (a) and (b) of the Consumer Protection Act 1999. The same may also amount to a false trade description under section 5 (1) (c) of the Trade Descriptions Act 2011 (Act 730), which is punishable by fine or imprisonment, or both. Section 6 (1) describes trade description as to include nature, designation, quantity, method of the manufacturer, production, processing, or composition. Describing a food product manufactured with nanotechnology or containing nanomaterials is classified as part of the trade description. Therefore,

the institutional and voluntary approach to food labelling is also subjected to regulatory requirements.

APPROACHES ON DISCLOSURE INFORMATION ON NANOFOOD

Currently, there are two approaches to disclosure information on the risks and benefits of nanofood in the consumer market, namely the institutional approach and the legislative approach. None of these two approaches requires mandatory labelling of nanofood. The institutional approach refers to the voluntary disclosure where manufacturers willingly inform that their food products are produced using nanotechnology or contain nanomaterials. Such disclosure, which is not subjected to any legislative mandate, can be in the form of nanotechnology product inventory, nanotechnology voluntary certification programme, or nanotechnology voluntary labelling. On the contrary, the legislative approach involves a legal mandate. The disclosure is compulsory, and the labelling requirement is prescribed in the legislation. Currently, labelling of nanofood is mandatory in the European Union under Regulation (EU) No 1169/2011 on the provision of food information to consumers. It is the only jurisdiction applying the legislative approach. This article only focuses on the institutional approach that is readily available and currently in use.

Nanotechnology Product Inventories

The continuous influx of nanotechnology products in the consumer market such

as food and beverages, toothpaste, cookware, and food packaging has led to the introduction of nanotechnology product inventory that lists products that are produced using nanotechnology or contain nanomaterials. The aim of nanotechnology product inventories is threefold; to inform consumers that the products are produced using nanotechnology or contain nanomaterials, improve the transparency and sharing of information in the food supply, and fill the scientific gap about nanotechnology (Berube et al., 2010; Center for Food Safety, 2015). This approach is adopted by the United States and the European Union.

In the United States, there are two Consumer Product Inventory created by Woodrow Wilson International Center and by the Center for Food Safety. Consumer Product Inventory was established in 2005 under the Woodrow Wilson International Center for Scholars and the Project on Emerging Nanotechnology. It is a research institute dedicated to the responsible development of nanotechnology by minimising possible risks, as well as strengthening public and consumer engagement in the advancement of nanotechnology (The Project on Emerging Nanotechnologies, n.d.). On this premise, the Project on Emerging Nanotechnology thereafter created an inventory providing consumers, policymakers, and others with the outlook of nanotechnology products available in the market (Vance et al., 2015) and are available online. It is the first-of-itskind inventory that has been frequently cited

in scholarly articles as a baseline to prove the influx of nanotechnology products in the markets (Berube et al., 2010).

The Project on Emerging Nanotechnology began compiling nanotechnology products from around the globe at the beginning of 2005. The inventory is updated yearly (Hansen et al., 2016). The initial methodology used to gather information was done online through a systematic web-based search and limited to products with the information given in the English language (Maynard & Michelson, 2006). Information is provided by the manufacturers themselves. As registered users of the inventory, manufacturers can add their nanotechnology products into the inventory, but submitting relevant data such as nanoparticle function, properties, potential exposure pathways, toxicity, and lifecycle assessment is optional. Failure to provide any information does not inhibit the products from being included in the list (Wilson Center, 2006). Nonetheless, manufacturers are obliged to certify that their products are readily purchased by consumers, are identified as nano-based or other sources, and that nano claims for the product appear reasonable (Maynard & Michelson, 2006). As of January 2020, there are 119 products in the food and beverages category, including 16 cooking utensils, seven food products, 20 storage or packaging materials, and 70 food supplement products (The Project on Emerging Nanotechnologies, 2020).

Another consumer product inventory in the US was established in 2015 and

maintained by the Center for Food Safety, a national non-profitable public interest, and environmental advocacy organisation that aims to protect human health and the environment by curbing the use of harmful technology in food production. Nanotechnology is among the food-producing technologies that have attracted the centre's attention. The centre has concerns over the integration of nanotechnology in the agriculture and food industry as it may lead to various safety and health issues. The product inventory for nanofood is accessible through its official website aimed at alerting consumers on the widespread of nanotechnology, filling the gap of information, and improving transparency in the food supply programme because the novel risks of nanotechnology remain largely unknown (Center for Food Safety, 2018). The inventory also complements the Food and Drug Administration (FDA) in reviewing products with unapproved nanomaterials that should not be on the market (Center for Food Safety, 2018).

The inventory listed nanotechnology products from the agriculture and food industry, namely food, beverages, food supplement, food packaging, cookware, nanofiltration, and fertiliser that are positively tested with nanomaterials, or claimed to contain nanomaterials. As of January 2020, there are 580 products listed and manufactured from all over the world available in the market throughout the United States (Center for Food Safety, n.d.). However, it is uncertain how frequent the inventory is updated.

In the European Union, the Danish Consumer Council and the Technical University of Denmark's Department of Environmental Engineering created The Nanodatabase in 2012. It was formed to address the issue of lack of information about nanotechnology products in the market and to help consumers identify such products in either physical stores or online markets (Hansen et al., 2016). The Nanodatabase is a publicly available database. In addition to containing a basic description of the listed product, it also includes information on product safety evaluation according to the NanoRiskCat (NRC). The NRC framework is a screening tool to identify, categorise, and rank the exposures and effects of nanomaterials used in consumer products developed by the Technical University of Denmark (Hansen et al., 2013). Indirectly, Nanodatabase also provides consumers with information on potential safety and health risks of nanotechnology products available in the European market. The database lists consumer products that are claimed to contain ENMs in the European market and is updated daily (Hansen et al., 2016). As of January 2020, there are 3120 products listed in the database and from this figure, 128 products are in the food and beverage category, and 165 products with oral exposure (The Nanodatabase, n.d.).

In addition to The Nanodatabse, two European consumer organisations, the European Consumers Organisation and the European Consumer Voice in Standardisation have documented an offline database in the form of a Microsoft Excel spreadsheet, with a list of products claimed to contain nanomaterials or associated with nanotechnology available in Europe (Vance et al., 2015). The spreadsheet was created in 2010 as a result of concerns over the safety and health risks of nanomaterials, as well as the increasing numbers of products with nanotechnology available in the European market, which have never been subjected to safety assessment. The products in the spreadsheet represent the most used by consumers, such as cosmetics, baby bottles, and vacuum cleaners (ANEC & BEUC, 2010). The list was last updated in 2013 (Hansen et al., 2016), and the volume of updated products listed is uncertain as the spreadsheet is not made available online.

All inventories described above are territorial. In 2010, the global Nanotechnology Product Database was created and run by StatNano, an openaccess online platform established to release the latest information and statistic on the nanotechnology industry and monitor the global development and policies of nanotechnology (NBIC, 2016; StatNano, n.d.). Unlike the inventories in the United States and European Union, the global Nanotechnology Product Database provides reliable information as the accuracy of information supplied by manufacturers is verified according to the standard definition of nanotechnology provided by the International Standard Organisation (ISO), i.e., ISO/TS 80004-1:2015 Nanotechnologies Vocabulary Part 1: Core Terms, and ISO/TS 18110:2015 Nanotechnologies -Vocabularies for Science, Technology and Innovation Indicators. All products listed in

the Nanotechnology Product Database must have received certification from relevant nanotechnology certification programmes. As of January 2020, there are 8964 products from 61 countries with the market all over the world, confirming that the inventory is indeed global in nature (Nanotechnology Products Database, n.d.).

In Malaysia, although there is no specific nanotechnology product inventory, Malaysia Halal Directory, which is a general halal certification is likely to be applicable to nanofood, particularly if it is related to food products consumed by Muslims. The directory is maintained by the Jabatan Kemajuan Islam Malaysia (JAKIM) with information on the names of companies, products, and slaughterhouses that have received halal certification from the Department. Nanofood is also subjected to halal monitoring and enforcement system, where the halal legal framework covers all consumer goods regardless of the materials used or size of the particle (Awang & Zakaria, 2019). Halal certification means that the sources, ingredients, and process must be halal (JAKIM, 2014). As of January 2020, there are 25 types of food and beverages with the word 'nano' listed under the directory (JAKIM, n.d.). However, it is uncertain whether the 'nano' products listed in the directory contain ENMs, or whether the term nano is used for promotional purposes such as that of 'Cake Nano' and 'Nano Candy.' In other words, there is one inherent limitation of the halal directory, i.e. it is a halal certification but not a nanotechnology certification. Besides, not all nanofood is halal certified.

Voluntary Certification System

In addition to nanotechnology product inventory, some countries have also adopted a nanotechnology voluntary certification system, i.e., Russia, United Kingdom, Iran, Thailand, Taiwan, and Malaysia (Lee, 2018). The aims of the voluntary certification system include promoting commercialisation of nanotechnology products and increasing consumer's confidence. Nonetheless, it does not concern about the safety and health risks of nanotechnology products. Table 1 provides a comparison of the voluntary certification systems in Taiwan, Iran, Russia, and Malaysia.

In Malaysia, NanoVerified was established in May 2015. It is run by NanoVerify Sdn. Bhd. (NanoVerify), a company limited by guarantee under NanoMalaysia Limited, an agency of the Ministry of Science, Technology, and Innovation (MOSTI). The Malaysian government empowers NanoVerify to monitor and facilitate nanotechnology development and commercialisation in the country. The focus of NanoVerify is to increase the commercial value of local nanotechnology products and create a greater market acceptance for both domestic and foreign markets (NanoVerify, n.d.). As of January 2020, 90 products have received certification from NanoVerify, which is inclusive of products with an expired certificate given that the certificate is valid for only two years. From a list of 21 products with an active certificate, only one product is registered under the food category, and two agricultural products are registered as nano fertiliser (NanoVerify, 2020). As a general certification authority, the certified products under NanoVerify also comprise of raw materials and final products.

NanoVerify certificate is granted to products that contain nanomaterials in a range of 1 nm to 100nm in size. Manufacturers intending to certify theirs as nanotechnology products may voluntarily submit the application form to NanoVerify Sdn. Bhd., either online or manually. The process is conducted based on standard operating procedures (SOP) to ensure the quality of the output and uniformity of testing procedures. The validation process involves two stages; product line inspection and laboratory testing. The product line inspection requires a visit to the production plant to identify the stage nanotechnology is applied to the product. Subsequently, the finished product must be submitted to NanoVerify lab partners, certified under ISO/IEC 17025 Testing and Calibration Laboratories, for detection analysis. Once it is verified and approved, the product can be labelled with the NanoVerified mark.

The strength of nanotechnology certification system rests on the validation and testing process. It certifies that a product is made using nanotechnology or contains ENMs, rather than the manufacturer's claim alone. NanoVerify website also provides full and accurate additional information relating to product description, advantage(s) of using nanomaterials, name of the manufacturer, validity period, and images of the products. This information can be used by the regulatory authority to identify the need

An overview of the purpose, validity period and number of products certified as of January 2020 of the voluntary certification programmes in Taiwan, Iran, Russia and Malaysia

Countries	Est.	Certification agency	Purposes	Validity period	No. of product certified as of January 2020	Citation
Taiwan (NanoMark)	2003	Taiwan Nanotechnology Industry Development Association (TANIDA)	 i) to protect consumer rights and interests, ii) to encourage sustainable development for outstanding companies, and iii) to enhance the international competitiveness of nanotechnology industry 	3 years	34 products (no product from agriculture and food industry)	1 2
Iran (NanoScale)	2007	NanoProduct Certification Unit of Iran Nanotechnology Initiative Council	 i) to enhance consumer trust and confidence, and ii) to create nanoproduct market transparency. 	l year	365 products (1 product from agriculture and 21 products from food industry)	м
Iran (NanoHealth)	2007	Food and Drug Administration of Iran	i) to support the commercialization of Nano-Health products	l years	33 products (2 products from food industry)	2 4
Russia (Nanocertifica)	2011	Rusnano Group	 i) to confirm the applicability of products and technologies to the nanotechnology domain ii) to assess products for compliance with specified characteristics and safety parameters iii) to guarantee the adequate quality of nanoproducts at each manufacturing and application stage, and iv) to confirm the compliance of nano industry enterprises and facilities with international requirements for the safe production and application of nano industry products. 	Uncertain	132 products (1 product from agriculture and 4 products from food industry)	٠
Malaysia (Nano Verified)	2015	2015 Nano Verify Sdn. Bhd.	 i) to control the false claim of nanotechnology products in the market ii) to gain public trust in nanotechnology and its benefits iii) to promote local high technology products in the market, and iv) to certify the presence and quality of nanomaterial-based products. 	2 years	90 products (2 products from agriculture and 1 product from food industry)	7

Source: Author own interpretation

¹ Taiwan Nanotechnology Industry Development Association (n.d.a)

² Taiwan Nanotechnology Industry Development Association (n.d.b)

³ Iran Nanotechnology Innovation Council (n.d.)

⁴ Iran Nanohealth Committee Food and Drug Organanisation (n.d.)

⁵ Nanotechnology Product Database (n.d.a) 6 Nanotechnology Product Database (n.d.b) 7 NanoVerify (2020)

for regulatory intervention or sufficiency of the existing legislation to face nano risks. The practice of mutual mark recognition between NanoVerify and Taiwan NanoMark is laudable as it expands the reach of the national certification programme beyond territorial borders (NanoVerify, 2019).

Voluntary Labelling

Voluntary labelling of nanofood is another form of the institutional approach. In 2017, the ISO published a technical specification on "Nanotechnologies — Guidance on Voluntary Labelling for Consumer Products Containing Manufactured Nano-Objects ISO/TS 13830." The technical specification provides a framework for a harmonised approach for voluntary labelling provision for consumer products containing manufactured nano-objects or ENMs that may or may not exhibit or impart nanoscale phenomena. It does not prejudge the positive or negative effects of consumer products containing nanomaterials (ISO, 2017). Nonetheless, the technical standard has not attained the status of international standard. thus rendering manufacturers the liberty to decide on disclosing that their products contain ENMs or not.

FINDINGS AND DISCUSSIONS

The finding established that NanoVerify Sdn. Bhd. is the provider for voluntary certification in Malaysia, but with limitations that hinder full disclosure of information. Disclosure of information under the NanoVerify certification system is voluntary and is limited to locally

manufactured nanofood currently available in the Malaysian market. For imported products, reference must be made to foreign nanotechnology product inventories and certification systems such as the global Nanotechnology Product Database.

According to Berube et al. (2010), inventory such as the Consumer Product Inventory does not have sufficient validity to justify the pervasiveness of nanotechnology in the consumer market because the products listed are not scientifically tested or verified as nanotechnology products. It is also based on the information that is readily available on the internet. However, reliance on internet-based information may also lead to an overestimation of nanofood in the market, particularly when manufacturers use the term 'nano' for promotional purposes, which in reality, the product is unrelated to nanotechnology. In addition, some inventories are not regularly updated, resulting in products listed to be out of the market such as that of the offline Microsoft Excel spreadsheets which contain information on the nanotechnology products in the European market between 2010-2012 (Vance et al., 2015). Ideally, any nanotechnology inventory programme must be regularly updated because the volume of products containing nanomaterials is robust, while some products are probably out of the market.

Another limitation is related to the territorial nature of the inventories such as those in the US and EU. These inventories are excluded products manufactured outside of the US and EU (Dekkers et

al., 2007). It renders these inventories as insignificant to consumers in other parts of the world including Malaysia. Table 2 compares the strengths and limitations of five nanotechnology product inventories.

In addition, the voluntary nature of the institutional approaches may cause underestimation of the actual volume of nanofood in the market. Some industries may refuse to admit the use of nanotechnology in their products (Katharine, 2013), resulting in no disclosure. The myth that food products with nano label may lead to a negative perception among consumers, as a result of oral exposure and ingestion of nanomaterials in food matrices associated with safety and health risks, is still prevalent (Grieger et al., 2016). Manufacturers are cautious about attaching a label that can jeopardise the commercial status of their products. Furthermore, the certification programme centres on increasing the product's commercial value and consumer confidence toward the certified products, and there is less concern about risks.

Thus, the institutional approach for the disclosure of nanofood must be improved. This can be achieved by mandating all manufactures to make full disclosure of information on any potential risks associated with ENMs in food matrices. Scientific studies on the safety and health risks related to nanofood have been well documented. The approach taken by the Nanodatabase inventory in the European Union provides a nano risk category with a potential hazard evaluation for the listed products that can be used as a guideline by other inventories.

Information provided by the NanoVerify certification system should ideally include risks of potential hazard evaluation like the Nanodatabase in the EU.

In addition, the procedure for detection and verification of ENMs must also be adopted by all institutional approaches. This will ensure the provision of full and accurate information. Reliance on manufacturers' claims or online information is definitely inadequate. Manufacturers must be required to submit documentation verifying that their products are derived from nanotechnology or contain ENMs. The approach adopted by the global Nanotechnology Product Database under StatNano, i.e., analysing and verifying the accuracy of information provided by manufacturers or available online prior to the listing, should be upheld. The detection and verification procedures are crucial to avoid the offence of mislabelling or false labelling or false description of the food product. Moreover, the functionality of all inventories depends largely on their ability to provide current and updated information. The Nanodatabase is a good example of such inventory as the products listed in Nanodatabase are updated daily. The official website of the certification institutions must reveal a report on the latest number of certified products and exclude the ones with an expired certificate.

Malaysia can learn from the EU and the US by introducing a nanotechnology product inventory to overcome the limitations of NanoVerify voluntary certification system that relies solely on the willingness of manufacturers to certify their products.

An overview of the purpose, strengths, limitations and number of products listed as of January 2020 of different consumer product inventories

Inventory	Est.	Pur	Purposes	Strengths	Lin	Limitations	No. of products listed as of January 2020
Consumer Product Inventory (United States)	2005	(i	to provide consumers, policymaker and others with the outlook of nanotechnology products available in the market	i) Publicly available online ii) Updated yearly iii) Reporting by manufacturers or users	(ii) (iii)	Products listed not subjected to verification procedure (manufacturer's claim) Exclude information on risks to safety and health Only limited to product available in the United State market.	119 products (16 cooking utensils, 7 food products, 20 storage or packaging materials and 70 food supplement products)
Center for Food Safety (United States)	2015	(E) (E) (E)	to alert consumers on the widespread of nanotechnology, to fill the gap of information, and to improve transparency in food supply system	Publicly available online Include information on risks to safety and health	(i) (ii)	Products listed not subjected to verification procedure (manufacturer's claim) Only limited to product available in the United State market.	580 products
The Nanodatabase (European Union)	2012	ii (ii	to address the issue on lack of information about nanotechnology products on the market and to help-consumers to identify either in stores or via online market	i) Publicly available online ii) Include information on risks to safety and health iii) Updated daily	(i)	Products listed not subjected to verification procedure (manufacturer's claim) Only limited to product available in the European market.	3120 products (128 products are food and beverage, and 165 products with oral exposure)
The European Consumers Organization and the European Consumer Voice in Standardization (European Union)	2010	(i	To inform consumers on the increasing numbers of products with nanotechnology claim available in the European market due to safety and health concern	ii) Publicly available	C (III)	Products listed not subjected to verification procedure (manufacturer's claim) Offline Only limited to product available in the European market.	Discontinued in 2013
Nanotechnology Product Database (StatNano)	2016	. <u>ci</u>	to provide the user with the inventory of consumer and commercial products that have improved features through nanotechnology or used nanomaterials	i) Publicly available online ii) Products from 61 countries available worldwide	<u>(i</u>	Exclude information on risks to safety 8964 products and health	8964 products

Source: Adapted from Hansen et al. (2016)

subjected to verification

procedure

worldwide iii) Products listed

To do this, a new agency, which is either a consumer association or a research institute, may be tasked to set up an online platform for the product inventory. The online platform may also be accessed through mobile applications with information given in both the national and English languages so as to ensure that it is widely and easily accessible. The inventory must endeavour to make full disclosure of potential risks by adopting a verification and authentication procedure of ENMs of all nanofood currently available in the Malaysian market using the information.

CONCLUSION

Nanotechnology has significantly contributed to the agricultural and food industry which increases consumers' consumption of nanofood. Some might not even aware that they are consumers of nanofood. Consequently, it will expose consumers to potential safety and health risks. The information disclosure of nanofood is done through an institutional approach, i.e. using nanotechnology product inventory, voluntary certification programme, or voluntary labelling. Unfortunately, these approaches pose some limitations which prevent full and accurate disclosure of information, whereby such disclosure is vital for the product of emerging technologies with safety and health risks such as nanofood. When information is incomplete. it would be difficult for consumers or regulatory authorities to take a precautionary measure to prevent or minimise the risks. To ensure full and accurate disclosure of information, these institutional approaches

must provide information on potential risk exposure, verification of the presence of nanomaterials, and information must be updated from time to time. Ensuring this provision can significantly contribute to improvement in the transparency of the nanofood information system.

ACKNOWLEDGEMENT

This research is financially supported by the Ministry of Education under the research grant no. FRGS/1/2019/SSI10/UITM/03/1.

REFERENCES

ANEC & BEUC. (2009). Nanotechnologies - Small is beautiful but is it safe? [Brochure]. http://www.anec.eu/attachments/Nanotechnology%20Small%20is%20 beautiful%20but%20is%20it%20safe%20%C3%A2%E2%82%AC%E2%80%9C%20ANEC%20&%20BEUC%20leaflet%20on%20 nanotechnology%20and%20nanomaterials.pdf

ANEC & BEUC. (2010). How much nano do we buy? ANEC. http://www.anec.eu/attachments/ANEC%20BEUC%20leaflet%20on%20nano%20inventory_How%20much%20nano%20do%20we%20buy.pdf

Awang, M. N., & Zakaria, Z. (2019). Nanotechnology within halal legal framework: Case study of nano-based food products. *Journal of Fatwa Management and Research*, 17(1), 29-43. https://doi.org/10.33102/jfatwa.vol17no1.3

Beck, U. (1992). Risk society: Towards a new modernity. Sage Publication.

Berube, D. M., Searson, E. M., Morton, T. S., & Cummings, C. L. (2010). Project on emerging nanotechnologies-consumer product inventory evaluated. *Nanotechnology Law and Business*, 7(3), 152-763.

- Brown, P. D., & Patel, P. R. (2015). Nanomedicine: A pharma perspective. *Wiley Interdisciplinary Reviews: Nanomedicine and Nanobiotechnology*, 7(2), 125-130. https://doi.org/10.1002/wnan.1288
- Center for Food Safety. (n.d.). Nanotechnology in food interactive tool: Nanotechnology in food.

 Retrieved January 3, 2020, from https://www.centerforfoodsafety.org/nanotechnology-in-food
- Center for Food Safety. (2015, October 5). New database shows nanotechnology in common food products. https://www.centerforfoodsafety. org/press-releases/4075/new-database-shows-nanotechnology-in-common-food-products
- Center for Food Safety. (2018, March 6). Over 40 new products added to nanotechnology database. https://www.centerforfoodsafety.org/press-releases/5284/over-40-new-products-added-to-nanotechnology-database
- Codex Alimentarius. (n.d.). *Codex texts*. FAO. Retrieved March 25, 2019, from http://www.fao. org/fao-who-codexalimentarius/codex-texts/en/
- Consumer Protection Act 1999 (Act 599) (Mys.)
- Cruz-Romero, M. C., Azlin-Hasim, S., Morris, M. A., & Kerry, J. P. (2019). Application of nanotechnology in antimicrobial active food packaging. In G. Molina (Ed.), Food applications of nanotechnology (pp. 339-362). CRC Press.
- Dekkers, S., De Lodder, L. C. H. P., de Winter, R., Sips, A. J. A. M., & de Jong, W. H. (2007). Inventory of consumer products containing nanomaterials: RIVM/SIR advisory report 11124. RIVM. https://www.rivm.nl/bibliotheek/digitaaldepot/inventoryconsumerproducts.pdf
- de Oliveira, J. L., Campos, E. V. R., & Fraceto, L. F. (2018). Recent developments and challenges for nanoscale formulation of botanical pesticides for use in sustainable agriculture. *Journal of Agricultural and Food Chemistry*, 66(34), 8898-8913. https://doi.org/10.1021/acs.jafc.8b03183

- Food Act 1983 (Act 281) (Mys.)
- Food Regulations 1985 (Mys.)
- Food Safety and Quality Division. (n.d.). *National Codex committee*. Food Safety and Quality Division. Retrieved September 5, 2019, from http://fsq.moh.gov.my/v6/xs/page.php?id=245
- Gallocchio, F., Belluco, S., & Ricci, A. (2015).
 Nanotechnology and food: Brief overview of the current scenario. *Procedia Food Science*, 5, 85-88. https://doi.org/10.1016/j.profoo.2015.09.022
- Golan, E., Kuchler, F., Mitchell, L., Greene, C., & Jessup, A. (2001). Economics of food labeling. *Journal of Consumer Policy*, 24(2), 117-184. https://doi.org/10.1023/a:1012272504846
- Grieger, K. D., Hansen, S. F., Mortensen, N. P., Cates, S., & Kowalcyk, B. (2016). International implications of labeling foods containing engineered nanomaterials. *Journal of Food Protection*, 79(5), 830-842. https://doi. org/10.4315/0362-028x.jfp-15-335
- Hagen, M., & Drew, R. (2016). Nanotechnologies in food packaging: An exploratory appraisal of safety and regulation. ToxConsult Pty Ltd. https://www.foodstandards.gov.au/publications/ Documents/Nanotech%20in%20food%20 packaging.pdf
- Hansen, S. F., Heggelund, L. R., Besora, P. R., Mackevica, A., Boldrin, A., & Baun, A. (2016). Nanoproducts—what is actually available to European consumers? *Environmental Science:* Nano, 3(1), 169-180. https://doi.org/10.1039/ c5en00182j
- Hansen, S. F., Jensen, K. A., & Baun, A. (2013). NanoRiskCat: A conceptual tool for categorization and communication of exposure potentials and hazards of nanomaterials in consumer products. *Journal of Nanoparticle Research*, 16(1), 2159. https://doi.org/10.1007/ s11051-013-2195-z

- He, X., Deng, H., & Hwang, H. M. (2019). The current application of nanotechnology in food and agriculture. *Journal of Food and Drug Analysis*, 27(1), 1-21. https://doi.org/10.1016/j. jfda.2018.12.002
- He, X., & Hwang, H. M. (2016). Nanotechnology in food science: Functionality, applicability, and safety assessment. *Journal of Food and Drug Analysis*, 24(4), 671-681. https://doi. org/10.1016/j.jfda.2016.06.001
- Helmut Kaiser Consultancy. (n.d.). *Nano food 2040*. Retrieved October 28, 2019, from http://www.hkc22.com/nanofood2040.html
- Hill, E. K., & Li, J. (2017). Current and future prospects for nanotechnology in animal production. *Journal of Animal Science and Biotechnology,* 8(1), 1-13. https://doi.org/10.1186/s40104-017-0157-5
- International Standard Organisation. (2017).

 Nanotechnologies Guidance on voluntary labelling for consumer products containing manufactured nano-objects ISO/TS 13830. https://www.iso.org/standard/54315.html
- Iran Nanohealth Committee Food and Drug Organanisation. (n.d.). Iran nanohealth committee. Retrieved November 21, 2019, from http://nanohealth.ir/pages/static_page.php?id=9&site=1&lang=2
- Iran Nanotechnology Innovation Council. (n.d.).
 About us. Retrieved November 21, 2019, from https://en.nanoproduct.ir/
- Jabatan Kemajuan Islam Malaysia. (n,d.). *Halal Malaysia directory*. Halal Malaysia Official Portal Directory. Retrieved January 3, 2020, from http://www.halal.gov.my/v4/index.php?data=ZG lyZWN0b3J5L2luZGV4X2RpcmVjdG9yeTs7O zs=&negeri=&category=PR&cari=nano
- Jabatan Kemajuan Islam Malaysia. (2014). *Manual procedure for Malaysia Halal certification (Third Revision) 2014*. http://www.halal.gov.my/v4/images/pdf/MPPHM2014BI.pdf

- Katharine, S. (2013, April 26). What you need to know about nano-food. The Guardian. https://www.theguardian.com/what-is-nano/what-you-need-know-about-nano-food
- Kim, D. Y., Kadam, A., Shinde, S., Saratale, R. G., Patra, J., & Ghodake, G. (2018). Recent developments in nanotechnology transforming the agricultural sector: A transition replete with opportunities. *Journal of the Science of Food and Agriculture*, 98(3), 849-864. https://doi.org/10.1002/jsfa.8749
- King, T., Osmond-McLeod, M. J., & Duffy, L. L. (2018). Nanotechnology in the food sector and potential applications for the poultry industry. *Trends in Food Science & Technology*, 72, 62-73. https://doi.org/10.1016/j.tifs.2017.11.015
- Kumar, A., Gupta, K., Dixit, S., Mishra, K., & Srivastava, S. (2019). A review on positive and negative impacts of nanotechnology in agriculture. *International Journal of Environmental Science and Technology*, 16(4), 2175-2184. https://doi.org/10.1007/s13762-018-2119-7
- Lee, J. (2018, June 25). Pushing nanotechnology products to the fore. *The Star Online*. https://www.thestar.com.my/business/smebiz/2018/06/25/pushing-nanotechnology-products-to-the-fore/
- Li, D. (2014). Labeling of genetically modified organisms: Law, science, policy and practice (Unpublished Doctoral thesis, University of Alberta). https://era.library.ualberta.ca/items/b3ee79ec-0611-42c6-abea-9c7e081f9211/view/7f96b3c7-d5f0-4834-b242-e6974d04f542/Du_Li_201408_PhD.pdf
- Maynard, A., & Michelson, E. (2006). The nanotechnology consumer products inventory.Woodrow Wilson International Center for Scholars.
- Morais, L. d. O., Macedo, E. V., Granjeiro, J. M., & Delgado, I. F. (2019). Critical evaluation of migration studies of silver nanoparticles presents

- in food packaging: A systematic review. *Critical Reviews in Food Science and Nutrition, 60*(18), 1-20. https://doi.org/10.1080/10408398.2019. 1676699
- Nanotechnology Product Database. (n.d.a). Nanohealth (IFDA). Retrieved January 7, 2020, from https://product.statnano.com/certification/ nanohealth-(ifda)
- Nanotechnology Product Database. (n.d.b). NanoCertifica. Retrieved January 7, 2020, from https://product.statnano.com/certification/ nanocertifica
- NanoVerify. (n.d.). *About us*. Retrieved September 27, 2019, from https://www.nanoverify.com.my/index.php/about-us/who-we-are
- NanoVerify. (2019, March 24). Is your nano product certified to contain real nano-elements? Check again. https://www.nanoverify.com.my/index. php/market-research-reports/articles/31-is-yournano-product-certified-to-contain-real-nano-elements-check-again
- NanoVerify. (2020). *NanoVerified products*. Retrieved January 7, 2020, from https://www.nanoverify.com.my/index.php/nanoverified-products
- Nanotechnology Products Database. (n.d.). *Introduction*. StatNano. Retrieved September 18, 2019, from https://product.statnano.com/
- NBIC. (2016, March 3). StatNano sets up nanotechnology products database (NPD). https://statnano.com/news/53453/StatNano-Sets-Up-Nanotechnology-Products-Database-(NPD)
- Pathakoti, K., Manubolu, M., & Hwang, H.-M. (2017). Nanostructures: Current uses and future applications in food science. *Journal of Food* and Drug Analysis, 25(2), 245-253. https://doi. org/10.1016/j.jfda.2017.02.004
- Potter, P. M., Navratilova, J., Rogers, K. R., & Al-Abed, S. R. (2019). Transformation of silver nanoparticle consumer products during simulated usage and disposal. *Environmental Science*:

- Nano, 6(2), 592-598. https://doi.org/10.1039/ C8EN00958A
- Pradhan, N., Singh, S., Ojha, N., Shrivastava, A., Barla, A., Rai, V., & Bose, S. (2015). Facets of nanotechnology as seen in food processing, packaging, and preservation industry. *BioMed Research International*, 2015[Special Issue], 1-17. https://doi.org/10.1155/2015/365672
- Qadri, O. S., Younis, K., Srivastava, G., & Srivastava, A. K. (2018). Nanotechnology in packaging of fresh fruits and vegetables. In K. Barman (Ed.), *Emerging postharvest treatment of fruits and* vegetables (pp. 147-166). Apple Academic Press.
- Rompelberg, C., Heringa, M. B., van Donkersgoed, G., Drijvers, J., Roos, A., Westenbrink, S., Peters, R., van Bemmel, G., Brand, W., & Oomen, A. G. (2016). Oral intake of added titanium dioxide and its nanofraction from food products, food supplements and toothpaste by the Dutch population. *Nanotoxicology*, 10(10), 1404-1414. https://doi.org/10.1080/17435390.2016.1222457
- Sodano, V. (2017). Politics of nanotechnologies in food and agriculture. In S. Ranjan (Ed.), *Nanoscience in food and agriculture 5* (pp. 21-40). Springer, Cham. https://doi.org/10.1007/978-3-319-58496-6_2
- Sohal, I. S., Cho, Y. K., O'Fallon, K. S., Gaines, P., Demokritou, P., & Bello, D. (2018). Dissolution behavior and biodurability of ingested engineered nanomaterials in the gastrointestinal environment. *ACS Nano*, 12(8), 8115-8128. https://doi.org/10.1021/acsnano.8b02978
- StatNano. (n.d.). *About us*. Retrieved September 18, 2019, from https://statnano.com/aboutus
- Taiwan Nanotechnology Industry Development Association. (n.d.a). *Origin of NanoMark*. Retrieved November 21, 2019, from http://www.tanida.org.tw/nanomark_e. php?nm=markIntroduction e
- Taiwan Nanotechnology Industry Development Association. (n.d.b). *NanoMark products*.

- Retrieved January 3, 2020, from http://www.tanida.org.tw/nanomark_e.php?mn=certified_e &nm=markProduct e
- The Nanodatabase. (n.d.). Food and beverage.

 Retrieved January 3, 2020, from http://nanodb.

 dk/en/search-database/#pageno=&keyword
 =&kst=0&fn.lp_c=2951&fn.lp_c=2953&fn.

 lp_pep=3488&fn.d_cd_f=&fn.d_cd_t=
- The Project on Emerging Nanotechnologies. (n.d.). Mission. Wilson Center. Retrieved November 5, 2019, from https://www.wilsoncenter. org/publication-series/project-emerging-nanotechnologies
- The Project on Emerging Nanotechnologies. (2020). Consumer inventory product. The Nanodatabase Retrieved January 3, 2020, from https://nanodb.dk/en/search-database/?pageno=&keyword=&kst=0&fn.lp coo=3559&fn.d cd f=&fn.d cd t=
- Thiruvengadam, M., Rajakumar, G., & Chung, I. M. (2018). Nanotechnology: Current uses and future applications in the food industry. *Biotech*, 8(1), 74-86. https://doi.org/10.1007/s13205-018-1104-7

- Throne-Holst, H. (2012). Consumers, nanotechnology and responsibilities operationalizing the risk society (Unpublished Doctoral thesis). University of Twente.
- Trade Descriptions Act 2011 (Act 730) (Mys.)
- Vance, M. E., Kuiken, T., Vejerano, E. P., McGinnis, S. P., Hochella Jr, M. F., Rejeski, D., & Hull, M. S. (2015). Nanotechnology in the real world: Redeveloping the nanomaterial consumer products inventory. *Beilstein Journal of Nanotechnology*, 6(1), 1769-1780. https://doi. org/10.1515/nano.bjneah.6.181
- Wang, C. H., & Chien, P. Y. (2013). Exploring the nanotechnology alliances of nanotechnology firms: The roles of network position and technological uncertainty. *Science, Technology and Society, 18*(2), 139-164. https://doi.org/10.1177/0971721813489430
- Wilson Center. (2006, March 10). New nanotechnology consumer product inventory. https://www.wilsoncenter.org/article/new-nanotechnology-consumer-products-inventory



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Standard Operating Procedure (SOP) for Arrest and Detention of Autists by Royal Malaysia Police (PDRM)

Zuliza Mohd Kusrin¹, Wan Nur A'ina Mardhiah Wan Rushdan^{1*}, and Mohd Al Adib Samuri^{1,2}

¹Research Centre for Sharia, Faculty of Islamic Studies, Universiti Kebangsaan Malaysia, 43600 Bangi, Selangor, Malaysia

ABSTRACT

An autist refers to a person who suffers from Autism Spectrum Disorder (ASD), a complex disorder of mental development, causing the person to be adversely affected, especially in social and behavioral aspects of life. Prior to the introduction of a specific Standard Operating Procedure (SOP) for the arrest and detention of autists, the Royal Malaysia Police applied the same standard operating procedure in the Criminal Procedure Code for typical individuals, to autists suspected of criminal offences. However, the issue arising is the legal rights of people with disabilities whereby this SOP is seen as inappropriate and unsuitable to be applied to cases involving autists. As a result, the authorities and parties involved in handling autists came up with the idea of the need for a specific SOP applicable for their arrest and detention. Finally, in the year 2019, the Royal Malaysia Police, in cooperation with NGOs directly involved with autist, successfully launched a specific SOP for autists. The objectives of this article are to study the significance of the specific SOP for autists, and analyse and compare it with the usual SOP for typical people. The methodology of this research is qualitative. Collection of research data used document analysis. Data obtained was thematically and comparatively analysed. Research results

ARTICLE INFO

Article history:

Received: 1 September 2020 Accepted: 26 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.10

E-mail addresses:
zuli@ukm.edu.my (Zuliza Mohd Kusrin)
wanaina12@gmail.com (Wan Nur A'ina Mardhiah Wan Rushdan)
al_adib@ukm.edu.my (Mohd Al Adib Samuri)
*Corresponding author

find that there are differences between the specific SOP for autists and standard SOP for typical suspects. The differences lie in the legal rights of the autists in Malaysia, namely, in the aspects of arrest and detention of autistic suspects.

Keywords: Arrest, autism spectrum disorder, criminal, detention, Malaysia, police, standard operating procedure

²Institute of Islam Hadhari, Universiti Kebangsaan Malaysia, 43600 Bangi, Selangor, Malaysia

INTRODUCTION

Autism or Autism Spectrum Disorder is included in the group of developmental disorders that influence a person's abilities, especially the ability to communicate and socially interact (Archer & Hurley, 2013). It extensively affects a person's psychological functions and behaviour. This situation causes some autists to have the tendency to commit legal offences due to their autistic nature and behaviour (Lerner et al., 2012). The distinct behaviour of autists such as difficulty in adapting to a new environment or place, inability to bear excessive mental stress and emotions, or to understand others' emotions, and a deep curiosity about something may lead them to breach laws and violate criminal laws (Kusrin et al., 2019). Their condition renders them not culpable for offences committed, as they are incapable of understanding the implications of their actions toward others (Barry-Walsh & Mullen, 2004).

According to Cashin and Newman (2009), autists usually face difficulty to accept and adapt themselves to the detention system, namely a situation governed by laws and regulations (Cashin & Newman, 2009). In fact, there are constraints to effectively interview autistic suspects in order to obtain accurate information as they are unable to communicate adequately with investigation officers during interrogation (Maras et al., 2014). It is important and critical for law enforcement bodies to recognize the need to know how to interact with these suspects, especially in criminal cases (Modell & Davis, 2016). Some among the police have neither

the exposure to suitable training or skills to effectively handle this group. (Archer & Hurley, 2013; Chown, 2010; Mayes, 2003). Thus, the problem of interaction with autists at some point constitutes a big challenge to law enforcement bodies (Modell & Davis, 2016).

As a result, there is a need for a specific Standard Operating Procedure (SOP) for the arrest and detention of autistic suspects in criminal cases. This awareness of relevant authorities to create a specific SOP for autists, was first introduced in other countries. For example, in Wisconsin, United States, police must abide by guidelines provided, namely to use specific verbal and non-verbal strategies when interacting with autists (Lashley, 2009). The guidelines entitled 'Autism Spectrum Disorders: A Special Needs Subject Response Guide for Police Officers' have been created for use throughout the police department in Wisconsin that can be applied to autistic individuals who are in crisis situations with enforcement.

While in 2019, Illinois took the initiative to form an SOP for police enforcement officers to handle autism entitled 'Law Enforcement Guide to Interacting with people with autism' (Illinois Attorney General, 2019). This guideline is provided for police officers to ensure that they are better prepared to deal with cases involving autistic individuals. While this guideline is a simple list of easy-to-understand instructions for enforcers to comply with, however, there are no details about the processes at each stage causing the enforcement and

knowledge of the enforcement of this to be seen as limited and inadequate.

In fact, in East Asia, the Equal Opportunities Commission, a statutory body responsible for implementing an ordinance involving disabled people and discrimination in Hong Kong, drafted and provided a guideline named 'Autism: A guide for law enforcement officers communicating with persons with autism spectrum disorders', specifically for law enforcement officers to facilitate their workflow in managing cases involving autists. This guideline outlines the detailed steps in each procedure, including the procedure during the arrest, detention, and interview process carried out by describing the matters to be considered before and during the procedure.

Malaysia is a third-world Asian country that provides guidelines for the investigation of cases involving autists. This study found that specific SOPs for autist in Malaysia is completed and detailed rather than other countries. This is because, the specific SOPs stated all-important enforcement procedures involving arrest, detention, and even the interview process. In fact, the description of the procedure at each level is clear, not too concise, and easy to follow by police, compared to other countries such as Illinois. While in Wisconsin and Hong Kong, the scope of enforcement procedures stated is not comprehensive. These SOPs only focus in detail on work procedures involving communication such as interviews only, while the other procedures are not clearly stated.

SOP in the form of a handbook entitled 'Autisme: Garis Panduan Polis Diraja Malaysia' was formed, drafted, and launched in 2019, following the case of an autistic man, Ahmad Zigri who was arrested in connection with a case of sexual misconduct in Subang Jaya, Selangor on 11 September 2018 (Razali, 2019). The specific SOP introduced by the Royal Malaysia Police (PDRM) in the year 2019 provides new manual guidelines in handling the arrest and detention of autist suspects in criminal cases (Kamaruddin, 2019). According to Hannah Yeoh, former Deputy Minister of Development of Women, Family, and Society, the objective of this specific SOP is to ensure that individual rights of autists are protected in view of their need for a different treatment, appropriate to their level of autism spectrum disorder, in comparison to typical individuals, although they appear physically normal (Kasnoon, 2019). Hence, the purpose of this article is to study the need for a specific SOP for handling autist suspects by the police, and to analyse and compare it to the usual SOP for typical individuals, in the areas of handling arrest and detention, and to reach conclusions based on the differences.

LITERATURE REVIEW

Autism and Individual Criminal Behaviour

The existence of autism was first empirically studied in 1943 by Leo Kanner, an Austrian-American psychiatrist who was called the 'father of child psychiatry' in the United States (Volkmar & Klin, 2005). He has

conceptualized autism as a syndrome that causes confusion in social communication, for example frequently exhibiting repetitive behaviors and stereotypes that can be detected in early childhood (Kanner, 1943). This syndrome was included in the Diagnostic and Statistical Manual of Mental Disorder (DSM) that was first introduced by a professional and scientific organization in the United States, the American Psychiatric Association, in 1952 as an authoritative guidebook containing explanations, symptoms, and other criteria according to the classification of types of mental disorders certain. This manual also aims to provide standard criteria to help better understanding to determine the diagnosis level of autism (American Psychiatric Association, 2013).

There is little evidence that people with disabilities face various challenges in their lives and surrounding. According to Mahyut (2017), in Malaysia, the government has enacted a law for disabled persons but it seems insufficient, and reformation is needed as they are often being denied their right, for example, to get equal employment opportunity like a typical individual. They tend to be surrounded by prejudices and discrimination towards them because most of the people who may deal with them do not have a proper understanding of disabilities. Nisar (2017) explored the collorates of 30 disabled children as respondents from District Charsadda, Pakistan, and the effects on their families. The findings identified that they greatly affected their families as

poverty was the major impact to most of the respondents, which further created other problems. The same situation is also faced by the family with autistic's children that need special intervention to manage their behaviour.

Past research identified that autists show challenging behaviour that increases the risk of involvement in criminal behaviour. Difficulty to communicate, anxiety, intolerance for uncertainty, and the tendency for routine matters cause them to face difficulty in the criminal justice system (George et al., 2018). Helverschou et al. (2015) studied the relationship between the diagnosis of autism and criminal offence of 48 autists, the majority of whom suffered from Asperger's Syndrome. Research results find no clear evidence that links Autism Spectrum Disorder with criminal acts, but in most cases, autism characteristics such as abnormal understanding and obsession are perceived as related to motives for crimes committed.

This matter was acknowledged by Kumar et al. (2017), whose study showed that characteristics such as poor control over urges or impulse, a tendency toward obsession over their own desires, and failure to understand the implications of their behaviors, among others, were the main factors for committing criminal acts. This risk is shown to be partially due to the neuro-psychological developmental problem as well as the influence of autistic nature such as difficulty in social interaction and lack of empathy (Långström et al., 2009; Mouridsen, 2012; Murrie et al., 2002).

Further, according to Fitzpatrick et al. (2016), Autism Spectrum Disorder has a negative impact on individual conduct. For example, autists like to show aggressive and dangerous behaviour to others. Autistic aggression can lead to other criminal behaviour such as infringement or violation, physical or verbal, harmful to others. Berryessa (2016) described their actions as due to distinct behaviour or symptom of stereotyped behaviour, limited to or obsessive about something. Failure to understand the consequences of their actions causes some of the criminal acts committed to appear very dangerous and terrifying, but perhaps they fail to fully understand the seriousness of their crimes (Berryessa, 2016).

Woodbury-Smith et al. (2010) in their study examined the relevant possibility that autism characteristics such as circumscribed interest caused the autist's tendency to commit a crime or have 'violent interest'. As expected, in a comparison between 21 criminal offenders with autism syndrome and 23 people without a criminal history, the former group with a criminal history, have more tendency to commit a crime.

Rava et al. (2017) found that autists who showed external behaviour were more easily involved with the criminal justice system. This is acknowledged by J. Brown et al. (2016) who attributed negative behaviour and maladaptive autism such as aggressive conduct, obsessiveness, and lack of empathy as the driving factors for their involvement in the criminal justice system. The autistic disabled form the majority of criminal cases

compared to other developmentally disabled groups and the cases increase each year at the rate of 10-17 percent (J. Brown et al., 2016).

Autists in criminal cases are likely to be arrested in the criminal justice system. In the law enforcement practice in South Carolina, such cases are managed differently from cases involving typical individuals (Cheely et al., 2012). The reason is that handling autists' cases requires a high degree of knowledge and sharpness to recognize and identify autistic symptoms of individuals during the interaction, avoid the risk of misinterpreting misconduct and handle autistic offenders when they get out of control, throw tantrums, or experience meltdown (Chown, 2010).

A research was conducted based on a questionnaire distributed to law professionals in England and Wales, to study their experience in handling the autistic community involved in the criminal justice system (Maras et al., 2017). Based on their experience, the law professionals stated their opinion that the most effective among the changes and adaptation in legal procedure in handling suspects were the provisions on time out for suspects, modification in communication and language used as well as providing additional time for autistic suspects to process questions submitted to them (Maras et al., 2017).

This situation was acknowledged by George et al. (2018), who stated that effective communication, sensory effects of environmental factors, and any possible unpredictability were important matters law professionals should stress upon during interaction with autists. In fact, in some cases, an initial step is taken to help autistic suspects adapt to circumstances during proceedings. For example, lawyers are encouraged to bring their clients for a preliminary tour to familiarize them with inside the courthouse before court proceedings begin (George et al., 2018). Theoretically, at least, specific steps in handling autistic suspects are followed in foreign criminal justice systems, and this indirectly becomes evidence that Western laws are applied to autists.

In determining the autism and criminal responsibilities based on the Western's conduct of convicting and punishing an accused with autism, an analysis of their behaviours and characteristics such as the social deficit, communication, interaction as well as behaviours that are repeated and limited, yielded the result by Sharif (2018), revealed that accused with autism were not excluded from criminal responsibilities. In other words, autism is accepted as a mitigating factor, with the support of expert evidence and it is not required as one of the reasons that can exclude this group from criminal responsibility (Sharif, 2018).

A study conducted by Kusrin (2020) on the character of autism that tended to commit criminal behavior, suggested the need to create a specific SOP for detention and interrogation of an individual with autism. The findings showed that the legal right for autistic individuals needed to be distinguished from the typical group, such as creating specific arrest, detention, and

interrogation SOPs for autistic individuals, due to their incapability of mental health. It is just only the diversity of the spectrum they experience that causes some of them to look like typical individuals.

METHODS

Qualitative research was conducted using a case study design, for the purpose of examining in-depth phenomena relating to the procedure and work process of enforcement on autists. The document analysis method was applied to various materials and literature by experts in related fields, as important instruments to obtain research findings concerning the criminal behaviour of autists and their involvement in the criminal justice system. Data obtained was then thematically analysed by providing relevant themes for the aspects of arrest and detention contained in the specific SOP for autists. Finally, a comparative analysis was done to distinguish the differences in procedural content for arrest and detention between the specific SOP for autists and the usual SOP for typical people.

RESULTS AND DISCUSSION

The requirement of Specific SOP for Autists

Autists frequently fail to show appropriate social interaction and communication causing some of them to exhibit age-inappropriate behaviour (American Psychiatric Association, 2013). This deficit in social interaction and communication comes together with limited, stereotyped, and repetitive behaviour toward an activity

or interest. In addition, limited and very routine patterns of behaviour cause them to refuse to change and face difficulty in adapting to new matters or changes (American Psychiatric Association, 2013). As a result, they find difficult to process and react to social-emotional response and interact with others.

This situation has direct implications on how the law enforcement authority should respond to the physical and mental needs of autists. A number of researchers found that most autists face difficulty within the criminal justice system (Archer & Hurley, 2013; Chown, 2010; Gardner et al., 2019; Maras et al., 2017; Robertson & McGillivray, 2015; Talbot & Riley, 2007). According to Syriopoulou-Delli et al. (2019), a person's level of IQ intelligence influences the level of anxiety in dealing with an emergency situation. His study showed that 46.8% of children with ASD showed higher levels of anxiety compared to typical children with 15.3%. In line with the study of Chown (2010), described that autistic people often showed unusual anxiety when confronted with police and in some cases could invite trauma.

Besides, Archer and Hurley (2013) in their study of 44 police officers serving in the Autism West Midlands (AWM), West Midlands found that individuals with autism often entered the criminal justice system due to misunderstanding of enforcement officers, especially during detention. In addition, many of the enforcement officers were not exposed to appropriate procedures and there were still many who have not

received proper training. Crane et al. (2016) found that adaptation and modification to work processes were important in order to function fairly with autistic individuals.

The disability of autists is frequently a factor that weakens their self-defense when they are incriminated, compared to typical individuals, because police lack understanding and sensitivity about autism (Chown, 2010). Some of the autists do not understand oral instructions due to difficulty with language and cognitive disorders (Maras et al., 2014). This causes many misunderstandings when they are confronted by law enforcement officers and during the investigation.

For example, a 15-year old autistic male adolescent was shot dead by a police officer in Denver, Colorado. The officer believed that his action was necessary because he felt endangered as the boy was adamant in not letting go of a knife he used to threaten his mother when ordered to do so several times (Reynold, 2004). As a result, the officer was legally charged for the inappropriate procedure and breach of departmental policy not to use force when confronting minors. This tragic incident led to compulsory training of Denver police officers in the technique of crisis intervention, provision of suitable weapons such as taser (electrical gun) to patrol police, and appointment of mental health workers to train police how to handle individuals with mental disorders in certain situations (Reynold, 2004).

A study by Talbot and Riley (2007) found that a frequently arising problem in law enforcement is that police do not make

an inquiry and thorough check-up to find out if the suspect is autistic. In North Miami, Florida, a police officer caused controversy when he was convicted of negligence in discharging his duty because he had hastily shot an autist to death (Vassolo, 2019). Failure to verify before arrival at the alleged crime scene led him to shoot the autist in the belief that the weapon held was a pistol, when in fact it was only a toy truck. This incident is said to be caused by an error in receiving information about the actual incident through a phone call from a member of the public (Chokshi, 2016).

The difficulty faced by autists in the criminal justice system was acknowledged. Maras et al. (2017) found constraints in efforts to form an appropriate policy due to a lack of understanding of law enforcement officers within the criminal justice system. Training, creating awareness and understanding about autism, and coordination of suitable provisions to implement procedures are the main issues frequently raised.

In Malaysia, an adolescent autist in his 20s, Ahmad Ziqri Morsidi, was arrested by police and charged for touching a woman's chest in a Subang Jaya restaurant (Mokhtar, 2018). As a result of the report lodged by the victim, the autist was arrested by police according to SOP (Mokhtar, 2018). He was remanded in lockup for a night to help in the investigation (Airunnisa, 2018). The case of his arrest drew various reactions from the public which disputed the ground for the arrest of the young man as he was autistic.

But the police asserted that the arrest was done following usual police procedure for the purpose of investigation and for the sake of justice to both parties. It was stated by Police Chief of Subang Java District, Assistant Commissioner Mohammad Azlin Sadari, that even though the accused was an autist, police action in arresting him was in abidance of the existing SOP to aid in the investigation (Mokhtar, 2018). In the legal context, the relevant authority should use specific and appropriate guidelines for handling autists. This is so because autists need an alternative and specific management of work operations when interacting with them (Maras et al., 2014). The purpose is to avoid unfair treatment for the disabled (Talbot & Riley, 2007).

The usual or typical SOP for arrest, detention, and investigation, when applied to autistic crime suspects, is seen as inappropriate because it does not correspond with the level of mental deficit of autists. It is feared that inappropriate legal procedure will adversely affect the autist's situation as the autist may not fully understand or be aware of what is happening to himself, as had happened to Ahmad Ziqri (Adnan, 2018). Usually, autists tend toward his routine or habits, and can therefore face problems when in new environments such as in lockup on remand. It is feared that the lockup environment and inappropriate police treatment during investigation might traumatise them (Airunnisa, 2018).

Therefore, the legal right to justice of autists needs to be differentiated from that of the typical people at every legal level, beginning from drafting a specific SOP for the arrest and detention of autists. Past cases clearly show that distinct symptoms and behaviour of autists make them difficult to understand when confronted by police. This situation has caused the Royal Malaysia Police to take the initiative in establishing an appropriate SOP when handling the disabled, including autists (Bandi, 2019). This specific SOP requires police officers to abide by its provisions when handling autists to avoid any untoward incidents from happening. However, it is still too early to assess its implementation as there are no reported cases yet since the introduction of the specific SOP.

DIFFERENCES BETWEEN SPECIFIC SOP FOR AUTISTS AND USUAL SOP

An Autist Shall be Accompanied by His Parents or Guardian or Friend of Autists during the Interrogation Period

On examining the enforcement procedure in the specific SOP, it is found that this SOP emphasises the role of parties more discerning of the autist involved in the criminal justice system. For example, the guideline requires parents or guardians to be present and actively help in communication with the suspect. Paragraph 4.4.2 (vi) SOP mentioned: 'If necessary, seek the help of family, guardians, heirs or Friends of Autist to assist you and communicate.' Parents or guardians must be contacted immediately and informed as soon as an arrest is made so that interrogating the autist suspect can be more effectively conducted in addition

to avoiding the suspect from feeling afraid and anxious. If the suspect's parents or guardian cannot be contacted, the police shall seek the help of Friends of Autists, a volunteer group, to manage the case due to their better knowledge and experience in handling autists, whether they are from the government or private sector or from a non-governmental organisation (NGO).

This procedure differs slightly from the usual SOP, whereby a typical suspect is allowed to contact his relative or friend to inform them of his whereabouts. Section 28A of the Criminal Procedure Act (1999), Act 593 provides that: '...communicate or attempt to communicate, with a relative or friend to inform of his whereabouts; and ... communicate or attempt to communicate and consult with a legal practitioner of his choice...'. The usual SOP does not necessarily require parents or guardians to be informed that the suspect is under investigation or detention.

Police Shall Avoid Any Form of Force on the Autist during Arrest, Detention, and Interrogation

Paragraph 4.3.1 specific SOP provides that: 'Minimize physical contact, avoid the use of handcuffs or other obstacles or restriction.'. The important procedure emphasized in the specific SOP is that police are required to minimise physical contact (Polis Diraja Malaysia [PDRM], 2019). Police are required to take necessary and reasonable steps during the arrest and detention procedure of an autistic suspect. As mentioned in Section 15(1) of the

Criminal Procedure Act (1999) (Act 593): 'In making an arrest the police officer or other person making the same shall actually touch or confine the body of the person to be arrested unless there is a submission to the custody by word or action...', stipulates that an arrest is deemed to happen when the suspect is physically touched or confined.

However, if the suspect surrenders himself and is willing to submit to police custody, an arrest is deemed to have taken place. According to Section 15(2) Criminal Procedure Act (1999): 'If such person forcibly resists the endeavour to arrest him or attempts to evade the arrest such officer or another person may use all means necessary to effect the arrest'. It means that if the suspect resists with force or tries to escape, the police may use any reasonable means to apprehend him (Section 15(2) Criminal Procedure Act (1999), Act 593). For example, using physical attacks, which must not cause death. However, such action is not applicable during the arrest of an autist. The specific SOP stipulates that the police shall be cautious with the action taken and language used. They are prohibited from using physical force such as striking or acting violently or using verbal violence such as raising the voice when interacting with an autistic suspect.

In addition, using handcuffs is to be avoided. According to the Head of Secretariat for the Inspector-General of Police at Bukit Aman, Datuk Ramli Din, using handcuffs is only allowed as a last resort after all other means such as persuasion and so on have been exhausted, and if the autist suspect

seems too aggressive as to pose a threat to the police and the public (Bernama, 2019). The purpose of following the right steps in the procedure during an arrest is to reduce the risk of challenging behaviour such as tantrums or meltdowns that may happen in such situations.

Communicate Clearly with Autist Suspect

The procedure of the specific SOP mentioned in paragraph 4.4.2 (b) (ii): 'Use clear language, short sentences and easy-to-understand explanations.', which requires the police to communicate clearly, tersely, and using simple words to understand the language when giving orders to an autistic suspect. Indirect language and non-literal language such as coarse words, mixed with sarcasm or words with hidden meaning need to be avoided. For example, when giving orders to an autist suspect, the officer is required to communicate plainly and clearly so as to avoid confusion and misunderstanding. Autists usually face difficulty interpreting orders and gestures effectively (Haskins & Silva, 2006). They are different from typical people in communicating as most of them are unable to forge a two-way relationship when interacting (Yaakob & Kusrin, 2019). The usual SOP, however, does not explain in detail the correct language or communication when interacting with a suspect. Thus, the specific SOP is more relative and appropriate for the disabilities faced by autists.

Provision of Special Detention Cells for Autists

Detention of suspects is usually for the purpose of interrogation and it may not exceed 24 hours from the time of the arrest. Section 117 (1) Criminal Procedure Act (1999), Act 593 provides that: 'Whenever any person is arrested and detained in custody and it appears that the investigation cannot be completed within the period of twenty-four hours fixed by section 28 and there are grounds for believing that the accusation or information is well-founded the police officer making the investigation shall immediately transmit to a Magistrate a copy of the entries in the diary hereinafter prescribed relating to the case and shall at the same time produce the accused before the Magistrate'. It means that if the police cannot complete the investigation within 24 hours, then the suspect will be detained longer if a magistrate allows for his extended detention on remand. However, specific SOP in paragraph 4.3 (Detention and Arrest), mentions that: 'Autistic individuals suspected of being involved in criminal acts should be released on police bail unless in cases of serious crimes such as murder or unbailable crimes. 'It stipulates that the autist suspect shall be released on bail, except in certain cases of serious crimes as mention above, whereby detention is really necessary to complete the investigation.

Autistic suspects are granted leniency by the law to be released temporarily without waiting in long detention on remand which sometimes can last for days. This is important for autists as they have sensory sensitivity and need a routine environment. If they were detained for a long period, various negative implications such as restlessness and fear would arise.

Nevertheless, for certain cases which require detention of autists in cells or lockup at the police station, the specific SOP stipulates steps to facilitate compliance by police. For example, autistic suspects must be in cells segregated from typical offenders as mentioned in paragraph 4.3.3(ii) of specific SOP, provides that: 'autistic prisoners are necessary to put in separate and safe cell'. This guideline, already stipulated in Regulation 8 of Prison Regulations 2000, is more detailed in the specific SOP. If an autistic suspect is detained for further investigation, the specific SOP stipulates that the Head of Lockup must provide a separate, suitable and safe cell apart from other prisoners, in order to maintain a good situation and discipline in detention according to paragraph 4.3.1(v), specific SOP (PDRM, 2019).

Further, paragraph 4.3.1(v) of specific SOP stated that autistic suspect shall be allowed to bring comfort items to avoid feeling anxious and stressed in detention (PDRM, 2019). Comfort items may include objects such as toys or things that can soothe him to feel secure in a new situation (A. Brown, 2018). In addition, the suspect is also given the same rights and guarantees as for typical detainees in line with the basic human rights of prisoners as provided for in the Prison Regulations 2000. Basic rights such as food, medicine, and clothing will be provided according to the needs of detainees

as mentioned in para 4.3.2 of specific SOP. It is also stated if the suspect shows suicidal signs such as intention, plan, or attempt, he will be immediately referred to a medical officer (PDRM, 2019). Upon referral, the medical officer shall perform whatever is necessary and appropriate to help the autistic detainee.

Special Investigation Process during Detention

Basically, an arrest and detention of a crime suspect shall comply with the provision in Article 5 of the Federal Constitution and several other provisions in the Criminal Procedure Code. When a suspect is legally arrested, the arresting officer must without delay bring him to a nearby police station followed by an investigation. Detention, for the purpose of interrogation, must not exceed 24 hours from the time of the arrest. As with typical individuals, the arresting police officer is also obliged under Article 5(3) of the Federal Constitution, provides that: 'Where a person is arrested he shall be informed as soon as may be of the grounds of his arrest and shall be allowed to consult and be defended by a legal practitioner of his choice'. This provision required the officer to inform the suspect of the ground of his arrest and his right to legal counsel.

During detention, an autistic suspect is interviewed for the purpose of investigation using a different technique or method from that applicable to a typical detainee. The usual SOP under Section 112 Criminal Procedure Act (1999), Act 593 only provides a general procedure regarding the interview

without elaborating on the steps to be taken during the interview or interrogation. Hence, the specific SOP provides in detail the interview procedure for the victim, witness, and autistic suspect by explaining the steps before and after the interview (PDRM, 2019).

Before the interview is conducted. paragraph 4.4.1 of specific SOP, mentioned that police shall first obtain the background profile of the suspect from his parents or guardian. Information about his specific interests and sensorial sensitivity is important to facilitate police in determining the appropriate technique and suitable environment for the interview. While refers to paragraph 4.4.2 (d) of specific SOP, the police must also explain the procedures necessary to be done during the interview. This is provided in Section 112 (3) Criminal Procedure Act (1999), Act 593 stated that 'A person making a statement under this section shall be legally bound to state the truth, whether or not such statement is made wholly or partly in answer to questions', which requires the police officer to explain to the suspect before the interview that he must answer all questions honestly and speak the truth.

Nevertheless, this might be difficult to implement if the suspect is autistic. Thus, the specific SOP stipulates the following guidelines, namely: using a simple structured interview or audio-visual technique as an effective method for interviewing an autist. Using visual aid as communication tool is suitable and effective to ensure the procedure works well for the case (George

et al., 2018). In addition, using appropriate language such as simple, clear, and direct language helps the autistic suspect respond better to questions submitted. These steps are important as unsuitable methods of the interview are risky for the autist, he might mistakenly confess or even be easily manipulated (Kumar et al., 2017; Lerner et al., 2012; Mogavero, 2016).

CONCLUSION

Legal provisions for pre-trial procedures such as arrest and detention are already contained in existing laws such as the Criminal Procedure Act (1999) (Act 593) and the Prison Regulations 2000. But these are general guidelines that do not elaborate in detail the steps to be taken as most of the procedures are intended and suitable for typical people in comparison to autistic suspects. For example, detention on remand for the purpose of further investigation which may take many days is not practical to be applied to autistic suspects. Likewise, the use of handcuffs or excessive physical contact during arrest needs to be avoided. The reason for this is that autists are usually more sensorily sensitive than typical people. The initiative taken by the authority, the Royal Malaysia Police, to create a specific SOP for autistic suspects, is to protect their legal rights and interests. Problems faced by autists such as having difficulty communicating, feeling anxiety, intolerance for uncertainty, and tendency towards routine matters complicate their situation in the criminal justice system. With their condition, it is not appropriate to handle

them by the same methods as for non-autists.

After examining in-depth, the specific SOP, it is found to be more practical and autist-friendly, compared to the usual SOP availed in legal provisions that are more general and difficult to understand. Police must comply with the procedure stipulated in the specific SOP to ensure the legal rights of autists are guaranteed during arrest and detention. The guidelines in the specific SOP serve as the foundation and principle to be upheld by the law enforcement authority, namely the police. It serves to keep them from acting excessively when handling autistic suspects. The purpose of their endeavour is to set the same standards in enforcing criminal law on autists.

ACKNOWLEDGEMENT

We express our highest appreciation to the Research Grant of "Pembinaan Prosedur Operasi Standard (SOP) Tahanan dan Pengendalian Tahanan Individu dengan Autisme oleh Penguatkuasa Agama (Drafting Standard Operating Procedure (SOP) for the Detention and Handling of Autistic Detainees by the Religious Enforcement Authority)" (FRGS/1/2019/SS06/UKM/02/4).

REFERENCES

Adnan, A. S. (2018, September 19). Ibu pemuda autisme rayu laporan polis ditarik balik [The mother of the autistic youth appealed for a police report to be withdrawn]. *Berita Harian*. https://www.bharian.com.my/berita/kes/2018/09/475769/ibu-pemuda-autisme-rayulaporan-polis-ditarik-balik

- Airunnisa. (2018, September 20). Autisme didakwa: Adil atau selayaknya? [Autism charged: Fair or appropriate]. *Utusan Online*. http://www.utusan. com.my/mega/rona/autisme-didakwa-%0Aadilatau-selayaknya-1.751171
- American Psychiatric Association. (2013). *Diagnostic* and statistical manual of mental disorder fifth edition (DSM-V). https://doi.org/10.1176/appi. books.9780890425596
- Archer, N., & Hurley, E. A. (2013). A justice system failing the autistic community. *Journal of Intellectual Disabilities and Offending Behaviour*, 4(1-2), 53-59. https://doi.org/10.1108/JIDOB-02-2013-0003
- Bandi, N. A. (2019, March 25). PDRM lancar SOP kendali tahanan autisme [PDRM runs SOP to handle autistic detainee]. *Sinar Harian Online*. https://www.sinarharian.com.my/article/20077/BERITA/Nasional/PDRM-lancar-SOP-kendalitahanan-autisme
- Barry-Walsh, J. B., & Mullen, P. E. (2004). Forensic aspects of Asperger's syndrome. *Journal of Forensic Psychiatry and Psychology*, 15(1), 96-107. https://doi.org/10.1080/14789940310 001638628
- Bernama. (2019, October 15). Suspek autistik boleh digari jika agresif [Autistic suspects can be handcuffed if they act aggressive]. *Astro Awani*. http://www.astroawani.com/beritamalaysia/suspek-autistik-boleh-digari-jika-agresif-polis-220141
- Berryessa, C. M. (2016). Brief report: Judicial attitudes regarding the sentencing of offenders with high functioning autism. *Journal of Autism and Developmental Disorders*, 46(8), 2770-2773. https://doi.org/10.1007/s10803-016-2798-1
- Brown, A. (2018, February 15). When should you worry about your child's attachment to comfort items? Medicalxpress. https://medicalxpress. com/news/2018-02-child-comfort-items.html

- Brown, J., Hastings, B., Cooney-koss, L., Psy,
 D., Huntley, D., Brasch, D., Anderson, G.,
 Chukuske, R., Arndt, C., Trnka, A., Burger,
 P., & Martindale, J. (2016). Autism spectrum disorder in the criminal justice system: A review for caregivers and professionals. *Journal of Law Enforcement*, 5(5), 1-13.
- Cashin, A., & Newman, C. (2009). Autism in the criminal justice detention system: A review of the literature. *Journal of Forensic Nursing*, 5(2), 70-75. https://doi.org/10.1111/j.1939-3938.2009.01037.x
- Cheely, C. A., Carpenter, L. A., Letourneau, E. J., Nicholas, J. S., Charles, J., & King, L. B. (2012). The prevalence of youth with Autism spectrum disorders in the criminal justice system. *Journal of Autism and Developmental Disorders*, 42(9), 1856-1862. https://doi.org/10.1007/s10803-011-1427-2
- Chokshi, N. (2016, July 21). North Miami police officers shoot man aiding patient with autism. *The New York Times*. https://www.nytimes.com/2016/07/22/us/north-miami-police-officers-shoot-man-aiding-patient-with-autism.html
- Chown, N. (2010). 'Do you have any difficulties that I may not be aware of?' A study of autism awareness and understanding in the UK police service. *International Journal of Police Science & Management*, 12(2), 256-273. https://doi.org/10.1350/ijps.2010.12.2.174
- Crane, L., Maras, K. L., Hawken, T., Mulcahy, S., & Memon, A. (2016). Experiences of autism spectrum disorder and policing in England and Wales: Surveying police and the autism community. *Journal of Autism and Developmental Disorders*, 46, 2028-2041. https://doi.org/10.1007/s10803-016-2729-1
- Criminal Procedure Act (Act 593, Rev. Ed. Msia) (1999).
- Fitzpatrick, S. E., Srivorakiat, L., Wink, L. K., Pedapati, E. V., & Erickson, C. A. (2016). Aggression in

- autism spectrum disorder: Presentation and treatment options. *Neuropsychiatric Disease and Treatment*, 2016(12), 1525-1538. https://doi.org/10.2147/NDT.S84585
- Gardner, L., Campbell, J. M., & Westdal, J. (2019). Brief report: Descriptive analysis of law enforcement officers' experiences with and knowledge of autism. *Journal of Autism and Developmental Disorders*, 49(3), 1278-1283. https://doi.org/10.1007/s10803-018-3794-4
- George, R., Crane, L., Bingham, A., Pophale, C., & Remington, A. (2018). Legal professionals' knowledge and experience of autistic adults in the family justice system. *Journal of Social Welfare and Family Law*, 40(1), 78-97. https://doi.org/10.1080/09649069.2018.1414381
- Haskins, B. G., & Silva, J. A. (2006). Asperger's disorder and criminal behavior: Forensicpsychiatric considerations. *Journal of the American Academy of Psychiatry and the Law*, 34(3), 374-384.
- Helverschou, S. B., Rasmussen, K., Steindal, K., Søndanaa, E., Nilsson, B., & Nøttestad, J. A. (2015). Offending profiles of individuals with autism spectrum disorder: A study of all individuals with autism spectrum disorder examined by the forensic psychiatric service in Norway between 2000 and 2010. Autism: The International Journal of Research and Practice, 19(7), 850-858. https://doi.org/10.1177/1362361315584571
- Kamaruddin, F. (2019, March 25). SOP khas kendali tahanan autisme [Specific SOP to handle detained autistic individuals]. *Berita Harian*. https://www.bharian.com.my/berita/nasional/2019/03/545263/sop-khas-kendalitahanan-autisme
- Kanner, L. (1943). Autistic disturbances of affective contact. *Nervous Child*, 2(3), 217-250.
- Kasnoon, K. (2019, February 27). Demi anak-anak Autisme, SOP baharu akan diperkenal [For

- the sake of autistic children, a new SOP will be introduced]. *Astro Awani*. http://www.astroawani.com/gaya-hidup/demi-anak-anak-autisme-sop-baharu-akan-diperkenal-199664
- Kumar, S., Devendran, Y., Radhakrishna, A., Karanth, V., & Hongally, C. (2017). A case series of five individuals with Asperger syndrome and sexual criminality. *Journal of Mental Health and Human Behaviour*, 22(1), 63-68. https://doi. org/10.4103/0971-8990.210703
- Kusrin, Z. M., Samuri, A.-A., Ali, M., Yusof, W., & Syakir, M. (2019). Individu autisme dan perlakuan melanggar undang-undang [Individuals with autism and lawlessness] (Security issues in the computerized land registration system in Malaysia: An overview). Jurnal Undang-Undang Malaysia, 31(2), 219-237.
- Kusrin, Z. M., Yusof, W., & Yaakub, Z. (2020). Keperluan SOP khusus untuk tahanan dan penyiasatan individu autisme [Necessity of standard operation procedure for detention and interrogation of individual with autism], Al-Irsyad: Journal Of Islamic and Contemporary Issues, 5(1), 179-187.
- Illinois Attorney General. (2019). Law enforcement guide to interacting with people with autisme. https://ag.state.il.us/rights/disabilityrights.html
- Långström, N., Grann, M., Ruchkin, V., Sjöstedt, G., & Fazel, S. (2009). Risk factors for violent offending in autism spectrum disorder. *Journal* of *Interpersonal Violence*, 24(8), 1358-1370. https://doi.org/10.1177/0886260508322195
- Lashley, J. (2009). Autism spectrum disorders:

 A special needs subject response guide for police officers. Children's Hospital and Health System. https://www.researchgate.net/profile/Joel-Lashley/publication/235996329_Autism_Spectrum_Disorders_A_Special_Needs_Subject_Response_Guide_for_Police_

- Officers_C/links/00b7d5155dd685d7c1000000/ Autism-Spectrum-Disorders-A-Special-Needs-Subject-Response-Guide-for-Police-Officers-C. pdf
- Lerner, M. D., Haque, O. S., Northrup, E. C., Lawer, L., & Bursztajn, H. J. (2012). Emerging perspectives on adolescents and young adults with high-functioning autism spectrum disorders, violence, and criminal law. *Journal of the American Academy of Psychiatry and the Law*, 40(2), 177-190.
- Mahyut, S. M. (2017). Inclusion of people with disabilities in Malaysia. *Journal of Asian and African Social Science and Humanities*, 3(1), 1-17.
- Maras, K. L., Crane, L., Mulcahy, S., Hawken, T., Cooper, P., Wurtzel, D., & Memon, A. (2017). Brief report: Autism in the courtroom: Experiences of legal professionals and the autism community. *Journal of Autism and Developmental Disorders*, 47(8), 2610-2620. https://doi.org/10.1007/s10803-017-3162-9
- Maras, K. L., Mulcahy, S., Memon, A., Picariello, F., & Bowler, D. M. (2014). Evaluating the effectiveness of the self-administered interview© for witnesses with autism spectrum disorder. *Applied Cognitive Psychology*, 28(5), 693-701. https://doi.org/10.1002/acp.3055
- Mayes, T. A. (2003). Persons with autism and criminal justice: Core concepts and leading cases. *Journal of Positive Behavior Interventions*, *5*(2), 92-100. https://doi.org/10.1177/10983007030050020401
- Modell, S. J., & Davis, M. (2016). A law enforcement guide for working with children with autism, intellectual and communication disabilities. New Mexico Coalition of Sexual Assault Programs Inc. https://doi.org/10.13140/RG.2.1.3729.6884
- Mogavero, M. C. (2016). Autism, sexual offending, and the criminal justice system. *Journal of Intellectual Disabilities and Offending Behaviour*

- Article Information, 7(3), 116-126. https://doi.org/10.1108/JIDOB-02-2016-0004
- Mokhtar, N. A. (2018, September 16). Penahanan pemuda autisme cabul gadis ikut SOP Polis [Detention of autistic youth who sexually assult girl according to SOP Police]. *Berita Harian*. https://www.bharian.com.my/berita/kes/2018/09/474483/penahanan-pemuda-autisme-%0Acabul-gadis-ikut-sop-polis
- Mouridsen, S. E. (2012). Current status of research on autism spectrum disorders and offending. *Research in autism spectrum disorders*, *6*(1), 79-86. https://doi.org/10.1016/j.rasd.2011.09.003
- Murrie, D. C., Warren, J. I., Kristiansson, M., & Dietz, P. E. (2002). Asperger's syndrome in forensic settings. *International Journal of Forensic Mental Health*, 1(1), 59-70. https://doi.org/10.1 080/14999013.2002.10471161
- Nisar, M. (2017). Effects of disabled children on their families (A case study of District Charsadda). Journal of Asian and African Social Science and Humanities, 3(2), 29-37.
- Polis Diraja Malaysia. (2019). *Autisme: Garis panduan Polis Diraja Malaysia* [Autism: The Royal Malaysian Police guidelines]. Urus Setia KPN (Penyelidikan dan Pembangunan).
- Rava, J., Shattuck, P., Rast, J., & Roux, A. (2017). The prevalence and correlates of involvement in the criminal justice system among youth on the autism spectrum. *Journal of Autism and Developmental Disorders*, 47(2), 340-346. https://doi.org/10.1007/s10803-016-2958-3
- Razali, S. A. (2019, July 29). Siasatan terhadap autisme, sindrom down ikut SOP [Investigation into autism, down syndrome according to SOP]. *Berita Harian*. https://www.bharian.com.my/berita/nasional/2019/07/590405/siasatanterhadap-autisme-sindrom-down-ikut-sop-kpn

- Reynold, D. (2004, September 9). Communitypolice crisis team grows in shadow of Paul childs' shooting death. *Inclusion Daily Express*. https://mn.gov/mnddc/news/inclusiondaily/2004/09/090904coadv.htm
- Robertson, C. E., & McGillivray, J. A. (2015). Autism behind bars: A review of the research literature and discussion of key issues. *Journal of Forensic Psychiatry and Psychology*, 26(6), 719-736.
- Sharif, M. M. (2018). Kedudukan tertuduh dengan kecelaruan spektrum autisme menuru perundangan jenayah Barat dan Islam [Position of the accused with autisme spectrum according to the western criminal legislation and Islam]. Universiti Kebangsaan Malaysia.
- Syriopoulou-Delli, C. K., Polychronopoulou, S. A., Kolaitis, G. A., & Antoniou, A. S. G. (2019). Views of teachers on anxiety symptoms in students with autism spectrum disorder. *Journal of Autism and Developmental Disorders*, 49(2), 704-720. https://doi.org/10.1007/s10803-018-3752-1
- Talbot, J., & Riley, C. (2007). No one knows: Offenders with learning difficulties and learning disabilities. *British Journal of Learning Disabilities*, 35(3), 154-161. https://doi.org/10.1111/j.1468-3156.2007.00456.x

- Vassolo, M. (2019, July 3). No prison, 1-year probation for North Miami cop who shot at autistic man with toy. *Miami Herald*. https://www.miamiherald.com/news/local/community/miami-dade/article232237527.html
- Volkmar, F. R., & Klin, A. (2005). Issues in the classification of autism and related conditions. In F. R. Volkmar, R. Paul, A. Klin, & D. Cohen (Eds.), Handbook of autism and pervasive developmental disorders. John Wiley & Sons Inc.
- Woodbury-Smith, M., Clare, I., Holland, A. J., Watson, P. C., Bambrick, M., Kearns, A., & Staufenberg, E. (2010). Circumscribed interests and "offenders" with autism spectrum disorders: A case-control study. *Journal of Forensic Psychiatry and Psychology*, 21(3), 366-377. https://doi.org/10.1080/14789940903426877
- Yaakob, Z., & Kusrin, Z. (2019). *Remaja Autisme dan* perilaku seksual [Adolescent autism and sexual behavior]. Universiti Kebangsaan Malaysia.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Ratification of International Labour Convention and the Reformation of Trade Union Recognition Process in Malaysia

Siti Suraya Abd Razak^{1*} and Nik Ahmad Kamal Nik Mahmod²

¹Azman Hashim International Business School, Universiti Teknologi Malaysia, 81310, Johor, Malaysia ²Ahmad Ibrahim Kuliyyah of Laws, International Islamic University Malaysia, 50728, Kuala Lumpur, Malaysia

ABSTRACT

The decline in the density of trade unions and the decreasing number of collective agreements had resulted in a deplorable situation in Malaysia. It is difficult to resolve the problems because the trade unions' recognition process is often complex and legislatively restrictive. Nonetheless, the ratification of the International Labour Convention and ILO Convention No.87 could be a stepping stone in the reformation of the recognition process's legal framework. Therefore, the present paper analysed the role of the ILO convention in reforming the trade union recognition process in Malaysia. Additionally, a qualitative method was employed to examine the role of the convention and its mechanism in the reformation of trade union recognition. Next, pure legalistic analysis and semi-structured interviews were conducted with the industrial relations key player to obtain their perspectives on the effect of ratification on industrial relations. Based on the generated outcomes, there were mixed views on the ratification of the stated convention. Additionally, this paper analysed the impact of the ratification of the convention by the member states of the ILO and how these countries benefitted from the ratification. Finally, this paper

ARTICLE INFO

Article history: Received: 29 May 2020 Accepted: 21 October 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.11

E-mail addresses: sitisuraya@utm.my (Siti Suraya) nahmad@iium.edu.my (Nik Ahmad Kamal) *Corresponding author concluded that despite the challenges, the ratification of the convention improved the trade union recognition process in Malaysia. Therefore, the Malaysian government should immediately ratify ILO Convention No.87.

Keywords: Collective bargaining, ILO Convention No. 87, Industrial Relations Act 1967, recognition process, trade union

INTRODUCTION

Trade union plays an important role to protect the rights and interests of the workers at the workplace. It represents workers in collective bargaining actions with the employers for better working conditions. At present, Article 10(1) of the Federal Constitution of Malaysia protects workers' freedom to form and join trade unions. On the other hand, the Industrial Relations Act [IRA 1967] (1967) protects the right to collective bargaining. However, before the trade union can represent the workers at the collective bargaining stage, the trade union is obliged to undergo a recognition process under Section 9 of the IRA 1967 to prove their competency to represent the workers. Nonetheless, the recognition process of trade unions in Malaysia is tedious because it requires the trade union to fulfill conditions under IRA 1967. These conditions include: to obtain employers' recognition and proving workers' support to join the trade union.

Table 1 depicts the statistics of trade union density between 2006 and 2016 (International Labour Organization, 2020). The trade union density was at its peak in 2006 with 10.5% and declined continuously until 2011 with the lowest density rate at 8.5%. However, the density had steadily increased to 9.4% in 2014. Thereafter, the Malaysian trade union density decreased to 8.8% and remained stagnant until 2016. This revealed an uneven pattern in the growth of trade unions in Malaysia. Additionally, the growth of trade union density in a state is influenced by various factors such as

structural changes in the economy and labour force, unemployment caused by new technologies, demographic changes in the labor market, and the aging population (Krašenkienė et al., 2014). On the other hand, Kuruvilla et al. (2002) confirmed that economic changes, political ideology, and legislation obstructed the movement of the union in certain countries. This had eventually caused a direct impact on the country's trade union density. Additionally, an unfavourable political climate had inhibited membership growth (Fatimah et al., 2002). Ramasamy mentioned that the political and legal environment had also caused a decline in union density (Ramasamy, 2015). Meanwhile, Hamidah and Roshidi (2020) concluded that the trade union density was induced by a tougher economic condition abetted by a more pro-employer legal environment. The nonratification of ILO Convention No.87 had

Table 1
Trade union density in Malaysia

Year	Union Density (%)
2006	10.5
2007	10.3
2008	10.1
2009	9.9
2010	9.1
2011	8.5
2012	9.3
2013	9.4
2014	9.2
2015	8.8
2016	8.8

resulted in a decline in the Malaysian trade union density.

Currently, Malaysia had ratified the ILO Convention No.98 Right to Organise and Collective Bargain. However, Malaysia did not ratify the ILO Convention No. 87 Freedom of Association and Protection of the Right to Organise Convention ('the convention'). Hence, the failure to ratify the convention resulted in a restrictive trade union recognition process and caused a direct slump of the trade union of movement in Malaysia. Based on these issues, the present paper drew a relevant research question; does the ratification of the convention assist the reformation of the recognition process in Malaysia.

This paper analysed the role of the International Labour Convention to reform the trade union recognition process in Malaysia. This paper had, therefore, described the recognition process of trade unions in Malaysia and the challenges it faced as a result of the non-ratification and background of the convention. Next, the paper discussed the challenges and prospects of the ratification of the convention that was faced by the Malaysian government in the event of the ratification. This paper also examined the reasons given by the Malaysian government in its decision to not ratify the convention. Besides, the present paper also examined the ratification of the convention in Indonesia, Canada, and Australia, and its impact on the countries' trade union framework.

METHODS

The present study employed the legal research method via a qualitative approach. Besides, the study had examined ILO Convention No.87 and the impact of ratifying the convention on the recognition of trade union, descriptively. Additionally, the research carried out interviews with officers from the Department of Industrial Relations, the Malaysian Trade Union Congress, Malaysian Employers Federation, trade union members, and legal practitioners in the industrial relations area based on the ratification of the convention to reform the process of trade union recognition in Malaysia. Finally, the study had critically analysed the issues of the recognition process in Malaysia based on the findings.

RESULTS AND DISCUSSION

The Recognition Process of Trade Union in Malaysia

In Malaysia, the IRA 1967 is a legal framework, which governs the recognition of trade unions. An employer's recognition needs to be obtained before the commencement of the collective bargaining action between an employer and the trade union. Therefore, this procedure would determine the competency and the majority of support contributed to the trade union. On the other hand, automatic recognition is not applicable in Malaysia because the employer is given the prerogative right to determine the competency of the trade union to represent its workers. Furthermore, the employer can exclude their workers in

managerial, executive, confidential, and security capacity from participating in the secret ballot process. A trade union must be within similar trades, occupations, or industries of the trade union under the previous regime. However, the latest amendment made to the IRA 1967 in 2019 stated that this requirement was no longer relevant. In the latest procedure, the scope of membership of the trade union will be determined by the Department of Industrial Relations where they will conduct the secret ballot in order to determine the support of the workers to the trade union. In addition, sole bargaining rights are given to the trade union that successfully gains a majority in the secret ballot in the case where more than one union of workers recognised by the employer. Secret ballot to determine sole bargaining rights will only be conducted in a situation where agreement between unions cannot be reached Industrial Relations (Amendment) Act (2020).

The density and trade union membership in Malaysia declined as a result of the employers' hostility towards the trade unions and unattractive industrial relations' (Ramasamy, 2010). The negative attitude of the employers towards the unions is due to the perception that unions are superfluous and a threat to their business (Rose et al., 2010). The trade unions faced various anti-union practices from the employers in their recognition claims. Nonetheless, these claims were made to prevent a collective bargain with the trade union. These anti-union practices stemmed from the lacunae of the recognition procedures based on

the IRA 1967. Besides, the workers were deprived off from being represented by a trade union of their choice because it was deemed incompetent in the case of Kesatuan Kebangsaan Pekerja-Pekerja Perusahaan Alat-Alat Pengangkutan dan Sekutu v. Menteri Sumber Manusia & Anor (2016). The Director-General justified that the trade union was disqualified as a result of the manufacturing of car audio components fitted into motor vehicles was not part of the membership defined by the trade union's constitution. Although the motor vehicles possess manufacturing accessories as part and parcel of the membership, the Director-General argued that the manufacturing of car audio components did not affect the running and operation of motor vehicles. Therefore, the court had referred to the judgment in the landmark case of Electrical Industry Workers Union v. Registrar of Trade Unions (1976) whereby the workers in the electrical and electronic industry were separated into two different areas. As such the absence of a clear guideline in these cases to determine competency and from these cases, it can be observed that the absence of clear guidelines in determining competency coupled with the wide discretion of the Director-General in this process has caused segregation in the trade union.

Besides, the recognition process faced another obstacle as a result of the exclusion of workers in managerial, executive, confidential, and security ('MECS') departments during balloting. The absence of workers under the MECS categories caused discrepancies in the decision to

determine workers' voting eligibility. For instance, in the case of South Pacific Textile Industries Ltd v. Kesatuan Pekerja-Pekerja South Pacific Textile Industries Ltd. (1965-1967), the court defined 'managerial' as "workers whose duties of having authority in the interests of the employer to engage, transfer, suspend, recall, promote, discharge, assign, reward or discipline other workers, or responsibility to direct them, to adjust their grievances or effectively recommend such action, the exercise of such authority not being merely routine or of a clerical nature but the use of independent judgment". However, in the case of the Non-Metallic Mineral Products Manufacturing Employees Union v. United Asbestos Cement Bhd (1968-1969) the concept of managerial was defined as "workers [who] involved in [the] planning of work organising and utilizing the workforce efficiently, direction and control of staff in their respective departments and sections with power to issue orders and instructions, and the training and performance rating of such staff with the power to recommend their promotion, demotion, dismissal, transfer, and also to hear and settle their complaints and grievances". The inconsistent definition of MECS workers became a challenge for the trade union to represent workers because employers often took lacunae as an opportunity to re-categorise the workers to disqualify them from voting in the secret ballot.

The complex process of recognition resulted in the delay of recognition claims. Abdul and Mahmod (2018b) reported that

the trade unions waited for a long period before they were declared competent. These untenable situations resulted in the drop of collective agreements for trade unions in recent years (Department of Industrial Relations, 2018). The ILO Freedom of Association reported seven out of seventeen cases on violation of association freedom against the Malaysian government based on the unfair recognition process of trade union practices (International Labour Organization, 2019). The Malaysian government had several restrictions on the freedom of association (Shatsari & Hassan, 2006).

The ILO Convention No. 87

The ILO was established in 1919 to end the grave exploitation of workers by the capitalists during the industrial revolution. The workers were mistreated, forced to work overtime, and under dangerous environments in the industry. Furthermore, the workers were deprived of their rights to the formation of trade unions after its banning by the government. This is because the trade union was deemed as a threat to the employers and the government. Therefore, the ILO was introduced to put an end to the unfair practices of the state capitalists. The ILO then became part of the United Nations' agencies in 1946. It is ILO's fundamental goal that all workers should have the right to pursue their material well-being and establish freedom, dignity, economic security, and equal opportunity in the workplace. The ILO's role is to set out international labour standards, develop

policies, and devise programmes that promote a decent work environment for the workers.

The ILO develops international standards via conventions. Conventions are also known as legally binding international treaties. The ratification of the ILO conventions is not compulsory but options are given to the member states on whether to ratify or not ratify the conventions. Additionally, the ILO formed the Committee of Freedom of Association (CFA) to monitor any complaints on violations of association freedom by the member states. Four Core Labour Standards were delineated in eight conventions. First, the elimination of all forms of forced or compulsory labour (Conventions Nos. 29 and 105). Second, the abolition of child labour (Conventions Nos. 138 and 182). Third, freedom of association and the effective recognition of the right to collective bargaining (Conventions Nos. 87 and 98). Fourth, the elimination of any discrimination in employment and the recognition of equal remuneration for work of equal value (Conventions Nos. 100 and 111). Hence, the present study analysed the mechanisms of the ILO Convention No.87, which outlined the international standards of association freedom and the guidelines for effective recognition of the state members' rights to collective bargaining.

In 1948, the introduction of the ILO Convention gained international support. The international community recognised the convention as a medium, which ensured effective general principles of association freedom as well as one of the primary

safeguards of peace and social justice at the international platform. The aspects of freedom of association can be viewed via the ILO supervision. For example, the urge to compel member states to permit the establishment of organisations without previous authorisation, to preserve the rights to establish and join desired organisations, and the right to implement federation and confederations (Lee, 1998).

Therefore, the convention consists of 21 articles and is divided into four parts. The convention predominantly aims to safeguard the interests of the workers to form and join trade unions for collective bargaining. It also prohibits anti-union practice between the employer and government to the trade union.

Additionally, several articles in the convention would ease the recognition process of a trade union. For example, Article 2 of the convention preserves workers' rights to establish and join organisations that they choose without the inference of previous authorisation. Hence, this article demands member states to permit workers to form trade unions and become a member of their favourite trade union without the approval from any parties. Besides, Article 11 of the convention requires the member states to adopt necessary and appropriate legal measures to guarantee workers and employers the right to organise, freely. The obligation has, therefore, compelled the member state to abolish unnecessary procedures that slow down the trade union's recognition process. Furthermore, Article 12 of the convention urges member states

to submit periodic reports related to the implementation and improvements of labour framework. Then, the ILO Committee of Experts examines these reports and designed a proposal for the member states to actionise social dialogues between them. The ILO Committee of Experts also provides technical assistance to the member states that required assistance to reform their legal framework. Additionally, the Commission of Inquiry would conduct an investigation and prepare a report if there was a complaint on violation of convention obligations by a member state. As a result, the Commission would recommend the member state to abide by the recommendations and failure to comply with the given recommendations would cause diplomatic and trade pressures to the member states.

Challenges and Prospects

The Malaysian government is a member state of the ILO and had ratified five out of eight of the ILO Core Labour Standards. Therefore, the workers in Malaysia can exercise their rights to form a trade union and join the trade union via the provisions of TUA 1959 and the IRA 1967. Additionally, the ratification of the ILO Convention No.98 made a possible collective bargain between the trade unions and employers. Although the convention is yet to be ratified by the Malaysian government, restrictive regulations were imposed on the trade union to exercise their freedom of association. The collective bargaining process of trade unions in Malaysia had been struggling with various obstacles of recognition before

they managed to participate in a collective bargain with the employer.

The Malaysian government had imposed limitations on the labour movement to guard national security and interests. Additionally, Article 10(1) (Clause 2) of the Federal Constitution stated that the government can impose limitations for education or labour to maintain the security of the federation. The Malaysian government replied to the ILO on the case of violation of association freedom and stated that they were reluctant to ratify the convention because the ratification would result in the formation of omnibus unions that might be led by those who have activities or interests not related to the unions and pursue political and subversive aims (International Labour Organization, 2004). Whereas another report clearly stated that the Malaysian government aimed to produce a disciplined and responsible trade union movement for the sake of national security (International Labour Organization, 2019).

Based on the above statement, the Malaysian government is still skeptical of having an omnibus trade union led by a group of individuals with political agenda. This is because the ratification of the convention will compel the government to permit the formation of omnibus unions without segregations such as occupations, trade, or industry. Nonetheless, the present government policy must restrict workers' movement because the trade union had once been a medium for the communist ruckus in Malaysia (Abdul & Mahmod, 2018a). The ratification of the convention,

which required the member states to fully recognise limitless freedom of association was, therefore, against the government's policy and Malaysian history. This situation is similar to the United States where the current legal framework permits major gaps to protect the existing workers. The United States government refused to ratify the convention as a result of inconsistent labour law and principles promoted via the convention (Steve, 2008). Although the Malaysian government is still reluctant to follow the recommendations of the committee to ratify the convention, they considered changing the recognition process of the trade union. Therefore, in 2009 the IRA 1967 was amended several times in response to the current needs of Malaysian industrial relations.

Several respondents believe that the ratification of the convention by the Malaysian government would assist workers to exercise their rights to collective bargaining. A representative from the National Union of Workers in Support and Allied Services and the National Union of Electronic Workers (South) in Malaysia championed the ratification of the convention because it will compel the government to eliminate complex rules and regulations of the trade union recognition process. Furthermore, he stated that both the convention and the ILO Convention No.98 must be ratified for an effective trade union. Hence, he stated:

"It is strange that our country had ratified ILO Convention No. 98 that allows collective

bargaining but then we haven't ratified the convention on freedom of association. It is like the door to collective bargaining is being closed."

On the other hand, the ratification of the convention is deemed to bring negative repercussions to the country. A respondent from the Department of Industrial Relations Malaysia stated:

"If there are too many trade unions representing the same workers, there will be an inter-union rivalry. This is the effect of the ratification of ILO Convention No. 87."

Additionally, a legal practitioner who specialises in the industrial relations stated:

"The ILO Convention No. 87 serves a solid aspirational goal for industrial relations in Malaysia. However, it may not in truth be practicable nor desirable for trade unions to be given unrestricted free rein for all employees to be treated without distinction. Oftentimes in-house unions are better able to engage with employers constructively and to the greatest positive effect, as compare to large-scale national unions, as in-house unions give a voice to the actual employees of the company rather than the body of employees in the industry as a whole."

The above respondents stated that the inter-union rivalry could occur because the ratification of the convention would compel the Malaysian government to permit the establishment of an omnibus union.

Previously, the practice in Malaysia required the formation of a trade union based on Section 2(a) of the TUA 1959, which stated that the trade union must be within any similar trades, occupations, or industries. Hence, this definition would be deleted and consequently, the omnibus union could be formed based on the vision of ratifying the convention.

Besides, the workers would also struggle to exhibit their support of the trade union via the secret ballot. The competency of the trade union represented the workers in the collective bargaining action with the employers via a secret ballot in the previous practice of the recognition process. a trade union must prove that it obtained the majority of workers' support to be competent. the formation of a general trade union and the in-house union will segregate the support of the workers to the trade union based on the ratification of the convention. nonetheless, this will delay the whole process of trade union recognition. Therefore, the respondent from the Malaysian Trade Union Congress shared this view:

"The convention No. 87, the scope is too broad for our country. For example, in Indonesia, before Pak Habibi's governance, they only used the rule known as Pancasila, it covers everything on government and authority, people have more rights. But, when Pak Habibi took over, he was advised to recognise total convention. In ASEAN, the only country that ratifies ILO Convention No. 87 in Indonesia, the main five core of the convention and the first is 87, if we ratified

the convention of 87, freedom of trade union. If we ratified the convention, in one company, we will have more than one union. We can have a union without a trade. It will cause difficulty in the secret ballot as they will struggle to prove the majority of 50%."

The representative of the Malaysian Employer's Federation stated that the ratification of the convention is a double-edged sword to the state. Hence, the ratification of the convention will benefit Malaysian workers because it will be easier for the trade union to negotiate with the employers and create an unattractive environment for foreign investors in Malaysia. He stated that:

"Do we need to ratify 87 to show the world we have freedom of association? Indonesia was forced to ratify 87 during the economic crisis, since that, union starting to mushroom. The convention is a double edge sword, it can work and against the trade union. There will be a lot of labour centers in Malaysia. Even without convention no. 87, the trade unions can still be active. Certain guiding principles were important in managing the relationship. I don't agree with the adoption of ILO Convention No. 87."

In general, the Malaysian Employers Federation, the legal practitioner, and the Department of Industrial Relations are against the ratification of the convention. The negative perspective of the convention results from the impact of multiple trade unions and

inter-union rivalry that represented workers in the collective bargaining process. The Indonesian government was also concerned over these issues in its early stages of the ratification and national law framework reformation. Nevertheless, the Indonesian ratification of the convention under the governance of B. J. Habibie in June 1988 depicted an increase in the number of trade unions, formation of federations and confederations, and company-based unions, and thousands of independent unions in Indonesia. It was still a challenge to determine the representative of workers in the collective bargaining actions because the existing unions had to compete with the federations and confederations. Indonesia handled the situation and provided a formula to determine the rate of competency between the unions (Patrick, 2003). The trade union membership determined the competency of the trade union to represent the workers in a multi-union situation. The trade union membership, which exceeded 50% of the total number of workers would be competent. In the case where there is no one trade union that has more than 50% workers in membership, the trade unions may form a coalition. If the coalition secures more than 50% of the total number of workers, then the coalition will be competent. The coalition would then form a negotiation team to negotiate with the employer for collective bargaining. The negotiation team consists of the proportion of members to the number of members that each trade union has. If Malaysia applied this method in the case of ratification of the convention, then

the Malaysian government should clarify the laws that cover bargaining rights in multi-union situations similar to Indonesia. Nonetheless, the future growth of trade unions, federations, and confederations in Malaysia should not stop the collective bargaining rights of trade unions. On the other hand, it should enhance the opportunity for workers to obtain justice in the workplace.

The ratification of the convention guaranteed the freedom of the trade union to exercise collective bargaining in the state. This is because the ILOs provided mechanisms that assisted the Malaysian government to reform the national labour law framework and achieve international standards of association freedom and the right to organise based on the ILO (Gernigon et al., 2000). This resulted from the member state's obligation to comply with the provisions that compelled the government to transform to the present legal framework based on the recommendations and advice from the ILO committee. Nonetheless, the ILO encouraged the freedom of association via a collective bargain between the trade union and employer. Hence, the Malaysian government took the initiative to reform the law on the recognition process of a trade union.

Based on this vision, if there was a ratification of the convention by the Malaysian government, the ILO committee would require the government to transform their labour law to fit the principles under Article 11 of the convention. Article 11 stated that the government must take necessary and

appropriate measures in their legal system to ensure that workers and employers can exercise their right to organise. This situation brought about positive impacts on the trade union recognition process. First, the employer's recognition was abolished as a pre-requisite to the recognition claims. Second, workers were allowed to form and join trade union confederations and federations that represent these workers in collective bargaining. Third, it closed all doors for employers to exercise antiunion, and finally, it created an efficient process of trade union recognition. This attractive environment of industrial relations had eventually increased the density and efficiency of trade union in Malaysia.

The Malaysian government's commitment to the convention is another positive light, which can be observed with the ratification of the convention. Furthermore, the legal framework of the trade union movement would be supervised by the Committee on Freedom of Association (CFA). Hence, the Malaysian government is obliged to submit periodic reports to the CFA for examination. Next, the CFA would examine the member states' compliance in implementing the standards for freedom of association based on the promoted convention to the state's legal framework. Additionally, the Malaysian government must highlight the improvements that had been made in the legal framework to the CFA. Besides, the CFA would also offer advice and technical assistance to assess the necessary measures taken by the government to establish complete compliance of labour legislation based on the convention. Furthermore, economic factors play a pivotal role in developing the Malaysian government's policy. Hence the government would avoid any diplomatic or trade pressure that develops against them as a result of violated ratified conventions.

A simple and efficient recognition process is a product of countries that are aware of their responsibility to adhere to the core labour conventions set up by the ILO. This can be seen in highly developed nations such as Australia and Canada. The ratification of the convention by these countries, the technical assistance, and the mechanism offered by the ILO Governing Body had induced positive outcomes. Moreover, the inception of the Fair Works Acts 2009 reformed Australia's arbitration practices into a good faith bargaining approach instead of the collective bargaining process. Australia is a member state, which had ratified the convention in 1973. Hence, the reformation process of the labour law framework in Australia was assisted by the ILO Committee. The collectivist values in Australia's labour system were revived under the supervision of ILO (Cooper et al., 2012). The impact was observed in the Australian labour law framework via the introduction of good faith bargaining principles. The principle initiated that the employer must refrain from any misconduct, which would undermine the freedom of the association. This principle does not require an employer's recognition for a trade union in Australia before they can represent the workers in the collective bargaining process.

Besides, the independent industrial relations board was also established under the Fair Works Act 2009 to ensure that the collective bargaining action is conducted fairly.

Additionally, Canada is an ILO member state, which had ratified the convention in 1972. Canada had also benefited from the ratification of the convention because the process helped enhance the capacity of the Canadian government, trade unions, and employers to develop skills for the new industrial relations. Besides, the application of the card-check method in the recognition process in Canada is efficient (Kris, 2013). The card-check method is utilised to assess the competency of the trade union and assure that in its recognition claims provision the trade union should be free from the employer's influence and domination (Kris, 2013).

Furthermore, the ILO in Indonesia had assisted in the process of labour framework reformation. The ILO commission had contributed to the development of new labour laws in Indonesia. They provided suggestions for the follow-up process, information regarding labour law and its system in other countries, assisted with the general policy of work development based on the necessary reforms, ensured compliance with international labour standards based on the content and nature of different bills, and commented on legislation drafts. Therefore, with the assistance of the ILO, the reformation of labour law in Indonesia had experienced tremendous change (Teri, 2006).

CONCLUSION

The trade union represents the workers via a collective bargaining process with the employer. Although the Federal Constitution protects the freedom of association, the freedom of the workers in the trade union movement is restricted because of the national security policy. Besides, collective bargaining is a recognised right of the trade union. Nonetheless, there is limited access to the actions of collective bargaining. Additionally, the complex trade union recognition process, which was imposed under the IRA 1967 became a barrier to the workers and trade unions. Therefore, the present paper examined the mechanism of convention and the importance of convention ratification to reform the trade union recognition process. This had ultimately created a novel perspective on the study of industrial relations law. Moreover, this study unravelled how the imposition of obligations based on the convention eased the recognition of trade unions in Malaysia. Therefore, the study analysed the mechanisms of the convention and agreed to the ratification of the convention to reform the recognition process of the trade union. The data collected in the present study had also revealed that the convention posed a variety of challenges for the government in terms of its application and the implication on the movements of a trade union. The main challenge was the formation of multi-unions and omnibus unions in Malaysia, which caused interrivalry between the trade unions during the collective bargaining process. However,

the Indonesian government had solved the issue and Malaysia should learn from this experience and develop a framework to deal with this issue. This situation would benefit the workers because they would have the freedom to choose the trade unions to represent them in the collective bargaining process. The convention has also assisted the ILO members such as Canada and Australia to ensure that their labour law framework is fair. Despite the challenges, the ratification of ILO Convention No. 87 will improve the process of trade union recognition in Malaysia. Nonetheless, the government must take proactive steps to reform the trade union recognition process because it is access to the collective bargaining arrangements between employers and workers. Hence, trade union plays a pivotal role in improving the terms and conditions of the employment to resolve any conflicts that exist within the employment relationship via the collective bargaining process (Hassan & Wahab, 2018). Additionally, a stable industrial relation would create a good economic climate for foreign investors and probably contribute to the government's goal to increase the number of union members by a million in 2020 (Rahimy, 2019). Therefore, the Malaysian government should ratify the convention comprehensively for the future of the trade union movement in Malaysia.

ACKNOWLEDGEMENT

This research received no specific grants from any funding agency.

REFERENCES

- Abdul, R. S. S., & Mahmod, N. N. A. K. (2018a). Ideology and Trade Union movement in Malaysia. *Malayan Law Journal, I*(xxxi), 1-5.
- Abdul, R. S. S., & Mahmod, N. N. A. K. (2018b). Trade Union recognition in Malaysia: Legal issues. *UUM Journal of Legal Studies*, *9*(1), 23-37. https://doi.org/10.32890/uumjls.9.2018.9103.
- Cooper, R., Ellem, B., & Todd, P. (2012, July 5). Workers' rights and labour legislation: Reviving collective bargaining in Australia [Paper Presentation]. International Labour and Employment Relations Association 16th World Congress, Philadelphia.
- Department of Industrial Relations. (2018). *Statistics and key indicators*. Ministry of Human Resource. https://jpp.mohr.gov.my/files/pdf/statistic/STATISTIK%20JPPM%202018.pdf
- Electrical Industry Workers Union v. Registrar of Trade Unions (1976) 1 MLJ 177
- Fatimah, S., Roza, H. Z., & Saad, M. S. (2002). The determinants of Trade Union membership growth in Malaysia. *IIUM Journal of Economic and Management*, 10(2), 111-128.
- Gernigon, B., Odero, A., & Guido, H. (2000). ILO principles concerning collective bargaining. *International Labour Review, 319*(1), 33-55. https://doi.org/10.1111/j.1564-913X.2000. tb00401.x
- Hamidah, M. Y., & Roshidi, H. (2020). Determinants influencing Trade Union membership decision: A case of civil servants in Ministry of Works, Malaysia. *International Journal of Social Science Research*, 2(1), 50-63.
- Hassan, M., & Wahab, H. (2018). Resolving conflicts through collective bargaining: The current legal framework. *Journal of Humanities, Language, Culture and Business*, 2(7), 23-32.

Industrial Relations Act 1967

- Industrial Relations Act (Amendment) 2020
- International Labour Organization. (2004). Case No. 2301. Normlex. http://www.ilo.org/dyn/normlex/en/f?p=1000:50002:0::NO:50002:P50002_COMPLAINT_TEXT_ID:2908253
- International Labour Organization. (2019).

 Freedom of association cases. Normlex.

 https://www.ilo.org/dyn/normlex/en/
 f?p=NORMLEXPUB:20030:0::NO:::
- International Labour Organization. (2020). *Trade Union density rate (Malaysia)*. Normlex. https://
 www.ilo.org/shinyapps/bulkexplorer56/?lan
 g=en&segment=indicator&id=ILR_TUMT_
 NOC_RT_A
- Kesatuan Kebangsaan Pekerja-Pekerja Perusahaan Alat-Alat Pengangkutan dan Sekutu v Menteri Sumber Manusia & Anor (2016) MLJU 1215
- Krašenkienė, A., Kazokienė, L., & Susnienė, D. (2014). Relationships of the trade unions with the Media: The Lithuanian case. *Administrative Sciences*, 4(1), 1-14 https://doi.org/10.3390/ admsci4010001
- Kris, W. (2013). The decline of unionization in the United States: Some lessons from Canada. Labour Studies Journal, 38(2), 110-138. https:// doi.org/10.1177/0160449X13490801
- Kuruvilla, S., Das, S., Kwon, H., & Kwon, S. (2002). Trade union growth and decline in Asia. *British Journal of Industrial Relations*, 40(3), 431-461. https://doi.org/10.1111/1467-8543.00242.
- Lee, E. (1998). An economic perspectives. *International Labour Review, 13*(3), 181-194.
- Non-Metallic Mineral Products Manufacturing Employees Union v. United Asbestos Cement Bhd (Award No. 18/69, 23 August 1969) (1968-1969) Mal. L.L.R 22
- Patrick, Q. (2003). Freedom of association and collective bargaining. A study of Indonesian experience 1998-2003. International Labour

- Organization. https://www.ilo.org/wcmsp5/groups/public/---ed_norm/-- declaration/documents/publication/wcms_decl_wp_17_en.pdf
- Rahimy, R. (2019, May 2). Good news for the selfemployed. *The Star.* https://www.thestar.com. my/news/nation/2019/05/02/good-news-for-theself-employed/
- Ramasamy, N. (2010). *Perceived barriers to Trade Unionism in Malaysia* (Doctoral thesis).
 University Putra Malaysia.
- Ramasamy, N. (2015). Shaping the future of trade unions in a rapidly changing working environment [Paper Presentation]. MTUC/LO-Norway National Seminar on New Approaches to Wage Fixing in the Light of Globalization, Subang Jaya, Selangor, Malaysia.
- Rose, R. C., Kumar, N., & Ramasamy, N. (2010). Employees' perceptions of Trade Unions in unionised companies: A survey in Malaysia. Employment Relations Record, 10(2), 46-63.
- Shatsari, R. S., & Hassan, K. H. (2006). The right to collective bargaining in Malaysia in the context of ILO standards. *Asian Journal of Comparative Law, 1*(1), 1-20. https://doi.org/10.1017/S219460780000079X
- Steve, C. (2008). The ILO convention on freedom of association and its future in the United States. *American Journal of International Law, 102*(1), 90-107. https://doi.org/10.1017/S0002930000039841
- South Pacific Textile Industries Ltd v. Kesatuan Pekerja-Pekerja South Pacific Textile Industries Ltd. (Award No. 6/67, 16 October 1967) (1965-1967) Mal. L.L.R. 163
- Teri, L. (2006). Freedom of association: Battering ram or Trojan horse? *Review of International Political Economy, 13*(2), 210-232. https://doi.org/10.1080/09692290600625462



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Online Gambling in Malaysia: A Legal Analysis

Guru Dhillon, Lee Sook Ling, Maran Nandan, and Jason Tze-Xi Nathan*

Faculty of Law, Multimedia University, 75450 Bukit Beruang, Melaka, Malaysia

ABSTRACT

Gambling is a serious issue that comes with wide-reaching social, political, and economic consequences if not tightly monitored by governmental authorities. The advent of technology has provided gambling operators a virtual platform that caters to gamblers over the internet. Malaysian legislation that deals with gambling was drafted before online gambling came about. Malaysia has yet to introduce any amendment to existing legislation to better equip it with sufficiently clear wording and provisions for the purpose of regulating online gambling. The aims of this article are to (1) examine the prevalence of online gambling in Malaysia today and (2) analyze the application of existing legislation to regulate online gambling. In this article, the above aims are analysed from a legal perspective based on a qualitative doctrinal research method involving journal articles, relevant news articles, and Malaysian legislation. The finding of this article establishes that unregulated online gambling is growing into a pressing issue in Malaysia and relevant local legislation needs to be updated to better deal with its challenges. This article is not

ARTICLE INFO

Article history:

Received: 30 October 2020 Accepted: 14 January 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.12

E-mail addresses:
guru.dhillon@mmu.edu.my (Guru Dhillon)
sllee@mmu.edu.my (Lee Sook Ling)
maran.nandan@mmu.edu.my (Maran Nandan)
jasontn321@gmail.com (Jason Tze-Xi Nathan)
*Corresponding author

ISSN: 0128-7702 e-ISSN: 2231-8534 meant to be an all-encompassing thesis but to serve as an introductory guide into this niche area of the law.

Keywords: Betting, gaming houses, online gambling

INTRODUCTION

Malaysia's diverse demographics bring with it various challenges that stem from

its unavoidable differences. The varying beliefs and sensitivities of different communities must be taken into account in order to maintain national harmony. This is especially so when the effects of our differences spill over into the sphere of public policy. Gambling, or more accurately the right to gamble freely, is one of those divisive issues albeit a less incendiary one compared to other racial and religious issues that one would come across in Malaysia.

While Malaysia is ethnically a very diverse nation, 61.3% of the Malaysian population are Muslims (Department of Statistics Malaysia [DOSM], 2010). Malaysia is unique in the sense where it has a dual judicial system with Muslims having their own separate court system for certain areas of law as per Article 121(1A) of the Federal Constitution. Islamic Shariah law is enforceable on Muslims for certain kinds of offence. Gambling is illegal and punishable under the Islamic Shariah law if a Muslim devotee is implicated in the activity or has harboured money gained through gambling activities (Loo & Phua, 2016). This makes the issue of regulating gambling or betting socially, and consequently legally, complicated.

Yet despite that gambling in itself has had a long history in Malaysia from as early as the "....19th century when the Chinese traders and seamen came to Malaya" (Dhillon & Miin, 2013). Today Malaysia has several avenues of legalized gambling including sports betting by several legalized companies and a spectacular mountain top

casino in the form of Genting Highlands. However, these are the few and only legal avenues of gambling in Malaysia.

The advancement of technology over the years has disrupted the way many industries traditionally work. The advent of the Internet age has certainly transformed many industries although not all of the industries would be deemed as "good" in the eyes of the public. A new dimension has been added to the gambling industry in the form of online gambling and betting. One cannot say for sure if that is a good thing for society but it has turned into a multibillion-dollar industry. The non-casino gambling industry in Malaysia alone has been estimated to be worth US\$2.99 billion (Berthelsen, 2013). Hence steps must be taken to ensure that the legislative framework is up to date to deal with this new situation.

Moving forward, this article aims to examine the prevalence of online gambling in Malaysia today and analyse the application of existing legislation to regulate online gambling. Accordingly, the article will begin with the examination of the prevalence of online gambling in Malaysia with reference to relevant statistics and reports. The article will then continue with an analysis of the Malaysian legislative framework and the application of existing legislation to regulate online gambling including the Betting Act (1953), Communications and Multimedia Act (CMA, 1998), Contracts Act (1950), Common Gaming Houses Act (CGHA, 1953), and Prevention of Crime Act (POCA, 1959).

MATERIALS AND METHODS

A qualitative doctrinal research method was employed. Materials were sourced from both legal and non-legal sources including but not limited to scholarly research journals, reports, Malaysian legislation, and relevant news articles. A doctrinal analysis of relevant Malaysian legislation was conducted in tandem with a qualitative analysis of online gambling in Malaysia.

RESULTS AND DISCUSSION

Prevalence of Online Gambling in Malaysia

The nature of online gambling is such that the gambling services offered by an operator operating outside of Malaysia on an online platform that is accessible to anyone in Malaysia with an internet connection if it was not blocked by the Malaysian Communications and Multimedia Commission (MCMC). Online gambling has been accessible to the world since its origins in Antigua and Barbuda which allowed licensed online casinos to operate in 1994 (Duncan, 2015).

Global online gambling wagers are projected to reach USD 950 billion by 2021 (Juniper Research, 2016). In recent years the issue of online gambling in Malaysia has started to become a cause for concern for authorities due to a spike in the number of illegal operators run by foreign and local syndicates that have set up operation centres across Malaysia. This situation has led to numerous crackdown operations by the police to contain this problem.

Malaysian authorities are combating several forms of online gambling as follows:

- a. online gambling operators both local and foreign that offer their services on a website and local Malaysians patronize the said services:
- b. online gambling syndicates that base their operations in Malaysia but target gamblers out of Malaysia;
- c. traditional gambling operators that still operate and accept customers into their physical premises but transfer the actual gambling process to a virtual platform by providing their customer's tablets and mobile phones topped up with credit under one WiFi signal instead of traditional gambling cards and boards.

Law enforcers face difficulty in tracing their operations as they are not confined to a fixed premise. The operators can easily operate out of any premise since only mobile devices are used ("Illegal gambling", 2018).

Malaysian police generally focus their efforts on catching the illegal operators, syndicates, and people helping the syndicate instead of the gambler although there are instances where the gambler is caught and prosecuted.

In the first half of 2019 alone, police had seized RM3.8 million in cash, arrested 14,759 individuals, and seized 10,361 pieces of equipment in various raids launched against illegal gambling including online gambling. From these raids, the police identified up to 37 syndicates involved in online gambling (Bernama, 2019).

Bukit Aman Criminal Investigation Department director Datuk Huzir Mohamed in a press statement stated that the police are also working with the local authorities and the Malaysian Communications and Multimedia Commission (MCMC) to cut off utility services and block gambling websites. MCMC has also been requested to block 1,270 websites determined to be advertising gambling activities. Telecommunication operators such as Celcom, Telekom Malaysia, UMobile, Maxis, and Digi are reported to also be cooperating with enforcement authorities to halt unsolicited gambling-related messages (Bernama, 2019).

Besides that, the police have also warned that owners and tenants discovered to have given permission for gambling activities to be carried out within their premises will face legal repercussions (Bernama, 2019). Datuk Huzir stated in the same press conference that those found to be involved would "... face action under Section 4(1)(a), Section 4(1)(b), Section 4(1)(c) dan Section 4(1)(g) of the CGHA (1953)."

In the course of the crackdown, police have identified international gambling syndicates run by Chinese and Indonesian nationals, who have chosen Malaysia as a hub for these operations (Ramendran, 2019). A large number of these reported cases involved Chinese nationals and this problem was so rampant that the Chinese Embassy had to post a notice on its website advising Chinese citizens to obey local laws and urged anyone who had inadvertently become involved in fraud or online gambling

syndicates in Malaysia to get in touch with the police (Chew, 2019).

The recent Covid-19 pandemic has not stopped these syndicates from carrying out their illegal operations either. On 22 April 2020, the police raided an online gambling syndicate in Ukay Heights, Ampang, with the arrests of 25 Chinese nationals. They were from the Jianxi and Guizhou districts and found to be promoting illegal gambling through online messaging applications to gamblers in China. They were also suspected of coordinating online gambling games (Bernama, 2020).

The news articles above clearly demonstrate that the vice of online gambling is a present and real problem to be dealt with by the relevant authorities. As the vice of online gambling grows in Malaysia, it will naturally pose new problems that traditional gambling legislation does not provide for. The legislation currently employed to deal with these new problems posed by online gambling will be further discussed in the next section.

Legislative Framework of Online Gambling in Malaysia

In order for a country to effectively tackle an issue like online gambling, a two-prong approach must be adopted. The first prong is comprehensive legislation that effectively covers all aspects of the issue. Legally speaking, any form of a criminal offence can only be deemed so if it is first categorized under existing legislation as a crime. A crime is an activity that is against the laws of a nation (Ishak & Bani, 2017). It is an action

or omission which constitutes an offence and is punishable by law. For example, the Penal Code codifies a whole list of actions and omissions which are deemed as punishable offences under the law.

The second prong would be effective enforcement of the legislation. One can legislate as many good and commendable laws as possible but it will all be for naught without there being reliable enforcement agencies and mechanisms in place to prevent offences and punish offenders (Andrews, 1909). However, for the purpose of this article, only the legal aspect will be examined as the focus of this article is on the existing legislation and its weakness.

Existing Legislation

As previously mentioned, under our country's unique dual legal system as laid out in the Federal Constitution, Shariah law which is applicable for Muslims forbids any form of gambling for Muslims. This means that gambling of any form is already illegal for the majority of the citizens since Muslims make up roughly 60% of the population (Zakaria et al., 2018).

As for the non-Muslims, gambling with a licensed operator is permitted. Section 27A of the CGHA (1953), states that the Minister of Finance may authorize a validly registered Malaysian company to promote and organize gaming. A company that is not licensed to promote and organize gaming as per the above provision but still provides gaming or gambling services is essentially an illegal gambling operator and will be liable for the full brunt of the law. The same

goes for gamblers who patronize illegal gambling services.

There is a whole slew of legislation that regulates various forms of legal and licensed gambling. Among the legislation that regulates gambling in Malaysia are:

- 1. Betting Act (1953)
- 2. CGHA (1953)
- 3. Lotteries Act (1952)
- 4. Pool Betting Act (1967)
- 5. Racing Club (Public Sweepstakes) Act (1965)

These legislations are standalone statutes that deal with various forms of gambling. Apart from these Acts, there are also other pieces of legislation which is utilized by enforcement agencies in apprehending individuals dealing with illegal gambling including online gambling such as the POCA (1959). As can be observed, while we have several standalone pieces of legislation that regulate different forms of gambling activities, Malaysia does not have a standalone Act to deal with the issue of online gambling. This would not be an issue if the above mention legislation were self-equipped with provisions and wordings that granted it the power to regulate online forms of gambling. Unfortunately, that is not the case.

A cursory look at the years in which these Acts were promulgated clearly shows that its provisions were drafted in an era in which no one could anticipate the coming novelty known as the internet, let alone anticipate the challenges that would come with it in the form of online gambling. The issue of updating existing legislation has been raised up multiple times in the past with promises of an amendment to better deal with the issue of online gambling.

Then Home Minister (and current Prime Minister) Tan Sri Muhyiddin Yassin mentioned during the course of the debate in the Dewan Rakyat on 9 July 2019 that the government intended to amend gambling laws to include provisions which dealt with online gambling as "They need updating because, at that time, there was no online gambling." He also noted that countries like Singapore had standalone legislation to deal with online gambling (Kaur, 2019).

However, this intention to introduce appropriate amendments has been around since early 2017, when it was reported that then Deputy Prime Minister Zahid Hamidi made an announcement informing the public that the amendment to the CGHA (1953) had been drafted and submitted to the Attorney Generals Chambers. It was also communicated that the amendment would be tabled at the next Parliament session (Bernama, 2017). Unfortunately, the proposed amendment has yet to see the light of day. In the meantime, enforcement agencies continue to use the existing legislation to combat the vice of illegal online gambling.

Common Gaming Houses Act 1953

The CGHA (1953) is frequently relied upon by Malaysian authorities to combat illegal online gambling in Malaysia. The CGHA 1953 has multiple provisions which target the operators of illegal gaming houses and this fits the approach of Malaysian authorities in focusing their efforts on taking down the syndicates as opposed to going after the gambler which is much harder to track. The CGHA 1953 also has provisions that cover the gambler and parties which assist the syndicates hence making it a rather comprehensive piece of legislation save the lack of specific provision expressly specifying online gambling.

Former Deputy Home Minister Datuk Mohd Azis bin Jamman in a reply to YB Nurul Izzah during the parliamentary debate on 12 November 2019 stated that Tenaga Nasional Berhad (TNB) had, in accordance with Section 21A of the CGHA 1953, cut power supply to 9 premises located in Penang believed to be used as gambling hubs (Dewan Rakyat, 2019). This is an example of how comprehensive the CGHA 1953 is in its coverage.

While it is comprehensive in coverage, the key provision in the CGHA 1953 is Section 4. Bukit Aman Criminal Investigations Department director Datuk Huzir Mohamed in a press conference after a nationwide crackdown on gambling syndicates, including 37 online gambling syndicates, on 24 June 2019 informed the public in a press conference that owners and tenants found to have allowed their premises to be used for gambling activities would not be spared from police action. "Those found to be involved will face action under Section 4(1)(a), Section 4(1)(b), Section 4(1)(c), and Section 4(1)(g) of the CGHA (1953)," he said (Bernama, 2019).

Now to examine some of the provisions as mentioned by the police to be applicable.

Section 4(1)(a) -(g) of the CGHA 1953 provides that if a person who is the owner of a premise or manages the premise which is being run as a common gaming house is liable for an offence.

The provisions of the CGHA 1953 clearly intend to target operations of gambling syndicates in physical locations. While the act of gambling is online, operators of the syndicate need to operate from a physical location to keep the website of the "online casino" up and running. Hence, enforcement agencies can rely on these provisions to catch online gambling operators of all forms. Section 4(1)(b) of the CGHA 1953 goes one step further to rope in the people owning the physical locations of such operations as offenders.

Lately, there has been a noticeable shift in the modus operandi of illegal gambling operations. Local police have reported them going high tech with their go-to mode of operation involving the use of smartphones and tablets. According to Kuala Lumpur City police chief Commissioner Datuk Seri Mazlan Lazim: "A representative from the syndicate will distribute tablets which are topped up with credit. The whole gambling process will be under one WIFI signal and mostly portable WIFI. These syndicates have a lot of applications to gambling and at the end of the day, players pay in cash or via online transaction should they lose in a game." According to him, culprits could also be arrested and prosecuted under Section 4B(a) and Section 6(1) of the CGHA 1953 ("Illegal Gambling", 2018). From this article, it is clear that Section 4B and

Section 6(1) of the CGHA 1953 is deemed applicable against online gamblers who patronize the services of online gambling operators.

Section 4B of the CGHA 1953 provides the punishment of a fine or imprisonment for any person found guilty of committing an offence by transacting or dealing with a gaming machine of any form in any manner. Section 6 (1) of the CGHA 1953 on the other hand also provides the punishment of fine or imprisonment to persons found guilty of patronising a common gaming house as defined by the CGHA 1953.

While these provisions are clearly applicable to gamblers who patronize gambling operations with a physical location but carry out the actual gambling online as described in the earlier statement by Dato Seri Mazlan Lazim, it is unclear whether this provision can be deemed to be applicable to online gamblers who do not gamble in a physical gaming house. If we delve further into the CGHA 1953, the wordings of the relevant provisions are wide enough to be reasonably interpreted as applicable to online gamblers who are not physically in the gaming house.

The wording of Section 4B of CGHA 1953 has anyone who deals or transacts with gaming machines guilty of an offence, Section 2 of the CGHA 1953 defines gaming machine as:

"any mechanical, electrical or electronic machine or device (including any computer program used in such machine or device)," This device is designed or adapted in such a way that the device can be used for playing a game of pure chance or chance and skill for winnings of monetary value.

The definition of the gaming machine according to Section 2 of the CGHA 1953 is so broad and encompassing that it can arguably be interpreted to include privately owned mobile phones that have been used by gamblers to gamble online even without being present in a common gaming house and hence be liable for an offence under Section 4B of the CGHA 1953.

Unfortunately, other wordings and definitions provided within the CGHA 1953 still operate with an implied understanding or notion that gambling can only occur in a physical premise. For example, Section 2 of the CGHA 1953 provides the definition of "common gaming house" as "...any place...", of which all or certain members of the public have access for the specific purpose of gambling including various forms of gaming and lottery. While the provisions provide for various forms of gambling activity that may be conducted in the place and various possible methods of dealing with the premise, the key term in the definition of "common gaming house" is "any place". The term "any place" is used repeatedly throughout the lengthy definition.

A strict interpretation of the usage of the word "place" might run the risk of confining the reaches of the CGHA 1953 to a brick-and-mortar setting. Yet with the rise of online gambling, an online gambling website that hosts such forms of gaming in online gaming rooms, chatrooms, or

pages can arguably be said to fulfil all the conditions used to define a "common gaming house" as listed above except for the need of a physical premise (Dhillon & Miin, 2013).

Despite the potential difficulties put in place by the terminology of CGHA 1953, there have been encouraging signs of progressive application of the CGHA 1953 by enforcement authorities. On 2 October 2020, in what is believed to be the first such case in Malaysia, police raided the premises of a software development company for allegedly creating, selling, and maintaining online gambling applications for consumers in foreign countries (Camoens, 2020). The police stated that the case would be investigated under the 4(1)(g) CGHA (1953) and the Computer Crimes Act 1997. In a follow-up raid on 30 October 2020, the suspects were rearrested under the POCA (1959) (Zack, 2020). This is an encouraging step in the right direction as the role of other non-traditional gambling-related parties like software developers is being recognised as crucial to online gambling operations. However, this also shows the weakness of existing gambling regulations like the CGHA 1953 as the police had to end up relying on POCA (1959).

Betting Act 1953

The Betting Act 1953 (BA 1953) is another important piece of legislation that deals with gambling, specifically with betting. The police rely upon provisions within the BA 1953 to deal with all forms of betting including online betting. An online gambling

business that doubled as a call center was raided in Kluang, Johor on 9 January 2020. According to police, the syndicate's modus operandi was to conduct and promote online gambling from two residential properties by attracting Chinese nationals into gambling. The suspects were remanded and the case was investigated under Section 4 (1) (c) of the BA 1953 (Tan, 2020).

Section 4(c) of the BA 1953 provides that any person who cares or manages a place purposed to function as a common betting house or betting information sentence will be liable to a fine and imprisonment upon conviction. The interpretation of this provision should be combined with a reading of the definition of "betting information centre" in Section 2(1) of the BA 1953 which is loosely worded and could be widely interpreted to outlaw online gambling (Zakaria et al., 2018).

However, the potential obstacle posed by the BA 1953 for its utilization in enforcement against online gambling is the same as that of the CGHA 1953, namely the wordings of the legislation invites the interpretation that the legislation is only applicable in circumstances in which a physical premise is abused for the purposes of illegal betting.

For example, Section 2(1) of the BA 1953 defines the term "common betting house" as "...any place..." which was kept or used for the purpose of betting or receiving bets in either cash or credit, by way of telephone, post or telegram, on an event or contingency of event of which the general public has access to.

The word "place" on the other hand is defined as: -

"...any house, office, room or building, and any place or spot, whether open or enclosed, and includes a ship, boat or other vessel whether afloat or not, and any vehicle;"

Once again, the usage and definition of the word "place" in the BA 1953 would raise troubling questions on the applicability of the provisions of this piece of legislation meant to regulate betting in Malaysia onto online betting which is seemingly not caught by the definition of the word "place" which alludes to a strictly physical premise as can be deduced from its definition in Section 2 of the BA 1953.

On the other hand, the word "access" is also defined in Section 2 of the same legislation and includes access by way of telephone. While telephone betting is a different form of betting from online betting, Pan Malaysia Pools Bhd which initially started a telephone betting service after receiving a telephone betting licence has successfully transitioned that service to a mobile app through a service called dmcGO for bettors to place bets over the mobile app via the internet. This would be considered a legal form of online betting and it would seem that this is a gateway for online betting and gambling (Goh, 2017).

Prevention of Crime Act 1959

The POCA (1959) is not a gamblingspecific piece of legislation. In fact, the description of the POCA (1959) begins as follows: "An Act to provide for the more effectual prevention of crime throughout Malaysia and for the control of criminals, members of secret societies, terrorists and other undesirable persons, and for matters incidental thereto." While not solely geared towards regulating gambling, the POCA (1959) has key provisions which provide for enforcement against illegal gambling operations and hence by extension, illegal online gambling operations.

In 2016, Selangor police issued a stern warning to all owners of online gambling centres in the state to close down their operations or face action under the POCA (1959) (Bernama, 2016). Former Deputy Home Minister Datuk Mohd Azis bin Jamman in a reply to YB Nurul Izzah during the parliamentary debate on 12 November 2019 informed Parliament that between 2017 and 2019, the action was taken against as many as 28 people under POCA (1959) for the crime of online gambling (Dewan Rakyat, 2019).

In the first half of 2018 alone, police reported that 25 suspects were detained without trial under the POCA (1959). Local police while lamenting about the difficulty in apprehending culprits due to the mobile nature of this vice, said that stern actions will be taken against both operators and customers. Culprits that were caught could be prosecuted under Section 4B(a) and Section 6(1) of the CGHA 1953 (Bernama, 2018).

In addition to online gambling operators and online gamblers, police have also warned that people who assist online

gambling operators in any way, rent to online gambling syndicates or have knowledge of this vice but do not report to the police, can be implicated under POCA (1959) and be detained for up to two years without trial with the possibility of extension should it be deemed necessary. According to Bukit Aman Anti-Vice, Gambling and Secret Societies Division principal assistant director Senior Assistant Commissioner Datuk Rohaimi Md Isa, in 2019 alone, 350 culprits involved in online gambling were dealt with under provisions in POCA 1959 ("Property owners", 2020). Key provisions within POCA (1959) that are relevant to the issue of illegal online gambling are Section 3, 7(b), 19A (1), and Schedule 1(5).

Part 1(5) of the First Schedule list expressly refers to persons who are concerned with the organization and promotion of illegal gaming as part of the Registrable Categories in the POCA (1959). This widely worded provision would rightly include illegal online gambling syndicates and, if liberally interpreted, all persons involved in assisting these illegal syndicates.

Section 3 provides that a person may be arrested without a warrant by the police they have reason to believe that the person may be held under justifiable grounds under the ambit of POCA (1959). This is a controversial provision within the Act that provides for arrest without a warrant provided that the police believe that there is reason to believe that an individual is involved with applicable illegal activities including illegal online gambling as laid out in Schedule 1 of the POCA (1959).

Section 7(b) goes on to allows the police to detain one for up to 60 days if the police believe they have reason to do so. Even more draconian than Section 7(b) that is Section 19A. (1) where at the end of the 60-day detention as provided for in Section 7(b), the Prevention of Crime Board has the option of subjecting the culprit to a 2-year detention that may be renewed indefinitely for 2 years each time with no number of times the detention may be renewed.

While the arbitrary detention is draconian, to say the least, it is important to note for the purpose of this article that apart from the syndicates, individuals suspected of assisting, renting to, or frequenting illegal online gambling operations may be dealt with under the provisions of the POCA (1959) and potential be detained for an indefinite period of time.

Communications and Multimedia Act 1998

Another important but non-gambling specific piece of legislation is the CMA (1998) which plays an important role in the efforts to clamp down on online gambling as its provisions empower the Malaysian Communication and Multimedia Commission (MCMC) to block the websites used as a platform for online gambling and also advertisement of online gambling platforms.

One of the main problems that the police face today in dealing with illegal online gambling is that the server is not located in Malaysia but overseas. Hence local police rely on the Ministry of Communications and MCMC to block IP addresses which serves as a platform for online gambling. However, these gambling operators easily overcomes this problem by switching their IP address and they can be readily accessed by Malaysians again until MCMC takes note and blocks the new IP address (Dewan Rakyat, 2019).

Besides blocking online gambling websites, the MCMC also has been working to clamp down on spam Short Messaging Services (SMS) promoting gambling activities including online gambling. In the second half of 2019 alone, MCMC directed telecommunications corporations to end the services of over 5,800 numbers promoting gambling-related activities (Noor, 2019). Such usage of network facilities is an offence under Section 233 of the CMA 1998 which states that anyone who creates and initiates the transmission of any communication which is false with the intention to annoy or harass another person commits an offence and carries a maximum fine of RM50,000 or jail term of 1 year or both.

On the other hand, Section 263(2) of the CMA 1998 directs licensees to assist the MCMC or other authorities as far as reasonably necessary to enforce national laws. This provision clearly states that a licensee shall assist the MCMC in enforcing the law upon written request. In the case of online gambling, MCMC has been using its power to ensure that Internet Service Providers (ISP's) assist them in the blocking of such websites.

Contracts Act 1950

Besides those Acts, a notable piece of legislation relevant to the present issue will be the Malaysian Contracts Act (1950) which stipulates in Section 31(1) that:

"Agreements by way of wager are void; and no suit shall be brought for recovering anything alleged to be won on any wager, or entrusted to any person to abide the result of any game or other uncertain event on which any wager is made."

The above section is general in its scope and wide-ranging enough to include online betting as it is still a form of wager. The consequence of the above provision onto the online betting scene will be that local bettors will have no remedy to recover their bets should the company or syndicate in which they gambled with decide not to pay the winners. While not specifically meant to target online gambling, this provision may serve as a deterrent to potential patrons of online gambling operations.

CONCLUSION

The key findings of this study are that (1) online gambling activities are becoming increasingly widespread in Malaysia and (2) existing legislation is in need of reforms to better regulate online gambling. The lack of reported cases despite the increasing prevalence of online gambling in the day-to-day life of a Malaysian and increasing number of newsflashes about Malaysian authorities cracking down on illegal online betting operators is an interesting situation

that could be caused by a myriad of reasons. However, at the end of the day, one cannot run away from the painfully obvious conclusion that our laws pertaining to gambling and betting are archaic in form and substance with a dire need for a proper review to update and bring it up to speed with the current demands that come along with the internet era.

The online betting industry has brought with it new challenges and headaches to regulators and enforcement agencies across the world as they seek to find lasting and impactful solutions. At the same time on the local front, relevant agencies and authorities must not shirk from their duty to step up and ensure that this issue is tackled before it gets out of hand.

ACKNOWLEDGMENTS

The authors would like to extend special gratitude to the Ministry of Higher Education for providing an FRGS grant which has made the publication of this article possible. The authors would also like to extend their heartfelt gratitude to Multimedia University for providing them a platform and their colleagues for the help and support extended throughout the writing of this article.

REFERENCES

Andrews, C. (1909). The importance of the enforcement of law. *The Annals of the American Academy of Political and Social Science*, 34(1), 85-89. https://doi.org/10.1177/000271620903400111

Bernama. (2016, July 15). Stop online gambling or face action under Poca, say police. *Free Malaysia Today*. https://www.freemalaysiatoday.

- com/category/nation/2016/07/15/stop-online-gambling-or-face-action-under-poca-say-police/
- Bernama. (2017, February 14). Law to be amended to tackle online gambling. *Free Malaysia Today*. https://www.freemalaysiatoday.com/category/nation/2017/02/14/law-to-be-amended-to-tackle-online-gambling/
- Bernama. (2018, July 6). 25 online gaming suspects held under Poca this year. *Free Malaysia Today*. https://www.freemalaysiatoday.com/category/nation/2018/07/06/25-online-gaming-suspects-held-under-poca-this-year/
- Bernama. (2019, June 24). 14,759 nabbed since Jan in nationwide crackdown on illegal gambling. *New Straits Times*. https://www.nst.com.my/news/crime-courts/2019/06/498873/14759-nabbed-jan-nationwide-crackdown-illegal-gambling
- Bernama. (2020, April 22). Police cripple RM135,000-a-day online gambling syndicate. *Malay Mail*. https://www.malaymail.com/news/malaysia/2020/04/22/police-cripple-rm135000-a-day-online-gambling-syndicate/1859339
- Berthelsen, J. (2013, May 1). Threat to Malaysia's gaming tables? *Asian Sentinel*. http://www.asiasentinel.com/index.php?option=com_content&task=view&id=5378&Itemid=229
- Betting Act (1953) (Act 495).
- Camoens, A. (2020, October 2). Office of gambling software developer raided, 40 arrested. *The Star*. https://www.thestar.com.my/news/nation/2020/10/02/office-of-gambling-software-developer-raided-40-arrested.
- Chew, A. (2019, November 21). 680 Chinese held in Malaysia over online scam targeting WeChat Pay users. *South China Morning Post.* https://www.scmp.com/week-asia/economics/article/3038808/680-chinese-held-malaysia-over-online-scam-targeting-wechat-pay
- Common Gaming Houses Act (1953) (Act 289).

- Communications and Multimedia Act (1998) (Act 588).
- Contracts Act (1950) (Act 136).
- Department of Statistics Malaysia. (2010). Population distribution and basic demographic characteristic report 2010. https://www.dosm.gov.my/v1/index.php?r=column/ctheme&menu_id=L0pheU43NWJwRWVSZklWdzQ4TlhUUT09&bul_id=MDMxdHZjWTk1SjFzTzNkRXYzcVZjdz09
- Dewan Rakyat. (2019). *November 12 debate (Bil. 50*). https://www.parlimen.gov.my/files/hindex/pdf/ KKDR-12112019.pdf
- Dhillon, G., & Miin, N. Y. (2013). The regulations and control of online betting in Malaysia. *UUM Journal Of Legal Studies*, *4*, 79-97.
- Duncan, A. M. (2015). *Gambling with the myth of the American Dream*. Routledge.
- Juniper Research. (2016, September 16). Global online gambling wagers to approach \$1 trillion by 2021. CDC Gaming Reports Inc. https://www.cdcgamingreports.com/global-online-gambling-wagers-to-approach-1-trillion-by-2021/
- Goh, J. (2017, January 27). Mobile tech a game changer for NFOs. *The Edge Markets*. https://www.theedgemarkets.com/article/mobile-techgame-changer-nfos
- Illegal gambling operations go hi-tech. (2018, July 6). *The Sun Daily*. https://www.thesundaily.my/archive/illegal-gambling-operations-go-hi-tech-IUARCH562169
- Ishak, S., & Bani, Y. (2017). Determinants of crime in Malaysia: Evidence from developed states. *International Journal of Economics and Management*, 11(3), 607-622.
- Kaur, M. (2019, July 9). Govt to update laws on gambling to include online activities. *Free Malaysia Today*. https://www.freemalaysiatoday.com/category/nation/2019/07/09/govt-to-update-laws-on-gambling-to-include-online-activities/

- Loo, J. M. Y., & Phua, K. L. (2016). Gambling participation and policies in Malaysia. *Asian Journal of Gambling Issues and Public Health* 6, 3. https://doi: 10.1186/s40405-016-0012-1
- Lotteries Act (1952) (Act 288).
- Noor, M. H. M. (2019, December 11). 5,800 nombor telefon ditamatkan [5,800 phone numbers terminated]. *Harian Metro*. https://www.hmetro.com.my/mutakhir/2019/12/525704/5800-nombor-telefon-ditamatkan
- Pool Betting Act (1967) (Act 809).
- Prevention of Crime Act (1959) (Act 297).
- Property owners who rent their premises to gambling syndicates subject to Poca. (2020, February 3). *The Sun Daily*. https://www.thesundaily.my/local/property-owners-who-rent-their-premises-to-gambling-syndicates-subject-to-poca-AM1961121
- Racing Club (Public Sweepstakes) Act (1965) (Act 404).
- Ramendran, C. (2019, June 24). Cops continue war on illegal gambling, 14,759 arrested since January (Updated). *The Sun Daily*. https://www.thesundaily.my/local/cops-continue-war-on-illegal-gambling-14-759-arrested-since-january-updated-LH1018827

- Tan, B. (2020, January 10). Johor cops cripple online gambling syndicate operated by Chinese nationals. *Malay Mail*. https://www.malaymail. com/news/malaysia/2020/01/10/johor-copscripple-online-gambling-syndicate-operated-bychinese-nationals/1826655
- Zack, J. (2020, Oct 30). Online gambling suspects, among them software experts, to be charged under Poca. *The Star*. https://www.thestar.com. my/news/nation/2020/10/30/online-gambling-suspects-among-them-software-experts-to-be-charged-under-poca.
- Zakaria, N. H., Kunhibava, S., Karim, M. E., Munir, A. B., & Kok, R. (2018). Malaysian blockchain regulatory report. University of Malaya Malaysian Centre of Regulatory Studies. https:// law.um.edu.my/Research-UMCORS/RegTech/ UM%20-%20Malaysian%20Blockchain%20 Regulatory%20Research%20Report.pdf



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

An Assessment of Internet Addiction among Pre-University Students

You Huay Woon*, Nurulhaidah Daud, and Nor Farhah Razak

Pusat GENIUS@Pintar Negara, Universiti Kebangsaan Malaysia, 43600 UKM Bangi, Selangor, Malaysia

ABSTRACT

Online activities have become the norm in today's society; therefore, it is necessary to investigate addictive internet usage especially among students. In this study, a total of 75 students aged 18–19 years old were randomly selected among the pre-university students as the respondents. They were required to fill in questionnaires, which included the Internet Addiction Test (IAT) and demographic information such as gender and parental monitoring. However, five questionnaires were excluded due to the missing values. Overall, the findings indicated rates of internet addiction at 52.86%, with severe addiction at 1.43%. While severe internet addiction is not common, moderate internet addiction seems to be, as it was reported at 51.43%. Additionally, internet addiction was higher among males compared to females (72% vs 42%). The three highest-ranked online activities were school work (100%), entertainment (100%) and social networking (97.14%). Overall, parental monitoring significantly impacted the rates of internet addiction. Hence, parental monitoring needs to be considered when designing and implementing interventions for internet addiction.

Keywords: Internet addiction, internet use, online activities, parental monitoring, pre-university students

ARTICLE INFO

Article history: Received: 28 March2020 Accepted: 1 May 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.13

E-mail addresses: hwyou@ukm.edu.my (You Huay Woon) nurulhaidah@ukm.edu.my (Nurulhaidah Daud) nfarhah@ukm.edu.my (Nor Farhah Razak) *Corresponding author INTRODUCTION

The contemporary internet serves as a resource for accessing information and as a network for social interaction. This belief is especially true for adolescents, who are at an age where information seeking and social comparison is magnified (Livingstone et al., 2017). The most significant development of the internet is the interaction between

individuals, regardless of their geographic location. Moreover, the internet is the epitome of successful information infrastructure (Internet Society, 2019).

The advancement of internet technology has both positive and negative consequences in our daily lives. Examples of negative impacts include: 1) an individual feels restless without the internet, 2) an individual stays online longer than intended, 3) an individual ignores social relationships due to internet usage. These behaviours indicate that the person is at risk of internet addiction (Young, 1998). Internet addiction can be defined as an inability to withdraw from the use of the internet despite adverse consequences; this behavior persists over a significant period (Kuss & Lopez-Fernandez, 2016; Tang et al., 2014). The internet offers more options and applications for virtual human engagement with the expansion and advancement of technology (Koay, 2018).

There is a higher variation in the prevalence of cyber addiction among young people and adolescents, ranging from 8.1% to 50.9% (Mak et al., 2014). With the development of technology, the internet usage may accelerate to a greater extent in the future. Consequently, there is a reason to believe that more people, especially adolescents, will be affected by cyber addiction. Therefore, updated data is needed to illustrate the current internet usage; this will help to develop relevant interventions for internet addiction.

The findings from Cerniglia et al. (2016) found that internet addiction caused

both psychological and social difficulties. Furthermore, several studies have shown that internet addiction negatively affects adolescents' positive well-being (Chung et al., 2019; Telef, 2016; Valkenburg & Peter, 2007; Xin et al., 2018). Given this, the study of internet addiction is both timely and necessary.

In 2016, there were 3.9 billion internet users, which was 51.8% of the world's population. This figure has increased to 4.1 billion users, dominating 54.4% of the world's population (Internet World Stats, 2018), indicating that internet usage has grown worldwide. Internet usage in Malaysia is at 78.8%, representing 2.4 million people and has become an essential daily routine for Malaysians. As Malaysian students will become future leaders of our country, it is crucial to investigate the attitudes of students towards the internet usage.

The Eleventh Malaysia Plan for 2016–2020 emphasized the utilization of technology to boost productivity, which shows the importance of technology, especially the internet, to access digital infrastructure (Lee, 2018). In light of this, monitoring the status of internet usage is essential to understand the behavior of the internet. This study is unique as it provides updated estimates of internet addition among pre-university students and identifies patterns of internet usage. To the best of the authors' knowledge, research dealing with internet addiction among pre-university students is not yet available in the literature.

Hence, the research questions of this study are as follows:

- a. Do the students spend most of their time per day using the internet?
- b. Do the students experience severe internet addiction?
- c. Which categories are the most and least frequent online activities among the students?
- d. Does gender have a significant difference with the Internet addiction level?
- e. Does the parental monitoring have a significance difference with the internet addiction level?

The research hypotheses are as follows:

- a. H1: There is a significant difference between gender and internet addiction level.
- b. H2: There is significant difference between parental monitoring and internet addiction level.

The findings obtained from this study are essential to identify the internet addiction level among the pre-university students. With these findings, appropriate measures can be taken to overcome the situation. Moreover, respondents will be aware of the symptoms of Internet addiction when answering the questionnaire. Hence, this will encourage the respondents to make an effort in controlling and managing their behaviors while using the internet.

This article is structured into several sections: Section 2 discusses the methods used in this study; Section 3 elaborates the results and discussion, and finally, Section 4 offers concluding remarks and opportunities for further research.

METHODS

Sample

A total of 75 students were randomly selected from 181 students in the 2017/2018 academic session. However, 5 students were excluded due to the incomplete questionnaires returned by them. Students were informed earlier that their answers would be anonymous. There were 35.7% of the respondents who were males, while another 64.3% were females. The university name is kept anonymous.

Data Collection Method

A survey design using questionnaire was employed in this study. The questionnaire consisted of two sections. The first section was used to measure the demographic data; for example, online activities, social network use, parental monitoring of internet usage. The second section in the questionnaire was adopted from the Internet Addiction Test (IAT) (Young, 1998) to measure the presence and severity of Internet dependency among students. The IAT consisted of 20 items, with each item rated on a 6-point scale ranging from 0 = "Not applicable" to 5 ="Always". Then, the item scores were added to obtain a final score. From the final score. it can be categorized as Normal Internet Use: 0-30; Mild Addictive Use: 31-49; Moderate Addictive Use: 50-79; and Severe Addictive Use: 80-100. The data collection included a paper and pencil questionnaire. The respondents took around 25-30 minutes to complete the questionnaire.

The study procedures were carried out following the permission from the Director of pre-university programs. All respondents were informed about the study, and those who would like to participate were required to provide an informed consent. The participation of the respondents were entirely voluntary, and the respondents had the right to decline to participate without any consequence, at any time. Moreover, the participation of the respondents was anonymous.

Data Analysis Procedures

Descriptive statistics and inferential statistics were employed for data analysis by using the Statistical Package for Social Sciences (SPSS) software. Descriptive statistics were utilized to answer the research questions a, b and c. Meanwhile, inferential statistics were used to answer research questions d and e. The results obtained were presented in the form of tables and figure.

RESULTS AND DISCUSSION

We investigated the prevalence of Internet addiction in reference to demographic characteristics and parental monitoring as risk factors. The mean age among the respondents was 18.9 ± 0.30 (Min: 18 - Max: 19); these pre-university students were the students who graduated from Malaysia Certificate of Education (SPM).

It is worth noting that the average number of years the students had been using the Internet was 3.9 years. This finding indicates that the students started to surf online around the age of 14.1 and 15.1 years

old. Moreover, internet usage is integrated into students' lives; suggesting that people are starting to access the Internet earlier and highlighting the need for education in Internet usage for younger children. Figure 1 displays a bar chart representing the length of time spent using the Internet per day among the 70 pre-university students. From Figure 1, the majority of the sample (about 51.4%) reported that the length of time online per day was within 5 - 10 hours. The other 30% of the participants spent around 1-5 hours using the Internet per day. Only 2.9% and 15.7% of the participants spent less than 1 hour and more than 10 hours per day to use the internet, respectively.

The general characteristics of the participants are shown in Table 1. Since the severe addiction rate was very low, the moderate addiction and severe addiction were combined (IAT score ≥ 50). Therefore, the Internet addiction was classified into two groups, which were addiction and regular use (IAT score < 50) group. There were significant differences in the IAT scores between two groups with t = 25.436, P < .001 (See Table 2). Moreover, the "addicted" group (including severe and moderate addiction) spent significantly more time online than "regular" group (t = 2.504, P < .05). Table 1 shows that the three most frequent online activities among the participants were schoolwork (100%), entertainment (100%) and social networking (97.14%), followed by online shopping (60%) and online gaming (58.57%). Males reported the highest rates for almost all online activities (P < .05) except for social networking (P = .402). These results were consistent with previous research conducted by Xin et al. (2018). There were 51.43% internet-

addicted individuals who were using the Internet for schoolwork, entertainment and social networks.

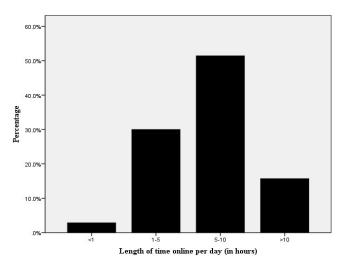


Figure 1. Length of time online per day (in hours) among the 70 respondents

Table 1

Demographic characteristics and online activities of the respondents, divided by the level of addictive internet use

	Normal use n (%)	Mild addiction n (%)	Moderate addiction <i>n</i> (%)	Severe addiction <i>n</i> (%)
Gender (n, %)				
Male	1 (1.4)	6 (8.6)	17 (24.3)	1 (1.4)
Female	5 (7.1)	21 (30)	19 (27.1)	0 (0)
Parental monitoring of online activities (n, %)				
Never	0 (0)	11 (15.7)	15 (21.4)	0 (0)
Occasionally	4 (5.7)	16 (22.9)	19 (27.1)	1 (1.4)
Often	2 (2.9)	0 (0)	2 (2.9)	0 (0)
School work $(n, \%)$				
Use	6 (8.6)	27 (38.6)	36 (51.4)	1 (1.4)

Table 1 (Continued)

	Normal use n (%)	Mild addiction <i>n</i> (%)	Moderate addiction <i>n</i> (%)	Severe addiction <i>n</i> (%)
Social network (n, %)				
Use	6 (8.6)	26 (37.1)	35 (50)	1 (1.4)
No use	0 (0)	1 (1.4)	1 (1.4)	0 (0)
Entertainment (n, %)				
Use	6 (8.6)	27 (38.6)	36 (51.4)	1 (1.4)
Online gaming $(n, \%)$				
Use	2 (2.9)	14 (20)	24 (34.3)	1 (1.4)
No use	4 (5.7)	13 (18.6)	12 (17.1)	0 (0)
Online shopping $(n, \%)$				
Use	3 (4.3)	14 (20)	24 (34.3)	1 (1.4)
No use	3 (4.3)	13 (18.6)	12 (17.1)	0 (0)

Table 2

One-sample t-test for addiction level

					95% confidence interval of the difference	
	t	df	Sig. (2-tailed)	Mean difference	Lower	Upper
Addiction Level	25.436	69	.000	1.52857	1.4087	1.6485

Nowadays, utilizing electronic technologies (i.e., e-learning) has become a new platform for student learning, which has indirectly increased internet usage among students. Besides that, all participants used the internet for entertainment purposes to ease the stress from studying. Perhaps this can be explained by the fact that the pre-university students stayed in a hostel,

where entertainment is limited; hence, many participants depended on the internet for their source of entertainment. Social networking sites such as Facebook and WhatsApp have gained popularity in recent years and have become the leading daily communication practice among students. This data is reflected in our results, which shows that social networking ranked in the

top three among all the potential online activities.

There was one participant in this study, who was classified as a severe internet addict. The prevalence rate was 52.86%, including moderate and severe internet addiction, with internet addiction higher among males than among females (72% vs 42%). Moreover, there was an association between gender and the severity of internet addiction ($\chi^2 = 5.719$, P < .05). This can be explained by the fact that the participants were adolescents, who may prioritize peer relationships and the strong wish for peer acceptance above all else. Subsequently, merely observing other classmates who show addictive internet usage has also been found to be associated with the increased likelihood of the internet addiction by their peers.

In the current study, the 'addicted' group showed significant differences in parental monitoring compared to the 'regular' group with $\chi^2 = 13.06$, P < .05, suggesting that parental monitoring was found to be a significant risk factor for Internet addiction. Parents who monitor their children's internet usage can provide useful role models on how to use the internet wisely. Furthermore, these parents may contribute to developing healthy relationships with online behavior and usage.

CONCLUSIONS

In short, internet usage has grown exponentially. There are multiple reasons for internet usage: 1) it helps the people to access information, 2) provides a platform

for socialization. Nevertheless, excessive usage of the internet is both alarming and poses a social concern. The three most frequent online activities among participants were schoolwork, entertainment and social networking. Additionally, the level of parental monitoring of their children's internet usage plays an important factor in the level of internet addiction experienced among pre-university students. Future researchers might find it useful to include other risk factors that could contribute to the internet addiction, such as the relationship with lecturers. Limitations bound this study because only pre-university students were selected as respondents. Thus, the results of this study are only applicable to the pre-university students. Therefore, future research may also include students from other degree programs such as Bachelor degree and Master degree programs.

ACKNOWLEDGEMENT

The invaluable responses given by all the respondents in this study are highly appreciated.

REFERENCES

Cerniglia, L., Zorratto, F., Cimino, S., Laviola, G., Ammaniti, M., & Adriani, W. (2016). Internet addiction in adolescence: Neurobiological, psychosocial and clinical issues. *Neuroscience and Biobehavioral reviews*, 76(Part A), 174-184. https://doi.org/10.1016/j.neubiorev.2016.12.024

Chung, T. W. H., Sum, S. M. Y., & Chan, M. W. L. (2019). Adolescent internet addiction in Hong Kong: Prevalence, psychosocial correlates, and prevention. *Journal of Adolescent*

- *Health*, 64(6), 34-43. https://doi.org/10.1016/j. jadohealth.2018.12.016
- Internet Society. (2019). *About the internet*. https://www.internetsociety.org/internet/
- Internet World Stats. (2018). *World internet statistics*. https://www.internetworldstats.com/
- Koay, K. Y. (2018). Assessing cyberloafing behaviour among university students: A validation of the cyberloafing scale. *Pertanika Journal of Social Sciences & Humanities*, 26(1), 409-424.
- Kuss, D. J., & Lopez-Fernandez, O. (2016). Internet addiction and problematic internet use: A systematic review of clinical research. World Journal Psychiatry, 6(1), 143-176. http://doi. org/10.5498/wjp.v6.i1.143
- Lee, E. (2018, October 31). Special report: 11th Malaysia plan mid-term review: Improving productivity for economic growth. *The Edge Markets*. https://www.theedgemarkets.com/article/special-report-11th-malaysia-plan-midterm-review-improving-productivity-economic-growth
- Livingstone, S., Nandi, A., Banaji, S., & Stoilova, M. (2017). Young adolescents and digital media: Uses, risks and opportunities in low- and middle-income countries: A rapid evidence review. Gender and Adolescence: Global Evidence. https://www.gage.odi.org/publication/digital-media-risks-opportunities/
- Mak, K.-K., Lai, C.-M., Watanabe, H., Kim, D.-I., Bahar, N., Ramos, M., Young, K. S., Ho, R. C. M., Aum, N.-R., & Cheng, C. (2014). Epidemiology of internet behaviors and addiction among adolescents in six Asian countries. Cyberpsychology, Behavior and Social Networking, 17(11), 720-728. https://doi.org/10.1089/cyber.2014.0139
- Tang, J., Yu, Y., Du, Y., Ma, Y., Zhang, D., & Wang, J. (2014). Prevalence of IA and its association with stressful life events and psychological

- symptoms among adolescent internet users. *Addictive Behaviors*, *39*(3), 744-747. https://doi.org/10.1016/j.addbeh.2013.12.010
- Telef, B. B. (2016). Investigating the relationship among internet addiction, positive and negative effects, and life satisfaction in Turkish adolescents. *International Journal of Progressive Education*, 12(1), 128-135.
- Valkenburg, P. M., & Peter, J. (2007). Online communication and adolescent well-being: Testing the stimulation versus the displacement hypothesis. *Journal of Computer-Mediated Communication*, 12(4), 1169-1182. https://doi.org/10.1111/j.1083-6101.2007.00368.x
- Xin, M., Xing, J., Pengfei, W., Houru, W., Mengcheng, Z., & Hong, Z. (2018). Online activities, prevalence of internet addiction and risk factors related to family and school among adolescents in China. *Addictive Behaviors Reports*, 7, 14-18. https://doi.org/10.1016/j.abrep.2017.10.003
- Young, K. S. (1998). Internet addiction: The emergence of a new clinical disorder. *Cyberpsychology & Behaviour*, 1(3), 237-244. https://doi.org/10.1089/cpb.1998.1.237



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Effects of Acceptance and Commitment Group Therapy on Iranian Couples' Marital Satisfaction in Malaysia

Nastaranalsadat Hosseini¹, Poh Li Lau¹, Diana Lea Baranovich¹, and Siaw Leng Chan²*

¹Department of Educational Psychology and Counseling, Faculty of Education, University of Malaya, 50603 Kuala Lumpur, Malaysia

²Department of Social Science and Management, Faculty of Humanities, Management and Science, Universiti Putra Malaysia, 97008 Bintulu, Sarawak, Malaysia

ABSTRACT

This study investigates the effects of Acceptance and Commitment Group Therapy (ACGT) on marital satisfaction among Iranian, postgraduate married couples residing in Malaysia. The study utilised a true experimental (pretest/posttest, control group) design. Seventy-two students (36 couples) with the lowest scores from the Marital Satisfaction Inventory were randomly selected and randomly assigned into either the experimental or control group to receive either ACGT or no therapy. Subsequently, analyses of covariance (ANCOVA) showed significant differences in marital satisfaction between the experimental and control groups. The current study finds that marital satisfaction showed considerable enhancement after the ACGT, and besides, the effects of ACGT on marital satisfaction were retained

ARTICLE INFO

Article history:

Received: 2 December 2020 Accepted: 13 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.14

E-mail addresses:
nastaran62h@gmail.com (Nastaranalsadat Hosseini)
janicepolly@um.edu.my (Poh Li Lau)
dr.dileab@gmail.com (Diana Lea Baranovich)
chansiawleng@upm.edu.my (Siaw Leng Chan)
*Corresponding author

after four weeks. The evaluation of the couples of the ACGT programme was also collected, which appeared to be satisfactory. This study has significant implications for marital satisfaction and counselling practice holistically.

Keywords: Acceptance and commitment therapy, couple, group therapy, Iranian, marital satisfaction

INTRODUCTION

Family is one of the main pillars of every society in which the foundation of society in terms of identity, culture and values can be nurtured and preserved (Gladding, 2014). The concept of family in the present study is formed from a marriage.

A healthy satisfactory marriage is established when both partners are fulfilled both physically and spiritually. To survive and satisfy such needs, both partners aim to continuously better understand each other's feelings and needs and collaborate to achieve their common interests and goals. Understanding one another serves as a predictor of marital satisfaction and a lifetime family institution, in particular (Kasapoğlu & Yabanigül, 2018; Mehrabadi, 2006). Hence, it lacks compromise that causes most of the problems and impediments in marital satisfaction.

Many investigative studies have shown that married individuals are happier when they are married than single, widowed, divorced or separated, and even cohabiting individuals (Olson et al., 2010; Rosen-Grandon et al., 2004; Stutzer & Frey, 2006). Kasapoğlu and Yabanigül (2018) stated that happiness and harmony were gained from marriage were linked with a satisfying life, and a higher level of wellbeing. However, today, the social institution of the family is altered. It is more complex, much like other social units and institutions due to some fundamental changes, such as social transformation, migration, and acculturation.

Moving into a new context is a tense change and can harm marriage and the marital relationship, as well as the family unit (Beck & Beck-Gernsheim, 2004). The resultant outcomes can be distress, marital dissatisfaction, and even divorce or separation for some couples (Beck & Beck-Gernsheim, 2004; Boyle et al., 2008; Goff, 2004; Gold, 2006). Thus, by learning new diverse skills through a reasonable treatment plan, couples can better manage stressful situations (Nourollahi, 2007), and prevent adverse outcomes and enhance their marital satisfaction.

Marital Satisfaction

Marital satisfaction is the foundation of every marital relationship as an essential element in creating a significant marital relationship (Gottman, 2014; Rosen-Grandon et al., 2004; Zakhirehdari et al., 2019) and in preserving a marriage (Previti & Amato, 2003; Trent & South, 2003). According to Greeff and De Bruyne (2000), and Zakhirehdari et al. (2019) marital satisfaction is defined as the states of mind of a couple in marriage based on a higher level of happiness, intimacy, enjoyment, support, mutual understanding, and also on their ability to solve problems and conflicts. However, such an achievement is affected by several sociodemographic and psychological factors including age, income, education, religion, individual character, spousal communication, interaction and sexual relationship (Ashdown et al., 2011; Haris & Kumar, 2018; Greeff & De Bruyne, 2000;

Rosen-Grandon et al., 2004; Slavinskienė & Žardeckaitė-Matulaitienė, 2012). Lower or dissimilarity levels of such factors may lead to marital problems and dissatisfaction.

Marital dissatisfaction and conflicts. nevertheless, are more intensive among migrant couples. A new environment and a new culture and values can affect marital satisfaction and bring additional challenges for the couple. Adjusting to a new environment usually includes significant fluctuations in a couple's roles, routines, and identities (Boyle et al., 2008). Research has indicated that immigrant married couples, married students, in particular, encounter marital difficulties in adapting different values, spending adequate time with their partner, emotional support, and financial responsibilities (Goff, 2004; Gold, 2006; Kline & Liu, 2005). Similarly, increasing marital conflicts and even divorce rates have become a significant concern for Iranian immigrant couples (Akbari, 2008; Andersson et al., 2015; Asadinik, 2009; Azadarmaki & Bahar, 2006). Due to economic difficulties, cultural identities and mostly changes in gender-role attitudes, in contrast with Iranian cultural and religious traditions (Akbari, 2008). Therefore, Acceptance and Commitment Therapy (ACT), as the new practical behavioural approach, is one of the efficacious therapies to help the couples to manage their conflicts and to increase their level of marital satisfaction (Dewane, 2008; Moradzadeh & Pirkhaefi, 2018; Omidi & Talighi, 2017; Peterson et al., 2009).

Acceptance and Commitment Therapy (ACT) for Couples

Acceptance and Commitment Therapy (ACT) is a postmodern behavioural therapy developed by Hayes. In 1982, Hayes fostered this therapy to improve psychological flexibility and empower clients with a more valued life. This aim is accomplished based on the six ACT stages of change including acceptance; cognitive defusion; being present; self as context; values; and behavioural commitment (Hayes, 2004; Hayes et al., 2006).

In the presence of any problematic or disruptive private (psychological or cognitive) event, ACT aims to assist clients to continually select to behave in a manner that is efficacious and to make suitable choices. ACT helps clients think about those events, have attention to their internal experiences and sensations, and actively accept and embrace them the way they are, rather than avoiding such undesirable feelings and thoughts (Forman & Herbert, 2009). Through ACT, clients are enabled to acknowledge their presence and observe unwanted thoughts and feelings. For instance, clients accept their unpleasant thoughts and feelings as usual and perceive them only as harmless and uncomfortable passing events (Hayes et al., 2011).

In the presence of any marital conflict or dissatisfaction, ACT similarly assists couples in observing their behaviours in their relationships, being aware of their reactions to negative relationship cycles (Peterson et al., 2009), and approaching their unwanted thoughts, feelings, and bodily states. Therefore, couples will learn to accept such thoughts and feelings mindfully and act towards gaining consistency and shared values in their relationships (Harris, 2009). Consequently, by being committed to such behaviours, the couples will decrease their emotional distance and conflicts and enhance their marital satisfaction.

Many researchers have shown that Acceptance and Commitment Therapy is useful for couples (Brown et al., 2015; Capuzzi & Stauffer, 2015; Peterson et al., 2009). These researchers concluded that ACT, as experimental acceptance-based behaviour therapy, could help couples act in ways which reduced their distress and to improve their marital adjustment, intimacy, and satisfaction significantly. Furthermore, the efficacy of ACT has been studied among Iranian couples. Past research showed that ACT had substantially reduced marital conflicts (Arabnejad et al., 2014). Alongside, there is an increase in marital satisfaction and cognitive flexibility (Kavousian et al., 2017; Keyvanpour & Lotfi Kashani, 2014; Moradzadeh & Pirkhaefi, 2018; Omidi & Talighi, 2017). Experimental studies by Arabnejad et al. (2014), Kavousian et al. (2017), and Omidi and Talighi (2017) indicated that approaching unpleasant thoughts, feelings, identifying goals, and shared values within ACT could result in enhancement of marital satisfaction and assures the positive influence of the treatment in terms of marital satisfaction among Iranian couples.

Similarly, the results of several recent research studies conducted by Azimi and Dehghani Cham Piri (2020), Farahanifar et al. (2019), Karimzadeh and Salimi (2018), Moradzadeh and Pirkhaefi (2018), and Soltaninejad et al. (2020) found that Acceptance and Commitment Therapy enhanced the quality of the relationship of couples and their marital satisfaction. As a result of such fundamental changes, the couples could increase their intimacy, compatibility, and marital satisfaction while reducing their marital problems and conflicts. Research into Iranian migrant couples' marital relationships in Malaysia indicated that the Iranian couples also face marital conflicts, dissatisfaction, and encounter difficulties. Therefore, the need for different treatments and counselling activities has been highlighted for Iranian couples regarding the need to manage their conflicts and enrich their marital satisfaction (Ahangar et al., 2016; Madanian et al., 2013; Salehy et al., 2013).

ACT in the Group Context for Couples with Marital Conflicts and Dissatisfaction

Practically, it is notably that therapists and counsellors may utilise Acceptance and Commitment Therapy in a group context. Group therapy serves to create a safe environment for growth, whereby couples with the help of a counsellor, discover their internal sources of strength. Once the group establishes cohesiveness, a safe environment for growth is established. At this point, the targets of ACT – being present, accepting undesired thoughts and feelings, connecting with the values of life and being committed – are likely to accrue among all the members. Through such a supportive environment,

the partners are enabled to be mindful of their real feelings without any attempt to solve them and be less fragile about such emotional experiences (Westrup & Wright, 2017).

Mindfulness exercises at the beginning of the group work help facilitate the couples engage with their different senses and feelings, fully present in the session (Eddins, 2014; Westrup & Wright, 2017) and look beyond the content to discover what is happening within them. When this exercise is conducted in the ACT domains, participants can get in touch with their unpleasant thoughts and feelings. The couples may connect back to their inner experience and then observe what emotions were being stirred within them at that moment.

This multilevel treatment enables husbands and wives to resolve interpersonal disputes and maintain their relationship's vibrancy (Coché, 2011). The couples are therefore encouraged to develop a healthier relationship, promote a satisfying relationship, and enhance their intimacy and to lastly prevent future problems to achieve a delightful marriage with a lifetime of loving. Given the trends in previous research, there is a lack of experimental research regarding ACT outcomes in a group format that can enhance marital satisfaction among migrated couples.

Building on the existing literature, it would appear that there has not been any experimental treatment, nor ACT applied for decreasing such conflicts and enhancing marital satisfaction of

Iranian couples in Malaysia. Therefore, the present study addresses such a gap by examining the effects of Acceptance and Commitment Group Therapy (ACGT) on Iranian married couples' marital satisfaction living in Malaysia. The experimental design is believed suitable for the current study because it involved observing the effectiveness of independent variables on a dependent variable. Also known as randomised design, experimental design allocates participants randomly in each experimental and control group (Maxwell & Delaney, 1990). This study involves a quantitative data collection method, with a pretest/posttest control group and follow-up. This study employed a true experimental design to test the following two hypotheses:

- 1. When ACGT is implemented, the couples in the experimental group who receive the treatment will have a higher level of marital satisfaction than the couples in the control group.
- 2. When the couples in the experimental group gain higher levels of marital satisfaction after ACGT, the effect will remain until the follow-up four weeks later.

METHODS

Participants and Sampling

The participants in this study were Iranian couples from a public university in Selangor in Malaysia. According to the Iranian Students Association Malaysia (ISAM; 2015), 1760 students enrolled in either the master or PhD programmes. This selected

university has the highest number of Iranian postgraduate students. Inclusion criteria included the participants are postgraduate students, married and lived together, and have been legally married for a minimum of two years. They have to score less than 35 in the Enrich Couple Scales because lower scores represent marital dissatisfaction. The participants agreed to the guidelines, time, place of therapy sessions and working together to the end of the treatment. Exclusion criteria encompassed any current psychiatric treatment.

Data Collection

This study's sampling procedure began through permission as a formal letter from the researcher's university regarding postgraduate student emails from the target university in Selangor. In the next stage, the researchers sent an email to 1532 Iranian students with a general explanation of the research and asked them to reply to the email if they were interested in joining the study and the treatment. The researchers informed interested students that they would receive a test with a standard code for a couple to clarify the husband and the wife. In the end, the researchers explained shortly about their confidentiality as well.

Later, 112 students replied to the email, and, they were requested to answer the ENRICH Couple Scales by email. Of 112 students, 13 had a moderate and high score in ECS (the inclusion criteria was Enrich Couple Scale must be 35 or less); two participants were on divorce process; 11 participants had less than two years legally

married; two participants lived separate (one of the spouses worked in Iran); three participants had psychiatric treatment during that time; nine participants did not agree to join to group therapy because of cultural issues, and some of the husbands did not agree to come in treatment. Seventy-two students (36 couples) were the total number of participants involved in this study.

According to Cohen (1992), an adequate statistical power of research would be certified by its proper sample size. Initially, this sample size was based on prior research which reported that the suitable sample sizes in most study were more than 30, and less than 500 (Sekaran & Bougie, 2016). The researchers used G-Power to ensure an appropriate sample size for this study by considering the sample dropouts during the treatment.

Later, through random assignment, the participants were randomly assigned to experimental and control groups. Random assignment helps to ensure that groups members are equal (Sawilowsky, 2004). By using a blind draw (Schloss & Smith, 1999), the researchers selected the experimental and control groups, blindly from a container containing slips mixed for random distribution throughout the container. The experimental group subjects (n = 36)participated in the ACGT, but the control group (n = 36) did not receive any therapy. During the experimental group treatment, the control group couples had Research Skills Course under their respective lecturer in another classroom in the university. However, 10 of the clients did not attend one or more of the therapy sessions or testing. Hence, only 62 participants' data were used in subsequent analyses after that. The absence of one couple for a few classes and one husband's lack during the experiment reduced the experimental group's size from 36 to 32 participants. The loss of three couples reduced the size of the control group from 36 to 30.

ACGT

The intervention used in this research was adapted from different ACT intervention components for individuals and re-designed to apply in group meetings with couples. The intervention's main target was to support couples in observing and accepting feelings and thoughts that had earlier fostered undesirable communication and contributed to dissatisfaction in the relationship and to promote valued living as an alternative plan to managing the conflict.

Since there were no ACT models for group couples, a twelve-session manualised intervention has been designed. The intervention was adapted and improved upon for the participants of this study (see Table 1), in line with Russ Harris ACT with Love (2009), Peyman Dousti ACT group therapy (Dousti et al., 2019), Peterson's ACT manual for distressed couples (Peterson et al., 2009). The therapy sessions were held for 12 consecutive weeks, one session per week at a specified time and located within the University. The treatment was conducted by a registered professional counsellor who experienced in the ACT. Since currently there is no IRB review board in Malaysia, the 12-session treatment protocol was given and verified by two professional counsellors (registered under the Board of Counsellor Malaysia) who were both also experienced with ACT. The counsellors evaluated and accepted the manual and the outline and format of the treatment programme in each session. Besides, the research proposal and the ethical considerations have received approval from the university research committee. The ACGT session was conducted at the university, and each session lasted about 90 minutes. Table 1 depicted the descriptive treatment of ACGT for couples.

Table 1

Descriptive of treatment of ACGT for couples

Session	Purpose
Session 1: Assessment and Treatment Planning	Guiding clients to know and learn about their feelings, stress, and/or fear as part of the totality of the human experience, to categorise the main factors in marital satisfaction, introduce the treatment plan to them and encourage them to value-driven action in real life.

Table 1 (Continued)

Session	Purpose
Session 2: Evaluating the costs of ineffective relational efforts	Guiding the clients to identify patterns of experimental avoidance and/or experimental control efforts at the cognitive, emotional, and behavioural levels, and to determine the life constraining costs of restraint and control.
Session 3: Creative Hopelessness: Making Space for New Solutions	Through identifying the patterns of experimental avoidance, the purpose of this session is to recognise and establish control efforts as the problem, but not the solution
Session 4: Mindfulness and Acceptance	Introducing acceptance and mindfulness to the clients as a skilful way of approaching their various life experiences.
Session 5: Choosing valued directions	To affirm valued living as an alternative plan for managing conflict.
Session 6: Moving toward a valued life with acceptance, observing self	To help the clients be subsequent in sessions and between sessions exposure exercises and link those exercises to their values and goals.
Session 7: Creating Flexible Patterns Through of Behaviour Value-Guided Exposure	To create broader and more flexible patterns of behaviour, utilising exposure, mindful observation, and diffusion.
Session 8-11: Staying Committed to Valued Directions and Action	To put values into action and learn to be in and with the situations, feelings, thoughts, and other barriers to valued living through continued exposure, mindful observation, and diffusion.
Session 12: Working toward termination	To encourage clients to attend all the sessions and commit to their values to make changes in their relationships, create a valued life, and encourage the clients to keep practising the skills and exercises they learned from the treatment in any of their life's conflicts.

Measure

In the present study, the ENRICH Couple Scales (ECS) was used to assess the couples' marital satisfaction. The ECS was developed by Olson in 1985 and later updated in

2010. It is a 30-item measure with three subscales of satisfaction, communication, conflict resolution on a 5-point Likert scale: 1. Strongly-disagree; 2. Disagree; 3. Undecided; 4. Agree; and 5. Strongly-agree.

This questionnaire had three separate scores calculated as a total score for each scale's total items. Raw scores were converted to percentages (0 to 100%). A lower percentage represented less marital satisfaction (Very Low: 0 to 15 and Low 20 to 35 percentage).

The alpha coefficient of the ECS for the sub-scales of satisfaction, communication, and conflict resolution was equal to .88, .89, .82, respectively (Olson et al., 2008). As the population of this study was Iranian in Malaysia, the questionnaire was translated into Farsi using the back-translation technique. A pilot study was conducted to establish the reliability of the translated questionnaire and validity from 40 Iranian couples in Malaysia. Then two experts in counselling psychology validated the content of the instrument items. The results showed Cronbach's α for the three subscales of satisfaction, communication, conflict resolution were .86, .81, and .83, respectively.

Substantially, ACGT evaluation was utilised to assess the couples' perspective regarding such treatment's overall utility. Also, it was to respond to the statements belonging to different components of the therapy. The researchers prepared this evaluation form, which included 12 items, and each item had three options (Yes, Maybe, and No), as shown in Table 3.

Procedure

After collecting the samples of the study, couples were invited to know about the treatment process. During this meeting, the researchers informed the participants

about the random selection. Half of them would undergo treatment in the first three months and during the experimental group intervention, while the control group had a free Research Skills Course. Next, the researcher gave each couple a handbook which explained about: 1. The time table (time, day, place and duration of each group); 2. The introduction of the professional counsellor who provided the therapy; and 3. The treatment part consists of the importance of attending all the sessions, doing the homework, and being active during the sessions. Each participant was also given a "The Couple Group Agreement" form, which included an informed consent agreement and a confidentiality agreement.

All the participants from both groups took the pretest via email and posttest after ACGT during the final session. The participants were examined through the posttest concerning marital satisfaction via a paper version. During the last session, the researchers prepared a survey and gave an evaluation form to the participants to understand their therapy point of view. After four weeks, a follow-up was conducted among all participants from the experimental group through a delayed posttest of marital satisfaction through email.

By applying the ECS Questionnaire delayed posttest, the researchers could determine whether or not the experimental participants' level of marital satisfaction can be maintained based on the Acceptance and Commitment Group Therapy. If ACGT could be significant concerning couples' marital satisfaction in the experimental

group, the researchers could also suggest the same treatment for the original control group. After the delayed posttest, the control group participants were given the same treatment to benefit from the programme.

Data Analysis

Since the sample size ended up with 62 (n=32 in the experimental group and n=30 in the control group), the power of analysis was used. According to Cohen (1992), a sufficient sample size guarantees that the research has adequate statistical power and simultaneously guarantees a Type II error decrease. To calculate the statistical power G* Power – Post hoc type was used for ANCOVA in three parts: Satisfaction, Communication, and Conflict Resolution. The post hoc results showed power (1- β err prob) > .80, so satisfaction with 62 participants, α err prob > .05 had power analysis in three parts.

The quantitative data was analysed using the Statistical Package for the Social Science (SPSS) for Windows. The normality test was used to assert the normality of the distribution between the control and experimental groups. Descriptive statistics, including mean, median, minimum, maximum, standard deviation, were calculated and presented for all the testing instruments.

Subsequently, the following inferential statistics parametric instruments were used in the study: (1) ANCOVA and (2) REPEATED MEASURED ANOVA. Analysis of covariance (ANCOVA) was used to analyse the subscales' effects between the

experimental group and the control group. At the same time, REPEATED MEASURED ANOVA was used to analyse the difference between the posttest and the delayed posttest (follow up) after four weeks. The rationale of using these two statistics was to examine group differences in the outcome variable at posttest while controlling the pretest scores on the same variable.

RESULTS

Among the 72 participants randomly selected for the research, the final sample included of 62 participants (32 experimental, 30 control). The experimental and control groups did not differ on the pre-test in ECS in three part of Satisfaction, Communication, Conflict Resolution (experimental, M = 31.00, 31.03, and 34.62, SD = 2.60, 2.94, and 2.24; control, <math>M = 29.00, 29.76, and 29.20, SD = 3.07, 3.23, and 2.85; see Table 2).

After the ACGT, the univariate test results showed that there were significant difference on ECS (satisfaction, communication and conflict resolution) post-test scores between the experimental and control groups when pre-test ECS (satisfaction, communication and conflict resolution) scores were treated as covariates. Levene's test, linear relationship, and normality checks were carried out and the assumptions were met. The results revealed significant differences between the experimental and control groups in the satisfaction F(1, 59) = 21.98, p < .05 with the effect size of (η^2 = .27), communication F(1, 59) = 44.69, p < .05 with the effect

Table 2

Descriptive statistics for pretest and posttest of experimental and control groups

Measure	Statistics	Experimental Group $(n = 32)$		Control Group $(n = 30)$			
		Pretest	Posttest	Follow- Up	Pretest	Posttest	Follow- Up
Satisfaction	M	31.00	33.15	34.03	29.00	30.00	30.00
	SD	2.60	2.55	2.32	3.07	3.11	3.11
	Skewness	023	149	420	481	561	561
	Kurtosis	- 0.800	- 0.606	-0.132	0.608	1.25	1.25
Communication	M	31.03	34.12	34.62	29.76	29.40	29.40
	SD	2.94	2.66	2.19	3.23	2.76	2.76
	Skewness	.315	143	130	431	247	247
	Kurtosis	- 0.725	- 1.00	-0.561	0.675	0.762	0.762
Conflict	M	34.62	30.46	32.90	29.20	29.96	29.96
Resolution	SD	2.24	2.21	1.85	2.85	3.34	3.34
	Skewness	007	127	048	482	294	294
	Kurtosis	- 0.623	- 0.583	-0.532	1.23	0.605	0.605

size of (η^2 = .43), and conflict resolution F(1, 59) = 7.78, p < .05 with the effect size of (η^2 = .11). The experimental and control groups differed at post-test in satisfaction (experimental, M = 33.15, SD = 2.55; control, M = 30.00, SD = 3.11), communication (experimental, M = 34.12, SD = 2.66; control, M = 29.76, SD = 3.23), and conflict resolution (experimental, M = 30.46, SD = 2.21; control, M = 29.20, SD = 2.85). The hypothesis about experimental effects at post-test was supported.

The second hypothesis focused on retaining the level of increased marital satisfaction by ACGT among the subjects in the experimental group 4-weeks after completing the treatment. There was no significant difference on ECS (satisfaction, communication and conflict resolution) posttest and delayed posttest scores in the experimental groups when pretest ECS (satisfaction, communication and conflict resolution) scores were treated as covariates. The results revealed no significant differences between the posttest and 4-week follow-up scores on satisfaction F(1, 30) = 13.49, p < .05 with the effect size of $(\eta^2 = .31)$, communication F(1, 30) =4.21, p < .05 with the effect size of ($\eta^2 = .12$), and conflict resolution F(1, 30) = 10.62, p< .05 with the effect size of (η^2 = .25). This finding supports the second hypothesis

about the retention of experimental effects after 4-week for the experimental group. The data for ESC (Satisfaction, Communication, and Conflict Resolution) consecutively showed that the subjects in the posttest had a mean of 33.15, 34.12, and 30.46 compared to the subjects in the delayed posttest who had a mean of 34.03, 34.62, and 32.90. The second hypothesis about experimental effects at follow-up was supported.

The results of the evaluation appeared satisfactory in general. Most of the subjects reported that Acceptance and Commitment Group Therapy helped them manage conflict in their marital relationship (87.5%), and their married goals (81.3%). (81.3%) of subjects reported that they could

work more effectively on their marriage problems, understand their issues (78.1%), communicate their thoughts and feelings (87.5%), and handle their emotions and behaviour (84.4%). Besides, (90.6%) of the participants reported Acceptance and Commitment Group Therapy helped them staid in their marriage, and they had healthier relationships with their wife/husband (87.5%). They also reported the activities were useful (75.0%) and they would recommend this therapy to their friends (78.1%). Finally, (75.0%) of participants were satisfied with the overall group counselling experience.

Table 3
Frequencies and percentages of couples' evaluation

Items	Yes	Maybe	No
1. I feel satisfied in my marriage after therapy.	26 (81.3)	6 (18.8)	0
2. This therapy helped me to manage conflict in a marital relationship with my spouse in this therapy.	28 (87.5)	4 (12.5)	0
3. The activities in this therapy were useful.	24 (75.0)	8 (25.0)	0
4. I'd recommend this therapy to my friends.	25 (78.1)	7 (21.9)	0
5. I made progress toward my marital goals in this therapy.	26 (81.3)	6 (18.8)	0
6. I can work more effectively on my marriage problems.	26 (81.3)	6 (18.8)	0
7. I can better understand my problems/issues.	25 (78.1)	6 (18.8)	0
8. I can better communicate my thoughts and feelings.	28 (87.5)	4 (12.5)	0
9. This therapy helped me stay in the marriage.	29 (90.6)	3 (9.4)	0
10. I feel that I can better handle my feelings and behaviour.	27 (84.4)	5 (15.6)	0
11. I have healthier relationships with my wife/ husband.	28 (87.5)	4 (12.5)	0
12. I am satisfied with my overall group counselling experience.	24 (75.0)	4 (12.5)	4 (12.5)

DISCUSSION

Some Iranian couples in Malaysia are facing marital conflicts and dissatisfaction. Therefore, this study aimed to determine the effects of Acceptance and Commitment Group Therapy (ACGT) on Iranian couples' marital satisfaction living in Malaysia. The results of the current study support the effects of the ACGT on enhancing couples' marital satisfaction. The findings of this study were congruent with previous research by Arabnejad et al. (2014), Azimi and Dehghani Cham Piri (2020), Baruch et al. (2009), Farahanifar et al. (2019), Karimzadeh and Salimi (2018), Kavousian et al. (2017), Keyvanpour and Lotfi Kashani (2014), Moradzadeh and Pirkhaefi (2018), Omidi and Talighi (2017), Peterson et al. (2009), and Soltaninejad et al. (2020).

In this study, the significant differences found in the posttest score in marital satisfaction between the experimental and control groups indicated that the Acceptance and Commitment Group Therapy was able to enhance the couples' marital satisfaction. The workability of ACGT was due to psychological flexibilities, which ended in improving the group couples' marital relationships and satisfaction. However, they were facing many conflicts as a result of migration. Indeed, the intervention's content was comprehensive because it covered the six core ACT processes in a group setting, and both wives and husbands together could continually model, instigate, and reinforce them within the sessions. Moreover, the intervention was suitable with culture as naturally accepting and shifting does not

happen successfully in Iranian culture, especially among Iranian men. Studies by Omidi and Talighi (2017) and Soltaninejad et al. (2020) had proven that implementing ACT in a group setting was useful for Iranian couples and their relationships and satisfaction increased.

In this study, the increase in marital satisfaction might be first due to the couples having learned about marital happiness and married life effects. Besides, such enhancement might be due to the couples' awareness about unwanted thoughts and feelings as part of the human experience's totality. The couples perceived that they could step back and observe the thoughts and feelings for what they were and could examine the unhelpful thoughts. Based on the ACT, there was a change in the couples' accruement when they began to experience any of their disruptive private events which allowed them to apply defusion. Such defusion disconnects couples from their negative thoughts and reactions and helps them to accept them mindfully. The couples through defusion metaphors and mindfulness practices could observe their negative behaviours and responses in their relationship. Essentially, they decide to not get in contact with their previous experiential avoidance or experimental control efforts at the cognitive, emotional, and behavioural levels, which were rooted in their marital conflicts and dissatisfaction.

The current findings indicated that the increase in marital satisfaction might also be due to couples having recognised their shared values and being committed to acting

consistently with them for goal achievement in their life and marital relationship. Once the couples observed and accepted their unpleasant thoughts and feelings and were enabled to relate to their internal reactions. they focused on their shared values to choose the direction they wanted their lives to take. Through different exercises such as Valued Directions and the Epitaph within the treatment, the couples could clarify the core values in their relationship and contact what they care about in their marital life. Effectively, the act of clarification has helped couples realise the importance of their relationship and sense satisfaction in their relationship. Lastly, couples learning to be committed to having valued lives stepped into experiencing new and flexible behavioural choices in their relationship.

The findings also indicated that the experimental effects were retained for four weeks after the treatment. The efficiency of ACGT in enhancing marital satisfaction lies in its workability over the long run. ACGT produced benefits that lasted long after treatment had stopped. This beneficial effect might be due to the couples' commitment in doing such training exercises because the feasibility of ACT within the couples' daily routine practice can be a significant reason for its long-term effects. The couples in the experimental group focused on their conflicts within a month and could continually observe and accept their unhelpful thoughts and reactions. Therefore, the couples sharing their core values and being committed to acting concerning their mutual goals could increase relational flexibility and thus,

experience more satisfaction during one month after the treatment in their marital life. Although the results showed a slight increase in the scores, imaginably after a longer duration of practice such as three, six, nine and twelve months, higher scores would be obtained. This finding is consistent with the results of the studies by Ghoroghi et al. (2012) and Peterson et al. (2009), in which ACT could be retained and had sustained effects over the long-term.

Consequently, based on the above discussion of the findings, this study supports the efficacy of ACT for enhancing the quality of the relationship of couples and their marital satisfaction just like the results of similar research studies. However, this study's findings show the effectiveness of ACT in enhancing couples' marital satisfaction and offer such effect in a group setting, and specifically among Iranian couples residing in Malaysia. Therefore, this study attempts to bridge the gap in the body of literature regarding the effects of ACGT on marital satisfaction, among Iranian couples in Malaysia. Furthermore, this study proves that ACGT can be useful for Iranian immigrants' population as migration may cause marital conflicts and dissatisfaction. Therefore, ACGT can be applied to similar sample populations in future studies. All these new observations generated through the study results can expand the knowledge and deepen the understanding of Acceptance and Commitment Group Therapy and increase the literature relevant to marital satisfaction and its enhancement among Iranian couples in Malaysia.

CONCLUSION

Practical Implications

This experimental study, which focused on ACGT, has practical implications for counselling. This study has provided empirical evidence supporting the treatment in enhancing marital satisfaction among Iranian married couples residing in Malaysia. This central finding of the study suggests the need for implementing ACT in group meetings with couples. Such treatment can be an approach to be applied for future investigations into marital satisfaction. ACGT is recommended as, through the therapy, couples will be enabled to observe their unpleasant feelings and embrace whatever remains beyond their control. The treatment also creates better affection, patience and modification among couples. It compels practising techniques that increase and improve couples' relationship to enrich their satisfaction with their marriage. In the current study, the treatment protocol was practised within 12 sessions. The description of each session will be therefore useful to outline the process of conducting ACT in groups among couples, for any counsellor or family therapist who may be interested in using ACGT.

The group setting can also effect change at multiple levels and do so simultaneously and therefore, efficiently. In this study, both male and female subjects attended together as a couple, and they gained from ACGT together. Through ACGT, they resolved their interpersonal conflicts and inspired them in other couples in the group. Besides, the group narrowed the gap that existed for the

couples between a perfect marriage and an ideal spouse. They were also able to identify their limited ability to achieve a wonderful marriage for a lifetime of loving. This study suggests the need for implementing ACT in a group setting for the benefit of both counsellors and couples.

Furthermore, this study is a documented record of a research project in Malaysia. Therefore, Iranian and non-Iranian policymakers, counsellors and family therapists in Malaysia can also benefit from such a programme as the results can act as the catalyst for enhancing marital satisfaction and reducing the rate of divorce.

Limitations and Future Directions

This study is restricted by some limitations, although the objectives have been achieved. As far as is known, this research is the first study on the effectiveness of ACGT on marital satisfaction of Iranian couples in Malaysia. Therefore, generalisation is limited as there has been no prior research on this topic, particularly concerning Iranian couples residing in Malaysia. Additionally, the study sample was limited to Master and PhD students with a minimum of two years of marriage. Thus, this study's results cannot be generalised for populations of different academic levels and are married less than two years. This study did not account for other variables such as social class, time since immigration, the number of children, to name a few. Therefore, these may all be confounding to the results of this study.

The couples' personality and behaviours in the group and individual formats might

impact the study's outcome because the changes or coincidental events that accrue cannot be controlled for each couple during the treatment intervention. From one week to another, the couples could face some family issues, financial difficulties, and cultural and social circumstances which could affect them. For instance, there was no control of probability changes in the husbands' mood and behaviours as Iranian men do not readily admit the need for group counselling based on their culture.

Based on this study, pursuing experimental studies on the effect of ACGT on marital satisfaction among Iranian couples in Malaysia is recommended to other researchers by which they can replicate this study on modified and extended lines. Future researchers can extend the sample of participants from more than one university. They can feasibly do a longer follow up to provide more information concerning the impact of ACGT over time. Moreover, future researchers can consider different academic levels and longer or shorter years of marriage or include other variables to evaluate the treatment's efficiency more effectively.

Lastly, several counselling training workshops for awareness of the therapy and its effect on marital life is recommended to be convened. As this research was undertaken in Malaysia among Iranian married couples, having a Centre locally in the Islamic Republic of Iran Embassy in Kuala Lumpur or the related Iranian associations can be suggested to run such workshops.

In conclusion, this study has put research and theory into practice by enhancing marital satisfaction by implementing Acceptance and Commitment Group Therapy (ACGT) among some Iranian couples in Malaysia. Although during the early sessions of the treatment, avoidance was apparent in the communication of the couples, physical intimacy, as well as in expressing their emotions, the implementation of ACT as a new behavioural therapy in a group format could enhance their relational health which was a basic need for them. ACGT was used to weaken and reduce unnecessary suffering and symptoms, which caused the couples to suffer in their relationship because of experiential avoidance.

The results indicated that ACGT had provided viable mindfulness and commitment activities for guiding couples towards enhancing their marital satisfaction. ACGT helped couples to observe their unpleasant thoughts and feelings and taught them to mindfully accept such ideas and act concerning consistence and shared values in their relationship regarding their connection and emotional intimacy. The couples, therefore, became more able and willing to deal with the situations that they avoided before and consequently, they acted and behaved in a way that made them more satisfied with their relationship. Altogether, this study and the remarkable results will spark more research in this area to further understand the effectiveness of ACGT on enhancing marital satisfaction among Iranian immigrant couples in particular.

ACKNOWLEDGEMENT

We thank all the participants for their cooperation in this study.

REFERENCES

- Ahangar, K., Juhari, R., Yaacob, S. N., & Talib, M. A. (2016). Demographic factors and marital satisfaction among Iranian married students in Malaysia. *Asian Journal of Social Sciences & Humanities*, 5(2), 153-163. http://www.ajssh.leena-luna.co.jp/AJSSHPDFs/Vol.5(2)/AJSSH2016(5.2-16).pdf
- Akbari, W. (2008). The changing family patterns among immigrants: An evaluation of the causes of divorces/separation among Iranian families in Sweden. [Master's thesis, University of Gothenburg]. Göteborgs Universitetsbibliotek. https://gupea.ub.gu.se/bitstream/2077/18688/1/gupea 2077 18688 1.pdf
- Andersson, G., Obućina, O., & Scott, K. (2015).

 Marriage and divorce of immigrants and descendants of immigrants in Sweden.

 Demographic Research, 33, 31-64. https://doi. org/10.4054/DemRes.2015.33.2
- Arabnejad, S., Birashk, B., & Alhosseini, K. H. A. (2014). The effectiveness of acceptance and commitment therapy (ACT) on increasing marital intimacy and decreasing marital conflicts between the couples of Tehran. *Journal of Social Issues & Humanities*, 2(8), 89-93. http://www.ijhcs.com/index.php/ijhcs/article/download/590/534
- Asadinik, S. (2009). Differentiation of self, marital adjustment, and parental involvement among Iranian-Americans [Unpublished doctoral dissertation]. Alliant International University.
- Ashdown, B. K., Hackathorn, J., & Clark, E. M., (2011). In and out of the bedroom: Sexual satisfaction in the marital relationship. *Journal of Integrated Social Sciences*, 2(1), 40-57. https://

- www.jiss.org/documents/volume_2/issue_1/ JISS_2011_Sexual_Satisfaction_in_Marriage. pdf
- Azadarmaki, T., & Bahar, M. (2006). Families in Iran: Changes, challenges and future. *Journal of Comparative Family Studies*, *37*(4), 589-608. https://doi.org/10.3138/jcfs.37.4.589
- Azimi, N., & Dehghani Cham Piri, A. (2020). Effectiveness of acceptance and commitment treatment on marital satisfaction of married women with leukemia. *Daneshvar Medicine:*Basic and Clinical Research Journal, 28(1), 38-48. http://daneshvarmed.shahed.ac.ir/article 1899.html?lang=en
- Baruch, D., Kanker, J., & Busch, A., & Juskiewicz, K. L. (2009). Enhancing the therapy relationship in acceptance and commitment therapy for psychotic symptoms. *Journal of Clinical Case Studies*, 8(3), 241-257. https://doi.org/10.1177/1534650109334818
- Beck, U., & Beck-Gernsheim, E. (2004). Families in a runaway world. In J. Scott, J. Treas, & M. Richards (Eds.), Blackwell companions to sociology. The Blackwell companion to the sociology of families (pp. 499-514). Blackwell Publishing. https://doi.org/10.1002/9780470999004.ch28
- Boyle, P. J., Kulu, H., Cooke, T., Gayle, V., & Mulder, C. H. (2008). Moving and union dissolution. *Demography*, 45(1), 209-222. https://doi. org/10.1353/dem.2008.0000
- Brown, F. L., Whittingham, K., Boyd, R. N., McKinlay, L., & Sofronoff, K. (2015). Does stepping stones triple p plus acceptance and commitment therapy improve parent, couple, and family adjustment following paediatric acquired brain injury? A randomised controlled trial. *Behaviour Research and Therapy*, 73, 58-66. https://doi.org/10.1016/j.brat.2015.07.001
- Capuzzi, D., & Stauffer, M. D. (2015). Foundations of couples, marriage, and family counseling. John Wiley & Sons.

- Coché, J. (2011). Couples group psychotherapy: A clinical treatment model. Routledge.
- Cohen, J. (1992). A power primer. *Psychological Bulletin*, 112(1), 155-159. https://doi.org/10.1037/0033-2909.112.1.155
- Dewane, C. (2008). The ABCs of ACT: Acceptance and commitment therapy. *Social Work Today*, 8(5), 34. https://www.socialworktoday.com/archive/090208p36.shtml
- Dousti, P., Ghodrati, G., & Ebrahimi, M. (2019). Guide of group psychotherapy: Based on acceptance and commitment therapy (ACT). Faragir Hegmataneh. http://dousti.net/Persian/ book/Guide%20of%20group%20psychotherapy. pdf
- Eddins, R. (2014). Acceptance and commitment therapy in group practice. The Houston Group Psychotherapy Society. https://hgps.org/newsletter/acceptance-commitment-therapy-ingroup-practice/
- Farahanifar, M., Heidari, H., Davodi, H., & Aleyasin, S. A. (2019). Comparison of effectiveness of systematic motivational counseling and acceptance and commitment therapy on conflict resolution styles of incompatible marital woman. *Journal of Research in Behavioural Sciences*, 17(1), 44-55. https://rbs.mui.ac.ir/article-1-643-en.html
- Forman, E. M., & Herbert, J. D. (2009). New directions in cognitive behavior therapy: Acceptance-based therapies. *General principles and empirically supported techniques of cognitive behavior therapy* (pp. 77-101). John Wiley & Sons, Inc.
- Ghoroghi, S., Hassan, S. A., & Baba, M. (2012). Function of family-of-origin experiences and marital adjustment among married Iranian students of Universiti Putra Malaysia. *International Journal of Psychological Studies*, 4(3), 94. https://doi.org/10.5539/ijps.v4n3p94

- Gladding, S. T. (2014). *Family therapy: History, theory, and practice*: Pearson Higher Ed.
- Goff, J. D. (2004). Ecological factors influencing the marital relationships of Chinese international graduate students. Michigan State University.
- Gold, J. M. (2006). Profiling marital satisfaction among graduate students: An analysis of the perceptions of masters and doctoral-students. *Contemporary Family Therapy*, 28(4), 485-495. https://doi.org/10.1007/s10591-006-9019-6
- Gottman, J. M. (2014). What predicts divorce?: The relationship between marital processes and marital outcomes. Psychology Press.
- Greeff, P. A., & De Bruyne, T. (2000). Conflict management style and marital satisfaction. *Journal of Sex & Marital Therapy*, 26(4), 321-334. https://doi.org/10.1080/009262300438724
- Haris, F., & Kumar, A. (2018). Marital satisfaction and communication skills among married couples. *Indian Journal of Social Research*, 59(1), 35-44. https://www.researchgate.net/publication/324680369_Marital_Satisfaction_and_Communication_Skills_among_Married_Couples
- Harris, R. (2009). ACT with love: Stop struggling, reconcile differences, and strengthen your relationship with acceptance and commitment therapy. New Harbinger Publications.
- Hayes, S. C. (2004). Acceptance and commitment therapy, relational frame theory, and the third wave of behavioral and cognitive therapies. *Behavior Therapy*, 35(4), 639-665. https://doi.org/10.1016/S0005-7894(04)80013-3
- Hayes, S. C., Luoma, J. B., Bond, F. W., Masuda, A., & Lillis, J. (2006). Acceptance and commitment therapy: Model, processes and outcomes. *Behaviour Research and Therapy*, 44(1), 1-25. https://doi.org/10.1016/j.brat.2005.06.006
- Hayes, S. C., Strosahl, K. D., & Wilson, K. G. (2011). Acceptance and commitment therapy:

- The process and practice of mindful change. Guilford Press.
- Iranian Students Association Malaysia. (2015). *Iranian Students' Association in public universities* [Unpublished raw data].
- Karimzadeh, K., & Salimi, M. (2018). The effectiveness of couple therapy (based on acceptance and commitment) on intimacy, forgivness, and psychological well-being between couples, case study: Personnel of Omidieh Education Department, Iran. European Journal of Education Studies, 4(9). https://doi.org/10.5281/zenodo.1296969
- Kasapoğlu, F., & Yabanigül, A. (2018). Marital satisfaction and life satisfaction: The mediating effect of spirituality. *Spiritual Psychology and Counseling*, 3(2), 177-195. https://doi.org/10.37898/spc.2018.3.2.0048
- Kavousian, J., Haniffi, H., & Karimi, K. (2017). The efficacy of acceptance and commitment therapy (ACT) on marital satisfaction in couples. *Journal of Health and Care, 19*(1), 75-87. http://hcjournal.arums.ac.ir/article-1-706-en.html
- Keyvanpour, P., & Lotfi Kashani, K. (2014). The impact of acceptance and commitment therapy (ACT) in increasing rate of marital satisfaction in married women. *Journal of Educational and Management Studies*, 4(3), 614-616. http://jems.science-line.com/attachments/article/26/J.%20 Educ.%20Manage.%20Stud.,%204(3)%20614-616,%202014.pdf
- Kline, S. L., & Liu, F. (2005). The influence of comparative media use on acculturation, acculturative stress, and family relationships of Chinese international students. *International Journal of Intercultural Relations*, 29(4), 367-390. https://doi.org/10.1016/j.ijintrel.2005.07.001
- Madanian, L., Mansor, S. M. S. S., & Omar, A. H. (2013). Marital satisfaction of Iranian female students in Malaysia: A qualitative study. *Procedia-Social and Behavioral Sciences*,

- 84, 987-993. https://doi.org/10.1016/j.sbspro.2013.06.686
- Maxwell, S., & Delaney, H. D. (1990). *Designing* experiments and analysing data: A model comparison perspective. Wadsworth.
- Mehrabadi, A. (2006). The effectivness of strategic of family therapy on marital satisfaction [Unpublished master's thesis]. Allameh Tabataba'i University.
- Moradzadeh, F., & Pirkhaefi, A. (2018). The effectiveness of acceptance and commitment therapy on marital satisfaction and cognitive flexibility among married employees of the welfare office. *Iranian Journal of Psychiatric Nursing*, 5(6), 1-7. http://doi.org/10.21859/ijpn-05061
- Nourollahi, H. (2007). The role of expression of couples' emotions and level of marital satisfaction [Unpublished Master's thesis]. Islamic Azad University.
- Olson, D., DeFrain, J., & Skogrand, L. (2010). Marriages and families: Intimacy, diversity, and strengths. McGraw Hill.
- Olson, D., Olson-Sigg, A., & Larson, P. J. (2008). The couple checkup: Find your relationship strengths. Thomas Nelson.
- Omidi, A., & Talighi, E. (2017). The effectiveness of marital therapy based on acceptance and commitment on couples' marital satisfaction and quality of life. *International Journal of Body, Mind and Culture, 4*(1), 46-51. https://doi.org/10.22122/ijbmc.v4i1.80
- Peterson, B. D., Eifert, G. H., Feingold, T., & Davidson, S. (2009). Using acceptance and commitment therapy to treat distressed couples: A case study with two couples. *Cognitive and Behavioral Practice*, *16*(4), 430-442. https://doi.org/10.1016/j.cbpra.2008.12.009
- Previti, D., & Amato, P. R. (2003). Why stay married? rewards, barriers, and marital stability. *Journal*

- of Marriage and Family, 65(3), 561-573. https://doi.org/10.1111/j.1741-3737.2003.00561.x
- Rosen-Grandon, J. R., Myers, J. E., & Hattie, J. A. (2004). The relationship between marital characteristics, marital interaction processes, and marital satisfaction. *Journal of Counseling & Development*, 82(1), 58-68. https://doi.org/10.1002/j.1556-6678.2004.tb00286.x
- Salehy, Z., Mahmud, Z., & Amat, S. (2013). Immigration and Iranian couples in Malaysia. *Procedia-Social and Behavioral Sciences*, 84, 850-854. https://doi.org/10.1016/j.sbspro.2013.06.660
- Sawilowsky, S. S. (2004). Teaching random assignment: Do you believe it works? *Journal* of Modern Applied Statistical Methods, 3(1), 23. https://doi.org/10.22237/jmasm/1083370980
- Schloss, P. J., & Smith, M. A. (1999). *Conducting research. Englewood Cliffs*. Prentice Hall.
- Sekaran, U., & Bougie, R. (2016). Research methods for business: A skill building approach. John Wiley & Sons.
- Slavinskienė, J., & Žardeckaitė-Matulaitienė, K. (2012). The relations between sociodemographical factors, irrational beliefs, adult insecure attachment style and marital satisfaction of Lithuanian married couples. *Proceedings in ARSA-Advanced Research in Scientific Areas*. https://www.academia.edu/4626257/The_relations_between_socio-demographical_factors_irrational_beliefs_adult_insecure_attachment_style_and_marital_satisfaction_of_Lithuanian_married_couples

- Soltaninejad, K., Khosropour, F., & Mohammadtehrani, H. (2020). Effect of acceptance and commitment therapy on marital adjustment and dysfunctional attitudes among married students. *Journal of Nursing Education (JNE)*, 9(4). http://jne.ir/article-1-1163-fa.pdf
- Stutzer, A., & Frey, B. S. (2006). Does marriage make people happy, or do happy people get married? *The Journal of Socio-Economics*, *35*(2), 326-347. https://doi.org/10.1016/j.socec.2005.11.043
- Trent, K., & South, S. J. (2003). Spousal alternatives and marital relations. *Journal of Family Issues*, 24(6), 787-810. https://doi.org/10.1177/0192513X03252779
- Westrup, D., & Wright, M. J. (2017). Learning ACT for group treatment: An acceptance and commitment therapy skills training manual for therapists. New Harbinger Publications.
- Zakhirehdari, N., Navabinejad, S., & Koraei, A. (2019). The effectiveness of cognitive-behavioral couple therapy on improving marriage performance and marital intimacy of couples. *Medical Science*, 23(97), 290-293. http://www.discoveryjournals.org/medicalscience/current_issue/v23/n97/A5.pdf



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Psychometric Evaluation of the Malay Version of the Multidimensional Beck Youth Inventories-2 (BYI-2 Malay): Measuring Self-Concept, Anxiety, Depression, Anger, and Disruptive Behaviour among Adolescents in Sheltered Homes

Wai-Eng Ding^{1*}, Kit-Aun Tan¹, Jia-Yuin Fam^{2,3}, Firdaus Mukhtar¹, Munn-Sann Lye⁴, Hamidin Awang¹ and Khadeeja Munawar^{5,6}

¹Department of Psychiatry, Faculty of Medicine and Health Sciences, Universiti Putra Malaysia, 43400 UPM Serdang, Malaysia

²Department of Human Development and Family Studies, Universiti Putra Malaysia, 43400 UPM Serdang, Malaysia

³Centre for Commercial Law and Justice, Sunway Business School, Sunway University,

47500 Selangor, Malaysia

⁴Department of Population Medicine, Faculty of Medicine and Health Sciences,

Universiti Tunku Abdul Rahman, 43000 Kajang, Selangor, Malaysia

⁵Department of Psychology, Jeffrey Cheah School of Medicine and Health Sciences, Monash University, 47500 Bandar Sunway, Malaysia

⁶Department of Psychology, Faculty of Social Sciences and Liberal Arts, UCSI University, Cheras, 56000 Kuala Lumpur, Malaysia

ABSTRACT

The purpose of this study was to evaluate the psychometric properties of the Malay version of the Beck Youth Inventories-Second Edition (BYI-2 Malay) in a sample of adolescents living in the nongovernment-run sheltered homes. In this study, 300 adolescents completed the BYI-2 Malay, the Beck Depression Inventory-Malay (BDI-Malay), the Beck Anxiety Inventory-Malay (BAI-Malay), the Automatic Thoughts Questionnaire-Malay (ATQ-

ARTICLE INFO

Article history: Received: 07 April 2020 Accepted: 17 September 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.15

E-mail addresses:
dingcpsy@gmail.com (Wai-Eng Ding)
tanka@upm.edu.my (Kit-Aun Tan)
jiayuinf@sunway.edu.my (Jia-Yuin Fam)
drfircbt@gmail.com (Firdaus Mukhtar)
lyems9@yahoo.com (Munn-Sann Lye)
hamidin@upm.edu.my (Hamidin Awang)
khadeeja.munawar14@gmail.com (Khadeeja Munawar)
* Corresponding author

Malay), and the Rosenberg Self-Esteem Scale-Malay (RSES-Malay). The internal consistency estimates for the BYI-2 Malay scales, as measured by Cronbach's alpha, were excellent: .86 for self-concept, .89 for anxiety, .92 for depression, .92 for anger, and .92 for disruptive behaviours. The five-factor model of the BYI-2 Malay (i.e., Self-Concept, Anxiety, Depression, Anger, and Disruptive Behaviour) showed a good fit to the data. Evidence for concurrent validity

ISSN: 0128-7702 e-ISSN 2231-8534 was established between the BYI-2 Malay Self-Concept scale and the RSES-Malay (r = .41), between the BYI-2 Malay Anxiety scale and the BAI-Malay (r = .60), and between the BYI-2 Malay Depression scale and the BDI-Malay (r = .69). The evidence for convergent validity was established between the BYI-2 Malay Anger scale and the ATQ-Malay (r = .71), and between BYI-2 Malay Disruptive Behaviour scale and the ATQ Malay (r = .52). The present findings shed light on the utility of the BYI-2 Malay in aiding clinicians as well as therapists for identifying multiple symptoms of social and emotional problems in adolescents.

Keywords: Beck Youth Inventories, factor structure, reliability, validity

INTRODUCTION

Research on social and emotional problems among adolescents has grown apace in recent decades. It has been suggested that various social and emotional difficulties may escalate during adolescence. Such difficulties include identity confusion (Sokol, 2009), anxiety (Baxter et al., 2014), depression (Kaur et al., 2014), aggressive behaviours (Kaya et al., 2012), and problematic behaviours (McMorris et al., 2007). More importantly, many of these difficulties are claimed to predate negative repercussions in suicidal (Greene et al., 2009) and criminal behaviours (Anderson et al., 2015). A large epidemiological study by the National Health and Morbidity Survey in Malaysia showed that one in five Malaysian adolescents had depression symptoms, of these, 17.7% were girls and 18.9% were boys (Institute for Public Health, 2018). This highlights a timely need for identifying social and emotional problems in Malaysian adolescents at an early stage.

The high prevalence and multiple detrimental effects of social and emotional problems on psychological well-being in adolescents signal a need for a valid and reliable measure. The Beck Youth Inventories (BYI; J. S. Beck, Beck, & Jolly, 2001) appears to be an appealing selfreport measure in that it assesses social and emotional problems among adolescents in a multidimensional manner. Unlike the BYI, the Beck Depression Inventory (BDI; A. T. Beck et al., 1961) and the Beck Anxiety Inventory (BAI; A. T. Beck & Steer, 1990) only assess social and emotional dimension in a unidimensional manner. Besides, the comorbidity of depression and anxiety is common. Cummings et al. (2014) reported that depression was often comorbid with generalized anxiety disorder in children and adolescents. Also, Rapee (2018) stated that children with anxiety disorder rarely met the main diagnostic criteria for a single disorder due to its strong comorbid conditions with other internalising disorders such as depression. A recent systematic review reported that low self-esteem was positively associated with depression and anxiety in young people aged 18 and below, this is especially evident among those with depression and anxiety (Keane & Loades, 2017). Meanwhile, Kerr and Schneider (2008) also showed that children who lost anger control were more likely

than others to exhibit both externalizing and internalizing problem behaviours. Understanding childhood anger plays an important role in managing consequences of anger not only in short-run but also long-run. Hence, the scope of the BYI-2 scales is fairly broad as it addresses at least five areas of social and emotional problems in children and adolescents that are comorbid, yet each scale of the BYI-2 is relatively a specific measure of functioning.

The first edition of the 100-item BYI consists of five scales including selfconcept, anxiety, depression, anger, and disruptive behaviour. These scales capture social and emotional functioning among children and adolescents from 7 to 14 years old. Each scale consists of 20 items. The BYI has demonstrated adequate psychometric properties (J. S. Beck, Beck, & Jolly, 2001). In past research, high internal consistency estimates for the BYI scales were reported with Cronbach's alpha ranging from .87 to .93 in Mathiak et al. (2007), from .87 to .92 in Thastum et al. (2007), and from .90 to .94 in Steer et al. (2005). Steer et al. (2005) reported the concurrent validity between the BYI Depression scale and the Child Depression Inventory (CDI; Kovacs, 1992) (r = .81), between the disruptive behaviour scale of the BYI and the Oppositional Scale of the Conners Rating Scales-Revised (CRSR; Conners et al., 1998) (r = .49), and between the BYI Anger scale and the Conners' Oppositional Scale (r = .41). In addition, Thastum et al. (2009) showed that the BYI could discriminate between normal and clinical populations as the proportion of children in the clinical group exceeding the 90th percentile of the BYI was significantly different from normative samples for all the scales. Also, a recent study by Blackmon et al. (2015) showed that an abbreviated version of depression scale of the BYI could significantly detect depression in cancer surviving adolescents. Moreover, Steer et al. (2005) showed evidence that BYI was a reliable and valid tool to screen child psychiatric outpatients who were diagnosed with mood, anxiety, adjustment, attention-deficit, and disruptive behaviour disorders.

The BYI is available in other languages such as Danish (Thastum et al., 2009) and Polish (Mathiak et al., 2007). Thastum et al. (2009) performed an exploratory factor analysis (EFA) of the BYI since the factors were correlated and non-rotated EFA was done. Thastum et al. (2009) reported several cross-loadings and six items did not load above .31. Specifically, all anxiety items loaded above .31 on first factor, 18 disruptive behaviour items loaded above .31 on the second factor, 17 anger items loaded above .31 on the third factor, all selfconcept items loaded above .31 on the fourth factor, lastly 11 depression items loaded above .31 on the fifth factor. To reduce item complexity, Thastum et al. (2009) performed confirmatory factor analysis (CFA) with item-parcelling method in which 20 items of each scale were randomly allocated to four five-item parcels. Thastum et al. (2009) retained all original 100 items after CFA, and the findings showed a good fit for the data for each of these five scales $(\gamma 2/df = 5.7,$ CFI = .96, TLI = .94, and RMSEA = .06).

The item presentation of the second edition of the BYI (BYI-2: J. S. Beck, Beck, Jolly, & Sterr, 2005) is identical to the BYI. The rationale for choosing the BYI-2 in this study because it extends its predecessor by providing a standardized norm from aged 7 up to 18 years old. A study by J. S. Beck, Beck, Jolly, and Steer (2005) showed that the BYI-2 demonstrated these adequate psychometric properties: the internal consistency within each scale of the BYI had Cronbach's alpha ranging from .86 to .91 for ages 7-10, from .86 to .92 for ages 11-14, and from .91 to .96 for ages 15-18. Additionally, convergent validities were shown for children from ages 7 to 14 between the BYI-2 Depression scale and the CDI (r = .72), the BYI-2 Anxiety scale and the Revised Children's Manifest Anxiety Scale (RCMAS; C. R. Reynolds & Richmond, 1997) (r = .70), the BYI-2 Disruptive Behavior scale and the Conduct Problems scale of the Conners-Well's Self-Report Scale-Short (CASS-S; Conners, 1997) (r = .69), and the BYI-2 Self-Concept scale and the Piers-Harris Children's Self-Concept Scale (PHCSCS; Piers, 2002) (r = .61). Furthermore, convergent validities were found for adolescents from ages 15 to 18 between the BYI-2 Depression scale and the CDI (r = .67), the BYI-2 Anxiety scale and the RCMAS (r = .64), the BYI-2 Disruptive Behavior scale and the Conners' Conduct Problems scale (r = .76), and the BYI-2 Self-Concept scale and the PHCSCS (r = .77). Convergent validity for children and adolescents between the BYI-2 Anger scale and the Reynolds Bully Victimization

Scales for School (RBVSS; W. Reynolds, 2003) was r = .61.

The BYI-2 is also available in Chinese (Cho et al., 2009) and Norwegian (Kornør & Johansen, 2016). The norms of both Chinese and Norwegian versions of the BYI-2 were based on primary and secondary school children. A similar study was conducted by Cho et al. (2009) but no EFA results were reported. However, using the CFA, Cho et al. (2009) reported that the Chinese version of the BYI-2 had an acceptable fit to data. Cho et al. (2009) reported that the Cronbach's alphas of the scales of depression, anxiety, anger, disruptive behaviour, and self-concept were over .90, and the criterion validities of all these scales were statistically significant. Kornør and Johansen (2016) also reported high internal consistency with Cronbach's alpha ranging from .84 to .92 for the Norwegian version of the BYI-2. However, no information on criterion validity was reported for the Norwegian version. Also, past studies showed that scores for anxiety, depression, angry, and disruptive behaviour on the BYI-2 were higher (J. S. Beck, Beck, Jolly, & Steer, 2005; Cho et al., 2009), and self-concept was lower in children and adolescents from special education sample and clinical population than community sample of similar age groups (J. S. Beck, Beck, Jolly, & Steer, 2005).

Present Study

The BYI and BYI-2 have been used internationally (Beebe et al., 2010; Melnyk et al., 2014). With respect to psychometric properties of the BYI-2, the

scale has demonstrated good reliability and convergent validity (J. S. Beck, Beck, Jolly, & Steer, 2005; Cho et al., 2009). However, only limited evidence pertaining to the psychometric properties of the translated versions of the BYI-2 when it was administrated in participants aged from 7 to 18 years old across populations. The presence of a Malay version of the BYI-2 could inform our current management of, and prevention for, social and emotional problems in adolescents. Moreover, previous studies examining the psychometric properties of the BYI-2 have yet to employ CFA, allowing to evaluate its factor structure. The BYI-2 was selected in this study because it can measure various domains of social and emotional functioning by using a single tool.

The present study aimed to answer one research question: Whether the BYI-2 is a reliable and valid too to screen for depression, anxiety, anger, and disruptive behaviors as well as self-concept in adolescents? Using confirmatory factor analytic approach, the aim of this study was to investigate the factor structure, reliability, and validity of the BYI-2 in a sample of adolescents living in the nongovernment-run sheltered homes. We targeted this population for one important reason: As far as social and emotional problems are concerned, adolescents from the orphanage population were at greater risk for depression, anxiety and phobia, post-stress traumatic disorder, low self-esteem and other psychosocial problems than adolescents from general population (Cluver et al., 2012; Fawzy

& Fouad, 2010; Mohammadzadeh et al., 2018; Nalugya-Sserunjogi et al., 2016; Puffer et al., 2012; Ramagopal et al., 2016; Ruiz-Casares et al., 2009). One-thirds of the adolescent orphans had suicidal intentions (Ramagopal et al., 2016).

METHOD

Participants

The total sampling frame consisted of 331 participants, only 300 participants met inclusion and exclusion criteria. The final sample included 300 adolescents (45.7% female and 54.3% male), aged 13 to 17 years old (M = 14.77, SD = 1.39). Ethnicity breakdown for the sample revealed that 98.3% were Malay. All of them were Muslims (100.0%). Most of the sample had lost at least one parent (53.3%).

Measures

The Malay Version of the Beck Youth Inventories-Second Edition (BYI-2 Malay). The 100-item English version of the BYI-2 is a self-report measure designed to assess social and emotional functioning of children and adolescents (J. S. Beck, Beck, Jolly, & Steer, 2005). It consists of 5 scales including self-concept, anxiety, depression, anger, and disruptive behaviour. Every scale has 20 items. Participants rate the item based on a 4-point Likert scale ranging from 0 (being never) to 3 (always). The BYI-2 scales can be administered individually or collectively. The BYI-2 has demonstrated good internal consistency with Cronbach's α ranged from .86 to .96 (J. S. Beck, Beck, Jolly, & Steer, 2005). In the present study,

the BYI-2 was translated based on Beaton et al.'s (2000) recommendations. In stage 1, the BYI-2 was initially translated into Malay language by two bilingual translators, one with knowledge and the other one without knowledge on psychology. In stage 2, these two translators resolved the discrepancies in their translations such as "Orang mahu mendampingi saya." was chosen for the item "People want to be with me." instead of "Mereka mahu mendampingi saya.", and "Saya baik seperti kanak-kanak lain." was chosen for the item "I am just as good as the other kids." instead of "Saya sama seperti kanak-kanak lain.". In stage 3, a professional language interpreter examined quality and accuracy of the translation by deciding the most appropriate Malay terminology. For instance, the statement of "Saya menggigil." was chosen over the statement "Saya menggeletar." for the item "I get shaky." The Malay version of the BYI-2 was then translated back to English by another two independent translators. There were several differences between the backtranslated version and the original version, but the differences were minor. For example, the back-translated version reads "People think I'm good at things.", while the original version reads "Others think that I'm good at something.", and the back-translated version reads "I feel like I'm a good person.", while the original version reads "I feel like I'm a nice person.". In stage 4, face and content validity were obtained through expert committee members to decide on the most appropriate terminology in Malay language, and on the discrepancies between the original and back-translated versions. In stage 5, a pilot study was conducted involving 42 adolescents residing in an orphanage. Minor revisions were done with respect to language and cultural terms in Malay. The cultural term discrepancy was, for instance, *jenaka* versus *buat lawak*. These adolescents were not included in the validation sample of the BYI-2 Malay.

Beck Depression Inventory-Malay (BDI-Malay). The 20-item self-report BDI-Malay (BDI-Malay; Mukhtar & Oei, 2008) is a self-report measure of depression symptoms. Participants rated items on a 4-point Likert scale ranging from 0 (not at all) to 3 (severely). The BDI-Malay has two subscale scores, namely cognitive/affective and somatic/vegetative and yields a total score. In past research, Cronbach's alphas for the subscales ranged from .71 to .91 (A. T. Beck et al., 1961). Due to the focus of our study, only the total score was used. Cronbach's alpha for the BDI-Malay in the present study was .88.

Beck Anxiety Inventory-Malay (BAI-Malay). The 21-item BAI-Malay (Mukhtar & Zulkefly, 2011) is a self-report measure of anxiety symptoms. Participants rated items on a 4-point Likert scale ranging from 0 (*not at all*) to 3 (*severely*). The BAI-Malay has three-factor solution (subjective anxiety, autonomic, and neurophysiology) and yields a total score. In past research, Cronbach's alphas for the subscales ranged from .66 to .89 (Mukhtar & Zulkefly, 2011). Due to the focus of our study, only the total score was

used. Cronbach's alpha for the BAI-Malay in the present study was .91.

Automatic Thoughts Questionnaire-Malay (ATQ-Malay). The 17-item ATQ-Malay (Oei & Mukhtar, 2008) is a self-report measure of negative automatic thoughts. Participants rated items on a 5-point Likert scale ranging from 1 (not at all) to 5 (all the times). The ATQ-Malay has two subscale scores: negative self-concept/negative expectations and personal maladjustment and yields a total score. In past research, Cronbach's alphas for the subscales ranged from .83 to .93 (Oei & Mukhtar, 2008). Due to the focus of our study, only the total score was used. Cronbach's alpha for the ATQ-Malay in the present study was .93.

Rosenberg Self-Esteem Scale-Malay (RSES-Malay). The 10-item RSES-Malay (Yaacob, 2006) is a self-report measure of global self-esteem. Participants rated items on a 5-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree). In past research, Cronbach's alpha for the RSES-Malay was .84 (Yaacob, 2006). Cronbach's alpha for the RSES-Malay in the present study was .54.

Procedure

There is no official list of orphanages in Malaysia. The Malay-operated nongovernment-run sheltered homes that sheltered underprivileged children and adolescents including orphans were identified via multiple sources: the official website of Department of Social Welfare Malaysia, the Registry of Society Malaysia, and the Department of Islamic Selangor. Government-run sheltered homes due to differences in governance and facilities were excluded in this study. Non-Malay-operated sheltered homes were also excluded in this study due to different religious affiliation and language barriers. Nine Malay-operated nongovernment-run sheltered homes that represented each district of all nine districts in the state of Selangor, Malaysia were randomly selected. Written consent was obtained from the legal guardians of nongovernment-run sheltered homes where the adolescents were residing because all of them of below 18 years old. All adolescents from each home were invited to participate in this study on a voluntary basis. Only those who fulfilled the inclusion criteria were recruited. Most of them were from underprivileged families including orphans. The inclusion criteria for the participants were as follows: aged 13 to 17 years, had been staying in nongovernment-run sheltered homes for at least one day and fluent in the Malay language. The exclusion criteria were learning disorders, current use of psychotropic medication, currently attending psychotherapy, had organic brain disorder due to physical injuries, diseases or intoxication of substances, and absent on the day the data were collected. The exclusion criteria were included in the BYI-2 questionnaire. Information pertaining to the exclusion criteria were solely obtained through self-disclosure. They completed the set of questionnaires approximately within 15 to 20 minutes.

Ethical Information

Approval was obtained from the Universiti Putra Malaysia Ethics Committee for Research Involving Human Subjects (Reference No.: UPM/TNCPI/RMC/1.4.18 (JKEUPM)/F1. Furthermore, formal permission was sought from the authors of the scale. Permission for translation and data collection on Beck Youth Inventories was granted by Vice President, Finance Clinical Assessment, NCS Pearson, Inc. Informed consent was obtained from the legal guardians of the nongovernment-run homes where the participants were residing.

Data Analysis

We used the SPSS 22 and AMOS 22 (IBM Corporation, 2011) for data analyses. We also examined data accuracy and statistical assumptions in terms of missing values, normality, and outliers. We conducted three major analyses. First, the CFA was performed to confirm the factor structure of the BYI-2 Malay. Having acknowledged that chi-square (χ^2) is insufficient in assessing model fit, the five-factor model was further evaluated by using a set of goodness fit indices including the relative chi-square (χ^2/df) , normed fit index (NFI), comparative fit index (CFI), incremental fit index (IFI), Tucker Lewis index (TLI), and root mean square error of approximation (RMSEA). A measurement model is considered good, if the fit indices fulfil the following acceptable ranges: ≤ 5 for χ^2/df (Schumacker & Lomax, 2010), \geq .90 for CFI (Bagozzi & Yi, 1988), NFI, TLI (Bentler & Bonett, 1980), and IFI (Bollen, 1989), and $\leq .08$ for RMSEA

(Browne & Cudeck, 1992). Secondly, we obtained Cronbach's as as the reliability estimates of the BYI-2 Malay scales. Thirdly, a series of Pearson's r tests were performed in examining the validity of the BYI-2. The relations between the BYI-2 Self-Concept scale and the RSES-Malay, between the BYI-2 Anxiety scale and the BAI-Malay, and between the BYI-2 Depression scale and the BDI-Malay were tested to establish the concurrent validity. As there have been consistent links between anger and automatic thought and between disruptive behaviour and automatic thought (R. Beck & Fernandez, 1998; Flouri & Panourgia, 2014; Sukhodolsky et al., 2004; Yavuzer et al., 2014), we tested the relations between the BYI-Malay Anger and the ATQ-Malay and between the BYI-2-Malay Disruptive Behaviour and the ATQ-Malay to establish the convergent validity.

RESULTS

Descriptive Statistics

Table 1 shows means, standard deviations, skewness, and kurtosis indices for study variables. It is notable that all skewness and kurtosis indices for study variables were in the acceptable range (Kim, 2013; Kline, 2010). The participants completed all the questionnaires. The missing cases were less than 4.8%.

Factor Structure of the BYI-2 Malay

The original 100-item five-factor model of the BYI-2 showed a poor fit to the data, $\chi 2/df$ = 1.95, NFI = .50, CFI = .67, IFI = .67, TLI

Table 1
Means, standard deviations, skewness, and kurtosis

Instruments	M	SD	Skewness	Kurtosis
BYI-2 Malay				
Self-concept	29.38	8.37	0.04	0.05
Anxiety	22.94	9.68	0.48	-0.06
Depression	19.15	10.76	0.89	0.94
Anger	18.96	10.53	0.72	0.15
Disruptive behaviour	15.22	9.36	1.11	1.82
RSES-Malay	33.04	5.01	0.04	-0.09
BAI-Malay	17.94	9.95	0.34	-0.21
BDI-Malay	15.33	9.54	0.84	0.57
ATQ-Malay	34.10	11.84	1.11	1.40

Note. BYI-2 Malay = Beck Youth Inventories Second Edition-Malay; Rosenberg Self-Esteem Scale-Malay (RSES-Malay); Beck Anxiety Inventory-Malay (BAI-Malay); Beck Depression Inventory-Malay (BDI-Malay); Automatic Thoughts Questionnaire-Malay (ATQ-Malay).

= .66, RMSEA = .06 (see Model 1; Table 2). Prior to conducting CFA in the present study, EFA was conducted. The results of EFA showed that most items loaded in the first factors, and cross-loadings and some items did not load above 0.31. To avoid instability of factor solution, we combined the items into parcels by random assignment (Little et al., 2002). The BYI-2 comprised five factors. Each factor consisted of four parcels. There were 5 items per parcel.

The parcelled five-factor structure of BYI-2 Malay model demonstrated a good fit to the data, $\gamma^2/df = 2.22$, NFI = .91, CFI =

.95, IFI = .95, TLI = .94, RMSEA = .06 (see Model 2, Table 2). All values fell within the acceptable ranges.

As shown in Table 3, all standardized factor loadings were above .50 at ρ < .001 (Fornell & Larcker, 1981; Hair et al., 2010). Figure 1 shows the results of CFA that tested the original 100 items five-factor model of the BYI-2 Malay.

Table 4 shows intercorrelations among BYI-2 Malay scales. All Pearson's *rs* were statistically significant except for the relationship between Self-Concept and Anxiety.

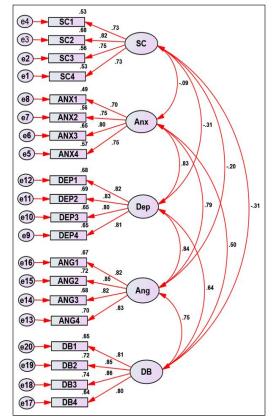
Table 2 Goodness of fit indices of the BYI-2 Malay

BYI-2 Malay Acceptable range	$ \chi^2/df \\ \leq 5 $	NFI ≥ .90	CFI ≥ .90	IFI ≥ .90	TLI ≥ .90	RMSEA ≤.08
Model 1	1.95	.50	.67	.67	.66	.06
Model 2	2.22	.91	.95	.95	.94	.06

Note. BYI-2 Malay = Beck Youth Inventories Second Edition-Malay; $\chi 2/df$ = relative chi-square; NFI = normed fit index; CFI = comparative fit index; IFI = incremental fit index; TLI = Tucker Lewis index; RMSEA = root mean square error of approximation. All values were significant at p < .0001.

Table 3 Standardized factor loadings of the BYI-2 Malay

J	8	,
Inventory	Parcel	Standardized factor
		loadings
Self-concept	Parcel 1	.73*
	Parcel 2	.82*
	Parcel 3	.75*
	Parcel 4	.73*
Anxiety	Parcel 1	.70*
	Parcel 2	.75*
	Parcel 3	.80*
	Parcel 4	.75*
Depression	Parcel 1	.83*
	Parcel 2	.83*
	Parcel 3	.80*
	Parcel 4	.81*
Anger	Parcel 1	.82*
	Parcel 2	.85*
	Parcel 3	.82*
	Parcel 4	.83*
Disruptive	Parcel 1	.81*
Behaviour	Parcel 2	.85*
	Parcel 3	.86*
	Parcel 4	.80*



Note. BYI-2 Malay = Beck Youth Inventories Second

 $*\rho < .001$

Edition-Malay

Figure 1. Inter-correlations among the BYI-2 Malay scales

Table 4 Intercorrelations and reliability among the BYI-2 Malay Scales

	Self-Concept	Anxiety	Depression	Anger	Cronbach's α
Self-Concept					.86
Anxiety	07				.89
Depression	28*	.71*			.92
Anger	17*	.69*	.76*		.92
Disruptive Behaviour	26*	.42*	.57*	.67*	.91

Note. BYI-2 Malay = Beck Youth Inventories Second Edition-Malay

Reliability of the BYI-2 Malay. In the present sample, Cronbach's alpha values were .86 for self-concept, .89 for anxiety, .92 for depression, .92 for anger, and .92 for disruptive behaviours (see Table 4).

Validity of the BYI-2 Malay. Table 5 shows relations of the BYI-2 Malay scales to the RSES-Malay, BAI-Malay, BDI-Malay, and ATQ Malay. There were significant correlations between the BYI-2 Malay Self-

^{*}p < .01 (2-tailed)

Concept scale and the RSES-Malay (r = .41) and between the BYI-2 Malay Anxiety scale and the BAI-Malay (r = .60), and between the BYI-2 Malay Depression scale and the BDI-Malay (r = .69). Evidence for concurrent validity was established. There were significant correlations between BYI-2 Malay Anger scale and the ATQ-Malay (r = .71) and between BYI-2 Malay Disruptive Behaviour scale and the ATQ Malay (r = .52). Evidence for convergent validity was established.

DISCUSSION

The purpose of our study was to establish the psychometric properties of the BYI-2 Malay when administered to a sample of adolescents residing in the nongovernment-run sheltered homes. To examine the factor structure of the BYI-2 Malay, we performed a CFA with item parcelling as a solution to reduce item complexity. All goodness-of-fit indices suggest a good fit to the data. Consistent with the previous findings (J. S. Beck, Beck, Jolly, & Steer, 2005), the BYI-2 Malay is indeed a multidimensional

scale encompassing self-concept, anxiety, depression, anger, and disruptive behaviour.

Consistent with previous studies, all BYI-2 Malay scales have demonstrated high internal consistency (J. S. Beck, Beck, Jolly, & Steer, 2005; Cho et al., 2009; Kornør & Johansen, 2016). All Pearson's rs were statistically significant except for the relationship between the BYI-2 Self-Concept and Anxiety scale. Our finding is consistent with a previous study on the validation of the Dutch version of the BYI-2 yielding a weak relationship between these two scales (Steer et al., 2005; Thastum et al., 2009). In the present study, some factor loadings for the BYI-2 Self Concept and Anxiety parcels did not exceed .80, suggesting that a larger sample size is needed for future studies (Tabachnick & Fidell, 2007).

At the preliminary level, the BYI-2 Malay Depression, Anxiety, and Self-concept scales have demonstrated concurrent validity. No standardized measures for anger and disruptive behaviours are available in Malay language. Hence, obtaining

Table 5
Relations of the BYI-2 Malay to the RSES-Malay, BAI-Malay, BDI-Malay, and ATQ-Malay

Scales of the BYI-2 Malay							
Self-Concept Anxiety Depression Anger Disruptive behaviour							
RSES-Malay	.41*	35*	51*	42*	25*		
BAI-Malay	16*	.60*	.57*	.63*	.46*		
BDI-Malay	33*	.53*	.69*	.67*	.53*		
ATQ-Malay	25*	.58*	.76*	.71*	.52*		

Note. BYI-2 Malay = Beck Youth Inventories Second Edition-Malay; RSES-Malay = Rosenberg Self-Esteem Scale-Malay; BDI-Malay = Beck Depression Inventory-Malay (BDI-Malay); BAI-Malay = Beck Anxiety Inventory-Malay; ATQ-Malay = Automatic Thoughts Questionnaire-Malay (ATQ-Malay). * p < .01 (2-tailed)

concurrent validity for the full scale is not achievable. We reported positive correlations between the BYI-2 Malay Anger and the ATQ-Malay, and between the BYI-2 Malay Anger and Disruptive Behaviours scales. This lends preliminary support for convergent validity. Negative automatic thought could lead adolescents to a feeling of irritable (Novaco, 2010), and behave aggressively (Calvete & Cardeñoso, 2005; Novaco, 2010). Kerr and Schneider (2008) demonstrated that children who lost anger control were more likely than others to exhibit both externalizing and internalizing problem behaviours.

Limitations

Several limitations should be noted. First, in this study, we recruited less than 500 adolescents living in the sheltered homes. Following subject to item ratio, a sample size of 500 is recommended for a 100item scale such as the BYI-2 (Osborne & Costello, 2005). This sample size of 300 was sufficient for factor analysis, although a sample size of 500 is regarded as desirable (Tabachnick & Fidell, 2007). Second, in examining the factor structure of the BYI-2 Malay, a CFA with item parcelling was performed. Although item parcelling seems to be an option in handling complex model, it can potentially lead to model misspecification and the parameter estimates are masked and distorted (Little et al., 2002). Third, evidence validity for the full BYI-2 Malay scales could not be established. Existing scales which could be administered to evaluate all five domains of the BYI-2 are still not available in Malay. Last but not least, given all participants of this study were Malay adolescents residing in the sheltered homes, the interpretation of the present findings should not go beyond this population. To expand the psychometric properties of the BYI-2 Malay in the future, the scale should be administered in other populations such as children from 7 to12 years old, and with a larger sample size of 500 to 1000 participants of different ethnicity. We also recommend using clinical samples to evaluate the sensitivity and specificity for the BYI-2 Malay.

CONCLUSION

To the best of our knowledge, the present study is the first to investigate the psychometric properties of the BYI-2 in a Malaysian sample. As evident in this study, the BYI-2 Malay is a reliable and valid scale to measure depression, anxiety, self-concept, anger, and disruptive behaviours in adolescents despite taking the study limitations into consideration. In present study, parcelled solutions appear to ameliorate the effects of roughly categorized and nonnormally distributed items on model fit. Nevertheless, the factor structure of the BYI was developed as unidimensional as possible and has been well studied (J. S. Beck, Beck, & Jolly, 2001). Hence, the item parcelling can be used as an alternative method in this circumstance to counter the issue of misfitting. The chance of getting biased parameter estimates are low. Despite the fact that 100 items were parcelled, the BYI-2 Malay should be used as a full scale in that all items were retained in the CFA. Due to its multidimensionality, the BYI-2 Malay can cover the potentiality of comorbidities of disorders within its five scopes of measurement. Also, the BYI-2 Malay is brief and easy to be administered in which it maximizes the adolescents' cooperation and minimizes the time needed for administration.

Our recent findings shed light on the utility of the BYI-2 Malay in aiding clinicians as well as therapists for identifying multiple symptoms of social and emotional problems in adolescents. However, the BYI-2 Malay should not be used as a diagnostic tool. The scale does lend support for the preliminary establishment of a psychiatric diagnosis based on the Diagnostic and Statistical Manual of Mental Disorder-Fifth Edition (DSM-5) or the International Classification of Diseases-11th Revision (ICD-11). With the existence of the BYI-2 Malay as a promising screening tool for social and emotional problems, prevention and treatment can be formulated and monitored.

ACKNOWLEDGEMENT

This work was supported by the Research Management Centre of Universiti Putra Malaysia under the Research University Grant Scheme (RUGS) Initiative 3, Project No. is 04-02-12-2110RU.

REFERENCES

Anderson, D. M., Cesur, R., & Tekin, E. (2015). Youth depression and future criminal behaviour. *Economic Inquiry*, *53*(1), 294-317. https://doi.org/10.1111/ecin.12145

- Bagozzi, R. P., & Yi, Y. (1988). On the evaluation of structural equation models. *Journal of the Academy of Marketing Science*, *16*(1), 74-94. https://doi.org/10.1007/BF02723327
- Baxter, A. J., Vos, T., Scott, K. M., Ferrari, A. J., & Whiteford, H. A. (2014). The global burden of anxiety disorders in 2010. *Psychological Medicine*, 44(11), 2363-2374. https://doi.org/10.1017/S0033291713003243
- Beaton, D. E., Bombardier, C., Guillemin, F., & Ferraz, M. B. (2000). Guidelines for the process of cross-cultural adaptation of self-report measures. *Spine*, 25(24), 3186-3191. https://doi.org/10.1080/000163599428823
- Beck, A. T., & Steer, R. A. (1990). *Manual for the Beck Anxiety Inventory*. Person Corporation.
- Beck, A. T., Ward, C. H., Mendelson, M., Mock, J., & Erbaugh, J. (1961). An inventory for measuring depression. *Archives of General Psychiatry*, 4(6), 561-571. https://doi.org/10.1001/archpsyc.1961.01710120031004
- Beck, J. S., Beck, A. T., & Jolly, J. B. (2001).

 **Beck Youth Inventories.* https://pearsonassess.ca/haiweb/Cultures/en-CA/Products/
 Product+Detail.htm?CS_ProductID=015-8014-197&CS_Category=ot-social-emotional-and-well-being&CS_Catalog=TPC-CACatalog
- Beck, J. S., Beck, A. T., Jolly, J. B., & Steer, R. A. (2005). *Beck Youth Inventories Second Edition (BYI-II) for children and adolescents*. Psychological Corporation.
- Beck, R., & Fernandez, E. (1998). Cognitive-behavioral therapy in the treatment of anger: A meta-analysis. *Cognitive Therapy and Research*, 22(1), 63-74. https://doi.org/10.1023/A:1018763902991
- Beebe, A., Gelfand, E. W., & Bender, B. (2010). A randomized trial to test the effectiveness of art therapy for children with asthma. *Journal of Allergy and Clinical Immunology*, 126(2), 263-266. https://doi.org/10.1016/j.jaci.2010.03.019

- Bentler, P. M., & Bonett, D. G. (1980). Significance tests and goodness of fit in the analysis of covariance structures. *Psychological Bulletin*, 88(3), 588-606. https://doi.org/10.1037/0033-2909.88.3.588
- Blackmon, J. E., Liptak, C., & Recklitis, C. J. (2015). Development and preliminary validation of a short form of the Beck Depression Inventory for Youth (BDI-Y) in a sample of adolescent cancer survivors. *Journal of Cancer Survivorship*, 9(1), 107-114. https://doi.org/10.1007/s11764-014-0394-y
- Bollen, K. A. (1989). A new incremental fit index for general structural equation models. *Sociological Methods & Research*, 17(3), 303-316. https://doi. org/10.1177/0049124189017003004
- Browne, M. W., & Cudeck, R. (1992). Alternative ways of assessing model fit. *Sociological Methods & Research*, 21(2), 230-258. https://doi.org/10.1177/0049124192021002005
- Calvete, E., & Cardeñoso, O. (2005). Gender differences in cognitive vulnerability to depression and behavior problems in adolescents. *Journal of Abnormal Child Psychology*, 33(2), 179-192. https://doi.org/10.1007/s10802-005-1826-y
- Cho, S., Hung, L., Su, C., & Chen, H. (2009). A research of the Chinese version Beck Youth Inventories. *Psychological Testing*, 56(4), 639-669.
- Cluver, L. D., Orkin, M., Gardner, F., & Boyes, M. E. (2012). Persisting mental health problems among AIDS-orphaned children in South Africa. *Journal of Child Psychology and Psychiatry and Allied Disciplines*, 53(4), 363-370. https://doi.org/10.1111/j.1469-7610.2011.02459.x
- Conners, K. C. (1997). Conners-Wells' Adolescent Self-Report Scales (CASS-S). Multi-Health Systems.

- Conners, K. C., Sitarenios, G., Parker, J. D. A., & Epstein, J. N. (1998). The revised Conners' Parent Rating Scale (CPRS-R): Factor structure, reliability, and criterion validity. *Journal of Abnormal Child Psychology*, 26, 257-268. https://doi.org/10.1023/A:1022602400621
- Cummings, C. M., Caporino, N. E., & Kendall, P. C. (2014). Comorbidity of anxiety and depression in children and adolescents: 20 years after. *Psychological Bulletin*, 140(3), 816-845. https://doi.org/10.1037/a0034733
- Fawzy, N., & Fouad, A. (2010). Psychosocial and developmental status of orphanage children: Epidemiological study. *Current Psychiatry*, 17(2), 41-48.
- Flouri, E., & Panourgia, C. (2014). Negative automatic thoughts and emotional and behavioural problems in adolescence. *Child and Adolescent Mental Health*, *19*(1), 46-51. https://doi.org/10.1111/camh.12004
- Fornell, C., & Larcker, D. F. (1981). Evaluation structural equation models with unobservable variables and measurement error. *Journal of Marketing Research*, 18(1), 39-50. https://doi.org/10.1177/002224378101800104
- Greene, F. N., Chorpita, B. F., & Austin, A. A. (2009).
 Examining youth anxiety symptoms and suicidal ideation in the context of the tripartite model of emotion. *Journal of Psychopathology and Behavioural Assessment*, 31(4), 405-411. https://doi.org/10.1007/s10862-009-9129-1
- Hair, J. F., Black, W. C., Babin, B. J., Anderson, R. E., & Tatham, R. L. (2010). *Multivariate data analysis*. Prentice Hall.
- IBM Corporation. (2011). *IBM SPSS Statistics and AMOS for Windows*. IBM Corporation.
- Institute for Public Health. (2018). National Health and Morbidity Survey (NHMS) 2017: Key findings from the adolescent health and

- nutrition surveys. http://iku.moh.gov.my/images/IKU/Document/REPORT/NHMS2017/NHMS2017Infographic.pdf
- Kaur, J., Cheong, S. M., Naidu, B. M., Kaur, G., Manickam, M. A., Mat Noor, M., Ibrahim, N., & Rosman, A. (2014). Prevalence and correlates of depression among adolescents in Malaysia. *Asia-Pacific Journal of Public Health*, 26(5S), 53S-62S. https://doi. org/10.1177/1010539514544356
- Kaya, F., Bilgin, H., & Singer, M. (2012). Contributing factors to aggressive behaviours in high school students in Turkey. *Journal School of Nursing*, 28(1), 56-69. https://doi. org/10.1177/1059840511418669
- Keane, L., & Loades, M. (2017). Low self-esteem and internalizing disorders in young people: A systematic review. *Child and Adolescent Mental Health*, 22(1), 4-15. https://doi.org/10.1111/ camh.12204
- Kerr, M. A., & Schneider, B. H. (2008). Anger expression in children and adolescents: A review of the empirical literature. *Clinical Psychology Review*, 28(4), 559-577. https://doi. org/10.1016/j.cpr.2007.08.001
- Kim, H.-Y. (2013). Statistical notes for clinical researchers: Assessing normal distribution (2) using skewness and kurtosis. *Restorative Dentistry & Endodontics*, 38(1), 52. https://doi. org/10.5395/rde.2013.38.1.52
- Kline, R. B. (2010). Principles and practice of structural equation modeling (2nd ed.). Guildford Press.
- Kornør, H., & Johansen, S. (2016). Måleegenskaper ved den norske versjonen av Beck Youth Inventories - Second Edition (BYI-II) [Measuring properties of the Norwegian version of Beck Youth Inventories - Second Edition (BYI-II)]. PsykTestBarn, 6(1), 1. https://doi. org/10.21337/0045

- Kovacs, M. (1992). *Children's depression inventory*. Multi-Health Systems.
- Little, T. D., Cunningham, W. A., Shahar, G., & Widaman, K. F. (2002). To parcel or not to parcel: Exploring the question, weighing the merits. *Structural Equation Modeling: A Multidisciplinary Journal*, 9(2), 151-173. https://doi.org/10.1207/S15328007SEM0902 1
- Mathiak, K. A., Karzel, K., Ocypa, M., Seget, A., Mathiak, K., & Ostaszewski, P. (2007). Polish adaptation and validation of Beck Youth Inventories of emotional and social impairment. *Psychiatria Polska*, 41(3), 387-399. http://ovidsp.ovid.com/ovidweb.cgi?T=JS&CSC=Y&NEWS=N&PAGE=fulltext&D=psyc5&AN=2007-13583-008
- McMorris, B., Hemphill, S., Toumbourou, J., Catalano, R., & Patton, G.(2007). Prevalence of substance use and delinquent behaviour in adolescents from Victoria, Australia and Washington State, United States. *Health Education and Behaviour*, 34(4), 634-650. https://doi.org/10.1177/1090198106286272
- Melnyk, B. M., Kelly, S., & Lusk, P. (2014). Outcomes and feasibility of a manualized cognitive-behavioral skills building intervention: Group COPE for depressed and anxious adolescents in school settings. *Journal of Child and Adolescent Psychiatric Nursing*, 27(1), 3-13. https://doi.org/10.1111/jcap.12058
- Mohammadzadeh, M., Awang, H., Shahar, H. K., & Ismail, S. (2018). Emotional health and self-esteem among adolescents in Malaysian orphanages. *Community Mental Health Journal*, 54(1), 117-125. https://doi.org/10.1007/s10597-017-0128-5
- Mukhtar, F., & Oei, T. P. (2008). Exploratory and confirmatory factor validation and psychometric properties of the Beck Depression Inventory for Malays (BDI-Malay) in Malaysia. *Malaysian*

- *Journal of Psychiatry, 17*(1). http://mjpsychiatry.org/index.php/mjp/article/view/27/27
- Mukhtar, F., & Zulkefly, N. S. (2011). The Beck Anxiety Inventory for Malays (BAI-Malay): A preliminary study on psychometric properties. Malaysian Journal of Medicine and Health Sciences, 7(1), 75-81.
- Nalugya-Sserunjogi, J., Rukundo, G. Z., Ovuga, E., Kiwuwa, S. M., Musisi, S., & Nakimuli-Mpungu, E. (2016). Prevalence and factors associated with depression symptoms among school-going adolescents in Central Uganda. *Child and Adolescent Psychiatry and Mental Health*, 10(39), 1-8. https://doi.org/10.1186/s13034-016-0133-4
- Novaco, R. W. (2010). Anger and psychopathology. In M. Potegal, G. Stemmler & C. Spielberger (Eds.), *International Handbook of Anger* (pp. 465-497). https://doi.org/10.1007/978-0-387-89676-2 27
- Oei, T. P. S., & Mukhtar, F. (2008). Exploratory and confirmatory factor validation and psychometric properties of the Automatic Thoughts Questionnaire for Malays (ATQ-Malay) in Malaysia. *Hong Kong Journal of Psychiatry,* 18(3), 92-100.
- Osborne, J. W., & Costello, A. B. (2005). Best practices in exploratory factor analysis: Four recommendations for getting the most from your analysis. *Practical Assessment, Research, and Evaluation, 10, Article 7.* https://doi.org/10.7275/jyj1-4868
- Piers, E. V. (2002). *The Piers-Harris Children's Self Concept Scale*. Western Psychological Services.
- Puffer, E. S., Drabkin, A. S., Stashko, A. L., Broverman, S. A., Ogwang-Odhiambo, R. A., & Sikkema, K. J. (2012). Orphan status, HIV risk behavior, and mental health among adolescents in rural Kenya. *Journal of Pediatric Psychology*, 37(8), 868-878. https://doi.org/10.1093/jpepsy/ jss077

- Ramagopal, G., Narasimhan, S., & Devi, L. U. (2016). Prevalence of depression among children living in orphanage. *International Journal of Contemporary Pediatrics*, 3(4), 1326-1328. https://doi.org/10.18203/2349-3291. ijcp20163670
- Rapee, R. M. (2018). Anxiety disorders in children and adolescents: Nature, development, tretment and prevention. In J. M. Rey (Ed.), IACAPAP e-Textbook of Child and Adolescent Mental Health (pp. 1-20). International Association for Child and Adolescent Psychiatry and Allied Professions 2018.
- Reynolds, C. R., & Richmond, B. O. (1997). What I think and feel: A revised measure of children's manifest anxiety. *Journal of Abnormal Child Psychology*, 25, 15-20. https://doi.org/10.1023/A:1025751206600
- Reynolds, W. (2003). *Reynolds bully victimisation* scales for schools. Harcourt Assessment.
- Ruiz-Casares, M., Thombs, B. D., & Rousseau, C. (2009). The association of single and double orphanhood with symptoms of depression among children and adolescents in Namibia. *European Child & Adolescent Psychiatry*, 18(6), 369-376. https://doi.org/10.1007/s00787-009-0739-7
- Schumacker, R. E., & Lomax, R. G. (2010). *A beginner's guide to structural equation modeling*. Routledge.
- Sokol, J. T. (2009). Identity development throughout the lifetime: An examination of Eriksonian Theory. *Graduate Journal of Counselling Psychology*, 1(2). http://epublications.marquette. edu/gjcp
- Steer, R., Kumar, G., Beck, A. T., & Beck, J. S. (2005). Dimensionality of the Beck Youth Inventories with child psychiatric outpatients. *Journal of Psychopathology and Behavioural Assessment*, 27(2), 123-131. https://doi.org/10.1007/s10862-005-5386-9

- Sukhodolsky, D. G., Kassinove, H., & Gorman, B. S. (2004). Cognitive-behavioral therapy for anger in children and adolescents: A meta-analysis. *Aggression and Violent Behavior*, 9(3), 247-269. https://doi.org/10.1016/j.avb.2003.08.005
- Tabachnick, B. G., & Fidell, L. S. (2007). *Using multivariate statistics* (5th ed.). Pearson.
- Thastum, M., Ravn, K., Sommer, S., & Trillingsgaard, A. (2009). Reliability, validity and normative data for the Danish Beck Youth Inventories: Development and aging. *Scandinavian Journal of Psychology*, 50(1), 47-54. https://doi.org/10.1111/j.1467-9450.2008.00690.x
- Yaacob, M. J. (2006). Validity and reliability study of Rosenberg Self-Esteem Scale in Seremban school children. *Malaysian Journal of Psychiatry*, 15(2), 35-39.
- Yavuzer, Y., Karatas, Z., Civilidag, A., & Gundogdu, R. (2014). The role of peer pressure, automatic thoughts and self-esteem on adolescents' aggression. *Eurasian Journal of Educational Research*, 54, 61-78. https://doi.org/10.14689/ejer.2014.54.4





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Prevalence and Associated Factors of Depression and Anxiety in Adolescents Residing in Malay-operated Non-government-run Sheltered Homes in Selangor, Malaysia

Firdaus Mukhtar¹, Wai-Eng Ding^{1*}, Munn Sann Lye^{2,3}, Hamidin Awang¹ and Khadeeja Munawar^{4,5}

¹Department of Psychiatry, Faculty of Medicine and Health Sciences, Universiti Putra Malaysia, 43400 UPM Serdang, Malaysia

²Department of Community Health, Faculty of Medicine and Health Sciences, Universiti Putra Malaysia, 43400 UPM Serdang, Malaysia

³Department of Population Medicine, Faculty of Medicine and Health Sciences, Universiti Tunku Abdul Rahman, Bandar Sungai Long, Selangor 43000, Malaysia

⁴Department of Psychology, Jeffrey Cheah School of Medicine and Health Sciences, Monash University, Bandar Sunway, Malaysia

⁵Department of Psychology, Faculty of Social Sciences & Liberal Arts, UCSI University, Cheras, 56000 Kuala Lumpur, Malaysia

ABSTRACT

This study aimed to determine the prevalence of depression, anxiety, and the associated factors among 632 adolescents (age range: 13-17 years, M_{age} = 14.47, SD = 1.32) staying in sheltered homes in Malaysia. The Malay versions of the Beck Depression Inventory, Beck Anxiety Inventory, Automatic Thoughts Questionnaire, and Rosenberg Self-Esteem Scale were applied. The overall prevalence of mild to severe depression and anxiety in this study was 70.9% and 82.3% respectively, with 64.1% for comorbidity of both symptoms. Specifically, the prevalence rates of minimal, mild, moderate, and severe depressive symptoms were 29.1%, 38.4%, 22.4%, and 10.1% respectively whereas the

ARTICLE INFO

Article history: Received: 15 July 2020 Accepted: 02 December 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.16

E-mail addresses:
drfirebt@gmail.com (Firdaus Mukhtar)
dingcpsy@gmail.com (Wai-Eng Ding)
lyems9@yahoo.com (Munn Sann Lye)
hamidin@upm.edu.my (Hamidin Awang)
khadeeja.munawar14@gmail.com (Khadeeja Munawar)
* Corresponding author

prevalence rates of minimal, mild, moderate, and severe anxiety symptoms were 17.7%, 27.7%, 33.2%, and 21.4% respectively. The severity of negative automatic thoughts increased with the severity of depression and anxiety. Age, anxiety, negative automatic thoughts, and self-esteem were significantly associated with depression while depression, negative automatic thought, and anger were significantly associated with anxiety.

The high rates of depression and anxiety among adolescents residing in the sheltered homes indicate the need to identify these at-risk populations and provide trained personnel who can deliver psychiatric and psychological services at sheltered homes.

Keywords: Adolescents, anxiety, depression, Malaysia, orphans, prevalence

INTRODUCTION

Adolescent depression and anxiety are common mental disorders. According to the World Health Organization (WHO), anxiety disorders and depression are the topmost and third commonest mental health issues worldwide (World Health Organization, 2019). Childhood depression and anxiety have an early onset and progressive course of illness with a high chance of relapse in adulthood (Kessler et al., 2012).

Adolescent depression and anxiety can result in functional impairment and increased healthcare costs. Adolescent depression has been shown to increase various morbidity risks that persist throughout adulthood, including academic underachievement (Fergusson & Woodward, 2002; Pelkonen et al., 2008), nicotine dependence, unemployment, drug and substance abuse (Fergusson & Woodward, 2002), unlawful behaviours (Pelkonen et al., 2008), problematic relationships (Pelkonen et al., 2008), and suicidal ideation (Fergusson & Woodward, 2002; Ibrahim et al., 2017; Khasakhala et al., 2012). Likewise, adolescent anxiety was also associated with an exacerbated risk of various problems in young adulthood such as academic underachievement (Dabkowska & Dabkowska-Mika, 2015; Essau et al., 2014), relapsed anxiety (Benjamin et al., 2013; Dabkowska & Dabkowska-Mika, 2015), depression (Dabkowska & Dabkowska-Mika, 2015; Essau et al., 2014), nicotine, substance, and alcohol dependence (Benjamin et al., 2013; Essau et al., 2014) as well as low income, unemployment, maladjustment, poor coping skills, and chronic stress (Essau et al., 2014).

Compared to the general population, adolescents residing at sheltered homes are potentially at a higher risk of succumbing to depression and anxiety disorders. Children and adolescents from orphanages display more symptoms of depression and anxiety than non-orphans from public/private schools (Cluver et al., 2012). Moreover, non-governmental operated sheltered homes may suffer from poorer conditions and management due to a lack of assistance from the government. Thus, some of the sheltered homes may not comply with physical safety and welfare standards (Sofian et al., 2013).

Prevalence of Depression and Anxiety

The prevalence of depression and anxiety varies considerably across the population due to the heterogeneity of assessment criteria in terms of diagnosis and severity assessment. Different measurement instruments may serve a different purpose in either meeting the formal diagnostic criteria of the disorders or to evaluate the severity of the symptoms. For instance, the prevalence of diagnosed depressive disorders or anxiety

disorders is often lower than the prevalence of the symptoms of depression or anxiety.

Based on a previous review, the worldwide pooled prevalence of depressive disorders in children and adolescents from 27 countries in different regions from 1985 to 2012 was 2.6% (CI 1.7-3.9%) (Polanczyk et al., 2015). In the United States (US), the prevalence of major depressive disorder ranged from 7.5% for past-year prevalence to 11.0% for lifetime prevalence (criterion: CIDI-31 and DSM-IV2) (Avenevoli et al., 2015). As for depressive symptoms, crosssectional studies from different countries showed that the prevalence of depression symptoms among adolescents was 13.4% in Brazil (criterion: BDI-II >133) (Bulhões et al., 2013), 21% in Uganda (criterion: CDI≥194) (Nalugya-Sserunjogi et al., 2016), 23.9% in China (criterion: CDI≥19⁵) (Wang et al., 2016), and 26.5% in Nairobi (criterion: CDI≥20) (Khasakhala et al., 2012). In Malaysia, the National Health and Morbidity Survey reported that one in five Malaysian adolescents had depressive symptoms (criterion: DASS-216 Malay version ≥14) (Institute for Public Health, 2018). Two other cross-sectional studies showed that the prevalence of depressive symptoms among Malaysian secondary school students was 10.3% (criterion: the Malay version of the CDI) (Adlina et al.,

2007) and 32.7% (criterion: the Malay version of the PHQ-9⁷) (Ibrahim et al., 2017).

As for anxiety disorders, 27 countries from different regions recorded a worldwide pooled prevalence of 6.5% (CI 4.7-9.1%) (Polanczyk et al., 2015). The lifetime prevalence of anxiety disorders among adolescents in the US was 25.1%, of which 5.9% had severe anxiety disorders (criterion: CIDI8) (Merikangas et al., 2010). In China, the pooled current/ lifetime prevalence of generalised anxiety disorders was 24.5/41.1%, with a higher rate among females (Guo et al., 2016). As for anxiety symptoms, locally, the Institute for Public Health (2018) reported that two in five Malaysian adolescents had anxiety symptoms, among which 42.3% were females and 37.1% were males (criterion: DASS-21⁹ Malay version ≥14). Another two local research showed the prevalence of anxiety symptoms among Malaysian secondary school students to be 65.9% (criterion: DASS-21¹⁰) (Latiff et al., 2015) and 60% (criterion: DASS-2111) (Ibrahim et al., 2014).

In addition, the prevalence of mental health issues varied with the socioeconomic status of the participants. Specifically, epidemiological studies have shown that the prevalence of adolescent depression and anxiety was higher in sheltered homes than the general population. The prevalence of

¹ Composite International Diagnostic Interview, version 3.0

² Diagnostic and Statistical Manual for Mental Disorders, 4th edition

³ Beck Depression Inventory, 2nd edition

⁴ Child Depression Inventory

⁵ Child Depression Inventory-Chinese version

⁶ Depression, Anxiety, and Stress-21

⁷ Patient Health Questionnaire-9

⁸ Composite International Diagnostic Interview

⁹ Depression, Anxiety, and Stress-21

¹⁰ Depression Anxiety Stress Scale-21

¹¹ Depression Anxiety Stress Scale-21

depression symptoms (criterion HAM-D¹²) among adolescents residing in orphanages in India was 98%, whereby 52%, 23%, 14%, and 9% had mild, moderate, severe, and very severe depression respectively (Ramagopal et al., 2016). By comparison, the prevalence of anxiety symptoms among children in orphanages in Egypt was slightly lower at 45% (criterion: RCMAS¹³) (Fawzy & Fouad, 2010).

Apart from that, comorbidity with other psychiatric disorders is also commonly reported among adolescents. For instance, 40% of the adolescents in the US who had one mental health disorder also had another mental disorder (Merikangas et al., 2010). Anxiety disorders were the commonest disorder that coexists with two or more comorbid psychiatric disorders such as depression (Abbo et al., 2013). In short, depression and anxiety disorders are chronic and disabling conditions common among adolescents globally, particularly those atrisk children and adolescents residing in sheltered homes. Worse still, depression and anxiety often exist as a comorbidity of each other or other psychiatric disorders.

Factors Associated with Depression and Anxiety

Engel's (1977) biopsychosocial model is still relevant in today's medical research and practices. An updated version was published by Engel (1980) to delineate the development of mental illnesses through the interaction of biological factors (such as, genetic, neurobiochemical), psychological factors

(for example, mood), and social factors (for instance, socioeconomic, cultural, familial). Evidence abounds on the contribution of biopsychosocial factors towards the development of adolescent depression (Clark et al., 2012) and adolescent anxiety (Beidel & Alfano, 2011).

As for sociodemographic variables, several studies reported a sharp increase in the prevalence of depression during older adolescence and early adulthood (Hankin et al., 2015; Khasakhala et al., 2012). However, the exact relationship between age and depression has been inconsistent. Age was not associated with depression in adolescence in some studies (Mohammadzadeh et al., 2018; Nalugya-Sserunjogi et al., 2016) whereas a contrasting result was reported in another study (Khasakhala et al., 2012). Previously published evidence also showed that gender was associated with depression in adolescents (Derdikman-Eiron et al., 2011; Ibrahim et al., 2017; Khasakhala et al., 2012; Mohammadzadeh et al., 2018), especially in females (Fanaj et al., 2015; Pelkonen et al., 2008). Female adolescents were more likely to be depressed than male adolescents (Ibrahim et al., 2017; Khasakhala et al., 2012; McGuinness et al., 2012; Mohammadzadeh et al., 2018). Lastly, Mohammadzadeh et al. (2018) reported that orphaned status was not associated with depression among adolescents residing in sheltered homes in Malaysia.

The prevalence of anxiety was found to be gradually decreasing from early to middle or late adolescence in a study (Allan et al., 2014). However, the opposite finding was reported in another study (Van

¹² Hamilton Depression Rating Scale

¹³ Revised Children's Manifest Anxiety Scale

Oort et al., 2009). Furthermore, several studies showed that anxiety symptoms were more prevalent in younger than older adolescents (Ibrahim et al., 2014; Soenen et al., 2014). This was in contrast with the findings of Mohammadzadeh et al. (2018). Therefore, the relationship between age and anxiety is inconsistent. Whilst age was not associated with anxiety (Fanaj et al., 2015), another study showed contrary findings (Mohammadzadeh et al., 2018). Similarly, the evidence on the association between gender and anxiety in adolescents was also unclear. Gender was associated with anxiety in adolescents (Derdikman-Eiron et al., 2011) but not in other studies (Fanaj et al., 2015; Mohammadzadeh et al., 2018). Female adolescents have been shown to be more anxious than their male counterparts in two studies (Soenen et al., 2014; Van Oort et al., 2009) but it was the opposite finding in the other studies (Alexander et al., 2013; Mohammadzadeh et al., 2018). In addition, Mohammadzadeh et al. (2018) found that orphaned status was not associated with anxiety among Malaysian adolescents residing in sheltered homes.

In terms of psychological factors, depression was strongly related to anxiety and vice versa (Fanaj et al., 2015; Ibrahim et al., 2014, 2017; Mohammadzadeh et al., 2018). Cognitive variables showed a strong relationship either with depression or anxiety. For instance, strong correlations between thought problems and depression, as well as anxiety were reported among adolescents (Rood et al., 2010; Soenen et al., 2014). Additionally, negative thinking

was a risk factor for depression (Clark et al., 2012) and anxiety (Mahmoud et al., 2015). Negative thinking could interact with negative events and result in maladaptive coping, a predictor of depression (Hankin et al., 2004) and anxiety (Mahmoud et al., 2015). Moreover, Ishikawa (2015) reported that the levels of negative self-statements, cognitive errors, and anxiety symptoms were higher among a clinical group of children and adolescents compared to those in a community group. In addition, cognitive distortions such as self-critique, self-blame, helplessness, hopelessness, and preoccupation with danger were positively correlated with depression in juvenile delinquents (Nasir et al., 2010). Other psychological factors such as selfesteem was negatively associated with depression and anxiety among adolescents in the general population (Derdikman-Eiron et al., 2011; Ibrahim et al., 2017) and also among the orphaned adolescents (Getachew et al., 2011; Mohammadzadeh et al., 2018). Furthermore, a recent systematic review reported that low self-esteem was positively associated with depression and anxiety among young people aged 18 and below, especially among those with comorbid depression and anxiety (Keane & Loades, 2017). In a sample of orphaned adolescents, the higher the self-esteem level, the lower the anxiety and depressive symptoms (Getachew et al., 2011). With regard to another psychological variable, anger, Novaco (2010) stated that clinically depressed individuals manifested both expression and suppression of anger in which they directed their anger towards others (e.g., violence) or themselves (e.g., self-harm, suicide). Additionally, Yavuzer et al. (2014) reported that emotional disorders such as depression and anxiety were associated with and predicted anger.

In Malaysia, Ramli and colleagues (2014) reported the prevalence of depression among Malaysian children and adolescents from the sheltered homes in Kota Bahru, Kelantan as 50.6%. However, the study did not use a randomised sampling method or a validated questionnaire (criterion; Malay version of BDI) (Ramli et al., 2014). Another study on children and adolescents at sheltered homes in Kota Bahru, Kelantan used a different instrument and found that the male gender was the only variable that did not significantly predict depression and anxiety (criterion: Malay version of SDQ14) (Zakaria & Yaacob, 2008). A recent study showed that the prevalence of depressive and anxiety symptoms of adolescents in sheltered homes was 85.2% and 80.1% respectively (criterion: DASS-21¹⁵) (Mohammadzadeh et al., 2018). Very little attention has been paid to adolescents residing in sheltered homes, including orphans. Furthermore, past research in other parts of the world has shown that the prevalence rates of depression and anxiety symptoms of adolescents residing in sheltered homes are generally higher than the general population. However, similar studies are lacking in Malaysia. The absence of reliable statistics may undermine

the psychosocial wellbeing of children and adolescents residing in sheltered homes in Malaysia as it represents a major hindrance to the development of effective preventive and treatment programmes for this population. Until today, there are no official statistics in terms of mental health and its associated factors of orphans living in sheltered homes in Malaysia. Hence, this study can reduce the literature gap and contribute new knowledge regarding depression and anxiety among adolescents residing in sheltered homes in Malaysia.

Since self-reporting screening instruments vary in many ways from scoring to the range of severity, this study applied the Malay version of BDI to measure depressive symptoms and the Malay version of BAI to measure anxiety symptoms. In addition, due to the inconsistent links between the sociodemographic variables with depression and anxiety, robust statistical analysis, i.e., generalised linear mixed model (GLMM) was performed to establish more reliable results.

In short, firstly, this study aimed to provide more robust evidence on the prevalence of depression and anxiety among adolescents residing in the sheltered homes in Selangor as well as the associated factors to address a gap in the literature. Secondly, this study also aimed to investigate the association of sociodemographic variables with depression and anxiety. Thirdly, this study set out to examine the associations of psychological variables such as anxiety, negative automatic thought, self-esteem, and anger with depression among the sampled

¹⁴ Strengths and Difficulties Questionnaire

¹⁵ Depression Anxiety Stress Scale-21

adolescents. This study also examined the associations of depression, negative automatic thoughts, self-esteem, and anger with anxiety.

METHODS

Participants

A total of 682 adolescents including orphans and non-orphans residing in 17 non-government-run sheltered homes for underprivileged children and adolescents across nine districts of Selangor, Malaysia were screened. Consents were obtained from their legal guardians who were either the founders or the person-in-charge at these sheltered homes. The adolescents were invited to participate in this study on a voluntary basis. They were informed about the research objectives and their freedom to withdraw from the study at any time. The inclusion criteria for the participants included: (a) 13 to 17 years old, (b) own family was unable to provide living necessities and care; (c) non-orphans or orphans (i.e., either one or both parents died); (d) stayed in the sheltered homes for at least one day, and (e) could speak, read, and write in Bahasa Malaysia. Meanwhile, the exclusion criteria for the participants were as follows: (a) the presence of organic brain disorders or learning disorders and (b) absent during data collection. The final sample consisted of 632 adolescents who met the inclusion criteria, giving a response rate of 92.7%. All the participants completed a set of self-report measures as listed below.

Measures

Depression Inventory-Malay version (BDI-Malay). The 20-item self-report BDI-Malay (Mukhtar & Oei, 2008) is a validated Malay version of the English Beck Depression Inventory (Beck et al., 1961) that measures depressive symptoms. The BDI-Malay has two subscales, namely cognitive/affective and somatic/vegetative. The Cronbach's alpha values of the BDI-Malay ranged from .71 to .91 and the values for concurrent validity ranged from .52 to .84. Each item is scored on a fourpoint Likert scale ranging from 0 to 3. The recommended scoring ranges for the BDI-Malay are minimal depression: 0-9, mild depression: 10-18, moderate depression: 19-29, and severe depression: 30-60. In this study, the operational definition of depression was based on the items that measured depression symptoms on the Malay version of the BDI, i.e., cognitive/ affective, and somatic/vegetative.

Beck Anxiety Inventory-Malay version (BAI-Malay). The 21-item BAI-Malay (Mukhtar & Zulkefly, 2011) is a validated Malay version of the Beck Anxiety Inventory (Beck & Steer, 1990) that measures anxiety symptoms. It consists of a three-factor structure (subjective anxiety, autonomic response, and neurophysiology). The Cronbach's alpha values ranged from .66 to .89 and the values for concurrent validity ranged from .22 and .67. Each item on the BAI-Malay is scored on a four-point Likert scale ranging from 0 (not at all) to 3 (severely). The recommended scoring

ranges for the BAI-Malay are minimal anxiety: 0–7, mild anxiety: 8–15, moderate anxiety: 16–25, and severe anxiety: 26–63. The operation definition of anxiety in this study was based on the items in the Malay version of the BAI that include three factors i.e., subjective anxiety, autonomic response, and neurophysiology.

Automatic Thoughts Questionnaire-Malay version (ATQ-Malay). The 17-item self-report ATQ-Malay (Oei & Mukhtar, 2008) is a validated Malay version of the 30-item Automatic Thoughts Questionnaire (Hollon & Kendall, 1980) that measures negative automatic thoughts. The ATQ-Malay has a three-factor structure (negative self-concept, negative expectations, and personal maladjustment). The Cronbach's alpha values ranged from .83 to .93 and the values for concurrent validity ranged from .33 to .65. The ATQ-Malay was able to discriminate between clinical and non-clinical populations (Oei & Mukhtar, 2008). Responses are given on a five-point Likert scale ranging from 1 (not at all) to 5 (all the time). Total scores range from 17 to 85 whereby higher scores indicate more frequent negative automatic thoughts.

Rosenberg Self-Esteem Scale-Malay version (RSES-Malay). The 10-item self-report RSES-Malay (Yaacob, 2006) is a validated Malay version of the 10-item Rosenberg Self-Esteem Scale (Rosenberg, 1965) that measures global self-esteem. It has two factors (positive and negative) with an overall Cronbach's alpha value of

.84. Responses are given based on a fivepoint Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree). The positive items are numbered 1, 2, 4, 7, and 10 while the negative items are numbered 3, 5, 6, 8, and 9. The five negative items are reverse-scored in the calculation of the total score. Total scores range from 10 to 50 in which higher scores indicate greater selfesteem. The criterion for low self-esteem in adolescents is a score of less than 30 (Farid & Akhtar, 2013). The RSES-Malay has been shown to have high internal consistency and good convergent validity in a Malayspeaking sample population (Schmitt & Allik, 2005).

Procedure

This study employed single-stage cluster sampling. The official website of the Department of Social Welfare Malaysia, the Registry of Society Malaysia, and the Selangor Islamic Department were explored to identify all the residential sheltered homes in the state of Selangor. In Malaysia, most orphans are looked after in various non-government-run sheltered homes for underprivileged children and adolescents, where they live alongside non-orphans. To be eligible for inclusion, the sheltered homes must be a Malayoperated non-government-run sheltered home for underprivileged children and adolescents including orphans and the homes must provide basic necessities such as accommodation, food, money, education, transportation, and other living support. On the other hand, the exclusion criteria included (a) government-run sheltered homes, (b) non-Malay-operated nongovernment-run sheltered homes, (c) homeschooling centres/academies/tuition centres, (d) management offices that did not provide a sheltered living, (e) homes that shelter children and adolescents, but does not have more than three adolescents, (f) homes sheltering adults, (g) old folk homes, (h) homes sheltering mentally and physically disabled individuals, (i) kindergartens, (j) child day-care centres, (k) nursing homes, and (1) community service centres such as a counselling centre. The reason non-Malay-operated non-government-run sheltered homes were excluded was due to language barriers. Government-run sheltered homes were also excluded because of the differences in governance and facilities such as trained personnel, financial assistance, and adequacy of physical facilities as compared to non-government homes. In Malaysia, the non-government-run sheltered homes are founded by associations in the community and they mainly rely on public donations for their financial source.

Atotal of 417 homes were identified from these three sources. However, 400 homes were excluded because of redundancy, not meeting the selection criteria, unreachable due to wrong contact information, and refusal to participate. The final sample consisted of all the adolescents from the 17 non-government operated sheltered homes distributed across all nine districts of Selangor. The sample size calculation was based on the one-sample proportion formula (Chow et al., 2017). The estimated

proportion of depression and anxiety was based on the prevalence rate of depression and anxiety reported by Mohammadzadeh et al. (2018). The sample size formula based on the accuracy in parameter estimation (AIPE) approach (Kelley & Maxwell, 2003) was used to evaluate the associated factors in this study. The sample sizes for the prevalence and associated factors in this study met the requirements. Moreover, the AIPE method gives a precise estimate of the population parameters by providing adequate sample sizes even when the widths of confidence intervals appear to be narrow. Data collection was carried out from one district to another district. The questionnaires were checked upon completion. The participants were served snacks and drinks after completing the questionnaires.

Data Analysis

Data were analysed using the IBM Statistical Package for Social Sciences Software Version 22 (SPSS 22). The accuracy of input, missing values, and multivariate normality were checked. Descriptive statistics were used to describe the sociodemographic distribution and the prevalence of depression and anxiety. The magnitude of means between independent variables and depression as well as anxiety were analysed. When the value of intraclass correlation (ICC) was greater than .05 (Heck et al., 2013) and the design effect was greater than 2 (Peugh, 2010), it indicated the need for the GLMM analysis. The associations were obtained through GLMM in view of the clustering effect.

Ethical Considerations

Approval was obtained from the Universiti Putra Malaysia Ethics Committee for Research Involving Human Subjects (Reference No.: UPM/TNCPI/RMC/1.4.18 (JKEUPM)/F1. Furthermore, formal permission was sought from the authors of the scale before beginning the study. Informed consent was obtained from the legal guardians of the nongovernment-run homes where the participants were residing.

RESULTS

Sociodemographic Characteristics

Table 1 shows the sociodemographic characteristics of 632 participants. The overall mean age was 14.48 years (SD = 1.32). One-third of the participants were females (33.7%). Most of the participants were Malays (99.2%) and all were Muslims (100%). The sample contained approximately half non-orphans (53.0%) and half orphans (47.0%). Amongst the orphans, 41.5% were single orphans (lost

Table 1 Sociodemographic characteristics of participants (N = 632)

CI	Freq	uency	M(SD)
Characteristic -	n	%	_
Age			14.48 (1.32)
13 years old	187	29.7	
14 years old	172	27.2	
15 years old	122	19.3	
16 years old	83	13.1	
17 years old	68	10.8	
Age group			
13-15 years old (younger)	481	76.1	
16-17 years old (older)	151	23.9	
Gender			
Female	213	33.7	
Male	419	66.3	
Ethnicity			
Malay	627	99.2	
Other	5	.8	
Religious affiliation			
Islam	632	100.0	
Other	0	0.0	
Type of orphan			
Non-orphan	335	53.0	
Orphan	297	47.0	
History of attendance at counselling			
Had attended	181	28.6	
Had never attended	451	71.4	

either one of their parents) and 5.5% were double orphans (lost both parents).

Prevalence of Depression and Anxiety

Based on the BDI-Malay (Mukhtar & Oei, 2008), the range of depressive symptoms reported by 616 adolescents was as follows: 179 (29.1%) minimal range, 237 (38.4%) mild range, 138 (22.4%) moderate range, and 62 (10.1%) severe range. Hence, most of the adolescents reported mild to severe range of depressive symptoms (70.9%). Based on the BAI-Malay (Mukhtar & Zulkefly, 2011), the range of anxiety symptoms reported

by 588 adolescents was as follows: 104 (17.7%) minimal range, 163 (27.7%) mild anxiety, 195 (33.2%) moderate range, and 126 (21.4%) severe range. Thus, four in five of the adolescents reported mild to severe range of anxiety symptoms (82.3%). More than half of the adolescents (n=371, 64.1%) had comorbidity of depression and anxiety.

Magnitudes of Means in Depression and Anxiety

Table 2 shows that the mean of total depression score was 15.59 (SD = 9.26). Female adolescents were significantly more

Table 2
Depression by sociodemographic characteristics (N=621)

Characteristic	n	Depression	Statistical	р	?
Characteristic		M(SD)	M(SD) test (df)		η^2
Participants	621	15.59 (9.26)			
Age					
13 years old	182	16.46 (9.83)	F(4,616) = .57	.69	.00
14 years old	168	15.24 (8.80)			
15 years old	121	15.31 (9.47)			
16 years old	82	15.17 (9.05)			
17 years old	68	14.13 (8.73)			
Age group					
13-15 years old	471	15.73 (9.37)	t(619) = .68	.50	.00
16-17 years old	150	15.14 (8.89)			
Gender					
Female	208	17.62 (9.60)	t(619) = 3.93	<.001**	.02
Male	413	14.56 (8.91)			
Type of orphan					
Nonorphan	328	15.51 (8.80)	t(591) =21	.83	.00
Orphan	293	15.67 (9.76)			
HoAC					
Had attended	179	16.54 (9.58)	t(619) = 1.63	.10	.00
Had never attended	442	15.20 (9.11)			

Note. HoAC = history of attendance at counselling, df = degree of freedom, η^2 = eta-squared, *p <.05 (2-tailed), **p <.001 (2-tailed).

depressed (M = 17.62, SD = 9.60) than male adolescents (M = 14.56, SD = 8.91), t(619) = 3.93 (p < .001) and the effect size was small ($\eta^2 = .02$). The total depression scores were not significantly different for age or between age groups, type of orphan, and history of attendance at counselling.

Table 3 shows that the overall mean total anxiety score to be 17.52 (SD = 9.95). Overall, anxiety was significantly different by age [F(4,583) = 2.47 (p < .05)] and the effect size was small ($\eta^2 = .02$). However, there was no significant difference for anxiety between younger and older participants. Female adolescents were

significantly more anxious (M = 19.38, SD = 10.24) than male adolescents (M = 16.58, SD = 9.67), t(586) = 3.25 (p < .01) but the effect size was small ($\eta^2 = .02$). In addition, adolescents who have attended counselling in the past were significantly more anxious (M = 19.47, SD = 10.29) than adolescents who had never attended counselling (M = 16.71, SD = 9.07), t(586) = 3.09 (p < .01) and the effect size was small ($\eta^2 = .01$). The total anxiety score was not significantly different between non-orphans and orphans.

Table 4 shows that the adolescents reported negative automatic thoughts more often with increasing severity of depression,

Table 3
Anxiety by sociodemographic characteristics (N=588)

Characteristic	n	Anxiety M (SD)	Statistical test (df)	p	η^2
Participants	588	17.52 (9.95)			
Age					
13 years old	168	18.17 (9.85)	F(4,583) = 2.47	.04*	.02
14 years old	162	15.70 (9.55)			
15 years old	114	17.49 (10.62)			
16 years old	78	18.01 (9.64)			
17 years old	66	19.80 (9.87)			
Age group					
13-15 years old	444	17.09 (9.99)	t(586) = -1.86	.06	.01
16-17 years old	144	18.86 (9.72)			
Gender					
Female	198	19.38 (10.24)	t(586) = 3.25	<.001**	.02
Male	390	16.58 (9.67)			
Type of orphan					
Non-orphan	308	16.88 (9.27)	t(586) = -1.64	.10	.00
Orphan	280	18.23 (10.61)			
HoAC					
Had attended	173	19.47 (10.29)	t(586) = 3.09	<.001**	.01
Had never attended	415	16.71 (9.70)			

Note. HoAC = history of attendance at counselling, df = degree of freedom, η^2 = eta-squared, *p < .05 (2-tailed), **p < .001 (2-tailed).

Table 4
Negative automatic thought by the severity of depression and anxiety, and between low self-esteem and high self-esteem (N=603)

Severity of symptoms	n	NAT Mean (SD)	Statistical test (df_1, df_2)	p	η^2
Depression	603				
Minimal	176	24.98 (5.13)	F(3,203) = 147.27	<.001*	.20
Mild	230	32.74 (7.56)			
Moderate	135	40.51 (10.1)3			
Severe	62	46.71 (12.62)			
Anxiety	575	NAT Mean (SD)			
Minimal	103	24.75 (7.12)	F(3,478) = 108.37	<.001*	.16
Mild	161	29.71 (7.75)			
Moderate	188	35.41 (9.01)			
Severe	123	44.16 (10.58)			
Self-esteem		Depression Mean (SD)			
Low	135	21.73 (9.46)	t(602) = 9.43	<.001*	.12
High	469	13.82 (8.32)			
Self-esteem		Anxiety Mean (SD)			
Low	133	21.37 (10.16)	t(570) = 5.25	<.001*	.04
High	439	16.31 (9.63)			

Note. NAT = negative automatic thought, *p < .001 (2-tailed).

F(3,203) = 147.27 (p < .001) and there was a significant large effect size ($\eta^2 = .20$). Similarly, the negative automatic thoughts also increased with the severity of their anxiety, F(3,478) = 108.37 (p < .001). There was a significant large effect size $(\eta^2 = .16)$. Furthermore, adolescents with low self-esteem were significantly more depressed (M = 21.73, SD = 9.46) than adolescents with high-self-esteem (M =13.82, SD = 8.32), t(602) = 9.43, (p < .001)and this showed a large effect size (η^2 = .12). Adolescents with low self-esteem were significantly more anxious (M = 21.37, SD= 10.16) than adolescents with high-selfesteem (M = 16.31, SD = 9.63), t(570) =5.25 (p < .001) but this showed a small effect size ($\eta^2 = .04$).

Factors Associated with Depression and Anxiety

The ICC values for depression and anxiety were .40 and .01 respectively and the design effects for depression and anxiety were 15.54 and 1.49 respectively, thus indicating the needs for the GLMM statistical analyses. Table 5 shows that most of the sociodemographic variables were not associated with depression. Only age was negatively associated with depression $[\beta = -.57, t = -2.69 (p < .01)]$. As for the psychological variables, anxiety $[\beta = .21, t =$ 5.60 (p < .001)], negative automatic thought $[\beta = .33, t = 8.56 (p < .001)]$ and anger $[\beta]$ = .12, t = 3.16 (p < .01)] were positively associated with depression. On the contrary, self-esteem [β = -.32, t = -5.12 (p < .001)]

Table 5 Factors associated with depression and anxiety (N=632)

	β	CE	t		95%CI	
		SE		p	LL	UL
Depression						
Age	57	.21	-2.69	<.01*	98	15
Gender	.48	.71	0.68	.50	91	1.87
Type of orphan	.42	.67	0.63	.53	89	1.73
HoAC	.33	.61	0.54	.59	88	1.54
Anxiety	.21	.04	5.60	<.001**	.14	.29
Negative automatic thought	.33	.04	8.56	<.001**	.26	.41
Self-esteem	32	.06	-5.12	<.001**	44	20
Anger	.12	.04	3.16	<.01*	.05	.20
Anxiety						
Age	.40	.24	1.71	.09	06	.87
Gender	65	.80	-0.81	.42	-2.23	.93
Type of orphan	.16	.75	0.21	.83	-1.31	1.67
History of attaendance at councelling (HoAC)	.40	.69	0.58	.56	95	.18
Depression	.27	.05	5.68	<.001***	.18	.36
Negative automatic thought	.28	.05	6.35	<.001***	.20	.37
Self-esteem	.05	.07	0.73	.47	09	.19
Anger	.25	.04	6.02	<.001***	.17	.33

Note. SE = standard of error, β = beta, t = t-test, CI = confidence interval, LL = lower limit, UL = upper limit, *p < .05 (2-tailed), **p < .01) (2-tailed), ***p < .01) (2-tailed)

was negatively associated with depression. All sociodemographic variables were not associated with anxiety. Depression [β = .27, t = 5.68 (p < .001)], negative automatic thought [β = .28, t = 6.35 (p < .001)], and anger [β = .25, t = 6.02 (p < .001)] were positively associated with anxiety but self-esteem was not significantly associated with anxiety.

DISCUSSION

This study aimed to examine the prevalence of depression and anxiety among adolescents staying in the Malay-operated non-government-run sheltered homes in Selangor as well as to identify factors associated with depression and anxiety. The overall prevalence of mild to severe depression and anxiety symptoms in this study was 70.9% and 82.3% respectively, with 64.1% of the respondents reporting both comorbidities. The prevalence rates are similar to those reported by another study on Malaysian adolescents from sheltered homes (Mohammadzadeh et al., 2018). Both studies showed a high prevalence of depression and anxiety among adolescents in non-government-run sheltered homes. Furthermore, our findings are consistent with previous studies in which anxiety

was more common than depression. In addition, our results also suggest that depression and anxiety are more prevalent among Malaysian adolescents in sheltered homes compared to the general adolescent population (Ibrahim et al., 2014, 2017; Latiff et al., 2015).

The high comorbidity between depression and anxiety in this study is in line with past literature (Abbo et al., 2013; Merikangas et al., 2010). High comorbidity of internalising symptoms might be explained by the significant direct association between them. Nilsen et al. (2013) emphasised that comorbidity of externalising symptoms such as conduct problems did not affect the treatment outcomes of depression and anxiety since the primary disorder was either depression or anxiety. Most of the studies on depression and anxiety are based on the standard diagnostic criteria for these disorders while others use the standardised screening instruments to measure the symptoms. Some studies used both measuring methods. These differences are partly responsible for the large variation in the estimates of prevalence between studies. Baxter et al. (2013) stated that the methodological and sociodemographic differences across samples would contribute to the variability in prevalence estimates. Another possible contributing factor to the differences could be the application of different threshold values for clinically significant depression and anxiety. Nevertheless, the high prevalence of depression and anxiety in the study implies an urgent need to increase

the number of government-run sheltered homes in Malaysia as well as speeding up legal adoption of orphaned children. A large, national-level survey should also be conducted to obtain comprehensive official statistics about orphans and sheltered homes in Malaysia.

In addition, this study implies that the biopsychological model could be applied. In this study, after adjusting the clustering effect, most sociodemographic variables as they were not associated with depression and anxiety. However, most of the psychological variables appeared to have strong associations with depression and anxiety.

In this study, age was significantly related to depression but not anxiety. However, by evaluating the results of the magnitude of means, there was a significant difference in anxiety by age but not for depression. These contradicting results were in line with past literature that indicated age as a relatively unstable factor in association with depression and anxiety (Fanaj et al., 2015; Khasakhala et al., 2012; Mohammadzadeh et al., 2018; Rood et al., 2010). The specific reasons behind this were unknown but Allan and colleagues (2014) stated that when other risk factors were not taken into account, the observed relationship between age and anxiety became somewhat unstable. Furthermore, Clark et al. (2012) also stated that age might be a predictor of depression when only stressors occurred.

In addition, this study showed that female adolescents were more depressed and anxious than male adolescents. This was in line with past literature (McGuinness et al., 2012; Soenen et al., 2014). The plausible explanation could be due to the fact that depressed females were more sensitive to the effects of adverse childhood experiences than males (Piccinelli & Wilkinson, 2000). Females were also more emotion-focused (Li et al., 2006) and had a greater tendency to ruminate (McGuinness et al., 2012). Despite the significant differences in depression and anxiety between males and females in this study, the effect sizes were small. The relationship between gender and anxiety was rather inconsistent in literature as some studies showed no significant relationship between gender and anxiety (Fanaj et al., 2015; Ibrahim et al., 2017; Khasakhala et al., 2012; Mohammadzadeh et al., 2018; Rood et al., 2010) while some studies did not (Derdikman-Eiron et al., 2011; Fanaj et al., 2015; Ibrahim et al., 2017; Khasakhala et al., 2012; Mohammadzadeh et al., 2018). As for this study, gender was not associated with depression and anxiety after taking the clustering effect into account.

Moreover, non-orphans and orphans did not differ significantly in depression and anxiety in this study. The orphaned status was also not significantly associated with depression and anxiety. A plausible explanation could be the sharing of similar support in the residential homes between orphans and non-orphans that subsequently leveraged the differences. Potential biases could have also occurred due to the underlying difference in the sociodemographic characteristics between orphans and non-orphans in this study.

Hence, future research should expand on this area.

Surprisingly, adolescents who had attended counselling in the past were not significantly different in depression compared to non-attenders. Although the difference was small, those who had attended counselling reported a higher level of anxiety symptoms. Most participants received only between one and three sessions of counselling while some participants were on counselling for several years. Therefore, the significant effect of counselling might not be detected, thus explaining why the history of attendance at counselling was not significantly associated with both depression and anxiety in this study.

On the other hand, the findings of our study are consistent with other studies that reported a strong association between depression and anxiety (Fanaj et al., 2015; Ibrahim et al., 2014, 2017; Rood et al., 2010). Seligman and Ollendick (1998) reported that anxiety might be a risk factor for affective disorders such as depression. In our study, it is possible that anxiety increased the risk of depression. However, several points should be taken into consideration. Firstly, the direction of the association was unclear as the cross-sectional nature of this study can indicate reverse causality. Nilsen et al. (2013) mentioned that reserve causality could influence the significance of the findings. Secondly, high comorbidity between depression and anxiety might explain the significant association between the two conditions in this study. Despite the frequent co-occurrence of the two disorders,

Van Oort and colleagues (2009) argued that an increase in anxiety symptoms could not be explained by the increase in depression symptoms because the two pathologies followed different developmental courses.

Regarding negative automatic thoughts, they were positively associated with depression and anxiety in this study. As the severity of depression and anxiety increased, a higher level of negative automatic thoughts was reported by the adolescents. The modification of cognitive errors such as negative thinking is an effective way of treating depression and anxiety. Cognitive behaviour therapy (CBT) is based on the principle of modifying cognition errors. There is a large body of evidence indicating CBT as an effective treatment for childhood depression and anxiety with long-term benefits even at follow-up (Rood et al., 2010; Weisz et al., 2013; Zhou et al., 2015). Therefore, CBT can be a good choice of treatment since it targets both depression and anxiety.

Furthermore, this study showed that even though low self-esteem contributed to higher depression and anxiety, self-esteem was only positively associated with depression but not with anxiety. This result was in contrast with Sowislo and Orth (2013) who reported a stronger predictive ability of self-esteem on depression than vice versa. The same study reported the effects of low self-esteem and anxiety to be relatively equal. Moreover, Waite et al. (2012) suggested that the relationship between low-self-esteem and psychiatric illness was unclear in which some studies

showed psychiatric disorders could lower self-esteem while others claimed that low self-esteem predisposed to psychiatric disorders such as depression and anxiety. Despite this uncertainty, treatment for adolescents with depression and anxiety often include therapies designed to increase their self-esteem because these therapies ensure a wider recovery benefit, especially under stressful conditions. Besides, Moksnes et al. (2010) also pointed out that adolescents with high self-esteem could cope better with stressful life events and be more resilient to challenges in life.

To a certain extent, the significant association between depression and anger in this study explained the coexistence of anger and depression. It could also be extended to other aggressive behaviours such as self-harming, suicidal ideation, violence, and delinquency (Novaco, 2010). The association between anxiety and anger could explain the reason why patients with anxiety disorders often had a higher level of anger, hostility, and aggression than non-clinical patients (Novaco, 2010). In view of this, the interrelationships between depression and anger as well as between anxiety and anger warrant further research.

CONCLUSION

In summary, our findings contributed to the literature on the mental health of adolescents staying in non-government-run sheltered homes in Malaysia. The results highlighted the urgent need to improve the outreach programme for underprivileged children and adolescents in sheltered homes.

Furthermore, apart from increasing the number of government-run sheltered homes nationwide, the facilities in the existing nongovernment-run sheltered homes should also be enhanced. Specifically, the support for legal foster care and psychiatric services must be put in place. Early identification of depression and anxiety symptoms through appropriate screening process can facilitate the implementation of an appropriate preventive and treatment programme to reduce the high costs of mental health care. Caregivers of the sheltered homes can be trained to provide group intervention programmes along with school counsellors. Future research in this area should be geared towards the administration of more evidence-based treatment such as cognitive behaviour therapy for adolescents with depression and anxiety.

Limitations and Recommendations

Firstly, the generalisability of the findings is limited because the sample was only drawn from the state of Selangor and the use of self-administered questionnaires might have resulted in a biased response. Secondly, almost 100% of the participants were Malays and Muslims, thus limiting the generalisability of our findings to other ethnicities. We recommend future researchers to use the standard diagnostic classification such as the Diagnostic and Statistical Manual of Mental Disorders, Fifth Edition (DSM-5) with standardised measures such as Structured Clinical Interview of DSM-5 (SCID-5) for their participants. This has important implications

for the research direction and management programme in treating depression and anxiety disorders rather than just reducing the symptoms.

ACKNOWLEDGEMENT

This work was supported by the Research Management Centre of Universiti Putra Malaysia under the Research University Grant Scheme (RUGS) Initiative 3 Project No. is 04-02-12-2110RU.

REFERENCES

- Abbo, C., Kinyanda, E., Kizza, R. B., Levin, J., Ndyanabangi, S., & Stein, D. J. (2013). Prevalence, comorbidity and predictors of anxiety disorders in children and adolescents in rural north-eastern Uganda. *Child and Adolescent Psychiatry and Mental Health*, 7(1), 1-11. https://doi.org/10.1186/1753-2000-7-21
- Adlina, S., Suthahar, A., Ramli, M., Edariah, A. B., Soe, S. A., Mohd Ariff, F., Narimah, A. H., Nuraliza, A. S., & Karuthan, C. (2007). Pilot study on depression among secondary school students in Selangor. *The Medical Journal of Malaysia*, 62(3), 218-222.
- Alexander, B., David, E., & Grills, N. (2013). High prevalence of anxiety disorders among adolescent Tibetan refugees. *Asian Journal of Psychiatry*, 6(3), 218-221. https://doi.org/10.1016/j.ajp.2012.12.006
- Allan, N. P., Capron, D. W., Lejuez, C. W., Reynolds, E. K., MacPherson, L., & Schmidt, N. B. (2014). Developmental trajectories of anxiety symptoms in early adolescence: The influence of anxiety sensitivity. *Journal of Abnormal Child Psychology*, 42(4), 589-600. https://doi.org/10.1007/s10802-013-9806-0
- Avenevoli, S., Swendsen, J., He, J. P., Burstein, M., & Merikangas, K. R. (2015). Major depression

- in the national comorbidity survey-adolescent supplement: Prevalence, correlates, and treatment. *Journal of the American Academy of Child and Adolescent Psychiatry*, *54*(1), 37-44. e2. https://doi.org/10.1016/j.jaac.2014.10.010
- Baxter, A. J., Scott, K. M., Vos, T., & Whiteford, H. A. (2013). Global prevalence of anxiety disorders: A systematic review and meta-regression. *Psychological Medicine*, 43(5), 897-910. https://doi.org/10.1017/S003329171200147X
- Beck, A. T., & Steer, R. A. (1990). *Manual for the Beck Anxiety Inventory*. Person Corporation.
- Beck, A. T., Ward, C. H., Mendelson, M., Mock, J., & Erbaugh, J. (1961). An inventory for measuring depression. *Archives of General Psychiatry*, 4(6), 561-571. https://doi.org/10.1093/ndt/gfr086
- Beidel, D. C., & Alfano, C. A. (2011). *Child anxiety disorders: A guide to research and treatment.* (2nd ed.). Brunner-Routledge.
- Benjamin, C. L., Harrison, J. P., Settipani, C. A., Brodman, D. M., & Kendall, P. C. (2013). Anxiety and related outcomes in young adults 7 to 19 years after receiving treatment for child anxiety. *Journal of Consulting and Clinical Psychology*, 8(15), 865-876. https://doi. org/10.1037/a0033048
- Bulhões, C., Ramos, E., Lindert, J., Dias, S., & Barros, H. (2013). Depressive symptoms and its associated factors in 13-year-old urban adolescents. *International Journal of Environmental Research and Public Health*, 10(10), 5026-5038. https://doi.org/10.3390/ijerph10105026
- Chow, S. C., Shao, J., Wang, H., & Lokhnygina, Y. (2017). Sample size calculations in clinical research (3rd ed). Chapman and Hall/CRC. https://doi.org/10.1201/9781315183084
- Clark, M. S., Jansen, K. L., & Cloy, J. A. (2012). Treatment of childhood and adolescent depression. American Family Physician.

- 86(5), 442-448. https://www.ncbi.nlm.nih.gov/pubmed/22963063
- Cluver, L. D., Orkin, M., Gardner, F., & Boyes, M. E. (2012). Persisting mental health problems among AIDS-orphaned children in South Africa. *Journal of Child Psychology and Psychiatry and Allied Disciplines*, 53(4), 363-370. https://doi.org/10.1111/j.1469-7610.2011.02459.x
- Dabkowska, M., & Dabkowska-Mika, A. (2015). Risk factors of anxiety disorders in children: A fresh look at anxiety disorders. In F. Durbano (Ed.), *IntechOpen* (pp. 1-16). https://doi.org/10.5772/61169
- Derdikman-Eiron, R., Indredavik, M. S., Bratberg, G. H., Taraldsen, G., Bakken, I. J., & Colton, M. (2011). Gender differences in subjective well-being, self-esteem and psychosocial functioning in adolescents with symptoms of anxiety and depression: Findings from the Nord-Trøndelag health study. *Scandinavian Journal of Psychology*, 52(3), 261-267. https://doi.org/10.1111/j.1467-9450.2010.00859.x
- Engel, G. L. (1977). The need for a new medical model: A challenge for biomedicine. *Science*, 196(4286), 129-136. https://doi.org/10.1126/science.847460
- Engel, G. L. (1980). The clinical application of the biopsychosocial model. *The American Journal of Psychiatry*, *137*(5), 535-544. https://doi.org/10.1176/ajp.137.5.535
- Essau, C. A., Lewinsohn, P. M., Olaya, B., & Seeley, J. R. (2014). Anxiety disorders in adolescents and psychosocial outcomes at age 30. *Journal of Affective Disorders*, *163*, 125-132. https://doi.org/10.1016/j.jad.2013.12.033
- Fanaj, N., Melonashi, E., Drevinja, F., & Haxhibeqiri, S. H. (2015). Depression, anxiety, hopelessness and self-esteem in a clinical sample of adolescents in Kosovo. *European Psychiatry*, 30(1), 1189. https://doi.org/10.1016/S0924-9338(15)30935-4

- Farid, M. F., & Akhtar, M. (2013). Self-esteem of secondary school students in Pakistan. *Middle-East Journal of Scientific Research*, 14(10), 1325-1330.
- Fawzy, N., & Fouad, A. (2010). Psychosocial and developmental status of orphanage children: Epidemiological study. *Current Psychiatry*, 17(2), 41-48.
- Fergusson, D. M., & Woodward, L. J. (2002). Mental health, educational, and social role outcomes of adolescents with depression. *Archives of General Psychiatry*, *59*(3), 225. https://doi.org/10.1001/archpsyc.59.3.225
- Getachew, H., Ambaw, F., Abebe, L., & Kasahun, W. (2011). Psychological distress and its predictors in AIDS orphan adolescents in Addis Ababa city: A comparative survey. *Ethiopian Journal* of Health Development, 25(2), 135-142.
- Guo, X., Meng, Z., Huang, G., Fan, J., Zhou, W., Ling, W., Jiang, J., Long, J., & Su, L. (2016). Metaanalysis of the prevalence of anxiety disorders in mainland China from 2000 to 2015. Scientific Reports, 6, 1-15. https://doi.org/10.1038/ srep28033
- Hankin, B. L., Abramson, L. Y., Miller, N., & Haeffel, G. J. (2004). Cognitive vulnerability-stress theories of depression: Examining affective specificity in the prediction of depression versus anxiety in three prospective studies. *Cognitive Therapy and Research*, 28(3), 309-345. https:// doi.org/10.1023/B:COTR.0000031805.60529.0d
- Hankin, B. L., Young, J. F., Abela, J. R. Z., Smolen,
 A., Jenness, J. L., Gulley, L. D., Technow, J. R.,
 Gottlieb, A. B., Cohen, J. R., & Oppenheimer, C.
 W. (2015). Depression from childhood into late adolescence: Influence of gender, development,
 genetic susceptibility, and peer stress. *Journal of Abnormal Psychology*, 124(4), 803-816. https://doi.org/10.1037/abn0000089
- Heck, R., Thomas, S., Tabata, L. (2013). *Multilevel* and longitudinal modeling with IBM SPSS.

 Routledge

- Hollon, S. D., & Kendall, P. C. (1980). Cognitive self-statements in depression: Development of an automatic thoughts questionnaire. *Cognitive Therapy and Research*, 4(4), 383-395. https://doi.org/10.1007/BF01178214
- Ibrahim, N., Amit, N., & Wong, M. (2014). Psychological factors as predictors of suicidal ideation among adolescents in Malaysia. *Plos One*, 9(10), Article e110670. https://doi.org/10.1371/journal.pone.0110670
- Ibrahim, N., Mohd Sidik, S., Phang, C. K., Mukhtar, F., Awang, H., Ang, J. K., Zubaidah, J. O., Abdul Ghaffar, S. F. (2017). Prevalence and predictors of depression and suicidal ideation among adolescents attending government secondary schools in Malaysia. *Medical Journal* of Malaysia, 72(4), 221-227.
- Institute for Public Health. (2018). National Health and Morbidity Survey (NHMS) 2017: Key findings from the adolescent health and nutrition surveys. http://iku.moh.gov.my/images/IKU/Document/REPORT/NHMS2017/NHMS2017Infographic.pdf
- Ishikawa, S. (2015). A cognitive-behavioral model of anxiety disorders in children and adolescents. *Japanese Psychological Research*, *57*(3), 180-193. https://doi.org/10.1111/jpr.12078
- Keane, L., & Loades, M. (2017). Low self-esteem and internalizing disorders in young people: A systematic review. *Child and Adolescent Mental Health*, 22(1), 4-15. https://doi.org/10.1111/ camh.12204
- Kelley, K., & Maxwell, S. E. (2003). Sample size for multiple regression: Obtaining regression coefficients that are accurate, not simply significant. *Psychological Methods*, 8(3), 305-321. https://doi.org/10.1037/1082-989X.8.3.305
- Kessler, R. C., Avenevoli, S., Costello, E. J., Georgiades, K., Green, J. G., Gruber, M. J., He, J. P., Koretz, D., McLaughlin, K. A., Petukhova, M., Sampson, N. A., Zaslavsky, A. M., & Merikangas, K. R. (2012). Prevalence, persistence, and

- sociodemographic correlates of DSM-IV disorders in the National Comorbidity Survey Replication Adolescent Supplement. *Archives of General Psychiatry*, 69(4), 372-380. https://doi.org/10.1001/archgenpsychiatry.2011.160
- Khasakhala, L., Ndetei, D., Mutiso, V., Mbwayo, A., & Mathai, M. (2012). The prevalence of depressive symptoms among adolescents in Nairobi public secondary schools: Association with perceived maladaptive parental behaviour. *African Journal of Psychiatry*, 15(2), 106-113. https://doi.org/10.4314/ajpsy.v15i2.14
- Latiff, L. A., Sidik, S. M., Ibrahim, N., Othman, N., Abu Bakar, A. S., Awang, H., Mukhtar, F., Osman, Z. J., Ismail, S. I. F., Naing, N. K., Rahman, H. A., Ibrahim, F. H., & Akhtari-Zavare, M. (2015). Prevalence of anxiety and its association with socio-demographic factors among secondary school students in Pasir Gudang district, Johor. *International Journal of Public Health and Clinical Sciences*, 2(6), 104-112.
- Li, C. E., DiGiuseppe, R., & Froh, J. (2006). The roles of sex, gender, and coping in adolescent depression. *Adolescence*, 41(163), 409-415.
- Mahmoud, J. S. R., Staten, R. "Topsy," Lennie, T. A., & Hall, L. A. (2015). The relationships of coping, negative thinking, life satisfaction, social support, and selected demographics with anxiety of young adult college students. *Journal of Child and Adolescent Psychiatric Nursing*, 28(2), 97-108. https://doi.org/10.1111/jcap.12109
- McGuinness, T. M., Dyer, J. G., & Wade, E. H. (2012). Gender differences in adolescent depression. *Journal of Psychosocial Nursing and Mental Health Services*, 50(12), 17-20. https://doi.org/10.3928/02793695-20121107-04
- Merikangas, K., He, J.-P., Burstein, M., Swanson, S., Avenevoli, S., Lihong, C., Benjet, C., Georgiades, K., & Swendsen, J. (2010). Lifetime prevalence of mental disorders in U.S. adolescents: Results from the National Comorbidity Survey

- Replication—Adolescent Supplement (NCS-A). Journal of the American Academy Children Adolescent Psychiatry, 49(10), 980-989. https://doi.org/10.1016/j.jaac.2010.05.017
- Mohammadzadeh, M., Awang, H., Kadir Shahar, H., & Ismail, S. (2018). Emotional health and self-esteem among adolescents in Malaysian orphanages. *Community Mental Health Journal*, 54(1), 117-125. https://doi.org/10.1007/s10597-017-0128-5
- Moksnes, U. K., Moljord, I. E. O., Espnes, G. A., & Byrne, D. G. (2010). The association between stress and emotional states in adolescents: The role of gender and self-esteem. *Personality and Individual Differences*, 49(5), 430-435. https://doi.org/10.1016/j.paid.2010.04.012
- Mukhtar, F., & Oei, T. P. S. (2008). Exploratory and confirmatory factor validation and psychometric properties of the Beck Depression Inventory for Malays (BDI-Malay) in Malaysia. *Malaysian Journal of Psychiatry*, 17(1), 51-64. https://doi. org/10.1017/CBO9781107415324.004
- Mukhtar, F., & Zulkefly, N. S. (2011). The Beck Anxiety Inventory for Malays (BAI-Malay): A preliminary study on psychometric properties. *Malaysian Journal of Medicine and Health Sciences*, 7(1), 75-81.
- Nalugya-Sserunjogi, J., Rukundo, G. Z., Ovuga, E., Kiwuwa, S. M., Musisi, S., & Nakimuli-Mpungu, E. (2016). Prevalence and factors associated with depression symptoms among school-going adolescents in Central Uganda. *Child and Adolescent Psychiatry and Mental Health*, 10(39), 1-8. https://doi.org/10.1186/ s13034-016-0133-4
- Nasir, R., Zamani, Z. A., Yusooff, F., & Khairudin, R. (2010). Cognitive distortion and depression among juvenile delinquents in Malaysia. *Procedia: Social and Behavioural Sciences*, 5, 272-276. https://doi.org/10.1016/j. sbspro.2010.07.087

- Nilsen, S. T., Eisemann, M., & Kvernmo, S. (2013). Predictors and moderators of outcome in child and adolescent anxiety and depression: A systematic review of psychological treatment studies. *European Child and Adolescent Psychiatry*, 22(2), 69-87. https://doi.org/10.1007/s00787-012-0316-3
- Novaco, R. W. (2010). Anger and psychopathology. In M. Potegal, G. Stemmler, & C. Spielberger (Eds.), International handbook of anger: Constituent and concomitant biological, psychological, and social processes (pp. 465-497). Springer Science + Business Media. https://doi.org/10.1007/978-0-387-89676-2 27
- Oei, T. P. S., & Mukhtar, F. (2008). Exploratory and confirmatory factor validation and psychometric properties of the Automatic Thoughts Questionnaire for Malays (ATQ-Malay) in Malaysia. *Hong Kong Journal of Psychiatry*, 18(3), 92-100.
- Pelkonen, M., Marttunen, M., Kaprio, J., Huurre, T., & Aro, H. (2008). Adolescent risk factors for episodic and persistent depression in adulthood. A 16-year prospective follow-up study of adolescents. *Journal of Affective Disorders*, 106(1-2), 123-131. https://doi.org/10.1016/j. jad.2007.06.001
- Peugh, J. L. (2010). A practical guide to multilevel modeling. *Journal of School Psychology*, 48(1), 85-112. https://doi.org/10.1016/j.jsp.2009.09.002
- Piccinelli, M., & Wilkinson, G. (2000). Gender differences in depression. Critical review. *The British Journal of Psychiatry*, 177, 486-493. https://doi.org/10.1192/bjp.177.6.486
- Polanczyk, G. V., Salum, G. A., Sugaya, L. S., Caye, A., & Rohde, L. A. (2015). Annual research review: A meta-analysis of the worldwide prevalence of mental disorders in children and adolescents. *Journal of Child Psychology and Psychiatry and Allied Disciplines*, 56(3), 345-365. https://doi.org/10.1111/jcpp.12381

- Ramagopal, G., Narasimhan, S., & Devi, L. U. (2016). Prevalence of depression among children living in orphanage. *International Journal of Contemporary Pediatrics*, 3(4), 1326-1328. https://doi.org/10.18203/2349-3291. ijcp20163670
- Ramli, J., Yahaya, A., Yahaya, N., & Lazin, S. Z. M. (2014). Kemurungan dalam kalangan penghuni rumah anak yatim di daerah Kota Bharu, Kelantan [Depression Among Orphanage Residents In Kota Bharu District, Kelantan]. Universiti Teknologi Malaysia Institutional Repository. http://eprints.utm.my/id/eprint/10127/
- Rood, L., Roelofs, J., Bögels, S. M., & Alloy, L. B. (2010). Dimensions of negative thinking and the relations with symptoms of depression and anxiety in children and adolescents. *Cognitive Therapy and Research*, *34*(4), 333-342. https://doi.org/10.1007/s10608-009-9261-y
- Rosenberg, M. (1965). *Society and the adolescent self-image*. Princeton University Press. https://doi.org/10.1515/9781400876136
- Schmitt, D. P., & Allik, J. (2005). Simultaneous administration of the Rosenberg Self-Esteem Scale in 53 nations: Exploring the universal and culture-specific features of global self-esteem. *Journal of Personality and Social Psychology*, 89(4), 623-642. https://doi.org/10.1037/0022-3514.89.4.623
- Seligman, L. D., & Ollendick, T. H. (1998). Comorbidity of anxiety and depression in children and adolescents: An integrative review. *Clinical Child and Family Psychology Review*, 1(2), 125-144. https://doi.org/10.1023/A:1021887712873
- Soenen, B., D'Oosterlinck, F., & Broekaert, E. (2014).

 Anxiety in youth in Flemish care: A multiinformant study. *Therapeutic Communities: The International Journal of Therapeutic Communities*, 35(2), 56-74. https://doi.
 org/10.1108/TC-02-2014-0007

- Sofian, M., Arffin, S., & Yasir, A. (2013). Orphanage welfare and care centre as integration with community. Arts and Design Studies, 13, 31-38. http://iiste.org/Journals/index.php/ADS/article/ view/8082
- Sowislo, J. F., & Orth, U. (2013). Does low self-esteem predict depression and anxiety? A meta-analysis of longitudinal studies. *Psychological Bulletin*, 139(1), 213-240. https://doi.org/10.1037/a0028931
- Van Oort, F. V. A., Greaves-Lord, K., Verhulst, F. C., Ormel, J., & Huizink, A. C. (2009). The developmental course of anxiety symptoms during adolescence: The TRAILS study. *Journal of Child Psychology and Psychiatry and Allied Disciplines*, 50(10), 1209-1217. https://doi.org/10.1111/j.1469-7610.2009.02092.x
- Waite, P., Mcmanus, F., & Shafran, R. (2012). Cognitive behaviour therapy for low self-esteem: A preliminary randomized controlled trial in a primary care setting. *Journal of Behavior Therapy and Experimental Psychiatry*, 43(4), 1049-1057. https://doi.org/10.1016/j.jbtep.2012.04.006
- Wang, L., Feng, Z., Yang, G., Yang, Y., Wang, K., Dai, Q., Zhao, M., Hu, C., Zhang, R., Liu, K., Guang, Y., & Xia, F. (2016). Depressive symptoms among children and adolescents in Western China: An epidemiological survey of prevalence and correlates. *Psychiatry Research*, 246, 267-274. https://doi.org/10.1016/j. psychres.2016.09.050

- Weisz, J. R., Kuppens, S., Eckshtain, D., Ugueto, A. M., Hawley, K. M., & Jensen-Doss, A. (2013). Performance of evidence-based youth psychotherapies compared with usual clinical care a multilevel meta-analysis. *JAMA Psychiatry*, 70(7), 750-761. https://doi.org/10.1001/jamapsychiatry.2013.1176
- World Health Organization. (2019). *Adolescent mental health*. https://www.who.int/news-room/fact-sheets/detail/adolescent-mental-health
- Yaacob, M. J. (2006). Validity and reliability study of Rosenberg Self-Esteem Scale in Seremban school children. *Malaysian Journal of Psychiatry*, 15(2), 35-39.
- Yavuzer, Y., Karatas, Z., Civilidag, A., & Gundogdu, R. (2014). The role of peer pressure, automatic thoughts and self-esteem on adolescents 'aggression. *Eurasian Journal of Educational Research*, *54*, 61-78. https://doi.org/10.14689/ejer.2014.54.4
- Zakaria, Z., & Yaacob, M. J. (2008). Psychiatric morbidity among children and adolescents living in orphanages, Kota Bharu, Malaysia. *International Medical Journal*, 15(3), 183-188.
- Zhou, X., Hetrick, S. E., Cuijpers, P., Qin, B., Barth, J., Whittington, C. J., Cohen, D., Giovane, C. D., Liu, Y., Michael, K. D., Zhang, Y., Weisz, J. R., & Xie, P. (2015). Comparative efficacy and acceptability of psychotherapies for depression in children and adolescents: A systematic review and network meta-analysis. World Psychiatry, 14(2), 207-222. https://doi.org/10.1002/wps.20217





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Review Article

Conceptualisation of Financial Exploitation of Older People: A Review

Nurfadhilah Che Amani^{1*}, Rojanah Kahar², Rahimah Ibrahim² and Muslihah Hasbullah²

¹Faculty of Human Ecology, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia ²Department of Human Development and Family Studies, Faculty of Human Ecology, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

ABSTRACT

The concept of financial exploitation has gained much interest in the field of elder abuse. The purpose of this study is to review the conceptualisation of elder financial exploitation as a first step towards exploring how financial abuse is interpreted differently by different groups. The search strategy includes the use of the SCOPUS database, including PubMed, MEDLINE, and open access for articles published between 1997 and January 2019. This study includes prevalence studies regarding the analysis of perceptions and conceptualisation of financial exploitation. This study excluded studies published in languages other than English with no relevance regarding the focus of the study. Twenty-six studies met the inclusion criteria with four categories (older people, professional, public, and family members) and a range of settings across studies. Three overarching themes emerged in this review. The sub-themes include values, expectations, cultural considerations, characteristics of older people, relationship dynamics, situational factors, knowledge, and attitudes. Current evidence supports the on-going discussion on the lack of uniformity in definitions and conceptualisations of the financial exploitation of older people.

ARTICLE INFO

Article history: Received: 25 February 2020 Accepted: 24 August 2020

Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.17

E-mail addresses:
fadhilah.amani@gmail.com (Nurfadhilah Che Amani)
rojanah@upm.edu.my (Rojanah Kahar)
imahibrahim@upm.edu.my (Rahimah Ibrahim
muslihah@upm.edu.my (Muslihah Hasbullah)

* Corresponding author

The lack of consideration from the views of older people and community members may add to the complexity of defining financial exploitation, which can result in problems in detection, disclosure, and underreporting incidences.

Keywords: Conceptualisation, elder abuse, financial exploitation, perception, older people

INTRODUCTION

The World Health Organisation has recognised financial exploitation as a branch of elder abuse. The literature on the prevalence of financial exploitation in various geographical locations in other parts of the world indicates the increasing number of cases affecting older people (Acierno et al., 2010; Biggs et al., 2009; Naughton et al., 2012; Peterson et al., 2014). Researchers have explored the risk factors (Conrad et al., 2010; C. Dessin, 2003; Wilber & Reynolds, 1997) and evaluated strategies and preventive measures (C. L. Dessin, 2000; Rabiner et al., 2006). When conducting research on elder abuse, factors such as cultural relevancy and minority populations should be considered by researchers (Enguidanos et al., 2014; H. Y. Lee et al., 2012; Sanchez, 1997; Tsukada et al., 2001).

World Health Organisation defines financial abuse as follows: "the illegal or improper exploitation of use of funds or other resources of older persons" (World Health Organisation, 2002, p. 3). There are other researchers that use different terms, but the terms share common ideas (Choi et al., 1999; C. L. Dessin, 2000; Smith, 1999). The common ideas entail deprivation, improper or illegal conduct, use, or misuse of funds or property (Darzins et al., 2009). C. Dessin (2003) categorised the conduct of potential abusive activity into four categories, namely theft, fraud, intentional breach of duty by a fiduciary caregiver, and negligence. It is believed that some categories might overlap.

In almost all studies, the personality or characteristics of victims of financial exploitation are similar to victims of elder abuse in general. The most common factors are old age, social isolation, extreme dependency and frailty, severe mental and physical illness, widowed female, and financial illiteracy (Kapp, 1995; Rabiner et al., 2006). The main perpetrators of financial exploitation among older people are adult children and other family members (Paranjape et al., 2009) or a person in a position of trust or a fiduciary relationship (Conrad et al., 2011; Jackson & Hafemeister, 2013). The financial exploitation of an older person may lead to financial deprivation. Bagshaw et al. (2013) and Kaspiew et al. (2016) highlighted how older people would deplete their wealth accumulation, psychological effects, and quality of life.

The literature shows that there is no consensus in defining financial exploitation. Interpretation of what amount to financial exploitation may either be professionally driven (Conrad et al., 2011; Gilhooly et al., 2013, 2016; Jackson & Hafemeister, 2013; Rabiner et al., 2005) and/or Eurocentric (Sanchez, 1997). What is deemed to be exploitative by the majority of cultural standards may not be similar to the minority population. Furthermore, some research investigated professional and public views and definitions of financial exploitation. In addition, several studies considered culture (Dong et al., 2011; H. Y. Lee et al., 2012; Petrusic et al., 2015) and minority populations when exploring the conceptualisation of financial exploitation.

There were studies that discovered similarities and disparities within the legislation in different states or countries (Gibson & Greene, 2013; Payne & Strasser, 2012; Rabiner et al., 2004; Smith, 1999).

The findings of previous studies revealed the variations of definitions of financial exploitation among professionals, the public, older people, and legislation. The reviews in the literature discuss how age, gender, context, and cultural factors can influence individual perceptions of financial exploitation. There is a strong consensus among researchers on the marked differences in the perceptions of professional and older people in conceptualising financial exploitation (Conrad et al., 2011; Gilhooly et al., 2013, 2016; Rabiner et al., 2005) that lead to underreporting and ineffective preventive measures(C. Dessin, 2003; Jackson & Hafemeister, 2013).

This systematic review was conducted to explore disparities in definitions and conceptualisations on the amounts of financial exploitation. It also intended to identify and synthesise empirical findings. This systematic review aims to answer three (3) questions:

- What does the term 'financial exploitation/abuse of older people' mean to individuals, older people, family members, and the public?
- 2. Is the understanding similar across populations, groups, and locations?
- 3. How do professional conceptualisations differ from other groups?

The articles in this systematic review include a combination of qualitative and quantitative approaches based on an integrative systematic review methodology (Harden, 2010).

METHODS

The search strategy used in the comprehensive review includes electronic database searching and citation searching via the Scopus and PubMed databases. These databases are the largest database for peer-reviewed literature and international publishers, including MEDLINE and open access coverage. Only publications in the English language were included in the study. This study includes publications of peerreviewed studies that focus on perception, conceptualisation, and experience on financial exploitations of older people published in 1997 until January 2019. This study also includes prevalence studies that include analysis of perceptions and conceptualisation of financial exploitation. It includes all studies regardless of setting, population, and geographical location. The concepts of financial exploitation of older people, perceptions, experiences, and views were used to create the search criteria:

- The term 'financial exploitation' OR
- 2. 'Financial abuse AND older people' OR 'elder financial exploitation OR abuse' are deemed acceptable to include all acts that describe the financial exploitation of older people.

3. The term 'conceptualisation' or similar terms were included in the search strategy, including perceptions, views, opinions, experience, understanding, opinion, and concept.

As displayed in Figure 1, a total of 236 published articles were identified from the search results. Due to the specific focus of this study and inclusion criteria, 139 of the articles were excluded as they were irrelevant. The majority of the articles did not focus on conceptualisations, experiences, views, perceptions, and opinions of the

financial exploitation of older people. Any redundant articles that were published in languages other than English with no relevance were excluded. The final sample of 26 articles that reported the findings in the Scopus database was included. All the studies cited in each article were examined for additional relevant material. This study included several relevant references from the articles.

This study was conducted by a lead author and assessed by other authors independently with the objective of understanding each study on its own

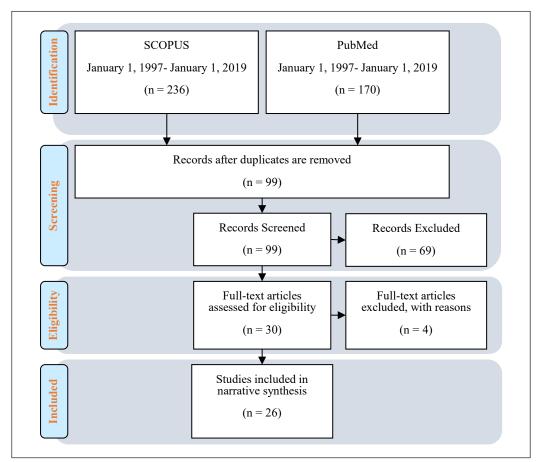


Figure 1. Review process (PRISMA)

terms and how the themes influence the understanding regarding the focus of the study. In this review, both quantitative and qualitative studies were included as a part of a larger study. Combining a wide range of methods in a review allows a more relevant and richer interpretation of data when there are limited studies (Harden & Thomas, 2005).

RESULTS

Based on the search strategy, 26 studies were identified and summarised in Table 1. From the results, the summary highlights the objectives, study design, demographics, and objectives for each study.

The methodologies used in these studies include qualitative (n=15), quantitative (6), and mix methods (n=5). The majority of

the participants of the studies were older people (n=18). These studies were mostly conducted in the United States, Canada, England, and Scotland; there were only a few in Asia. The results reveal that most studies were conducted in the West that considered the culture, acculturation, and assimilation of the minority population (Korean, African American, Serbian, Ethiopian) and the heterogeneous factors of the minority population (aboriginals, gay, transgender, lesbian, and bisexual). Most studies used open-ended questions: 1) describe what do you know about abuse? and 2) describe opinions or experiences of financial abuse. The uses of hypothetical situations or vignettes to describe their perspectives on financial abuse were also explored. Three overarching themes (cultural

Table 1
Summary of reviewed literature on the conceptualisation of financial exploitation

Item	Authors	Objectives	Study Design/ Demographic/ Country
1	Chang and Moon (1997)	1 & 1	Qualitative/ 100 elderly Korean Americans/ Los Angeles, the United States of America.
2	Sanchez (1997)	S	Qualitative / 19 female and 11 male self-identified older Mexican Americans/ the United States of America.
3	Wilber and Reynolds (1997)	A framework as guidelines for the professionals in detecting financial abuse.	Document/ content analysis of the literature.
4	Rabiner et al. (2004)	professionals in understanding	The framework was further developed based on findings of literature and views of panel experts (Bronfenbrenner, 1979; Schiamberg & Gans, 2000; Wolf, 2003).
5	Daskalopoulos et al. (2006)	-	Quantitative / 50 respondents (11 males, 39 females) aged between 20-73 years old/ England.

Table 1 (continue)

Item	Authors	Objectives	Study Design/ Demographic/ Country
6	Hightower et al. (2006)	Experiences of victims regarding interpersonal violence and abuse.	British Columbia, Canada.
7	Setterlund et al. (2007)	Reviews on theoretical contributions of financial elder abuse using routine activity	Qualitative/ 81 family members or friends (asset managers) who managed the assets of 86 older people/ Australia.
8	H. Y. Lee and Eaton (2009)	Elderly's perception and response to f financial abuse in the cultural context.	Mixed method/ 124 elderly Korean immigrants who reside in California/ the United States of America.
9	H. Y. Lee et al. (2011)		Mixed method/ 124 elderly Korean cohorts living in Korea and 124 elderly Korean immigrants in the US residing in California/ the United States of America and Korea.
10	Dong et al. (2011)	Self-reported definitions of elder mistreatment; (b) perception and socio-cultural context of elder mistreatment; and (c) the tendency and knowledge of help-seeking behaviours.	
11	Conrad et al. (2011)	concept mapping to	Literature review/ concept mapping. Interview 16 experts (10 local (Illinois) and six national panels of experts) in the field of financial exploitation. Statements were sorted and rated using Concept Systems software/ the United States of America.
12	Manthorpe et al. (2012)		Content/document analysis and Qualitative interviews/ 15 adult safeguarding coordinators/ England.
13	H. Y. Lee et al. (2012)	Definitions of financial abuse perpetrated by family and the influences of cultural values.	Mixed method/ 124 elderly Korean immigrants residing in California aged between 60-79 years old that live in the community/ the United States of America.
14	Ploeg et al. (2013)	Definitions of elder abuse among the marginalised group of older adults.	Qualitative/ respondents include nine groups of marginalised older adults (aboriginal; ethnocultural minorities; women; members of the lesbian, gay, bisexual, transgender, and queer community; mental health issues; caregivers; those who have financial difficulty; those aged 85 years and older; and those who have personal experience with abuse) / Canada.
15	Mihaljcic and Lowndes (2013)	Individual and communities' attitudes toward financial abuse.	Qualitative/ three focus groups. Each group consists of seven people (aged care workers, older adults, younger adults) / Australia.

Table 1 (continue)

Item	Authors	Objectives	Study Design/ Demographic/ Country
16	Golding et al. (2013)	the courtroom and factors that influence criminal prosecution among jurors.	
17	Gilhooly et al. (2013)		Qualitative / 20 banking and 20 health care professionals/ England and Scotland.
18	Gibson and Greene (2013)		Quantitative/ 132 jurors and 28 experts in elder financial abuse/ the United States of America.
19	Wendt et al. (2015)	Theoretical development of elder financial abuse by family members through a case study.	Qualitative/ 14 older people or family members in Australia.
20	Bagshaw et al. (2013)	Older people and family members' concerns on financial management and property arrangements.	Quantitative/ 113 older people and families in Australia.
21	Y. S. Lee et al. (2014)		interdisciplinary experts and six focus groups that includes three groups with 60 elderly
22	Petrusic et al. (2015)		Quantitative survey (40 items)/ 97 elder women aged 65 and above from ten cities and municipalities/ Serbia.
23	Beaulieu et al. (2015)	A theoretical contribution to the mistreatment of older adults using the struggle for recognition theory.	
24	Chane and Adamek (2015)	the experiences of abuse and	Qualitative / 15 older adults (nine women and six men) reported experiencing abuse in a non-institutional setting/ Ethiopia.
25	Knight et al. (2016)		Quantitative/488 respondents on a questionnaire using vignettes in Ventura, country area, the United States of America.
26	Jervis et al. (2017)	Perceptions of mistreatment by family among 100 urban and rural older American Indians.	Mixed method/ qualitative interviews using open-ended questions/ 100 participants aged 60-89 from two reservations (urban and metropolitan)/ the United States of America.

values, characteristics of older people, and awareness) and several subthemes were discovered in this review.

Table 2 summarises the descriptive analysis of the reviews, which led to how four (4) different groups, namely older people, professionals, community, and family members interpreted and/or conceptualised financial exploitation.

Older People's Perspectives

A total of 18 articles discuss the perspectives of older people. In this review, several subthemes were generated by older people on how they conceptualised financial exploitation.

Cultural Factors. Traditions and filial piety are mostly recognised in Eastern culture (Chang & Moon, 1997; H. Y. Lee et al.,

Table 2 Summary of descriptive analysis of the overarching themes and subthemes of the reviewed articles

Overarching themes	Subthemes	Articles
Cultural values	Values	Chang and Moon (1997), H. Y. Lee and Eaton (2009), H. Y. Lee et al. (2012), Jervis et al. (2017), Knight et al. (2016), Sanchez (1997), Wendt et al. (2015), Y. S. Lee et al. (2014)
	Expectations	Chang and Moon (1997), Jervis et al. (2017), Sanchez (1997), Y. S. Lee at al. (2014)
	Cultural considerations/tolerance	H. Y. Lee and Eaton (2009), Jervis et al. (2017), Knight et al. (2016), Petrusic et al. (2015), Sanchez (1997), Wendt et al. (2015)
Characteristics of older people	Poor health status	Bagshaw et al. (2013), Dong et al. (2011), Hightower et al. (2006)
	Relationship dynamics	Bagshaw et al. (2013), Dong et al. (2011), Hightower et al. (2006), Knight et al. (2016), Manthorpe et al. (2012), Mihaljcic and Lowndes (2013), Petrusic et al. (2015), Rabiner et al. (2004), Wilber and Reynolds (1997)
	Situational factors	Bagshaw et al. (2013), Beaulieu et al. (2015), Chane and Adamek (2015), Conrad et al. (2011), Dong et al. (2011), Gilhooly et al. (2013), Hightower et al. (2006), Knight et al. (2016), Mihaljcic and Lowndes (2013), Petrusic et al. (2015), Ploeg et al. (2013)
Awareness	Knowledge	Conrad et al. (2011), Daskalopoulos et al. (2006), Gibson and Greene (2013), Gilhooly et al. (2013), Golding et al. (2013), H. Y. Lee at al. (2011), H. Y. Lee et al. (2012), Knight et al. (2016) Manthorpe et al. (2012), Rabiner et al. (2004), Setterlund et al. (2007), Wilber and Reynolds (1997), Y. S. Lee et al. (2014)
	Attitudes and Awareness	Bagshaw et al. (2013), Chane and Adamek (2015), Conrad et al. (2011), Daskalopoulos et al. (2006), Gibson and Greene (2013), Golding et al. (2013), H. Y. Lee et al. (2011), H. Y. Lee and Eaton (2012), Knight et al. (2016), Manthorpe et al. (2012), Petrusic et al. (2015), Ploeg et al. (2013), Setterlund et al. (2007)

2012). In addition, the family's harmony is perceived as more important than individual rights in Korean and Chinese culture. Apart from that, several studies suggested that immigration and acculturation could influence how older people conceptualised financial exploitation among the American Korean and Chinese (H. Y. Lee et al., 2011; Y. S. Lee et al., 2014). Compared to a study in Australia, the asset management of older Australians was not only influenced by patriarchal belief but also by contextual factors such as financial status and financial literacy (Mihaljcic & Lowndes, 2013).

Cultural Expectations. Among the American Indians, there is the failure to recognise certain conduct as abusive due to the culturally prescribed value of native elders; it can be a contributing factor for older people to be exploited financially in the family home (Jervis et al., 2017). A study in Serbia on 97 older women revealed a strong recognition of cultural values that contributed to their conceptualization. The practice of self-sacrifice for a property is used to justify their act of giving financial support to adult children and grandchildren. This practice is extended to giving up their right to inheritance in favour of their own children. It is contradictory to the findings by Y. S. Lee et al. (2014) on the emerging dimension of financial exploitation among Chinese and Korean immigrants as a perception that the failure to provide financial support and maintenance to older parents is an act of financial exploitation (Y. S. Lee et al., 2014). In most studies in the West, the same conduct is viewed as an act

of 'neglect' (Chane & Adamek, 2015). For Korean immigrants, the failure to provide support for older parents is considered exploitation (Chang & Moon, 1997).

Culture Considerations and Tolerance.

Minority populations that embraced cultural sensitivity could be influenced by how they shaped their perceptions (Chang & Moon, 1997; Jervis, 2017; Y. S. Lee et al., 2014; Ploeg et al., 2013; Sanchez, 1997). In some cultures, older people were denied on their rights to inherit properties, expected to reciprocate caregivers with financial support, and turned down on the filial obligation of adult children. Strong value systems in a population and conformity to traditional culture and practice can increase older people's tolerance to any form of exploitation (Chane & Adamek, 2015; H. Y. Lee et al., 2011; Sanchez, 1997). The tolerance of economic exploitation is higher if it is culturally accepted and adhered to within a particular society.

Knowledge, Attitudes, and Awareness of

Abuse. In a study conducted in England, only a few respondents were able to identify financial abuse situations due to their lack of awareness of the incidents (Daskalopoulos et al., 2006). Based on a mixed-method study of 124 elderly Korean immigrants residing in California, the respondents failed to recognise a situation of financial exploitation and consider it as a voluntary act of giving money to their children (H. Y. Lee & Eaton, 2009). The study was further extended to a Korean cohort living in Korea (H. Y. Lee et al., 2011). The result

revealed that the higher education levels of those in the immigrant cohort could recognise the situation better (H. Y. Lee et al., 2011). It is believed that increased levels of education may lead to a higher likelihood of recognising financially exploitative situations. The importance of knowledge and education was highlighted in a follow-up study in 2012 with the same 124 elderly Koreans (H. Y. Lee et al., 2012). Most of the respondents defined financial abuse based on their level of cultural adherence to traditional values, attitude, and exposure to elder mistreatment.

Situational Factors. Dong et al. (2011) discovered that older people associated with financial exploitation with situations where adult children deceive their ageing parents for monetary purposes. Some examples of this behaviour include exploiting older parents' savings, taking away food stamps and property ownership. Hightower et al. (2006) revealed that older women experienced financial abuse by their adult children who often force ageing mothers to sell their homes or transfer their properties without consent. The study also discovered financial abuse cases in British Columbia. Canada that were associated with more adult children than spouses. In another Canadian study, the definition of elder abuse was explored among a marginalised group of older adults in Canada who were from the minority populations (aboriginal, ethnocultural minorities, women, members of the lesbian, gay, bisexual, transgender, and queer community) (Ploeg et al., 2013). This study revealed that participants with different contextual and situational factors view financial abuse experiences differently from other groups. The findings highlighted that most groups, except for the Farsi-speaking group recognised the financial abuse by family members (Ploeg et al., 2013). The group comprised female refugees from Afghanistan and Iran. They continued to tolerate culturally sanctioned spousal abuse until they became old. In the older abuse survivors group, financial abuse experiences included a son who controlled his mother's finances without her approval and forced her to enter into a legal transaction for monetary benefits. According to the author, most victims are women with a lack of financial literacy, and they depend on adult children after the death of their husbands. The study also revealed how older women were deceived into entering into legal transactions by their adult children, which led to difficulties to access to justice system due to the lack of community support (Beaulieu et al., 2015). In Ethiopia, the situational factor can be explained by the economic situation of the country. Poverty and economic desperation can lead to the occurrence of economic exploitation incidents in a family (Chane & Adamek, 2015).

Relationship Dynamics. The relationship between the victim and the perpetrator is a binding factor that ties the views of all older people in defining financial exploitation (Knight et al., 2016). The minority populations view certain acts as not abusive if they are committed by family members. This factor is a mediating element

regarding culture, expectation, culture, and tolerance that is practiced in a family.

Professionals' Perspectives

There are seven studies that investigated the conceptualisation of professionals regarding financial exploitation. Most definitions of financial exploitation are based on what is in the literature and theory; some are aware of culture and knowledge factors.

Knowledge and Awareness. In a study by Gibson and Greene (2013), 132 jurors and 28 experts assessed a set of statements regarding elder financial abuse. The experts consisted of researchers, clinical practitioners, law professionals, and policymakers that agreed on what might constitute an act of financial abuse based on situational and dispositional characteristics; but, there were fewer consensuses on the issue related to victim characteristics. The aged care workers (ACW) in a study in Australia reported that they shared similar attitudes with other groups of older adults and younger adults (Mihaljcic & Lowndes, 2013) on the risk factors that made older people become vulnerable. However, ACW workers strongly felt that older people were likely to have difficulty in managing economic affairs, while older people believed that they possessed the intellectual capabilities to manage their own affairs if they were to be advised wisely. Similarly, ACW strongly believed that borrowing money from older people was considered financially abusive when the person knew that that money had been deprived or could not be recovered. Younger adults feel otherwise as long as it is returned to them. Older people put no expectation in getting back the money that they lend to their adult children (Mihaljcic & Lowndes, 2013). A study on 20 local professionals and interdisciplinary experts regarding financial abuse acknowledged conducts such as unauthorised transferring legal title of a property, using older people's money or economic resources, restricting older parents' financial freedom despite their ability to make sound judgements, and forcing parents to pay loans or debt are considered financial abuse (Y. S. Lee et al., 2014). Interaction between the factors at the micro and macro processes levels may influence the perceptions of financial exploitation. Microsystem involves the interaction of an older person and the other person, while macrosystem encompasses the cultural environment where the older person lives. It includes the characteristics of victim and perpetrator, social and economic dependence, and social relationships in the interactions (Conrad et al., 2011). This study had developed extensive categories of economic exploitation to identify misconduct. The clusters are theft and scams, financial victimisation, financial entitlement, coercion, signs of possible financial exploitations, and money management difficulties.

Characteristics of Older People. These factors were discussed in a study conducted by Manthorpe et al. (2012). This qualitative study examined the views and experiences of social workers and adult safeguarding

coordinators on the financial abuse of people with dementia. The workers identified 12 grounds that raised some suspicions for financial abuse. Some of the suspicion grounds include those that may be committed by a stranger or third party such as scam, overcharged price for service rendered by the workman, financial anomalies in accounts, and exerting undue influence to change wills in a fiduciary relationship. Some of the grounds for suspicion are committed within the family setting, such as selling property or assets as compensation to fund aged care and undue influence to change will or receiving gifts.

Community Perspectives

There are marked differences in the conceptualisations of financial exploitation from the public among family members, older people, and professionals.

Attitudes and Knowledge of Financial Exploitation. According to Mihaljcic and Lowndes (2013), younger respondents believed that the act of borrowing money from older people is not considered financial abuse if they repay their parents. Apart from differences in expectation, tolerance, and consideration of cultural norms within a family or society, another factor that may influence the definition of financial abuse is knowledge. A study conducted in 2007 in Australia sought 81 family members or managers that were the asset managers of 86 older people (Setterlund et al., 2007). Most of the respondents agreed that high integrity and adherence to the legal practice

of asset management would not lead to financial exploitation. Golding et al. (2013) investigated the community's perceptions of financial exploitation in courtrooms. The study surveyed 104 students and found that characteristics of crime and participants (gender and community members' age) impacted the perceptions of exploitation. Younger and older participants had different stereotypes about older people that affected their perception of the trial. The study predicted that the participants' gender affected how they perceived the cases of exploitation in the courtroom. Women were more likely to render a guilty verdict than men. The findings replicated the gender effect found in other elder abuse cases (Golding et al., 2013). This finding was supported by a study of family members in Australia, where the daughters were more likely to suspect abuse cases compared to their sons (Bagshaw et al., 2013).

Perspectives of Family Members

Knowledge and Exposure to Abuse.

In a study conducted in Australia, the possibility of abusing the finances of older people depends on the attitudes and practice of asset managers (Setterlund et al., 2007). Asset managers may be from the older person's family members or professionals. Most of the older Australians requested assistance from family members in managing their finances that might be in the form of mundane financial transactions and banking. The majority of asset managers use a formal arrangement to manage the assets of older people, of which 56% of

them use informal arrangements. There are no standard rules for asset management of older people, and the asset management practices within families depend on the attitudes and knowledge of asset managers. When the assets management practices of older people are not monitored, there will be a higher tendency for asset managers to commit abuse.

Cultural Factors. Strong adherence to cultural practices influences the way Australian family members perceived financial exploitation. Gender inequality involving family inheritance, older parents' dependency on sons for care, and a son's sense of entitlement to properties can be fertile grounds for financial abuse (Wendt et al., 2015). Sons as caregivers may easily deceive other family members with their caregiving roles and duties. These roles and duties can be easily abused if coupled with dishonest intentions (Wendt et al., 2015). Majority of respondents (family members) feel a strong sense of entitlement to older people's properties (Bagshaw et al., 2013). Family members are also concerned that adult children may not consult other family members when making decisions related to the financial affairs of older people.

DISCUSSION

The above review demonstrated how perceptions and conceptualisations of financial exploitation share similarities and differences that can be influenced by many factors such as cultural relevancy, situational and contextual factors, knowledge, community support, and the relationship between the victim and the perpetrator (Chang & Moon, 1997; Knight et al., 2016; H. Y. Lee et al., 2011; Setterlund et al., 2007). Several authors concluded that the professionals' definitions and understandings of elder financial exploitation are often professionally driven and lacked the cognisance of cultural, contextual, and relationship dynamics between the victim and the perpetrator.

Cultural Norms, Society and Values

The four (4) groups recognised that cultural norms, society, and values largely contributed to the conceptualisation of financial exploitation. Different populations conceptualise financial exploitation differently based on the expectations that are formed through their cultural beliefs and the level of adherence to cultural values. Similar populations that share cultural norms may view things differently based on their gender and age. The younger adult may have a different opinion than their elders, although they share common beliefs. This statement supported the influence of the level of acculturation in a society (Y. S. Lee et al., 2014). Although most studies recognised culture as a key factor in influencing how the minority population defines financial abuse, almost all of the studies have a small sample size that was not representative of the bigger population. Hence, there is a need to investigate the similarities and differences between cultures and values among the minority populations in the East and West. The studies can fill

the gaps in the existing knowledge and provide larger-scale studies that represent bigger populations. In developing more culturally relevant definitions of financial exploitation, professionals must consider the cultures and values of a population in improving the existing laws besides preventing and intervening measures of such incidents. The definitions must match with the understanding of how an older person perceives financial exploitation.

Contextual and Situational Factors

Conceptualisations often depend on the contextual and situational factors in the relationship between the older victim and family member or perpetrator. The dynamic of the relationship plays a significant role in how older people interpret their abusive experiences. The ability to recognise a negative experience as legally wrong is influenced by social factors (Segal et al., 2019). This notion is supported by findings in past studies that factors such as dependency (norms of exchange, reciprocity, vulnerability, immobile, isolation), characteristics of older people (trusting, generous, empathy), cognitive impairment (incapacitated, dementia), family value (parent-child relationship, filial obligations) and heterogeneity, sociodemographic status, gender, age, and contextual factors can interchangeably influence the conceptualisation of financial exploitation. A strong sense of entitlement to an older person's property by the adult children often occurred when there is a change in family circumstances. The death

of the older person's spouse, inability to comply with high financial commitments of adult children and low financial literacy of older people were among the circumstances reported in the literature (Bagshaw et al., 2013).

Level of Knowledge and Awareness

C. L. Dessin (2000) highlighted how total trust and power was given to adult children in managing financial affairs without understanding the implication of being exploited could decrease the likelihood of detection. Bagshaw et al. (2009) found that about half of the older people respondents and their family members mentioned that they were not concerned with financial management issues. Jackson and Hafemeister (2011) revealed that out of the 30% of reported cases, no attempt was made to investigate the case at the request of the older person. The findings indicated that 45% of the respondents believed that the investigation would cause trouble for the perpetrator, and 40% of them felt like the perpetrators were not committing any wrongful conduct besides believing that reporting would only worsen the older person's situation. Financial literacy and educating older people and members of the public are important in improving their understanding of the implications of financial exploitation.

LIMITATIONS

Firstly, the differences in definitions of financial exploitation were quite distinctive in all the studies. Some studies used selfreported definitions, while others adopted definitions in the literature. Similarly, a diverse range of methodological approaches were used in examining perceptions and conceptualisations. Some studies used faceto-face in-depth interviews or vignettes, while other studies used content analysis and surveys to examine conceptualisations. Thirdly, a diverse range of research outcomes had limited the scope of this review. Prevalence studies that embedded perceptions and conceptualisations of financial exploitations were also included. Finally, the assessment of the study quality was conducted by a lead author rather than a panel, which limited the scope for the peer review of the assessment.

IMPLICATION FOR PRACTICE

This review explores the similarities and differences in how people of various backgrounds, ages, genders, and roles in society conceptualise financial exploitation. The issues of conceptualisation and definition of financial exploitation have a direct implication for practitioners and policymakers. Views of older people and family members will enable a better understanding of this complex issue when dealing with family dynamics and relationships. The perspective of community members is relevant in developing effective prevention and intervention efforts. Conceptualisations and definitions of financial exploitation in a minority population must consider the cultural variation within the particular society for a greater understanding of the phenomenon.

This study can help the authorities to raise awareness effectively, educate, and empower societies, including family members, professionals, and the community by providing insight on how people from different sociodemographic backgrounds can form perceptions about financial exploitation. This effort may lead to an increase in the identification and reporting of abuse and fewer cases of intentional abuse in the community. Failing to recognise this fact, any attempt for preventive measures will hinder the development of meaningful preventive measures, laws, and policies.

CONCLUSION

This study found that the majority of older people conceptualised financial exploitation based on their cultural adherence and tolerance of abusive situations. These factors may result in low numbers of reporting. Contextual factors such as dependency on adult children, low financial literacy and lack of knowledge and exposure to cases of elder abuse explain why older people have such perceptions. Identifying financial abuse situations and their impact on older people is important in addressing the problem within the minority populations. It is also important to increase awareness through campaigns and educating communities, especially among older populations to achieve effective reporting and intervention. Conceptualisations of financial exploitation on a societal level and individual level can be addressed by developing systematic and holistic frameworks to bridge the gap between theories and facts of financial exploitation incidents (Killick et al., 2015). While broad definitions render all types of behaviours including fraud and theft, as financial abuse of older people, strict definitions may create negative attitudes towards older populations, especially in families and cultures that tolerate such behaviour. In conclusion, empowering older populations is key in protecting the older populations.

ACKNOWLEDGMENT

The review article is a part of the Doctoral dissertation of Nurfadhilah binti Che Amani. The study was sponsored by the Ministry of Higher Education under the SLAB/SLAI scholarship scheme and University Sains Islam Malaysia (S1603).

REFERENCES

- Acierno, R., Hernandez, M. A., Amstadter, A. B., Resnick, H. S., Steve, K., Muzzy, W., & Kilpatrick, D. G. (2010). Prevalence and correlates of emotional, physical, sexual, and financial abuse and potential neglect in the United States: The national elder mistreatment study. *American Journal of Public Health*, 100(2), 292-297. https://doi.org/10.2105/AJPH.2009.163089
- Bagshaw, D., Wendt, S., & Zannettino, L. (2009). Preventing the abuse of older people by their family members. Australian Domestic and Family Violence Clearinghouse, 1-16.
- Bagshaw, D., Wendt, S., Zannettino, L., & Adams, V. (2013) Financial abuse of older people by family members: Views and experiences of older Australians and their family members. *Australian Social Work*, 66(1), 86-103. https://doi.org/10.1 080/0312407X.2012.708762

- Beaulieu, M., Crevier, M., D'Amours, M., & Diaz, L. (2015). Financial exploitation of older women: A case analysis using the struggle for recognition theory. *Journal of Elder Abuse & Neglect*, 27(4-5) 489-499. https://doi.org/10.1080/08946566.2 015.1093990
- Biggs, S., Manthorpe, J., Tinker, A., Doyle, M., & Erens, B. (2009). Mistreatment of older people in the United Kingdom: Findings from the first national prevalence study. *Journal of Elder Abuse & Neglect*, 21(1), 1-14. https://doi. org/10.1080/08946560802571870
- Bronfenbrenner, U. (1979). The ecology of human development: Experiments by nature and design. Harvard University Press.
- Chane, S., & Adamek, M. (2015). "Death is better than misery": Elders' accounts of abuse and neglect in Ethiopia. *International Journal of Aging & Human Development, 82*(1), 54-78. https://doi.org/10.1177/0091415015624226
- Chang, J., & Moon, A. (1997). Korean American elderly's knowledge and perceptions of elder abuse. *Journal of Multicultural Social Work*, 6(1-2), 139-154. https://doi.org/10.1300/J285v06n01_09
- Choi, N. G., Kulick, D. B., & Mayer, J. (1999). Financial exploitation of elders: Analysis of risk factors based on county adult protective services data. *Journal of Elder Abuse & Neglect*, *10*(3-4), 39-62. https://doi.org/10.1300/J084v10n03 03
- Conrad, K. J., Iris, M., Ridings, J. W., Fairman, K. P., Rosen, A., & Wilber, K. H. (2011). Conceptual model and map of financial exploitation of older adults. *Journal of Elder Abuse & Neglect*, *23*(4), 304-325. https://doi.org/10.1080/08946566.201 1.584045
- Conrad, K. J., Iris, M., Ridings, J. W., Langley, K., & Wilber, K. H. (2010). Self-report measure of financial exploitation of older adults. *The*

- *Gerontologist*, 50(6), 758-773. https://doi.org/10.1093/geront/gnq054
- Darzins, P., Lowndes, G., Wainer, J., Owada, K., & Mihaljcic, T. (2009). Financial abuse of elders: A review of the evidence. State Trustees. Retrieved April 7, 2011, from http://www.statetrustees.com.au/uploads/content/170-3.3.1-Financial-abuse-of-elders_A-review-of-theevidence_2009.pdf
- Daskalopoulos, M., Mullin, A. S. J., Donovan, E., & Suzuki, H. (2006). English perceptions of elder abuse. *Journal of Elder Abuse & Neglect*, *18*(2-3), 33-50. https://doi.org/10.1300/J084v18n02_03
- Dessin, C. (2003). Financial abuse of the elderly: Is the solution a problem? [Akron Research Paper No. 03-08]. https://doi.org/10.2139/ssrn.461026
- Dessin, C. L. (2000). Financial abuse of the elderly. *Idaho Law Review, 36*(2), 203-226.
- Dong, X., Chang, E.-S., Wong, E., Wong, B., & Simon, M. A. (2011). How do US Chinese older adults view elder mistreatment? Findings from a community-based participatory research study. *Journal of Aging and Health*, *23*(2), 289-312. https://doi.org/10.1177/0898264310385931
- Enguidanos, S., Deliema, M., Aguilar, I., Lambrinos, J., & Wilber, K. (2014). Multicultural voices: Attitudes of older adults in the United States about elder mistreatment. *Ageing and Society*, 34(5), 877-903. https://doi.org/10.1017/S0144686X12001389
- Gibson, S. C., & Greene, E. (2013). Assessing knowledge of elder financial abuse: A first step in enhancing prosecutions. *Journal of Elder Abuse & Neglect*, 25(2), 162-182. https://doi.org/10.1080/08946566.2013.751820
- Gilhooly, M. L. M., Cairns, D., Davies, M., Harries, P., Gilhooly, K. J., & Notley, E. (2013). Framing the detection of financial elder abuse as bystander

- intervention: Decision cues, pathways to detection and barriers to action. *The Journal of Adult Protection*, *15*(2), 54-68. https://doi.org/10.1108/14668201311313578
- Gilhooly, M. M., Dalley, G., Gilhooly, K. J., Sullivan, M. P., Harries, P., Levi, M., Kinnear, D. C., & Davies, M. S. (2016). Financial elder abuse through the lens of the bystander intervention model. *Public Policy & Aging Report*, 26(1), 5-11. https://doi.org/10.1093/ppar/prv028
- Golding, J. M., Hodell, E. C., Dunlap, E. E., Wasarhaley, N. E., & Keller, P. S. (2013). When a son steals money from his mother: Courtroom perceptions of elder financial exploitation. *Journal of Elder Abuse & Neglect*, 25(2), 126-148. https://doi.org/10.1080/08946566.2013. 751816
- Hafemeister, T. L. (2003). Financial abuse of the elderly in domestic setting. NCBI. https://www.ncbi.nlm.nih.gov/books/NBK98784/
- Harden, A., & Thomas, J. (2005). Methodological issues in combining diverse study types in systematic reviews. *International Journal of Social Research Methodology*, 8(3), 257-271. https://doi.org/10.1080/13645570500155078
- Hightower, J., Smith, M. J., & Hightower, H. (2006). Hearing the voices of abused older women. *Journal of Gerontological Social Work*, 46(3-4), 205-227. https://doi.org/10.1300/ J083v46n03_12
- Jackson, S. L., & Hafemeister, T. L. (2011). Financial abuse of the elderly vs. other forms of elder abuse: Assessing their dynamics, risk factors, and society's response (Final report submitted to the National Institute of Justice). National Criminal Justice Reference Service. http://www.ncjrs.gov/pdffiles1/nij/grants/233613.pdf
- Jackson, S. L., & Hafemeister, T. L. (2013). Research in brief: Understanding elder abuse: New directions for developing theories of elder abuse

- occurring in domestic settings. National Criminal Justice Reference Service. https://www.ncjrs.gov/pdffiles1/nij/241731.pdf
- Jervis, L. L., Sconzert-Hall, W., & The Shielding American Indian Elders Project Team. (2017). The conceptualization of mistreatment by older American Indians. *Journal of Elder Abuse & Neglect*, 29(1), 43-58. https://doi.org/10.1080/08946566.2016.1249816
- Kapp, M. B. (1995). Elder maltreatment: Legal interventions and policy uncertainties. Behavioral Sciences and the Law, 13(3), 365-380. https://doi.org/10.1002/bsl.2370130305
- Kaspiew, R., Carson, R., & Rhoades, H. (2016). Elder abuse: Understanding issues, frameworks and responses (Research report no. 35). Australian Institute of Family Studies. https://aifs.gov.au/ sites/default/files/publication-documents/rr35elder-abuse-nov18.pdf
- Killick, C., Taylor, B. J., Begley, E., Anand J. C., & O'Brien, M. (2015). Older people's conceptualization of abuse: A systematic review. *Journal of Elder Abuse & Neglect*, 27(2), 100-120. https://doi.org/10.1080/089465 66.2014.997374
- Knight, B. G., Kim, S., Rastegar, S., Jones, S., Jump, V., & Wong, S. (2016). Influences on the perception of elder financial abuse among older adults in Southern California. *International Psychogeriatrics*, 28(1), 163-169. https://doi. org/10.1017/S1041610215000587
- Lee, H. Y., & Eaton, C. K. (2009). Financial abuse in elderly Korean immigrants: Mixed analysis of the role of culture on perception and help-seeking intention. *Journal of Gerontological Social Work*, 52(5), 463-488. https://doi.org/10.1080/0163437090298313
- Lee, H. Y., Lee, S. E., & Eaton, C. K. (2012). Exploring definitions of financial abuse in

- elderly Korean immigrants: The contribution of traditional cultural values. *Journal of Elder Abuse & Neglect*, 24(4), 293-311. https://doi.org/10.1080/08946566.2012.661672
- Lee, H. Y., Yoon, H. S., Shin, N., Moon, J.Y., Kwon, J. H., Park, E. S., Nam, R., Kang, S. B., & Park, K. H. (2011). Perception of elder mistreatment and its link to help-seeking intention. A comparison of elderly Korean and Korean American immigrants. *Clinical Gerontologist*, 34(4), 287-304. https://doi.org/1 0.1080/07317115.2011.573407
- Lee, Y. S., Kaplan, C. P., & Perez-Stable, E. J. (2014). Elder mistreatment among Chinese and Korean immigrants: The roles of sociocultural contexts on perceptions and help-seeking behaviors. *Journal of Aggression, Maltreatment & Trauma,* 23(1), 20-44. https://doi.org/10.1080/10926771.2014.864741
- Manthorpe, J., Samsi, K., & Rapaport, J. (2012). Responding to the financial abuse of people with dementia: A qualitative study of safeguarding experiences in England. *International Psychogeriatrics*, 24(9), 1454-1464. https://doi.org/10.1017/S1041610212000348
- Mihaljcic, T., & Lowndes, G. (2013). Individual and community attitudes toward financial elder abuse. *Journal of Elder Abuse & Neglect*, 25(2), 183-203. https://doi.org/10.1080/08946566.201 2.712867
- Naughton, C., Drennan, J., Lyons, I., Lafferty, A., Treacy, M., Phelan, A., & Delaney, L. (2012). Elder abuse and neglect in Ireland: Results from a national prevalence survey. Age and Ageing, 41(1), 98-103. https://doi.org/10.1093/ageing/ afr107
- Paranjape, A., Sprauve-Holmes, N. E., Gaughan, J., & Kaslow, N. J. (2009). Lifetime exposure to family violence: Implications for the health status of older African American women. *Journal*

- of Women's Health, 18(2), 171-175. https://doi. org/10.1089/jwh.2008.0850
- Payne, B. K., & Strasser, S. M. (2012). Financial exploitation of older persons in adult care settings: Comparisons to physical abuse and the justice system's response. *Journal of Elder Abuse & Neglect*, 24(3), 231-250. https://doi.org/10.10 80/08946566.2011.653315
- Peterson, J. C., Burnes, D. P., Caccamise, P. L., Mason,
 A., Henderson, C. R., Wells, M. T., Berman, J.,
 Cook, A. M., Shukoff, D., Brownell, P., Powell,
 M., Salamone, A., Pillemer, K. A., & Lachs, M.
 S. (2014). Financial exploitation of older adults:
 A population-based prevalence study. *Journal of General Internal Medicine*, 29, 1615-1623.
 https://doi.org/10.1007/s11606-014-2946-2
- Petrusic, N., Todorovic, N., Vracevic, M., & Jankovic, B. (2015). Financial abuse of older women in Serbia. *Journal of Elder Abuse & Neglect*, 27(4-5), 410-421. https://doi.org/10.1080/08946566. 2015.1094300
- Ploeg, J., Lohfeld, L., & Walsh, C. A. (2013). What is "elder abuse"? Voices from the margin: The views of underrepresented Canadian older adults. *Journal of Elder Abuse & Neglect*, 25(5), 396-424. https://doi.org/10.1080/08946566.2013. 780956
- Rabiner, D. J., Brown, D., & O'Keeffe, J. (2004). Financial exploitation of older persons: Policy issues and recommendations for addressing them. *Journal of Elder Abuse & Neglect*, *16*(1), 65-84. https://doi.org/10.1300/J084v16n01_04
- Rabiner, D. J., O'Keeffe, J., & Brown, D. (2005). A conceptual framework of financial exploitation of older persons. *Journal of Elder Abuse & Neglect*, 16(2), 53-73. https://doi.org/10.1300/ J084v16n02_05
- Rabiner, D. J., O'Keeffe, J., & Brown, D. (2006). Financial exploitation of older persons. *Journal*

- of Aging & Social Policy, 18(2), 47-68. https://doi.org/10.1300/J031v18n02_04
- Sanchez, Y. M. (1997). Distinguishing cultural expectations in assessment of financial exploitation. *Journal of Elder Abuse & Neglect*, 8(2), 49-59. https://doi.org/10.1300/J084v08n02_05
- Schiamberg, L. B., & Gans, D. (2000). Elder abuse by adult children: An applied ecological framework for understanding contextual risk factors and the intergenerational character of quality of life. *International Journal of Aging and Human Development*, 50(4), 329-359. https://doi.org/10.2190/DXAX-8TJ9-RG5K-MPU5
- Segal, M., Doron, I., & Mor, S. (2021) Consumer fraud: Older people's perceptions and experiences. *Journal of Aging & Social Policy*, 33(1), 1-21. https://doi.org/10.1080/08959420. 2019.1589896
- Smith, R. (1999). Fraud & financial abuse of older persons. *Trends & Issues in Crime and Criminal Justice*, 132. https://www.aic.gov.au/publications/tandi/tandi/132
- Setterlund, D., Tilse, C., Wilson, J., Mccawley, A. L., & Rosenman, L. (2007). Understanding financial elder abuse in families: The potential of routine activities theory. *Ageing and Society,* 27(4), 599-614. https://doi.org/10.1017/S0144686X07006009
- Tsukada, N., Saito, Y., & Tatara, T. (2001). Japanese older people's perceptions of "elder abuse". *Journal of Elder Abuse & Neglect*, *13*(1), 71-89. https://doi.org/10.1300/J084v13n01_04
- Wendt, S., Bagshaw, D., Zannettino, L., & Adams, V. (2015). Financial abuse of older people: A case study. *International Social Work*, *58*(2) 287-296. https://doi.org/10.1177/0020872813477882
- Wilber, K. H., & Reynolds, S. L. (1997). Introducing a framework for defining

financial abuse of the elderly. *Journal of Elder Abuse & Neglect*, 8(2), 61-80. https://doi.org/10.1177/1403494813503055

Wolf, R. S. (2003). Elder abuse and neglect: History and concepts. In R. J. Bonnie & R. B. Wallace R. B. (Eds.), *Elder mistreatment: Abuse, neglect,*

and exploitation in an aging America (pp. 238-248). National Research Council.

World Health Organisation. (2002). Missing voices: Views of older persons on elder abuse. http://whqlibdoc.who.int/hq/2002/WHO_NMH_VIP_02.1.pdf?ua=1



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Filipino Families in Slum Communities and their Tales of Survival in Times of Pandemic: An Exploration of Wellness Dimensions

Jem Cloyd M. Tanucan* and Marlon T. Bojos

College of Teacher Education, Cebu Normal University, Osmeña Boulevard, Cebu City, 6000, Philippines

ABSTRACT

In this time of pandemic where the balance of wellness dimensions is disrupted, neglecting any dimension can impact adversely on the people's life most especially those who are deprived including their coping strategies and ultimately their survival. A key factor is to ensure that services and policies are in synched with the state of wellness dimensions. This study examined the state of wellness of the thirty purposively selected families in five slum communities in Cebu, Philippines in times of pandemic. One-on-one semi-structured interview was used in order to gather significant data. Discourse analysis was applied which brought about their tales of survival in synched with their eight wellness dimensions. The findings elaborated that the pandemic and the different mitigation measures to curb it, had taken a heavy toll on the wellness of Filipino families in slum communities. However, this did not topple their resiliency and survivability as the social services and other crisis mitigation policies and strategies afforded by the national government and private sectors, albeit insufficient, including the peculiar Filipino attributes and individual initiatives they manifested and done were instrumental. Furthermore, noting that the essential support and services provided for the families in the slum communities were not holistic enough to address the multi-faceted issues hounding their different wellness dimensions, hence, stemming some non-conforming behaviors despite strict quarantine measures. This study

ARTICLE INFO

Article history:

Received: 14 October 2020 Accepted: 28 December 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.18

E-mail addresses:

tanucanj@cnu.edu.ph (Jem Cloyd M. Tanucan) bojosm@cnu.edu.ph (Marlon Bojos)

* Corresponding author

recommends that pandemic mitigation measures including essential support and services be reviewed and enhanced in high consideration of human wellness dimensions for them to be more inclusive and holistic.

Keywords: COVID-19, families, pandemic, Philippines, slum community, survival, wellness

INTRODUCTION

As the world grapples to survive with the economic and health impacts of the coronavirus 2019 (COVID-19) pandemic, developing countries experience greater burden, given their frail economic capacities and wanting public health infrastructures (Bruckner & Mollerus, 2020; El-Erian, 2020; United Nations Development Programme, 2020; Wolf, 2020). If developed countries are struggling to respond to the pandemic despite their advanced technologies, research breakthroughs, and solid economies, for developing countries, such struggle can be excruciating. Like any other country whose health system is being challenged, the Philippines with its relatively debilitated health infrastructure, is expected to be overwhelmed by the surge of cases.

In the Southeast Asia COVID-19 tracker of the Center for Strategic & International Studies (2020), the country ranked second in terms of the total number of confirmed cases as of June 29, 2020, and ranked first in terms of mortality rate as of July 06, 2020. It also has the lowest recovery rate in the region (Co, 2020). The country's state of coronavirus impact can be aggravated given that its youth are the second most inactive globally (Yee, 2019) alongside the reported poor diet and inadequate nutrition and food system of its citizens in general (United Nations International Children's Emergency Fund [UNICEF] Philippines, 2019). In addition, due to the limited social connectedness and people engagement after the implementation of strict quarantine protocols, surge of cases on depressions

and anxiety is anticipated. This is on top of the existing social conditions, such as poor urban planning and congestion in some cities and impeding access to healthcare facilities that may exacerbate the country's dreadful situation, leaving the families at the marginal on an impasse.

Having cogitated that COVID-19 would devastate the poor the hardest (Inter-Agency Standing Committee, 2020), the Philippine government was responsive to roll out cash assistance programs through the Social Amelioration Program for affected workers and poor families under Expanded Pantawid Pamilyang Pilipino Program (Department of Budget and Management, 2020). It also established the Inter-Agency Task Force on Emerging Infectious Diseases led by the Department of Health (DOH) to mount a full-scale, whole-of-government response concerning the COVID-19 and other emerging infectious diseases (Department of Health, 2020). The country's biggest private firms have also come together to support the government in response to mitigating the pandemic impacts including socio-economic needs of the people (de Guzman, 2020). While all sectors of the country are working together to contain the virus outbreak and its impacts, families who are living in marginal area were hardly reached (Abad & Magsambol, 2020; Romero, 2020) and oftentimes invisible in many research investigations, resulting to their less understood situations and actions during the pandemic.

Individuals who are classified as poor or low-income earner are commonly being labeled as "pasaway" or stubborn,

irresponsible, undisciplined, and hardheaded in various social media posts and news articles, illustrating how they can potentially cause the rise of the country's COVID-19 cases (Contreras, 2020; Nonato et al., 2020; Stinus-Cabugon, 2020). No less than the president of the Philippines, Rodrigo Roa Duterte, remarked the residents of Cebu City, the country's second largest city in terms of population and the new epicenter of COVID-19, as hard-headed for violating quarantine protocols and guidelines (ABS-CBN News, 2020; Mendez & Crisostomo, 2020; Punzalan, 2020) While certain deliberate pandemic mitigation policies are already implemented in order for the people to adhere to social distancing and home quarantine guidelines, what is disregarded is the current state of wellness during the pandemic of the poor families in slum communities who are suspected and sometimes out-rightly tagged as the "quarantine violators".

It is important to recognize that the quality of an individual's wellness determines his or her behavior. The state of human wellness defines how an individual thrives in life, looks, feels, thinks, and interacts with others, including the formation of his or her life meaning and purpose. That is why people's actions during the pandemic can be rooted upon the state of their wellness dimensions including the Physical, Intellectual, Emotional, Social, Spiritual, Environmental, Financial and Occupational as suggested in many studies (e.g. Childs, 2014; Foster & Keller, 2007; Joo, 2008; Kayastha, 2018; Naz et al.,

2013; Rehman et al., 2013; van Rensburg et al., 2011). Each dimension contributes to a person's overall quality of life, and each dimension can affect and overlap one another. In this time of pandemic where the balance of wellness dimensions is disrupted, neglecting any dimension for any length of time can impact adversely on individual's life most especially those who are deprived including their coping strategies and ultimately their survival. A key factor is to ensure that services and policies are able to reach down to the grassroots level, and are appropriate to their specific situation and state of wellness dimensions.

Against this backdrop, the starting point of this study assumes that the nation's preventive policies and humanitarian services to mitigate the impacts of a pandemic should be in synch with the state of wellness of its citizens. To date, little evidence can be found that documents the well-being of the Filipino families living in slum communities during the pandemic including their wellness management activities in order to survive. Hence, this study would like to respond to this gap by answering the following questions:

- 1. What is the state of wellness of Filipino families in slum communities in times of pandemic in terms of their physical, intellectual, emotional, social, spiritual, environmental, occupational and financial dimensions?
- 2. How do they manage each of their wellness dimensions in order to survive?

MATERIALS AND METHODS

This research is a qualitative study that utilized a collective or multiple case design where cases were analyzed to produce a synthesis of information. Multiple case design can enhance the generalizability of the qualitative results when investigating complex situations, making it more applicable to a wider environment. There were 30 purposively selected families, composing of ten (10) mothers, fifteen (15) fathers and five (5) sons and daughters of legal age. All of them are living in five (5) slum communities in Cebu, Philippines. A little over half of them (53.33%) are dependent on fishing as the main source of income while the rest (46.67%) are dependent on contractual wage labor. The average family size is five persons per household.

Social Distancing Protocol and Wearing of Personal Protective Equipment were strictly adhered to ensure optimum safety for both the researchers and the family being interviewed. Confidentiality and Anonymity guidelines were explained carefully in their language and were stipulated in the Informed Consent Form (ICF) which was signed to confirm their participation. As underscored in the ICF, all personal information that were gathered during the interview would only be used for the purpose of this study. An average of an hour and 30 minutes (90 minutes) semi-structured, one-on-one interview per family was used to gather essential information based on the eight (8) dimensions of wellness. The gathered information were then subjected to discourse analysis involving the process

of analyzing the connections of informants' discourses, actions, and context which according to Gee (2011a; 2011b) is the very essence of analyzing discourses. More specifically, he stated that a discourse was a characteristic way of "saying", "doing", and "being", whereby saying referred to oral or written utterances of individuals which commonly being social practiced and observed through their doing in context with their being, culture or background. In other words, the qualitative data of this study are analyzed by stating the study's informants' utterances (saying) and describing their actions (doing) categorized in the eight wellness dimensions of the human person. Then, they are expounded using related studies and works of literatures and Filipino cultural identity and contextual events (being). Taking everything into account, this unveils the tales of the survival of Filipino families in slum communities in the time of COVID-19 pandemic in synched with their eight wellness dimensions.

RESULTS

After a thorough analysis of the informants' responses, this study revealed the utterances (saying) and actions (doing) of Filipino families in slum communities during the pandemic in synch with the human wellness dimensions. The different wellness management activities they employed were also highlighted in this section.

Physical Wellness

The worsening gravity of the different issues on physical health due to poor sanitation and hygiene supplies, existing diseases and illnesses, limited access to food and healthcare supplies were the things particularly identified by the majority of the informants (23 out of 30 families) as they shared their situation in times of pandemic. Fifteen (15) families said that their concern were the quality access and purchase of clean water, sufficient food supply and sanitation facilities, resulting to compounding health conditions during the pandemic. For instance, the father of Family 3 responded:

"My job has been compromised because of the pandemic causing my family to have limited supply on our basic needs such as water and food and sanitation supplies like soap, clean water, and other toiletries. This resulted to not just incomplete and poor meals a day, but also to my kids and wife suffering from skin rashes and diarrhea."

The father of Family 17 also said:

"After the strict implementation of the Enhanced Community Quarantine and social distancing, I was not able to provide my family the food that we need every day because my company's operation has been stopped temporarily and I do not have the money to give my family right now...Moreover, I worry for my wife's kidney failure condition given that it is difficult to go to the pharmacy without public utility vehicles...We also do not have our own family vehicle."

Additionally, there were eight (8) families who expressed that the pre-existing diseases and illnesses of their family members were what burdened them the more because not only that they did not have the financial capacity to buy the necessary medications, their vulnerability to get infected was also high. The daughter of Family 9 shared:

"My mother who is under our care already has diabetes even before COVID-19. This has been giving us a lot of stress and burden because we do not have the financial capacity to treat her illness. More so, we worry about our vulnerability of getting infected."

When asked about how they managed to balance their physical wellness despite their situation, majority of them (13 out of 23 families) said that they were hinging on the financial support of the government and the food and supply rations of private groups. The mother of Family 16 said:

"Despite the meager financial support from the government, we are still thankful that we are being considered in times like this. It helped us buy our food and other daily supplies. Also, the different help coming from other private organizations have complemented the things that the government did not provide us such as food, medicines, and clothing...It is wonderful to see how Filipinos unite to help those who are in need."

Others shared that they did on-call labors from the neighborhood such as washing of clothes (4 out of 22 families), machine repairs (2 out of 22 families), and establishment of temporary small-business called "sari-sari" or mixed merchandise (5 out of 22 families) in order to sustain their basic physical and health needs. They expressed:

"In order for my family to eat three meals daily, I asked my neighborhood if I can wash their clothes for a certain fee." – Mother of Family 2

"I used the financial support of the government to establish a small mixed merchandise in our house. It is a great help because I was able to buy clean water and enough food for my family." – Mother of Family 30

On the other hand, the remaining seven (7) families said that they were coping with the pandemic and they did not have problems in terms of having clean water and food for their family because of the financial support afforded by the government. Although there were two (2) families who said that they had family members who experienced fever and cough, they had savings from the government's financial support which were enough to buy medicine. As for the mother of Family 4, she said:

"Since the implementation of home quarantine, we do not have problems in terms of food and water so far. It is because the support given by the government is enough for our everyday consumption. We are just four in the family and one of my children has her own small "sari-sari" store (mixed merchandise) that is why we are not really affected. Although my son has fever right now, we can still buy medicine for him using the government's social amelioration fund."

Intellectual Wellness

Because of the extended period of time being home quarantined, all of the families said that idleness and boredom oftentimes got into the picture atop their anxiousness and fear because of COVID-19. That is why they did some mentally-stimulating activities in order to manage their situation such as: Household Arts and Crafts; Board Games; Work; and Gambling.

There were (18) families who indicated that they managed to get their minds stimulated by doing different household arts and crafts. Some of them said that they did "food art" whenever they cooked their "merienda" or snacks or different staples which they sold for their business. For instance, the daughter of Family 5 said:

"What I like about this quarantine is that I was able to bond more with my parents through cooking and doing some "food art"...By putting some designs and creating new recipes for our "merienda", or

the one we sell to the neighborhood, I, my mother, and my siblings were able to keep our minds stimulated. That is why there were less idle days during the quarantine period."

Some also said that they enjoyed doing household craft like making baskets, fishnets and garden materials, giving them the means to keep their minds active despite being stuck at home. The son of Family 15 said:

"I, my brothers, and father are keeping our minds working by making different crafts for our house like baskets, fishing nets, garden tools, and pots."

On the other hand, four (4) families expressed that they played different board games to keep themselves busy. For instance, the father of Family 6 said:

"We usually play "Sungka" (traditional Filipino Mancala game), chess, and scrabble with my kids. I think these board games are what keep our mind working in this time of pandemic."

Moreover, five (5) families expressed that their work in their respective companies was what kept them working and thinking every day. For the father of Family 14, he said:

"Because we need money to buy the food that we need, we have no choice but to go out and work... Although working in my company is risky, I think that's what kept me working and thinking. I forgot my worry and I do not get bored as what other families are experiencing by staying in their homes."

Lastly, three (3) families expressed that they ventured on gambling through playing of cards or participating in "Sabong" (Cockfight). The father of Family 24 said:

"Our situation now is already bad and I do not want to get this worsened by keeping myself stuck in the house. That is why I play cards with my friends or participate in "Sabong" in order to keep myself busy...It also helps my mind stimulated."

Emotional Wellness

The increased feelings of loneliness and anxiety and their general feelings of uncertainty and fear due to the increasing number of COVID-19 cases were the evocative response of the majority of the families (21 out 30 families) when asked about their state of mind during the pandemic. Twelve (12) of these families said that their inability to go out freely had caused feelings of loneliness and isolation which affected their daily activities and the way they dealt with others. The son of Family 12 said:

"Before the pandemic, I used to go to the market to sell our products. It is important to me because I was able to help my parents and see my friends who are also vendors. Now, that we are stuck in the house, it feels as if I am a prisoner and going outside is a crime... Thinking about it makes me sad because we do not deserve to be like this – to be stuck in the house waiting for rations of the government."

Moreover, nine (9) families expressed that they felt more anxious and stressed out because of the increasing number of COVID-19 cases and the susceptibility of their place. The father of Family 26 expressed:

"I am terrified, worried, and stressed about our situation here in the squatters' area because I have with me my wife and mother who both have heart conditions. I cannot think of ways how I can help them in terms of medication, knowing that I do not have income right now and our place is susceptible to COVID-19 outbreak."

When asked about how they managed to balance their emotional wellness despite their situation, majority of them (14 out of 21 families) said that they kept themselves busy at home like doing regular household chores, growing plants and establishing a "sari-sari" store in order to relieve themselves from anxieties and stress. The mother of Family 11 said:

"The things I do at home like cooking meals, cleaning the house,

growing plants and managing my small sari-sari store are the things that help me stay calm despite the many problems and stress we are experiencing because of the pandemic."

The father of Family 25 said:

"What my family does in order not to get really affected with the pandemic is by keeping ourselves busy at home. In fact, we grow more resilient as a family because we are able to do things together unlike before that we had our different tasks."

Other families indicated that they hung out with their friends and do gambling (3 out of 24 families) and/or drink alcoholic beverages (2 out of 24 families) or just plain "Chika" or "gossip" talking (2 out of 24 families) in order to forget about their problems, anxieties, and stress. They shared:

"I do not want to die insane, that's why if there is an opportunity to go out and hang out with my friends, I do it...We just do some little gambling like cards." – Father of Family 13

"According to the news, alcohol can kill virus. That is why, I hang out with my friends and drink "Red Horse" (a local brand of alcoholic beverage) together. That is why, we can say that we are killing the virus inside our body if there is and we

are relieving our stress at the same time." – Father of Family 21

"For me to forget my stress, I just go to the neighborhood and just "Chika" (gossip) about random things with my friends." – Mother of Family 23

On the other hand, the remaining four (4) families said that they were coping with the pandemic and they did not have problems in terms of being stressed-out or burdened. They said they were already used to facing different problems and dealing with the pandemic was not an issue for them at all. For instance, the mother of Family 7, said:

"We have been through a lot of struggles and problems in the family. In fact, we have surpassed many struggles worse than this like our house got burnt and nothing, not even our clothing, were saved... That is why, the virus that we are having right now does not really affect us very much. Although my husband was not able to report to work, the subsidy of the government is enough."

And, the other five (5) families said their faith in God was the reason why they were coping with the pandemic. For instance, the mother of Family 2 said:

"We have been through a lot of challenges as a family and I know we can survive this pandemic because God will help us get through this. We remain strong and hopeful because we know that God will not abandon us in times like this."

Social Wellness

Because of the implementation of the home quarantine and social distancing, all of the families said that their mobility and socialization were curtailed. However, they have varied responses to the situation, resulting to the three (3) different socialization activities that are commonly observed in the slum communities. These are: Staying at home and be productive with the family members; Going out and be with friends; and Going out for work and survive.

There were (18) families that indicated that they opted to abide to the home quarantine guidelines mandated by their local government in order to be safe, and while doing so, they made themselves productive by doing different household arts and crafts in the family including doing business. For the mother of Family 19, she said:

"The good thing about staying is that you get to enjoy being with your family while keeping yourselves protected from the virus. It is an opportunity for us to bond with each other – like my son is doing some business with his wife. Meanwhile, I enjoy creating different arts and crafts with my son."

On the other hand, seven (7) families did not care much about the home quarantine

guidelines that they decided to be with their friends to hang out or do "Chika", as if there was no existing virus. For the father of Family 8, he said:

"Life is beautiful to keep ourselves stressed-out. That is why I and my family just go out and be with our friends...We already have many problems and we do not want to add to it by keeping ourselves locked at home."

Lastly, there were five (5) families who decided to continue working in their companies during the quarantine period because the support given by the government and other private organizations was not enough for their daily needs including medication and sanitation supplies. As explained by the father of Family 14:

"The support we have received from the government and different organizations are not enough for us to have a complete meal in a day while addressing, at the same time, our other problems like medicine and sanitation supplies. That is why, as the head of the family, I am left with no choice but to take risk by going out to work so that my family will not die from hunger."

Spiritual Wellness

When asked about the meaning and purpose of their lives this pandemic, the evocative response emerged was *Survival of the Fittest*. It means doing all means whether

safe or unsafe or legal or illegal in order to sustain their basic needs and survive. As for the father of Family 12, he said:

"We cannot let the pandemic win over our lives. We cannot just sit down and wait for help to come. We need to be wise and find ways in order for us to survive. That is why, out from the financial support of the government, we make our own small business so that we can save enough to buy the food and medicine we need."

The father of Family 1 also said:

"Surviving is what life is about during the pandemic. Being the breadwinner of the family, I do everything to provide my wife and my children the food and things they need for them to live... Whether legal or illegal, safe or unsafe, all the means that I think can provide my family with basic needs, I already did them all...I will continue doing them until I get a stable job."

Having the responses considered, it can be said that COVID-19 not only brought struggle, distress, and insecurity to people, it also puts them in a desperate situation in order to survive.

Environmental Wellness

When asked about the state of their lives in terms of taking care of the environment during the pandemic, most of the families (24 out of 30 families) said that thinking about the environment was not their main concern as saving their lives was what matters during the pandemic. As for the father of Family 1:

"Although taking care of the environment is important, with our current situation, I think what matters the most in this time is our survival and not on those things."

The father of Family 22 also expressed:

"We need to take care of ourselves first before taking care of other else. If only we do not have problems right now, I think we can be more mindful with the situation of our environment. Besides, our place is already filthy, we are already used to this kind of situation."

The remaining six (6) families said that they are still taking care of the nature despite the crisis they are facing. As for the mother of Family 2, she said:

"During the quarantine period, one of the things we do in our house is to grow ornamental plants in order to protect the nature and help them flourish so that our community will become clean and beautiful again."

Occupational Wellness

When asked about the state of their occupation during this time of pandemic, all of them indicated that they were all affected adversely and that was regardless if their

job was contractual, regular, or personal business. Majority (21 of 30 families) said that they lost their jobs and other main sources of income due to business shutdowns and mandated lockdown orders, causing them to depend on the government and private organizations' financial support and did temporary means of living such as on-call jobs and "sari-sari" store selling. They shared:

"Our life in the family this pandemic is dark because both of us, my wife and I, lost our jobs because of the company shutdown. Now, we are depending on the financial support of the government and to the aids coming from private companies." – Father of Family 27

"We used to sell "Balut" (fertilized developing egg embryo of ducks) as our family's main source of income but because of the pandemic, we temporarily shut it down because we do not sell as much as we used to before. This affected us because our income from it is used to buy medicines for the illness of my grandmother." — Daughter of Family 9

The remaining (5) families continued working as usual as some of them were "Tanod" or barangay peace and order officer and others were sales clerks in the department store. However, despite the continued salary, they were still getting stressed as they understood that they had

higher exposure to the virus. The mother of Family 20 said:

"I need to continue my work because my family is dependent on me. I have to take risk because it is one of the convenient ways to save my family in this kind of situation."

All the five (5) families that opted to work try to manage their occupational stress due to their susceptibility to virus infection by avoiding socialization with their workmates and by keeping themselves protected with the use of facemasks and alcohol-based hand sanitizers.

Financial Wellness

When asked about the state of their finances during this time of pandemic, all of them indicated that they were all affected adversely, giving them additional burden with their pre-existing financial problems. All of them were worried about their everyday expenses given that majority of them had lost their main sources of living and had realized that the financial support of the government was insufficient. As for the father of Family 10, she said that:

"Even before Covid-19, we are already struggling financially. That is why our financial status now is all the more worrisome because I and my wife do not have jobs this pandemic."

The mother of Family 2 also said:

"Just because we are coping with the pandemic does not mean we do not have any worries financially. We are worried our financial situation in this pandemic because even though we are supported by the government, we are still uncertain as to how long it will last and how certain we are able to get our jobs back after the pandemic... Our company announced that its operations are suspended indefinitely because of great financial losses."

The families in the slum communities are going through considerable worry and uncertainty due to unstable and inadequate finances. In order for them to continue surviving despite the situation, all of them said that setting priorities and taking advantage of the available and given resources were the key. As explained by the father of Family 14:

"If money is tight and surviving at this time is the main concern, it is vital that we should be able to distinguish what is essential and what is not."

The father of Family 25 expressed:

"It is important to be wise during this pandemic. By making use of the available things we have in the house and the things given by others, we are able to establish our little business and cope with the financial problems that we are experiencing right now."

DISCUSSION

As suggested in the results of the study, the growing crisis caused by the COVID-19 pandemic has dire implications in all the dimensions of wellness among the families in the slum communities. More specifically, many of them are beginning to realize that their physical health conditions are worsened, intellectually-stimulating activities are more delimited, emotions are more troubled, life's meaning and purpose are disturbed, socialization is curtailed, responsibility to protect the nature is undermined, occupations are halted and financial stability is more frail. This provides an explanation as to why many deprived families and individuals hardly afford to isolate themselves in their respective homes (Santos, 2020; Saokaew, 2020; Sur & Mitra, 2020) as they are in "lockdown dilemma" - to die from hunger or the virus? Many of them live hand-to-mouth using their meager earnings for survival. If they are to abide to stay at home and depend only to the government's or private sectors' subsidy, they will not be able to address their pressing problems like the frailing health of their family members and other needs. Hence, while it is true that everyone is affected due to the virus' adverse impacts (Connolly, 2020), this study agrees to the contention of Mahler et al., (2020) and Sánchez-Páramo (2020) that those in the vulnerable section of the society, especially those living in extreme poverty, are being hit the hardest.

Furthermore, the findings elucidate a glaring gap of the government's disaster or crisis mitigation and response strategies as they are not holistic enough to address the multi-faceted issues hounding the different human wellness dimensions. For instance, during the super typhoon Haiyan (locally known as Yolanda), the fourth strongest typhoon in recorded history with wind speeds of more than 300 kilometers per hour and storm surged of over four meters, it was reported that the government response was seen to be slow and grossly inadequate (IBON Foundation, 2014). It was also specified in the report that even after the typhoon, social services and livelihoods had yet to be delivered for the surviving families, resulting for their distress due to an extended displacement, schooling disruptions for school children, fragmentary health services, and uncertain and erratic dole-outs for basic sources of livelihoods. The report of United Nations Office for the Coordination of Humanitarian Affairs (OCHA; 2016) also indicated that even after a year of typhoon devastation, hundreds of thousands who were yet to receive the emergency shelter assistance (ESA) – provision of P10,000 and P30,000 cash assistance to families whose houses were partially and totally damaged by the typhoon Yolanda. Moreover, it was noted that governmental support for persons with disabilities was still insufficient with no survey carried out to confirm the safety or condition after the devastation of the typhoon (United Nations OCHA, 2014). This kind of disaster or crisis response with less emphasis on the threatened dimensions of human wellness is also apparent in this time of COVID-19 pandemic. If this continues to be practiced, Filipinos including those who

are in the slum communities will continue to be confronted with even graver challenges that no amount of material support nor ironfisted measures can intervene.

However, despite all the challenges that hounded the Filipinos including the COVID19 pandemic, resiliency and survivability are still their best assets shared both by the government and its people. Small and insufficient as it may seem, the Social Amelioration Program of the national government came as a quick rescue for poor families. The laws implemented by the government for COVID-19 management, response and recovery such as the Republic Act No. 11469 or "Bayanihan to Heal as One Act" and Republic Act No. 11494 or "Bayanihan to Recover as One Act" are concrete affirmations on the resiliency of the government. As no government can provide everything all the families' needs, the devastated families in the slum communities had their fair share by activating their initiatives and manifesting the peculiar Filipino attributes (e.g. "bayanihan" - the Philippine culture of mutual assistance, religiosity, and optimism) in order to survive. Not surprisingly, the poorest section of the society have proven their ability tore-cover from the pandemic be it in the form of socialization to avoid boredom and loneliness, small entrepreneurial ventures for additional income, on-call services and risk taking for work and "bayanihan" among

For centuries, the world has witnessed how every Filipino withstand adversities. In furtherance, it is worth re-emphasizing that the Philippines despite being classified as a developing country, a myriad of challenges in various aspects are survived by its people be it political turmoil, economic recession, natural and man-made calamities. This can be attributed to their well-built psychological, sociological, and spiritual make up. The United Nations' World Happiness Report 2019 attested on this, citing that Filipinos are one of the top Southeast Asian countries who are happy (Helliwell et al., 2019) which implies that they have the optimism and fighting spirit to overcome whatever situation. This complements the survey of Social Weather Stations, a well-established social research institution in the Philippines, which showed that 88 percent of Filipinos above 18 years old are optimistic to overcome the crisis brought by the COVID-19 pandemic (Geducos, 2020). The newly released 2020 Global Entrepreneurship Survey reported that Filipino entrepreneurs are fast adopters, resilient and hardworking with a data that one in three Filipinos decided to establish new microbusinesses despite the uncertainty of the times (GoDaddy, 2020). The Philippines being one of the most religious countries - the only Christiandominated country in Asia, contributes to the resilience and active coping of Filipinos as they take crises as a test of faith (Rilveria, 2018). In other words, Filipinos including those from the outskirts of the community have the attributes to stand pat and move forward amidst challenges and pandemic.

CONCLUSION

The COVID-19 pandemic and the different mitigation and response strategies to curb its impact have taken a heavy toll on the wellness of Filipino families in slum communities. However, this did not topple their resiliency and survivability as the social services and other crisis-mitigation policies and strategies afforded by the national government and private sectors, albeit insufficient, including the peculiar Filipino attributes and individual initiatives they manifested and done were instrumental. In other words, overcoming COVID19 pandemic and other crisis is neither the sole responsibility of the government nor the individuals or family. It is through individual and communal effort, working hand in hand through and through.

Recommendation

Noting that the essential support and services afforded by the government and private sectors were not holistic enough to address the multi-faceted issues hounding the different human wellness dimensions, hence, stem the non-conforming behaviors of many individuals despite strict quarantine measures, this study recommends that pandemic mitigation measures including essential support and services be reviewed and enhanced in high consideration of human wellness dimensions for them to be more inclusive and holistic.

ACKNOWLEDGMENT

The researchers would like to thank the informants of this study for their time and

insights despite their situation in this time of pandemic.

REFERENCES

- Abad, M., & Magsambol, B. (2020, July 15). 3 months after lockdown, poor Filipinos still hungry waiting for cash aid. *Rappler*. https://www.rappler.com/newsbreak/in-depth/filipinos-still-hungry-waiting-for-cash-aid-july-2020
- ABS-CBN News. (2020, June 29). Cebu City is Philippines' new COVID-19 epicenter: Año. ABS-CBN News. https://news.abs-cbn.com/news/06/29/20/cebu-city-is-philippines-new-covid-19-epicenter-ao
- Bruckner, M., & Mollerus, R. (2020). *UN/DESA Policy Brief #66: COVID-19 and the least developed countries.* United Nations. https://doi.
 org/10.18356/94e1f7fb-en
- Center for Strategic & International Studies. (2020). Southeast Asia Covid-19 Tracker. https://www.csis.org/programs/southeast-asia-program/southeast-asia-covid-19-tracker-0
- Childs, C. Y. (2014). Exploratory factor analysis of the spiritual wellness inventory. ETD Archive. https://core.ac.uk/download/pdf/301547597.pdf
- Co, B. (2020, May 16). The Philippines now has the highest COVID-19 fatality rate and lowest recovery rate in ASEAN. *ABS-CBN News*. https://news.abs-cbn.com/ancx/culture/spotlight/05/16/20/the-philippines-now-has-the-highest-covid-19-fatality-rate-and-lowest-recovery-rate-in-the-asean?fbclid=IwAR3bB_PVdo2sn4AKwO7g8Uwrs5wLOgxBbjb5CEE-bW1twKVdIM0iizeaWrPw
- Connolly, M.-L. (2020, April 11). Coronavirus has many faces and all are affected. *BBC News*. https://www.bbc.com/news/uk-northernireland-52244637
- Contreras, A. (2020, April 23). The urban poor should be protected, not blamed. *The Manila*

- *Times*. https://www.manilatimes.net/2020/04/23/opinion/columnists/topanalysis/the-urban-poorshould-be-protected-not-blamed/717503/
- de Guzman, W. (2020, April 23). Philippines' biggest firms shell out billions in aid for COVID-19 fight. ABS-CBN News. https://news.abs-cbn. com/business/04/22/20/philippines-biggestfirms-shell-out-billions-in-aid-for-covid-19-fight
- Department of Budget and Management. (2020, April 18). DBM releases P199.975-Billion for DSWD Social Amelioration Program. Department of Budget and Management. https://www.dbm.gov.ph/index.php/secretary-s-corner/press-releases/list-of-press-releases/1647-dbm-releases%20p199-975-billion-for-dswd-social-amelioration-program
- Department of Health. (2020, January 28). Recommendations for the management of Novel Coronavirus situation. Department of Health. https://www.doh.gov.ph/sites/default/files/basic-page/IATF%20Resolution.pdf
- El-Erian, M. A. (2020, April 20). COVID-19: What are the biggest concerns for the developing world? *World Economic Forum*. https://www.weforum.org/agenda/2020/04/developing-world-covid19
- Foster, L. T., & Keller, C. P. (2007). *The British Columbia atlas of wellness*. Western Geographical Press.
- Geducos, A. C. (2020, April 27). Survey: 8 of 10 Filipinos optimistic about overcoming COVID-19. *Manila Bulletin*. https://mb.com. ph/2020/04/27/survey-8-of-10-filipinos-optimistic-about-overcoming-covid-19/
- Gee, J. P. (2011a). An introduction to discourse analysis: Theory and method. Routledge.
- Gee, J. P. (2011b). *How to do discourse analysis: A toolkit.* Routledge.
- GoDaddy. (2020). 2020 Global Entrepreneurship Survey. Open We Stand. https://www.

- openwestand.org/2020-godaddy-entrepreneurship-survey/
- Helliwell, J., Layard, R., & Sachs, J. (2019). *World Happiness Report 2019*. Sustainable Development Solutions Network.
- IBON Foundation. (2014). *Disaster upon disaster:* Lessons beyond Yolanda. IBON Foundation.
- Inter-Agency Standing Committee. (2020, March 19). COVID-19: How to include marginalized and vulnerable people in risk communication and community engagement. United Nations Office for the Coordination of Humanitarian Affairs. https://interagencystandingcommittee.org/covid-19-how-include-marginalized-and-vulnerable-people-risk-communication-and-community-engagement
- Joo, S. (2008). Personal financial wellness. In J. J. Xiao (Ed.), *Handbook of consumer finance* research (pp. 21-33). Springer. https://doi. org/10.1007/978-0-387-75734-6
- Kayastha, J. (2018, September). Well-being at work, workplace health promotion and productivity [Bachelor's thesis, Centria University of Applied Sciences]. https://www.theseus.fi/ handle/10024/152715
- Mahler, D. G., Lakner, C., Aguilar, R. C., & Wu, H. (2020, April 20). The impact of COVID-19 (Coronavirus) on global poverty: Why Sub-Saharan Africa might be the region hardest hit. World Bank Blogs. https://blogs.worldbank.org/opendata/impact-covid-19-coronavirus-global-poverty-why-sub-saharan-africa-might-be-region-hardest
- Mendez, C., & Crisostomo, S. (2020, July 3). Gov't to strengthen contact tracing, other measures to beat COVID-19 in 'stubborn' Cebu City. *One News*. https://www.onenews.ph/gov-t-to-strengthen-contact-tracing-other-measures-to-beat-covid-19-in-stubborn-cebu-city
- Naz, A. S., Rehman, R., & Hussain, M. (2013). Medical students' endeavour to make use of their

- mental capabilities. *Journal of Pakistan Medical Association*, 63(5), 568-572. https://pubmed.ncbi.nlm.nih.gov/23757981/
- Nonato, V., Tupas, E., & Cabrera, R. (2020, May 18). Who's to blame? Crowding in malls, roads under MECQ, GCQ bewailed. *One News*. https://www. onenews.ph/who-s-to-blame-crowding-in-mallsroads-under-mecq-gcq-bewailed
- Punzalan, J. (2020, July 2). Cebuanos hardheaded? 'Other factors' led to COVID-19 spike in Cebu City: mayor. ABS-CBN News. https://news.abscbn.com/news/07/02/20/cebuanos-hardheadedother-factors-led-to-covid-19-spike-in-cebucity-mayor
- Rehman, R., Syed, S., Hussain, M., & Shaikh, S. (2013). Health and spirituality 'walk along' in wellness journey of medical students. *Journal* of Pakistan Medical Association, 63(4), 495-500. https://pubmed.ncbi.nlm.nih.gov/23905449/
- Republic Act No. 11469 or Bayanihan to Heal as One Act. (2020). (Philippines). https://www.officialgazette.gov.ph/downloads/2020/03mar/20200324-RA-11469-RRD.pdf
- Republic Act No. 11494 or Bayanihan to Recover as One Act. (2020). (Philippines). https://www.officialgazette.gov.ph/ downloads/2020/09sep/20200911-RA-11494-RRD.pdf
- Rilveria, J. R. (2018). The development of the Filipino coping. *Asia-Pacific Social Science Review,* 18 (1), 111-126. http://apssr.com/wp-content/uploads/2018/06/RA-8.pdf
- Romero, A. (2020, June 12). Left behind: Over 300,000 families yet to receive cash aid as gov't prepares for second tranche. *One News*. https://www.onenews.ph/left-behind-over-300-000-families-yet-to-receive-cash-aid-as-gov-t-prepares-for-second-tranche
- Sánchez-Páramo, C. (2020, April 23). COVID-19 will hit the poor hardest. Here's what we can do about

- it. World Bank Blogs. https://blogs.worldbank.org/voices/covid-19-will-hit-poor-hardest-heres-what-we-can-do-about-it
- Santos, A. P. (2020, April 13). Poverty punished as Philippines gets tough in virus pandemic. *Aljazeera*. https://www.aljazeera.com/news/2020/04/13/poverty-punished-asphilippines-gets-tough-in-virus-pandemic/
- Saokaew, D. (2020, April 2). COVID-19 in Thailand: The self-quarantine challenge. *CGTN*. https://news.cgtn.com/news/2020-04-02/COVID-19-in-Thailand-The-self-quarantine-challenge-Pmuax14LwQ/index.html
- Stinus-Cabugon, M. (2020, April 20). 135 Covid-19 cases in Cebu City neighborhood. *The Manila Times*. https://www.manilatimes.net/2020/04/20/opinion/columnists/135-covid-19-cases-in-cebucity-neighborhood/716241/
- Sur, P., & Mitra, E. (2020, March 31). Social distancing is a privilege of the middle class. For India's slum dwellers, it will be impossible. *CNN*. https://edition.cnn.com/2020/03/30/india/india-coronavirus-social-distancing-intl-hnk/index.html
- United Nations International Children's Emergency Fund Philippines. (2019, October 16). UNICEF:

 Many children and adolescents in the Philippines are not growing up healthily. https://www.unicef.org/philippines/press-releases/unicef-many-children-and-adolescents-philippines-are-not-growing-healthily
- United Nations Development Programme. (2020, March 30). COVID-19: Looming crisis in developing countries threatens to devastate economies and ramp up inequality. https://www.undp.org/content/undp/en/home/news-centre/news/2020/COVID19_Crisis_in_developing_countries_threatens_devastate_economies.html
- United Nations Office for the Coordination of Humanitarian Affairs. (2014). Philippines: One year on after Typhoon Yolanda - Assisting

- persons with disabilities. *Reliefweb* https://reliefweb.int/report/philippines/philippines-one-year-after-typhoon-yolanda-assisting-persons-disabilities
- United Nations Office for the Coordination of Humanitarian Affairs. (2016). DSWD reveals lessons learned from 'Yolanda'. *Reliefweb*. https://reliefweb.int/report/philippines/dswd-reveals-lessons-learned-yolanda
- van Rensburg, C. J., Surujlal, J., & Dhurup, M. (2011). Exploring wellness practices and barriers: A qualitative study of university student-athletes.

- African Journal for Physical Activity and Health Sciences, 17(2). https://doi.org/10.4314/ajpherd. v17i2.67664
- Wolf, M. (2020, June 9). Covid-19 will hit developing countries hard. *Financial Times*. https://www.ft.com/content/31eb2686-a982-11ea-a766-7c300513fe47
- Yee, J. (2019, November 24). WHO: PH youths 2nd most 'inactive,' next to S. Koreans. *Inquirer*. https://newsinfo.inquirer.net/1193821/who-ph-youths-2nd-most-inactive-next-to-s-koreans



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Participation of Individuals with Disabilities in Political Activities: Voices from Jordan

Zahraa Jamel Rahahleh¹, Mizyed AbdelFattah Hyassat^{1*}, AbdelLatif Khalaf Alramamneh¹, Obaid Abdalkarim Sabayleh¹, Ra'ad AbdEl Kareem Al-Awamleh² and Azeez Ahmad Alrahamneh³

¹Special Education Department, Princess Rahma University College, Al-Balqa Applied University, 19117 Salt, Jordan

²Crime and Delinquency Department, Princess Rahma University College, Al-Balqa Applied University, 19117 Salt, Jordan

³Educational Sciences Department, Al-Salt college for Human Sciences, Al-Balqa Applied University, 19117 Salt, Jordan

ABSTRACT

This qualitative study examines the participation of individuals with disabilities in political activities in Jordan: a topic on which there is little existing literature despite its capacity to promote successful social integration. Data for this study was gathered by conducting sixteen semi-structured interviews with individuals with disabilities and was then examined collectively using thematic analysis, in the context of related literature and medical and social models of disability. The resulting findings revealed that the most prevalent obstacles that people with disabilities encountered regarding participating in political activities were poor communication, their own negative attitudes towards politics and politicians, and inaccessible physical environments.

Keywords: Challenges, disabilities, individuals with disabilities, Jordan, political participation, social integration

ARTICLE INFO

Article history:
Received: 10 October 2020
Accepted:28 December 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.19

E-mail addresses:
zahraa.r@bau.edu.jo (Zahraa Jamel Rahahleh)
hyassat.m@bau.edu.jo (Mizyed AbdelFattah Hyassat)
abd.romman@bau.edu.jo (AbdelLatif Khalaf Alramamneh)
obaid.sabayleh@bau.edu.jo (Obaid Abdalkarim Sabayleh)
raad_awamleh@bau.edu.jo (Ra'ad Abdel Kareem Al-Awamleh)
azizrahamneh@bau.edu.jo (Azeez Ahmad Alrahamneh)
* Corresponding author

INTRODUCTION

Comprehensive habilitation aims to integrate individuals with disabilities into all aspects of life, which includes making it feasible for them to take part in social and political activities that occur in the areas where they live and directly or indirectly affect their circumstances. However, although international and local organizations call for facilitating equal political participation

for individuals with disabilities, research reports the ongoing existence of numerous issues regarding accessibility. This is the case in Jordan, which, due to the influence of American policy, has become one of the most proactive Arab countries in terms of enacting laws to ensure the rights of individuals with disabilities (Hyassat, 2013; Rutherford, 2007; Sakarneh et al., 2019). The Jordanian Law on the Rights of Persons with Disabilities Act (2017) by the Higher Council for the Rights of Persons with Disabilities (HCRPD) sets out the right of individuals with disabilities to participate in all political events that are open to the public, including voting, attending political activities, taking part in political decision-making, and running for office. Article (44a) of this law has clearly stated "it is impermissible to deprive a person or restrict a person's right to vote or to run as a candidate in parliamentary, municipal, trade union or any other general election on the basis of, or because of, disability" (Jordanian Law on the Rights of Persons with Disabilities Act, 2017, p. 46). Despite these stipulations, however, individuals with disabilities living in Jordan rarely participate in political activities. It is therefore apparent that greater effort must be devoted to translating the principles of this legislation into actions that allow individuals with disabilities to fully engage with political aspects of daily and public life.

Background

Jordan is a small Arabian country located in the heart of the Middle East with 10,554,000 residents (General Statistics Department, 2019). The political system in Jordan is a parliamentary monarchy, wherein the king is the head of state and has the power to appoint the prime minister while members of parliament are elected by citizens. Although there are 57 registered political parties in Jordan (Salameh, 2017), the level of public involvement in the political process is limited, as many Jordanians view these parties as failing to make relevant changes in government policy or lacking the necessary parliamentary representation to effect such change.

With regard to disability issues, Jordanian law (article 3a) defines an individual with a disability as

a person who has long term physical, sensory, intellectual, mental, psychological or neurological impairment, which, as a result of interaction with other physical and behavioral barriers, may hinder performance by such person of one of the major life activities or hinder the exercise by such person of any right or basic freedom independently (Jordanian Law on the Rights of Persons with Disabilities Act, 2017, p. 6).

A study published by the HCRPD (2019) reported that 11 percent of Jordanian family units contain at least one individual with a disability. Most of those individuals receive services from many different institutions, including government ministries, the

HCRPD, and the private and voluntary sectors (Hyassat, 2016).

Medical and Social Models of Disability

Before proceeding further, the medical and social models of disability must be discussed, as they inform how disabilities are perceived by individuals with disabilities and by others in their communities, and accordingly how disabilities influence the daily life of individuals who have them (Brett, 2002; Scullion, 2010). The medical model treats disability as a disease for which responsibility mainly lies with the individual; that is, individuals with disabilities are sick people whose problems and challenges are caused primarily by their disabilities, and who therefore must seek out treatment and/or cures in the form of medications or other suitable treatment offered by healthcare professionals (Brett, 2002; Haegele & Hodge, 2016; Palmer & Harley, 2012; Smith et al., 2011). If they cannot resolve the issues created by their disabilities through taking these measures, they become alienated, neglected, excluded, and isolated in their communities (Brett, 2002; Haegele & Hodge, 2016; Scullion, 2010).

In contrast, the social model of disability places the responsibility for dealing with disability-related issues upon society as a whole rather than upon the individual. According to this model, disability is socially constructed, meaning that the challenges that individuals with disabilities face – such as negative attitudes, discrimination, inequality, physical barriers,

marginalization, and oppression – are the result of society failing to remove obstacles that might hinder such individuals' full engagement in public and social life (McEwan & Butler, 2008; Sakarneh & Al-Swelmyeen, 2020; Scullion, 2010; Smith et al., 2011). Accordingly, the social model of disability mandates removing these organizational and attitudinal obstructions in order to allow individuals with disabilities equal access to sociopolitical opportunities and services.

LITERATURE REVIEW

Political participation has been defined as "processes of involvement, shared responsibility and active engagement in decisions which affect the quality of life" (Matthews et al., 1999, p. 136). It can also be encompassed by the concepts of political involvement, political action, political engagement, and political representation. Little is known about the participation of individuals with disabilities in these processes (Levesque, 2016); however, there is a broad consensus in the literature that the political participation of individuals with disabilities is much less than that of their non-disabled peers (Guldvik et al., 2013; Levesque, 2016; McCausland et al., 2018; Schur & Kruse, 2000; Schur et al., 2002; Skelton & Valentine, 2003). This low level of participation may result from limited ability and willingness to take part in political activities, as well as from not being invited to do so (Schur & Adya, 2013). Individuals with disabilities may view themselves as less capable of being engaged

in their local political affairs such as voting, joining a political party or organization, or running for office (Holland, 2016; Schur et al., 2003). Additionally, as noted in a study by Schur and Adya (2013), individuals with disabilities are more likely to be interested in their personal health care and financial matters than in political issues. This lack of political engagement is informed by suffering under social inequality and perceiving themselves as unable to have any noticeable effect on political processes (Levesque, 2016; Schur & Adya, 2013; Schur et al., 2003). Furthermore, elected public officials rarely solicit the views of individuals with disabilities (Harris et al., 2012). There are, however, exceptions to these phenomena, as in certain cases individuals with disabilities are motivated by their health conditions to participate in protests and connect with public officials (Mattila & Papageorgiou, 2017). Similarly, a recent study conducted by Powell and Johnson (2019) found that individuals with disabilities exhibited greater interest in politics than individuals without disabilities, despite being less informed about political issues.

A growing body of research is investigating obstacles that may prevent individuals with disabilities from participating in political activities. For example, Holland (2016) argued that politics was essentially an inaccessible environment for individuals with disabilities:

The way politicians and political parties communicate is often

inaccessible for people with a learning disability. Language in parliament is complicated, full of jargon, driven by rhetoric and, in some cases, can be intended to mislead. Politicians interviewed on television/ radio often dodge direct questions and skillfully use phrases and language to respond in a way which can confuse even the most hardened of parliamentary followers (p. 11).

Although Holland's research was conducted within the context of the UK, these findings are applicable across a general global context. Indeed, inaccessible buildings, discriminations, negative attitudes, lack of transportation, and unemployment repeatedly appear in the existing literature as barriers to political participation among individuals with disabilities (Agran et al., 2015). For instance, to identify environmental challenges faced by individuals with disabilities regarding participation in political activities, Hammel et al. (2015) conducted qualitative research in eight American states. Participants in this study recounted facing a wide range of challenges including public policy, limited mobility, negative attitudes, built environments with poor accessibility, lack of access to usable technology, poor social support, inhospitable natural environments, and economic factors (Hammel et al., 2015). Hästbacka et al. (2016) set out similar findings in their review of the literature related to the societal participation, including political participation, of individuals with disabilities in Europe; it must be noted, however, that their review only examined studies published between 2012 and 2013 in English. This literature review found that the main obstacles to political participation that European individuals with disabilities faced were negative public attitudes, economic factors, inaccessible environments, unemployment, health conditions, and welfare policies (Hästbacka et al., 2016).

Conversely, research has found that remedying the above obstacles may increase the likelihood of individuals with disabilities becoming involved in political activities. Individuals with disabilities who also have higher levels of education and household income, job satisfaction (Hästbacka et al., 2016; Schur et al., 2003), strong social networks (Mattila & Papageorgiou, 2017), and are in better health tend to participate more in political activities (Mattila et al., 2013). In addition, the availability and accessibility of technological tools seem to increase political participation for individuals with disabilities (Hammel et al., 2015; Harris et al., 2012). It is also important to note that political participation among individuals with disabilities varies with disability type (Suzanne et al., 2019). As limited cognitive abilities can hinder independent functioning, persons with intellectual disabilities appear to participate less in political activities, especially voting, than individuals with non-intellectual disabilities (Burden et al., 2017; Friedman & Rizzolo, 2017), likely due to being unable to adequately interpret rules and instructions for how to do so (Agran & Hughes, 2013).

By and large, global political participation literature mainly focuses on voting turnout and related challenges, and mostly uses a quantitative approach to gather and analyze necessary data. In addition, most of the abovementioned studies were conducted in the United States of America and European countries, which rely on sociopolitical systems and structures that are very different from those in Jordan. To the best of our knowledge, the relative lack of political participation among Jordanian individuals with disabilities is an overlooked phenomenon; in short, the voices of these individuals are still not being heard. Thus, there is a need for research that addresses this issue within a specifically Jordanian cultural context. To that end, this study aims to answer the following questions: To what extent do individuals with disabilities participate in political activities in Jordan? And what do individuals with disabilities in Jordan perceive as barriers to participating in these activities?

MATERIALS AND METHODS

The purpose of this study is to generate an in-depth understanding of the participation of Jordanian individuals with disabilities in political activities and to explore the challenges hindering them from taking part in such activities. This study, therefore, used a qualitative approach to gather and analyze data, as qualitative research gives greater scope for participants to express themselves freely and openly regarding circumstances that relate to the phenomenon being investigated (Dawson, 2007; Willig, 2008).

More specifically, a qualitative approach can increase understanding of the real lives of individuals with disabilities (Sandall et al., 2002), which proved invaluable to the present study, particularly as the participants reported never having been formally asked before about their engagement in political activities. Furthermore, there is a dearth of qualitative research concerning the political participation of individuals with disabilities (McGrath et al., 2019).

Data was collected through semistructured interviews, which are one of the most common instruments utilized in qualitative research (Dawson, 2007). The flexibility of this method allowed the authors to immediately engage with emergent interesting information and ask participants to expand on their answers while interviews were being conducted (Bryman, 2012).

Participants

Fifteen men and women with disabilities were selected using a snowball sampling technique. To quote Bryman (2012, p. 424), snowball sampling is "a sampling technique in which the researcher samples initially a small group of people relevant to the research questions, and these sampled participants propose other participants who have had the experience or characteristics relevant to the research". For this study, the process of recruiting research participants began with contacting friends who had relationships with or connections to individuals with disabilities. Those friends provided contact information for a total of

four individuals with disabilities, who were then phoned and given details regarding the aims and processes of the study. After these four individuals were interviewed, they referred the authors to other individuals with disabilities, who in turn referred them to others, and so on, until an adequate number of participants was reached (Noy, 2008). Throughout the sampling process, the authors strove to recruit individuals with different types of disabilities in order to give voice to a broader scope of experiences. Eventually, 23 individuals with disabilities were successfully contacted, 16 of whom agreed to take part in this study. The participants identified themselves as being visually impaired, hearing-impaired, or having other physical disabilities, and their ages ranged from 24 to 45. Regarding this last point, an effort was made to recruit participants over the age of 22 in order to ensure that at least one election had taken place between them reaching legal voting age in Jordan and the period when the study was conducted. Although their levels of education varied, all of them had at minimum completed secondary school; this aspect of the selection process was also deliberate, and was based on the assumption that a secondary school education was and is necessary for individuals to formulate and adequately express views on sociopolitical issues. Table 1 gives a brief demographic background on each participant. All names listed are pseudonyms and are used consistently throughout this paper.

Table 1
Participants' demographic data

Nickname	Gender	Age	Qualification	Marital status	Disability
Ali	M	33	High school	Single	Physical
Arwa	F	24	High school	Single	Physical
Basma	F	26	Bachelor's degree	Married	Hearing
Eman	F	40	Secondary school	Divorced	Vision
Faten	F	37	Bachelor's degree	Single	Physical
Fatima	F	25	Secondary school	Single	Vision
Forat	M	45	High school	Married	Vision
Karima	F	36	Diploma	Married	Hearing
Lila	F	24	Bachelor's degree	Single	Hearing
Mohsen	M	44	Master	Married	Vision
Mona	F	40	Diploma	Married	Vision
Qais	M	22	Bachelor's degree	Single	Physical
Rami	M	33	Diploma	Single	Hearing
Ruba	F	36	Bachelor's degree	Married	Vision
Taher	M	29	Bachelor's degree	Single	Physical
Ward	M	42	High school	Married	Hearing

Procedure

At the outset, participants received details concerning the aims of the research and the interview procedures, including the fact that each interview would be audio-recorded via smartphone to ensure accurate data collection. Participants were also informed that participation in the study was voluntary and they had the option to withdraw from the interview at any point. The interview procedure posed a significant challenge, partly because participants were unused to their voices being recorded. We clarified that all data would be kept anonymous and confidential according to ethical research guidelines (Bryman, 2012; Sakarneh et al., 2016), and that pseudonyms would be used when names were required. Further challenges arose from interview scheduling and from encouraging participants to share their thoughts during interviews, as they seemed more at ease with closed-ended questions than with open-ended questions.

Once informed consent was obtained from all participants, four authors carried out the interviews individually. 16 semi-structured interviews were conducted with individuals with disabilities. Of these 16 interviews, 6 were conducted with individuals with vision-related disabilities, 5 were conducted with individuals with hearing disabilities, and 5 were conducted with individuals with physical disabilities (see Table 1). Interview times and settings were arranged based on each individual participant's preference. Additionally, an interpreter was employed for interviews with hearing-impaired participants.

Data Analysis

All interviews were transcribed by the research team and were subsequently analyzed using thematic analysis (Braun & Clarke, 2006). The analysis process included six phases: multiple readings of the transcripts, creating initial codes, finding potential themes from the collated codes, reviewing these themes, naming and clearly defining the themes, and writing up the findings. It should be noted that this process was recursive; the authors went back and forth between these phases as needed (Braun & Clarke, 2006). Two additional techniques were employed to ensure research validity. First, five participants were asked to read the full transcriptions of their interviews and comment on their accuracy (Bryman, 2012). All of them stated that they were satisfied with the transcriptions and did not request that anything be deleted, added or amended. Secondly, the coding process was examined by three researchers, independently of each other, who later met to discuss their initial codes before the coding list was reviewed by all authors (Barbour, 2001).

RESULTS AND DISCUSSION

The codes generated from analyzing the interviews through the above processes were organized into two key themes. The first theme, 'Reluctance to participate', encompassed participants who perceived themselves as reluctant to take part in political activities. The second theme, 'Experiences of political participation', encompassed the challenges encountered

by those interviewees who did take part in political activities. Importantly, these themes overlap and connect in complex ways to give an in-depth understanding of political participation among individuals with disabilities in Jordan. The next sections discuss these themes in the context of the medical and social models of disability, and support the conclusions drawn using appropriate quotations from study participants' accounts and references to the relevant literature.

Reluctance to Participate

Although the Jordanian Law on the Rights of Persons with Disabilities sets out the right of all individuals in Jordan to participate in political activities (Jordanian Law on the Rights of Persons with Disabilities Act, 2017), over one-third of our participants reported that they were reluctant to do so. Given that the medical model of disability is pervasive within Jordanian society (Hyassat, 2013), it was surprising that some participants did not attempt to engage in political activities. For example, Ali said: "I never joined a political party or even think about that. I also didn't go to the election station. You know, I don't have an ID. I didn't go to the Civil Status and Passport Department to get an ID". This reluctance to participate can be broken down into three interactive categories: narrow conceptions of what political participation entails, inattentiveness to politics, and a lack of trust in politicians (Figure 1).

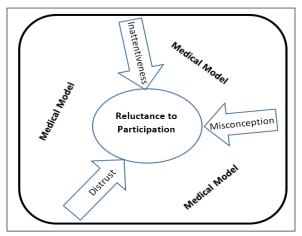


Figure 1. The main categories of the first emergent theme

Conception of Political Participation

Although the term 'political participation' covers a wide range of political activities, the majority of participants in this study appeared to view it as revolving around voting in parliamentary elections. From their perspectives, political participation consisted solely of being registered to vote and/or taking part in the voting process. In Jordan, once a person reaches the age of 18, they are automatically registered to vote; the Civil Status and Passport Department is legally required to send his\her name to the Independent Election Commission (Independent Election Commission, 2016). As noted earlier in this paper, political participation can extend far beyond voting to include attending meetings, signing petitions, joining political demonstrations and protests, participating in social movements, and parliamentary representation (Goggin & Wadiwel, 2014; Mattila et al., 2017; Priestley et al., 2016). However, the participants interviewed in this study did not mention any of these activities

when asked about political participation. For example, when Fatima was asked for her thoughts regarding her political rights, she only spoke about parliamentary elections:

"I know that a person in my age bracket has the right to vote for a politician. I mean, at age 18, he or she is eligible to vote in the parliamentary elections. I am now 25 years old, so I know that I have the same right to vote for a candidate as any citizen here in Jordan."

Notably, the literature seems to share this view of what political participation entails, in that research from across the globe relating to the political participation of individuals with disabilities is mainly interested in voter turnout (e.g. Agran & Hughes, 2013; Agran et al., 2016; Burden et al., 2017; Friedman & Rizzolo, 2017; Mattila et al., 2013; Schur & Adya, 2013; Schur et al., 2002; Suzanne et al., 2019). This

perhaps indicates that, even internationally, the concept of political participation has not yet expanded beyond voting and electoral processes.

Inattentiveness to Politics

The literature has described individuals with disabilities as having no interest in politics, being unaware of political changes and movements, and being politically inactive (Reher, 2018; Schur & Adya, 2013; Skelton & Valentine, 2003). This was the case for most of the participants in this study, who described themselves as having no interest in and paying little attention to political activities. For instance, Forat said:

"I'm completely not concerned with local political events nor international. I've got many other issues to care about such as my health, my work, caring for my kids, and saving food for my family. Do you think politics can help me to feed our family? My family affairs are rather important."

These interviewees' disinterest in political participation may result from several factors, including not believing that engaging with politics can improve their circumstances (Mattila et al., 2017). They may also lack confidence in their ability to engage with political activities and make a difference in the political arena (Reher, 2018). Additionally, as in Forat's case, they may devote their attention to more immediate issues, such as health care and

financial security (Mattila et al., 2017; Schur & Adya, 2013; Reher, 2018). However, it must be noted that our findings here are not consistent with Powell and Johnson's (2019) study, which found that individuals with disabilities were more interested in politics than individuals without disabilities.

Lack of Trust in Politicians

Another trend that emerged from the interviews conducted in this study was a lack of trust in politicians, whom all participants considered to be motivated purely by personal gain with little regard for the needs of the public. Some participants believed that politicians viewed them as a means of reaching their own goals; Mohsen, for instance, described a past encounter with a political candidate in these terms:

"All of them are liars. They just want us when there is a general election... Three years ago, a candidate came to our home and met with my family. He gave several promises to uphold the disability issue and help us. You know, he doesn't answer the phone now, or even reply to our messages. He forgot us when he reached to the parliament house. I'll never vote again."

In a similar vein, Karima stated that it was futile to expect politicians or public officials to uphold her right to access equal opportunities:

"Candidly, I don't think we need to vote or getting involved in political activities. You know why? Because none of them can help. What did they do for me when I was looking for an appropriate job? I struggled to have a health insurance card. Did any politician provide help? Not at all. I can say that even the ministers are not supported; they can't help, they are insufficient."

These findings echo previous research wherein individuals with disabilities often do not trust government officials or political figures (Schur & Adya, 2013), and conversely, individuals with good health tend to trust their own political systems than individuals in poor health (Mattila, 2019). Reher (2018, p. 617) ascribed such distrust to the latter group's "negative direct experiences with public institutions"; that is, "people with disabilities are more likely to require public services, including healthcare, while at the same time experiencing more problems accessing them". Distrust of politics may also result from the perception that politicians are not interested in the opinions or view of individuals with disabilities (Harris et al., 2012).

Based on the accounts of this study's participants, the overall perception of disability in Jordan appears to draw mainly on the medical model, leading to the study participants internalizing negative public perspectives of disability and seeing themselves as inadequate members of society, unable to function in their daily

tasks and even less able to engage in political activities. Such a view is, in the words of Haegele and Hodge (2016, p. 195), "strongly normative, meaning people are considered disabled on the basis that they are unable to function as a so-called normal person does". Perceiving themselves through such a negative lens may generate reluctance among individuals with disabilities, including those who took part in this study, to participate in political activities in Jordan.

Experiences of Political Participation

Approximately two-thirds of the participants in this study reported having taken part in political activities, albeit on a very limited scale; in fact, their accounts primarily dealt with traveling to polling stations to vote. They seemed unhappy with having engaged in these experiences due to the challenges they faced, which included poor communication, negative attitudes, and inaccessible physical environments (Figure 2). Moreover, these study participants shared similar views on politicians and political activities to the more reluctant participants discussed earlier, expressing a general distrust of politicians and a lack of interest in taking part in further political activities.

The restrictions that these participants encountered point toward the relative unpopularity of the social model of disability in Jordan. If the social model gains more prominence, it could lead to the removal of such restrictions and, subsequently, increased political participation among

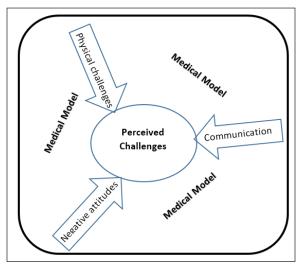


Figure 2. The main categories of the second emergent theme

Jordanian individuals with disabilities (Goering, 2015; Palmer & Harley, 2012).

Communication

One of the main challenges to political participation that our interviewees faced was a lack of clear, accessible methods of communication. Individuals with hearing impairments mentioned the absence of interpreters in polling stations or at other political events, while individuals with visual impairments reported difficulties with polling station staff – all of which made it difficult for them to obtain and process necessary information and take part in political activities (Reher, 2018). Some interviewees with visual impairments reported feeling humiliated when voting, as ballot sheets were not made accessible in Braille or large print. They had to seek assistance from polling station staff, who did not have the training or skills to aid individuals with disabilities in exercising

their right to vote. Ruba shared such an experience when recounting her participation in Jordan's last parliamentary election:

"In 2016, I got into the school (polling station) to cast my vote. I went with my brother. When I attempted to enter the polling room, the staff there did not let my brother to come in with me. They told us it wasn't allowed. They were rude; they did not understand my needs. How on earth could they do that while there were no facilities available for me, like a Braille instruction sheet? One of the staff members insisted on writing on my behalf. It was an embarrassing day. They breached my privacy. I did not want anyone to see my choice."

This lack of adequate communication facilities was likely due to the absence of relevant legislation at the time of the last general election in which study participants voted. Legislation of approved in 2017, Article 44(b) mandated that voting stations provide "reasonable accommodation and accessibility, including in voting centers and the provision of sign language interpreters, and to enable persons with disabilities to vote through their escorts" (Jordanian Law on the Rights of Persons with Disabilities Act, 2017, p. 46). However, the last parliamentary election before interviews took place was in 2016, one year before this legislation went into effect.

The absence of communication facilities for individuals with disabilities was not limited to the voting process. Another study participant, Rami, recalled attending a lecture on the Arab–Israeli conflict and feeling alienated because he had no way to understand what the speaker was saying:

"There were many people in the [lecture] hall. While the speaker was talking, I did not know what was going on. I could not understand what was being said. There was no sign interpreter. I felt like I didn't belong with those people in the hall. It was not an appropriate place for me to stay in. I left the hall."

Based on the literature, similar communication barriers hinder the political participation of individuals with disabilities throughout the world, from the U.S. (Schur et al., 2013), to the U.K. (James et al., 2018), to Ghana (Sackey, 2015), and to Cameroon (Opoku et al., 2016). In fact, Goggin and

Wadiwel (2014) suggested that improving communication facilities was central to boosting political participation among individuals with disabilities. For individuals with hearing impairment, for example, providing sign language translators at events can be instrumental to facilitat their understanding of and engagement with all aspects of the political process. In other cases and for individuals with other disabilities, technological devices can be used to overcome communicational challenges and ultimately increase participation in political activities (Hammel et al., 2015; Harris et al., 2012). However, given how the interviewees in the present study described their communication or lack thereof when engaging in political activities, the medical perspective of disability appears to still be highly influential in Jordan (Hyassat, 2013).

Negative Attitudes

Without exception, all participants in this study reported facing negative attitudes from others when engaging in, or even thinking about engaging in, political activities. These attitudes, which included discrimination, stereotypes, stigma, disgrace, and neglect, discouraged them from wishing to pursue political participation in the future. Eman's account below illustrates the effect and prevalence of such attitudes. When asked if she had ever considered running for political office, she answered:

"Are you kidding me! Please be realistic. Do you think people will vote for a disabled person? I do not think so. People believe that we are not reliable, we have no power to defend their rights... We have several political parties here in Jordan. Have you ever heard of a person with disabilities in a high position in these parties?"

Negative attitudes towards individuals with disabilities are one of the chief shortcomings of the medical model (Scullion, 2010; Smith et al., 2011). The structure of this model of disability may lead other people to view individuals with disabilities as less capable of participating in daily life due to having medical conditions (Haegele & Hodge, 2016; Palmer & Harley, 2012). In this study, participants likely internalized these attitudes and thus perceived themselves as incapable of political participation as a result. Moreover, Eman and other participants' accounts raise the issue of an absence of role models; at the time of writing, no individual with disabilities holds or has held a high-status political position in Jordan, which further fuels the negative attitudes that study participants hold about their own ability to take part in political activities.

Environmental Challenges

As alluded to in Ruba's account earlier, polling stations in Jordan are placed in government schools. Most of these were built before the establishment of Jordan's National Building Codes, which sets out requirements for buildings to be made accessible for individuals with

disabilities. Similar conditions apply to most political parties' headquarters in Jordan, which were also mostly built prior to the National Building Codes coming into effect. Therefore, the participants in our study who attempted to involve themselves in political activities found the physical environments relating to these activities very difficult to navigate. The main challenges encountered in this respect were a lack of access to appropriate transportation and buildings that were not constructed to accommodate physical disabilities. The latter proved especially daunting for study participants with physical disabilities other than hearing or vision impairments, who in their interviews discussed unusable building entrances, absence of ramps, doors that were difficult to open, and a lack of spaces for vehicles or parking. These issues arose in relation to several different kinds of political activities, including voting. For example, Faten recalled feeling quite embarrassed when she went with her cousin to vote in Jordan's parliamentary election:

"To be honest, I do not like to remember that experience. When we arrived at the school, we struggled to find a place to park where we could unload the wheelchair from the car boot. It was crowded there. The problem was that the room where I needed to go to vote was upstairs while the school had no lift. I mean, the polling station was on the second floor. Do you know what happened? It was shameful. There were guvs around who carried me

in my wheelchair to the room up there."

Since the social model of disability holds that individuals with disabilities are excluded from society by social and environmental barriers (Radermacher et al., 2010), the existence of physical challenges in our participants' communities can be viewed as further evidence of the dominance of the medical model of disability in Jordan (McEwan & Butler, 2008; Scullion, 2010). In the medical model, individuals with disabilities are responsible for adapting to social and physical environments; if they fail to do so, their participation in the activities that take place in these environments is not prioritized (Brett, 2002; Haegele & Hodge, 2016; Scullion, 2010). The findings of our study reflect the prevalence of these negative perceptions and assumptions concerning the political participation of individuals with disabilities in Jordan, whose accounts suggest that they are devalued and marginalized by their communities.

Further, our findings reveal that the challenges resulting from such perceptions and attitudes discouraged the participants in our study from taking part in any future political activities. As one participant, Arwa, said: "Our dignity is more important than an election, so no further participation." In addition, although most of the literature discussing the obstacles to political participation faced by individuals with disabilities relies on quantitative design, the findings of our qualitative study correspond with the obstacles found in these quantitative

studies (Bricout & Gray, 2006; Hall & Alvarez, 2012; Hästbacka et al., 2016; Radermacher et al., 2010; Sackey, 2015).

CONCLUSION

This paper examines barriers to and the depth of political engagement of individuals with disabilities living in Jordan. The findings presented here show that in the Jordanian context, individuals with disabilities are largely non-participants in political activities due to complex attitudinal and physical barriers. These arise from negative views of individuals with disabilities, distrust of politicians, and a lack of appropriate accommodations and communication technologies in political spaces and activities.

This study also reveals a gap between current Jordanian legislation concerning the rights of individuals with disabilities to participate in political activities and the extent to which they are able to exercise these rights in practice. Such findings point toward the necessity of fully implementing the principles of current disability and equality legislation in Jordan, as well as increasing public awareness of disability issues. Doing so will contribute to more fully integrating Jordanian individuals with disabilities into political participation and into public life as a whole.

ACKNOWLEDGEMENTS

The authors wish to thank all of the participants who voluntarily agreed to take part in this study.

REFERENCES

- Agran, M., & Hughes, C. (2013). "You can't vote—you're mentally incompetent": Denying democracy to people with severe disabilities. Research and Practice for Persons with Severe Disabilities, 38(1), 58-62. https://doi.org/10.2511/027494813807047006
- Agran, M., MacLean, W., & Andren, K. A. K. (2015). "I never thought about it": Teaching people with intellectual disability to vote. *Education and Training in Autism and Developmental Disabilities*, 50(4), 388-396. http://www.jstor.org/stable/26420348
- Agran, M., MacLean Jr, W. E., & Andren, K. A. K. (2016). "My voice counts, too": Voting participation among individuals with intellectual disability. *Intellectual and Developmental Disabilities*, 54(4), 285-294. https://doi.org/10.1352/1934-9556-54.4.285
- Barbour, R. S. (2001). Checklists for improving rigour in qualitative research: A case of the tail wagging the dog? *BMJ*, 322(7294), 1115-1117. https://doi.org/10.1136/bmj.322.7294.1115
- Braun, V., & Clarke, V. (2006). Using thematic analysis in psychology. *Qualitative Research in Psychology*, 3(2), 77-101. https://doi.org/10.1191/1478088706qp063oa
- Brett, J. (2002). The experience of disability from the perspective of parents of children with profound impairment: is it time for an alternative model of disability? *Disability & Society*, 17(7), 825-843. https://doi.org/10.1080/0968759022000039109
- Bricout, J. C., & Gray, D. B. (2006). Community receptivity: The ecology of disabled persons' participation in the physical, political and social environments. *Scandinavian Journal of Disability Research*, 8(1), 1-21. https://doi.org/10.1080/15017410500335229
- Bryman, A. (2012). *Social research methods*. Oxford University Press.

- Burden, B. C., Fletcher, J. M., Herd, P., Moynihan, D. P., & Jones, B. M. (2017). How different forms of health matter to political participation. *The Journal of Politics*, 79(1), 166-178. https://doi.org/10.1086/687536
- Dawson, C. (2007). Practical research methods: A user-friendly guide to mastering research techniques and projects. How To Books Ltd.
- Friedman, C., & Rizzolo, M. C. (2017). Correlates of voting participation of people with intellectual and developmental disabilities. *Journal of Social Work in Disability & Rehabilitation*, 16(3-4), 347-360. https://doi.org/10.1080/153671 0X.2017.1392393
- General Statistics Department. (2019). *Jordan in figures*. http://dosweb.dos.gov.jo/DataBank/ JordanInFigures/Jorinfo 2019.pdf
- Goering, S. (2015). Rethinking disability: The social model of disability and chronic disease. *Current Reviews in Musculoskeletal Medicine*, 8(2), 134-138. https://doi.org/10.1007/s12178-015-9273-z
- Goggin, G., & Wadiwel, D. (2014). Australian disability reform and political participation. In *Symposium: Reform and Rhetoric in Australian Social Policy*, *September*. http://www.australianreview.net/digest/2014/09/goggin wadiwel.html
- Guldvik, I., Askheim, O. P., & Johansen, V. (2013). Political citizenship and local political participation for disabled people. *Citizenship Studies*, 17(1), 76-91. https://doi.org/10.1080/1 3621025.2013.764219
- Haegele, J. A., & Hodge, S. (2016). Disability discourse: Overview and critiques of the medical and social models. *Quest*, 68(2), 193-206. https://doi.org/10.1080/00336297.2016.1143849
- Hall, T., & Alvarez, R. M. (2012). Defining the barriers to political participation for individuals with disabilities (Accessible Voting Technology

- Initiative Working Paper No. 1). *The Information Technology and Innovation Foundation*. https://elections.itif.org/reports/AVTI-001-Hall-Alvarez-2012.pdf
- Hammel, J., Magasi, S., Heinemann, A., Gray,
 D. B., Stark, S., Kisala, P., Carlozzi, N. E.,
 Tulsky, D., Garcia, S. F., & Hahn, E. A. (2015).
 Environmental barriers and supports to everyday participation: A qualitative insider perspective from people with disabilities. *Archives of Physical Medicine and Rehabilitation*, 96(4), 578-588.
 https://doi.org/10.1016/j.apmr.2014.12.008
- Harris, S. P., Owen, R., & De Ruiter, C. (2012). Civic engagement and people with disabilities: the role of advocacy and technology. *Journal of Community Engagement and Scholarship*, *5*(1), 1-14. https://digitalcommons.northgeorgia.edu/jces/vol5/iss1/8
- Hästbacka, E., Nygård, M., & Nyqvist, F. (2016). Barriers and facilitators to societal participation of people with disabilities: A scoping review of studies concerning European countries. *Alter*, 10(3), 201-220. https://doi.org/10.1016/j. alter.2016.02.002
- Higher Council for the Rights of Persons with Disabilities. (2019). Wāqy' brāmi al-ta'līm al-dāmj fī rīāḍ al-'aṭfāl fī al-mamlakat al-'ardanīt al-hāšymīt [The reality of early childhood inclusive education system in Jordan]. http://hcd.gov.jo/sites/default/files/%D9%88% D8%A7%D9%82%D8%B9%20%D8% A8%D8%B1%D8%A7%D9%85%D8% AC%20%D8%A7%D9%84%D8%AA%D8% B9%D9%84%D9%8A%D9%85%20%D8% A7%D9%84%D8%AF%D8%A7%D9%85% D8%AC%20%D9%81%D9%8A%20%D8% B 1 % D 9 % 8 A % D 8 % A 7 % D 8 % B 6 % 2 %D8%A7%D9%84%D8%A3%D8%B7%D9% 81%D8%A7%D9%84%20%D9%81% D9%8A%20%D8%A7%D9%84%D9% 85%D9%85%D9%84%D9%83%

- D8%A9%20%D8%A7%D9%84%D8%A3% D8%B1%D8%AF%D9%86%D9%8A%D8% A9%20%D8%A7%D9%84%D9%87%D8% A7%D8%B4%D9%85%D9%8A%D8%A9.pdf
- Holland, R. (2016). Participation and engagement of people with a learning disability in the lead up to the 2015 general election. *Tizard Learning Disability Review*, 21(1), 10-14. https://doi.org/10.1108/TLDR-10-2015-0037
- Hyassat, M. (2013). *Jordanian parents of young* children with disabilities perspectives on care, coping and service provision. Scholars' Press.
- Hyassat, M. (2016). The voice of Jordanian parents of young children with disabilities on involvement in their children's educational services. *International Journal of Special Education*, 31(3), 508-532.
- Independent Election Commission (2016). Law on the election of the House of Representatives. https://www.iec.jo/sites/default/files/2020-09/2Parli amentaryElectionLawMay2016EN.docx%20%281%290%200%281%29.pdf
- James, E., Harvey, M., & Hatton, C. (2018). Participation of adults with learning disabilities in the 2015 UK General Election. *Tizard Learning Disability Review*, 23(2), 65-71. https://doi.org/10.1108/TLDR-04-2017-0022
- Jordanian Law on the Rights of Persons with Disabilities Act. 2017. No. 20. (2017). http://hcd. gov.jo/sites/default/files/English%20version.pdf
- Levesque, M. (2016). Searching for persons with disabilities in Canadian provincial office. *Canadian Journal of Disability Studies*, 5(1), 73-106. https://doi.org/10.15353/cjds.v5i1.250
- Matthews, H., Limb, M., & Taylor, M. (1999). Young people's participation and representation in society. *Geoforum*, *30*(2), 135-144. https://doi.org/10.1016/S0016-7185(98)00025-6

- Mattila, M. (2019). Does poor health mobilize people into action? Health, political trust, and participation. *European Political Science Review*, 1-17. https://doi.org/10.1017/S175577391900033X
- Mattila, M., & Papageorgiou, A. (2017). Disability, perceived discrimination and political participation. *International Political Science Review*, 38(5), 505-519. https://doi.org/10.1177/0192512116655813
- Mattila, M., Rapeli, L., Wass, H., & Söderlund, P. (2017). *Health and political engagement*. Routledge. https://doi.org/10.4324/9781315561691
- Mattila, M., Söderlund, P., Wass, H., & Rapeli, L. (2013). Healthy voting: The effect of selfreported health on turnout in 30 countries. *Electoral Studies*, 32(4), 886-891. https://doi. org/10.1016/j.electstud.2013.07.010
- McCausland, D., McCallion, P., Brennan, D., & McCarron, M. (2018). The exercise of human rights and citizenship by older adults with an intellectual disability in Ireland. *Journal of Intellectual Disability Research*, 62(10), 875-887. https://doi.org/10.1111/jir.12543
- McEwan, C., & Butler, R. (2008). Disability and development: Different models, different places. *Geography Compass*, 1(3), 448-466. https://doi.org/10.1111/j.1749-8198.2007.00023.x
- McGrath, O., Crawford, S., & O'Sullivan, D. (2019). 'It's a challenge': Post primary physical education teachers' experiences of and perspectives on inclusive practice with students with disabilities. European Journal of Adapted Physical Activity, 12(1), 1-14. https://doi.org/10.5507/euj.2018.011
- Noy, C. (2008). Sampling knowledge: The hermeneutics of snowball sampling in qualitative research. *International Journal of social Research Methodology*, 11(4), 327-344. https://doi.org/10.1080/13645570701401305

- Opoku, M. P., Mprah, W. K., & Saka, B. N. (2016). Participation of persons with disabilities in political activities in Cameroon. *Disability and the Global South*, *3*(2), 980-999.
- Palmer, M., & Harley, D. (2012). Models and measurement in disability: An international review. *Health Policy and Planning*, 27(5), 357-364. https://doi.org/10.1093/heapol/czr047
- Powell, S., & Johnson, A. A. (2019). Patterns and mechanisms of political participation among people with disabilities. *Journal of Health Politics, Policy and Law, 44*(3), 381-422. https://doi.org/10.1215/03616878-7367000
- Priestley, M., Stickings, M., Loja, E., Grammenos, S., Lawson, A., Waddington, L., & Fridriksdottir, B. (2016). The political participation of disabled people in Europe: Rights, accessibility and activism. *Electoral Studies*, 42, 1-9. https://doi. org/10.1016/j.electstud.2016.01.009
- Radermacher, H., Sonn, C., Keys, C., & Duckett, P. (2010). Disability and participation: It's about us but still without us! *Journal of Community & Applied Social Psychology*, *20*(5), 333-346. https://doi.org/10.1002/casp.1039
- Reher, S. (2018). Mind this gap, too: Political orientations of people with disabilities in Europe. *Political Behavior*, 10(4), 613-635. https://doi.org/10.1007/s11109-018-09520-x
- Rutherford, R. (2007). Jordan and disability rights: A pioneering leader in the Arab world. *The Review of Disability Studies: An International Journal*, 3(4), 25-42. http://hdl.handle.net/10125/58331
- Sackey, E. (2015). Disability and political participation in Ghana: An alternative perspective. Scandinavian Journal of Disability Research, 17(4), 366-381. https://doi.org/10.1080/15017419.2014.941925
- Sakarneh, M. A., & Al-Swelmyeen, M. B. (2020). The extent to which the Jordanian inclusive basic school teachers use the constructivism theory

- in teaching. *Journal of Educational and Social Research*, 10(1), 182. https://doi.org/10.36941/jesr-2020-0017
- Sakarneh, M. A., Sabayleh, O. A., & Alramamneh, A. L. K. (2019). The sensory characteristics of children with autism spectrum disorder: Teachers' observation. *International Journal of Early Childhood Special Education*, 11(2), 105-115. http://doi.org/10.20489/intjecse.670459
- Sakarneh, M., Paterson, D., & Minichiello, V. (2016). The applicability of the NSW quality teaching model to the Jordanian primary school context. *Dirasat: Educational Sciences*, 43(Supp. 4), 1773-1789.
- Salameh, M. T. B. (2017). Political reform in Jordan: Reality and aspirations. *World Affairs*, *180*(4), 47-78. https://doi.org/10.1177/0043820018765373
- Sandall, S. P., Smith, B. J., McLean, M. E., & Ramsey, A. L. (2002). Qualitative research in early intervention/early childhood special education. *Journal of Early Intervention*, 25(2), 129-136. https://doi.org/10.1177/105381510202500210
- Schur, L., & Adya, M. (2013). Sidelined or mainstreamed? Political participation and attitudes of people with disabilities in the United States. Social Science Quarterly, 94(3), 811-839. https://doi.org/10.1111/j.1540-6237.2012.00885.x
- Schur, L., Adya, M., & Kruse, D. (2013). Disability, voter turnout, and voting difficulties in the 2012 elections. U.S. Election Assistance Commission and Research Alliance for Accessible Voting. https://www.eac.gov/sites/default/files/eac_assets/1/1/Disability%20and%20voting%20 survey%20report%20for%202012%20elections. pdf

- Schur, L., Shields, T., & Schriner, K. (2003). Can I make a difference? Efficacy, employment, and disability. *Political Psychology*, 24(1), 119-149. https://doi.org/10.1111/0162-895X.00319
- Schur, L., Shields, T., Kruse, D., & Schriner, K. (2002). Enabling democracy: Disability and voter turnout. *Political Research Quarterly*, 55(1), 167-190. https://doi.org/10.1177/106591290205500107
- Schur, L. A., & Kruse, D. L. (2000). What determines voter turnout? Lessons from citizens with disabilities. Social Science Quarterly, 81(2), 571-587. http://www.jstor.org/stable/42863976
- Scullion, P. A. (2010). Models of disability: Their influence in nursing and potential role in challenging discrimination. *Journal of Advanced Nursing*, 66(3), 697-707. https://doi.org/10.1111/j.1365-2648.2009.05211.x
- Skelton, T., & Valentine, G. (2003). Political participation, political action and political identities: Young D/deaf people's perspectives. *Space and Polity*, 7(2), 117-134. https://doi.org/10.1080/1356257032000133892
- Smith, W., Roth, J., Okoro, O., & Odedina, F. (2011). Disability in cultural competency pharmacy education. *American Journal of Pharmaceutical Education*, 75(2), 1-9. https://doi.org/10.5688/ajpe75226
- Suzanne, M., Hennie, R., & Iris, I. (2019). Voting barriers and solutions: The experiences of people with disabilities during the Dutch national election in 2017. *Disability & Society*, *34*(5), 819-836. https://doi.org/10.1080/09687599.20 19.1566052
- Willig, C. (2008). *Introducing qualitative research in psychology: Adventures in theory and method.*Open University Press Buckingham.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Socio-Contextual Factors as Determinants of Psychological Wellbeing of Selected Aged in South Africa: A Moderating Approach

Ali Arazeem Abdullahi^{1,2*}, Anathi Ntozini³, and Rotimi Oguntayo⁴

ABSTRACT

The psychological wellbeing of the elderly has become an important global health issue. This study investigated the socio-contextual factors moderating some dimensions of psychological well-being (self-acceptance, purpose in life, environmental mastery and autonomy) among 301 selected aged in South Africa. Simple random and purposive sampling techniques were deployed to select the respondents (93 males and 208 females) in Buffalo city, South Africa. A questionnaire pack which included the Ryff Psychological Well-Being Scale (RPWBS) and the Physical Activity Scale for the Elderly (PASE) were utilised. The study found a significant relationship between physical activity and

ARTICLE INFO

Article history:

Received: 22 September 2020 Accepted: 18 December 2020 Published: 26 March 2021

 $DOI:\ https://doi.org/10.47836/pjssh.29.1.20$

E-mail addresses: bssabdullahi@gmail.com (Ali Arazeem Abdullahi) ntozinia@yahoo.com (Anathi Nomanzana Ntozini) rotimijoguntayo@gmail.com (Rotimi Oguntayo) *Corresponding author psychological wellbeing of the elderly. However, ethnicity could moderate the relationship between physical activity and the dimensions of psychological wellbeing. Recreational activities, particularly in Black communities, must be improved to encourage participation in physical exercise.

Keywords: Community involvement, elderly, ethnic affiliation, physical activity, place of living, psychological well-being

¹Department of Sociology, Faculty of Social Sciences, University of Ilorin, Ilorin 240001, Nigeria ²Department of Sociology, Faculty of Humanities, University of Johannesburg, Johannesburg, Auckland Park,

Department of Sociology, Faculty of Humanities, University of Johannesburg, Johannesburg, Aud 2006, South Africa

³Department of Psychology, Faculty of Humanities, University of Pretoria, Hatfield, 0083, South Africa ⁴Department of Psychology, Faculty of Social Sciences, University of Ilorin, Ilorin 240001, Nigeria

INTRODUCTION

The need to appreciate and improve the psychological wellbeing (PWB) of the elderly has taken a centre-stage in policy making and implementation, thereby occupying an important space in global ageing discourse. Some researchers have emphasised the correlations between certain socio-contextual factors such as gender (Cutler et al., 2013; Freedman et al., 2013), income (Bai, 2016), education (Dong & Zhang, 2015; Menkin et al., 2017), ethnicity and race (Sarkisian et al., 2006) as determinants of the wellbeing of the elderly. For instance, a positive correlation between levels of education and wellbeing of the elderly has been reported (Dong & Zhang, 2015; Kwon et al., 2016). The studies found that educated elderly were more likely to experience moderate psychological wellbeing owing to intellectual and mental resources at their disposal (Gerber et al., 2016; Kwon et al., 2016). They, therefore, may experience higher levels of mastery required for successful ageing (Fagerström & Aartsen, 2013) as they are more likely to engage in physical activity (PA) and are inclined to regularly utilise health services available at their disposal (Silverstein & Giarrusso, 2013).

Other studies have further shown that residential area or choice of accommodation are important determinants of the psychological wellbeing of the elderly (Granborn et al., 2014). For example, Gurak and Kritz (2013) succinctly noted that the elderly in rural United States were largely psychologically deficient compared to their

counterparts in urban areas. They found that elderly in rural USA reported poor family relationships, weakened social ties, emotionally irrelevant social exchanges and relationships, lack of access to basic health services and recreational facilities compared to their urban counterparts. However, other studies have proven that the association between residential area/choice of accommodation may be mediated by place of attachment and other environmental factors (Gary et al., 2002).

Similarly, the relationships between physical activity and wellbeing of the elderly have been investigated and documented. Studies have found that old people who frequently engage in physical exercise have lower risk of developing cognitive impairments and cardiovascular diseases, hence improved psychological wellbeing (Ferrand et al., 2014). However, in spite of the health benefits of physical exercise, very few older adults engage in physical activities in South Africa (Schoenborn et al., 2013), especially in Black communities (Frisoli, 2016). Inadequate physical exercise among elderly South Africans may have compounded the alarming rates of communicable diseases such as hypertension, stroke, heart diseases, diabetes and cancers in South Africa (Frisoli, 2016).

Nevertheless, studies comparing physical activity and wellbeing of the elderly among different ethnic groups in South Africa are scarce. Although, some studies have compared methods of measuring physical activity in older adults (Kolbe-Alexander et al., 2006), as well as the correlation between physical activity, body composition and handgrip strength among old people (Shozi, 2018), very few studies, have examined the relationship between physical activity and the wellbeing of the elderly and how this relationship is moderated by sociocontextual factors. In this study, attention is on the relationships between physical activity and the psychological wellbeing of the elderly and how the place of living, community involvement and ethnicity could moderate this relationship. The study is premised on the following hypotheses;

- 1. that there is a significant statistical relationship between age, physical activity and the focused four dimensions of psychological wellbeing;
- 2. that there is a significant statistical interaction between ethnicity and place of living on the dimensions of wellbeing;
- 3. that there is a significant interaction between ethnicity, community involvement and the dimensions of psychological wellbeing;
- 4. that ethnic affiliation moderates the relationship between physical activity and the focused dimensions of psychological wellbeing.

It is important to note that the psychological wellbeing of the elderly is measured using the Ryff's Psychological Wellbeing Scale (RPWBS) while the physical activity is measured using The Physical Activities Scale for the Elderly (PASE). Details of these scales are provided in the methodology section.

MATERIALS AND METHODS

Design

This study utilised a cross-sectional survey by adopting an ex-post facto design.

Study Setting and Population of Study.

This study was conducted among aged people in Buffalo City, Eastern Cape, South Africa (SA). The Eastern Cape is divided into two metropolitan municipalities (Buffalo City Metropolitan Municipality and Nelson Mandela Bay Metropolitan Municipality) and six district municipalities, which are further subdivided into 37 local municipalities (Statistics South Africa, 2014). Buffalo City Metropolitan Municipality is situated on the east coast of the Eastern Cape Province with a total population above 785 000 (Statistics South Africa, 2011). The racial composition of the Buffalo City metro comprised Black (92.9%), Coloured (2.4%), Asian (0.2%) and White (4.5%) (Statistics South Africa, 2014). As at 1996, the total number of the elderly in Buffalo City was a slight above 50,000. This had jumped to 66,870 in 2011 (Statistics South Africa, 2011). Out of this total, 49,736 were Black while 13,003 were White. The increase in the population of the elderly not only in Buffalo City but across South Africa, has resulted in a corresponding increase in elderly homes.

Records obtained from the Office of the Department of Social Development, Eastern Cape, showed that a total of 33 elderly homes were legally operating in Eastern Cape. Of these, 12 were located within the

Buffalo city area. All of these homes were approached for participation. Incidentally, 10 of the 12 institutions consented to participate in the study each of which had participants with criteria for inclusion in the study (for ethical reasons, names of these institutions are not mentioned in the study). However, all the institutions chosen for the study were government subsidised homes, three of which depended totally on government's full subsidy while the rest had partial subsidy. The homes differed in size and number. The home with the minimum residents had 25 residents while the largest had 150 residents. In each of these homes, at least 10% of the total population participated in the study. This percentage has been proven sufficient for a sample of a population (Hashim, 2011).

Meanwhile, quite a number of people still do not believe in keeping old people in government approved homes. They keep them in private residences. This is most common among the Black community in the Eastern Cape. Many cite cultural factors for the non-use of government approved homes for the elderly. Hence, for the purpose of this study, participants were recruited from private residential homes and government subsidised institutions. In all, 191 isiXhosa elderly and 110 English elderly participated in the study, totalling 301 participants.

Instruments

The Ryff PWB Scale (RPWBS). Ryff Psychological Wellbeing Scale (RPWBS)

is a self-report questionnaire designed by Ryff et al. (1995) to measure six dimensions of psychological wellbeing that include self-acceptance, (the capacity to evaluate oneself and one's past life positively), environmental mastery (the ability to manage one's life and the surrounding world), positive relations with others (having quality of relationship skills), autonomy (making self-decision in life), purpose in life (having purpose and meaning to life) and personal growth (the belief that one is still growing and developing) (González-Celis et al., 2016). Each of the six dimensions contains 14 items with the scale consisting of 84 items altogether. The author's overall Cronbach alpha was .81 while the current study recorded .72 for isiXhosa (the black sample) and .86 for white group. Both groups had .82 Cronbach alpha. More so, the RPWBS has six-point Likert-type scale: 1=strongly disagree; 2=moderately disagree; 3=slightly disagree; 4=slightly agree; 5=moderately agree, and 6=strongly agree. The reliability RPWBS dimensions were personal growth 0.227, self-acceptance 0.76, positive relations 0.028, environmental mastery 0.68, autonomy 0.74, and purpose of living 0.64. However, the current study focused attention on only four dimensions (self-acceptance, environmental mastery, autonomy and purpose in life) leaving out personal growth and positive relation owing to low reliability co-efficient scores on the scales in order to avoid misleading results (Kruyen, 2012).

The Physical Activities Scale for the Elderly (PASE). The physical activities scale for the elderly (PASE) assesses activities such as walking, recreational activities, exercise, housework, yard work and caring for others among the aged (Washburn et al., 1993). It uses frequency, duration, and intensity level of activity over the previous week to assign a score, ranging from 0 to 793, with higher scores indicating greater PA. The PASE response ranges from "Never to No" while its score algorithm was derived from PA measured by movement counts from an electronic PA monitor, activity diaries and self-assessed activity levels in a general population of non-institutionalized older persons. This self-report or intervieweradministered instrument was completed in 5 to 15 minutes. According to the authors, the test-retest reliability examined over 3 to 7 weeks was 0.75 (95% CI=0.69-0.80). While the construct validity was done by correlating PASE with health status and physiologic assessment. PASE positively correlated with grip strength (r=0.37), static balance (r=+0.33), leg strength (r=0.25) and negatively associated with resting heart rate (r=-0.13), age (r=-0.34) and perceived health status (r=-0.34); and overall Sickness Impact Profile score (r=-0.42). While the current study reported .710 Cronbach alpha.

It is important to mention that the two instruments were also translated to isiXhosa dialect as some of isiXhosa speaking elderly participants did not understand English language. The transcription was done through experts from tertiary education in South Africa and isiXhosa linguists. The

reliability of the used scales was upheld at the preliminary stage of translation among the elderly (note; those who participated in the pilot study were excluded from the main study).

Sampling Techniques and Procedure

The current study relied on a combination of simple random and purposive sampling techniques. On the one hand, the simple random sampling technique was deployed to select respondents from the government approved homes for the elderly. The cognitive capacity of the participants was ascertained by checking through the medical records of the elderly with the assistance of nurses. Those who had history of cognitive disabilities were excluded while those who were cognitively capable were selected and assembled into a hall where tally containing "A" and "B" were administered to them and those who picked A were sampled as the participants for this study. Thereafter, researchers explained the purpose of the study to them and those who consented to participate in the study were involved.

On the other hand, purposive sampling technique was employed to select elderly in their personal homes. Those who were contacted at their various homes were questioned for screening using "The Mini–Mental State Examination (MMSE)" (Pangman et al., 2000) as a guide to ascertain cognitive ability. A clinical study has revealed the efficacy of this test (Pangman et al., 2000). The elderly living in their personal homes who had a good score of cognitive ability were the only ones included in this study.

Ethical Considerations

Ethical approval was granted by Govern Mbeki Research Centre (GMRDC) Ethical Committee (LOU011SNT001). The permission to use the aged institutions, translate the used instruments to local language was sought and granted. Also, compensation, voluntary right and other ethical protocols were observed. Confidentiality and anonymity of the respondents were guaranteed.

Data Analysis

Descriptive (frequency, mean, and standard deviation) and inferential statistics were deployed to analyse the collected data. Descriptive statistics was used to describe the demographic characteristics of the respondents. The Pearson product moment

Table 1
Descriptive analysis of the demographic factors

Variables	Frequency	Percentage
Age		
65-69	98	32.1
70-79	100	33.4
80-89	103	34.4
Total	301	100.0
Gender		
Male	93	30.9
Female	208	69.1
Total	301	100.0

correlation, two-way analysis of variance and regression analysis were deployed to test the hypotheses.

RESULTS

From Table 1, a total of 301 respondents participated in the study; 93 males, 208 females. The age range was 65 – 69 years (32.1%), 70-79 years (33.4%) and above 80 years (34.4%). From the table, the widows were 30.9%, single/separated/divorced 31.6% and those still married or living together were 37.5%. Racial composition showed that IsiXhosa (Black) were 57.9% while the Whites were 42.1%. Of this, 102 (36.5%) were living in either private homes or rented apartments while 191 (63.5%) were living in Home for the Aged.

Variables	Frequency	Percentage
Marital Status		
Married/Living Together	95	31.6
Single/Separated/ Divorced	113	37.5
Widowed	93	30.9
Total	301	100.0
Living Arrangement		
Own/Rented Home	110	36.5
Home for the Aged	191	63.5
Total	301	100.0
Ethnic Affiliation		
White	129	42.1
Black (IsiXhosa)	172	57.9
Total	301	100.0
Age range = 65.45±89.1		

Test of Hypothesis One

The first hypothesis states that there is a significant statistical relationship between age, physical activity and the focused four dimensions of psychological wellbeing. The result is presented below.

From the results in Table 2, physical activity has a significant positive relationship

with purpose in life as dimension of psychological wellbeing (r= .251, p< .05). however, age is not significantly correlated. This means that, the higher the physical activity the higher the purpose in life among the aged.

Table 2

Correlations between age, physical activity and psychological wellbeing

	Variables	1	2	3	4	5
1	Age	-				
2	PA	.199**	-			
3	Self- acceptance	035	088	-		
4	Purpose in Life	400	251**	.592**	-	
5	Environment mastery	009	015	.551**	.481**	-
6	Autonomy	006	030	.573**	.389**	.314**

^{**}p <= .01, *p <= .05

Test of Hypothesis Two

The second hypothesis states that there is a significant interaction between ethic

affiliation and place of living on the dimensions of wellbeing. The result is revealed in Table 3 below.

Table 3

Two-way variance analysis showing the interaction between ethnic affiliation and place of living and dimensions of wellbeing

Dimensions of PWB	IV	MS	F-Value	P	F
Autonomy	2	102.52	1.411	0.246	0.0
Environmental Mastery	2	112.97	1.778	0.171	0.0
Purpose of Life	2	159.03	2.641	0.074	0.0
Self-acceptance	2	49.75	0.687	0.504	0.0

The result in Table 3 shows that there is no interaction between ethnicity and place of living at mean difference score on all the dimensions of psychological wellbeing, hence no need to conduct the Scheffé test.

Test of Hypothesis Three

Hypothesis three states that there is significant interaction between ethnic affiliation and community involvement on the dimensions of PWB. The result is shown in Table 4.

Table 4
Two-way variance analysis with the interaction between ethnicity and community involvement on PWB

Dimensions of PWB	IV	MS	F-Value	P	F
Autonomy	2	829.10	11.400**	0.000	0.11
Environmental Mastery	2	1486.97	23.964**	0.000	0.21
Purpose of Life	2	136.85	6.589**	0.000	0.06
Self-acceptance	2	1087.47	15.589**	0.000	0.15

^{**}p <= .01, *p <= .05

From Table 4, there is a significant interaction between ethnic affiliation and community involvement on the dimensions of PWB. The significant mean difference scores and a medium effect size of only environmental mastery and self-acceptance

was revealed. Further analyses were conducted on environmental mastery and self-acceptance using the Sheffé test in Table 5 and Table 6 to show the differences between the specific groups.

Table 5
Results of interaction between ethnic affiliation and community involvement for environmental mastery

Ethnicity	Community	N	Risk	Risk factor	
	involvement		\overline{X}	Sd	
isiXhosa	No	152	57.39	7.250	
	Yes	19	58.16	7.697	
English	No	80	62.68	8.890	
	Yes	49	67.86	8.188	

From Table 5, the result shows that community involvement levels are higher for environmental mastery for the White group than the Black individuals. In other words, environmental mastery is higher for White participants when they experienced community involvement. From Table 6, the Whites who were involved in community activities did score high on self-acceptance than the black who partook in community activities. Results found that in the means

of community involvement there were significant variance in environmental mastery and self-acceptance among isiXhosa and White participants.

Table 6
Interaction between ethnic affiliation and community involvement on self-acceptance

Ethnicity	Community	N	Risk factor		
	involvement		\overline{X}	Sd	
isiXhosa	No	152	60.53	7.218	
	Yes	19	61.00	6.209	
English	No	80	64.31	10.433	
	Yes	49	69.92	7.697	

Test of Hypothesis Four

The fourth hypothesis states that ethnic affiliation will significantly moderate the relationships between physical activity (PA) and the focused dimensions of PWB. The result is shown in Table 7.

The results in Table 7 indicate that ethnicity moderates the relationship between physical activity and psychological wellbeing (autonomy, environmental mastery, purpose in life, and self-acceptance). In all these cases, the moderating effect of ethnicity is significant on the 1% level. Result shows that physical activity and ethnicity accounted for a significant variance that occurred in autonomy ($\Delta R^2 = 0.097$; $F_{(1;280)} = 30.015$; p = .000) with addition of 9.7% variance recorded. Consequently, it can be inferred that ethnicity indeed moderates the relationship between physical activity and

autonomy of elderly persons. Also, physical activity and ethnicity have statistical significant variance in environmental mastery ($\Delta R^2 = 0.161$; $F_{(1;280)} = 53.553$; p = .000), however, 16.1% variance is was reported to be caused by the two factors.

Regarding purpose in life, there was a significant statistical changes ($\Delta R^2 = 0.040$; $F_{(1;280)} = 12.468$; p=0.000) as a result of physical activity and ethnic affiliation. The variance in purpose in life could be explained as 4.0%. Consequently, it can be inferred that ethnicity indeed moderates the relationship between physical activity and purpose in life of elderly persons.

Table 7 equally shows a significant changes in self-acceptance (ΔR^2 =0.102; $F_{(1;280)}$ =31.920; p=.000) as a result of physical activity and ethnic affiliation where 10.2% more variance was recorded. This implies that ethnicity indeed moderates the

Table 7

Moderated hierarchical regression analyses with PA as independent variable, ethnic affiliation as the moderator and the focused four PWB dimensions involved among participants

Model	R	\mathbb{R}^2	Adjusted R ²			Change statistics	tatistics	
				R ² change	F change	dfl	df2	Sig. F Change
Autonomy								
	0.033	0.001	-0.002	0.001	0.300	П	281	0.584
2	0.313	0.098	0.091	0.097	30.015**	П	280	0.000
Environme	Environmental mastery							
1	0.015	0.000	-0.003	0.000	0.064	_	281	0.801
2	0.401	0.161	0.155	0.161	53.553**		280	0.000
Purpose in life	life							
	0.251	0.063	0.060	0.063	18.944	_	281	0.000
2	0.321	0.103	0.097	0.040	12.468**		280	0.000
Self-accentance	Snce							
1	0.088	0.008	0.004	0.008	2.189		281	0.140
2	0.331	0.109	0.103	0.102	31.920**	П	280	0.000

*p <= .01, *p <= .05

relationship between physical activity and self-acceptance of elderly persons.

Furthermore, the nature of moderating effects was investigated using regression coefficients for the regression comparisons between physical activity and three PWB's dimensions (autonomy, environmental

mastery and self-acceptance) for the isiXhosa and White elderly separately. The regression lines are presented in Figure 1 for autonomy, Figure 2 for environmental mastery, Figure 3 for purpose in life and Figure 4 for self-acceptance.

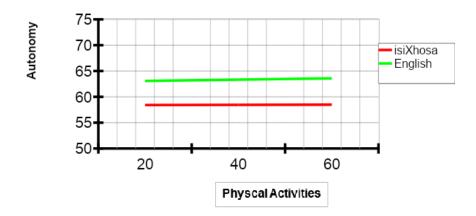


Figure 1. Regression lines of isiXhosa- and White-speaking elderly with PA as the independent variable and autonomy as the dependent variable

Figure 1 shows that the two regression lines run parallel. With lower levels of physical activity, the White elderly showed higher levels of autonomy in comparison with the isiXhosa elderly. An increase in physical activity implies that the levels of autonomy experienced by the two respective groups remain approximately the same due to the slopes of the respective regression lines that are approximately 0. For the White elderly, it is 0.013, and for the isiXhosa elderly, it is 0.001. Although the levels of autonomy for the respective

groups remain approximately the same with an increase in physical activity, the White elderly consistently showed higher levels of autonomy than the isiXhosa elderly showed.

In Figure 2, the regression lines showed approximately the same slopes because they are displayed parallel with White elderly scoring 0.013 and the isiXhosa having -0.006. With lower levels of physical activity, the White elderly showed higher levels of environmental mastery in comparison with the isiXhosa elderly. With an increase in physical activity, the levels

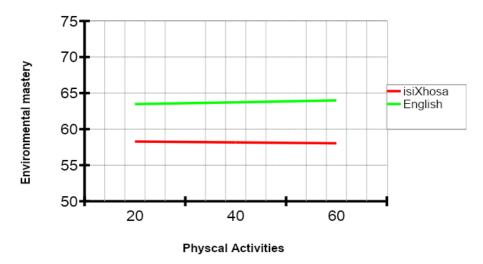


Figure 2. Regression lines of isiXhosa- and White-speaking elderly with PA as the independent variable and environmental mastery as the dependent variable

of environmental mastery experienced by the two groups respectively remain approximately the same. Even though the levels of environmental mastery for the respective groups remain approximately the same with an increase in physical activity, the White elderly consistently showed higher levels of environmental mastery than the isiXhosa elderly showed.

In Figure 3, the regression lines for the two ethnic groups are indicated to illustrate the relationship between physical activity and purpose in life. The two regression lines also displayed the same parallel lines. Where lower levels of physical activity, the White elderly showed higher levels of purpose in life in comparison with the isiXhosa elderly. With an increase in physical activity, the levels of purpose in life experienced by the two groups respectively remain approximately the same due to the respective regression lines that are close

to zero and approximately the same. For the White elderly, it is 0.028 and for the isiXhosa elderly it is 0.023. Although the levels of purpose in life for the respective groups remain approximately the same with an increase in physical activity, the White elderly throughout showed higher levels of purpose in life than the isiXhosa elderly.

In Figure 4, the regression lines for the two ethnic groups are indicated to illustrate the relationship between physical activity and self-acceptance. The two regression lines show approximately the same probable tendency: The White elderly scored 0.021 while the Black elderly reported 0.006 scores. Although the levels of self-acceptance for the respective groups remain approximately the same with an increase in physical activity, the White elderly showed higher levels of self-acceptance than their isiXhosa elderly.

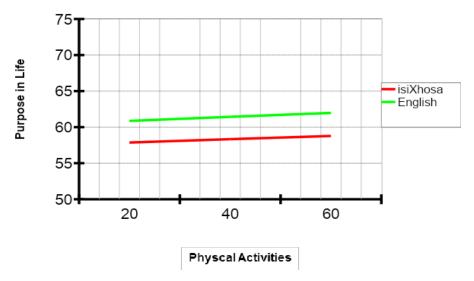


Figure 3. Regression lines of isiXhosa- and White-speaking elderly with PA as the independent variable and purpose in life as the dependent variable

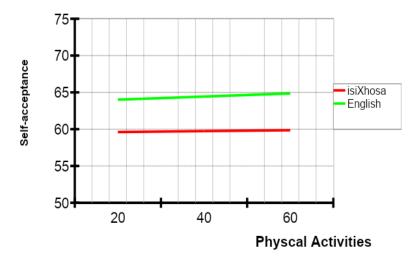


Figure 4. Regression lines of isiXhosa- and White-speaking elderly with PA as the independent variable and self-acceptance as the dependent variable

DISCUSSION

This study attempted to find out the relationship between physical activity and psychological wellbeing of the elderly in Buffalo City, South Africa and how this relationship is moderated by sociocontextual factors. The study found a significant relationship between physical activity and psychological wellbeing of the elderly irrespective of ethnic background. This indicates that the more the physical activities, the higher the level of purpose in life experienced by the elderly. Similar results were obtained by previous researchers (Jimmefors et al., 2014; Zhang, & Chen, 2019).

However, the results further showed that there is no interaction between ethnicity and place of living in relation to all the four dimensions of psychological wellbeing. Though findings on the association between ethnicity and psychological wellbeing have shown mixed and contradictory reactions, Ryff et al. (2003) had found that perceived daily racial discrimination had a negative correlation with psychological wellbeing. The study further revealed that there was a significant interaction between ethnicity and community involvement on some dimensions of the psychological wellbeing (environmental mastery and self-acceptance). Also, place of residence and community involvement also had an influence on environmental mastery and self-acceptance among the elderly. This finding is in agreement with the previous studies (Asoglu et al., 2014; Ferrand et al., 2014; Gary et al., 2002). Previous studies have demonstrated that place of residence and level of community involvement are important determinants of psychological wellbeing of the elderly. It has been demonstrated that elderly who reside in a place where there is huge community involvement are more likely to enjoy ageing life because they experience little

or no loneliness. The community provides a platform for the elderly to engage in emotionally relevant social relationships. The formation of age group cohort in community development is a good example of how community membership may enhance psychologically.

Furthermore, the current study found that the White elderly who were involved in the community showed a significantly higher self-acceptance score. Similar past results have been in mixed forms. For instance, a similar study was linked to ethnicity bias and suggested that income, education and gender factors might have served as mediating factors (McClintock et al., 2016; Phillipson, 2015). A study in America showed that place of living was associated with psychological wellbeing among the elderly. However, such association can be mediated by place of attachment and other environmental factors.

It is also good to note that some previous findings negate the current finding. They argued that in most racially or ethnically divided societies, the elderly that belong to the minority racial or ethnic groups are often subjectively constructed as problematic 'others' which often negatively affect their wellbeing, particularly psychological wellbeing (Torres, 2015; Zubair & Victor, 2015). In other words, systemic and institutional humiliation of the minority elderly in racially divided societies leaves a deep 'rift' in their socio-psychological domain, which in most instances, results in the loss of purposefulness, sense of usefulness and importance.

Finally, some studies have found that physical activity relates with psychological wellbeing. The current study revealed that higher scores in physical activity have the tendencies to significantly increase the levels and dimensions of psychological wellbeing (that is, autonomy, environmental mastery, purpose in life and self-acceptance) among both groups. Many kinds of research have proven that low physical activity could deteriorate the wellbeing of the elderly (Frisoli, 2016; Kolbe-Alexander et al., 2006; Shozi, 2018). This provides an opportunity for improvement in recreational activities to enhance the psychological wellbeing among the elderly, especially the Black population having scored the lowest scores.

CONCLUSIONS

This study has examined the socio-contextual factors as determinants of psychological wellbeing among selected aged in South Africa using a moderating approach. The results revealed a statistical relationship between physical activity and purpose of life. There was a significant statistical interaction between ethic affiliation and place of living on the focused dimensions of psychological wellbeing. However, community involvement could moderate the effect of physical activity on psychological wellbeing. Community involvement was significant on environmental mastery and self-acceptance among the two groups. It was also shown that the White elderly revealed higher levels of psychological wellbeing than the isiXhosa elderly. Moreover, higher scores in physical activity did significantly increase the levels of psychological wellbeing (autonomy, environmental mastery, purpose in life, and self-acceptance) among both groups. It is therefore recommended that recreational and physical activities be encouraged among the elderly residing in both private and retirement homes, especially among the Black population. However, those participating in physical activity must be ascertained to be physically and cognitively fit to do so.

Also, there is the need for the advocacy of social relationship and peer-to-peer support model at the Municipality level. These models have been used successfully to aid Quality of Life (QoL) of the elderly in previous studies (Chang et al., 2014; Geffen et al., 2019). Furthermore, volunteer visits and community involvement are important avenues to improve the psychological wellbeing of the elderly. A study (Geffen et al., 2019) has found this method to be effective in boosting the mental healthiness and general wellbeing of the aged. In addition, the government may need to formalise structures to support the psychological wellbeing of the elderly in South Africa, particularly among the Black population. Social workers and psychologists should form an alliance in the development and management of elderly's psychological wellbeing at all levels of government.

Limitations of the Study

Although the population of study for this particular study was adequate for a quantitative study of this nature, subsequent studies may involve all population groups in South Africa, the Black, Whites and Coloured and other ethnic groups.

The response bias by the respondents was difficult to control in a self-report survey like this.

ACKNOWLEDGEMENT

We appreciate the entire elders of Buffalo city in South Africa who took their time to participate in this study. The study was privately funded.

REFERENCES

- Asoglu, M. R., Selcuk, C., Cam, C., Cogendez, E., & Karateke, A. (2014). Effects of urinary incontinence subtypes on women's Quality of Life (including sexual life and psychosocial state). European Journal of Obstetrics and Gynecology and Reproductive Biology, 176, 187-190. https://doi.org/10.1016/j.ejogrb.2014.02.008
- Bai, X. (2016). Alignment or struggle? Exploring socio-demographic correlates of individual modernity in Chinese older people. Ageing and Society, 36(1), 133-159. https://doi.org/10.1017/ S0144686X14001020
- Chang, P., Wray, L., & Lin, Y. (2014). Social relationships, leisure activity, and health in older adults. American Psychological Association, 33(6), 516-523. https://doi.org/10.1037/ hea0000051
- Cutler, D. M., Ghosh, K., & Landrum, M. B. (2013). Evidence for significant compression of morbidity in the elderly U.S. Population. In D. A. Wise (Ed.), *Discoveries in the Economics of Aging* (pp. 21-30). University of Chicago Press. https://doi.org/10.3386/w19268
- Dong, X., & Zhang, M. (2015). The prevalence of neurological symptoms among Chinese older

- adults in the greater Chicago area. *AIMS Medical Science*, 2(1), 35-50. https://doi.org/10.3934/medsci.2015.1.35
- Fagerström, J., & Aartsen, M. (2013). Successful ageing and its relationship to contemporary norms. A critical look at the call to "age well". *Recherches sociologiques et anthropologiques*, 44(1), 51-73. https://doi.org/10.4000/rsa.918
- Ferrand, C., Martinent, G., & Durmaza, N. (2014). Psychological need satisfaction and well-being in adults aged 80 years and older living in residential homes: Using a self-determination theory perspective. *Journal of Aging Studies*, 30, 104-111. https://doi.org/10.1016/j.jaging.2014.04.004
- Freedman, V. A., Brenda, C., & Spillman, P. M. (2013). Trends in late-life activity limitations in the United States: An update from five national surveys. *Demography*, *50*, 661-671. https://doi.org/10.1007/s13524-012-0167-z
- Frisoli, A. (2016). The South African elderly: Neglect, social contribution and the HIV/AIDS Epidemic. CUNY Academic Works.
- Gary, W., Evans, E. K., & Paul, E. (2002). Housing quality and psychological well-being among the elderly population. *The Journals of Gerontology*, *57*(4), 381-383. https://doi.org/10.1093/geronb/57.4.P381
- Geffen, L. N., Kelly, G., Morris, J. N., & Howard, E. P. (2019). Peer-to-peer support model to improve quality of life among highly vulnerable, low-income older adults in Cape Town, South Africa. *BMC Geriatrics*, 19, Article 279. https://doi.org/10.1186/s12877-019-1310-0
- Gerber, A. M., Botes, R., Mostert, A., Vorster, A., & Buskens, E. (2016). A cohort study of elderly people in Bloemfontein, South Africa, to determine health-related quality of life and functional abilities. *South African Medical Journal*, 106(3), 298-301. https://doi.org/10.7196/samj.2016.v106i3.10171

- González-Celis, A. L., Chávez-Becerra, M., Maldonado-Saucedo, M., Vidaña-Gaytán, M. E., & Magallanes-Rodríguez, A. G. (2016). Purpose in life and personal growth: Predictors of Quality of Life in Mexican elders. *Psychology*, 7, 714-720. https://doi.org/10.4236/psych.2016.75074
- Granborn, M., Himmelsbach, I., Haak, M., Löfqvist, C., Oswald, F., & Iwarsson, S. (2014). Residential normalcy and environmental experiences of very old people: Changes in residential reasoning over time. *Journal of Ageing Studies*, 29, 9-19. https://doi.org/10.1016/j.jaging.2013.12.005
- Gurak, D., & Kritz, M. (2013). Elderly immigrants in rural America: Trends and characteristics. In N. Glasgow., & E. H. Berry (Eds.), *Rural Aging in the 21st Century* (pp. 331-352). Springer. https://doi.org/10.1007/978-94-007-5567-3 18
- Hashim, Y. A. (2011). Determining sufficiency of sample size in management survey research activities. *International Journal of Organisational Management & Entrepreneurship Development,* 6(1), 119-130.
- Jimmefors, A., Garcia, D., Rosenberg, P., Fariba, M., Adrianson, L., & Archer, T. (2014). Locomotion (empowering) and assessment (disempowering) self-regulatory dimensions as a function of affective profile in high school students. *International Journal of School and Cognitive Psychology, 2*(1), Article 103. https://www.researchgate.net/publication/261994080_Locomotion_Empowering_and_Assessment_Disempowering_Self-Regulatory_Dimensions_as_a_Function_of_Affective_Profile_in_High_School_Students
- Kolbe-Alexander, T. L., Lambert, E. V., Harkins, J. B., & Ekelund, U. (2006). Comparison of two methods of measuring PA in South African older adults. *Journal of Aging and Physical Activities*, 14(1), 99-114. https://doi.org/10.1123/japa.14.1.98

- Kruyen, P. M. (2012). Using short tests and questionnaires for making decisions about individuals: When is short too short? [Doctoral dissertation, Tilburg University]. Ridderprint.
- Kwon, I., Bharmal, N., Choi, S., Araiza, D., Moore, M., Trejo, L., & Sarkisian, C. A. (2016). Older ethnic minority women's perceptions of stroke prevention and walking. *Women's Health Issues*, 26(1), 80-86. https://doi.org/10.1016/j. whi.2015.08.003
- McClintock, M. K., Dale, W., Laumann, E. O., & Waite, L. (2016). Empirical redefinition of comprehensive health and well-being in the older adults of the United States. *Proceedings of the National Academy of Sciences May 2016, 113*(22), E3071-E3080. https://doi.org/10.1073/pnas.1514968113
- Menkin, J. A., Robles, T. F., Gruenewald, T. L., Tanner, E. K., & Seeman, T. E. (2017). Positive expectations regarding aging linked to more new friends in later life. *The Journals of Gerontology Series B: Psychological Sciences and Social Sciences*, 72, 771-781. https://doi.org/10.1093/ geronb/gbv118
- Pangman, V. C., Sloan, J., & Guse, L. (2000). An examination of psychometric properties of the mini-mental status examination and the standardized mini-mental status examination: Implications for clinical practice. *Applied Nursing Research*, 13(4), 209-213. https://doi. org/10.1053/apnr.2000.9231
- Phillipson, C. (2015). Placing ethnicity at the centre of studies of later life: Theoretical perspectives and empirical challenges. *Ageing and Society*, 35(5), 917-934. https://doi.org/10.1017/s0144686x14001032
- Ryff, C. D., Keyes, M., & Corey. L. (1995). The structure of psychological well-being revisited. *Journal of Personality and Social Psychology*, 69(4), 719-727. https://doi.org/10.1037/0022-3514.69.4.719

- Ryff, C. D., Keyes, C. L., & Hughes, D. L. (2003). Status inequalities, perceived discrimination, and eudaimonic well-being: Do the challenges of minority life hone purpose and growth? *Journal of Health and Social Behavior*, 44(3), 275-291. https://doi.org/10.2307/1519779
- Sarkisian, C. A., Shunkwiler, S. M., Aguilar, I., & Moore, A. A. (2006). Ethnic differences in expectations for aging among older adults. *Journal of the American Geriatrics Society*, 54, 1277-1282. https://doi.org/10.1111/j.1532-5415.2006.00834.x
- Schoenborn, C., Adams, P., & Peregoy, J. (2013). Health behaviors of adults: United States, 2008-2010. *Vital Health Statistics*, 10(257), 1-184.
- Shozi, S. (2018). Physical activities, body composition and handgrip strength among South African adults: The PURE study. [Master's dissertation, North-West University]. Boloka Institutional Repository.
- Silverstein, M., & Giarrusso, R. (Eds.). (2013). Kinship and cohort in an aging society: From generation to generation. Johns Hopkins University Press. https://doi.org/10.1017/ S0144686X14001263
- Statistics South Africa. (2011). Census 2011: Profiles of older persons in South Africa. https://www.statssa.gov.za/publications/Report-03-01-60/Report-03-01-602011.pdf
- Statistics South Africa. (2014). Mortality and causes of death in South Africa, 2013: Findings from death notification. https://www.statssa.gov.za/publications/P03093/P030932014.pdf
- Torres, S. (2015). Expanding the gerontological imagination on ethnicity: Conceptual and theoretical perspectives. *Ageing & Society,* 3(5), 935-960. https://doi.org/10.1017/S0144686X14001330

- Washburn, R. A., Smith, K. W., Jette, A. M., & Janney, C. A. (1993). The PA Scale for the Elderly (PASE): Development and evaluation. *Journal* of Clinical Epidemiol, 46(2), 153-162. https:// doi.org/10.1016/0895-4356(93)90053-4
- Zhang, Z., & Chen, W. (2019). A systematic review of the relationship between physical activity and happiness. *Journal of Happiness Studies*, 20, 1305-1322. https://doi.org/10.1007/s10902-018-9976-0
- Zubair, M., & Victor, C. (2015). Exploring gender, age, time and space in research with older Pakistani Muslims in the United Kingdom: Formalised research 'ethics' and performances of the public/private divide in 'the field'. Ageing and Society, 35(5), 961-985. https://doi.org/10.1017/S0144686X14001378



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Consumer Perceived Value of Organic Vegetables: Does Ethnic **Group Matter?**

Ong Choon Hee* and Tan Koh Lin

Azman Hashim International Business School, Universiti Teknologi Malaysia, Johor Bahru, 81310, Malaysia

ABSTRACT

This study examined the role of ethnic groups on factors influencing the perceived value of organic vegetables among consumers in Malaysia. An online survey questionnaire collected 385 responses. Partial least squares-structural equation modeling (PLS-SEM) was used to assess the validity, reliability, hypothesis testing, importance-performance map analysis (IPMA) of the study constructs. Partial least squares-multi-group analysis (PLS-MGA) was employed to examine whether there are significant differences among various ethnic groups. The findings revealed that food safety concerns, health concerns, and trust in organic food claim significantly influenced the consumer perceived value of organic vegetables. This study offers new findings regarding the role of ethnic groups in explaining significant differences among consumers toward the perceived value of organic vegetables. It also provides essential information to the ministry of agriculture, organic farmers, dealers, and retailers in developing marketing strategies and expansion plans to achieve higher household expenditures on organic vegetables.

Keywords: Consumer, ethnic group, food safety, health, organic vegetables, trust, perceived value

ARTICLE INFO

Article history:

Received: 1 September 2020 Accepted: 14 January 2021

Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.21

E-mail addresses: ongchoonhee@gmail.com (Ong Choon Hee) imkohlin@gmail.com (Tan Koh Lin) *Corresponding author

ISSN: 0128-7702 e-ISSN: 2231-8534

INTRODUCTION

In Malaysia, although the daily consumption of vegetable per-capita has steadily increased by 70% from the 1980s (66g) to the 2000s (112g), it is still far below the World Health Organization (WHO) recommended dietary guideline of 240g (Andrew et al., 2014). Despite most Malaysians expressing a positive perceived value of organic vegetables, they do not consume them regularly despite the blooming organic food consumption rate worldwide for the past 20 years (Dettman & Dimitri, 2010). Marketability issues for Malaysian organic vegetables remain as challenges in light of the efforts to promote the consumption of organic vegetables.

According to Voon et al. (2011), the trust in organic food claims is significantly linked to consume organic food owing to the credence nature of it. Consumers are not able to evaluate effectively because the benefits of organic food cannot be observed directly or immediately. Moreover, growing food safety concern is another issue that often influences consumer perceived value of organic vegetables (Hoefkens et al., 2009). Nevertheless, organic vegetables are usually perceived as healthier than conventional vegetables. It is reasonable to believe that consumers are always willing to use health concerns as a reference when choosing organic vegetables (Chen, 2009). Perceived value is the focus of this research because it is related to consumers' attitudes toward, and social acceptance of, organic vegetables. Several studies quote that food safety concern, health concern, and trust in organic food claims as the key factors determining the success or failure of organic food (Hsu et al., 2016; Leong & Paim, 2015; Liang, 2016). Realizing the factors mentioned above, we are interested in investigating these factors in a Malaysian context to predict consumer perceived value of organic vegetables. This topic, however, is still limited from the Malaysian consumers' perspectives. Although some studies have investigated consumers' intention to purchase organic food (Hsu et al., 2016; Janssen, 2018; Kasteridis & Yen, 2012; Niu & Wohlgenant, 2013; Rana & Paul, 2017; Shaharudin et al., 2010), the perceived value among consumers from different ethnic groups (i.e., Malay, Chinese, and Indian) in Malaysia has never been explored in this regard. Hence, this study attempts to bridge the gap by examining the role of ethnic groups on factors influencing consumer perceived value of organic vegetables.

LITERATURE REVIEW AND HYPOTHESIS DEVELOPMENT

Theoretical Foundations

The theory of consumption values (TCV) is a conceptual model proposed by Sheth et al. (1991) which describes and explains consumer choice. It clarifies that consumer choice is underpinned by various consumption values such as functional value, emotional value, conditional value, social value, and epistemic value (Sheth et al., 1991). Functional value describes that consumers decide to use a product based on how it can fulfil their utilitarian needs. However, emotional value affects a consumer's decision in consuming a product because of a product's capability to arouse emotions while using it. Next, conditional value explains the benefits of the products or services that consumers receive when utilizing them in a specific context. Further, social value influences consumer's decisions in buying or using the products or services owing to their association

with other groups of consumers and the products' social image. Finally, epistemic value refers to the consumer's interest in experiencing new products or services that can provide novelty and arouse curiosity. According to Sheth et al. (1991), a specific consumer choice may be influenced by one or several consumption values. A past study by Sweeney and Soutar (2001) used functional value and social value to measure consumer perceived value. However, this research adopts the dimensions of functional value, emotional value, and social value of TCV as fundamentals to establish the conceptual framework. Food safety concern was selected to represent functional value whereas trust in organic food claims acts for emotional value. Besides, health concern refers to the social value dimension of the TCV. Also, the ethnic group is chosen as a moderator in this study based on the social identity theory by Tajfel and Turner (1986). Social identity theory is a theory used to explain inter-ethnic group behaviours based on their beliefs, religion, language, culture, and perceived value. Thus, the theory of consumption values is complemented with the social identity theory to better predict consumer perceived value of organic vegetables in this research context. Based on the theoretical foundations above, the conceptual framework is established (see Figure 1).

Perceived Value

The concept of perceived value refers to the customers' assessment of the merits of a product or service based on what they received and when they used it (Zeithaml,

1988). Perceived value is a unidimensional construct that can be measured by a set of criteria to evaluate a consumer's perception of value toward a product (Agarwal & Teas, 2002). It influences consumer attitudes and predicts intention (Petrick & Backman, 2002). Consumer perceived value of organic vegetables is the consumers' evaluation of the benefits they will receive from consuming organic vegetables (Fiandari et al., 2019). According to Dagevos and Ophem (2013), the perceived value contained in food may comprise product, process, location, and emotional values. It is the assessment results made by the consumers pertaining to the benefits they obtained when consuming the food (Sirdeshmukh et al., 2002). Similarly, the means-end theory explains that consumers' perceived value is related to their behavior when individuals consume a product or service to fulfill their desired end states (Gutman, 1982). However, Zeithaml (1988) suggested that the establishment of value perceptions among consumers should include contextual or situational factors. Following Zeithaml's (1988) recommendation, this study introduces an ethnic group as a contextual factor to be tested in the research model. The theory of consumption value developed by Sweeney et al. (1996) was used as a basis to select the factors influencing consumer perceived value of organic vegetables. Dimensions of the consumption values such as functional (food safety concern), social (health concern), and emotional (trust in organic food claims) were selected as the predictor constructs of the perceived value of organic vegetables.

Food Safety Concern

In food-related research, the word "safe" is typically regarded as one of the factors driving consumers towards consuming foods. Safe food is a product that consumers can eat without fear of becoming ill (Johar et al., 2020). Vegetable safety is defined as the degree of consumers' worry about pesticide residues, additives, or chemicals added to vegetables that may jeopardize the food quality (Hsu et al., 2016). An organic vegetable is perceived not only as having a high value, but it is also considered as safe food as a result of organic farming practice (Yee & San, 2011). Food safety concern has received more and more attention in developing countries like Malaysia. Most Malaysian consumers perceive that organic vegetables are less likely to contain harmful substances than conventional vegetables (Michaelidou & Hassan, 2008). In a review by Shaharudin et al. (2010), food safety is related to the perceived value of organic food. It affects the functional and emotional dimensions of the perceived value when consumers make their choices toward organic food (Curvelo et al., 2019). Further, food safety is a function of belief that gives consumers a positive perception when evaluating the benefits of organic food. Hsu et al. (2016) found that consumers paid more attention to food safety when it came to the use of chemical additives and pesticides in the processing of vegetables. Those manufacturers that provide complete food safety information to the consumers will undoubtedly increase their perceived values of organic vegetables (Hsu et al., 2019). Thus, consumers who are concerned about

food safety perceived greater benefits of organic vegetables rather than conventional vegetables. Previous researchers, such as Hsu et al. (2016, 2019), have consistently found a positive link between food safety concerns and the consumer perceived value of organic vegetables. Based on the above explanation, it is hypothesized that:

H1: Food safety concern positively influences consumer perceived value of organic vegetables.

Health Concern

The health concern is defined as the awareness to link the consumption of nutrients with the results related to health (Sapp, 1997). Consuming organic vegetables is recognized as one of the most critical factors in preventing the development of chronic diseases (Ferrao et al., 2018). In recent times, consumers pay more attention to the health benefits of organic food to achieve a healthy diet. Health concern has a strong effect on consumer perceived value of organic vegetables when it comes to particular circumstances where consumers are having an illness, pregnancy, and other diseases (Richter, 2005). Consumers believe that organically grown vegetables provide substantial health benefits than conventional cultivation (Chen, 2009). According to Sia et al. (2013), organic vegetables have higher nutritional values and contain more significant benefits in preventing illness. Similarly, Ferrao et al. (2018) concurred that those consumers who desired a healthy diet and health-oriented lifestyle commonly perceived organic vegetables as having higher contents of nutrients. They are extremely aware of the nutritional issues when selecting vegetables. Nutrient contents are the primary element for a health concern that results in consumers having a positive perceived value of organic vegetables. According to Al Mamun et al. (2020), the young Malaysian population is increasingly interested in having a healthy diet and getting involved in organic food consumption. Therefore, it is hypothesized that:

H2: Health concern positively influences consumer perceived value of organic vegetables.

Trust in Organic Food Claims

Trust in organic food claims is understood as belief, expectation, and feeling that consumers have about the product due to its credence nature (Voon et al., 2011). Credence good is a product that is difficult for the consumers to value after purchase or even after consumption. Consequently, consumers may rely on product information, labeling, brands, advertisements, certifications, and the reputation of the retailers. If they believe the retailer is highly committed to human health and environmental concerns, their trust in the retailer will increase. When trust is applied to organic vegetables, indicators like labels and certification logos tagged on the products will contribute to the establishment of trust (Liang, 2016). Further, organic certification assures vegetables are grown without using chemicals and pesticides (Barrett et al., 2002). Popular organic certification and labeling will create more trust in consumer

perception (Nguyen et al., 2020). Baker and Ozaki (2008) mentioned that consumers generally trusted popular brands of organic food because the risk was much lower than unpopular ones. Lin (2009) also agreed that consumers might lose their trust and refused to purchase organic products if the producers were accused of polluting the environment. When consumers are in a situation where there exists insufficient relevant information, trust in organic food claims could reduce perceived risk for all the parties involved (Voon et al., 2011). Moreover, observable attributes of organic food serve as measures of trustworthiness and build positive perceived value (Sa'ari & Koe, 2014). In a nutshell, the greater the trust in organic food claims, the higher the sense of the perceived value of organic products (Atkinson & Rosenthal, 2014). Hence, it is hypothesized that:

H3: Trust in organic food claims positively influences consumer perceived value of organic vegetables.

Ethnic Group

An ethnic group is operationally defined as a group of people who have similar beliefs, religion, language, culture, values, and behaviors within a nation. An ethnic group is also referred to as race in the population of this study. The way consumers perceived organic food depends on various demographic factors such as gender, age, level of income, education, and presence of children in the household (Omar et al., 2016; Vega-Zamora et al., 2020). Although research investigating the

demand for vegetables among households is common (Kasteridis & Yen, 2012; Niu & Wohlgenant, 2013), very few have studied the role of an ethnic group in perceiving the values of organic vegetables. In Malaysia, there are three major ethnic groups in the country; namely, Malay, Chinese, and Indian. The perceived value of organic vegetables may vary among the major ethnic groups. According to Andrew et al. (2014), other ethnic groups spend more on fresh vegetables and preserved vegetables than Malays. However, the study did not indicate the perceptions of the ethnic groups as regards organic vegetables. Different ethnic groups may have a dissimilar overall perceived value of organic vegetables owing to their beliefs and culture. Therefore, it is hypothesized that:

H4a: The influence of food safety concern on consumer perceived value of organic vegetables varies across different ethnic groups.

H4b: The influence of health concern on consumer perceived value of organic vegetables varies across different ethnic groups.

H4c: The influence of trust on organic food claims on consumer perceived value of organic vegetables varies across different ethnic groups.

Conceptual Framework

The above literature review and hypothesis development establish the following conceptual framework (see Figure 1) that guides this study.

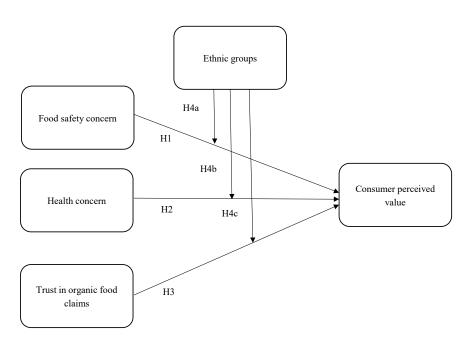


Figure 1. Conceptual framework

METHOD

Population and Sampling Method

The target population of this study comprised consumers who live in Malaysia. According to the Department of Statistics Malaysia (2019), approximately 32.58 million people live in Malaysia. According to Cohen (1992), the minimum required sample size for a research model of three arrows pointing at a construct is 59. The number of samples is associated with a significance level of 5%, 80% of statistical power, and a minimum R² value of .25. In the present study, the researcher used the judgmental sampling method to obtain the samples from the city of Johor Bahru, Malaysia. Judgmental sampling is purposive sampling where it allows researchers to approach their target population of interest directly. In this research, the researchers select the respondents where they fit the criteria of consumers or potential consumers of organic vegetables. The reason for selecting respondents who live in Johor Bahru is because it is a major city in the southern region of Malaysia and it is the most urbanized city in the country (Department of Statistics Malaysia, 2019).

Measures

Measures for the study constructs were adapted and modified from previous studies with strong reliability coefficients. Details of the steps are presented in Appendix 1. A 5-point Likert scale was utilized accordingly for all the measures.

Data Collection Procedure

This cross-sectional research used an online survey questionnaire to collect data from the respondents. Online survey forms were sent to the respondents, who were Johor Bahru residents, via emails and social media networks. A total of 385 responses were collected and prepared for subsequent data analysis.

Data Analysis

Partial least squares-structural equation modeling (PLS-SEM) was used to assess the validity, reliability, hypothesis testing, importance-performance map analysis (IPMA) of the study constructs. Partial least squares-multi-group analysis (PLS-MGA) was employed to examine whether there are significant differences among various ethnic groups.

RESULTS

Profile of the Respondents

Table 1 shows the profile of the respondents. There were 173 male respondents and 212 female respondents. The majority of the respondents had a Bachelor's degree (60.8%), followed by a Diploma/Certificate (16.4%), Master's (12.7%), high school certificate (9.6%), and Doctoral degree (0.5%). In terms of ethnic group, 35.6% of the respondents were Malays, 47.8% of the respondents were Chinese, and the rest of the respondents were Indians (16.6%). Most of the respondents were between 25 and 54 years (83.6%).

Table 1

Profile of the respondents

Description (n=385)	Frequency	Percentage
Gender		
Male	173	44.9
Female	212	55.1
Age		
Below 24	29	7.5
25-54	322	83.6
55-64	27	7
Above 64	7	1.8
Education		
High School	37	9.6
Diploma/ Certificate	63	16.4
Bachelor's Degree	234	60.8
Master's Degree	49	12.7
Doctoral Degree	2	0.5
Ethnic group		
Malay	137	35.6
Chinese	184	47.8
Indian	64	16.6

Measurement Model Assessment

This study employs the two-step approach to assess the measurement and structural models. First, we examined the measurement model by assessing indicator reliability, composite reliability, convergent and discriminant validity. The values for Cronbach's Alpha and composite reliability of all the constructs were above the recommended value of .7; thus, they were considered reliable. Next, convergent validity was evaluated by examining the outer loadings and values of the average variance extracted (AVE). Those indicators

with outer loadings lesser than .7 were removed from the list of indicators. Two of the indicators (HC3, FSC1) were discarded during the analysis. Subsequently, other outer loadings for all the constructs were found to exceed .7 and the values of AVEs were above .5, indicating the establishment of convergent validity (Hair Jr. et al., 2017). Results of the measurement model are shown in Table 2.

Next, to assess the discriminant validity of the constructs, loading, and crossloadings with Fornell–Larcker criterion were used in the analysis (Hair Jr. et al., 2017). The loadings for all the study constructs were well above all of its loadings on other constructs, thus showing evidence of discriminant validity (Fornell & Larcker, 1981) (see Table 3). Likewise, all the

diagonal values (square root of AVEs) were found greater than the off-diagonal values in Table 4. Therefore, discriminant validity was established.

Table 2
Results of the measurement model

Constructs	Indicators	Loadings	Cronbach's Alpha	Composite Reliability	AVE
CPV	CPV1	0.881	.930	0.947	0.781
	CPV2	0.861			
	CPV3	0.885			
	CPV4	0.903			
	CPV5	0.848			
HC	HC1	0.871	.904	0.932	0.774
	HC2	0.889			
	HC4	0.886			
	HC5	0.872			
FSC	FSC2	0.704	.849	0.891	0.621
	FSC3	0.771			
	FSC4	0.777			
	FSC5	0.817			
	FSC6	0.862			
T	T1	0.854	.922	0.945	0.811
	T2	0.905			
	Т3	0.921			
	T4	0.920			

Notes: CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Table 3

Loading and cross-loadings

Indicators	CPV	НС	FSC	T
CPV1	0.889	0.326	0.356	0.322
CPV2	0.891	0.285	0.422	0.400
CPV3	0.879	0.427	0.431	0.408
CPV4	0.842	0.374	0.387	0.323
CPV5	0.915	0.381	0.438	0.335
HC1	0.440	0.871	0.413	0.370
HC2	0.327	0.889	0.447	0.343
HC4	0.327	0.886	0.423	0.319
HC5	0.314	0.872	0.377	0.344
FSC2	0.275	0.346	0.704	0.150
FSC3	0.422	0.366	0.771	0.092
FSC4	0.254	0.334	0.777	0.118
FSC5	0.353	0.335	0.817	0.209
FSC6	0.447	0.455	0.862	0.238
T1	0.325	0.342	0.209	0.854
T2	0.391	0.448	0.309	0.905
T3	0.354	0.332	0.118	0.921
T4	0.390	0.294	0.113	0.920

Notes: CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Table 4

Discriminant validity – Fornell-Larker criterion

Constructs	CPV	DHC	FSC	T
CPV	0.884			
HC	0.409	0.880		
FSC	0.462	0.472	0.788	
T	0.407	0.394	0.209	0.900

Notes: CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Descriptive Analysis

Mean and standard deviation was used to analyze the response level of respondents. A five-point Likert scale was employed to measure the level of agreement among the respondents. If the score is less than 2.33, it is categorized as low. If the score is within the range of 2.33 to 3.66, it is classified

as moderate whereas if it is above 3.66, it is considered high. Table 5 shows that food safety concern has the highest mean value (M = 4.272) among the constructs. It denotes that the respondents were having high levels of food safety awareness concerning organic vegetables. Next, the respondents' perceived value of organic

vegetables was high (M = 3.909) as well, indicating that their understanding of the benefits of consuming organic vegetables is high. However, both constructs of health concern (M = 3.075) and trust in organic food claims (3.392) were reported to have moderate levels as shown in Table 5.

Table 5

Descriptive statistics

Constructs	N	Min	Max	Mean	Standard Deviation
CPV	385	1.00	5.00	3.909	0.799
НС	385	1.00	5.00	3.075	0.925
FSC	385	2.20	5.00	4.272	0.613
T	385	1.00	5.00	3.392	0.861

Notes: CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Collinearity Assessment

Collinearity assessment is crucial to ensure that the path coefficients are not biased before structural model assessment. Following the variance inflation factor (VIF) guidelines, it is acceptable if the VIF values for the predictor constructs are lower than 5, and the tolerance values stay above 0.2. Table 6 indicates that all VIF values of the predictor constructs were below 5, and the tolerance levels were above 0.2. Thus, the results provide evidence of non-collinearity.

Table 6

Collinearity assessment

Predictor Constructs	Tolerance	VIF	Target Construct
НС	0.686	1.458	CPV
FSC	0.776	1.288	
T	0.845	1.184	

Notes: VIF: Variance inflation factor; CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Structural Model Assessment

The research model was tested with 385 cases with subsamples of 5000 to estimate the significance of path coefficients by using a bootstrapping procedure (Preacher & Hayes, 2008). According to the analysis results, the predictor constructs can explain 32.8% ($R^2 = .328$) of the total variance in consumer perceived value, which is below

moderate in this case (Hair Jr. et al., 2017). Nevertheless, the predictive relevance of the model is above zero ($Q^2 = .239$), indicating that the research model has the predictive ability (Hair Jr. et al., 2017). The hypothesis testing results show that all the path coefficients are significant at the level of 1% (see Table 7), thus supporting H1, H2, and H3.

Table 7
Structural model assessment and hypothesis testing

Hypothesis	Path	β	STDEV	t-statistics	Decision
H1	$FSC \rightarrow CPV$.339***	0.049	6.865	Supported
H2	HC → СРV	.137***	0.052	2.615	Supported
Н3	$T \rightarrow CPV$.283***	0.047	6.042	Supported

Notes: ***t-value: 2.58 (1%); STDEV: Standard Deviation; CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

Partial Least Squares-Multiple Group Analysis (PLS-MGA)

This research applies PLS-MGA to examine the moderating role of an ethnic group in the research model. According to the guidelines provided by Henseler et al. (2009), if the p-value of the path coefficients is smaller than .05 or greater than .95, it indicates that there is a significant difference between the groups. Table 8 shows the path coefficients (HC \rightarrow CPV) for Indian vs. Malay and Indian vs. Chinese are significant at the 5% error level, where the p-value is smaller than .05. Hence, the results revealed that the Indian community is significantly higher than Malay and Chinese in perceiving organic

vegetables in the aspect of diet-health concern; thus, H4b is accepted. However, the results for other paths (FSC→CPV) and (T→CPV) did not indicate any significant difference among the ethnic groups. Therefore, H4a and H4c are not accepted.

Importance-Performance Map Analysis (IPMA)

The IPMA results help decision-makers prioritize areas for managerial actions. Figure 2 schematically displays the IPMA results with consumer perceived value as the target construct. Food safety concern has the highest importance level at 0.434 and it is treated as the most critical construct for managerial actions.

Table 8

Partial Least Squares-Multi-Group Analysis (PLS-MGA) results for the ethnic groups

Path	Ethnic Group (G1 vs G2)	Ethnic Group (G3 vs G1)	Ethnic Group (G3 vs G2)
FSC → CPV	0.712	0.835	0.940
HC → CPV	0.522	0.027*	0.026*
$T \rightarrow CPV$	0.653	0.107	0.156

Notes: G1 (Malay), G2 (Chinese), G3 (Indian). *significant differences between groups at 5% error level (p<.05 or p>.95), CPV: Consumer perceived value; HC: Health concern; FSC: Food safety concern; T: Trust in organic food claims.

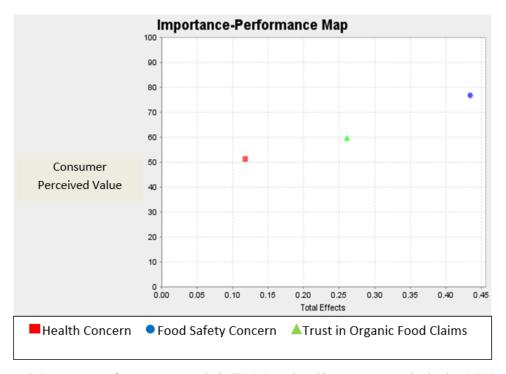


Figure 2. Importance-performance map analysis (IPMA) results with consumer perceived value (CPV) as the target construct

DISCUSSION

Referring to the statistical results of the study, all predictor constructs significantly influenced the consumer perceived value of organic vegetables. These results further validate H1, H2, and H3. The path of FSC \rightarrow CPV (β =.339, p<.01) specifies the significant positive influence of food

safety concern on consumer perceived value. This finding is in line with the study of Chandran et al. (2016) where the researchers mentioned that food safety concern had the most significant influence on the consumer perceived value of organic food. In Malaysia, consumers thought organic vegetables are safer to consume because they are chemical-free compared to conventional vegetables. However, for vegetables to be certified organic, the process of production must conform to the Malaysian Standard MS 1529: 2015 titled "Plant-based organically produced foods-requirements for production, processing, handling, labeling, and marketing." (Department of Standards Malaysia, 2015). This certification standard provides confidence and trust in food safety where the production and processing of organic vegetables must not use any mineral fertilizers, pesticides, and pollutants (Hsu et al., 2016). Further, Lian and Yoong (2019) were of the same opinion that food safety information such as the organic certification logo played a crucial role in assuring consumers of food safety.

Next, the second hypothesis testing result revealed that health concern (β =.137, p<.01) significantly influences the consumer perceived value of organic vegetables. The rationale behind this finding is that health concern has become a salient determining factor for consuming organic food (Chen, 2009). The increasing growth of health concerns in Malaysia has increased the demand for organic vegetables. This is evident when Malaysia has recorded the highest obesity and overweight rate among

Asian countries, with male and female having these abnormalities constituted 64% and 65% of the population (WHO, 2019). Obesity may result in major illnesses, such as heart disease, hypertension, and diabetes. Additionally, the increasing affluence of the population has also provided consumers with more alternatives in consuming healthier food such as organic vegetables (Ling et al., 2018). This finding is in line with the past studies of Legrand and Sloan (2006), Lohr (2011), and Nasution et al. (2011) where they mentioned health needs were factors that motivated consumers to perceive the positive value of organic food.

Further, the third hypothesis testing result showed that trust in organic food claims (β =.283, p<.01) significantly influences the perceived value of organic vegetables. Although researchers claimed that food safety and health concerns are central to the existing consumer perceived values (Chen, 2009; Miller & Cassady, 2012), signaling theory explains that consumers would choose to trust a product if signals exist externally on the product. In the case of organic vegetables, the certification label, place of origin, and reputable brands served as signals (Roe & Sheldon, 2007). Similarly, Baker and Ozaki (2008), Essoussi and Zahaf (2009), and Lin (2009) asserted that consumer trust in organic food was built on the certification process, popular brands, and reputation of producers. However, confidence in organic vegetables is difficult to ascertain. This is due to the absence of visible characteristics that can differentiate organic vegetables

from non-organic vegetables. Without proper labeling and tagging on the organic products, it may lead the consumers to have a similar perception toward organic and non-organic vegetables as they are alike in appearance.

When investigating significant differences among the ethnic groups, the effect of a specific ethnic group on the likelihood of consuming organic vegetables yields different results. The Indian community was found to be significantly concerned as regards health than Malay and Chinese (see Table 8). This result explains that although Indian merely constitutes around 7% of the total population in Malaysia, they are more likely to perceive positive values of organic vegetables owing to health concern perception. As mentioned by Mohd-Any et al. (2014), culture is the key element that shapes people's beliefs, values, and eating habits of different ethnic groups in Malaysia. Culture may be a possible factor behind vegetable consumption because of dietary principles in the Indian community. Generally, Indians refrain from eating beef and adopt strict vegetarian diets in their daily meals.

CONCLUSION

This research has successfully examined the role of ethnic groups on consumer perceived value of organic vegetables in Malaysia. It highlights the significant differences among various ethnic groups on the relationship between the determining factors and the perceived value of organic vegetables. Practically, this study pinpoints food safety

concern as the prominent construct for managerial actions. It suggests that focusing on the significant ethnic group and food safety concern should be able to increase consumer perceived value of organic vegetables.

THEORETICAL IMPLICATIONS

This study attempts to examine the role of ethnic groups (i.e., Malay, Chinese, and Indian) in understanding different patterns of the perceived value of organic vegetables among the three major ethnic groups in Malaysia. The PLS-MGA results revealed that the Indian community had a higher level of health concern than the Malay and Chinese, which in turn affected their perceived value of organic vegetables. These results correspond to a study by Andrew et al. (2014) where they explained when nutritional education was progressing, public perceptions on healthy lifestyles were also on the rise. The factor of health concern accepts the fact that being healthy needs the blend of food contents and nutrition (Mohd-Any et al., 2014). Hence, this study extends the theory of consumption value by introducing a contextual factor of an ethnic group in the research framework to better understand the perceived value of organic vegetables among different ethnic consumers in a multiracial country.

MANAGERIAL AND POLICY IMPLICATIONS

According to the findings of IPMA, food safety concern has the highest importance level at 0.434. Managerial actions should

emphasize food safety concerns in this aspect. The agricultural ministry of Malaysia should prioritize food safety practices and promote food safety assurance for organic vegetables by ensuring the certification process is strictly following the certification standard. Regular training should enhance knowledge of food safety among the producers. Other related parties (i.e., training providers, certification consultants) that are involved in the process of organic certification must be accredited by the Malaysian department of agriculture. The Malaysian organic logo (myOrganic) must be made known to the consumers via nationwide campaigns, social media networks, newspapers, and television to build greater food safety awareness on organic food (Hsu et al., 2016). Further, strict enforcement of legislation related to organic food production should be in place to develop consumer trust and positive perceived values of organic vegetables (Lian & Yoong, 2019). The department of agriculture, organic farmers, dealers, and retailers are required to understand the effects of food safety concerns if they were to gain more positive perceived values from the consumers.

Besides, producers of organic vegetables could use the findings of this research to strategize their business plan. For example, a company should emphasize food safety when promoting the benefits of organic vegetables via all possible advertising channels. Moreover, the findings of this study also reveal the significant role of the ethnic group, which affects consumer perceived value of organic vegetables.

Therefore, in the aspect of marketing implications, market penetration strategies should focus on offering consumers in-depth information regarding the benefits of organic vegetables according to the specific ethnic groups' concerns and perceived values. In this regard, organic vegetable producers can divide their target market into specific cohorts based on ethnic groups. This will allow their businesses to precisely approach a group of consumers with specific needs and wants. In the long run, this strategy benefits the companies because they can allocate their resources effectively to gain a competitive advantage. Although economic research suggests that Asian households are less likely to buy organic vegetables (Dettmann & Dimitri, 2010), however, with this effort, will eventually result in greater expenditures on organic vegetables among Asians and Malaysians in particular.

LIMITATIONS AND FUTURE RESEARCH

This study has some limitations that need to be addressed. First, this study selected only a major city to conduct data collection. The results obtained may not generalize to the entire population. Future research is proposed to include larger cities in the country and increase the sample size and number of responses collected. Second, the predictor constructs used in this study are not comprehensive; it is suggested that future research should include more relevant predictors, such as price and quality to increase the predictive ability of the research model. Third, we only selected three major

ethnic groups in Malaysia for this research. Future studies may consider including other ethnic minorities in the country to produce a more comprehensive report of the study.

ACKNOWLEDGEMENTS

The authors wish to thank the Malaysian Ministry of Higher Education and Universiti Teknologi Malaysia (GUP Tier 2: 15J99) for providing financial support to publish this paper.

REFERENCES

- Agarwal, S., & Teas, R. K. (2002). Crossnational applicability of a perceived quality model. *Journal of Product and Brand Management*, 11(4-5), 213-236. https://doi. org/10.1108/10610420210435425
- Al Mamun, A., Hayat, N., & Zainol, N. R. (2020). Healthy eating determinants: A study among Malaysian young adults. *Foods 2020, 9*(974), 1-18. https://doi:10.3390/foods9080974
- Andrew, K. G. T., Steven, T. Y., Hasan, A. R., & Muhamad, K. (2014). Household expenditures on vegetables in Malaysia. *Journal of Agricultural and Applied Economics*, 46(4), 615-634. https://doi.org/10.1017/s1074070800029138
- Atkinson, L., & Rosenthal, S. (2014). Signaling the green sell: The influence of eco-label source, argument specificity, and product involvement on consumer trust. *Journal of Advertising*, 43(1), 33-45. https://doi.org/10.1080/00913367.2013 .834803
- Baker, J. P., & Ozaki, R. (2008). Pro-environmental products: Marketing influence on consumer purchase decision. *Journal of Consumer Marketing*, 25(5), 281-293. https://doi. org/10.1108/07363760810890516

- Barrett, H. R., Browne, A. W., Harris, P. J. C., & Cadoret, K. (2002). Organic certification and the UK market: Organic imports from developing countries. *Food Policy*, 27(4), 301-318. https://doi.org/10.1016/s0306-9192(02)00036-2
- Chandran, S., Razali, Z., & Santhirasegaram, V. (2016). A review on organic food production in Malaysia. *Horticulturae*, 2(3), 1-5. https://doi.org/10.3390/horticulturae2030012
- Chen, M. F. (2009). Attitude toward organic foods among Taiwanese as related to health consciousness, environmental attitudes, and the mediating effects of a healthy lifestyle. *British Food Journal*, 111(2), 165-178. https://doi.org/10.1108/00070700910931986
- Cohen, J. (1992). A power primer. *Psychological Bulletin*, 112(1), 155-159. https://doi.org/10.1037/0033-2909.112.1.155
- Curvelo, I., Watanabe, E., & Alfinito, S. (2019).
 Purchase intention of organic food under the influence of attributes, consumer trust and perceived value. *Revista de Gestão*, 26(3), 198-211. https://doi.org/10.1108/rege-01-2018-0010
- Dagevos, H., & Ophem, V.J. (2013). Food consumption value: Developing a consumer-centred concept of value in the field of food. *British Food Journal*, 115(10), 1473-1486. https://doi.org/10.1108/bfj-06-2011-0166
- Department of Standards Malaysia. (2015). Plant-based organically produced foods-requirements for production, processing, handling, labelling and marketing (First revision). http://www.doa.gov.my/index.php/pages/view/377
- Department of Statistics Malaysia. (2019). *Malaysia*@ a glance. https://www.dosm.gov.my/v1/index.
 php?r=column/cone&menu_id=dDM2enNvM0
 9oTGtQemZPVzRTWENmZz09
- Dettmann, R. L., & Dimitri, C. (2010). Who's buying organic vegetables? Demographic characteristics of US consumers. *Journal of Food*

- *Products Marketing, 16*(1), 79-91. https://doi. org/10.1080/10454440903415709
- Essoussi, L. H., & Zahaf, M. (2009). Exploring the decision-making process of Canadian organic food consumers motivations and trust issues. *Qualitative Market Research: An International Journal*, 12(4), 443-459. https://doi.org/10.1108/13522750910993347
- Ferrao, A. C., Guine, R. P. F., Correia, P., Ferreira, M., Cardoso, A. P., Duarte, J., & Lima, J. (2018). Perceptions towards a healthy diet among a sample of university people in Portugal. *Nutrition & Food Science*, 48(4), 669-688. https://doi.org/10.1108/nfs-10-2017-0205
- Fiandari, Y. R., Surachman, S., Rohman, F., & Hussein, A. S. (2019). Perceived value dimension in repetitive fish consumption in Indonesia by using an extended theory of planned behavior. British Food Journal, 121(6), 1220-1235. https://doi.org/10.1108/bfj-07-2018-0429
- Fornell, C., & Larcker, D. F. (1981). Structural equation models with unobservable variables and measurement error: Algebra and statistics. *Journal of Marketing Research*, 18(3), 382-388. https://doi.org/10.1177/002224378101800313
- Gutman, J. (1982). A means-end chain model based on consumer categorization processes. *Journal of Marketing*, 46(2), 60-72. https://doi. org/10.1177/002224298204600207
- Ha, N. M., & Dung, N. T. (2017). To study consumers' use of information on food labels in Vietnam. International Review of Management and Marketing, 7(1), 175-182.
- Hair Jr., J. F., Hult, G. T. M., Ringle, C., & Sarstedt, M. (2017). A primer on partial least squares structural equation modelling (PLS-SEM). Sage Publications.
- Henseler, J., Ringle, C. M., & Sinkovics, R. R. (2009). The use of partial least squares path modeling in international marketing. In R.

- R. Sinkovics & P. N. Ghauri (Eds.), *New challenges to international marketing* (Advances in international marketing, Vol. 20). Emerald Group Publishing Limited. https://https://doi.org/10.1108/S1474-7979(2009)0000020014
- Hoefkens, C., Verbeke, W., Aertsens, J., Mondelaers, K., & Van Camp, J. (2009). The nutritional and toxicological value of organic vegetables: Consumer perception versus scientific evidence. *British Food Journal*, 111(10), 1062-1077. https://doi.org/10.1108/00070700920992916
- Hsu, S. Y., Chang, C. C., & Lin, T. T. (2016). An analysis of purchase intentions toward organic food on health consciousness and food safety with/under structural equation modeling. *British Food Journal*, *118*(1), 200-216. https://doi.org/10.1108/bfj-11-2014-0376
- Hsu, S. Y., Chang, C. C., & Lin, T. T. (2019). Triple bottom line model and food safety in organic food and conventional food in affecting perceived value and purchase intentions. *British Food Journal*, 121(2), 333-346. https://doi.org/10.1108/bfj-07-2017-0403
- Janssen, M. (2018). Determinants of organic food purchases: Evidence from household panel data. Food Quality and Preference, 68(1), 19-28. https://doi.org/10.1016/j.foodqual.2018.02.002
- Johar, M. G. M., Yajid, M. S. A., & Shukri, S. M. (2020). Influence of nutrient rich and ecofriendly organic food products on the purchase intentions of Malaysian consumers. *Systematic Reviews in Pharmacy*, 11(1), 791-798.
- Kasteridis, P., & Yen, S. T. (2012). U.S. demand for organic and conventional vegetables: A bayesian censored system approach. *Australian Journal of Agricultural and Resource Economics*, 56(3), 405-425. https://doi.org/10.1111/j.1467-8489.2012.00589.x
- Legrand, W., & Sloam, P. (2006). Customers' preferences to healthy meals. In J. S. Chen (Ed.), *Advances in hospitality and leisure* (Vol.

- 2). Emerald Group Publishing Limited. https://doi.org/10.1016/S1745-3542(05)02014-X.
- Leong, T. P., & Paim, L. (2015). Mediating effects of intention on the factors affecting organic food products consumption among Chinese Generation-Y in Malaysia. *International Journal of Business Research and Management*, 6(1), 1-19.
- Lian, S. B., & Yoong, L. C. (2019). Assessing the young consumers' motives and purchase behavior for organic food: An empirical evidence from a developing nation. *International Journal* of Academic Research in Business & Social Sciences, 9(1), 69-87. https://doi.org/10.6007/ ijarbss/v9-i1/5364
- Liang, R. D. (2016). Predicting intentions to purchase organic food: The moderating effects of organic food prices. *British Food Journal*, 118(1), 183-199. https://doi.org/10.1108/bfj-06-2015-0215
- Lin, S. H. (2009). Exploratory evaluation of potential and current consumers of organic cotton in Hawaii. *Asia Pacific Journal of Marketing and Logistics*, 21(4), 489-506. https://doi.org/10.1108/13555850910997553
- Ling, T. P., Dominic, F. L., & Shanmugam, A. (2018). The purchase intention of organic foods among working adults in Penang, Malaysia. *IOSR Journal of Business and Management*, 20(3), 48-59.
- Lohr, L. (2011). Factors affecting international demand and trade in organic food products. Changing Structure of Global Food Consumption and Trade, 67-79.
- Michaelidou, N., & Hassan, L. M. (2008). The role of health consciousness, food safety concern and ethical identity on attitudes and intentions towards organic food. *International Journal of Consumers Studies*, 32(2), 163-170. https://doi.org/10.1111/j.1470-6431.2007.00619.x

- Miller, L. M. S., & Cassady, D. L. (2012). Making healthy food choices using nutrition facts panels: The roles of knowledge, motivation, dietary modifications goals, and age. *Appetite*, 59(1), 129-139. https://doi.org/10.1016/j. appet.2012.04.009
- Mohd-Any, A. A., Mahdzan, N. S., & Cher, C. S. (2014). Food choice motives of different ethnics and the foodies segment in Kuala Lumpur. *British Food Journal*, 116(12), 1879-1896. https://doi.org/10.1108/bfj-07-2013-0170
- Nasution, R. A., Tarigan., M. M., & Dhewanto, W. (2011). Consumer attitude and intention to buy organic food as a result of brand extension: An experimental approach. World Journal of Management, 3(1), 75-85.
- Niu, L., & Wohlgenant, M. (2013). Subsidizing fruits and vegetables by income group: A two-stage budgeting approach [Paper presentation]. Agricultural & Applied Economics Association's AAEA & CAES Joint Annual Meeting, Washington, USA.
- Nguyen, C., Nguyen, Y., & Quy, T. (2020). Organic foods: What are the driving factors of purchase intention? *International Journal of Innovation, Creativity and Change, 13*(11), 400-418.
- Omar, N. A., Nazri, M. A., Osman, L. H., & Ahmad, M. S. (2016). The effect of demographic factors on consumer intention to purchase organic products in the Klang Valley: An empirical study. Geografia Online Malaysian Journal of Society and Space, 12(2), 68-82.
- Petrick, J. F., & Backman, S. J. (2002). An examination of the construct of perceived value for the prediction of golf travelers' intentions to revisit. *Journal of Travel Research*, 41(1), 38-45. https://doi.org/10.1177/0047287502041001005
- Preacher, K. J., & Hayes, A. F. (2008). Asymptotic and resampling strategies for assessing and

- comparing indirect effects in multiple mediator models. *Behavioral Research Methods*, 40(3), 879-891. https://doi.org/10.3758/brm.40.3.879
- Rana, J., & Paul, J. (2017). Consumer behavior and purchase intention for organic food: A review and research agenda. *Journal of Retailing and Consumer Services*, 38, 157-165. https://doi. org/10.1016/j.jretconser.2017.06.004
- Richter, T. (2005, November 28-29). Approaches for organic products-implication of recent consumer study results [Paper presentation]. Proceeding of the 1st scientific FQH conference, Frick, Switzerland.
- Roe, B., & Sheldon, I. M. (2007). Credence labeling: Efficiency and distributional implications of several policy approaches. *American Journal of Agricultural Economics*, 89(4), 1020-1033. https://doi.org/10.1111/j.1467-8276.2007.01024.x
- Sa'ari, J. R., & Koe, W. L. (2014, August 12-15). The intention to consume organic food among millennial generation [Paper presentation]. Knowledge Management International Conference (KMICe), Malaysia.
- Sapp, S. G. (1997). Reliability and validity of nutrition knowledge and diet-health awareness tests developed from the 1989-1991 diet and health knowledge surveys. *Journal of Nutrition Education and Behavior*, 29(2), 63-72. https:// doi.org/10.1016/s0022-3182(97)70157-2
- Shaharudin, M. R., Pani, J. J., Mansor, S. W., & Elias, S. J. (2010). Factors affecting purchase intention of organic food in Malaysia's Kedah state. *Cross-Cultural Communication*, 6(2), 105-116.
- Sheth, J., Newman, B., Gross, B. (1991), Why we buy what we buy: A theory of consumption values. *Journal of Business Research*, 22(2), 159-170. https://doi.org/10.1016/0148-2963(91)90050-8
- Sia, B. K., Ooi, B. C., Chong, S. C, Lim, C. S., & Low, L. T. (2013). Determinants of willingness

- to pay of organic products. *Middle-East Journal* of Scientific Research, 14(9), 1171-1179.
- Sirdeshmukh, D., Singh, J., & Sabol, B. (2002). Consumer trust, value, and loyalty in relational exchanges. *Journal of Marketing*, 66(1), 15-37. https://doi.org/10.1509/jmkg.66.1.15.18449
- Sweeney, J. C., Soutar, G. N., Whiteley, A., & Johnson, L. W. (1996). Generating consumption value items: A parallel interviewing process approach. Asia Pacific Advances in Consumer Research, 2, 108-115.
- Sweeney, J., & Soutar, G. (2001), Consumer perceived value: The development of a multiple item scale. *Journal of Retailing*, 77(2), 203-220. https://doi. org/10.1016/s0022-4359(01)00041-0
- Tajfel, H., & Turner, J. (1986). The social identity theory of intergroup behavior. In S. Worchel & W. Austin (Eds.), Psychology of intergroup relations. Nelson-Hall.
- Vega-Zamora, M., Parras-Rosa, M., & Torres-Ruiz, F. J. (2020). You are what you eat: The relationship between values and organic food consumption. *Sustainability 2020*, 12(9), 3900. https://doi:10.3390/su12093900
- Voon, J. P., Kwang, S. N., & Agrawal, A. (2011). Determinants of willingness to purchase organic food: An exploratory study using structural equation modeling. *International Food and Agribusiness Management Review*, 14(2), 103-120.
- World Health Organization. (2019). Malaysia and WHO call for more investment in primary health care the 21st century. https://www.who.int/malaysia/news/detail/08-04-2019-malaysia-and-who-call-for-more-investment-in-primary-health-care-the-21st-century
- Yee, C. J., & San, N. C. (2011). Consumers' perceived quality, perceived value and perceived risk towards purchase decision on automobile. American Journal of Economics and Business

Administration, *3*(1), 47-57. https://doi.org/10.3844/ajebasp.2011.47.57

Zeithaml, V. A. (1988). Consumer perception of price, quality and value: A means-end model and synthesis of evidence. *Journal of Marketing*, 52(3), 2-22. https://doi.org/10.1177/002224298805200302

APPENDIX

Appendix 1

Measures for the constructs

Construct	Measures	Source
Consumer perceived value (CPV)	 Organic vegetables have more freshness. Organic vegetables have superior quality. Organic vegetables are natural food products. Organic vegetables are tastier. Organic vegetables have more nutritional value than conventional vegetables. 	Shaharudin et al. (2010)
Food safety concern (FSC)	 I'm really worried about food safety because of my concerns with pesticides and fertilizers. Food safety of vegetables nowadays concern 	Shaharudin et al. (2010)
	me.3. I have the impression that organic vegetables are natural food.	
	4. I think organic vegetables are safer to eat.	
	5. I take food safety into account a lot in my life.6. I am prepared to eat organic vegetables as they are not harmful.	
Health concern (HC)	I take organic vegetables because I'm concerning about my health.	Ha and Dung (2017)
	2. I take organic vegetables to avoid compositions that are harmful to my health.	
	3. I take organic vegetables because I'm allergic.	
	4. I take organic vegetables because I'm afraid that the food condition of unknown origin affects my health.	
	5. Taking organic vegetables is the way I recognize higher nutrient contents for my health.	
Trust in organic food claims (T)	I trust that those selling organic food are honest about the organic nature of their products.	Voon et al. (2011)
(1)	2. I trust that local producers of organic	
	vegetables are practicing organic farming. 3. I trust the organic certification logo on organic food labels.	
	 I trust the information on organic food labels. 	



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Consumer Adoption of Alipay in Malaysia: The Mediation Effect of Perceived Ease of Use and Perceived Usefulness

Tze Kiat Lui^{1,} Mohd Haniff Zainuldin^{2*}, Kwang-Jing Yii³, Lin-Sea Lau¹, and You-How Go¹

¹Faculty of Business and Finance, Universiti Tunku Abdul Rahman, 31900 Kampar, Perak, Malaysia ²Faculty of Business and Accountancy, University of Malaya, 50603 Kuala Lumpur, Malaysia ³Faculty of Business, Design and Arts, Swinburne University of Technology, 93350 Kuching, Sarawak, Malaysia

ABSTRACT

Despite a growing trend in m-wallet services in Malaysia, the actual level of usage is considered low among all of the non-cash payment methods. The Malaysian government has taken a serious initiative in spurring the use of m-wallets by providing a one-off RM30 incentive to all eligible Malaysians. As such, it is important to understand the motivations behind m-wallet usage by examining Alipay, which is favoured in the international, as well as Malaysian markets. This research investigates the effects of mobile payment knowledge, personal innovativeness, self-efficacy, convenience, and compatibility on the actual adoption of Alipay in Malaysia with perceived ease of use and perceived usefulness, as the mediators. Using importance-performance map analysis (IPMA) and

ARTICLE INFO

Article history: Received: 27 March 2020 Accepted: 8 October 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.22

E-mail addresses:
luitk@utar.edu.my (Tze Kiat Lui)
haniff.zainuldin@um.edu.my (Mohd Haniff Zainuldin)
kyii@swinburne.edu.my (Kwang-Jing Yii)
lauls@utar.edu.my (Lin-Sea Lau)
goyh@utar.edu.my (You-How Go)
*Corresponding author

Variance Accounted For (VAF), based on Partial Least Squares - Structural Equation Modelling (PLS-SEM) on 260 respondents, it was discovered that compatibility and perceived usefulness demonstrated high importance in improving the performance of Alipay adoption. The results also showed a direct effect between compatibility and mobile payment knowledge. Additionally, perceived usefulness was shown to be an essential mediator in influencing the impact of compatibility and convenience on the actual adoption of Alipay. This study has

ISSN: 0128-7702 e-ISSN: 2231-8534 produced essential policy recommendations for both mobile wallet providers and policymakers on how to further promote the adoption of mobile wallets in Malaysia.

Keywords: Alipay, importance-performance map analysis, mobile commerce, mobile payment, mobile wallet, technology acceptance model

INTRODUCTION

Mobile commerce is a growing trend in Malaysia, and it changes how consumers make payments for both goods and services, as well as for transferring money to each other. The increased use of mobile commerce will boost the adoption of mobile wallets (m-wallets), in facilitating electronic transactions between individuals or organisations. An m-wallet is an application installed typically on a smartphone and can be used to store money and perform financial transactions instantly (Madan & Yadav, 2018). In comparison to traditional payment methods, m-wallets offer faster payment processing and require less effort. The number of m-wallet users in Malaysia keeps growing every year, as more service providers have penetrated the mobile payments market.

Despite the availability of numerous m-wallet providers, this has not assured a high rate of adoption, as compared to other payment methods, such as non-contact payment modes and credit cards (Garrett et al., 2014). Debit cards remain the top non-cash payment method in Malaysia with 63% of total users, as compared to m-wallets,

with only 8% (Bank Negara Malaysia, 2019). According to Ondrus et al. (2009), m-wallets are not widely accepted by users, particularly in the developing countries of Asia, although users are aware of their existence. M-wallet service providers must fully comprehend the determinants of m-wallet adoption for users, which will allow them to take practical measures to boost the usage of their m-wallet services. Besides, a better understanding of the determinants and adoption of m-wallets could assist the government in heightening m-wallet usage among Malaysians, which is in line with the blueprint of Malaysia's government¹.

Understanding the impact of individual users' characteristics in using an m-wallet is critical, as the traits of users will affect their adoption behaviour for the technology. The adoption of an m-wallet may be subject to individuals who are sometimes concerned with different aspects of mobile payment services, including the perceived benefits and hindrances (Pal et al., 2015). When an m-wallet serves as a mechanism for payment, as individuals do not have full control over the application, it may raise concerns over its fidelity. Thus, this lack of control and virtuality of transactions has created high uncertainty in the cashless society (Yan & Yang, 2015). In addition, users are also concerned about how much they are spending through m-wallets, as no physical cash is present. Overspending may

¹ To accelerate the country's migration towards electronic payments, in order to increase the efficiency of the nation's payment systems (Bank Negara Malaysia, 2019).

happen, as some consumers believe that physical cash provides better control over their expenses (Nielson, 2019), subsequently leading to a lower level of self-efficacy to adopt m-wallets.

This study pays attention to the world's largest mobile payment platform, namely; Alipay (Arvidsson, 2014), which is also the largest third-party mobile payment application in China (Pham & Ho, 2015). Over the years, the number of registered Alipay users has increased rapidly (Bailey et al., 2017), which reinforces its popularity among m-wallet users. It is believed that Alipay makes network payments more dependable and narrows the perceived distance between merchants and consumers (Arvidsson, 2014). As one of the booming countries in implementing mobile payments, Malaysia has over 18,000 merchants who now accept Alipay nationwide. Malaysia was ranked 9th out of 10 countries that dominated overseas spending on Alipay in 2018. Besides, a 106% increase in spending, per Alipay user, and a 511% increase in total spending, as compared to 2017 were also recorded in 2018 (Tan, 2018). Moreover, Alipay has partnerships with Malaysia's top listed banks, such as CIMB Bank, Maybank, and Public Bank, as well as a collaboration with Touch 'n Go Sdn Bhd. Despite there being many local m-wallets available in the market, Alipay is recognised worldwide for its reliable financial services (Arvidsson, 2014) and accepted by numerous local and overseas stores, which gives a competitive advantage over other local m-wallets, which mostly focus on Malaysian stores only.

After the penetration of the mobile payments market by Alipay, the use of m-wallets among Malaysian consumers has increased markedly among different age groups. The number of m-wallet users aged between 25-34 years old increased by 5% over six months in 2016 (Lim, 2017). Such an increase in mobile users will predominantly drive mobile payment growth in Malaysia. However, the ascent of the adoption of mobile payment services in Malaysia does not seem to be fully achievable, due to the rivalry of the numerous existing service providers. The fierce competition among m-wallet providers in Malaysia has affected Malaysia's adoption rate of mobile payment services. Most local m-wallet providers in Malaysia have had to cede profits by offering zero merchant fees, incentives, discounts, and many have devised tactics to boost the adoption of their m-wallet applications (Pikri, 2018). Sen (2019) discovered that there was an extreme level of competition within the crowded m-wallet space in Malaysia, as many mobile wallet apps had been introduced, both from local and international providers.

It is important to address the issues highlighted above, regarding the adoption of m-wallets among Malaysians. Considering that Alipay is the world's largest m-wallet platform, it may be able to provide hints from the user perspectives, in terms of perceived ease of use (PEOU) and perceived usefulness (PU), by investigating the individual differences and the characteristics of mobile payments. Meanwhile, this study also bridges the gap between theory

and practice by employing importanceperformance map analysis (IPMA), as an extension of PLS-SEM. IPMA can prioritise constructs and their indicators to improve a target construct (Ringle & Sarstedt, 2016). This leads to a predominant benefit in the study of m-wallets, based on the specific important insights from individual differences and mobile payment systems, together with the mediators of the PEOU and PU.

LITERATURE REVIEW

In this section, the theoretical background of the study has been developed by a review of the literature on technology acceptance theories, mobile wallets, individual differences, and mobile payment system characteristics. A proposed research model and hypotheses have also been included.

Theoretical Background

Several research models, such as; Theory of Planned Behaviour (TPB), Theory of Reasoned Action (TRA), and Unified Theory of Acceptance and Use of Technology (UTAUT) can explain the usage behaviour of information systems. However, the Technology Acceptance Model (TAM) remains a pioneering and significant theoretical model that explains users' adoption of information systems (Davis et al., 1989). The TAM was initially developed by Davis (1989) and, since then, it has become one of the most prevalent theories, which has been broadly studied and applied in the IS field (Surendran, 2012). The TAM details the antecedents of computer acceptance across a wide range of end-user computing technologies and user populations (Rondan-Cataluña et al., 2015). Thus, it can anticipate user acceptance of certain information system applications. Although many new versions have emerged from the TAM, the two core beliefs, namely; PEOU and PU are the most relevant constructs, and both have been used in this study, as consumer actual adoption depends on whether a proposed system is favoured by the respondents (Taherdoost, 2018). Several recent pieces of literature have adopted PEOU and PU, as mediators in the TAM, such as in the studies by Gu et al. (2019), Moslehpour et al. (2018), and Nuryyev et al. (2020). Testing the mediating effects of PEOU and PU will demonstrate their important role in influencing the actual adoption of m-wallets.

In a similar research model, namely; UTAUT (Venkatesh et al., 2003), there are four important variables, which are the main determinants of users' behavioural intentions and usage behaviour. Some of the key constructs in UTAUT are somehow identical to the constructs in TAM. Nevertheless, UTAUT has moderating constructs that will moderate the impact of the four main variables towards usage intention and behaviour, thus, it cannot measure the direct impact of m-wallet adoption. For instance, S. Kim and Baek (2018) used TAM to examine the determinants of the behavioural intention to use mobile payments, as UTAUT had moderating effects that could affect the overall results. Besides, TAM has been continuously improvised by many scholars and extended to the usage of new information systems, such as m-wallet applications. Some recent literature, which have employed the TAM to examine human behaviour towards online payment acceptance includes Martens et al. (2017) and Ramos-de-Luna et al. (2016). In this study, TAM has been extended with several external factors that have been grouped into 2 dimensions, namely; individual differences and mobile payment systems.

Mobile Wallet, Individual Differences, and Characteristics of Mobile Payment System

With the continuous improvements that have been made in m-wallets, it is undeniable that m-wallets are acceptable in various business models for the convenience of merchants, including; small-sized business owners (Singh & Sinha, 2020). Sorensen (2018) revealed that mobile wallets were capable of embedding various payment technologies, such as Near Field Communication (NFC) and QR codes to perform both in-store and remote payments. Hoofnagle et al. (2012) claimed that m-wallets were not used just for keeping payment data, but also for storing many kinds of loyalty cards and coupons, which offered additional benefits for users. Furthermore, the ubiquity of m-wallets enables users to make online transactions. anytime and anywhere, providing that the mobile device is connected to the Internet.

The study of the intention to use, or adopt, is commonly found in prior literature. The relationship between the intention to use

and actual adoption has been confirmed in existing studies regarding mobile payment services, such as those by Jaradat and Al-Mashaqba (2014) and Rashed et al. (2014). Furthermore, some more recent studies have concentrated on the actual adoption of mobile payments, and have predominantly relied on the TAM, together with additional constructs, for example, H.-Y. Kim et al. (2017), Martens et al. (2017), and Ramos-de-Luna et al. (2016). It is interesting to embed actual adoption as the main endogenous variable, to be tested with PEOU and PU. Besides, few studies have so far considered mobile payment system characteristics and individual differences in a single research model as the determinants of actual consumer adoption of m-wallets (C. Kim et al., 2010). Therefore, it is recommended to have multiple perspectives in examining m-wallets and their diffusion; challenges, complexity, dynamism, marketlevel, as well as behavioural facets, to explain the diffusion of mobile payment systems (Ondrus et al., 2009).

Individual differences and system characteristics are two dimensions that are often included as external exogenous variables in the TAM to determine the information systems usage (Taherdoost, 2018). Existing literature has studied the link between individual characteristics and the acceptance of information systems using the TAM (Agarwal & Prasad, 1998; Venkatesh, 2000). Those studies have confirmed the roles of individual differences in influencing users' behaviour with innovativeness, m-payment knowledge

and self-efficacy, as constructs (C. Kim et al., 2010; Pal et al., 2015; Pham & Ho, 2015). System characteristics are also vital, as the design characteristics of a system will bring significant effects towards the ease of use and usefulness of the system (Davis, 1989). The characteristics of mobile payment systems play an essential role in influencing the adoption of m-wallets among individuals, however, this has rarely

been studied empirically (C. Kim et al., 2010).

Research Model

The proposed research model used in this study consists of two dimensions with five constructs. All constructs will be examined directly with the actual adoption as well as its mediating effects with PEOU and/or PU as shown in Figure 1.

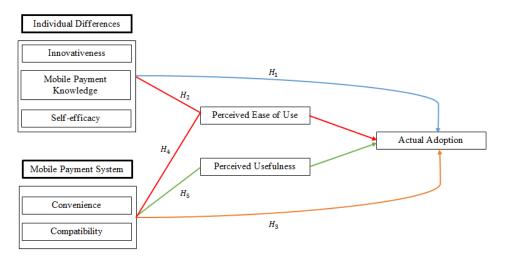


Figure 1. Research model (Adapted from C. Kim et al. (2010) and G. Wang et al. (2019))

Individual Differences. Individual differences are highly relevant to mobile commerce applications. C. Coursaris and Hassanein, (2002) and C. Kim et al. (2010) discussed that there was a huge growing interest in individual differences with mobile payment user behaviour studies. The individual differences consist of three constructs, which are; personal

innovativeness, mobile payment knowledge and self-efficacy.

Personal Innovativeness. One of the individual differences used in this study was personal innovativeness, which can be referred to as the degree of willingness of an individual to try a particular innovation (Agarwal & Prasad, 1998). It

is believed that individuals with higher personal innovativeness will have higher positive perceptions and intentions to use a particular innovation. Pham and Ho (2015) investigated the relationship between personal innovativeness and the intention to adopt mobile payment services in Taiwan. A positive relationship was confirmed, in the sense that early adopters and individuals with innovativeness had a strong willingness to learn and use mobile payment services. The term innovative individuals usually refers to people with a high level of curiosity to discover and seek information with regards to a new idea. Other similar studies related to personal innovativeness include Li et al. (2014), Shaw (2015), and Yang et al. (2012). It is believed that innovative individuals find m-wallets easy to use, as they have no issue with adapting to such new technology. Thus, this study offers the following hypotheses:

 H_{1a} : Personal innovativeness will have a significant positive relationship with the actual adoption of Alipay in Malaysia. H_{2a} : Personal innovativeness will be

mediated by the PEOU towards the actual adoption of Alipay in Malaysia.

Mobile Payment Knowledge. A notion claims that m-wallets are relatively easy to use for individuals with higher mobile payment knowledge, as compared to individuals without such knowledge (C. Kim et al., 2010). Rogers (1995) proposed that sufficient knowledge from different channels was needed for individuals to be

aware of the innovation and its benefits. Li et al. (2014) found that mobile payment knowledge was positive and significant to the behavioural intention of mobile payment adoption in China. They contended that consumers who possessed information and knowledge of mobile payment services tended to have a higher willingness to use mobile payment services. Other studies that have examined the relationship between mobile payments knowledge and PEOU include; C. Kim et al. (2010) and Pal et al. (2015). These studies believed that users, particularly the early adopters, who knew mobile payment services, would perceive them as easy to use, no matter how complex was the new technology. Thus, this study offers the following hypotheses:

 H_{1b} : Mobile payment knowledge will have a significant positive relationship on the actual adoption of Alipay in Malaysia.

H_{2b}: Mobile payment knowledge will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.

Self-efficacy. Self-efficacy refers to an individuals' belief in their ability to perform a specific activity, or use an innovation (Bandura, 1997). Self-efficacy, in this study, refers to an individuals' belief that they have the skills and ability to use an m-wallet. Literature related to self-efficacy has been discussed in various domains of innovation adoption, such as the adoption of online shopping, mobile data services, and apparel retailing technologies. Nevertheless, it has been given less attention in the context of m-wallet adoption. Bailey et al. (2017)

conducted a similar study using an extended version of the TAM in the US and they argued that self-efficacy would lead to the adoption of mobile payments through PEOU because users would be convinced about the capabilities of mobile payment services, such as having a user-friendly interface. This was in line with other studies, such as Shaw (2015) and Alalwan et al. (2016). Thus, this study offers the following hypotheses:

H_{1c}: Self-efficacy will have a significant positive relationship on the actual adoption of Alipay in Malaysia.

H_{2c}: Self-efficacy will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.

Mobile Payment Systems. In this study, we expected the characteristics of mobile payment systems to have a direct effect on PEOU and PU, as past literature has proved a strong relationship between the TAM and system characteristics (Davis, 1993; Pal et al., 2015; Venkatesh & Davis, 2000). Four common constructs have been used in previous literature, namely; mobility, reachability, convenience, and compatibility. However, mobility and reachability were excluded in this study, as m-wallets in Malaysia are considered new and the Internet infrastructure is not fully developed².

Convenience. Convenience is a principal characteristic of mobile payments, which provide on-time utility and place to the consumers (C. Kim et al., 2010). Convenience refers to the situation where m-wallets, as a technology, will reduce any difficulty related to common tasks, therefore, making people's lives easier, so that users enjoy the benefits of using it (Obe & Balogun, 2007). Using the Technology Readiness Index (TRI) model, Humbani and Wiese (2018) confirmed the positive and significant association between convenience and the adoption of mobile payments. The authors found that more male users were concerned with the convenience factors offered by mobile payment systems, which include the ability to integrate payments among different mobile payment applications. Other similar studies have also supported convenience as a vital construct that influences mobile payment adoption (Humbani & Wiese, 2018; C. Kim et al., 2010; Pal et al., 2015; Shin, 2010). These studies believed that mobile payment systems had a high degree of usefulness and ease of use related to their features of portability and flexibility. As mobile devices and their user interfaces have improved over the years, this study offers the following hypotheses:

 H_{3a} : Convenience will have a significant positive relationship on the actual adoption of Alipay in Malaysia.

 H_{4a} : Convenience will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.

There have been many complaints made by broadband users regarding dismal connectivity, although they are being promised improved services by the telco's, while the MCMC is currently concluding its National Fiberisation and Connectivity Plan (NFCP) (The Star, 2019).

H_{5a}: Convenience will be mediated by the PU towards the actual adoption of Alipay in Malaysia.

Compatibility. Compatibility refers to the degree of consistency on the perception of potential users towards a particular innovation with their experience, values, and needs (Rogers, 1995). Compatibility relies on how well the technology (mobile payments) is integrated into users' daily lives (Yang et al., 2012). Some extant literature has confirmed compatibility as among the consistent determinants for the adoption of mobile-technology-based services (Al-Jabri & Sohail, 2012; Lin, 2011; Mallat, 2007). Based on a study concerning the adoption of mobile payments using NFC-enabled technology in China, Li et al. (2014) supported a positive significant impact of compatibility on the PU. They argued that users' concerns were related to the simplicity and versatility of mobile payments. Yang et al. (2012) found that users were concerned with the emotional appeal, rather than the functionalities offered in mobile payment applications, which supported the relationship between mobile payments and compatibility. Hence, this study offers the following hypotheses:

H_{3b}: Compatibility will have a significant positive relationship on the actual adoption of Alipay in Malaysia.

H_{4b}: Compatibility will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.

H_{5b}: Compatibility will be mediated by the PU towards the actual adoption of Alipay in Malaysia.

RESEARCH METHODS

Survey research was used to analyse the linkages between the exogenous constructs and endogenous constructs through interceding variables. Cross-sectional data were used to observe specific phenomena at single points of time. Such correlational research design provided a huge amount of data through the real-world observation of m-wallet users.

Sampling Design

This study adopted a purposive sampling technique to identify qualified survey respondents who were individuals owning a smartphone with the Alipay application installed. The respondents must have been using Alipay for the previous three months to ensure that the data collected was compatible with the latest application version. The capital city of Malaysia, Kuala Lumpur was selected as the sampling location since Kuala Lumpur is the major economic, financial, and cultural hub of Malaysia. The penetration rate of mobile phones in Kuala Lumpur was 186 per 100 inhabitants, which was the highest among all of the cities in Malaysia (Malaysian Communications and Multimedia Commission [MCMC], 2017). Besides, the city itself has a fair balance of major ethnic groups to represent the general population characteristics of Malaysia. Furthermore, Kuala Lumpur is one of the cities that has achieved the digital maturity level of digital payments (Kadar et al., 2019). A minimum of 195 respondents was required, following the general thumb-rule (Hair et al., 1998). However, this study distributed 300 questionnaires, and a total of 260 questionnaires were successfully collected over 8 weeks.

Research Instrument

The multiple-item questions in the questionnaire were measured using a five-point Likert scale starting from 1 (strongly disagree) to 5 (strongly agree). Using a five-point Likert scale minimised confusion, improved response rates, and quality and ensured higher reliability. To begin with, a sample questionnaire was reviewed and pretested by several experts in the mobile commerce field. A pilot test was subsequently conducted with 30 respondents who were heavy Alipay users. The next step was to obtain ethical clearance from the University, whereby, the questionnaire would be reviewed and approved by the Ethical Clearance Committee (ECC).

Data Analysis Methods

Partial Least Square (PLS) Smart program version 3.0 (SmartPLS 3.0) was used to perform significance and normality testing through the t-test statistic from the bootstrapping procedure. PLS is highly recommended for this type of study because it is related to theory building and predictive applications (Gefen et al., 2000). It is also able to maximise the explanation on the

variance of a model using a small sample size (Hair et al., 2013).

RESULTS AND DISCUSSION

Descriptive Analysis

The descriptive analysis examined the demographic profile of each of the respondents. Table 1 indicates that female users (56.549%) possessed a higher level of adoption of Alipay in Malaysia, as compared to male users (43.46%). Besides, young adults (aged 25-39 years old) and teenagers (aged below 24 years old) were keen to use Alipay, which represented the largest percentages of 50 percent and 42.31 percent, respectively. Meanwhile, none of the elderly, aged 55 years old and above, were using Alipay. This showed that younger consumers were familiar with mobile technology, while the elderly resisted using this form of new technology.

Besides, most of the sampled Alipay users were working adults (80%) and hold a Bachelor's degree (83.85%), indicating a high consciousness in using m-wallet. Surprisingly, the lower-middle-income group (RM3,000-RM4,500), and lowincome (RM1,501-RM3,000) occupied the highest rankings for the adoption of Alipay, which can be explained by these groups of consumers aiming to increase their savings by gaining discounts and promotions while using Alipay. However, most Alipay users (78.85%), merely carried out transactions between one to three times per month. This illustrated that the adoption of Alipay in Malaysia was less popular, as compared to Alipay's usage in China.

Table 1

Descriptive data

Demographic Characte	ristics	Frequency	Percentage (%)
Gender	Male	113	43.46
	Female	147	56.54
Age (years)	Below 24	110	42.31
	25-39	130	50
	40-54	20	7.69
	55 and Above	0	0
Educational Level	Primary or below	0	0
	High School/ Secondary level	8	3.08
	College Diploma	18	6.92
	Bachelor Degree	218	83.85
	Master Degree	14	5.38
	Doctorate Degree or higher	0	0
Occupation	Student	31	11.92
	Private employees	208	80
	Retired/Unemployed	0	0
	Self-employed	11	4.23
	Civil servant	10	3.85
	Others	0	0
Monthly Personal	Below RM1,500	28	10.77
Income	RM1,501-RM3,000	92	35.38
	RM3,001-RM4,500	118	45.38
	RM4,501-RM6,000	16	6.15
	More than RM6,000	5	1.92
Alipay monthly usage	1-3 times	205	78.85
	4-6 times	43	16.54
	7-10 times	10	3.85
	More than 10 times	2	0.77

Scale Measurement

Outer Loading. Table 2 depicts that the majority of outer loadings for the respective indicators were greater than 0.70, which is the accepted level recommended by Nascimento and Macedo (2016). The lowest outer loading values; PEOU1 (0.563) and

SE5 (0.568) were greater than 0.40, thus, they did not need to be removed from the measurement models (Henseler et al., 2014). It showed that all of the latent variables explained a substantial part of each indicator's variance. The measurement model was also illustrated in Figure 2.

Table 2

Outer loading

Juier ioddin,		COM	CON	MDIZ	DEOLI	DI	DII	C.F.
	AA	COM	CON	MPK	PEOU	PI	PU	SE
AA1	0.736							
AA2	0.712							
AA3	0.761							
AA4	0.755							
AA5	0.725							
COM1		0.721						
COM2		0.767						
COM3		0.784						
COM4		0.781						
COM5		0.649						
CON1			0.705					
CON2			0.805					
CON3			0.801					
CON4			0.651					
CON5			0.691					
MPK1				0.744				
MPK2				0.736				
MPK3				0.799				
MPK4				0.779				
MPK5				0.745				
PEOU1					0.563			
PEOU2					0.741			
PEOU3					0.730			
- 2000					0.,50			

Table 2 (Continued)

	AA	COM	CON	MPK	PEOU	PI	PU	SE
PEOU4					0.709			
PEOU5					0.687			
PI1						0.710		
PI2						0.666		
PI3						0.725		
PI4						0.717		
PI5						0.720		
PU1							0.732	
PU2							0.741	
PU3							0.763	
PU4							0.741	
PU5							0.779	
SE1								0.705
SE2								0.646
SE3								0.722
SE4								0.705
SE5								0.568

Construct Reliability and Validity Test

Table 3 consists of the tests of composite reliability, convergent reliability, and discriminant reliability. These tests were applied to examine the internal consistency and reliability of the model. In Table 3, each of the respective constructs showed a high level of internal consistency, as the values of composite reliability were between .80 and .90, which is greater than the suggested threshold of .60 (Hair et al., 2014). Cronbach's alpha is used to measure the internal consistency of a test, connected to the inter-relatedness of the items (Lunneborg, 1979). All of the

reflective constructs were found to have a high level of interrelatedness between the items, as the values of Cronbach's alpha were greater than .70.

The average variance extracted (AVE) was used to assess the convergent validity in the indicator constructs (Hair et al., 2014). Fornell and Larcker (1981) claimed that an AVE of .4, or below, was still acceptable, as long as the composite reliability value was greater than .60. Thus, the values of the AVE for all of the reflective constructs had an adequate level of convergent validity, as shown in Table 3.

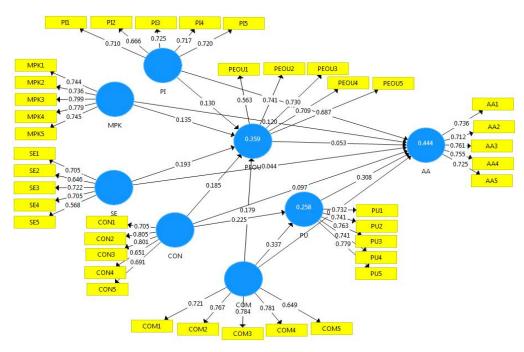


Figure 2. PLS-SEM measurement model

Table 3

Construct reliability and convergent validity

	Cronbach's Alpha	rho_A	Composite Reliability	Average Variance Extracted (AVE)
AA	.795	.803	.857	.545
COM	.796	.807	.859	.551
CON	.782	.784	.852	.537
MPK	.820	.827	.873	.579
PEOU	.723	.734	.817	.474
PI	.755	.761	.834	.501
PU	.807	.808	.866	.565
SE	.704	.686	.803	.451

Discriminant Validity Test

Fornell –Larcker Criterion. The Fornell-Larcker criterion compares the square root of the AVE with the correlation of latent

constructs. Hair et al. (2017) supported that the square root of each construct's AVE should be greater than the correlations with other latent constructs. Table 4 shows that the diagonal values of each variable were found to be greater than the offdiagonal inter-construct correlation values, respectively.

Cross Loading Criterion. The Cross-loading criterion evaluates the impact of an indicator, in comparison with all of the other indicators (Hair et al., 2014). To determine the strong representation of the latent variable from the discriminant validity, the loading value of an indicator should be greater than all of the other indicators in the construct. Table 5 illustrates that the

diagonal value of each indicator's crossloading was greater than the other indicators in the construct, respectively.

Heterotrait-Monotrait Ratio (HTMT).

Kline (2011) asserted that HTMT values should fall below 0.85 for conceptually distinct constructs. Based on Table 6, the highest HTMT value was recorded as 0.798, which fell below 0.85. This illustrated that the true correlation between the two constructs was reliable, with no error.

Table 4
Fornell-Larcker criterion

	AA	COM	CON	MPK	PEOU	PI	PU	SE
AA	0.738							
COM	0.540	0.742						
CON	0.469	0.619	0.733					
MPK	0.435	0.387	0.413	0.761				
PEOU	0.467	0.470	0.467	0.430	0.689			
PI	0.280	0.361	0.326	0.528	0.376	0.708		
PU	0.572	0.477	0.434	0.497	0.620	0.313	0.752	0.67
SE	0.371	0.402	0.375	0.416	0.424	0.258	0.402	1

Table 5
Cross loading

AA	COM	CON	MPK	PEOU	PI	PU	SE
0.736	0.457	0.389	0.351	0.488	0.212	0.579	0.243
0.712	0.333	0.256	0.168	0.187	0.176	0.307	0.248
0.761	0.371	0.314	0.169	0.287	0.190	0.316	0.324
0.755	0.386	0.395	0.387	0.381	0.212	0.486	0.276
0.725	0.413	0.332	0.455	0.288	0.233	0.326	0.288
0.369	0.721	0.558	0.346	0.368	0.309	0.365	0.331
0.354	0.767	0.417	0.323	0.333	0.361	0.324	0.278
	0.736 0.712 0.761 0.755 0.725 0.369	0.736 0.457 0.712 0.333 0.761 0.371 0.755 0.386 0.725 0.413 0.369 0.721	0.736 0.457 0.389 0.712 0.333 0.256 0.761 0.371 0.314 0.755 0.386 0.395 0.725 0.413 0.332 0.369 0.721 0.558	0.736 0.457 0.389 0.351 0.712 0.333 0.256 0.168 0.761 0.371 0.314 0.169 0.755 0.386 0.395 0.387 0.725 0.413 0.332 0.455 0.369 0.721 0.558 0.346	0.736 0.457 0.389 0.351 0.488 0.712 0.333 0.256 0.168 0.187 0.761 0.371 0.314 0.169 0.287 0.755 0.386 0.395 0.387 0.381 0.725 0.413 0.332 0.455 0.288 0.369 0.721 0.558 0.346 0.368	0.736 0.457 0.389 0.351 0.488 0.212 0.712 0.333 0.256 0.168 0.187 0.176 0.761 0.371 0.314 0.169 0.287 0.190 0.755 0.386 0.395 0.387 0.381 0.212 0.725 0.413 0.332 0.455 0.288 0.233 0.369 0.721 0.558 0.346 0.368 0.309	0.736 0.457 0.389 0.351 0.488 0.212 0.579 0.712 0.333 0.256 0.168 0.187 0.176 0.307 0.761 0.371 0.314 0.169 0.287 0.190 0.316 0.755 0.386 0.395 0.387 0.381 0.212 0.486 0.725 0.413 0.332 0.455 0.288 0.233 0.326 0.369 0.721 0.558 0.346 0.368 0.309 0.365

Table 5 (Continued)

	AA	COM	CON	MPK	PEOU	PI	PU	SE
COM3	0.494	0.784	0.370	0.258	0.400	0.219	0.379	0.339
COM4	0.444	0.781	0.497	0.297	0.367	0.225	0.397	0.328
COM5	0.311	0.649	0.481	0.212	0.256	0.251	0.288	0.187
CON1	0.341	0.432	0.705	0.321	0.337	0.216	0.265	0.219
CON2	0.332	0.476	0.805	0.427	0.393	0.380	0.343	0.257
CON3	0.310	0.521	0.801	0.313	0.382	0.270	0.317	0.233
CON4	0.413	0.375	0.651	0.213	0.280	0.148	0.350	0.338
CON5	0.315	0.462	0.691	0.231	0.312	0.168	0.305	0.324
MPK1	0.248	0.336	0.358	0.744	0.352	0.477	0.338	0.322
MPK2	0.189	0.264	0.323	0.736	0.293	0.420	0.336	0.328
MPK3	0.429	0.291	0.337	0.799	0.305	0.415	0.373	0.293
MPK4	0.413	0.263	0.277	0.779	0.308	0.375	0.415	0.304
MPK5	0.317	0.323	0.290	0.745	0.377	0.344	0.416	0.346
PEOU1	0.155	0.255	0.330	0.333	0.563	0.292	0.228	0.215
PEOU2	0.278	0.246	0.301	0.204	0.741	0.270	0.377	0.277
PEOU3	0.364	0.439	0.395	0.378	0.730	0.406	0.361	0.331
PEOU4	0.348	0.294	0.290	0.287	0.709	0.137	0.555	0.298
PEOU5	0.409	0.339	0.283	0.263	0.687	0.173	0.581	0.315
PI1	0.242	0.280	0.302	0.316	0.202	0.710	0.201	0.134
PI2	0.249	0.201	0.100	0.192	0.127	0.666	0.153	0.117
PI3	0.159	0.158	0.227	0.319	0.278	0.725	0.139	0.169
PI4	0.135	0.288	0.246	0.347	0.320	0.717	0.268	0.177
PI5	0.219	0.324	0.252	0.596	0.348	0.720	0.307	0.277
PU1	0.407	0.358	0.367	0.360	0.493	0.142	0.732	0.370
PU2	0.418	0.378	0.415	0.396	0.512	0.196	0.741	0.365
PU3	0.437	0.378	0.326	0.421	0.401	0.295	0.763	0.235
PU4	0.396	0.337	0.244	0.304	0.448	0.302	0.741	0.248
PU5	0.486	0.338	0.268	0.379	0.474	0.247	0.779	0.289
SE1	0.258	0.243	0.208	0.380	0.217	0.249	0.258	0.705
SE2	0.255	0.196	0.151	0.196	0.125	0.057	0.178	0.646
SE3	0.231	0.262	0.242	0.209	0.210	0.118	0.244	0.722
SE4	0.235	0.267	0.168	0.244	0.284	0.152	0.281	0.705
SE5	0.247	0.318	0.387	0.309	0.445	0.225	0.320	0.568

Table 6
Heterotrait-Monotrait Ratio (HTMT)

	AA	COM	CON	MPK	PEOU	PI	PU	SE
AA								
COM	0.654							
CON	0.577	0.794						
MPK	0.496	0.479	0.517					
PEOU	0.581	0.594	0.617	0.552				
PI	0.362	0.463	0.409	0.640	0.481			
PU	0.677	0.588	0.541	0.603	0.798	0.388		
SE	0.490	0.497	0.461	0.521	0.537	0.314	0.500	

Model_Fit. Table 7 shows the model fit measures, such as SRMR, NFI, and RMS_theta. The SRMR was estimated as .089, which was less than .10, hence, the model was considered to be a good fit. Besides, the NFI was recorded as .562 that aims to be closer to 1. The value of .133 for RMS_theta was closer to zero, which also proved a good model fit, where the correlations between the outer model residuals were relatively small.

Multivariate Skewness and Kurtosis.

Table 8 indicates the estimation of the multivariate skewness and kurtosis, including excess kurtosis. In conjunction with the standard deviation, the kurtosis values were relatively smaller. On the other hand, the skewness indicates the negative, or left side, of the data distribution where the estimated values ranged from -0.706 to -2.05.

Common Method Bias. According to Kock and Lynn (2012), the full collinearity

Table 7

Model fit

	Value
SRMR	.089
NFI	.562
RMS_theta	.133

VIF are generated to assess the common method bias in the model. Table 9 shows that the values of all of the VIFs from the full collinearity test were less than 3.3, whereby, the model was considered to be without common method bias.

Importance-Performance Map Analysis (IPMA)

Figure 3 shows that the two direct predecessors, COM and PU, possessed predominantly high importance. Based on Table 10, COM (0.406) was considered to have a higher importance than PU (0.343). However, COM had a relatively low performance of 62.689. Besides, the relatively high performance of PU also

Table 8

Multivariate Skewness and Kurtosis

	Mean	Standard Deviation	Excess Kurtosis	Skewness
AA	3.477	0.757	0.352	-0.561
COM	3.508	0.705	0.270	-0.234
CON	3.456	0.747	0.846	-0.706
MPK	3.689	0.741	0.624	-0.506
PEOU	3.658	0.645	0.023	-0.205
PI	3.605	0.656	-0.001	-0.207
PU	3.664	0.685	0.086	-0.510
SE	3.718	0.603	0.481	-0.391

Table 9
Full Collinearity VIF

	AA	COM	CON	MPK	PEOU	PI	PU	SE
Common								
Method Bias	1.797	1.998	1.816	1.820	1.904	1.482	2.093	1.402

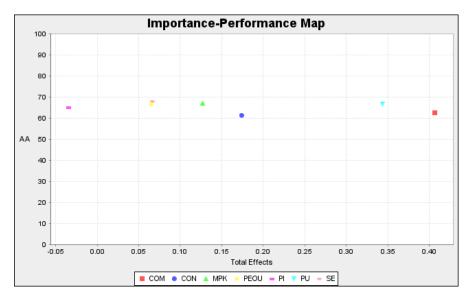


Figure 3. Importance-performance map (construct level) of target construct AA

indicated that it should be focused to improve the performance of target construct AA. Therefore, managerial action should emphasise on improving the performance of COM towards AA, followed by PU, which would also mediate the effect between COM and AA. The PLS path model and IPMA results were illustrated in Figure 4.

The results show that compatibility was the strongest predictor for Alipay adoption, followed by PU. The importance of compatibility has been demonstrated in prior studies, such as S. Kim and Baek (2018) and Ozturk et al. (2016). It implied

that when Malaysians perceived that the adoption of Alipay fitted well with the way they like to make payments, they would switch to mobile payments. This study also discovered the essential role of PU in enhancing Alipay usage in Malaysia, either directly or indirectly, as a strong mediator between compatibility and actual adoption. The results were in line with previous literature that suggested that the enhancement of job performance by using mobile technology would contribute to its adoption (Chi, 2018; Koksal, 2016).

Table 10

Data of importance-performance map for construct AA

	Importance	Performances	
COM	0.406	62.689	
CON	0.174	61.399	
MPK	0.127	67.227	
PEOU	0.065	66.453	
PI	-0.034	65.126	
PU	0.343	66.611	
SE	0.067	67.943	

Figure 5 displays the indicator COM3 ("Alipay fits into my lifestyle"), which possessed a relatively high level of importance when concentrating on the construct COM, while performance still could be improved. Therefore, the Alipay company should fully comprehend the Malaysian lifestyle, in terms of geographical, cultural, and social diversity, to ensure the compatibility of its mobile wallet service. In fact, various past studies have looked into

the relationship between lifestyle practices and consumers' behaviour or attitudes towards certain technologies (Axsen et al., 2012; C. K. Coursaris, & Van Osch, 2015).

On the other hand, the indicator PU2 was discovered to be the most important indicator to improve the level of Alipay adoption for the PU construct. It is vital to enhance the ease of payment, based on the users' feeling of controlling and managing, the speed of digital interaction, and the

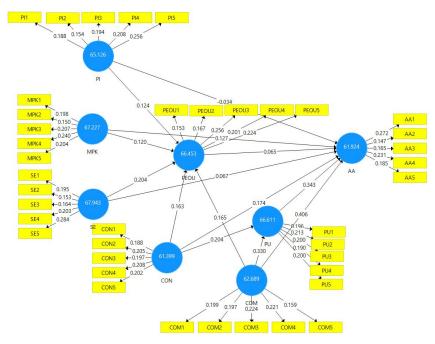


Figure 4. PLS path model and IPMA results

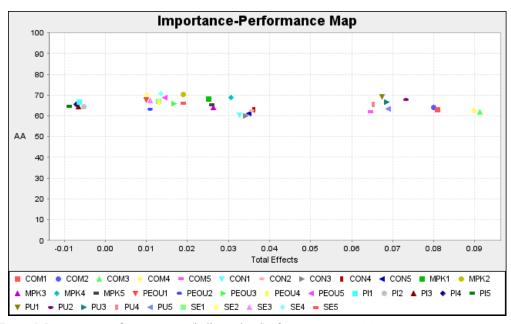


Figure 5. Importance-performance map (indicator level) of target construct AA

receipt of notifications that complement their smartphone functions and features. According to previous studies, such as that of Jahmani et al. (2018), what facilities a technology can offer, influences users' satisfaction towards using that technology. This can, in turn, affect the actual usage of the said technology.

Direct Effect

Based on Table 11, only compatibility (COM) had a significant positive relationship with the actual adoption of Alipay, which indicated that consumers would select Alipay if the mobile wallet service was more integrated with their daily lives, or needs (Al-Jabri & Sohail, 2012; Lin, 2018; Mallat, 2007). This finding was supported by Cheng (2015) and Isaac et al. (2019) who found that compatibility contributed a significant impact, leading to the high rate of adoption of high new technologies in the IS field.

Diversely, the hypothesis of H1b was supported at the 10% significance level, where mobile payment knowledge (MPK) might affect, but at a lower level, on the adoption of Alipay. This indicated

that sufficient knowledge regarding the technology would cause consumers to use the mobile payment service (Pal et al., 2015). This reflects more on the younger generation, rather than the elderly. Youngsters are more familiar with m-wallets and possess more knowledge about new technology, thus, encouraging them to adopt such technology. Such finding was supported by the descriptive analysis, as the majority of Alipay users were found to be young adults and teenagers.

The other factors, such as personal innovativeness, self-efficacy, and convenience were found to have no relationship with the actual adoption of Alipay. The findings were in agreement with Kabra et al. (2017) and Zainab et al. (2017) who revealed that personal innovativeness and self-efficacy did not affect the usage of technology. This may indicate that Malaysians are lacking confidence and skills in adopting mobile payment services due to inadequate exposure. Thus, the public should be educated on how to use mobile payment services so that the technology can become an integral part of people's lives.

Table 11

Hypothesis testing for direct effect

Hypothesis	Path Coefficient	P-Values (P)	Confidence Bias Co	Supported	
	(C)		2.5%	97.5%	-
H _{1a} : Personal innovativeness will have a significant positive relationship on the actual adoption of Alipay in Malaysia.	036	.599	168	.096	No

Table 11 (Continued)

Hypothesis	Path Coefficient	P-Values (P)	Confidence Bias C	Supported	
	(C)		2.5%	97.5%	_
H _{1b} : Mobile payment knowledge will have a significant positive relationship on the actual adoption of Alipay in Malaysia.	.120	.069	011	.249	No (5% sig. level) Yes (10% sig. level)
H _{1c} : Self-efficacy will have a significant positive relationship on the actual adoption of Alipay in Malaysia.	.044	.540	105	.179	No
H _{3a} : Convenience will have a significant positive relationship on the actual adoption of Alipay in Malaysia.	.097	.134	036	.218	No
H _{3b} : Compatibility will have a significant positive relationship on the actual adoption of Alipay in Malaysia.	.257	.000	.128	.396	Yes

Mediation Effect

The mediation effect between the explanatory variables and the actual adoption of Alipay was determined based on a two-stage estimation that was, (1) significance of mediation effect on indirect effect and (2) strength of mediation effect using the Variance Accounted For (VAF). Based on Table 12, surprisingly, PEOU had no mediation effect on all of the explanatory variables and the actual adoption of Alipay. This might have been due to the Alipay wallet not being easily adopted in Malaysia. For example, the English language version

of Alipay is not comprehensive for all Malaysians, as the application is mostly displayed in the Chinese language.

The mediator of the PU was found to partially mediate the relationship between convenience and compatibility towards the actual adoption of Alipay. The convenience variable was not directly related to the actual adoption of Alipay but was mediated by the PU to form a significant relationship. This implied that convenience might not be the main concern unless consumers believed that using Alipay would enhance their payment performance through mobile

devices. Besides, compatibility was found to be a strong determinant of the adoption of Alipay in Malaysia. The partial mediation signified that the relationship between compatibility and the actual adoption of Alipay was also linked through the PU. Consumers who believed that the use of Alipay was to fulfil their needs would adopt it without hesitation. Besides, the result of the PU influencing actual adoption was consistent with the findings from previous studies (e.g. Liu et al., 2018; Z. Wang & Dong, 2016), which demonstrated that new inventions with a higher PU tended to be easily accepted by consumers.

Table 12
Hypothesis testing for mediation effect

Hypothesis	Indirect Effect		Confidence Intervals Bias Corrected		Variance Accounted For (VAF)	Supported	
	Coefficient	P-values (P)	2.5%	97.5%	_		
H _{2a} : Personal innovativeness will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.	.007	.587	013	.039	-	No	
H _{2b} : Mobile payment knowledge will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.	.007	.595	013	.045	-	No	
H _{2c} : Self-efficacy will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.	.010	.580	022	.052	-	No	
H _{4a} : Convenience will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.	.010	.582	017	.060	-	No	

Table 12 (Continued)

Hypothesis	Indirect Effect		Confidence Intervals Bias Corrected		Variance Accounted For (VAF)	Supported
	Coefficient	P-values (P)	2.5% 97.5%		•	
H _{4b} : Compatibility will be mediated by the PEOU towards the actual adoption of Alipay in Malaysia.	.009	.595	019	.055	-	No
H _{5a} : Convenience will be mediated by the PU towards the actual adoption of Alipay in Malaysia.	.069	.005	.027	.122	39.20% (Partial Mediation)	Yes
H _{5b} : Compatibility will be mediated by the PU towards the actual adoption of Alipay in Malaysia.	.104	.000	.059	.168	28.03% (Partial Mediation)	Yes

CONCLUSION AND POLICY IMPLICATIONS

Alipay has grown tremendously over the years and overtook PayPal as the world's largest mobile payment platform in 2013. Its introduction changed the users' behaviour in carrying out financial transactions, as they no longer needed to depend on physical cards to make payments. However, the penetration of mobile payment services, particularly m-wallets, in Malaysia is still considered low. In this regard, this study analysed the issue from the perspective of the actual adoption of Alipay, in the context of Malaysia.

This study provided the following findings. First, compatibility had a direct

relationship with actual adoption. Similarly, knowledge about mobile payment services affected the actual adoption of mobile payment services directly. Second, the PU played the role of a mediator in influencing the effect of compatibility on actual adoption. Likewise, the linkage between convenience and actual adoption was mediated by the PU. Third, the PEOU did not act as a mediator in influencing the effects of innovativeness, mobile payment knowledge, self-efficacy, convenience, and compatibility on actual adoption. Fourth, personal innovativeness, mobile payment knowledge and self-efficacy were found to not contribute any significant effect on the adoption of m-wallets.

Theoretical Implications

The present study adds to the limited literature available on the actual adoption of m-wallet by adapting the framework used by C. Kim et al. (2010) and G. Wang et al. (2019). This study serves as the forerunner in engaging structural equation modelling to focus on the mediation effect of consumers' PEOU and PU on m-wallet adoption. For this reason, this study fills the gap of comprehending the main factors that influence consumers' adoption of m-wallet and provides a better understanding of mobile payment platforms, in the context of Malaysia.

Additionally, each item of the constructs had specific importance. However, existing literature ignores this strand of research. In this regard, IPMA was used to measure the performance of each item; from significant constructs, such as perceived usefulness and compatibility. Hence, taking the performance of each indicator, from all of the constructs into consideration, was proven to be sound in providing diversified views and enhancing the existing knowledge about mobile payments adoption, particularly in the context of Alipay.

Practical Implications

To increase the actual adoption of m-wallet services in Malaysia, the following practical implications are suggested, based upon the study's findings. First, service providers are suggested to emphasise compatibility, to ensure that their services can meet users' current needs, values, and lifestyles. The service providers should incorporate

additional features that could integrate with Malaysian lifestyles, so that, if users find these additional features are valuable and functional, they will start to adopt the mobile payment services.

Second, as knowledge of mobile payment services plays a vital role in stimulating actual adoption, it is essential to increase consumer awareness about the technology and its benefits. The service providers could improve consumers' knowledge of mobile wallets via various channels, such as roadshows, social media, and advertisements. It is necessary to educate the potential young users about m-wallet benefits. Apart from an effective payment tool, m-wallet could also be used to receive and send money instantly, with no additional charges, as well as to provide several money-saving opportunities via cashback, discounts, loyalty points, and rewards redemption.

Third, the government is suggested to provide incentives (e.g. tax relief/ exemption) to businesses in order to encourage them to conduct their business transactions using mobile payment services. As more businesses use mobile payment services, throughout the country, consumers' convenience in adopting the technology could also be enhanced. However, as shown by the results, convenience can only be translated into actual adoption with a high level of PU. In such a case, mobile wallet providers should improve the PU of their products, as only mobile wallets with a greater level of PU are likely to be adopted by consumers.

ACKNOWLEDGEMENTS

We thank Chong Yee Lee for her assistance in data collection. This work was supported by the UTAR Research Fund 2018 Cycle 2, Universiti Tunku Abdul Rahman, Kampar, Perak [IPSR/RMC/UTARRF/2018-C2/Y03, 6200/Y62, 2018].

REFERENCES

- Agarwal, R., & Prasad, J. (1998). A conceptual and operational definition of personal innovativeness in the domain of information technology. *Information Systems Research*, 9(2), 204-215. https://doi.org/10.1287/isre.9.2.204
- Alalwan, A. A., Dwivedi, Y. K., Rana, N. P., & Williams, M. D. (2016). Consumer adoption of mobile banking in Jordan: Examining the role of usefulness, ease of use, perceived risk and self-efficacy. *Journal of Enterprise Information Management*, 29(1), 118-139. https://doi.org/10.1108/JEIM-04-2015-0035
- Al-Jabri, I. M., & Sohail, M. S. (2012). Mobile banking adoption: Application of diffusion of innovation theory. *Journal of Electronic Commerce Research*, 13(4), 379-391.
- Arvidsson, N. (2014). Consumer attitudes on mobile payment services Results from a proof of concept test. *International Journal of Bank Marketing*, 32(2), 150-170. https://doi.org/10.1108/IJBM-05-2013-0048
- Axsen, J., TyreeHageman, J., & Lentz, A. (2012). Lifestyle practices and pro-environmental technology. *Ecological Economics*, 82, 64-74. https://doi.org/10.1016/j.ecolecon.2012.07.013
- Bailey, A. A., Pentina, I., Mishra, A. S., & Mimoun, M. S. B. (2017). Mobile payments adoption by US consumers: An extended TAM. International Journal of Retail & Distribution Management, 45(6), 626-640. https://doi.org/10.1108/IJRDM-08-2016-0144

- Bandura, A. (1997). Self-efficacy: The exercise of control. Macmillan.
- Bank Negara Malaysia. (2019). Payment systems. http://www.bnm.gov.my/index.php?ch=ps&pg=ps_mep_drv_toward&ac=193&lang=en
- Cheng, Y. M. (2015). Towards an understanding of the factors affecting m-learning acceptance: Roles of technological characteristics and compatibility. Asia Pacific Management Review, 20(3), 109-119. https://doi.org/10.1016/j. apmrv.2014.12.011
- Chi, T. (2018). Understanding Chinese consumer adoption of apparel mobile commerce: An extended TAM approach. *Journal of Retailing and Consumer Services*, 44, 274-284. https://doi.org/10.1016/j.jretconser.2018.07.019
- Coursaris, C., & Hassanein, K. (2002). Understanding m-commerce: A consumercentric model. *Quarterly Journal of Electronic Commerce*, 3, 247-272.
- Coursaris, C. K., & Van Osch, W. (2015). Lifestyle-technology fit: Theorizing the role of self-identity in IS research. *Computers in Human Behavior*, 49, 460-476. https://doi.org/10.1016/j. chb.2015.02.049
- Davis, F. D. (1989). Perceived usefulness, perceived ease of use, and user acceptance of information technology. *MIS Quarterly*, *13*(3), 319-340. https://doi.org/10.2307/249008
- Davis, F. D. (1993). User acceptance of information technology: System characteristics, user perceptions and behavioral impacts. *International Journal of Man-machine Studies*, *38*(3), 475-487. https://doi.org/10.1006/imms.1993.1022
- Davis, F. D., Bagozzi, R. P., & Warshaw, P. R. (1989). User acceptance of computer technology: A comparison of two theoretical models. *Management Science*, 35(8), 982-1003.
- Fornell, C., & Larcker, D. F. (1981). Evaluating Structural Equation Models with unobservable

- variables and measurement error. *Journal of Marketing Research*, 18(1), 39-50. https://doi.org/10.1177/002224378101800104
- Garrett, J. L., Rodermund, R., Anderson, N., Berkowitz, S., & Robb, C. A. (2014). Adoption of mobile payment technology by consumers. Family and Consumer Sciences Research Journal, 42(4), 358-368.
- Gefen, D., Straub, D., & Boudreau, M. C. (2000). Structural equation modeling and regression: Guidelines for research practice. Communications of the Association for Information Systems, 4, 7. https://doi.org/10.17705/1CAIS.00407
- Gu, D., Khan, S., Khan, I. U., & Khan, S. U. (2019). Understanding mobile tourism shopping in Pakistan: An integrating framework of Innovation Diffusion Theory and Technology Acceptance Model. *Mobile Information Systems*, 2019, 1490617. https://doi.org/10.1155/2019/1490617
- Hair, J. F., Anderson, R. E., Tatham, R. L., & Black, W.C. (1998). *Multivariate data analysis*. Prentice Hall International.
- Hair, J. F., Hauff, S., Hult, G. T., Richter, N. F., Ringle, C. M., & Sarstedt, M. (2017). A primer on Partial Least Squares Structural Equation Modelling (PLS-SEM) (2nd ed.). Sage Publication Inc.
- Hair, J. F., Hult, G. T. M., Ringle, C. M., & Sarstedt, M. (2014). A primer on partial least squares structural equation model (PLS-SEM). Sage Publication Inc.
- Hair, J. F., Ringle, C. M., & Sarstedt, M. (2013). Partial least squares structural equation modeling: Rigorous applications, better results and higher acceptance. *Long Range Planning*, 46(1-2), 1-12.
- Henseler, J., Dijkstra, T. K., Sarstedt, M., Ringle, C. M., Diamantopoulos, A., Straub, D. W., Ketchen, D. J., Hair, J. F., Hult, G. T. M., & Calantone, R. J. (2014). Common beliefs and reality about Partial Least Squares: Comments

- on Ronkko & Envermann (2013). *Organizational Research Methods*, *17*(2), 182-209. https://doi.org/10.1177/1094428114526928
- Hoofnagle, C. J., Urban, J. M., & Li, S. (2012). *Mobile payments: Consumer benefits & new privacy concerns*. SSRN. https://papers.ssrn.com/sol3/papers.cfm?abstract_id=2045580
- Humbani, M., & Wiese, M. (2018). A cashless society for all: Determining consumers' readiness to adopt mobile payment services. *Journal of African Business*, 19(3), 409-429. https://doi.org/10.1080/15228916.2017.1396792
- Isaac, O., Aldholay, A., Abdullah, Z., & Ramayah, T. (2019). Online learning usage within Yemeni higher education: The role of compatibility and task-technology fit as mediating variables in the IS success model. *Computers & Education*, 136, 113-129. https://doi.org/10.1016/j.compedu.2019.02.012
- Jahmani, K., Fadiya, S. O., Abubakar, A. M., & Elrehail, H. (2018). Knowledge content quality, perceived usefulness, KMS use for sharing and retrieval: A flock leadership application. VINE Journal of Information and Knowledge Management Systems, 48(4), 470-490. https://doi.org/10.1108/VJIKMS-08-2017-0054
- Jaradat, M. I. R. M., & Mashaqba, A. M. A. (2014). Understanding the adoption and usage of mobile payment services by using TAM3. *International Journal of Business Information Systems*, 16(3), 271-296. https://doi.org/10.1504/ijbis.2014.063768.
- Kabra, G., Ramesh, A., Akhtar, P., & Dash, M. K. (2017). Understanding behavioural intention to use information technology: Insights from humanitarian practitioners. *Telematics and Informatics*, 34(7), 1250-1261. https://doi. org/10.1016/j.tele.2017.05.010
- Kadar, H. H. B., Sameon, S. S. B., Din, M. B. M., & Rafee, P. B. A. (2019). Malaysia towards cashless society. In M. Othman, M. Abd Aziz,

- M. Md Saat, & M. Misran (Eds.), *Proceedings of the 3rd International Symposium of Information and Internet Technology (SYMINTECH 2018)* (pp. 34-42). Springer, Cham. https://doi.org/10.1007/978-3-030-20717-5 5
- Kim, C., Mirusmonov, M., & Lee, I. (2010). An empirical examination of factors influencing the intention to use mobile payment. *Computers in Human Behavior*, 26(3), 310-322. https://doi. org/10.1016/j.chb.2009.10.013
- Kim, H.-Y., Lee, J. Y., Mun, J. M., & Johnson, K. K. P. (2017). Consumer adoption of smart in-store technology: Assessing the predictive value of attitude versus beliefs in the technology acceptance model. *International Journal of Fashion Design, Technology and Education*, 10(1), 26-36. https://doi.org/10.1080/1754326 6.2016.1177737
- Kim, S., & Baek, T. H. (2018). Examining the antecedents and consequences of mobile app engagement. *Telematics and Informatics*, 35(1), 148-158. https://doi.org/10.1016/j. tele.2017.10.008
- Kline, R. B. (2011). *Principles and practice of structural equation modelling*. Guilford.
- Kock, N., & Lynn, G. S. (2012). Lateral collinearity and misleading results in variance-based SEM: An illustration and recommendation. *Journal of the Association for Information Systems*, 13(7), 546-580.
- Koksal, M. H. (2016). The intentions of Lebanese consumers to adopt mobile banking. *International Journal of Bank Marketing*, 34(3), 327-346. https://doi.org/10.1108/IJBM-03-2015-0025
- Li, H., Liu, Y., & Heikkilä, J. (2014). Understanding the factors driving NFC-enabled mobile payment adoption: An empirical investigation. *PACIS* 2014 Proceedings, 231. https://aisel.aisnet.org/pacis2014/231

- Lim, V. (2017, June 29). Asia: Increasing digital wallet usage amongst Malaysian consumers.

 RFi Group. https://www.rfigroup.com/rfi-group/news/asia-increasing-digital-wallet-usage-amongst-malaysian-consumers
- Lin, H-F. (2011). An empirical investigation of mobile banking adoption: The effect of innovation attributes and knowledge-based trust. *International Journal of Information Management*, 31(3), 252-260. https://doi.org/10.1016/j.ijinfomgt.2010.07.006
- Liu, Y., Hong, Z., Zhu, J., Yan, J., Qi, J., & Liu, P. (2018). Promoting green residential buildings: Residents' environmental attitude, subjective knowledge, and social trust matter. *Energy Policy*, 112, 152-161. https://doi.org/10.1016/j.enpol.2017.10.020
- Lunneborg, P. W. (1979). The vocational interest inventory: Development and validation. *Educational and Psychological Measurement*, 39(2), 445-451. https://doi.org/10.1177/001316447903900226
- Madan, K., & Yadav, R. (2018). Understanding and predicting antecedents of mobile shopping adoption: A developing country perspective. *Asia Pacific Journal of Marketing and Logistics*, 30(1), 139-162. https://doi.org/10.1108/APJML-02-2017-0023
- Martens, M., Roll, O., & Elliott, R. (2017). Testing the technology readiness and acceptance model for mobile payments across Germany and South Africa. *International Journal of Innovation and Technology Management*, 14(6), 1750033. https://doi.org/10.1142/S021987701750033X
- Malaysian Communications and Multimedia Commission. (2017). *Handphone users survey* 2017. https://www.mcmc.gov.my/resources/ statistics/hand-phone-surveys
- Moslehpour, M., Pham, V., Wong, W-K., & Bilgiçli, I. (2018). E-Purchase intention of Taiwanese consumers: Sustainable mediation

- of perceived usefulness and perceived ease of use. *Sustainability*, 10(1), 234. https://doi.org/10.3390/su10010234
- Nascimento, J. C. H. P. D., & Macedo, M. A. D. S. (2016). Modelagem de Equações Estruturais com Mínimos Quadrados Parciais: Um exemplo daaplicação do SmartPLS® em pesquisas em contabilidade [Structural Equation Models using Partial Least Squares: An example of the application of SmartPLS® in accounting research]. *Journal of Education and Research in Accounting*, 10(3), 282-305. http://dx.doi. org/10.17524/repec.v10i3.1376
- Nielsen. (2019, January 3). Cash or cashless?

 Malaysia's shifting payment landscape. Nielsen.

 https://www.nielsen.com/my/en/insights/
 article/2019/cash-or-cashless-malaysiasshifting-payment-landscape/
- Nuryyev, G., Wang, Y-P., Achyldurdyyeva, J., Jaw, B-S., Yeh, Y-S., Lin, H-T., & Wu, L-F. (2020). Blockchain technology adoption behavior and sustainability of the business in tourism and hospitality SMEs: An empirical study. *Sustainability*, 12(3), 1256. https://doi.org/10.3390/su12031256
- Obe, O. O., & Balogun, V. F. (2007). Practice, trends and challenges of mobile commerce in Nigeria. *Information Technology Journal*, *6*(3), 448-456. https://doi.org/ 10.3923/itj.2007.448.456
- Ondrus, J., Lyytinen, K., & Pigneur, Y. (2009). Why mobile payments fail? Towards a dynamic and multi-perspective explanation. 2009 42nd Hawaii International Conference on System Sciences, 1-10. https://doi.org/10.1109/hicss.2009.510
- Ozturk, A. B., Bilgihan, A., Nusair, K., & Okumus, F. (2016). What keeps the mobile hotel booking users loyal? Investigating the roles of self-efficacy, compatibility, perceived ease of use, and perceived convenience. *International Journal of Information Management*, 36(6), 1350-1359. https://doi.org/10.1016/j.ijinfomgt.2016.04.005

- Pal, D., Vanijja, V., & Papasratorn, B. (2015). An empirical analysis towards the adoption of NFC mobile payment system by the end user. *Procedia Computer Science*, 69, 13-25. https://doi.org/10.1016/j.procs.2015.10.002
- Pham, T. T. T., & Ho, J. C. (2015). The effects of product-related, personal-related factors and attractiveness of alternatives on consumer adoption of NFC-based mobile payments. *Technology in Society, 43,* 159-172. https://doi.org/10.1016/j.procs.2015.10.002
- Pikri, E. (2018, July 20). How many e-wallets is too many wallets in Malaysia? *Fintech Malaysia*. https://fintechnews.my/17900/payments-remittance-malaysia/e-wallets-digital-payment-malaysia-saturated/
- Ramos-de-Luna, I., Montoro-Ríos, F., & Liébana-Cabanillas, F. (2016). Determinants of the intention to use NFC technology as a payment system: An acceptance model approach. *Information Systems and e-Business Management*, 14(2), 293-314. https://doi.org/10.1007/s10257-015-0284-5
- Ringle, C., & Sarstedt, M. (2016). Gain more insight from your PLS-SEM results: The importance-performance map analysis. *Industrial Management & Data Systems*, 116(9), 1865-1886. https://doi.org/10.1108/IMDS-10-2015-0449
- Rashed, A., Santos, H., & Aleryani, A. Y. (2014). Determinants of behavioral intention to mobile banking: Case from Yemen. MMEDIA 2013: The Fifth International Conferences on Advances in Multimedia, 96-99.
- Rogers, E. M. (1995). *Diffusion of innovations*. Free Press.
- Rondan-Cataluña, F. J., Arenas-Gaitán, J., & Ramírez-Correa, P. E. (2015). A comparison of the different versions of popular technology acceptance models: A non-linear perspective. *Kybernetes*, 44(5), 788-805. https://doi.org/10.1108/K-09-2014-0184

- Sen, A. (2019, February 11). Malaysia's overpopulated e-wallet landscape: Deep pockets not enough.

 The Low Down. https://thelowdown.momentum.
 asia/malaysias-overpopulated-e-wallet-landscape-deep-pockets-not-enough/
- Shaw, N. (2015). The mediating role of perceived security: An empirical study of mobile wallet adoption in USA. In *International Conference on HCI in Business* (pp. 358-369). Springer, Cham.
- Shin, D. H. (2010). Modeling the interaction of users and mobile payment system: Conceptual framework. *International Journal of Human Computer Interaction*, 26(10), 917-940.
- Singh, N., & Sinha, N. (2020). How perceived trust mediates merchant's intention to use a mobile wallet technology. *Journal of Retailing and Consumer Services*, 52, 101894. https://doi.org/10.1016/j.jretconser.2019.101894
- Sorensen, E. (2018, May 31). *Different types of mobile payments explained*. Mobile Transaction. https://www.mobiletransaction.org/different-types-of-mobile-payments/
- Surendran, P. (2012). Technology acceptance model: A survey of literature. *International Journal of Business and Social Research*, 2(4), 175-178. https://doi.org/10.18533/ijbsr.v2i4.161
- Taherdoost, H. (2018). A review of technology acceptance and adoption models and theories. *Procedia Manufacturing*, 22, 960-967. https://doi.org/10.1016/j.promfg.2018.03.137
- Tan, J. (2018, September 4). Malaysia and Singapore among Top 10 Alipay overseas spending markets. Marketing-Interactive. https://www.marketing-interactive.com/malaysia-and-singapore-among-top-10-alipay-overseas-spending-markets/
- Venkatesh, V. (2000). Determinants of perceived ease of use: Integrating control, intrinsic motivation, and emotion into the technology acceptance model. *Information systems research*, 11(4), 342-365. https://doi.org/10.1287/isre.11.4.342.11872

- Venkatesh, V., & Davis, F. D. (2000). A theoretical extension of the technology acceptance model: Four longitudinal field studies. *Management Science*, 46(2), 186-204. https://doi.org/10.1287/ mnsc.46.2.186.11926
- Venkatesh, V., Morris, M. G., Davis, G. B., & Davis, F.D. (2003). User acceptance of information technology: Toward a unified view. MIS Quarterly, 27(3), 425-478. https://doi.org/10.2307/30036540
- Wang, G., Putri, N. M., Christianto, A., & Hutama, D. (2019). An empirical examination of characteristics of mobile payment users in Indonesia. *Journal of Theoretical and Applied Information Technology*, 97(1), 169-182.
- Wang, Z., & Dong, X. (2016). Determinants and policy implications of residents' new energy vehicle purchases: The evidence from China. *Natural Hazards*, 82(1), 155-173. https://doi.org/10.1007/s11069-016-2185-4
- Yan, H., & Yang, Z. (2015). Examining mobile payment user adoption from the perspective of trust. *International Journal of u- and e-Service, Science and Technology*, 8(1), 117-130.
- Yang, S., Lu, Y., Gupta, S., Cao, Y., & Zhang, R. (2012). Mobile payment services adoption across time: An empirical study of the effects of behavioral beliefs, social influences, and personal traits. *Computers in Human Behavior*, 28(1), 129-142. https://doi.org/10.1016/j.chb.2011.08.019
- Zainab, B., Bhatti, M. A., & Alshagawi, M. (2017). Factors affecting e-training adoption: An examination of perceived cost, computer self-efficacy and the technology acceptance model. *Behaviour & Information Technology*, 36(12), 1261-1273. https://doi.org/10.1080/014492 9X.2017.1380703



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Which Consumers are Least Likely to Have a Balanced Diet in Japan?

Akira Ishida1* and Emiko Ishida2

¹Graduate School of Agricultural Science, Kobe University, Kobe, 657-8501, Japan ²Hyogo University of Health Sciences, Kobe, 650-0045, Japan

ABSTRACT

There have been only a few large-scale nationwide studies regarding the frequency of eating a balanced diet consisting of staple food, the main dish, and side dishes in Japan. Therefore, this study aimed to clarify factors affecting the frequency of eating a balanced meal that consists of staple food, the main dish, and side dishes twice a day. We analyzed the secondary data of 13,772 responses from the 7-year pooled cross-sectional data of the nationwide Surveys of Attitudes toward *Shokuiku* (Food and Nutrition Education) by the Cabinet Office and the Ministry of Agriculture, Forestry and Fisheries of Japan. Ordered logit regression was used to find factors affecting the frequency of having a balanced diet. Our estimation results suggested that gender, age, cohabitation, eating meals with family, subjective economic status, and residential area could be factors affecting the probability of having balanced meals every day. In conclusion, single men in their 20s-50s, single men in their 80s, older male adults living but not eating together with family, single women in their 20s-30s, and individuals with low economic status were identified as high-risk groups

ARTICLE INFO

Article history:
Received: 4 August 2020
Accepted: 3 November 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.23

E-mail addresses:
akira_ishida@people.kobe-u.ac.jp (Akira Ishida)
ei-ishida@huhs.ac.jp (Emiko Ishida)
*Corresponding author

who did not have a balanced diet in Japan. Moreover, we found that the government health promotion program called *Kenko Nippon 2013* (Health Japan 21, the second term) did not improve the dietary behavior of the consumer in Japan.

Keywords: Balanced diet, cohabitation, Japan, Ordered logit, Shokuiku (food and nutrition education)

INTRODUCTION

It has been well documented that, along with tobacco use, insufficient physical activity, and harmful alcohol consumption, a diet that is not nutritionally diverse or balanced causes noncommunicable diseases (World Health Organization [WHO], 2011), such as cardiovascular or metabolic diseases (Micha et al., 2017), some forms of cancer (Vieira et al., 2016), and chronic obstructive pulmonary disease (Schols et al., 2014), and aggravates frailty in later life (Wang et al., 2020). Meanwhile, food and nutritional interventions may promote healthy eating behaviors and improve the quality of life (Cecchini et al., 2010; Krishnan & Zhou, 2019; Zhou et al., 2018). Therefore, the report by WHO (2011) has recommended the implementation of government interventions aimed at improving nutritional health. Detailed targets have been set and nutritional intervention programs carried out in many countries, including Japan.

Since 2013, the Japanese government has implemented the health promotion program called *Kenko Nippon 21*, or Health Japan 21 (the second term). The program encourages eating a balanced diet consisting of staple food, main dish, and side dish more than twice a day to increase fruit and vegetable intake, prevent both obesity/ overweight and underweight irrespective of age and gender, and thereby prevent and control non-communicable diseases. The program targets to increase the proportion of individuals who eat a balanced diet to 80% by 2022, but the rate had been fluctuating from a highest of 68.1% (2013) to a lowest

of 57.7% (2017) between 2013 and 2018, which is far below the target (Health Science Council, 2018). Such a situation indicates the need for researchers as well as policymakers to identify high-risk groups who do not eat a balanced diet and clarify the factors affecting dietary behavior among Japanese consumers.

To our knowledge, however, there have been only a few studies regarding the frequency of eating a balanced diet comprising a staple food, main dish, and side dish, based on nationwide surveys with a large sample size. Therefore, this study aimed to clarify the factors affecting the frequency of eating balanced meals by analyzing the 7-year pooled cross-sectional data of the nationwide Surveys of Attitudes toward *Shokuiku* (Food and Nutrition Education) by the Cabinet Office and the Ministry of Agriculture, Forestry and Fisheries of Japan.

MATERIALS AND METHODS

In 2005, the *Shokuiku* Basic Act was promulgated in Japan to promote food and nutrition education to encourage the public to eat a healthy diet. In the same year, a preliminary Special Public Opinion Survey on *Shokuiku* was conducted by the Cabinet Office to collect basic information on public awareness about food and nutrition practices. The survey was followed by the nationwide Survey of Attitudes toward *Shokuiku*, which has been conducted by the Japanese government annually since 2007. Individual secondary data of adults aged \geq 20 years from the

surveys conducted after 2007 are available upon personal request from the Center for Social Research and Data Archives, Institute of Social Science, the University of Tokyo, but we only used the pooled cross-sectional data of 2009, 2011, 2012, and 2014-2017 surveys from which all necessary information for analysis were available. The government used a twostage stratified random sampling method to select 5,000 participants from 2009 and 3,000 participants aged ≥20 years from each other year, considering that the number of people interviewed was proportional to the population ratio of each prefecture. Although the provided individual datasets were not longitudinal, the credibility of the respondents' answers seemed acceptable for quantitative analysis because trained staff conducted face-to-face interviews with those who agreed to participate. Of the total number of 23,000 participants, the number of respondents was 13,851, of whom 13,772 provided adequate data and were included for further analyses. Ethical approval was not required for this secondary analysis of publicly available data.

It has been reported that the frequency of eating the main dish, main side dishes, and sub-side dishes during a meal is positively associated with subjective quality of life in Japan (Ainuki et al., 2013). Moreover, it has been found that eating a main dish, main side dishes, and sub-side dishes during a meal more than twice a day can increase vegetable consumption among the middle-aged Japanese population (Ozawa et al., 2018) and pregnant Japanese women

(Hayashi et al., 2020). Therefore, we used the responses from the following question for analysis: "How many days on average per week do you eat the main dish (an energy source of carbohydrates such as rice, bread, or noodles), main side dishes (the main source of protein and fat such as fish, meat, eggs, or soybean products), and sub-side dishes (source of vitamins, minerals, and fiber, which are limited in main dishes and main side dishes) during a meal more than twice a day?" Given that the responses regarding the eating frequency were ordinal in nature (4 = almost every day,3 = 4-5 days/week, 2 = 2-3 days/week, 1 =≤1 day/week), ordered logit regression was used to obtain the predicted probability to analyze the factors that determine the extent of eating a balanced diet in Japan. All data were analyzed with STATA version 16.0, using 95% confidence intervals (CIs) and a significance level of 0.05.

After confirming a lack of multicollinearity between independent variables, the following categories were formulated: a dummy-coded gender variable (man and woman), a dummy-coded age variable (20-29, 30-39, 40-49, 50-59, 60-69, 70-79, and \geq 80 years old), a dummy-coded variable for cohabitation and eating with family (single, living but not eating with family, and living and eating with family), a dummy-coded variable for self-reported economic condition measured on a 5-point Likert scale (very bad, bad, so-so, good, and very good), a dummy-coded variable for the region (Eastern Japan excluding the Kanto region, Kanto region, Kinki

region, and Western Japan excluding the Kinki region), a dummy-coded variable for residence (ordinance-designated city, city with >100,000 people, city with <100,000 people, and village/town), and a dummy-coded variable for the government health promotion program (before and after the introduction of *Kenko Nippon 2013*). The frequency of each independent variable is shown in Table 1.

According to the 2015 National Health and Nutrition Survey in Japan (Ministry of Health, Labour and Welfare, 2017), the rate of having ≥350 g of vegetable intake per day – which is the government's target for promoting a healthy dietary life – is

considerably high, at approximately 20%, for respondents who eat the main dish, main side dishes, and sub-side dishes every day. Conversely, for the rest of the sample, the rate of eating ≥350 g of vegetables per day was ≤5.5%, clearly indicating that whether a respondent eats a nutritionally balanced diet every day or not is related to the amount of vegetable intake in Japan. Therefore, we divided the samples into two categories based on whether the individual eats a nutritionally balanced diet every day or not. The predicted probability of eating a balanced diet "almost every day" was used for further discussion below.

Table 1
Summary of independent variables

Variable	Frequency	%
Gender		
Female	7,593	55.1
Male	6,179	44.9
Age		
20s	1,099	8.0
30s	1,857	13.5
40s	2,402	17.4
50s	2,393	17.4
60s	3,093	22.5
70s	2,213	16.1
80s	715	5.2
Cohabitation and eating with family		
Single	1,222	8.9
Living and eating with family	8,138	59.1
Living but not eating with family	4,412	32.0

Table 1 (Continued)

Variable	Frequency	%
Subjective economic status		
Very bad	563	4.1
Bad	2,669	19.4
So-so	4,639	33.7
Good	4,364	31.7
Very good	1,537	11.2
Region		
Eastern Japan excluding the Kanto region	4,450	32.3
Kanto region	4,290	31.2
Kinki region	2,085	15.1
Western Japan excluding the Kinki region	2,947	21.4
Population size		
Ordinance-designated city	3,348	24.3
City with >100,000 people	5,749	41.7
City with <100,000 people	3,235	23.5
Village/town	1,440	10.5
Health promotion program		
Before the introduction of Kenko Nippon 2013	6,554	47.6
After implementing the program in 2013	7,218	52.4
Total	13,772	100.0

Note: Authors' calculation

RESULTS

The predicted probability of eating a nutritionally balanced diet daily was 0.600 (CI: 0.588-0.612) for men and 0.660 (CI: 0.650-0.670) for women, suggesting that women were more likely to eat a nutritionally balanced diet than men (see Table 2; the estimation results of the ordered logit regression are also shown in Appendix 1). As for age regardless of gender, the predicted probability consistently increased

with age, from 0.424 (CI: 0.397-0.452) for individuals in their 20s to 0.744 (CI: 0.723-0.764) for individuals in their 70s, and slightly decreased to 0.722 (CI: 0.686-0.759) for individuals in their 80s and above. However, we noted a wide gender difference in the tendency to eat a balanced diet daily, especially for older adults. Although the probability for men increased with age, peaking at 0.731 (CI: 0.702-0.761) in the 70s and decreasing to 0.648 (CI: 0.593-0.703) in

Table 2
Predicted probability of eating a balanced diet twice a day

	•		
	Predicted	95% confide	ence interval
	probability	Lower limit	Upper limit
Gender			
Female	0.660	0.650	0.670
Male	0.600	0.588	0.612
Age			
20s	0.424	0.397	0.452
30s	0.503	0.482	0.524
40s	0.582	0.563	0.601
50s	0.640	0.622	0.659
60s	0.705	0.689	0.721
70s	0.744	0.723	0.764
80s	0.722	0.686	0.759
Gender × age			
Female			
20s	0.435	0.399	0.470
30s	0.513	0.486	0.540
40s	0.618	0.593	0.644
50s	0.672	0.647	0.697
60s	0.744	0.722	0.766
70s	0.753	0.725	0.781
80s	0.797	0.751	0.843
Male			
20s	0.410	0.366	0.455
30s	0.492	0.458	0.526
40s	0.539	0.509	0.569
50s	0.606	0.578	0.633
60s	0.659	0.635	0.682
70s	0.731	0.702	0.761
80s	0.648	0.593	0.703

Table 2 (Continued)

	Predicted probability	95% confide	ence interval
		Lower limit	Upper limit
Cohabitation and eating together			
Single	0.426	0.399	0.453
Living and eating with family	0.691	0.681	0.701
Living but not eating with family	0.576	0.561	0.591
Gender × cohabitation and eating with family			
Female			
Single	0.508	0.469	0.547
Living and eating with family	0.706	0.693	0.718
Living but not eating with family	0.611	0.590	0.632
Male			
Single	0.325	0.291	0.359
Living and eating with family	0.673	0.657	0.689
Living but not eating with family	0.532	0.511	0.553
Cohabitation and eating together \times age			
Single			
20s	0.169	0.121	0.216
30s	0.202	0.142	0.261
40s	0.330	0.251	0.410
50s	0.452	0.377	0.528
60s	0.553	0.499	0.606
70s	0.573	0.514	0.631
80s	0.637	0.560	0.713
Living and eating with family			
20s	0.483	0.440	0.526
30s	0.570	0.540	0.600
40s	0.644	0.617	0.670
50s	0.704	0.680	0.728
60s	0.758	0.740	0.776
70s	0.802	0.782	0.821
80s	0.814	0.778	0.850

Table 2 (Continued)

	Predicted probability	95% confidence interval	
		Lower limit	Upper limi
Living but not eating with family			
20s	0.383	0.347	0.419
30s	0.463	0.430	0.495
40s	0.540	0.511	0.568
50s	0.581	0.551	0.611
60s	0.653	0.619	0.687
70s	0.685	0.635	0.735
80s	0.602	0.516	0.687
Gender × cohabitation and eating together x age			
Female × single			
20s	0.153	0.084	0.223
30s	0.196	0.104	0.287
40s	0.412	0.283	0.542
50s	0.607	0.485	0.728
60s	0.644	0.574	0.714
70s	0.655	0.594	0.716
80s	0.822	0.752	0.892
Female × living and eating with family			
20s	0.502	0.449	0.555
30s	0.575	0.540	0.610
40s	0.671	0.640	0.702
50s	0.706	0.676	0.736
60s	0.788	0.765	0.812
70s	0.804	0.777	0.831
80s	0.812	0.760	0.863
Female × living but not eating with family			
20s	0.386	0.336	0.436
30s	0.484	0.436	0.532
40s	0.579	0.538	0.620
50s	0.627	0.586	0.669
60s	0.691	0.643	0.739
70s	0.688	0.618	0.758
80s	0.763	0.657	0.869

Table 2 (Continued)

	Predicted	95% confidence interval	
	probability	Lower limit	Upper limit
Male × single			
20s	0.187	0.127	0.248
30s	0.210	0.142	0.278
40s	0.229	0.153	0.305
50s	0.263	0.186	0.339
60s	0.441	0.359	0.523
70s	0.471	0.365	0.578
80s	0.410	0.262	0.557
Male × living and eating with family			
20s	0.460	0.390	0.529
30s	0.563	0.512	0.615
40s	0.610	0.566	0.654
50s	0.701	0.662	0.740
60s	0.720	0.693	0.748
70s	0.799	0.770	0.827
80s	0.817	0.767	0.868
Male × living but not eating with family			
20s	0.379	0.328	0.430
30s	0.436	0.394	0.478
40s	0.492	0.453	0.530
50s	0.524	0.480	0.567
60s	0.606	0.559	0.653
70s	0.681	0.612	0.750
80s	0.403	0.263	0.544
Subjective economic status			
Very bad	0.512	0.476	0.549
Bad	0.570	0.553	0.587
So-so	0.627	0.614	0.640
Good	0.674	0.661	0.687
Very good	0.699	0.677	0.721

Table 2 (Continued)

	Predicted 95% confidence inte		ence interval
	probability	Lower limit	Upper limit
Region			
Eastern Japan excluding the Kanto region	0.645	0.631	0.658
Kanto region	0.629	0.615	0.643
Kinki region	0.628	0.609	0.646
Western Japan excluding the Kinki region	0.620	0.604	0.636
Population size			
Ordinance-designated city	0.637	0.621	0.652
City with >100,000 people	0.624	0.612	0.635
City with <100,000 people	0.646	0.630	0.661
Village/town	0.621	0.596	0.646
Region × population size			
Eastern Japan excluding the Kanto region			
Ordinance-designated city	0.625	0.595	0.655
City with >100,000 people	0.629	0.608	0.650
City with <100,000 people	0.679	0.655	0.702
Village/town	0.675	0.641	0.709
Kanto region			
Ordinance-designated city	0.636	0.614	0.658
City with >100,000 people	0.638	0.619	0.658
City with <100,000 people	0.607	0.574	0.640
Village/town	0.622	0.567	0.677
Kinki region			
Ordinance-designated city	0.654	0.619	0.689
City with >100,000 people	0.588	0.560	0.617
City with <100,000 people	0.703	0.663	0.743
Village/town	0.553	0.483	0.623
Western Japan excluding the Kinki region			
Ordinance-designated city	0.643	0.604	0.681
City with >100,000 people	0.620	0.596	0.645
City with <100,000 people	0.612	0.582	0.642
Village/town	0.586	0.544	0.628

Table 2 (Continued)

	Predicted probability	95% confidence interval	
		Lower limit	Upper limit
Health promotion program			
Before the introduction of <i>Kenko Nippon</i> 2013	0.673	0.663	0.683
After implementing the program in 2013	0.597	0.586	0.607

Note: All values of predicted probability are significant at 1%.

the 80s, it consistently increased with age, from 0.435 (CI: 0.399-0.470) for the 20s to 0.797 (CI: 0.751-0.843) for the 80s, for women. Thus, the difference in probability between men and women of the same age was greatest in their 80s.

As for cohabitation and eating meals with family, the probability of eating a balanced diet daily was 0.426 (CI: 0.399-0.453) for single individuals, 0.691 (CI: 0.681-0.701) for individuals living and eating with family, and 0.576 (CI: 0.561-0.591) for individuals living but not eating with family. These estimation results indicate that not only single individuals but also those living but not eating with family were more likely to eat a nutritionally unbalanced diet than those living and eating with family. The differences between these three individual categories were on average greater for men than for women, and single men had the lowest predicted probability of 0.325 (CI: 0.291-0.359) and women living and eating with the family the highest probability of 0.706 (CI: 0.693-0.718).

Considering gender, cohabitation, and eating meals with family, and age altogether,

we could observe a clear gender difference in the tendency to eat a balanced diet twice a day for older adults. The probability for single men was lowest at 0.187 (CI: 0.127-0.248) in the 20s, increased with age, peaked at 0.471 (CI: 0.365-0.578) in the 70s, and decreased to 0.410 (CI: 0.262-0.557) in the 80s. As for men living but not eating meals with family, the probability increased with age, from 0.379 (CI: 0.328-0.430) in the 20s to 0.681 (CI: 0.612-0.750) in the 70s, but drastically decreased to 0.403 (CI: 0.263-0.544) in the 80s. In contrast, the probability consistently increased with age, from 0.153 (CI: 0.084-0.223) and 0.386 (CI: 0.336-0.436) for the 20s to 0.822 (CI: 0.752-0.892) and 0.763 (CI: 0.657-0.869) for the 80s, for single women and women living but not eating meals with family, respectively.

Irrespective of gender, individuals who were living and eating meals with family were more likely to eat balanced meals as they get older. In addition, the predicted probability of eating a healthy balanced diet was higher at almost all ages among these individuals than among single individuals or those living but not eating with family.

We also noted the following two points. First, given that all probabilities for single women in their 20s-30s and single men in their 20s-50s were below 0.3, the majority of young single individuals and middle-aged single men were the least likely to eat a balanced meal every day. Second, more than half of single men over their 60s and men over their 80s who were living but not eating with their family were also less likely to eat a balanced meal every day.

In terms of subjective economic status, the probabilities of eating a healthy balanced diet among individuals at the bottom two categories of economic status were 0.512 (CI: 0.476-0.549) and 0.570 (CI: 0.553-0.587), while those for the top two categories were 0.674 (CI: 0.661-0.687) and 0.699 (CI: 0.677-0.721). These findings suggest that the higher the individual's economic status, the greater the predicted probability of eating a balanced diet.

The predicted probabilities by region were 0.645 (CI: 0.631-0.658) for Eastern Japan excluding the Kanto region, 0.629 (CI: 0.615-0.643) for the Kanto region, 0.628 (CI: 0.609-0.646) for the Kinki region, and 0.620 (CI: 0.604-0.636) for Western Japan excluding the Kinki region. These results suggest that respondents residing in Eastern Japan excluding the Kanto region were slightly more likely to eat a balanced meal than those in other regions. Considering both the region and population size of the residential area, we found that the predicted probability for Eastern Japan excluding the Kanto region increased as the population size decreased, with high values being 0.679 (CI: 0.655-0.702) for a city with a population of <100,000 and 0.675 (CI: 0.641-0.709) for a village/town with the smallest population. However, the probability generally decreased as the population size decreased in Western Japan, and was the lowest in a village/town with the smallest population (0.553 [CI: 0.483-0.623] in the Kinki region and 0.586 [CI: 0.544-0.628] in Western Japan excluding the Kinki region). Among the four regions, the Kanto region had the narrowest range of probability (0.607-0.638) of eating a healthy balanced diet according to the population size.

The predicted probability before *Kenko Nippon 2013* was introduced was 0.673 (CI: 0.663-0.683), and that after 2013 was 0.597 (CI: 0.586-0.607). These findings suggest that the government health promotion program was not effective in improving the dietary behavior of Japanese consumers.

DISCUSSION

This study showed that men were less likely to eat a nutritionally balanced diet than women. This result is consistent with findings by previous studies pointing out that men tend to engage in more unfavorable dietary practices than women, such as breakfast skipping (Arimune et al., 2012; Mishra et al., 2017), nutritionally unbalanced diet (Mishra et al., 2017), and over-intake of fat, sugar, and salt (Mishra et al., 2017). Women were also reported to be less likely to practice poor dietary habits (Fukuda et al., 2005) and showed more positive attitudes toward healthy eating

(Ainuki et al., 2013; Akamatsu et al., 2005). These gender differences in the frequency of eating a nutritionally balanced diet may be explained by the fact that women have more nutritional knowledge (Matsumoto et al., 2019), are more conscious about food safety (Kageyama et al., 2007), are more aware of the relationships between diet and health (Girois et al., 2001), and understand more that a combination of main dish, main side dishes, and sub-side dishes comprises a well-balanced meal (Ministry of Health, Labour and Welfare, 2020).

We also found that older people were more likely to eat a nutritionally balanced diet every day, which is consistent with the findings of Mishra et al. (2017) and the Ministry of Health, Labour and Welfare (2020). Several studies have shown that the younger generation is more likely to skip breakfast (Arimune et al., 2012; Mishra et al., 2017), practice poor dietary habits (Fukuda et al., 2005), and rarely check food labels for food choice (Kageyama et al., 2007). Although to our knowledge, very few Japanese studies have analyzed whether the poor dietary habits of the younger generation will improve with age, a national survey by the Ministry of Health, Labour and Welfare (2019) had shown that the proportions of people who skipped breakfast tended to increase especially among middleaged people between 2003 and 2017. This finding may suggest that a fraction of the younger generation did not likely have any improvement in poor dietary habits along with age in the last 15 years.

Among all gender, age, and cohabitation groups, single women in their 20s-30s and single men in their 20s-50s showed the lowest probability of eating a nutritionally balanced diet every day. The average percentages of unmarried men (and women) at the age of 45-49 and 50-54 years have increased from 3.9% (4.3%) in 1985 to 23.4% (14.1%) in 2015 and are predicted to increase to 29.5% (18.7%) in 2040 (Cabinet Office, 2018). If the percentage of unmarried individuals continues to increase in the younger and middle-aged generations in the next decades, the proportions of single men and women may increase but not decrease in the future. Thus, there is a need to improve dietary practices among young and middle-aged adults, especially single men and women.

In this study, the predicted probabilities of eating balanced meals every day for single men over their 60s and men in their 80s who live but do not eat meals with their families were significantly lower than those for elderly women and men who eat meals with their families. In addition, among male and female older adults, those who live but do not eat meals with family were apparently less likely to eat balanced meals than older peers of the same age. Ohara et al. (2020) found that, regardless of cohabitation status, eating alone was significantly associated with oral frailty among older adults, even after controlling for possible confounders. Social isolation may lead to malnutrition (Arai & Sakakibara, 2015) and loss of appetite (Fukunaga et al., 2012), and eating alone may result in dissatisfaction

with one's daily dietary habits (Ishida & Ishida, 2019; Yoshida et al., 2012). Therefore, not only cohabitation status but also eating meals with family are crucial when evaluating unbalanced nutrition intake in older adults irrespective of gender. Tsuji et al. (2019) reported that low dietary diversity was significantly associated with malnutrition among older Japanese homecare recipients. Meanwhile, a high dietary variety prevented a decline in functional capacity (Kumagai et al., 2003), physical performance (Yokoyama et al., 2017), and cognitive function (Otsuka et al., 2017) among older adults. Several studies have shown that local government-led measures such as community health worker-based interventions (Murayama et al., 2020) and community-based social health programs (Kimura et al., 2013) improve dietary diversity among community-dwelling older people in Japan. Therefore, effective nutritional health measures should be taken to prevent poor dietary habits in response to rapid aging among older adults.

We also found that the higher the individual's economic status, the greater the predicted probability of eating a balanced diet every day. This finding is consistent with those of previous studies in North America, Australia, and European countries (Darmon & Drewnowski, 2008; Zujko et al., 2020) and those of previous Japanese studies pointing out that a high income or socioeconomic status was associated with a reduced likelihood of poor dietary habits (Fukuda et al., 2005; Fukuda & Hiyoshi, 2012; Hayashi et al., 2015; Ministry of

Health, Labour and Welfare, 2020). Nagahata et al. (2018) and The Ministry of Health, Labour and Welfare (2020) also pointed out that a low socioeconomic status was associated with low vegetable, fish, meat, and milk intakes in a representative Japanese population. The most plausible explanation for these findings is that household members with a low income or subjective economic status tend to not eat a balanced diet because they are less likely to afford to purchase a wide variety of nutrient-rich foods, which are relatively more expensive than low-nutrient and energy-dense foods. Other possible explanations are that high economic status is associated with more knowledge on food choice and cooking, more interest in cooking and tasting food, and more emphasis on nutritional values when purchasing food (Hayashi et al., 2015). Hence, a low household income or economic status is a risk factor for unbalanced dietary intakes. As the proportion of irregular workers with generally low and unstable income is steadily increasing and the rise in their wages is limited due to the long-term stagnant economic growth in Japan, attention should be paid to strengthening the social security support for low-income households, increasing the minimum wages set by the district government, and improving the working conditions of irregular workers to improve their subjective economic status.

In this study, respondents residing in Eastern Japan excluding the Kanto region were slightly more likely to eat a balanced meal than those in other regions. There have been few studies based on nationwide

surveys regarding regional differences in the frequency of eating balanced meals. According to the 2015 National Health and Nutrition Survey, the prefectures where the average daily vegetable intakes for men and women exceed the government's target of 350 g are Nagano, Fukushima, Tokushima, Miyagi, Aomori, and Yamanashi. All these prefectures except Tokushima are located in the Tosan and Tohoku regions of Eastern Japan, where the production and supply of vegetables and fruits are not only for urban consumers mainly around the most populous area of Tokyo and other Kanto areas but also for local consumers, through supermarkets, greengrocers, and farmers' markets. In addition, Machida et al. (2017) found a positive relationship between vegetable intake frequency and per capita amount of not-for-sale vegetables ([amount of vegetable production - the amount of vegetables shipped]/number of population) produced in each prefecture. They also estimated that all six prefectures of Tohoku and Nagano of Tosan were included in the top 10 prefectures in terms of the per capita amount of not-for-sale vegetables usually consumed by producers or given to neighbors/relatives living nearby. Therefore, the easy access and availability of vegetables in the Tohoku and Tosan regions seem to be one of the reasons why respondents residing in Eastern Japan excluding the Kanto region were slightly more likely to eat a balanced meal than respondents from other regions.

As for differences in predicted probability by population size, Machida and Yoshida (2018) highlighted that vegetable

intake frequency was higher in rural areas than in suburban or urban areas and that vegetable cultivation for own consumption and receiving vegetables from neighbors were linked to these regional differences in the Gunma prefecture of Eastern Japan. As mentioned above, the per capita amount of not-for-sale vegetables tended to be higher in Eastern Japan than in Western Japan (Machida et al., 2017). These findings could explain our estimation results indicating that the predicted probability of eating a healthy diet in Eastern Japan excluding the Kanto region increased as the population size decreased, while that in Western Japan decreased as the population size decreased.

As pointed out by the Health Science Council (2018), the estimation results suggest that the proportion of consumers who eat a healthy diet has not improved after the government health promotion program Kenko Nippon 2013 was launched in 2013 and that the program has not been effective in rectifying unhealthy dietary behavior among adult consumers in general and young consumers in particular. One possible explanation is that prepared convenience foods, some of which could be nutritionally unbalanced, are more pervasively available and long-term low economic growth has prevented consumers from having more vegetables and fruits that are relatively expensive than other food items.

In conclusion, this study revealed that gender, age, cohabitation, eating meals with family, subjective economic status, and residential area could be factors affecting the probability of eating a balanced diet every day. Single men in their 20s-50s, single men in their 80s, older male adults living but not eating together with family, single women in their 20s-30s, and individuals with low economic status were at high risk for eating a nutritionally unbalanced diet in Japan. Moreover, we found that the government health promotion program called *Kenko Nippon 2013* (Health Japan 21, the second term) did not improve the dietary behavior of Japanese consumers.

This study has limitations. The main limitation is that because our conclusion was based on estimation results using pooled cross-sectional data, it is not clear whether the factors that we pointed out were associated with dietary behavior. Therefore, detailed statistical analysis using longitudinal data, which contains more information than cross-sectional data, is warranted. In addition, further research based on the latest dataset with more detailed information on respondents is required to confirm the relationship between population size and the probability of eating a balanced meal and to explain regional differences in probability between Eastern and Western Japan. Further research is also needed to develop measures that encourage consumers to eat more balanced food and examine their effectiveness through social experiments.

ACKNOWLEDGEMENTS

The authors are grateful to the Social Science Japan Data Archive, Center for Social Research and Data Archives, Institute of Social Science, The University of Tokyo, and the Consumer Affairs and *Shokuiku* (Food and Nutrition Education) Division, Food Safety and Consumer Affairs Bureau, the Ministry of Agriculture, Forestry and Fisheries of Japan for providing individuals' data for the Survey of Attitudes toward *Shokuiku* 2009, 2011-2012, and 2014-2017.

REFERENCES

Ainuki, T., Akamatsu, R., Hayashi, F., & Takemi, Y. (2013). Seijinki-no-shokuni-kansuru-shukantekiQOL-to-shokutishiki, shokushukan-no-kanren: Danjo-niyoru-hikakukento [The association between subjective diet-related quality of life (SDQOL) scores and food knowledge and eating habits in Japanese adults: Gender-based differences]. *Japanese Journal of Nutrition and Dietetics*, 71(3), 163-170. https://doi.org/10.5264/eiyogakuzashi.71.163

Akamatsu, R., Maeda, Y., Hagihara, A., & Shirakawa, T. (2005). Interpretations and attitudes toward healthy eating among Japanese workers. *Appetite*, *44*(1), 123-129. https://doi.org/10.1016/j.appet.2004.07.001

Arai, K., & Sakakibara, H. (2015). Toshikokyojutakuniokeru-koreisya-no-teieiyo-to-shakaitekikoritujotai-tono-kanren [Malnutrition and social isolation among elderly residents of city public housing]. *Japanese Journal of Public Health*, 62(8), 379-389. https://doi.org/10.11236/jph.62.8 379

Arimune, S., Ishida, A., Matsumoto, H., & Yokoyama, S. (2012). Seijin-no-choshoku-kesshoku-wo-kiteisuru-yoin [Factors determining breakfast skipping adults]. *Journal of the Japanese Society of Agricultural Technology Management*, 19(2), 47-55. https://doi.org/10.20809/seisan.19.2_47

Cabinet Office. (2018). A 2018 declining birthrate white paper (summary). https://www8.cao.

- go.jp/shoushi/shoushika/whitepaper/measures/english/w-2018/index.html.
- Cecchini, M., Sassi, F., Lauer, J. A., Lee, Y. Y., Guajardo-Barron, V., & Chisholm, D. (2010). Tackling of unhealthy diets, physical inactivity, and obesity: Health effects and cost-effectiveness. *Lancet*, *376*(9754), 1775-1784. https://doi.org/10.1016/S0140-6736(10)61514-0
- Darmon, N., & Drewnowski, A. (2008). Does social class predict diet quality? *American Journal of Clinical Nutrition*, 87(5), 1107-1117. https://doi. org/10.1093/ajcn/87.5.1107
- Fukuda, Y., & Hiyoshi, A. (2012). High quality nutrient intake is associated with higher household expenditures by Japanese adults. *BioScience Trends*, 6(4), 176-182. https://doi.org/10.5582/bst.2012.v6.4.176
- Fukuda, Y., Nakamura, K., & Takano, T. (2005). Accumulation of health risk behaviours is associated with lower socioeconomic status and women's urban residence: A multilevel analysis in Japan. *BMC Public Health*, 5, 53. https://doi.org/10.1186/1471-2458-5-53
- Fukunaga, R., Abe, Y., Nakagawa, Y., Koyama, A., Fujise, N., & Ikeda, M. (2012). Living alone is associated with depression among the elderly in a rural community in Japan. *Psychogeriatrics*, 12(3), 179-185. https://doi.org/10.1111/j.1479-8301.2012.00402.x
- Girois, S. B., Kumanyika, S. K., Morabia, A., & Mauger, E. (2001). A comparison of knowledge and attitudes about diet and health among 35- to 75-year-old adults in the United States and Geneva, Switzerland. *American Journal of Public Health*, 91(3), 418-424. https://doi.org/10.2105/ajph.91.3.418
- Hayashi, F., Noguchi, M., Uno, K., & Takemi, Y. (2020). Ninpu-niokeru-shushoku/shusai/fukusai-ga-sorou-shokuji-no-jitsugen-ni-kanrensuru-yoin [Factors related to the frequency of consuming a 'Japanese healthy meal' by pregnant

- women]. *Japanese Journal of Nutrition and Dietetics*, 78(1), 24-36. https://doi.org/10.5264/eiyogakuzashi.78.24
- Hayashi, F., Takemi, Y., & Murayama, N. (2015). Seijin-niokeru-Keizaitekiyoin-to-shokuni-kansuru-nintitekiyoin, shokukodo, oyobi-shokuno-QOL-tono-kanren [The association between economic status and diet-related attitudes and behaviors, as well as diet-related quality of life in adults]. *Japanese Journal of Nutrition and Dietetics*, 73(2), 51-61. https://doi.org/10.5264/eiyogakuzashi.73.51
- Health Science Council. (2018). *Mid-term review of Health Japan 21 (second term)*. https://www.mhlw.go.jp/content/000378318.pdf
- Ishida, A., & Ishida, E. (2019). Which Japanese older adults are least likely to enjoy favorable dietary practices? *International Journal of Gerontology*, 13(4), 330-334. https://doi.org/10.6890/IJGE.201912 13(4).0013
- Kageyama, Y., Ishida, A., Yokoyama, S., & Aita, Y. (2007). Shokuhinhyoji-10komoku-niokerushohishaishiki-to-sonozokusei-ni-kansurukosatsu [Consumer interest and concerns about food labels: With special reference to the Tokyo metropolitan area, Chiba, Saitama and Kanagawa]. Agricultural Marketing Journal of Japan, 16(2), 120-127. https://doi.org/10.18921/amsj.16.2 120
- Kimura, M., Moriyasu, A., Kumagai, S., Furuna, T., Akita, S., & Suzuki, T. (2013). Communitybased intervention to improve dietary habits and promote physical activity among older adults: A cluster randomized trial. *BMC Geriatrics*, 13, 8. https://doi.org/10.1186/1471-2318-13-8
- Krishnan, A., & Zhou, X. (2019). Modeling the effect of health antecedents and social media engagement on healthy eating and quality of life. *Journal of Applied Communication Research*, 47(4), 365-380. https://doi.org/10.1080/009098 82.2019.1654124

- Kumagai, S., Watanabe, S., Shibata, H., Amano, H., Fujiwara, Y., Shinkai, S., Yoshida, H., Suzuki, T., Yukawa, H., Yasumura, S., & Haga, H. (2003).
 Chiiki-zaitaku-koreisha-niokeru-shokuhinsesshu-no-tayosei-to-kouji-seikatu-kinoteika-nokanren [Effect of dietary variety on declines in high-level functional capacity in elderly people living in a community]. *Japanese Journal of Public Health*, 50(12), 1117-1124. https://doi.org/10.11236/jph.50.12 1117
- Machida, D., Kushida, O., & Yoshida, T. (2017). Chiiki-niokeru-yasai-no-saibai-to-chiiki-jumin-no-yasaisesshuryo-tono-kanren [Relationship between vegetable consumption and vegetable cultivation by prefecture in Japan: An ecological study at the prefectural level]. Nihon Kenkoukyouiku Gakkaishi, 25(2), 85-92. https://doi.org/10.11260/kenkokyoiku.25.85
- Machida, D., & Yoshida, T. (2018). Vegetable intake frequency is higher among the rural than among the urban or suburban residents, and is partially related to vegetable cultivation, receiving, and purchasing at farmers' markets: A cross-sectional study in a city within Gunma, Japan. *Journal of Rural Medicine*, *13*(2), 116-123. https://doi.org/10.2185/jrm.2960
- Matsumoto, M., Ishige, N., Sakamoto, A., Saito, A., & Ikemoto, S. (2019). Nutrition knowledge related to breakfast skipping among Japanese adults aged 18-64 years: A cross-sectional study. *Public Health Nutrition*, 22(6), 1029-1036. https://doi.org/10.1017/S1368980018003014
- Micha, R., Peñalvo, J. L., Cudhea, F., Imamura, F., Rehm, C. D., & Mozaffarian, D. (2017). Association between dietary factors and mortality from heart disease, stroke, and type 2 diabetes in the United States. *Journal of the American Medical Association*, 317(9), 912-924. https://doi.org/10.1001/jama.2017.0947

- Ministry of Health, Labour and Welfare. (2017). *The National Health and Nutrition Survey in Japan,* 2015. https://www.mhlw.go.jp/bunya/kenkou/eiyou/dl/h27-houkoku.pdf
- Ministry of Health, Labour and Welfare. (2019). The National Health and Nutrition Survey in Japan, 2017. https://www.mhlw.go.jp/content/000681194.pdf
- Ministry of Health, Labour and Welfare. (2020). The National Health and Nutrition Survey in Japan, 2018. https://www.mhlw.go.jp/content/000681200.pdf
- Mishra, G. D., Lee, J. S., Hayashi, K., Watanabe, E., Mori, K., & Kawakubo, K. (2017). How do health behaviours relate to dietary practice patterns among Japanese adults? Asia Pacific Journal of Clinical Nutrition, 26(2), 351-357. https://doi.org/10.6133/apjcn.022016.01
- Murayama, H., Taguchi, A., Spencer, M. S., & Yamaguchi, T. (2020). Efficacy of a community health worker-based intervention in improving dietary habits among community-dwelling older people: A controlled, crossover trial in Japan. Health Education and Behavior, 47(1), 47-56. https://doi.org/10.1177/1090198119891975
- Nagahata, T., Nakamura, M., Ojima, T., Kondo, I., Ninomiya, T., Yoshita, K., Arai, Y., Ohkubo, T., Murakami, K., Nishi, N., Murakami, Y., Takashima, N., Okuda, N., Kadota, A., Miyagawa, N., Kondo, K., Okamura, T., Ueshima, H., Okayama, A., & Miura, K. (2018). Relationships among food group intakes, household expenditure, and education attainment in a general Japanese population: NIPPON DATA 2010. *Journal of Epidemiology*, 28(Suppl. 3), S23-S28. https://doi.org/10.2188/ jea.JE20170248
- Ohara, Y., Motokawa, K., Watababe, Y., Shirobe, M., Inagaki, H., Motohashi, Y., Edahiro, A.,

- Hirano, H., Kitamura, A., Awata. S., & Shinkai, S. (2020). Association of eating alone with oral frailty among community-dwelling older adults in Japan. *Archives of Gerontology and Geriatrics*, 87, 104014. https://doi.org/10.1016/j.archger.2020.104014
- Otsuka, R., Nishita, Y., Tange, C., Tomida, M., Kato, Y., Nakamoto, M., Imai, T., Ando, F., & Shimokata, H. (2017). Dietary diversity decreases the risk of cognitive decline among Japanese older adults. *Geriatrics Gerontology International*, 17(6), 937-44. https://doi.org/10.1111/ggi.12817
- Ozawa, K., Takemi, Y., Eto, K., & Iwama, N. (2018). Sochunen-niokeru-yasaisesshuryo-to-shokukodo, shokutaido, shokuchishiki/sukiru, oyobi-shuikarano-shien-tono-kanren [Association of vegetable intake with dietary behaviors, attitudes, knowledge, and social support among the middle-aged Japanese population]. *Japanese Journal of Public Health*, 65(10), 589-601. https://doi.org/10.11236/jph.65.10_589
- Schols, A. M., Ferreira, I. M., Franssen, F. M., Gosker,
 H. R., Janssens, W., Muscaritoli, M., Pison, C.,
 Rutten-van Mölken, M., Slinde, F., Steiner, M.
 C., Tkacova, R., & Singh, S. J. (2014). Nutritional assessment and therapy in COPD: A European Respiratory Society statement. *European Respiratory Journal*, 44(6), 1504-1520. https://doi.org/10.1183/09031936.00070914
- Tsuji, T., Yamamoto, K., Yamazaki, K., Hayashi, F., Momoki, C., Yasui, Y., Ohfuji, S., Fukushima, W., & Habu, D. (2019). Lower dietary variety is a relevant factor for malnutrition in older Japanese home-care recipients: A cross-sectional study. *BMC Geriatrics*, 19(1), 197. https://doi. org/10.1186/s12877-019-1206-z
- Vieira, A. R., Abar, L., Vingeliene, S., Chan, D. S. M., Aune, D., Navarro-Rosenblatt, D., Stevens,

- C., Greenwood, D., & Norat, T. (2016). Fruits, vegetables and lung cancer risk: A systematic review and meta-analysis. *Annals of Oncology*, 27(1), 81-96. https://doi.org/10.1093/annonc/mdv381
- Wang, X., Lu, Y., Li, C., Larbi, A., Feng, L., Shen, Q., Chong, M. S., Lim, W. S., & Feng, L. (2020). Associations of lifestyle activities and a healthy diet with frailty in old age: A communitybased study in Singapore. *Aging (Albany NY)*, 12(1), 288-308. doi: https://doi.org/10.18632/ aging.102615
- World Health Organization. (2011). Global status report on noncommunicable diseases 2010. https://apps.who.int/iris/bitstream/handle/10665/44579/9789240686458_eng.pdf
- Yokoyama, Y., Nishi, M., Murayama, H., Amano, H., Taniguchi, Y., Nofuji, Y., Narita, M., Matsuo, E., Seino, S., Kawano, Y., & Shinkai, S. (2017). Dietary variety and decline in lean mass and physical performance in community-dwelling older Japanese: A 4-year follow-up study. *Journal Nutrition, Health and Aging*, 21(1), 11-16. https://doi.org/10.1007/s12603-016-0726-x
- Yoshida, R., Hasebe, Y., & Shirai, E. (2012). Nosonbu-niokeru-zaitaku-koreisya-josei-no-shokuseikatsu-oyobi-seikatu-no-manzoku-ni-eikyosuru-shokukodo-no-yoin [The influence of eating behavior factors on the satisfaction in dietary life and in life among elderly women living in rural areas]. *Japanese Journal of Public Health*, 59(3), 151-160. https://doi.org/10.11236/jph.59.3_151
- Zhou, X., Perez-Cueto, F. J. A., Dos Santos, Q., Monteleone, E., Giboreau, A., Appleton, K. M., Bjørner, T., Bredie, W. L. P., & Hartwell, H. (2018). A systematic review of behavioural interventions promoting healthy eating among older people. *Nutrients*, 10(2), 128. https://doi. org/10.3390/nu10020128

Zujko, M. E., Waśkiewicz, A., Drygas, W., Cicha-Mikołajczyk, A., Zujko, K., Szcześniewska, D., Kozakiewicz, K., & Witkowska, A. M. (2020). Dietary habits and dietary antioxidant intake are related to socioeconomic status in Polish adults: A nationwide study. *Nutrients*, 12(2), 518. https:// doi.org/10.3390/nu12020518



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Transnational Identity in Unaccustomed Earth: A Study of Jhumpa Lahiri's and Chitra Banerjee Divakaruni's Short Fictions

Aisyah Hasnan and Mohamad Rashidi Mohd Pakri*

English Language Studies Section, School of Humanities, Universiti Sains Malaysia, 11800, Penang, Malaysia

ABSTRACT

This paper intends to examine transnational identity of first- and second-generation Indian diasporic and/or transnational subjects through the portrayal of protagonists in Jhumpa Lahiri's and Chitra Banerjee Divakaruni's short fictions: "Unaccustomed Earth" and "Hellheaven" (2008), "Clothes" and "Silver Pavements and Golden Roofs (1995)". Theories of transnationalism, identity and transnational identity were used to scrutinise the ways those fictional characters define themselves as well as the ways they negotiate homeland and the 'unaccustomed earth'. This paper also discovers opportunities, and difficulties faced by first- and second-generation Indian immigrants, and the differences between the impacts of crossing national boundaries towards both communities. This study used textual analysis of

ARTICLE INFO

Article history:

Received: 21 September 2020 Accepted: 18 December 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.24

E-mail addresses: aisyahhasnan@gmail.com (Aisyah Hasnan) rashidi@usm.my (Mohamad Rashidi Mohd Pakri) *Corresponding author selected narratives for an understanding of transnational identity in literature, and how Indian diasporic or transnational subjects made sense of their roots and routes when those fictional characters were trapped in between their Indian roots, and the need to make sense of unaccustomed earth.

Keywords: Divakaruni, Indian immigrants, Lahiri, short fictions, transnational identity

INTRODUCTION

Indian literature in English by diasporic writers or South Asian American writings or writings on diaspora and related issues have been significantly debated especially with regard to identity, the binary between 'self' and 'other', home and sense of belonging, nationalism and transnationalism, the third space, multiculturalism (see Ahamed, 2017; Arjopalo, 2015; Asl, 2018; Farshid & Taleie, 2013; Ibarrola-Armendáriz, 2011; Jahan, 2003; Kachhia, 2016; Kumari, 2014; Kuortti, 2007; Lau, 2004; Marwah, 2013; Mishra, 1996; Nair, 2015; Reshmi, 2019; Sen, 2009; Shameem, 2018; Vijayakumar & Rajasekaran, 2018; Watkins, 2016). Nevertheless, identity construction is not a thing of the past or an anachronism in social, cultural and literary studies but, it becomes the motivation for diasporic writers to narrativise their stories. Even though issues pertaining with the identity of diasporic and/ or transnational subjects living in the U.S. are immensely deliberated, they are still noteworthy to be scrutinised especially for all the gaps regarding second- or third- or subsequent generation subjects.

"By contrast to the proliferation of first-generation diasporas in South Asian diaspora fiction, representations of second-generation diasporas are relatively few" (Watkins, 2016, p. 584). This paper tries to fulfil the lacuna as it examines second-generation diasporic and/or transnational subjects by juxtaposing first- and second-generation subjects since Jhumpa Lahiri emphasises second-generation while Chitra Banerjee Divakaruni narrates first-

generation Indian immigrants in the U.S. Apart from that, this study chooses to focus on transnational identity in relation to the ways diasporic and/or transnational subjects construct and re-construct their transnational identity, and how they make sense of both 'home' and 'host', to ascertain their roots, routes and to use Lahiri's metaphor, 'plant seeds in unaccustomed earth'. We believe that the discussions on roots, routes and unaccustomed earth are still relevant in the field, bearing in mind recent generation and contemporary cross-border mobilities.

Lahiri, a second-generation Indian-American author questions her own identity even though she represents Bengali's cultural values in her stories. Lahiri feels that she does not belong anywhere. Lahiri's (2008) confusion of her own identity and sense of belonging is portrayed in *Unaccustomed Earth* where most characters are still trying to discover their identity. Similarly, Divakaruni (1995) also justified the idea that diasporic writers themselves faced difficulties in constructing their own identity when they crossed borders. Divakaruni (1995) had to comprehend being a first-generation Indian diasporic subject who was displaced from time and space. She examined the sense of being disconnected in a world that could not be called 'home.' Most characters in Arranged Marriage (1995) are caught in between choosing to live by Indian traditions or assimilating the host country's cultures and traditions whether physically or psychologically.

According to Reshmi (2019), Indian women writers who constitute diaspora

and/or transnationalism often represent the idea of cross-cultural exchanges and the need to construct and re-construct one's identity in the state of dislocation, in order to adapt the host land. Lahiri is one of the writers who receives intense attention from literary critics or scholars, especially those who study migration and diaspora as well as the binary between East and West (see Asl, 2019). Karthikadevi (2015) discussed Lahiri's short stories as the portrayals of dilemmas in the lives of people who were in between homeland and an "alien" country. Lahiri highlighted several themes such as alienation, isolation, diaspora, belonging, assimilation, love, marital relationships, familial relationships, home and selfrealisation (Karthikadevi, 2015; Yun, 2014). Most characters in her fictions struggle to define their identity and sense of belonging as they have left their homeland. Some of them construct another space as they feel isolated and do not belong in both homeland and host land. Vijayakumar and Rajasekaran (2018) demonstrated similar ideas when they examined Lahiri's Unaccustomed Earth, in terms of negotiating multiculturalism when one moved beyond border through illustrations of major protagonists and how they made sense of their life.

On the contrary, Ibarrola-Armendáriz (2011) claimed,

Unaccustomed Earth is populated by a highly diverse gallery of characters who, as a result of different circumstances — the job they do, the person they've married, the place they live in or the company they keep—, are seen to give

up many of the customs and values that have governed their parents' lives (p. 166).

In the article, he proposed the idea that Lahiri's works should be analysed in terms of its universality as assimilation and adaptation or any other issue which boxed Lahiri into the realms of immigrant experiences was no longer a concern for second-generation immigrants. Instead, Lahiri's focus appears to be on essential matters that are beyond the bounded categorisation of individuals based on the idea of origin. In short, Lahiri's fictions suggest universality and they are not constructed in relation to the idea of diaspora and/or transnationalism as well as the need to search for one's identity. They should be studied based on the portrayal of everyday life and its moral ground.

Additionally, Shameem (2018), using theories of postcolonial, postmodern and diasporic feminism, studied both Lahiri's and Divakaruni's works in her thesis, stating the idea that South Asian diasporic identity for female was different from her male counterpart and identity suggested constant creation instead of implanted in one's own. Lahiri's and Divakaruni's female characters face continuous conflicts in terms of assimilation into another culture as well as in their constant negotiation of the past and present. Shameem also highlighted several criticisms on Lahiri and Divakaruni, which questioned their representations of the third world (India) and the first world (U.S.). This suggests the act of writing as both 'insider and outsider' of both worlds. Meanwhile, Asl (2018), Asl and Abdullah

(2017), Asl et al. (2016), and Asl et al. (2018) studied 'literary gaze' and 'panoptic gaze' in Lahiri's fictions, emphasising 'gendered' and 'racialised' gaze as they deliberated how Lahiri represented Indian diasporic subjects.

Apart from that, Jahan (2003) denoted that Divakaruni explored the binary between the East and the West, through the eyes of Indian diasporic subjects who left their homelands for good. Throughout her narratives, Divakaruni juxtaposed India and the U.S within her first-generation Indian diasporic subject who transformed from being rooted in Indian traditions to a more modern and dynamic woman or man. Furthermore, Sahi (2009), asserted that Divakaruni was trying to explore mental horizons of the people from the East in the sense that, when fictional characters in Arranged Marriage crossed national boundaries, their thinking and perspectives of things would be broader compared to those who remained in India. Kumari (2014) reflected people who were caught in between two worlds and experience various conflicts in their lives because of the memory of the past and the need to face reality and future which awaits them. The discussions which involve Lahiri and Divakaruni, mostly emphasise migration issues and diaspora, particularly in terms of continuous creation of 'identity' when two cultures, the East and the West encounter.

METHODOLOGY

This paper used textual analysis of short fictions by Lahiri and Divakaruni to discover the transnational identity of first- and secondgeneration subjects. We read selected texts as well as other related materials which portray migration related discourses and issues which deliberated those migrants or immigrants who struggled to make sense of their ancestral and cultural roots while residing in host land. Apart from that, the concept of transnational identity was used as a paradigm to analyse how 'roots' and 'routes' influence the ways first- and secondgeneration diasporic and/or transnational subjects negotiated their space when they chose to cross borders.

First and foremost, in the past few decades, the terms 'transnationalism' and 'transnational' started to be acknowledged in the study of migration especially by anthropologists, sociologists, cultural analysts, and economists. Transnationalism started to be developed further after a conference in Mijas, Spain organised by Linda Basch, Christina Szanton Blanch and Nina Glick Schiller in 1994. Basch et al. (1994), delineated transnationalism as the processes through which immigrants constructed social fields that tied together their homeland and host land. According to Thapan (2005), transnationalism renders people to perceive those who cross their national boundaries as people who constitute and juggle different domains, the past (homeland) and the present (host land) via connection and obligation to both territories simultaneously. In short, those who are included in the transnational community are people who belong to more than one particular nationality or nation-state, and

they try to connect both worlds. It is supported by Basch et al. (1995); they called transnational migrants, 'transmigrants' who lived in a world where they still maintained multiple ties such as, social, familial, political and cultural, beyond the boundaries of nation-states.

Additionally, when transnationalism is acknowledged by the three anthropologists, they use the term for ethnographic studies and case studies pertinent to the conditions and identity of West Indian transmigrants from St. Vincent and Grenada as well as transmigrants from Haiti which have been straddling two different nation-states, their homeland and the U.S. They describe how those transmigrants involve in various activities which unite them with their homeland. For instance, in terms of politics, some transmigrants still cast votes during elections and they still assist their homeland in other aspects of life. When they reside in a new country, most of them will be attached to other diasporic and/or transnational subjects because usually, most of their experiences as immigrants are analogous to one another.

Furthermore, as transnationalism complicates the notion of identity for transnational and/or diasporic subjects living in a host country, scholars like Vertovec, Basch, Blanch, Schiller, Trucios-Haynes, Khan and Somerville outline issues of transnational identity. As identity is fluid and it requires constant negotiation and construction, it becomes multifaceted and complex for those who migrate as they search for identity, while trying to assimilate

with the host land. In *The Empire Writes* Back, Ashcroft et al. (2002) declared that place and displacement were two influential features of post-colonial studies in which, the question of identity emerged and it concerned with the identifying of self and location. Location becomes a motif that alters one's identity as when location changes, one will make sense of his or her identity for acculturation. Meanwhile, Vertovec (2001), accentuated that identity was a flexible concept that had been long discussed by scholars in the field of social science and it concerned with how an individual perceives his or herself and how he or she was defined by others. He also recommended the idea of comparing and contrasting transnationalism and identity hand in hand for a thorough understanding of both terms. He mentioned this was due to the reason that people perceived those who maintained homeland and host land as those who accumulated a 'common identity', an identity which was highly associated with their homeland. In contradiction, he believed in the logic that it was undeniable that those immigrants accumulated an identity which indicated not just one's homeland or just a space but, beyond.

Transnational identity insinuates the condition when an individual identifies with more than one nation-state or maintains social, cultural, economic and political ties within homeland and host land (Basch et al., 1995; Faist, 2010; Garrett, 2011; Ghorashi, 2004; Haller & Landolt, 2005; Khan, 2005; Levitt & Jaworsky, 2007; Somerville, 2008; Thapan, 2005; Trucios-Haynes, 1997;

Vertovec, 2001). Transnational identity is highly associated with first-generation immigrants since they are ordinarily the ones who sustain multiple ties while their children struggle to identify with their ancestral and cultural roots as they were born and brought up in the U.S. (see Somerville, 2008). Both first- and second-generation experience certain disparities when it comes to making sense of their transnational identity which is different, not only from mainstream Americans but, those who do not constitute diaspora or transnationalism.

Ghorashi (2004) stated,

Within the social sciences, most studies of transnationalism take the approach that migrants experience a duality between the place of origin and place of residence. In that kind of approach, transnationalism refers to a sense of in-betweenness caused by this duality (p. 329).

In this sense, those who ascertain 'transnational identity' are those who still negotiate 'another space' or to use Bhabha's term, 'third space' as they are 'dual-citizens'. In addition, the usual argument concerning 'transnational identity' is its broad usage to cover all aspects of transnational mobilities when immigrants move beyond their national boundary, replacing the famous 'diaspora' or sometimes both terms are used hand in hand (see Faist, 2010). Similarly, Vertovec (2011) indicated,

Transnationalism is a notion that has become over-used to describe too wide

a range of phenomena (from specific migrant communities to all migrants, to every ethnic diaspora, to all travellers and tourists; cf. Vertovec 1999a). It is clear that transnational patterns among migrants take many forms in sociocultural, economic and political arenas (p. 576).

He implied the idea that transnationalism was a term which was broadly used to describe similar experiences, in a way, it also complicated 'identity' for those who cross-borders whether first- or second- or subsequent generation. Hence, for this paper, the concept of transnational identity would be used to analyse the conditions of first- and second-generation Indian diasporic and/or transnational subjects through the portrayal of protagonists in Lahiri's "Unaccustomed Earth" and "Hell-Heaven" (2008) and Divakaruni's "Clothes" and "Silver Pavements and Golden Roofs" (1995).

FINDING AND DISCUSSION

Unaccustomed Earth (2008) is Lahiri's second collection of short stories after the success of her debut short stories collection, Interpreter of Maladies (1999). This study selects two short stories, "Unaccustomed Earth" and "Hell-Heaven." As some scholars agree that Lahiri's second short story collection is more universal (see Ibarrola-Armendáriz, 2011; Marwah, 2013), it can be argued that Unaccustomed Earth still presents migration issues through characters who are diasporic and/or transnational since the title itself implies an 'unfamiliar space'.

Diasporic and/or transnational subject's determinations to explore a space one's own in literary works are worth exploring as, in a way, they aid other subjects especially germane to current cross-border mobilities.

Unaccustomed Earth is probably relatable to Lahiri's condition as an American author of Indian descent. Usually, secondgeneration immigrants only remember the past through intergenerational memories, photographs and the ways their parents have embedded Indian values throughout their life as well as their temporary 'return' to the ancestral hometown. First-generation characters are usually interpreted as those who are in conflicts with the past and present while they are trying to permeate their past to their sons and daughters. In contrast, it is more intricate for second-generation Indian immigrants to comprehend their sense of belonging as they are neither living in the past nor a well-defined present. Thus, this study observes how Lahiri weaves her short stories within the interplay of migration issues and immigrants through her focus of second-generation Indian diasporic or transnational subjects for the sake of comprehending transnational identity and how those subjects make sense of their roots and routes to eventually plant their seeds in unaccustomed earth.

Ruma, a second-generation subject, in "Unaccustomed Earth" attempts to demarcate her transnational identity as Lahiri compares her with her mother who is deeply rooted in Indian traditions especially in terms of maintaining familial institution, food and clothing. While her mother used to

cook Bengali dishes, she is used to having Western food as it is simpler than having to cook Indian spices. Her mother is the one who has been continuously making sure that Ruma inculcates Indian values to her son and teaches him to eat Indian food and to speak Bengali. Instead, Ruma is used to her Western lifestyle, living in Seattle with her American husband, Adam and a son, Akash (a third-generation Indian-American subject) who cannot speak Bengali and who does not even understand their Indian roots.

However, her conflicts of identity ascend prominently after her mother's death as she feels the sense of loss for losing her mother who can be considered as the embodiment of Indian and India in her life. Her mother's absence disrupts Ruma's search for identity and sense of belonging. As much as she starts to disregard Indian cultural values, Ruma finds herself becoming like her mother as she stays at home, taking care of her son and family; "She didn't understand how her mother had done it... moving to a foreign place for the sake of marriage, caring for children and a household - had served as a warning, a path to avoid. Yet this was Ruma's life now" (Lahiri, 2008, pp. 15-16). Instead of further detaching herself from her roots, she becomes closer to it perhaps because she always reminisces her mother especially when her father comes to visit her for the first time in Seattle. Fine (2011) insinuated the idea of attachment to 'familial identity' when she discussed Lahiri's "Unaccustomed Earth". She claimed that even when one tried to escape from one's roots or cultural

values embedded in one's life especially by parents or family members, he or she could not discard them. This is obvious through the portrayal of Ruma who 'creates' herself in a way she does not want to be like her archetypal Indian mother who is rooted with Indian cultural values even when living far away from her homeland and yet, she fails to do so.

Interestingly, instead of portraying first-generation as the one who straddles two different 'home' or who accumulates transnational identity while secondgeneration is the one who easily assimilates into another culture, Lahiri portrays the idea that perhaps, first-generation parents do not find it hard to accept a new culture. Lahiri further draws the idea by portraying Ruma's father as to more accustom to American's way of life instead of his roots. For instance, while other Indian parents usually do not criticise a daughter's decision to stay at home or become a housewife, Ruma's father questions her decision of staying at home and taking care of her son even when she is a law graduate. This proves that her father is not a typical Indian who abides by the patriarchal system where it is sensible for a wife to stay at home rather than working. Farshid and Taleie (2013) described Ruma's father as a subject who did not follow traditions and cultural values as he crossed national boundaries and became accustomed to the new way of life.

This situation is made obvious through Lahiri's emphasis on the metaphor of 'planting seeds in unaccustomed earth'. When Ruma's father visits her, he resuscitates

the dying plants in Ruma's garden aside from adding new ones. Towards the end of his visit, he reminds Ruma to look after her new garden. He plants the seeds for Ruma so that Ruma can have her renewed garden, suggesting a fresh start, especially after her mother's death. The imagery of 'planting seeds in unaccustomed earth' is fundamental for diasporic and/or transnational subjects whether first- or second- or subsequent generation as it entails a new beginning, different from the old one. "Gardening is a significant metaphor for the existential dynamics of diaspora. Ruma's father's inclination towards gardening may be accounted as the diasporic people's and specifically his proclivity to adaptation to new world, readiness to 're-root' in the alien land..." (Begum, n.d., p. 4). Wutz (2015) also proposed a similar idea as the symbolism of 'planting' or 'gardening' signify a continuous process, something that kept developing and growing. In other words, it can connote the idea of 'building' and 'sustaining', which are needed by diasporic and/transnational subjects who try to make sense of a new space. On the other hand, this act of 'planting' is also in a way, ironically indicates the act of 'burying' the past for her father since he is somehow starting to suppress the memory of living with his wife as he finally finds a new adventure with Mrs. Bagchi whom he meets during his travel.

Furthermore, Lahiri often juxtaposes two characters from different generations for readers to understand that perhaps, both generations designate a different set of identity and sense of belonging. Just like Ruma, another second-generation Indian transnational subject, Usha struggles to determine her identity since her mother, Aparna controls most parts of her life. As Lahiri compares and contrasts Ruma and her parent, in "Hell-Heaven", she compares and contrasts Usha and her first-generation Indian mother who is well-rooted in Indian cultures and who does not adapt well with American cultures. Her mother, Aparna always makes sure that Usha preserves her identity as a child of Indian descent even when she feels comfortable with American cultural values and lifestyles.

Just like most first-generation Indian women who migrate to other countries outside India for the sake of marriage, Lahiri portrays Aparna as an archetypal Indian mother who maintains the household and who succumbs to the needs of her husband and familial institution. The archetypal Indian mother who is still rooted in Indian cultures and who cooks Bengali food for meals and who spends most of the time feeling lost in unaccustomed earth. On the other hand, Alfonso-Forero (2007) designated the idea of 'home' or 'homeland' through Indian diasporic mother who struggled to maintain Indian cultural values in their private life while acknowledging the need to integrate host land's cultural values. This is made obvious through motherhood as mothers realise the need to sustain their family in unaccustomed earth. She used Lahiri's The Namesake (2004) to signify that Lahiri introduced a different version of Indian women characters as she did not represent them as victims but, she gave them the chance to explore their transnationality and made sense of both worlds.

Since Usha and Aparna become close to Pranab Kaku, a young Bengali-American character, Usha begins to understand her mother's sense of loss as she has to leave her past behind for the sake of marriage. Connecting to a new culture is not easy when she is disconnected from her husband, causing her to search for attention and affection from Pranab Kaku. However, when Pranab Kaku found an American girlfriend, things start to change. Usha develops a close relationship with Deborah and Pranab Kaku while her mother begins to give excuses not to go out together. Usha's relationship with Deborah indicates her fondness to American culture. With Deborah, she can express herself better, "Deborah and I spoke freely in English, a language in which, by that age, I expressed myself more easily than Bengali, which I was required to speak at home" (Lahiri, 2008, p. 82). In this sense, she feels confined by her mother who insists that she sustains her Indian roots, forgetting the need to assimilate and acknowledge the fact that they are now living in the U.S. It is later that Usha narrates her mother's changes. In her old age, she begins to accept Usha's connection to American culture, and in her old age, she starts to achieve her freedom to explore new horizon in her life in which she starts going to college. It is only in her old age that Aparna starts to 'plant seeds in unaccustomed earth'.

The dichotomy between Usha and Aparna is obvious, for Usha, at first, she seems to accept both cultures (Indian culture within her private space at home and American culture in public), in this sense, she tries her best at both while 'planting seeds in unaccustomed earth'. Meanwhile, for Aparna, it is a little bit late when she finally finds comfort in both when she begins to accept the fact that she is living within host land's cultural values. While discussing the juxtaposition of mother-daughter, firstversus second-generation, we observe differences between two second-generation characters, Ruma and Usha. While Usha strives to look forward and to build her own 'home' in the U.S., Ruma appears to return to the past and try to somehow 'reroot' to Indian traditions even though at first, she tries her best to deny them. This is probably due to age and maturity as Ruma is older compared to Usha and she has also experienced losses in the U.S., not only losing her mother but, sometimes losing herself while trying to make sense of the past and present. Therefore, there are still contradictions of individual experiences regardless of generation. Some secondgeneration subjects can easily 'plant seeds in unaccustomed earth' but, some of them need reminders from their parents that they need to begin anew.

Correspondingly, Arranged Marriage (1995) is narrated along the lines of transnationalism and identity as it depicts alienation, displacement, tradition, adjustment, exile, assimilation and struggles as well as success stories of those who live in a country that is at first, always alien and peculiar. It consists

of twelve individual short stories and for this particular study, two short stories are selected: "Clothes" and "Silver Pavements and Golden Roofs". Divakaruni's characters are those first-generation Indian diasporic and/or transnational subjects who need to leave India for a personal reason especially due to marriage and education. Researchers like Dubey (2016), Shameem (2018), Karthikeyan (2018) and Asl et al. (2018) explored Indian diasporic authors' emphasis on women characters in their narratives. Most characters who struggle to define their identity in the context of diaspora and/ or transnationalism are women. Women characters are trapped, not only in between their Indian roots and the need to adhere to a new culture but, they are also trapped in the familial institution as they have to submit to patriarchy which is accustomed within Indian society. However, Karthikeyan (2018) believed that Divakaruni empowered women in the sense that her characters were seen as agents of change when they crossed national boundaries. Divakaruni depicts the excitement and a mixture of diverse emotions felt by women characters when they board planes to leave India for the first time in their life.

At first, Indian diasporic subjects feel guilty of leaving the past behind but, for the sake of exploring various opportunities, they eventually strive for excellence and somehow, at a certain point in life, manage to accept their new home even when they still have another home to remember. This suggests their 'planting seeds in unaccustomed earth' even when they are not

sure of what to expect or the consequences behind their choices. For instance, in "Clothes," Sumita, a first-generation Indian diasporic subject migrates to California, following her husband after agreeing to her father's choice of spouse. She imagines how different her life would be when she migrates to the U.S. Shameem (2018) noted the female protagonist's changed when she left her homeland for the U.S. through her preference of Western clothing but, at the same time, Sumita believed her assimilation into another culture as something disgraceful as she pondered that, if she were still in India, she would not have the idea of changing herself or becoming 'westernised'.

Divakaruni reveals the transformation from India to the U.S. and the conflicts of transnational identity through the play of clothing, colour and familial relationship. Her changes become more obvious after her husband's death. Divakaruni mentions the custom for Indian widows in India as she states, "...all over India, at this very moment, widows in white saris are bowing their veiled heads, serving tea to in-laws. Doves with cut-off wings" (1995, p. 37). When most widows will return to India and still serve the in-laws the way they used to, Sumita sees a different future in the U.S. Divakaruni illustrates Indian diasporic women characters who escape from bounded cultural values especially when they are living in between homeland (which is embedded with the patriarchal system) and host land (which is a promising space) (Asl et al., 2018). Sumita is one of the

characters who embody the essence as, for her, living in the U.S is an escapism from any familial or cultural expectation.

"In the mirror a woman holds my gaze, her eyes apprehensive yet steady. She wears a blouse and skirt the color of almonds" (Divakaruni, 1995, p. 37). Like Lahiri who uses the metaphor of planting seeds in a land which is at first, unfamiliar, Divakaruni subtly uses 'colour' to suggest the act of 'planting' or creating a new life in the U.S. as she uses the colour of almonds which is similar to the colour of the soil. For Sumita, in particular, while other subjects, perhaps find a way back to their roots especially considering 'loss' (for instance, Ruma in Lahiri's fiction, depicts the idea of finding and acknowledging Indian roots once she loses her mother), Sumita does not 'reroot' or 're-route' even when she loses her husband. Instead, she embarrasses her new profound destiny, planting a fresh start in the host land. Here, Divakaruni advocates a different version of a first-generation Indian immigrant who embodies women's empowerment, neglecting cultural values embedded in the past.

Furthermore, as transnational identity also affects the opportunities as well as struggles that Indian immigrants have to face especially in establishing and sustaining their life in the U.S, pertaining to their economy and stability, Divakaruni elucidates characters who suffer from financial difficulties in the promising land. In "Clothes", she imperceptibly highlights the struggle for Indian immigrants, particularly Somesh's struggle, working at 7-eleven for

them to finally move out from his parent's house. Likewise, in "Silver Pavement, Golden Roofs," before Jayanti moves to America and lives with her uncle, Bikram and aunt, Pratima, she thinks that the U.S. is a place of opportunities which can enhance people's life. However, seeing her uncle's struggles in sustaining his life in America, she starts to recognise the harsh realities of being an immigrant.

Apart from that, the title of the story itself is significant to the story as Jayanti pictures the U.S. as a luxurious space full of miracles and endless possibilities. Divakaruni explains a song Jayanti like to sing in India when she was a child, for several times in this particular short story; "Will I marry a prince from a far-off magic land, where the pavements are silver and the roofs all gold?" (Divakaruni, 1995, p. 46). Jayanti feels that the song is relatable to her life especially when she has experienced the reality of living as an immigrant. Later, when Jayanti and her aunt stroll along the neighbourhood, they are bullied by white teenagers who feel disgusted by their dark skin colour.

While people think of only opportunities of living in a developed country, they tend to forget the probabilities of having to experience difficulties especially when they are still considered as 'outsiders.' The country of opportunities in Jayanti's mind changes to the country which makes her feel timid and lost. Nevertheless, towards the end of the story, it seems that Jayanti implies her readiness to endeavour in America when Divakaruni states,

When I finally look down, I notice that the snow has covered my own hands so they are no longer brown but white, white, white. And now it makes sense that the beauty and the pain should be part of each other. I continue holding them out in front of me, gazing at them, until they're completely covered. Until they do not hurt at all (1995, p. 60).

Even when she has to fight through all demands, she believes that one fine day when she prospers in planting seeds in the unaccustomed earth, she would no longer have to bear the pain. This means she wants to embrace the host land because it is hard to retain her Indian identity without being discriminated or physically assaulted due to racism. Here, like in "Clothes", Divakaruni uses the 'colour' of snow to symbolise whiteness or superiority of the West and how 'coloured' try to mimic so that he or she will not be so distinct. Thus, due to having a transnational identity, both first- and secondgeneration Indian immigrants in the U.S. have to face, not only opportunities but, struggles as well when they cross-borders whether in terms of individual, social, cultural or economic.

Major characters in the short stories portray the construction of transnational identity and the conflicts of living outside India while preserving social and cultural ties with the homeland and the need to acknowledge the host land. Divakaruni's first-generation Indian diasporic and/or transnational subjects never forget India even when they have left India for a long time. As an example, Jayanti's aunt still

connects with her family in India through letters sent especially during important occasion or celebration. When Jayanti arrives, her aunt is excited to hear stories of home since she rarely returns home after she migrates to the U.S. besides, she still cooks Indian food and she still serves her husband during the meal. Seeing her aunt serves her husband the way most traditional Indian do, Jayanti feels as if she is still in India and not in the U.S.

CONCLUSION

The act of making sense of unaccustomed earth to eventually plant seeds often causes disparities as it is always ambivalence for both generations since it is more of individual experiences even though a part of it is influenced by social and cultural values embedded throughout generations. Lahiri's and Divakaruni's short stories convey the act of planting seeds in unaccustomed earth through their descriptions of characters who are still adjusting in the U.S. while making sense of their roots and the path that they or their parents have chosen. Lahiri's second-generation subject, particularly, Ruma, exposes the idea of difficulty for a second-generation subject to fulfil her duty of planting seeds in unaccustomed earth since her father is the one who wants her to start a new life, forgetting the old one. While a first-generation subject like Ruma's father makes sense of his transnational identity and manages to cope well, Ruma is still thorn inbetween, not knowing which way to follow.

Indian-American or Indian-British subjects or any other diasporic and/or

transnational subjects indicate their search for a space even though their individual experiences are different from one another. In the context of South Asian British subject, Hanif Kureishi's literary works interpret similar issues pertaining to diaspora and transnationalism. For instance, Kureishi's "My son the fanatic" describes the act of making sense of one's roots when Ali chooses to go back to his root, specifically in terms of religious identity. His father who does not force or even teach him to submit to any religious belief feels estrange of his son's sudden vicissitudes. This necessitates the idea of finding a space, when Ali cannot find his space in the host land, he retains his father's cultural and religious roots and creates his own. Ali even questions his father who, in a way, is justifying the idea of planting seeds in unaccustomed earth as he just wants to fit in. Just like most diasporic parents, Parvez imagines a better life in England especially for his son, yet, when Ali begins to change, his dreams of acquiring a better life is shattered.

Another discrepancy in the study of transnationalism and identity in literary works by diasporic authors is 'transnational identity' itself as it is frequently associated with the act of straddling two worlds, both homeland and host land through familial, social, cultural, political and economic ties. Tsuda (2012) called out attention to look at 'transnational identity' and 'simultaneity'. Tsuda believed that there was a need to vindicate the idea of straddling both homeland and host land since scholars often used it in a broad sense, suggesting both

physical and 'mindscape'. Even though Tsuda does not relate it to literary works, we think that it is interesting to examine it in literary works in the sense that we should observe 'simultaneity between receiving and sending country' thoroughly rather than just focusing on how characters lead their life in the receiving country.

It is also an ambiguity to derive that only those who are first-generation immigrants constitute 'transnational identity' as they acknowledge both homes because sometimes, second-generation subjects also have to face challenges since they are Indian descents. It is not clear as to whether these characters 'simultaneously straddle two worlds', especially in the physical sense, meaning, the relationship between the sending and receiving country (for instance, the degree to which they support their family in India in terms of financial or would they go back to India to vote or other related activities, and not just their act of returning to India to visit their relatives). Therefore, Indian diasporic and/or transnational subjects or any other subjects who constitute 'the hyphen', straddling 'home' and 'host' or two worlds simultaneously whether physically or psychologically, continuously try to make sense of their roots and routes, to eventually succeed in planting seeds in unaccustomed earth or forever struggling to find a space of one's own.

ACKNOWLEDGEMENT

We would like to express our gratitude to members of English Language Studies Section, School of Humanities, Universiti Sains Malaysia (USM) for giving us words of encouragement and supports throughout the process of writing this paper.

REFERENCES

- Ahamed, S. (2017). Projection of diaspora:
 Multiculturalism and quest for identity in
 the selected works of Jhumpa Lahiri, Chitra
 Banerjee Divakaruni and Anita Rau Badami
 [Doctoral thesis, Swami Ramanand Teerth
 Marathwada University]. https://shodhgangotri.
 inflibnet.ac.in/bitstream/123456789/6605/1/01_
 synopsis.pdf
- Alfonso-Forero, A. M. (2007). Immigrant motherhood and transnationality in Jhumpa Lahiri's fiction. *Literature Compass*, *4*(3), 851-861. https://doi.org/10.1111/j.1741-4113.2007.00431.x
- Arjopalo, N. (2015). Model migrants in turmoil: Second-generation migrant identities in Jhumpa Lahiri's Unaccustomed Earth [Master's thesis, University of Helsinki]. https://helda.helsinki.fi/bitstream/handle/10138/155075/modelmig.pdf?sequence=1&isAllowed=y
- Ashcroft, B., Griffiths, G., & Tiffin, H. (2002). *The Empire writes back*. Routledge.
- Asl, M. P. (2018). Racial and gendered in/visibility: Reading Jhumpa Lahiri's fiction as a response to the objectification of the diasporic subject in the West [Doctoral thesis, Universiti Sains Malaysia]. http://eprints.usm.my/44074/1/MOUSSA%20POURYA%20ASL.pdf
- Asl, M. P. (2019). Canons and controversies: The critical gaze on Jhumpa Lahiri's fiction. *The Journal of Applied Linguistics and Applied Literature: Dynamics and Advances*, 7(1), 67-82. https://doi.org/10.22049/jalda.2019.26414.1110
- Asl, M. P., & Abdullah, N. F. L. (2017). Practices of (neoliberal) governmentality: Racial and gendered gaze in Jhumpa Lahiri's fiction. The Southeast Asian Journal of English

- *Language Studies, 23*(2), 123-140. https://doi. org/10.17576/3L-2017-2302-10
- Asl, M. P., Abdullah, N. F. L., & Yaapar, M. S. (2018). Sexual politics of the gaze and objectification of the (Immigrant) woman in Jhumpa Lahiri's Interpreter of Maladies. *American Studies in Scandinavia*, 50(2), 89-109. https://doi.org/10.22439/asca.v50i2.5779
- Asl, M. P., Hull, S. P., & Abdullah, N. F. L. (2016). Nihilation of femininity in the battle of looks: A Sartrean reading of Jhumpa Lahiri's "A Temporary Matter". GEMA Online Journal of Language Studies, 16(2), 123-139. https://doi. org/10.17576/gema-2016-1602-08
- Basch, L., Blanc, C. S., & Schiller, N. G. (1994).Nations unbound. Gordon and Breach Science.
- Basch, L., Schiller, N. G., & Blanc, C. S. (1995). From immigrant to transmigrant: Theorizing transnational migration. Anthropological Quarterly, 48-63. https://doi. org/10.2307/3317464
- Begum, S. (n.d.). Parent-child relation in Jhumpa Lahiri's 'The Unaccustomed Earth'. https://www.academia.edu/2221644/Parent_Child_relation_in_Jhumpa_Lahiri_s_The_Unaccustomed_Earth
- Divakaruni, C. B. (1995). *Arranged marriage*. Anchor Book. https://b-ok.asia/book/3773529/b4ae75
- Dubey, S. (2016). Coming to terms with change: A study of Chitra Banerjee Divakaruni's *Arranged Marriage*. *Research Chronicler*, 4(3), 18-25. http://research-chronicler.com/reschro/pdf/v4i3/4304.pdf
- Faist, T. (2010). Diaspora and transnationalism: What kind of dance partners? In T. Faist & R. Bauböck (Eds.), *Diaspora and transnationalism:* Concepts, theories and methods (pp. 9-34). Amsterdam University Press. https://doi.org/10.5117/9789089642387

- Farshid, S., & Taleie, S. (2013). The fertile "third space" in Jhumpa Lahiri's stories. *International Journal of Comparative Literature & Translation Studies*, 1(3), 1-5. https://doi.org/10.7575/aiac.ijclts.v.1n.3p.1
- Fine, L. (2011) Space and hybridity in Jhumpa Lahiri's "Unaccustomed Earth" and "Only Goodness". South Asian Review, 32(2), 209-222. https://doi.org/10.1080/02759527.2011.11932836
- Garrett, N. (2011). Transnationalism, home and identity: Personal essays [Doctoral dissertation, University of Pittsburgh]. D-Scholarship@ Pitt. http://d-scholarship.pitt.edu/7386/1/GarretN2011.pdf
- Ghorashi, H. (2004). How dual is transnational identity? A debate on dual positioning of diaspora organizations. *Culture and Organization*, 10(4), 329-340. https://doi.org/10.1080/1475955042000313768
- Haller, W., & Landolt, P. (2005). The transnational dimensions of identity formation: Adult children of immigrants in Miami. *Ethnic and Racial Studies*, 28(6), 1182-1214. https://doi.org/10.1080/01419870500224554
- Ibarrola-Armendáriz, A. (2011). The dwindling presence of Indian culture and values in Jhumpa Lahiri's *Unaccustomed Earth. Revista de Filología Inglesa 32*, 161-178. https://uvadoc.uva.es/bitstream/handle/10324/17404/ES-2011-32-TheDwindlingPresenceOfIndian.pdf?sequence=1
- Jahan, H. (2003). Colonial woes in post-colonial writing: Chitra Divakaruni's Immigrant Narratives. South Asian Review, 24(2), 149-169. https://doi.org/10.1080/02759527.2003.1 1932306
- Kachhia, H. K. (2016). Indian English fiction: Crosscultural encounters; transnational ties and conflicting ideologies. *The Global Journal of Literary Studies*, 2(2). http://thegaes.org/files/ documents/GJLS-May-16-Hetal-K-Kachhia.pdf

- Karthikeyan, B. (2018). A Study of family relationships in Chitra Banerjee Divakaruni's Fiction. *Language in India*, 18(6), 138-142. http://languageinindia.com/june2018/mediacentresalemseminar/karthikeyanfamilyrelationdivakaruni.pdf
- Karthikadevi, C. G. (2015). Diasporic experiences in Jhumpa Lahiri's Interpreter of Maladies and Unaccustomed Earth. Language in India, 15(1), 118-127. http://languageinindia.com/jan2015/ karthikamaladies.pdf
- Khan, N. A. (2005). *The fiction of nationality in an era of transnationalism*. Routledge.
- Kumari, A. (2014). The matrix of diasporic consciousness in Chitra Banerjee Divakaruni's s Arranged Marriage. International Journal on Studies in English Language and Literature, 2(11), 59-64. https://www.arcjournals.org/pdfs/ijsell/v2-i11/7.pdf
- Kuortti, J. (2007). Problematic hybrid identity in the diasporic writings of *Jhumpa Lahiri*. In *Reconstructing hybridity: Post-colonial studies in transition* (pp. 205-219). Brill | Rodopi. https://www.academia.edu/190272/_Problematic_Hybrid_Identity_in_the_Diasporic_Writings_of_Jhumpa_Lahiri_?auto=download
- Lahiri, J. (2004). *The Namesake*. Houghton Mifflin Company. https://b-ok.asia/book/1126856/af0da7
- Lahiri, J. (2008). *Unaccustomed earth*. Alfred A. Knopf. https://b-ok.asia/book/1623191/db609d
- Lau, L. (2004). Making the difference: The differing presentations and representations of South Asia in the contemporary fiction of home and diasporic South Asian women writers. *Modern Asian studies*, 39(1), 237-256. https://doi.org/10.1017/S0026749X0400143X
- Levitt, P., & Jaworsky, N. (2007). Transnational migration studies: Past developments and future trends. *Annual Review of Sociology,* 33, 129-156. https://doi.org/10.1146/annurev.soc.33.040406.131816

- Marwah, A. (2013). Transnational transactions and the Indian woman: Interrogating Jhumpa Lahiri's universalism, *South Asian Review, 34*(3), 87-102. https://doi.org/10.1080/02759527.2013.1 1932942
- Mishra, V. (1996). The diasporic imaginary: Theorizing the Indian diaspora. *Textual Practice*, 10(3), 421-447. https://doi.org/10.1080/09502369608582254
- Nair, C. T. (2015). Politics of in-between spaces: Diasporic travails in Jhumpa Lahiri's fiction. *Asiatic*, 9(1), 137-145.
- Reshmi, S. (2019). The hybrid space and fragmented self in Chitra Divakaruni's *The Mistress of Spices*. *Meridian*, 8(1), 18-26. http://www.meridianmes.com/admin/file_folder/article-3-8-1.1588948819.pdf
- Sahi, H. K. (2009). Negotiating with the past and contemporary life of Indian woman: A study of the works of Shashi Deshpande and Chitra Banerjee Divakaruni [Doctoral thesis, Punjabi University]. Shodhganga. http://hdl.handle.net/10603/2329
- Sen, A. (2009). From national to transnational: Three generations of South Asian American women writers. *Asiatic*, *3*(1), 54-68.
- Shameem, M. (2018). Plurality redefined: The emergence of the new woman in Mukherjee, Divakaruni and Lahiri [Doctoral thesis]. Dhaka University.
- Somerville, K. (2008). Transnational belonging among second generation youth: Identity in a globalized world. *Journal of Social Sciences*, 10(1), 23-33. http://citeseerx.ist.psu.edu/viewdoc/download?d oi=10.1.1.606.7514&rep=rep1&type=pdf
- Thapan, M. (2005). *Transnational migration and the politics of identity*. Sage Publications India Pvt Ltd.
- Trucios-Haynes, E. (1997). The role of transnational identity and migration. *University of Miami*

- *Inter-American Law Review, 28*(2), 293-302. http://repository.law.miami.edu/umialr/vol28/iss2/7
- Tsuda, T. (2012). Whatever happened to simultaneity? Transnational migration theory and dual engagement in sending and receiving countries. *Journal of Ethnic and Migration Studies*, 38(4), 631-649. https://doi.org/10.1080/136918 3X.2012.659126
- Vijayakumar, M., & Rajasekaran, W. C. (2018). Transplanted identities beyond cultural boundaries in Jhumpa Lahiri's *Unaccustomed Earth. International Journal of Pure and Applied Mathematics*, 119(18), 3659-3670. https://acadpubl.eu/hub/2018-119-18/3/296.pdf
- Vertovec, S. (2001). Transnationalism and identity. *Journal of Ethnic and Migration Studies*, 27(4), 573-582. https://doi.org/10.1080/13691830120090386

- Watkins, A. (2016). The diasporic slide: Representations of second-generation diasporas in Yasmine Gooneratne's *A Change of Skies* (1991) and in Chandani Lokugé's *If the Moon Smiled* (2000) and *Softly as I Leave You* (2011). *Journal of Postcolonial Writing*, 52(5), 581-594. https://doi.org/10.1080/17449855.2016.1233682
- Wutz, M. (2015). The archaeology of the colonial Un-earthing Jhumpa Lahiri's *Unaccustomed Earth. Studies in American Fiction*, 42(2), 243-268. https://doi.org/10.1353/saf.2015.0008
- Yun, L. (2014). Diasporic trauma in *Unaccustomed Earth. Cross-Cultural Communication*, 10(2), 141-144.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Decolonization, Neo-Apartheid and Xenophobic Violence in Phaswane Mpe's *Welcome to Our Hillbrow*

Mustafa Mohammed Abdullah^{1*}, Hardev Kaur Jujar Singh¹, Omar Mohammed Abdullah², and Mohammed Fleih Hasan³

ABSTRACT

South Africa is undoubtedly one of the most unreceptive destinations in the world for black African refugees due to the prevalent xenophobic violence since the dismantling of apartheid in 1994. Previous research claimed that attitudes of intolerance and xenophobia towards foreigners were results of social and economic insufficiencies. Yet, this study argues that apartheid was not really dismantled, and that incomplete decolonization led to a state of neo-apartheid which catalysed citizens towards aggression and intolerance against foreigners. The article looks at *Welcome to Our Hillbrow* (2001) by Phaswane Mpe through the lens of Fanons' concept of decolonization, and attributes the actions of xenophobic violence in South Africa to the incomplete process of decolonization after apartheid. The article concludes that unsuccessful liberation and incomplete decolonization can lead to a state of neo-colonialism and ultimately, neo-apartheid. Xenophobic violence is triggered

and motivated by the reality that nothing has really changed in South Africa even after the dismantlement apartheid.

Keywords: Decolonization, Fanon, foreigners, Mpe,

ARTICLE INFO

Article history: Received: 21 May 2020 Accepted: 30 June 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.25

E-mail addresses:

mustafaliterature@gmail.com (Mustafa Mohammed Abdullah) jshardev@yahoo.com (Hardev Kaur Jujar Singh) omar.moh@uoanbar.edu.iq (Omar Mohammed Abdullah) mohamedfleih@uoanbar.edu.iq (Mohammed Fleih Hasan) *Corresponding author INTRODUCTION

neocolonialism, xenophobia

The fear of the unknown can be seen all over the world and the fear of strangers has grown manifold because of the human

ISSN: 0128-7702 e-ISSN: 2231-8534

¹English Department, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

²English Department, College of Education for Women, Anbar University, 46001 Anbar, Iraq

³English Department, College of Arts, Anbar University, 46001 Anbar, Iraq

diaspora and dislocation of people from their native lands due to war, uprising, racism, ethnic cleansing and natural calamities. Xenophobia originates from the Greek words *xénos* 'stranger' or 'guest' and 'fear' *phóbos*. Remarkably, the second implication, 'guest', has lost its validity. It is translated as 'fear of strange'. M. S. Bhatia defined xenophobia as "an irrational and excessive fear of strangers or strange (foreign) cultures, which can often become converted into intense, Jingoistic patriotism and/or racial or cultural prejudice" (2009, p. 453).

In South Africa, xenophobia appears as a reaction to the economic decay and the unchanging state of poverty of its people after liberation. The failure to achieve complete decolonization after the collapse of apartheid led people to be xenophobic against African migrants because they perceive them as invaders and competitors for the nation's scarce resources and thus their state needs to be fully decolonized. South Africa experiences severe discrimination with a racist system of segregation and apartheid. William Beinart and Saul Dubow (2013) stated that "Segregation was the name coined in early twentieth century South Africa for the set of government policies which sought to regulate the relationship between white and African colonizers and colonized" (p. 1). The most significant discriminatory regulation is the law that bans black Africans from acquiring or renting property outside the capital from individuals who are not black Africans.

Since the independence of South Africa, xenophobic violence has escalated, alongside the mounting number of strangers pouring into the state. The attitude of revulsion towards newcomers is particularly aimed at individuals approaching from other African states (Hopstock & de Jager, 2011). In May 2008, countrywide xenophobic violence broke out in South Africa, starting in the Alexandra Township in Johannesburg. The South African Human Resource Commission (SAHRC) stated that 62 people were murdered and over 100,000 were evacuated. The substantial damages ran into millions of Rands. Jonathan Crush stated that the aggressive insolences towards foreign inhabitants living in South Africa had continued to harden (Crush, 2001). Based on numerous researchers, South Africa is considered as one of the most unreceptive and xenophobic states worldwide. Many sources of literature portray xenophobia as an intensely engrained, continuous, growing phenomenon in South Africa which will remain to be categorized as an essential human rights concern in the state for the foreseeable future (Adjai & Lazaridis, 2013).

Having garnered worldwide attention and public concern, literary scholars had started to record this phenomenon in the literary scholarship. Phaswane Mpe's *Welcome to Our Hillbrow* (2001) is extensively observed as a significant work in the literature of post-apartheid period. Similar to other novelists such as Zakes Mda and K. Sello Duiker, Phaswane Mpe is considered as one among the three

who established the core principle for the post-apartheid state. The text was one of the first works to address African immigration to South Africa after apartheid, and the uncomfortable frustration with those immigrants in the country. Mpe's novel stands out from many of the scripts with its revolutionary and cautious narrative style focusing on African refugees and the attitudes of xenophobia concentrating on them (Fasselt, 2014).

Carrol Clarkson in her study "Locating Identity in Phaswane Mpess Welcome to Our Hillbrow" (2005) explored Mpess treatment of the South African identity not only as a reaction to place, but also as a linguistic and physical writing in the novel. In her article, Clarkson (2005) argued that a repeated characteristic of numerous new novels in South Africa was the examination of individual, social and ethnic characteristics in its relation to the individuals indecisive reactions to place. She added that Welcome to Our Hillbrow thematically traced the closure of concepts of "home, of what establishes a community" (Clarkson, 2005, p. 451). The researcher focussed on how the suspension of the traditions, of considerations of society and home, posed a test to the capability of the individual's liability, and then to his understanding of his being. Thus, the study explored the concept of home and identity yet failed to focus on the xenophobic violence against foreigners in South Africa.

Sandra Saayman (2016) in "Imagining the "other" – The Representation of the African Migrant in Contemporary South African Literature" stated that probably the first South African novel to explore the term "Makwerekwere" is Welcome to Our Hillbrow, by Phaswane Mpe. A Makwerekwere is a term constructed and used in South Africa to render and categorise black Africans coming from other African states. Saayman (2016) argued that the novel was incomparable in its crucial request for the understanding of outsiders. The article argued that in his novel Mpe presents the expression "Makwerekwere" at the opening of the novel (Saayman, 2016, p. 75). The article focussed on the term "Makwerekwere" and its connotations in South Africa and how it reflected citizens' reactions towards foreigners. The article missed to focus on the neocolonial condition and the xenophobic violence in South Africa.

Hardev Kaur (2012) in her thesis Apartheid and The Reconciliation Process in Post - Apartheid Novels of South Africa, explored the concern of xenophobia in South Africa and examined the reconciliation process among citizens in the post-apartheid era. She highlighted the issue of xenophobia in Welcome to our Hillbrow, among other texts. She underlined the plight of the migrants in South Africa and posited that xenophobia was one of the dominant themes of Welcome to My Hillbrow. Kaur (2012) focussed on the reconciliation process in South Africa, yet missed to underline the black on black violence and the fallacy of the rainbow nation.

Rebecca Fasselt (2014) in her article "Towards an 'Afropolitan Deixis': Hospitality and 'You' and 'We' Narration in

Phaswane Mpe>s Welcome to Our Hillbrow" explored the notion of the spatial politics implied in the method of hospitality shown towards black African foreigners coming into South Africa. The research emphasized how "hospitality towards African migrants is denied, contested and extended in the diverse and complex spatial arenas depicted in the text" (Fasselt, 2014, p. 99). She claimed that the text raised the concept of generosity, and the language of openness went on to encompass the organization of the whole novel. The article explored the text's application of "you" and "we" as methods utilising the conception of linguistic tools. As such, previous studies explored notions of place, identity, home and hospitality, yet overlooked the xenophobic violence and its causes and consequences on the African and the South African communities. In this sense, the article aspires to fill the gap of the study and open new horizons to study xenophobia in South Africa and to unearth the reasons behind it. As mentioned above, previous studies focused on the economic and the social factors of the phenomenon, whereas the current study attempts to revisit the past of South Africa and to review the decolonization process of the state. The decolonization is incomplete and this leads the state to fall in a neocolonial\neoapartheid reality which is the argument of the article.

METHOD

The concept of Decolonization was addressed by numerous theoreticians like Edward Said, Gayatri Spivak, and Frantz Fanon in their influential works. In *Culture* and Imperialism, Said (1993) was more involved, as the title of his book proposes, with the cultural dimension in the process of decolonization and, particularly, in chapter three of the book "Resistance and Opposition." Said argued that "culture played a very important, indeed indispensable role, both in extending and securing empire and in eroding and undermining it" (1993, pp. 221-222). He defined culture as a group of principles, ethics, standards, customs, conducts, formalities, and a method of life that could distinguish one set from the other (Kim, 2003). Fanon (1968), in his book, paid more focus on the process of decolonization and stated that while "decolonization must always be a violent phenomenon; Colonialism is not a thinking machine, nor a body endowed with reasoning faculties... [it] is violence in its natural state, and it will only yield when confronted with greater violence" (1968, p. 61).

In *The Wretched*, Fanon (1968) argues that colonialism is totalitarian, with the 'native' experiencing domination internally and externally. In fact, there is no occupation of the country, he argues, without the occupation of the people, and thus there is no liberation of the country without the liberation of all the people. Colonialism, according to Fanon is a complete process. It is constructed on segregation and subjugation, the colonized is regulated and relentlessly ordered not to relocate. Liberation, in this context, consists of terminating these inner and exterior fences which did not happen in South Africa in the

post-apartheid period and as a consequence xenophobia has become a dominant culture against foreigners.

According to Fanon, decolonizing the land is not enough, it is important to decolonise the mind as well; otherwise, the process of decolonization is not complete. He argued that it "is not possible to take one's distance with respect to colonialism without at the same time taking it with respect to the idea that the colonised holds of himself through the filter of colonialist culture" (1968, p. 114). In other words, decolonizing the mind means liberating the state from all the rules and systems of colonialism and to create new democratic systems totally different from those of the colonizers. In The Wretched, Fanon warned against the pitfalls of national consciousness and stated that "decolonization has to be totalitarian and incomplete liberation may lead to fragmentation, chauvinism, racism and xenophobia" (1968, p. 156).

Undoubtedly, in discussing xenophobia in South Africa we cannot ignore the political and psychological phenomena, which are results of, in Fanon's words, an "incomplete liberation" (1968, p. 13). South Africa in post-apartheid times is on the one hand, expressing itself to the international community as a prosperous, welcoming and a democratic state, a "rainbow nation", a state that every individual, no matter what his nationality, can succeed from unrestricted commercial marketplaces. On the other hand, it is characterised by environments of paucity, violence and xenophobia, emphasising the international

opinions of it as a perpetually warring and suffering 'tribal' state.

Eventually, a Fanonian perception maintains that we need to perceive the pleasantness of South Africa's political independence from apartheid as unpleasant, recognised instantly when "the people find out the ubiquitous fact that exploitation can wear a Black face" (Fanon, 1968, p. 145). This is in reference to the exploitation and xenophobia practised by black South Africans on black Africans, a process of exchanging roles from oppressed to oppressors. Thus, Fanon asserted that, "decolonization is incomplete if it is not waged on both levels, political-economic and psychological, objective and subjective" (Fanon, 1968, p. 13). Thus, failing to achieve complete decolonization will produce nationwide and racial dogmatism and this will lead to the creation of a new class of "bourgeoisified Blacks".

Furthermore, just as black elites pursue political authorisation in the country, black political liberation is not liberation from chauvinism because it leaves the state of human liberation incomplete. This is precisely what Fanon discussed in his criticism of the drawbacks of national consciousness, explicitly that the "elite bourgeoisie will attain political independence in the country but without completely liberating the state" (1968, p. 158).

At the conclusion of "Colonial War and Mental Disorders", perhaps the most under-read chapter of *The Wretched*, Fanon remarked that:

Total liberation is that which concerns all sectors of the personality. Independence is not a word which can be used as an exorcism, but is an indispensable condition for the existence of men and women who are truly liberated, in other words who are truly masters of all material means which make possible the radical transformation of society (1968, p. 310).

It is in this sense of speaking to comrades that we find expressions of Fanon's 'living' dialectic. First, the concept of total liberation as a product of the process of social liberation; and second, true liberation as the liberation from all forms of alienation, and as the returning to human beings all of their creative powers which Fanon emphasized on in the pitfalls of national consciousness (1968, p. 315).

RESULT: INCOMPLETE DECOLONIZATION IN WELCOME TO OUR HILLBROW

The issue of xenophobic violence and inhospitality towards outsiders is embedded in every aspect of *Welcome to our Hillbrow* (Fasselt, 2014). Phaswane Mpe in an interview with Lizzy Attree (2005) clarified that he contemplated the practice of tackling topics such as xenophobic violence in the novel as not burdensome, "but an opportunity to explore stories that have not been told on the one hand and on the other, to revisit old stories, retell them in a new context and see what you can learn", thus, the novel is exploring old stories in

reference to the history of South Africa under colonisation and apartheid and their consequences on the citizens (Attree, 2005, p. 146).

At the end of the 1990s, Hillbrow became either a rational multicultural society, class and ethnic group, or a deteriorating urban landscape of xenophobia, violence, narcotics, sex trafficking and HIV- AIDS. Examples were highlighted regularly by Refentse, the protagonist, and Cousin, his cousin in the novel. In his journey, Refentse uncovered the victims of official intolerance demonstrated by governmental discourse and popular rejection practised by Cousin and his colleagues, an obvious demonstration of the continuity of apartheid in the postapartheid age. During the apartheid era, foreigners, like black Africans were blamed for stealing whatever scarce resources there were, from others and were apprehended and found guilty for the outbreak of most of the communal misfortunes in society. The many victimized, stigmatized and embittered people living in Hillbrow now become perfect perpetrators of xenophobic crimes of the worst kind. As shown in the text, foreigners are being blamed by South Africans for all the corruption, criminality, poverty and all other ills that have befallen their society even though they realize that these foreigners are not the main cause of these ills. As Fanon warned, citizens would not be able to direct their anger towards the source, thus they would target the vulnerable section of society. So, foreigners will be "convenient scapegoats for everything that goes wrong in people's lives" (Mpe, 2011, p. 118). As such, foreigners are considered as the weaker faction in the society, in addition to the accusations of being invaders and competitors, this makes them the logical target to channel all the frustrations and disappointments of citizens.

Thus, the state's incapability to improve its overall economy is not merely due to a deficiency of incomes or the burdens of cosmopolitan investment. It is also because of the economic and political preferences that the nationalist political elites have defined and taken during the period of transition whereby they turned their backs on mass democratic participation which steered the public to direct their irritation and objection in the wrong direction (Fanon, 1968, p. 52). South Africa should not then be seen as an extraordinary case, but only as part of colonialism's lasting legacy (Ahluwalia, 1996). In other words, decolonization is incomplete, and this has led people to frustrate over the unchanging state of poverty and unemployment. Under these circumstances, it would appear that the only recourse they have is to blame their misfortunes on these foreigners.

As demonstrated in the text, South Africa has had a cultural heritage of violent actions that are rooted in inequality and colonial segregation and its impact on people in post-colonialism (Saayman, 2016), and its continuous presence in the post-apartheid period. Similarly, Fanon (1968) warned against such circumstances and insisted that decolonization has to be totalitarian and incomplete liberation may lead to fragmentation, chauvinism, racism

and xenophobia. Refentse proved Fanon's prophesies and offered many examples of migrants' experiences with xenophobia, the legacies and the continuity of apartheid (colonialism) rule which indicated that South Africa's liberation and decolonization were not totalitarian.

Thus, the struggle to attain this state of affairs- of bridging the gap between the new and the old - is further stressed when apartheid continues to rear its ugly head to further divide and racially segregate the masses. This calls to mind Lindsay Bremner's disturbing declaration that "Apartheid is not over, it has simply been deferred" (2010, p. 171). Instances of apartheid and legacies of colonial systems were seen through, the lens of Refentse and Cousin, both of whom validated the claims of Bremner that apartheid was deferred but not dismantled. Specifically under such authoritarian rule, citizens cannot oppose government and authorities so they blame foreigners for all the social ills, moral decay and economic crises in the country, all of which are conducive to the growth of xenophobia.

Cousin, the antagonist, uncovered an important revelation about the legislative innovation post-apartheid that was supposed to be driven by a new multiracial debate which would combat the discriminatory system of the apartheid regime. This forthcoming debate was projected to alter the South African state into a democratic, welcoming and receptive state known as "rainbow nation". However, there is a noticeable miscarriage in undertaking this

political schema which has led several intellectuals in post-apartheid to stigmatize and falsify the 'democratic rainbowism' as a deceitful objectivity from the tangible reality of violence, intolerance, and xenophobia in the South African society (Mari, 2012).

Thus, post-apartheid, people's expectations of the rainbow nation may have given rise to hope and a promise of better things to come yet, there is also an awareness that the democratic machinery set up to achieve equality for all and alleviate poverty will not achieve its purpose; this then fuels further dissatisfaction and resentment. Obviously, individuals are more mindful of their deficiency than ever before. So, with much indignation and resentment, and foreigners pouring into the country, it is an ideal environment for a plague like xenophobia to take root and flourish, and as Fanon suggested, "citizens are incapable to direct their anger and frustration towards the real sources of these disappointments" (1968, p. 15). Thus, for Fanon, this is the reality of the neo-colonial city and the demonstration of the failure to achieve complete liberation and decolonization.

Through the narrative Refentse reveals that political alteration to democracy in South Africa has exposed the uneven delivery of incomes and capital in the state and particularly in Hillbrow. Of particular notice is the practice by which foreigners coming from elsewhere in the greater continent are otherized and marginalized as portrayed by Cousin. Those foreigners are perceived as threats to civilians' very existence, and also deemed to challenge

authority and status. Cousin blames foreigners for taking jobs from citizens and that they are "responsible; not just for the physical decay of the place, but the moral decay" (Mpe, 2001, p. 17). Thus, internal refugees are destined to co-exist and fight for survival with inter-African migrants in the marginal areas of cities. Thus, the sole emphasis on xenophobia alone, may also obscure the fact that internal migrations and xenophobic consequences are mainly due to the failure of the post-apartheid political agenda in the redistribution of wealth and, above all, land (Mari, 2012), an indication of Fanon's neo-colonialism and the pitfalls of the incomplete liberation.

Refentse exposed the fact that South African citizens accused the foreigners in the country of corrupting their community with social ills like AIDS which was already so prevalent within the country. In addition, the foreigners are blamed for a universal ethical deterioration linked to the prompt expansion of the country in the postapartheid period. Within this xenophobic discourse, and similar to apartheid times, foreigners are considered as voiceless bodies, accessible only for sex and cheap labour. According to natives, foreigners contaminate others with AIDS, while their indigenous languages, cultural customs, and historic background cannot be transmissible (Davis, 2013). Such practices and attitudes by natives towards foreigners mark the advent of the neo-apartheid city, which in Fanon's words, is not unlike apartheid towards all the black Africans at that time. Thus, the processes of exploitation and otherizing enacted in the creating of such wretched individuals may be perceived as establishing an insensible expression of discrimination and xenophobia that remains still in post-apartheid indicating a new phase of neo-apartheid (Fryer, 2014). Apparently, along with Fanon, South Africans even after the supposed democracy, still follow and sustains the approach of colonialism and apartheid which is reflected in the continuation of oppression and humiliation against foreigners in the community.

DISCUSSION: NEO-COLONIAL AND NEO-APARTHEID CITY

Refentše's journey to Hillbrow from Tiragalong represents a journey from the past to the present, from old apartheid to new post-apartheid. Refentse confesses his longing to go back to his previous life in Tiragalong. Hillbrow represents the present, the post-apartheid age, not a present that the South Africans had dreamed of and were promised by the new democratic state officials. Thus, having been privy to atrocities committed against humanity and the failure of the powers that be to transform the state, there is a state of yearning for the way things were in the past. The narrator addressing Refentse to this: "with your memory constantly jogging back to Tiragalong with such nostalgia that one would have thought you had not been there for at least a year" (Mpe, 2001, p. 9). Citizens feel that nothing has really changed in their lives; no wealth distribution, no land and no secured country. Thus, South Africa lives a state of neo-colonialism

and neo-apartheid that Fanon had warned newly liberated states from becoming, if they did not achieve full and complete decolonization.

Xenophobia has political and psychological roots in South African society. Due to such disappointments and indignations, natives, on the contrary feel that their lives under apartheid were better than their presence in terms of job opportunities and resources. Along with Fanon's projections, the only change was with the 'elite', the black agents who are supporting the hegemony of white rule. However, the black masses were becoming increasingly disillusioned by the abject poverty they were living in. With every kind of misery Refentše observed in the present, the stronger his sense of longing for Tiragalong, for the past. This then is an indication of the failure of the transition and the incomplete process of decolonization expressed by Fanon.

According to Fanon, emancipation continues unfinished when the apartheid or colonial state is not restructured but merely taken over. So, Mamdani agreed with Fanon, that in order to attain full emancipation, it was crucial to reconstruct the state from the remnants of colonialism and apartheid. Hence, in his comments on South Africa, Mamdani emphasised that "the colonial state was deracialised but not democratised" (Mamdani, 1996, p. 20). It is true that South Africa was politically decolonized and the black majority rules the country, yet socially, culturally and psychologically, the legacies, imprints and scars of apartheid still exist in the neo-apartheid city.

Observably, Mpe is constructing a clear assessment of the apartheid and post-apartheid regimes and their management of the state and its citizens. Along with Fanon, Mpe also emphasises that the decolonization process in South Africa is unsuccessful because nothing really changes after the transition. Mpe recalled some grim memories of what black people and foreigners experienced under apartheid and post-apartheid rule:

Many writers, politicians, social workers and lecturers and the endless string of South Africans hanging and jumping from their ninth floor prison cells because the agents of Apartheid government wanted them to do so (2001, p. 19).

Consequently, Refentse through his various observations of life in Hillbrow, concluded that there was no big change in South Africa, "black agents of the Apartheid State, playing their various roles with a mastery that confounded the minds of even the State itself" (Mpe, 2001, p. 19). Black agents of apartheid ensure the continuation of apartheid yet this time around, it is practised and enacted by black people themselves, which results in the neo-colonial and the neo-apartheid state described by Fanon. Along with Fanon's conceptualization about the failed process of decolonization, the system in post-apartheid did not change, and there is no complete liberation as the government and the police, along with others like Cousin are still practising apartheid towards people in South Africa, hence breeding a fertile ground for xenophobic violence. Refentse added, "black police officers contorting bribes from fellow blacks accused of political and other dissents. Black police and security forces hitting fellow blacks mercilessly for crimes that were often not committed" (Mpe, 2001, p. 19). In this sense, apartheid dealt with black people in the same way that post-apartheid is treating foreigners in the present time. Thus, Refentse could deconstruct the post-apartheid new spatiality and refuted the so-called "democratic rainbowism" which had turned to a hegemonic discourse in post-apartheid (Mari, 2012).

Thus, living in Hillbrow, Refentse could uncover the hidden realities in South Africa in reference to the unchanged conditions in the post-apartheid period. Along with Fanon, Ahluwalia insisted that the "system of direct rule or apartheid may well have been dismantled, indirect rule continues to shape its future" (1996, p. 100). Refentse exposed, through Cousin, the methods of extracting information from suspects revealing that Cousin was "part of the interrogating police force that knew only one reliable way of accessing the truth from suspects: torture" (Mpe, 2001, p. 19). Such methods of investigation and interrogation were practised by the apartheid regime before 1994, revealing the huge similarity between the two regimes; the only thing that changed was the skin colour of the rulers.

Fanon asserted that "liberation is the total destruction of the colonial system" (1968, p. 105) yet, South Africa was not completely liberated and the process of decolonization was not successful since

the state of post-apartheid reproduced the systems and the actions of their ancestors. Consequently, South Africans do not experience complete emancipation from apartheid laws and regulations concerning the economy; they still live in squalid poverty, without any land distribution and/or jobs. As such, being powerless to oppose the government because of authoritarian rule, they direct their anger towards the most vulnerable faction in society, namely the refugees and migrants.

Refentse made another reference to the unsuccessful decolonization in the state which was demonstrated by the fact that white people were still superior to the blacks. They live in gated communities with security forces protecting them from 'black' criminals. Working in a kitchen of a white family is still a privilege for a black individual, which was the case during apartheid. The process of poverty and frustration continues among black people, they are still inferior to the whites and even their psychological transition after 1994 did not benefit them much. White suburbs are considered as low crime zones unlike black zones, where according to Refentse, "police bothered you less often in the suburbs, because those were not regarded as high crime zones" (Mpe, 2001, p. 22) which indicates the unchanged reality that the white and black people are still living the same life with the same privileges due to the incomplete decolonization.

Necklacing was one of the most popular and violent methods for death punishment

during apartheid, which indicates that the colonial mentality still exists in people in the post-apartheid period. Necklacing was done to people who were suspected to be informants to the apartheid regime. This act demonstrates that the violence committed by citizens after 1994 is somewhat due to the unchanged reality of colonial culture and traditions. Unquestionably, Mpe emphasized how apartheid patterns still assembled the cultural background and thought of post-apartheid (Ogden, 2013), because, as Birmingham put it; "Africans continued to work on colonial assumptions, making cultural, emotional and intellectual decolonization difficult for the heirs of empire" (1995, p. 7). For that reason, Fanon emphasised that the need to decolonize the mind was important, a mission he anticipated to be much harder than just eliminating the colonizer.

Thus, Mpe highlights that the language of study and writing fiction in South Africa should be English, which is the colonizers' language, or it will not be appreciated or published. South Africa has twelve formal languages but if a writer wants to publish his story he has to write it in English, which is a surviving remnant of the colonizers' culture. The novel also reveals the unchanged condition of South Africa in the postapartheid, Mpe narrated:

She did not know that writing in an African language in South Africa could be such a curse... The woman of your fiction, Refentse, was writing in 1995, one year after the much acclaimed 1994

democratic elections; one year after the overthrow of the political and the cultural censorship, and the damaging and the dishonest system (Mpe, 2001, pp. 56-57).

Thus, even one year after the acclaimed elections and the overthrow of the colonial regime, the state is still following and enacting the procedures and rules of the previous state's politics. That there was no full decolonization of the state is evidenced by the continuous authority and use of the colonizer's language. Though South Africa has twelve formal languages, English is as yet, the formal medium in writing. Mpe reveals that "in 1995, despite the so-called new dispensation, nothing had really changed. The legacy of Apartheid censors still shackle those who dreamed of writing freely in an African language" (Mpe, 2001, p. 57). Fanon had forewarned that "true liberation is not that pseudoindependence... liberation is the total destruction of the colonial system, from the pre-eminence of the language of the oppressor and departmentalization" (1968, p. 105).

Consequently, South Africans feel that nothing has really changed, and being unable to direct their anger towards the sources of corruption in the state, they vent their anger and frustration on the foreigners since the latter are the most vulnerable part of the community. Thus, according to Fanon, since citizens are unable to "attack the source of oppression, the government and the employers, foreigners became victims of this struggle because they were close at

hand" (1968, p.52). Fanon added that "this incomplete decolonization marks post-apartheid society and reverses the liberation project to mark neo-apartheid and violence instead of creating a new history" (1968, p. 52). Thus, similar to Fanon, Mpe offered a panoramic picture of the neo-apartheid society in his text.

A factor common to the neo-apartheid state and the continuous impact of apartheid is the prevalence of violence. Much of the xenophobic violence that is detailed in the text is committed by black natives. Sexual exploitation of black foreign women is executed by the native black policemen, "some of the womenfolk bought their temporary freedom to roam in Hillbrow streets by dispensing under-waist bliss" (Mpe, 2001, p. 21). These nefarious actions by the police are contradictory to the principles of police jurisdiction enshrined in the new Constitution. This brings us to the observation of Ndebele that "Power and wealth became the dominant determinants of behaviour: two key ingredients in the recipe of socially embedded corruption" (1998, p. 24).

Finally, a Fanonian view insists that we view the sweetness of the South African transition from apartheid as bitter and incomplete, realised at the moment when "the people find out the ubiquitous fact that exploitation can wear a Black face" (Fanon, 1968, p. 145) and the apartheid rule was replaced by a neo-apartheid one. In reference to the exploitation and xenophobia practised by black South Africans on black Africans, it has become a process of

exchanging roles from the old oppressed to the new oppressors. This failure to achieve complete decolonization has resulted in the formation of both national and racial xenophobia and a new bourgeois class of the Blacks. In this situation, South Africa has become a neo-apartheid and neo-colonial city and blacks will have to fight again to get democracy but this time the colonizers, according to them, are black Africans.

CONCLUSION

Welcome to Our Hillbrow is a panoramic picture of the incompleteness and unsuccessful process of liberation and decolonization in post-apartheid South Africa. Refentse had witnessed the acts of xenophobic violence towards strangers in post-apartheid South Africa. Previous research had concluded that xenophobic violence in South Africa had contributed to the economic and social decay, yet the current study attests to the fact that the unsuccessful process of decolonization can lead to destructive consequences like xenophobia. The frustration of citizens in post-apartheid age due to the grim, unchanging realities of poverty and unemployment ultimately led citizens to target foreigners who are perceived as a threat to the economy. Colonialism is totalitarian as Fanon had suggested thus, decolonization should similarly be totalitarian otherwise incomplete liberation will lead to destructive consequences like xenophobic violence.

ACKNOWLEDGMENTS

I, represents the first and the correspondent author (Mustafa Mohammed Abdullah) would like to show my sincere gratitude and appreciation to the co-authors for the continuous support and help during writing the manuscript of this article, my appreciation goes to my supervisor, Dr. Hardev Kaur for her guidance and continuous support. I would not forget the Library of UPM for the resourceful information I received from the staff.

REFERENCES

- Adjai, C., & Lazaridis, G. (2013). Migration, xenophobia and new racism in post-Apartheid South Africa. *International Journal of Social Science Studies*, *I*(2013), 1921 https://doi.org/10.11114/ijsss.v1i1.102
- Ahluwalia, D. P. S. (1996). *Post-colonialism and the politics of Kenya*. Nova Publishers.
- Attree, L., & Mpe, P. (2005). *Healing with words:*Phaswane Mpe Interviewed by Lizzy Attree.
 ITOPF.
- Beinart, W., & Dubow, S. (2013). Segregation and Apartheid in Twentieth century South Africa. Routledge. https://doi.org/10.4324/9780203425442
- Bhatia, M. S. (2009). *Dictionary of psychology and allied sciences*. New Age International?
- Birmingham, D. (1995). *The decolonization of Africa*. UCL Press.
- Bremner, L. (2010). Writing the City into being: Essays on Johannesburg, 1998–2008. Fourthwall Books:
- Clarkson, C. (2005). Locating identity in Phaswane Mpess Welcome to our Hillbrow. *Third World Quarterly*, 26(3), 451-459. https://doi.org/10.1080/01436590500033735

- Crush, J. (2001). The dark side of democracy: Migration, xenophobia and human rights in South Africa. *International migration*, 38(6), 103-133. https://doi.org/10.1111/1468-2435.00145
- Davis, E. S. (2013). Contagion, cosmopolitanism, and human rights in Phaswane Mpess «Welcome To Our Hillbrow». *College Literature*, 99-112. http://www.jstor.org/stable/24543224
- Fanon, F., Sartre, J. P., & Farrington, C. (1968). *The wretched of the earth* (Vol. 36). Grove Press.
- Fasselt, R. (2014). Towards an 'Afropolitan Deixis':
 Hospitality and 'You' and 'We' Narration in
 Phaswane Mpe>s Welcome to Our Hillbrow.

 English Studies in Africa, 57(2), 98-114. https://doi.org/10.1080/00138398.2014.963287
- Fryer, J. T. (2014). Altering urbanscapes: South African writers re-imagining Johannesburg, with specific reference to Lauren Beukes, K. Sello Duiker, Nadine Gordimer and Phaswane Mpe [Doctoral dissertation]. Nelson Mandela Metropolitan University.
- Hopstock, N., & de Jager, N. (2011). Locals only: Understanding xenophobia in South Africa. Strategic Review for Southern Africa, 33(1), 120-139.
- Kim, L. S. (2003). Exploring the relationship between language, culture and identity. *GEMA Online*® *Journal of Language Studies*, 3(2). https://ejournal.ukm.my/gema/article/view/212
- Kaur, H. (2012). Apartheid and the reconciliation process in post-apartheid novels of South Africa [Doctoral dissertation, International Islamic University Malaysia.] IIUM Student Repository. http://studentrepo.iium.edu.my/handle/123456789/6265

- Mamdani, M. (1996). Citizen and subject: Contemporary Africa and the legacy of late colonialism. Princeton University Press.
- Mari, L. (2012). Plural Ghetto. Phaswane Mpe's «Welcome to Our Hillbrow» (2001), Neill Bloemkamp's «District 9» (2009) and the crisis in the representation of spaces in post-apartheid South Africa. *Journal of Foreign Literatures and Cultures*, XVII(2012), 265-285.
- Mpe, P. (2001). *Welcome to our Hillbrow*. University of Natal Press.
- Ndebele, N. (1998). Memory, metaphor and the triumph of narrative. In S. Nuttall & C. Coetzee (Eds.), Negotiating the past: the making of memory in South Africa (pp. 19-28). Oxford University Press.
- Ogden, B. H. (2013). The palimpsest of process and the search for truth in South Africa: How Phaswane Mpe wrote Welcome to our Hillbrow. *Safundi*, *14*(2), 191-208. https://doi.org/10.1080/17533171.2013.776750
- Saayman, S. (2016). Imagining the "other"-The Representation of the African Migrant in Contemporary South African Literature. *International Journal of Language and Linguistics*, 3(6), 72-80.
- Said, E. W. (1993). Culture and imperialism. Vintage.



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Joel's Self-Redemption in the Unnatural Narrative Structure of Charlie Kaufman's *Eternal Sunshine of the Spotless Mind* (2004)

Nur Aainaa Amira Mohd Said, Arbaayah Ali Termizi*, and Mohammad Ewan Awang

Department of English, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

ABSTRACT

This essay discusses the significance of the unnatural narrative structure in Charlie Kaufman's screenplay *Eternal Sunshine of the Spotless Mind* (2004). Oftentimes, the screenplay's reverse chronology is studied as a backdrop to accentuate its thematic values of personal identity and memory. However, this study argued that the reverse narrative was caused by the protagonist's self-redemption journey. To achieve this objective, two components of Kenneth Burke's dramatism theory, dramatistic pentad and guilt-redemption cycle were utilized. The pentadic analysis explored the connection between the main characters' actions and motives with the structure of the text while also interpreting the implication of its reverse narrative from the framework of guilt-redemption cycle. From the findings, the study affirms that the screenplay's unnatural narrative structure i.e. reverse chronology integrally founded the narrative structure of the text by representing Joel's regret

ARTICLE INFO

Article history:

Received: 21 September 2020 Accepted: 2 December 2020 Published: 26 March 2021

 $DOI:\ https://doi.org/10.47836/pjssh.29.1.26$

E-mail addresses: aainaasaid31@gmail.com (Nur Aainaa Amira Mohd Said) arbaayah@upm.edu.my (Arbaayah Ali Termizi) ewan@upm.edu.my (Mohammad Ewan Awang) *Corresponding author in a sequence of guilt-redemption cycle. As a result, it showcases the versatility of dramatism theory as one of the analytical tools for narrative studies particularly on the unnatural narrative structure of screenplay texts.

Keywords: Dramatistic pentad, guilt-redemption cycle, literature, screenplay, unnatural narratology

ISSN: 0128-7702 e-ISSN: 2231-8534

INTRODUCTION

Narratology or the study of narrative theories is a "humanities discipline dedicated to the study of the logic, principles, and practices of narrative representation" (Meister, 2014 p. 329). It is classified in two different subjects: one that focuses on literary narratives mainly found in prose, poetry and fictions, and another one is concerned on "any kind of storytelling" such as historical writing, conversational narratives and in electronic media (Fludernik & Pirlet, 2012, p. 225). However, following the emergence and growth of other school of criticisms which offer new parameters of literature interpretations and studies, narratology almost loses its mark in literature studies.

As a result, many narratologists began to construct new inputs for the scholarship and this resulted in two trajectories of narrative studies: classical narratology which is a technical, more "scientifically motivated" narratology that observes similarity and difference of narratives (Prince, 2008, p. 115), and postclassical narratology which is "an extension, an expansion, a broadening, a refinement" of the previous narrative theories (p. 116). Presently, the features of postclassical narratology or new narratology rely heavily on interdisciplinary and transmedial studies, cognitive approaches and unnatural narratives (Alber & Fludernik, 2010; Olson, 2011).

Consequently, classical narratology such as Russian Formalism and French Structuralism are no longer expected to be the core of the narrative studies but the basic elements of the said theories are now used as analytical tools "to meet different requirements of culture, literature, politics, ethics, ethnics, gender, genre" of literary studies (Qiao, 2018, p. 393). Hence, the current application of narrative theories is not merely focusing on the narratological aspects of literature but also as tools for understanding complex narratives (Alber, 2013; Fludernik, 1996; Qiao, 2018; Richardson, 2006).

Primarily known as a part of cognitive narratology, unnatural narratology delves into the creation and practice of avantgarde and postmodern narratives which were neglected previously. Throughout the years, other major unnatural narratologists further tabulate the concept (Alber, 2009, 2013, 2016; Nielsen, 2004). As of now, unnatural narratology does not have a unified approach although there are two most common prepositions. Initially, Brian Richardson defined the concept as "the theory of fictional narratives that defy the conventions of nonfictional narratives and of fiction that closely resembled nonfiction" (2006, p. 385), but in later years, he no longer regarded narratives that defied the conventions of existing narratives and genres as unnatural: "...such an effect is a feature of reception, not the storyworld" (Alber & Richardson, 2020, p. 3). The second common preposition is by Jan Alber's definition where he limited the unnatural to "physically, logically, or humanly impossible scenarios or events" (Alber et al., 2013, p. 102).

Theoretically, there are three types of unnatural narratology: unnatural

storyworlds, unnatural minds, and unnatural acts of narration (Alber et al., 2010). For this essay, only unnatural storyworlds are focused on. Storyworlds, as Herman denoted, are "mentally and emotionally projected environments in which interpreters are called upon to live out complex blends of cognitive and imaginative response" (2005, p. 570). In other words, storyworlds refer to the surrounding that the story or narrative is built on. Naturally, storyworlds are closely related with temporal and spatial limitations, as traditional chronological narrative dictates. However, unnatural storyworlds comprise "physical or logical impossibilities that concern the represented world's temporal or spatial organization" (Alber et al., 2010, p. 116) which allows the storyworlds in literature to defy the limitations. This preposition refers to anti-chronological narratives e.g. reverse chronological narrative.

In general, reverse chronological narrative starts the story at the ending before moving backward towards the beginning. Unlike flashback which entails retelling the story by having a series of acts of narration as a method of reminiscing the past, reverse chronology is unique to the structure of the text and often manipulates narrative temporality. Literary texts such as Phillip K. Dick's Counter-Clock World (1967), Kurt Vonnegut's Slaughterhouse Five (1969) and Martin Amis' Time's Arrow (1991) are some examples of unnatural storyworlds. Even though this narrative technique is often considered as non-linear, others perceived it to be a part of linear

narrative. This assumption is derived from a common conception where most narratives in reverse chronology are written following the chronological order of Z-Y-X instead of following a normal narrative sequence of A-B-C.

In this essay, Charlie Kaufman's Eternal Sunshine of the Spotless Mind (2004) (abbreviated as Eternal Sunshine) is categorized as unnatural storyworld because it portrays the reverse chronology in its narrative structure. Generally, narrative structure is rarely analysed separately because it is viewed as a tool for the author to impart and present the text's themes. Besides that, most studies of Eternal Sunshine mainly highlight the themes of personal identity and memory, and the characters' relationship (Chambers, 2011; Driver, 2009; Grau, 2006; Jess-Cooke, 2007; Reeve, 2009) instead of examining the unnaturalness of the narrative. Therefore, due to the lack of studies on its narrative structure, this essay examines the significance of reverse chronology to the screenplay. This study argues that the screenplay's unnatural narrative structure is an active process and product of the protagonist's self-redemption. Following this hypothesis, the analysis highlights the protagonist's journey through his sub-consciousness by using dramatism theory as the analytical tool.

THEORY

Dramatism Theory and Terms for Order

Kenneth Burke's dramatism theory started from literary analyses before being used in other interdisciplinary studies particularly in rhetoric and communication studies (Graham, 2011; Huglen & Rountree, 2008). Burke noted that his theory should be labelled as "new rhetoric" in comparison with Aristotle's "old rhetoric" that emphasized more on "persuasion" (Burke, 1969, p. 203). According to Burke, humans are "symbolusing animals" in which language is used as "symbolic action" to transmit our meanings and purposes (1963, p. 491). In view of that, language is seen as the universal symbol system because "it enables human beings to imagine, to select, to create, and to define the situations to which they respond" (Burke, 1989, p. 8).

Social order, or as Burke phrases it, "terms for order" (1970, p. 183) started with his researches on the rhetoric of religion. Accordingly, society is formed following "the principles of negative" where order is created by fear of sins and disruption of the balance is considered as "moral disobedience", or drama (Burke, 1970, p. 187). Hence, rules and regulations are created to preserve the society in a seamless condition. Traditionally, these set of laws are based on a certain system or belief such as religion: "...and sometimes conflicting functions of religion (solace and control) worked together in the doctrines of Christianity..." (Burke, 1989, p. 280). Conversely, Burke believes that humans are indoctrinated to find similar desires from the society thus perpetuating a concept of sin and redemption. As Edward C. Appel briefly explained:

The improper, immoral, or illegal act or situation sets the stage for a drama of "redemption" aimed at setting things right once again. We put things back into "moral order" by way of "moral conflict" with the persons or forces that did the bad deed or support those that did it (2012, p. 5).

Naturally, human beings are obsessed with perfection. A similar description is also reiterated in Burke's researches. Accordingly, there are five major clauses of being human: 1) "the symbol-using (symbolmaking, symbol-misusing) animal", 2) "inventor of the negative (or moralized by the negative)", 3) "separated from his natural condition by instruments of his own making", 4) "goaded by the spirit of hierarchy (or moved by the sense of order)", and 5) "rotten with perfection" (Burke, 1963, p. 507). This notion suggests that moral dilemma is governed by the societal, cultural norms and expectations where they are designated by the hierarchy of order.

Hierarchy, as Barry Brummett defined, is "a system of social order in which participants assume roles, rights, and responsibilities towards other participants" (1980, p. 65). Similarly, High Duncan also stated that hierarchy was expressed in the forms of drama particularly in comedy and tragedy. Therefore, he cogitated that "social order is created and sustained in social dramas through intensive and frequent communal presentations of tragic and comic roles whose proper enactment is believed necessary to community survival" (Duncan, 1985, p. ix). Mark P. Moore expanded on

Burke's hypothesis that humans are "rotten with perfection" by explicating further on the notion:

That is, humans, as symbol-using animals who are moved by a sense of order or hierarchy, seek perfection in the logical extension of such principles as order and hierarchy through the symbols that they use to embody them. As humans perfect their logic of order and hierarchy through symbol use, they reveal that they are ultimately motivated, not by order or hierarchy, but by the principle of perfection itself (1997, p. 38).

Therefore, humans are inspired and tempted by the delusion of attaining perfection and in doing so, the illusion of order. In the same way, the concept of order directly relates to personal conflict where individuals struggle to follow through the hierarchy's commands. For instance, in a dramatistic analysis of guilt rhetoric in suicide notes, the researchers found that most of the individuals attempted to alleviate the feelings by believing "on the greater "good" that they believed they were accomplishing through their attempt to restore order" in their lives (Messner & Buckrop, 2000, p. 15). Similarly, if the sin or guilt were to be publicized, the conflict becomes societal concern instead which allows the society to identify with the moral disorder and either embrace or reject it (Appel, 1997; Brummett, 1984; Kaylor, 2010; McLennan, 2012; Schultz, 2011).

Despite that, perfection or constant order is innately unattainable. William

H. Rueckert (1982) addressed on this phenomenon where humans would always fail to achieve order as prescribed by the hierarchy. This statement is analogous to Burke's definition of man and Christianity's "original sin" and how it is deemed as a tool to enforce guilt towards the followers (Wechsler, 1990). The rhetoric of guilt is prevalent in the society and among individuals, that they are considered as inseparable between rhetoric and identity (Eddy, 2003). Despite our incapability to achieve perfection, we may attempt to do so hence resulting in a vicious cycle of guilt and redemption: "...since what is "not there" never ends or goes on forever" (Appel, 1997, p. 383). Correspondingly, a similar process of guilt and redemption cycle is also apparent in Eternal Sunshine and this essay examines its implications to the narrative structure of the text.

METHOD

Dramatistic Pentad and Guilt-Redemption Cycle

The analysis was conducted by using close reading approach on the text. There are two objectives of this essay: 1) to identify the main pentadic ratio that governs the protagonist's actions and motives, and 2) to examine the implications of the protagonist's guilt-redemption cycle to the narrative structure of the text. As stated earlier, this essay considers *Eternal Sunshine*'s unnatural narrative structure as a result of the protagonist's guilt and his journey to self-redemption. This is contrary to the previous studies where they considered the

narrative's reverse chronology was to merely highlight the themes of the text. To assist with the analysis, two of the components from dramatism theory were selected as the main analytical tool: dramatistic pentad and guilt-redemption cycle.

The first objective was achieved by utilizing the dramatistic pentad which consists of five key terms: act, scene, agent, agency, and purpose. These terms can be simplified into grammatical jargons: act signifies what (action), scene signifies where and when (setting), agent signifies who (persons involved), agency signifies how (the instrument used), and purpose signifies why (motive). In hindsight, dramatistic pentad was suggested to "show how the functions which they designated operate in the imputing of motives" (Burke, 1989, p. 135). Additionally, a sixth term was introduced in Burke's revised version of A Grammar of Motives where attitude was included as a part of dramatistic hexad. However, for the purpose of this study, only the original dramatistic pentad would be used as it might produce "terminological/ logological inconsistency" in the textual analysis (Anderson & Althouse, 2010, para. 14).

Accordingly, these five pentadic terms are interchangeable but must be paired into one pentadic ratio. In the ratio, the first term directs the second term. For instance, in a *scene-act* ratio, *scene* is the dominant element that contains the *act* (Burke, 1969) which suggests that the actions are governed by the setting. Usually, the central pentadic ratio is identified according to the "rhetor's

interpretation (or motives) of a particular situation will subscribe to the principles held by a certain philosophy" (Graham, 2011, p. 42). In other words, ratios are not fixed, as different perspectives allow different results since "no single terminology can completely sum up or reflect human experience and motive" (DePalma et al., 2008, p. 314). Corresponding to the essay's first research objective, dramatistic pentad is used to establish the central pentadic ratio of the text which then becomes the major feature for the next objective.

For the second objective, guiltredemption cycle is selected to map out the protagonist's self-redemption. According to Burke, in his description of guilt-redemption cycle: "...If action is to be our key term, then drama; for drama is the culminative form of action... But if drama, the conflict. And if conflict, then victimage" (1989, p. 125). This hypothesis suggests that ideally, when individuals are in moral disorder ("guilt"), they always pursue methods for "purification" to attain "redemption" at the end of the conflict. This guilt-redemption cycle constitutes five general elements which oversee a successive structural hierarchy: 1) "morally disordered situation or setting", 2) "guilt-obsessed actor vs. a guilty opponent or counteragent", 3) "repentant or rebellious attitude", 4) "self-sacrifice or victimage", and lastly, 5) "redemptive purposes and means" (Appel, 2012, pp. 29-31). Therefore, the next part of the analysis focuses on the protagonist's journey of self-redemption following the central pentadic ratio and guilt-redemption cycle.

RESULTS AND DISCUSSION

Framing Eternal Sunshine of the Spotless Mind

Eternal Sunshine is a story about Joel Barish, the protagonist, as he journeys through his memory erasure procedure of his former lover Clementine Kruczynski. Upon discovering that Clementine has erased him from her memories, Joel undergoes a similar procedure. The procedure uses technology from Lacuna Inc. founded by Dr. Howard Mierzwiak and it functions by starting from Joel's recent memories that are associated with Clementine. However, as Joel ventures into his own forgotten memories, he fearfully regrets his decision as he realizes his true feelings for Clementine. Despite his efforts to stop the procedure, Joel wakes up on the next day with his memories of Clementine forgotten. Nevertheless, their paths seem to cross again when they meet each other in a train to a place where they first met.

Based on the previous studies and film reviews, most critics commend Eternal Sunshine in two aspects: its philosophical elements that stand at par with postmodern poetics (Dedulle, 2010; Holmbach, 2006) and its anti-chronological narrative structure as a tool for accentuating the themes. Despite its conception of reverse chronology, Eternal Sunshine is written in two different narrative temporality. One, the memory erasure procedure that happened in Joel's sub-consciousness occurs in reverse chronology with his recent memories moving backward to the day they met. Two, the first part of the screenplay (before the events of the procedure is shown) is set in reversal but later moves on in chronological order after the procedure.

Therefore, *Eternal Sunshine* stipulates itself into five main arcs: Exposition, Rising Action, Climax, Falling Action and Resolution. However, the linear order of the screenplay begins from Resolution (after the memory erasure procedure), Exposition (before and beginning of the procedure), Rising Action, Climax, Falling Action and then ends in Resolution again. Because of its complex and unnatural nature, the analysis of the screenplay will be written according to this order for clearer understanding of the story.

Dramatistic Pentad in *Eternal Sunshine* of the Spotless Mind

In this essay, Joel and Clementine's relationship becomes the main subject to establish the narrative's central pentadic ratio. This is needed as the ratio enables us "to discover whether the first term controls or influences the nature of the second term" (Foss, 2018, p. 374). Accordingly, Joel's actions and decisions (act) are motivated by his sense of guilt to Clementine (agent) and it is represented from their binary opposition. Rutten et al. suggest that by addressing the central binary opposition in the narrative, it enables the readers to comprehend the "dominant terms and the mismatches between terms" thus providing "a more in-depth view of how situations are named" (2012, p. 638). For instance, both film critics and reviewers label Joel as "emotionally withdrawn" due to his inability to express himself. Meanwhile, Clementine's characteristics are often defined as "free-spirited" and "fun-loving"; quite contrary to Joel's stoic nature. Therefore, the mismatch between these two distinct characters are transpired into *agent-act* ratio wherein Clementine (*agent*) is the dominant element in Joel's actions and decisions (*act*).

Throughout the story, Clementine's domineering and vibrant personality is represented from her various change of hair colors. Conversely, a number of studies associate her actions as "conscious and artificial desire to appear free and spontaneous" (Jollimore, 2009, p.53) while also act as a part of "transition points in Clementine's character development" (Donatini, 2013, p. 101). Besides that, it is also viewed as Kaufman's method to "orient us in the narrative of a relationship—a narrative that is unfolding in reverse" (White, 2009, p. 101). George Toles drew attention to this detail from Kaufman's interview where he notified that the audiences only saw Clementine from "Joel's projections and memory constructions of her" (2009, p. 112). This is why when we are first introduced to Clementine, Joel immediately views herself as a disparity amidst his lacklustre surroundings:

He has no other thoughts, does some work on the drawing on the opposite page. He glances up, spots a female figure in the distance, walking in his direction. She stands out against the gray in a fluorescent orange hooded sweatshirt. This is Clementine. She's in her early thirties, zaftig. He watches her for a bit, then as she nears, he goes

back to his drawing, or at least pretends to. Once she has passed, he watches her walk away (Kaufman, 2004, p. 2).

The above excerpt begins in Resolution arc, the morning after Joel's memory erasure procedure. And yet, Joel finds himself unknowingly attracted to Clementine because in the past, the "fluorescent orange hooded sweatshirt" was worn by her multiple times and he loved seeing her in it (Kaufman, 2004, pp. 44, 70, 139). This is one of the earliest instances of agent-act ratio when Joel's acts are influenced by Clementine. In addition, when Clementine later invites him over to her apartment, Joel does not entirely refuse (Kaufman, 2004, p. 16). His decision then creates a chain of reaction as he finds himself willingly following her suggestions (Kaufman, 2004, pp. 22, 113). Then in Exposition arc, when Joel discovers about Clementine's decision (Kaufman, 2004, p. 31), this revelation causes him to undergo the similar procedure (Kaufman, 2004, p. 34). As the procedure begins, his recent memory shows moments of their argument, which leads to the reasoning behind his action:

JOEL: (screaming) Look at it out here. It's falling apart. I'm erasing you. And I'm happy. You did it to me first. I can't believe you did this to me. (yelling after her) By morning you'll be gone! Ha! You hear me? You'll be gone! A perfect ending to this piece of shit story! (Kaufman, 2004, pp. 44-45).

In a linear order, this scene acts as the catalyst of the moral disorder. Their argument

subsequently leads to Clementine's memory erasure procedure and Joel's decision. Retrospectively, memory erasure procedure can be considered as an immoral act as it can be taken advantage of (Driver, 2009, p. 81). However, whether the act is deemed as acceptable depends on the context. At first, their actions are appropriated to "erase painful memories". But in this context, Joel feels emotionally harmed after discovering Clementine's action, thus allowing him to act equally: "But if the other person is harmed, as Joel seems to have been, then that harm would at least have to be weighed in the balance" (Driver, 2009, p. 81). Therefore, based on Joel's understanding, his decision to erase Clementine from his memories is an act of retaliation to restore the balance.

However, as he ventures deeper into his sub-consciousness, Joel has to relive their best memories too. This is depicted later in Rising Action arc when Joel is presented with (or rather, remember) their quiet, impassioned moments together (Kaufman, 2004, pp. 56-57, 61). This realization then causes Joel to change his initial opinion: "You're erasing Clementine! Right? I love her! But I won't when I wake up ... right? I won't know her, so... please, just leave me alone! Please" (Kaufman, 2004, p. 62). In regard to this, Troy Jollimore pinpointed that our "cognitive abilities are finite" and regardless of our attempts, we may forget certain and many memories until "what is remembered is remembered only partially, incompletely, and frequently inaccurately" (Jollimore, 2009, p. 34). Due to their previous happy memories, Joel is influenced again, indirectly by Clementine, to stop the procedure.

Following this, Joel attempts a desperate measure by hiding Clementine within his childhood memories. His action, like the others, is also prompted by Clementine: "So what if you take me somewhere else, somewhere where I don't belong? And we hide there till morning" (Kaufman, 2004, p. 67). Even though Clementine in his sub-consciousness is his projection of her real self, this does not imply that Joel is the instigator. In a number of occasions shown in Joel's memories, Clementine is depicted as the dominant one in their relationship (Kaufman, 2004, p. 47, 53) and later in Resolution arc, Clementine compels him to revisit Charles River at the same day they meet in the train (Kaufman, 2004, p. 115). Based on this observation, the real Clementine might possibly incite similar suggestions to Joel.

Even so, their attempts are proven unsuccessful as shown in Falling Action arc where Joel is forced to accept the consequences of his previous actions and decisions. Similarly, this is also influenced by Clementine: "Come back and make up a good-bye at least. Let's pretend we had one" (Kaufman, 2004, p. 105). Since this is their final memory before being permanently erased, both Joel and Clementine are prompted to say goodbye after the "adventure of their lives" (Day, 2011, p. 138). Their short good-bye, albeit a fabrication made by his mind is proven expedient because soon after he awakes the

next day, he is compelled to board the train to the beach where they first met and then encounter her again.

From these instances, Joel's decisions are integrally governed by Clementine. This is because with her, Joel achieves a sense of comfort or order. Only when he is faced with a life without her, his situation becomes morally disordered. Burke states that human beings are always in need of perfection and in this situation, Joel seeks for the same thing from Clementine. Despite of his incapability for emotional connection, Clementine accepts his flaws thus making him dependent on her. Andy Miah addressed on this co-dependence: "Their incompleteness of character and the voids in their memories connect the overarching narrative about the importance of experiencing loss in life and the value of conflict in human relationships" (2008, p. 142).

Therefore, based on these findings, the agent-act ratio is identified and subsequently established the narrative structure of *Eternal* Sunshine. Fundamentally, agent-act ratio refers to how an individual may influence the action of another individual. In this context, Clementine is the individual (agent) who governs Joel's actions (act). Conversely, the unnatural narrative structure in *Eternal* Sunshine follows anti-chronological narrative structure, symbolically referring to Joel and Clementine's distorted relationship. As the story begins with the Resolution arc where Joel encounters Clementine again, it provides parallelism to Joel's dependence on Clementine as the cycle

continues. Throughout the narrative, Clementine is present in his every action and decision-making, directly shaping his guilt-redemption cycle.

Guilt-Redemption Cycle in the Unnatural Narrative Structure

To oversee Joel's guilt-redemption journey, the unnatural narrative structure of Eternal Sunshine is arranged following the five elements of guilt-redemption cycle as Edward C. Appel (2012) has prescribed. As a part of dramatism theory, this cycle is defined according to the five elements of dramatistic pentad but for Appel's version, he adds attitude following Burke's later version of dramatistic hexad. As a result, scene acts as the first element: "morally disordered situation or setting"; agent as the second element: "guilt-obsessed actor vs. a guilty opponent or counteragent"; attitude as the third element: "repentant or rebellious attitude"; agency as the fourth element: "self-sacrifice or victimage"; purpose as the fifth element: "redemptive purposes and means" (Appel, 2012, pp. 29-31). However, since attitude is not a part of this study's dramatistic pentad, the third element "repentant or rebellious attitude" is equivalent to pentadic term act with its function as an attribution of the "incipient act" (Burke, 1969, p. 20). Thus, for this study, it refers to act instead.

Accordingly, the five elements in the cycle must be present in order for the protagonist to reach the final stage, redemption wherein it acts as the purpose or end result for their struggle. Therefore, there are various utilization of guilt-redemption cycle according to the dramatistic pentad or hexad. For example, Chelsea J. McLennan's dramatistic process established *scene* and *act* first before moving to *agent*, *agency* and then *purpose* (McLennan, 2012, p. 83). This difference might be caused by McLennan's findings of her study's central *agent-agency* ratio. Nevertheless, this does not indicate that her process is incorrect because there is no clear right or wrong method in establishing pentadic ratio. Burke himself has given his opinion on this matter:

The ratios may often be interpreted as principle of selectivity rather than as thoroughly causal relationships. That is, in any given historical situation, there are persons of many sorts, with a corresponding variety in the kinds of acts that would be most representative of them (Burke, 1969, p. 18).

Thus, this analysis follows the revised version of Appel's guilt-redemption cycle. Following the structure, the first element of guilt-redemption cycle starts with the setting (scene). In Eternal Sunshine, this is signified as Joel's sub-consciousness. As most of the major events occur while he is asleep, the scene is positioned in his sub-consciousness as he jumps into numerous memories. Because of his desire to erase Clementine, this subsequently imposes a sense of guilt in him. Likewise, it then evokes epiphany in him as he realizes the immorality of his decision particularly in his method to attain order is by going back to his previous hierarchy without Clementine.

According to Appel, "morally disordered" setting is where "the constraining environment in which the action takes place, harmonized initially in an uneasy fashion by rules that might be broken, then, almost inevitably, disrupted by disobedience" (2012, p. 29). In Joel's circumstance, his life becomes disordered after Clementine deleted her memories. Then during the procedure, Joel's mind becomes disordered specifically when his erased memories are now merely described as "decayed scenes" (Kaufman, 2004, p. 61) and repeatedly stated to be faded and dissolved. In the screenplay, "decayed" refers to Joel's memories being deteriorated and festered by Lacuna Inc.'s technology. However, it also symbolizes Joel's own guilt as it poisons himself after he understands his true feelings to Clementine.

In the following stage, Joel embodies the second element of guilt-redemption cycle by becoming the "guilt-obsessed actor" (agent) while Clementine becomes his "guilty opponent". Clementine, as it has established earlier, signifies agent who influences Joel's actions and decisions, and ultimately his motives. Appel proposes that the characteristics of "guilt-obsessed actor" and "guilty opponent" may be identified as simpler terms: protagonist and antagonist (2012, pp. 29-30) and it refers to the situation where "the offended against the supposed offender" (2012, p. 29). In this analysis, Joel is guilt-ridden for his decision to memory erasure, and yet, Clementine is the one who beckons him to it: "You erased

me first. It's the only reason I'm doing it" (Kaufman, 2004, p. 66).

Despite his latter resolution, Joel's former decision to erase Clementine is a result from her betrayal. Therefore, his action indicates the third element of the guilt-redemption cycle: "repentant or rebellious attitude" (act) which refers to the "manner in which the action is carried out, based on the openly displayed, or sometimes hidden or partly hidden" (Appel, 2012, p. 30). At first, this supposition is shown in Joel's initial interpretation of Clementine's decision as a punishment for his honesty (Kaufman, 2004). Afterwards, when he 'confronts' and blames Clementine in his memories, his guilt is partially alleviated although he was the perpetrator of their last dispute (Kaufman, 2004).

However, Joel's anger and frustration towards Clementine then transform into sense of guilt. This change is sparked upon his discovery over their previous exchange of her personal struggles and their other affectionate memories (Kaufman, 2004). Therefore, his decisions to stop the procedure indicate his attempts to purify himself from his guilt. Following this, Joel's "rebellious attitude" reforms to "repentant attitude" as he acts against Lacuna Inc.'s machine. As a result, the fourth element of guilt-redemption cycle is then ascertained: "self-sacrifice or victimage" (agency). This particular element also signifies the fourth stage of Joel's self-redemption journey and it requires him to act according to a specific approach prescribed by Burkean frames.

Guilt, as Brummett posited, is a powerful emotion and must be extinguished:

Guilt is an awareness that the carefully woven fabric of identifications upheld in hierarchy has been torn through what one has done or thought. Guilt is a powerful motive because it threatens a lapse into uncontrolled mystery. Guilt must be expiated, and the person or group must achieve redemption that leads back to a secure hierarchy (reinstatement of the old or establishment of a new one) (1981, p. 255).

To expiate guilt, Burke postulates three separate methods: self-sacrifice (mortification), victimage (scapegoating) and later transcendence (re-classifies the sins according to the society's "frames of acceptance") (Brummett, 1982; Burke, 1970, 1989). Formerly, Joel's initial "rebellious attitude" denounces Clementine (Kaufman, 2004, p. 66) and his actions are viewed as a method to victimage Clementine in an attempt to alleviate his sense of guilt. This supposition mirrors Joel's denial of his guilt: "By projecting an internal conflict onto an external symbolic bearer of that conflict and by then symbolically eliminating the scapegoat, a person could avoid recognizing a self-identity contaminated by internal conflict" (Eddy, 2003, p. 63).

However, his stance changes directly after he asks for Clementine's aid (Kaufman, 2004, p. 67) which indicates mortification instead. His decision to hide Clementine in his childhood memories is suggested as his chosen method to seek redemption:

if he saved Clementine, he is absolved from his misdeeds as well. This hypothesis corresponds to Rueckert's recapitulation on guilt-redemption cycle and its significance to one self:

Failure or disobedience – the 'fall' – cause guilt, which in turn makes necessary the whole machinery of catharsis. The two principal means of purification are mortification and victimage; and the end result of both is redemption, or the alleviation of guilt" (1982, p. 131).

In regard to guilt, Joel's sentiments are not temporary. As he moves further into his memories, his sense of guilt heightens and affects his sub-consciousness as he jumps from one childhood memory to another. Furthermore, his guilt is prolonged because he faces with the probability of losing Clementine forever: "I don't want to lose you, Clem" (Kaufman, 2004, p. 68). Therefore, the farther he gets, the further his sense of guilt permeates his whole existence. And yet, Joel's self-sacrifice is never seen as a risky decision because he is unaware of the consequences. In spite of his efforts, Joel fails to save Clementine and also destroys his own childhood memories: "After a long moment of no reaction from Clementine, Joel pulls the pillow from her face. She is gone. His childhood house is crumbling" (Kaufman, 2004, p. 82). C. D. C Reeve pinpoints that when Joel brings Clementine to his childhood memories, the traces of Clementine while she is in there are picked by Lacuna Inc.'s technology, thus deleting his personal memories too:

Because Clementine told Joel about her doll in a moment of intimate self-disclosure, when Lacuna erased Joel, her memory of her doll—like Joel's memory of his doll—had to go too. "Any association" is Mierzwiak's formula for what to target (Reeve, 2009, p. 18).

Despite that, in his journey of purification, Joel is likely successful. By self-sacrificing, Joel has accepted his mistakes and finally able to reach the fifth and final element and stage of guiltredemption cycle: "redemptive purposes and means" (purpose). Appel justified this stage as "the good that comes out of the bad, the gain after the pain, and the preliminary steps, stages, and tools of action required to bring this glorious vision to pass" (2012, p. 31). For Joel, the end result or purpose of his redemption journey is to alleviate himself from the guilt. This is portrayed later at the end of Joel's memories of Clementine when he accepts the inevitability of the memory erasure procedure and letting her go: "Enjoy it. Say goodbye" (Kaufman, 2004, p. 101).

Based on this analysis, Joel completes his guilt-redemption cycle by undergoing mortification or self-sacrifice. Due to its structure that begins anti-chronologically, *Eternal Sunshine* manages to capture the complexity of their turbulent relationship and his redemption journey. Ultimately, the unnatural narrative structure of *Eternal Sunshine* symbolizes the deterioration of Joel's hierarchal order as he retraces his steps back to Clementine. This supposition is reflected in the final part of the screenplay

when he decides to restart their relationship (Kaufman, 2004, p. 129). This action may be influenced by his previous sense of affection towards Clementine; something so abstract that Lacuna Inc.'s technology is unable to detect. Or perhaps Joel is still under Clementine's influence as she is the one who suggested him to keep trying, thus strengthening the central *agent-act* ratio in the unnatural narrative structure of *Eternal Sunshine*:

JOEL: I still thought you were going to save me. Even after that.

CLEMENTINE: I know.

JOEL: It would be different, if we could just give it another go around.

CLEMENTINE: Remember me. Try your best. Maybe we can. (2004, p. 97)

CONCLUSION

From the findings, it is established that the central pentadic ratio agent-act governs not only the protagonist but also the narrative structure of Eternal Sunshine. Throughout the text, Clementine (agent) influences Joel's actions and decisions (act) and this is transpired in the text's unnatural narrative structure. As Joel moves further away from his previous hierarchy, the narrative structure reflects the disorderly manner of his mind, equivalent to the narrativity process of cognitive narratology. Conversely, this study is done to prove that anti-chronological narrative may not only function as the framework of the narrative structure but also as the juxtaposition of the protagonist's motives as well. From the dramatistic

analysis of *Eternal Sunshine*, the outcomes shift the perspective of interpretation by focusing on Joel's redemption journey thus subsequently contributing to the scholarship of the literary analyses of the text.

In addition, the five elements of guilt-redemption cycle provide clearer comprehension of Joel's motive and fundamentally, the understanding of the text as a whole. This study intends to reinvigorate dramatism theory as analytical tool that could be utilized by students and scholars alike to comprehend and understand unnatural literary texts better. Unnatural texts such as Eternal Sunshine may benefit from dramatism theory because it allows us to study and interpret complex literature from technical and narratological aspects. Even though dramatism theory has since branched out to communication, rhetorical and social studies (Dunn, 2018; Griffiths & Cos, 2007; Kirk, 2015; Langenbach. 2019; McLennan, 2012; Mills, 2014), its foundation started with literary analyses and it is part of this study's aims to reutilize dramatism theory as analytical tool for literature studies. In conclusion, dramatism theory may indeed provide another perspective in analysing the intricateness of unnatural narrative structure in literary texts.

ACKNOWLEDGEMENT

This work was supported by Geran Putra Berimpak 2018 (UPM/800-3/1/GPB/2018/9660100) from Universiti Putra Malaysia (UPM).

REFERENCES

- Alber, J. (2009). Impossible storyworlds—and what to do with them. *Storyworlds: A Journal of Narrative Studies*, 1, 79-96. https://doi.org/10.1353/stw.0.0008
- Alber, J. (2013). Unnatural narratology: The systematic study of anti-mimeticism. *Literature Compass*, 10(5), 449-460. https://doi.org/10.1111/lic3.12065
- Alber, J. (2016). Unnatural narrative: Impossible worlds in fiction and drama. University of Nebraska Press. https://doi.org/10.2307/j. ctt1d4v147
- Alber, J., & Fludernik, M. (Eds.). (2010). *Postclassical narratology: Approaches and analyses*. The Ohio State University Press.
- Alber, J., Iversen, S., Nielsen, H. S., & Richardson, B. (2010). Unnatural narratives, unnatural narratology: Beyond mimetic models. *Narrative*, 18(2), 113-136. https://doi.org/10.1353/ nar.0.0042
- Alber, J., Iversen, S., Nielsen, H. S., & Richardson, B. (2013). What really is unnatural narratology? Storyworlds: A Journal of Narrative Studies, 5, 101-118. https://doi.org/10.5250/storyworlds.5.2013.0101
- Alber, J., & Richardson, B. (Eds.). (2020). *Unnatural narratology: Extensions, revisions, and challenges*. The Ohio State University Press. https://doi.org/10.26818/9780814214190
- Anderson, F. D., & Althouse, M. T. (2010). Five fingers or six? Pentad or hexad? *KB Journal*, 6(2).
- Appel, E. C. (1997). The rhetoric of Dr. Martin Luther King, Jr.: Comedy and context in tragic collision. *Western Journal of Communication*, 61(4), 376-402. https://doi.org/10.1080/10570319709374586

- Appel, E. C. (2012). Language, life, literature, rhetoric and composition as dramatic action: A Burkean primer. OarPress.
- Brummett, B. (1980). Symbolic form, Burkean scapegoating, and rhetorical exigency in Alioto's response to the "zebra" murders. *Western Journal of Speech Communication*, *44*(1), 64-73. https://doi.org/10.1080/10570318009373987
- Brummett, B. (1981). Burkean scapegoating, mortification, and transcendence in presidential campaign rhetoric. *Central States Speech Journal*, 32(4), 254-264. https://doi.org/10.1080/10510978109368104
- Brummett, B. (1982). Burkean transcendence and ultimate terms in rhetoric by and about James Watt. *Central States Speech Journal*, *33*(4), 547-556. https://doi.org/10.1080/10510978209388461
- Brummett, B. (1984). Burkean comedy and tragedy, illustrated in reactions to the arrest of John Delorean. *Central States Speech Journal*, 35(4), 217-227. https://doi.org/10.1080/10510978409368191
- Burke, K. (1963). Definition of man. *The Hudson Review*, *16*(4), 491-514. https://doi.org/10.2307/3848123
- Burke, K. (1969). *A grammar of motives*. University of California Press.
- Burke, K. (1970). *The rhetoric of religion: Studies in logology*. University of California Press.
- Burke, K. (1989). *On symbols and society*. University of Chicago Press.
- Chambers, S. A. (2011). Charlie Kaufman, philosophy, and the small screen. In D. LaRocca (Ed.), *The philosophy of Charlie Kaufman* (pp. 155-168). University Press of Kentucky.
- Day, W. (2011). I don't know just wait: Remembering remarriage in *Eternal Sunshine of the Spotless Mind*. In D. LaRocca (Ed.), *The philosophy of*

- *Charlie Kaufman* (pp. 132-154). University Press of Kentucky.
- Dedulle, M. (2010). 'Change is not a choice': An analysis of the poetics of Charlie Kaufman, based on 'Being John Malkovich', 'Adaptation.' and 'Synecdoche, New York' [Master's thesis, Ghent University]. Ghent University.
- DePalma, M. J., Ringer, J. M., & Webber, J. (2008). (Re) charting the (dis)courses of faith and politics, or rhetoric and democracy in the Burkean barnyard. *Rhetoric Society Quarterly*, 38(3), 311-334. https://doi.org/10.1080/02773940802167575
- Donatini, H. T. (2013). Spotless minds and cultural memory: Teaching future teachers in the United States. *Digital Defoe: Studies in Defoe & His Contemporaries*, 5(1), 95-105.
- Driver, J. (2009). Memory, desire, and value. In C. Grau (Ed.), *Eternal sunshine of the spotless mind* (pp. 80-93). Routledge.
- Duncan, H. D. (1985). *Communication and social order*. Routledge.
- Dunn, R. C. (2018) "The future is in good hands": A pentadic analysis of president Barack Obama's farewell address. Kaleidoscope: A Graduate Journal of Qualitative Communication Research, 17(7), 73-89.
- Eddy, B. (2003). The rites of identity: The religious naturalism and cultural criticism of Kenneth Burke and Ralph Ellison. Princeton University Press.
- Fludernik, M. (1996). *Towards a 'natural' narratology*. Routledge.
- Fludernik, M., & Pirlet, C. (2012). Narratology. In M. Middeke, T. Müller, C. Wald & H. Zapf (Eds.), English and American Studies (pp. 225-230). Springer. https://doi.org/10.1007/978-3-476-00406-2_13
- Foss, S. K. (2018). *Rhetorical criticism: Exploration* and practice. Waveland Press Inc.

- Graham, D. C. (2011). Kenneth Burke's pentad:
 A state of the discipline review, 2001-2010.
 [Master's thesis, California State University].
 California State University.
- Grau, C. M. (2006). Eternal Sunshine of the Spotless Mind and the morality of memory. Journal of Aesthetics and Art Criticism, 119-133. https://doi.org/10.1111/j.0021-8529.2006.00234.x
- Griffiths, C., & Cos, G. (2007). A tendency to incite: Applying Kenneth Burke's pentad to Cohen v. California. *RIT Scholar Works*, 191-237.
- Herman, D. (2005). Storyworlds. In D. Herman, M. Jahn & M.-L. Ryan (Eds.), *Routledge encyclopedia of narrative theory* (pp. 569-570). Routledge. https://doi.org/10.4324/9780203932896
- Holmbach, J. (2006). A metaphysical can of worms: A poetics of postmodernism in the works of Charlie Kaufman. [Master's thesis, Aalborg University]. Aalborg University.
- Huglen, M., & Rountree, J. C. (2008). Editors' essay: The future of Burke studies. *KB Journal*, 4(2).
- Jess-Cooke, C. (2007). Narrative and mediatized memory in *Eternal Sunshine of the Spotless Mind*. [Master's thesis, University of Sunderland]. University of Sunderland.
- Jollimore, T. (2009). Miserably ever after: Forgetting, repeating and affirming love. In C. Grau (Ed.), *Eternal sunshine of the spotless mind* (pp. 31-61). Routledge.
- Kaufman, C. (Screenwriter), & Gondry, (Director). (2004). *Eternal Sunshine of the Spotless Mind* [Film]. Focus Features.
- Kaylor, B. T. (2010). Savior, fool or demagogue: Burkean frames surrounding the ten commandments judge. *KB Journal*, 6(2).
- Kirk, R. T. (2015). The buck stops in Benghazi: A practical application of the dramatistic pentad and interpersonal deception theory. [Master's thesis, Liberty University]. Liberty University.

- Langenbach, M. S. (2019). *The tragedy of the gamer:* A dramatistic study of GamerGate. [Master's thesis, Auburn University]. Auburn University.
- McLennan, C. J. (2012). Guilt and redemption in a national eulogy: President Obama's "Together We Thrive: Tucson and Arizona" address as a call for mortification. [Master's thesis, Oregon State University]. Oregon State University.
- Meister, J. C. (2014). Narratology. In P. Hühn, J. Pier, W. Schmid & J. Schönert (Eds.), *The Living Handbook of Narratology* (pp. 329-350). Walter de Gruyter. https://doi. org/10.1515/9783110316469
- Messner, B. A., & Buckrop, J. J. (2000). Restoring order: Interpreting suicide through a Burkean lens. *Communication Quarterly*, 48(1), 1-18. https://doi.org/10.1080/01463370009385575
- Miah, A. (2009). 'Blessed are the forgetful': The ethics of memory deletion in *Eternal Sunshine* of the Spotless Mind. In S. Shapshay (Ed.), *Bioethics at the Movie* (pp. 137-155). Johns Hopkin University Press.
- Mills, T. (2014). Using Burke's dramatism to unpack intractable conflict: Bush 43 and the process of peace in the Middle East. [Doctoral dissertation, Georgia State University]. Georgia State University.
- Moore, M. P. (1997). Rhetorical subterfuge and "the principle of perfection," part ii: Bob Packwood's senate resignation. *The Southern Communication Journal*, 63(1), 37-55. https://doi.org/10.1080/10417949709373076
- Nielsen, H. S. (2004). The impersonal voice in first-person narrative fiction. *Narrative*, 12(2), 133-150. https://doi.org/10.1353/nar.2004.0002
- Olson, G. (2011). *Current trends in narratology*. Walter de Gruyter.
- Prince, G. (2008). Classical and/or postclassical narratology. *L'Esprit Créateur*, 48(2), 115-123. https://doi.org/10.1353/esp.0.0005

- Qiao, G. (2018). When narratology does not travel well: Introduction. *Neohelicon*. *45*, 393-399. https://doi.org/10.1007/s11059-018-0457-6
- Reeve, C. D. C. (2009). Two blue ruins: Love and memory In C. Grau (Ed.), *Eternal Sunshine of the Spotless Mind* (pp. 15-30). Routledge.
- Richardson, B. (2006). *Unnatural voices: Extreme* narration in modern and contemporary fiction. The Ohio State University Press.
- Rueckert, W. H. (1982). *Kenneth Burke and the drama* of human relations. University of California Publishing.
- Rutten, K., Roets, G., Soetaert, R., & Roose, R. (2012). The rhetoric of disability: A dramatistic-narrative analysis of *One Flew over the Cuckoo's Nest. Critical Arts: South-North Cultural and Media Studies*, 26(5), 631-647. https://doi.org/10.1080/02560046.2012.744720
- Schultz, P. D. (2011). A rhetoric of retribution and redemption: Burke's term for order in the drama of child sexual abuse. *International Journal of Law and Psychiatry*, *34*, 168-176. https://doi.org/10.1016/j.ijlp.2011.04.009
- Toles, G. (2009). Trying to remember Clementine. In C. Grau (Ed.), *Eternal Sunshine of the Spotless Mind* (pp. 111-157). Routledge.
- Wechsler, H. J. (1990). What's so bad about guilt? Learning to live with it since we can't live without it. Simon and Schuster.
- White, S. L. (2009). Michel Gondry and the phenomenology of visual perception. In C. Grau (Ed.), *Eternal Sunshine of the Spotless Mind* (pp. 94-110). Routledge.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Gender Stereotyping in TV Drama in Pakistan: A Longitudinal Study

Qurat-ul-Ain Malik1* and Bushra Hameed-ur-Rahman2

¹Department of Media and Communication Studies, International Islamic University, 44000 Islamabad, Pakistan

ABSTRACT

The research was aimed at analysing gender portrayal in TV drama in Pakistan over a period of five decades from its very inception in the late 1960's till 2017. The research explored what types of gender stereotypes were being propagated in the prime time drama serials on the State owned TV channel, PTV which was the only platform available for most part of this duration. The methodology adopted for the research was quantitative in nature and involved a content analysis of the most popular Urdu serials aired between 1968 and 2017. The research focused on the three main characters in each drama and the total sample comprised 72 characters. These characters were analysed in a total of 4834 scenes to observe the display of gender stereotypes. The findings indicated that although overall both the genders were displaying their gender specific stereotypes yet some stereotypes such as bravery and aggressiveness were not being displayed by males and passivity, victimization and fearfulness were not being displayed by females. Later the 50 year time

ARTICLE INFO

Article history:

Received: 5 September 2020 Accepted: 2 December 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.27

E-mail addresses: qurratulann@iiu.edu.pk (Qurat-ul-Ain Malik) bushrajk@gmail.com (Bushra Hameed-ur-Rahman) *Corresponding author period was sub-divided into five decades to observe whether there had been a change over the years keeping in view the massive changes which had taken place in society. Findings indicated that although there were differences in gender depiction between the five decades for both the genders yet the changes were not linear which pointed to the role of other factors such as government policies which could have contributed to

²Institute of Communication Studies, University of the Punjab, 54000 Lahore, Pakistan

the increasing and decreasing stereotyping over the years.

Keywords: Content analysis, gender stereotyping, longitudinal study, TV drama

INTRODUCTION

Television has been found to be a primary socializing agent (Bandura, 2002; Gerbner, 1998) which has shown to influence all facets of life including the political, economic, social and cultural spheres of life mainly because of the considerable amount of time people spend in viewing its content. One aspect where TV content has been found to have a particular influence is that of gender construction and within it one area of serious concern is the perception of gender stereotypes. Seminal research by McGhee and Frueh (1980) revealed that viewing stereotypical contents contributed to the learning of stereotypes amongst children and youth. Later these restrictive perceptions create distorted gender identities and then become so prevalent that they become very difficult to counter (Espinosa, 2010).

The present research did not merely look at television but was focused on the genre of drama mainly because it provided a clear picture of the functioning of society by dramatizing the values and norms of the society (Gerbner & Gross, 1976). It was focused on the stereotypes about the male and female gender that had been perpetuated via the prime time drama serial as well as ascertaining whether over the period of five

decades there had been any transformation in gender depiction.

Background

Pakistan is a conservative developing country with a literacy rate which has still barely reached 60 percent (Government of Pakistan Finance Division, 2016). In the seven decades since its creation, it has suffered from a multitude of problems ranging from poverty and disease to more recently radicalization and terrorism, all of which have garnered much social and political debate on the national and international level. However, one issue that has constantly been delegated away from the forefront is the issue of gender inequality (Mumtaz, 2006).

The low levels of literacy has created a situation where the role of print media is limited and the responsibility of social change lies primarily in the hands of the electronic media. Further, with Radio's declining listenership (Gallup Pakistan, 2014) and cinema's limited viewership (Gallup Pakistan, 2012), the only source of information and entertainment for the masses has been the Pakistan Television (PTV) a state-owned television channel which was the only one allowed to operate till 2002. The only exception was NTM (Network Television Marketing) a public/ private partnership offering entertainment content but also under strict government control for a short while from late 80's till early 90's.

The genre of drama has enjoyed immense popularity throughout the history

of the country (Chaudhry, 2016; Kothari, 2005). As private television channels were not allowed to operate in the country till as late as 2002, it was the state channel which provided the only source of affordable entertainment to the masses. However, being state-owned, there were considerable influence of the power regimes on the ideology and the content of the programming (Hashmi, 2012; Kothari, 2005).

The emergence of the satellite TV channels after 2002 with a multitude of international and regional entertainment content created a huge stir with even fears that the flamboyant Indian dramatic content would over shadow local productions (Hashmi, 2012; Saleem, 1994). However, neither the foreign content nor the arrival of private entertainment channels have been able to over shadow the state-owned channel PTV with its 99% reach (Hashmi, 2012; Pakistan Electronic Media Regulatory Authority [PEMRA], 2010). Thus, the research focused exclusively on the dramas aired on the state owned channel PTV as it was not only the oldest but also had the largest reach.

LITERATURE REVIEW

Gender Stereotyping in Media

It has been suggested that the idea of stereotyping is not necessarily bad as it does help in reducing the mental effort needed to make categorization in daily life (Gorham, 2004). However, this very stereotyping becomes problematic when it is used to over-simplify situations and create confusing assessments about subjects in

any social category. The situation becomes even more troublesome when it is the media which is perpetuating these stereotypes particularly about gender (Lorber & Farrell, 1991).

The term "stereotype" was initially used by Lippman (1922) to refer to the images of particular things that people have in their minds. However, Lippman himself went on to argue that these mental images might be distorted and might differ from reality. Later, when the idea of gender stereotyping emerged, Perkins (1979) called it an over-simplification of the real life gender differences in power structures in society. In a similar vein, Goffman (1979) asserted that it was used primarily to convert the more obscure notions of gender identity into more easily understandable concepts. However, media content such as advertising shows us a hyper-real world with distorted gender relations.

Gender stereotyping is a pervasive phenomenon but female stereotyping is relatively more common than male stereotyping (Collins, 2011; Goffman, 1979). With reference to female stereotyping the first observable phenomenon is their under-representation (Collins, 2011; Geena Davis Institute on Gender and Media, 2014; Kharroub & Weaver, 2014; Prieler, 2016; Shanahan et al., 2008; Wood, 1994) which Tuchman (1978) had called the symbolic annihilation of women. A further case of under-representation also occurs whereby the role of the main protagonist is created for the male and not the female (Geena Davis Institute on Gender and Media, 2014).

The most common type of stereotyping occurs with regard to the physical appearance of the female characters who are almost always shown to be beautiful and young (Ahmad, 2002; Ashfaq & Shafiq, 2018; Aullette et al., 2009; Chalupova, 2011; Lauzen & Dozier, 2005; Luif, 2014; Poerwandari et al., 2014; Prieler, 2016; Prieler et al., 2015; Scott, 2011; Shanahan et al., 2008; Steinke, 2005; Wood, 1994; Zheng, 2011). Also, this depiction is carried over to a preoccupation with youth and beauty whereby the females are shown to be only concerned about their physical appearance (Wood, 1994).

Another commonly occurring stereotype pertains to the depiction of women as the victims of violence and all sorts of other criminal activities (Bosch, 2019; Gerbner, 1970; Gunter, 1995; Tuchman, 1978). Alongside being the victims of violence media frequently portrays females as passive objects that are viewed by others (Ahmad, 2002; Ali & Batool, 2015; Bosch, 2019; Collins, 2011; Mulvey, 1975; Wood, 1994). Other attributes similar to passivity are submissiveness (Ahmed, 2012; Ali & Batool, 2015; Ashfaq & Shafiq, 2018; Bosch, 2019; Chalupova, 2011; Tuchman, 1978; Wood, 1994) dependence (Ali & Batool, 2015; Gunter, 1995), weakness (Ali & Batool, 2015; Gunter, 1995) and emotionality (Ahmed, 2012; Chalupova, 2011; Espinosa, 2010).

Stereotypes are not just formed about appearance and behaviour but also about relationships. Significant research has suggested that the media portrays the females as being extremely preoccupied with romance and their love lives (Bosch, 2019; Gunter, 1995; Lauzen et al., 2008; Poerwandari et al., 2014; Steinke, 2005) as well as nurturing and caring for their loved ones (Aullette et al., 2009; Lauzen et al., 2008; Wood, 1994). Also, women who forego their nurturing responsibilities towards their families are demonized (Walderzak, 2016a). Interestingly, the caring and nurturing element is also often linked to the domestic sphere (Ahmad, 2002; Ali & Batool, 2015; Ashfaq & Shafiq, 2018; Carter & Steiner, 2004; Gunter, 1995; Poerwandari et., 2014; Prieler, 2016; Shanahan et al., 2008; Tuchman, 1978; Wood, 1994) where the females are shown to be involved in the performance of common household chores.

Interestingly, stereotyping is not just a common practice for the representation of females but males also get the same treatment. They are shown to be tough and authoritative (Bosch, 2019; Chalupova, 2011; Espinosa, 2010; Wood, 1994) as well as passing over emotions in favor of logic and rationality (Chalupova, 2011; Espinosa, 2010; Wood, 1994). Further, Song's (2010, p. 420) assertion of there being instances of "muscular athleticism and a rebellious sensuality" were reinforced by others (Ahmed, 2012) who found the males to be represented as athletic and intelligent as well as being unfaithful and criminal at the same time.

Contrary to the depiction of females, males are not always shown as being very young (Ahmad, 2002; Prieler et al., 2015). Work is shown to play a major part in the

lives of men (Ahmad, 2002; Kharroub & Weaver, 2014; Kiran, 2016; Luif, 2014; Prieler, 2016; Prieler et al., 2015) where they are frequently shown to be displaying the qualities of being ambitious and successful (Lauzen & Dozier, 2005; Prieler et al., 2015). Further, in stark contrast to women, men are shown to be more successful as they grow older (Ahmed, 2012; Carter & Steiner, 2004; Lauzen & Dozier, 2005). Also, male stereotypical representation also includes a complete lack of knowledge or responsibility of work and nurturing in the domestic sphere (Fogel, 2012; Wood, 1994).

A lot research has pointed out the linkages between the representation of males and violence (Gerbner, 1970; Signorielli, 2003; Sink & Mastro, 2017) whereby the male characters are the epitome of bravado and masculinity (Fogel, 2012). Violence committed by the male protagonist is generally shown to be for the right cause and a sign of bravery (Song, 2010). Alongside this display of bravery and aggression, another essential male stereotype has been the avoidance of emotions and weakness (Seidler, 1994). However, in recent times the depiction of males is also characterized by a phenomenon described by D'Acci as "masculinity in crises" (1994, p. 88) whereby males are represented in somewhat feminine roles.

Alongside male and female stereotyping, transgender characters are also stereotyped. Ryan (2009) had identified the four most common stereotypes of those of the Deceiver, Mammy, Monster and Revolutionary. By deceiver, Ryan (2009) referred to characters

being in drag to achieve some objective but this depiction put them across as being very selfish and conniving. Although the second stereotype of Mammy is not itself negative but it is derogatory as it shows the trans-characters to be very servile. The third stereotype of the monster or psychopath is a frequently occurring trope often used in horror or violent media content. Alongside these three negative stereotypes a new stereotype which has emerged is that of the revolutionary where trans characters are shown to question the status quo.

Analysis of the stereotypes thus suggests that they can be placed on a spectrum with every male stereotype having a counter female stereotype. Thus, for the purpose of the present research, the following sets of stereotypes were marked for analysis; visible-invisible, mature – youthful, brave-afraid, assertive-submissive, independent-dependent, confident-shy, unattractive-attractive, saviour-victim, aggressive-passive, not nurturing- nurturing, rational-emotional, non-domestic- domestic. For the purpose of the present research, all these have been covered in a single research questions;

RQ 1: Whether TV dramas in Pakistan reinforce gender stereotypes?

Transformation of Gender Stereotyping

Research has shown gender stereotyping is the norm all over the world but a pertinent question in this regard pertains to the persistence of stereotypes and to find out whether there has been any transformation in gender depiction over the years or not

(Kiran, 2016; Prieler et al., 2015). With regard to the representation of females, some like Gerbner et al. (1978), believe that it is changing for the worst in spite of an increase in awareness about the issue. Further, media is still perpetuating the older stereotype of women as the home makers while the males are the head of the household (Gauntlett, 2008; Gerbner et al., 1978; Poerwandari et al., 2014). Other researchers (Gauntlett, 2008; Zeisler, 2008) observed a continuing trend whereby the ratio of male to female central characters was considerably in favour of the males. Similarly, it has been observed (Gauntlett, 2008; Poerwandari et al., 2014; Zheng, 2011) that stereotype of the female's preoccupation with and representation as young and beautiful has also continued. Gentility and passivity have continued to be the norm for female portrayal (Poerwandari et al., 2014), while their job status also tends to be lower than the male characters (Zheng, 2011). In fact, in some instances, the female depiction has seen a turn for the worse through greater stereotyping in the recent times as compared to a more liberal depiction in the past and greater usage of the trope of the evil modern woman and the angelic traditional woman (Chaudhry, 2016).

Many researchers have also observed that male representation has not varied greatly over the years such that males are shown to be intelligent and resourceful (Gauntlett, 2008) while the tradition of masculine bravery and bravado are also a continuing trend (Pérez, 2005). Maclean (2011) had found that there were greater

instances of men being shown as resorting to crime than in the past. In more recent times, considerable effort has been put in to reduce stereotyping through direct government intervention or civic pressure, but in some cases, the outcome has been worst than before, i.e greater stereotyping post the regulation (Verhellen et al., 2016). Just like male representation, transgender representation is not believed to have changed much over the years, with the stereotyping associated with them continuing even in more recent times (Gauntlett, 2008).

In spite of many researchers have a dismal view of gender representation over the years, not everyone is pessimistic and many (Ahmad, 2002; Gauntlett, 2008; Sandonato, 2014) even believe that things are changing for the better. Increasingly, the bravado and machismo of male characters is being replaced by a representation as softer, caring individuals (Gauntlett, 2008; Long et al., 2010; Pérez, 2005) and weariness towards violence (Gauntlett, 2008). However, it is pertinent to point out that the softer masculine side is displayed only in the private sphere while in the public sphere; the males have to resort to the display of hegemonic masculinity (Khai & Abdul-Wahab, 2017).

Like males, the depiction of females has also undergone a change (Gauntlett, 2008; Long et al., 2010; Poerwandari et al., 2014; Sandonato, 2014). The most positive change which has been observed is a significantly larger number of female protagonists (Ahmad, 2002; England et al., 2011; Gauntlett, 2008; Zeisler, 2008) as well

as the inclusion of slightly older and more mature females in leading roles. Women are increasingly being shown as confident, resourceful, assertive and in control of their lives (England et al., 2011; Gauntlett, 2008; Long et al., 2010; Panitchpakdi, 2007; Zheng, 2011). Further, women are being shown more often as career women (Gauntlett, 2008; Pérez, 2005; Sandonato, 2014) who also excel at running their homes (Long et al., 2010; Panitchpakdi, 2007). They are portrayed as being more educated than in the past (Zheng, 2011) and less likely to display stereotyped feminine traits such as being worried, fussy, demanding, sulky and fearful. While discussing the female lead in superhero movies, Walderzak (2016b) observed the increasing trend of the females having greater agency and were shifting away from passivity to aggressiveness alongside the male super-heroes.

The transformation in both male and female gender depiction did not come about by itself but a lot of effort by the feminist movement was able to reduce the gap in the positions of males and females and the emergence of more empowered females who are also confident about their sexuality (Panitchpakdi, 2007).

Gender representation in Pakistani media content has not been studied in great detail but links have been observed with the ideology supported by the ruling elite whereby General Zia's martial law regime opted for the Islamization of media content (Abbas, 2018; Hashmi, 2012; Kothari, 2005). One key part of the Zia doctrine was the concept of the veil and four walls i.e

women are to stay hidden inside the house and are to kept away from prying eyes with the help of a veil (Abbas, 2018; Kothari, 2005). Further, the privatization of media has also brought about some changes but the representation has not changed drastically and the traditional of representation of gender continued to be the norm (Hashmi, 2012). In this context, the present research with its vast sample and time frame was aiming to find more conclusive evidence as to the situation of gender depiction over the years and to find out whether there has been any alteration in the depiction of gender in TV dramas in Pakistan. The second research questions was thus framed as follows;

RQ 2: Has there been a transformation in the depiction of gender in TV dramas in Pakistan over the past five decades?

METHOD

The research was aimed at determining the frequency and extent of gender stereotyping in TV dramas, the methodology adopted for the research was quantitative content analysis as many previous studies on gender depiction also opted for this method (Ahmad, 2002; Collins, 2011; Kharroub & Weaver, 2014; Lauzen & Dozier, 2005; Luif, 2014; Poerwandari et al., 2014; Prieler, 2016; Scott, 2011; Steinke, 2005; Zheng, 2011).

As mentioned earlier, the research focused on the dramas aired on the state owned channel PTV primarily because it had been in continuous operation for over five decades as well as having the largest reach (Hashmi, 2012; PEMRA, 2010). The

population of the study comprised all the prime time drama serials aired on PTV from 1968 till 2017. All drama series, sit-coms, and soaps. as well as foreign dramas were excluded from the sample. Although PTV was launched in 1964 but the content from 1964-1967 was aired live so no record is available therefore this period was also omitted. A purposive sample which was selected from the population comprised of the most popular plays for each year, however due to the lengthy duration of the study, the sample was limited to every second year rather than every year. The list of plays was made in consultation with the sources at PTV. The year 1971 was omitted from the sample as civil unrest and war had a negative influence on the production of new dramas. Thus, in all 24 plays were finalized for the 50 year study period rather than 25.

Only the three most significant characters were selected for analysis and in all 72 characters were analysed. The micro-level unit of analysis in this study was each singular character which was further assessed to find out whether the character traits that were being displayed were stereotypically male or female. Coders aimed to observe the depiction of the following sets of stereotypes; visible-invisible, mature youthful, brave-afraid, assertive-submissive, independent-dependent, confident-shy, unattractive-attractive, saviour-victim, aggressive-passive, not nurturing- nurturing, rational-emotional, non-domestic-domestic. The Coders were provided with detailed operationalization of each indicator in the code book and the analysis was made on the

basis of the context as well as the thoughts, attitudes and actions which were displayed by each character. For coding purposes only, all the stereotypes excluding visibility and age which the literature pointed out to be male stereotypes were coded as 1 while all the stereotypes presented as female stereotypes were coded as 2.

Before conducting the final study, a pilot test was conducted on five episodes of a drama serial which was not in the final sample to test for reliability and validity. Two post graduate students were involved in the coding process who were trained in five sittings to learn the coding protocols. Minor changes were incorporated into the code book and coding rules in line with the suggestions by the coders.

For the final analysis the dramas were saved on the personal computers of the coders in MP4 format and the entire coding process took six months. Data was manually entered into coding sheets which was later transferred to an Excel and SPSS format. Inter-coder reliability was judged by uploading the excel data into the online software RECAL2 which showed that the average Krippendorff's alpha coefficient of the two coders was 0.79 which according to the criterion set by Neuendorf (2011) indicates a significantly high degree of reliability. Statistical analysis was done using SPSS and applying relevant tests.

FINDINGS

Findings of the study revealed that in all 4834 scenes were coded out of which 2581 featured males while 2253 featured females.

Interestingly none of the central characters was a transgender. A significant majority (3379) of the scenes were placed in urban locations while 1443 scenes featured a rural and 12 featured a resort location. With regard to age, it was revealed that a significant majority (3881) were young characters (19-34 years) followed by 449 scenes featuring mature individuals (35-49 years), 369 scenes featured elderly individuals (Over 50 years), 120 scenes featured teens (13-18 years) and only 15 scenes featured children below the age of 12.

With regard to other demographic indicators such as marital status, it was revealed that 2814 scenes featured single individuals, 1633 featured married individuals, 321 widowed individuals and 66 divorced/ separated individuals. The occupational status of the characters revealed that 2793 were employed somewhere or were themselves employers. 643 scenes

featured housewives, 266 scenes had students, 252 with criminals and 144 were either looking for work or had retired from work. Observation regarding the socioeconomic class of the characters revealed that 1804 scenes featured middle class individuals, 1536 had elite class characters and 1494 had working class characters.

RQ 1: Whether TV dramas in Pakistan reinforce gender stereotypes?

To answer this question, first all the individual sets of stereotypes including visible-invisible, mature – youthful, brave - afraid, assertive - submissive, independent - dependent, confident -shy, unattractive - attractive, savior - victim, aggressive - passive, not nurturing- nurturing, rational - emotional, non-domestic - domestic, were analysed and then they were computed to form the variable entitled gender stereotyping.

Table 1
Frequencies of males and females in PTV dramas

	Males	Females
Observed freq.	2581	2253
Expected freq. (prop.)	2417.0 (0.5)	2417.0 (0.5)

Note. $\chi^2 = 22.256*$, df =1. Numbers in parentheses, (), are expected proportions. Freq. =frequency and prop. = proportion. *p= .00

With regard to the first indicator of stereotyping i.e visibility versus invisibility, a chi-square goodness-of-fit test was applied which indicated that there was a significant difference in the proportion of males to females, x^2 (1, n = 4834) = 22.256, p =

.000, such that there were significantly more males as compared to females (See Table 1).

The remaining eleven sets of indicators for stereotyping were explored by applying independent sample t-tests (See Table 2) which revealed significant differences between the representation of male and female characters with regard to the attributes of maturity versus youthfulness (t(4627.52)= 11.891, p= .00), assertiveness versus submissiveness (t (4832) = -2.384, p= .017), independence versus dependence (t (4382.59) = -7.973, p= .000), confidence versus shyness (t (4832) = -4.721, p= .000), unattractiveness versus attractiveness (t (4742.49) = -16.834, p= .000), not nurturing versus nurturing (t (3977.20) = -6.043, p= .000), rational versus emotional (t (4830.018) = -3.805, p= .000), and nondomestic versus domestic (t (4805.67) = -6.100, p= .000).

Findings (Table 2) revealed that males tended to be more mature, assertive,

independent, confident, less Nurturing, rational and non-domestic in comparison to the females who were more often youthful, submissive, dependent, shy, attractive, nurturing, emotional and domestic.

The stereotypes of masculine bravery, aggressiveness and saviour ship and feminine fearfulness, victimization and passivity did not hold true. Interestingly no significant differences were observed regarding bravery-fearfulness (t (4832) = -0.152, p=.879) and saviour-victim (t (4743.60) = 1.454, p=.146) while the stereotypes of aggressiveness and passivity were reversed with males showing more passivity and females showing more aggressiveness.

Table 2 *T-test of individual gender stereotype sets in PTV dramas*

	Gender	N	Mean	Std. Deviation	t	Df	Sig. (2-tailed)
Mature-Youthful	Male	2581	2.22	0.429	11.891	4627.52	.000
	female	2253	2.10	0.302			
Brave- Afraid	male	2581	0.17	0.48	-0.152	4832	.879
	female	2253	0.18	0.52			
Assertive-	male	2581	0.74	0.50	-2.384	4832	.017
Submissive	female	2253	0.78	0.52			
Independent-	male	2581	0.89	0.55	-7.973	4382.59	.000
Dependent	female	2253	1.03	0.66			
Confident-Shy	male	2581	0.86	0.41	-4.721	4832	.000
	female	2253	0.92	0.46			
Unattractive-	male	2581	1.30	0.94	-16.834	4742.49	.000
Attractive	female	2253	1.70	0.71			
Savior- Victim	male	2581	0.16	0.47	1.454	4743.60	.146
	female	2253	0.14	0.47			

Table 2 (Continued)

	Gender	N	Mean	Std. Deviation	t	Df	Sig. (2-tailed)
Aggressive-	male	2581	0.21	0.46	6.247	4830.39	.000
Passive	female	2253	0.13	0.39			
Not Nurturer-	male	2581	0.07	0.38	-6.043	3977.20	.000
Nurturer	female	2253	0.16	0.54			
Rational-	male	2581	1.79	0.597	-3.805	4830.01	.000
Emotional	female	2253	1.85	0.510			
Non-domestic-	male	2581	1.62	0.484	-6.100	4805.67	.000
Domestic	female	2253	1.70	0.455			

Computation

In order to answer the first research question, regarding reinforcement of gender stereotypes in TV dramas in Pakistan, all the individual sets of stereotypes mentioned in Table 2 were computed together to form one variable. As mentioned earlier, all the

stereotypes associated with the male gender were coded as 1 while all the stereotypes associated with females were coded as 2. Significant differences (t(4832)= -8.11, p= .000) were observed between the depiction of males (M=10.14, SD=2.10) and females (M=10.65, SD=2.26) such that males had a significantly lower mean value in comparison to females which goes on to show that gender stereotypes are the norm in the dramas aired on the state owned channel in Pakistan (See Table 3).

Table 3

T-test of computed gender stereotypes in PTV dramas

Gender	N	Mean	Std. D	t	df	Sig.
Male	2581	10.1418	2.10464	0.110	4922	000
Female	2253	10.6520	2.26754	-8.110	4832	.000

RQ 2: Has there been a transformation in the depiction of gender in TV dramas in Pakistan over the past five decades?

The second research question pertained to whether there had been a transformation in the depiction of gender over the past five decades. In order to find out whether this was so, ANOVA tests were applied for each gender separately.

Findings of the study (F (4, 2576) =20.349, p= .00) revealed that there were significant differences in the depiction

of male stereotypes over the years (See Table 4). As the characteristics of male stereotyping were coded as 1, while the female stereotypes were coded as 2, thus the lower the overall number for male characterization, the greater the

stereotyping. Thus, the findings revealed that stereotyping was the worst during the 2008-2017 (M=9.7, SD=2.52), while the least amount of stereotyping was done during the period from 1978-1987 (M=10.62, SD=1.69).

Table 4

ANOVA Test- Transformation of gender stereotyping of males

T	N	Mean	Std. Deviation	Df	F	Sig.
1968-1977	277	10.3430	2.29241			
1978-1987	687	10.6259	1.69670			
1988-1997	354	9.9068	1.95699	4/2576	20.240	000
1998-2007	428	10.2617	1.52780	4/2576	20.349	.000
2008-2017	835	9.7150	2.52189			
Total	2581	10.1418	2.10464			

Table 5
ANOVA Test- Transformation of gender stereotyping of females

	N	Mean	Std. Deviation	Df	F	Sig.
1968-1977	240	10.8542	1.98097			
1978-1987	449	11.1069	2.19113			
1988-1997	617	10.8979	1.67418	4/2249	((050	000
1998-2007	400	11.3775	2.08948	4/2248	66.958	.000
2008-2017	547	9.3821	2.63435			
Total	2253	10.6520	2.26754			

Findings of the study (F (4, 2248) = 66.958, p= .00) revealed that there were significant differences in the depiction of female stereotypes over the years (See Table 5) As the characteristics of female stereotyping were coded as 2, the higher the overall number for female characterization,

the greater the stereotyping. Thus, the findings revealed that stereotyping was the worst from 1998-2007 (M=11.37, SD=2.08) while the least amount of stereotyping was present in the period 2008-2017 (M=9.38, SD= 2.63). The period from 1998-2007 is interestingly the period where the private TV

channels were allowed to start functioning. The sudden increase can be attributed to the arrival of competition but the next phase clearly shows a sort of settling down whereby the portrayal of females improved drastically.

DISCUSSION

The research was aimed at analysing gender portrayal in the drama serials on Pakistan's state owned channel. Pakistan is a developing country with a multitude of socio-economic and political problems. Although over-population, illiteracy and poverty appear to be the main concerns of the country, the patriarchal mind-sets and culture are creating hurdles in the lives of many. In such a situation, the role of media becomes particularly important as it can be used effectively to counter the prevailing situation.

Significant literature had suggested that media across the globe tended to stereotype both genders whereby the first research question was aimed at determining the prevalence of this phenomenon in Pakistan. A computation of the stereotypes showed the tendency of dramatic content to stereotype both the genders. However, to analyse the phenomenon in greater detail, various stereotypes were studied individually to find out which were more common in the Pakistani context.

The first stereotype related to what Tuchman (1978) called the symbolic annihilation of women or other researchers (Collins, 2011; Geena Davis Institute on Gender and Media, 2014; Kharroub &

Weaver, 2014; Prieler, 2016; Shanahan et al., 2008; Wood, 1994) referred to as the underrepresentation of women which was found to hold true in Pakistan. It is interesting that inspite of having significantly more female audiences in comparison to male audience, the female gender is relatively less frequently visible in the TV drama serial. Further, even when women are shown on screen, it was more often in the domestic sphere, a phenomenon also observed by previous researchers (Ahmad, 2002; Ali & Batool, 2015; Ashfaq & Shafiq, 2018; Carter & Steiner, 2004; Gunter, 1995; Kiran, 2016; Poerwandari et al., 2014; Shanahan et al., 2008; Tuchman, 1978; Wood, 1994). This indicates that the drama serials too were purporting the notion that women are meant to stay in the domestic sphere leaving the outside world as the sole domain of men. These findings strengthen the idea that the Zia doctrine of the veil and four walls was followed not only during the Zia regime but many successive governments adopted and perpetuated these ideals.

The stereotypes of youth and beauty/ attractiveness as pointed out by various researchers (Ahmad, 2002; Ashfaq & Shafiq, 2018; Aullette et al., 2009; Chalupova, 2011; Lauzen & Dozier, 2005; Luif, 2014; Scott, 2011; Shanahan et al., 2008; Steinke, 2005; Poerwandari et al., 2014; Prieler et al., 2015; Prieler, 2016; Wood, 1994; Zheng, 2011) was also found to hold true. Similarly, the data also supported the notion that females were shown more often as dependent (Ali & Batool, 2015; Gunter, 1995) and emotional (Ahmed, 2012; Chalupova, 2011; Espinosa,

2010). The media has played a crucial role in instilling the ideal of the compliant and beautiful female who has no regard for her own desires but is there merely to please the eyes of the beholder.

The female stereotypes which were not found to hold true were fearfulness, and victimization. Although considerable previous literature had shown the presence of these stereotypes (Ali & Batool, 2015; Bosch, 2019; Gerbner, 1970; Gunter 1995; Tuchman, 1978), yet no support was found in the sample. Interestingly, the commonly found stereotype of passivity (Ahmad, 2002; Ali & Batool, 2015; Ashfaq & Shafiq, 2018; Bosch, 2019; Collins, 2011; Wood, 1994) was actually found to be reversed such that females were more often aggressive in comparison to males. This is a singular discovery as coming from a region where all sorts of violence against women is fairly common, the breaking of the stereotype of victimization and passivity paints a different picture. Although the patriarchal structures are still prevalent and are mainly responsible for the subjugation of the female populace yet the dynamic portrayal of females on State television indicates the positive role that media can play in bringing a positive change in society.

When it comes to males, various stereotypes were identified by literature; prominent amongst these were maturity (Ahmad, 2002; Prieler et al., 2015) and being occupied with some work outside the home (Ahmad, 2002; Kharroub & Weaver, 2014; Kiran, 2016; Luif, 2014; Prieler, 2016; Prieler et al., 2015) which were both found

to hold true. The stereotype of assertiveness and confidence as pointed out by literature (Bosch, 2019; Chalupova, 2011; Espinosa, 2010; Wood, 1994) was also found to hold true with regard to masculine depiction alongside the stereotypes of independence and rationality (Chalupova, 2011; Espinosa, 2010; Wood, 1994).

Interestingly in spite of significant literature indicating masculine bravery, toughness, aggression (Bosch, 2019; Chalupova, 2011; Espinosa, 2010; Wood, 1994) and violent tendencies (Gerbner, 1970; Signorielli, 2003; Sink & Mastro, 2017), the complete opposite was found to be true with regard to masculine depiction in Pakistani dramas. This is again a significant finding as alongside the rejection of female victimization, the rejection of masculine bravado and aggression can have positive long term influences.

The second research question pertained to the transformation of gender depiction in Pakistani dramas over the years. In this regard the fifty-year period was divided into five decades to better understand the shifts in representation. Interestingly the socio-political landscape of the country was also evolving along similar lines such that the authority of Zulfigar Ali Bhutto (1971-1977), General Zia-ul-Haq (1978-1988), General Pervez Musharraf (1999-2007) lasted for almost entire decades while the remaining period was shared by the two main political parties, right-winged Pakistan Muslim League and center leftwinged Pakistan People's Party. Of these Z. A. Bhutto and Musharraf alongside

Pakistan People's Party had a more liberal approach which was also reinforced through State Media while General Zia had a more conservative approach and opted for the Islamization of Media content (Abbas, 2018; Hashmi, 2012; Kothari, 2005; Talib & Idrees, 2012). Further, even though General Zia-ul-Haq's regime lasted for only a decade, many successive governments especially the many regimes of the right-winged Pakistan Muslim League tried to adopt the narrative initiated by him especially pertaining to the situation of women (Talib & Idrees, 2012). Thus, when viewing the gender depiction during different governments, the relative frequency of female leads and central characters during the more liberal regimes indicates that perhaps the notion of the veil and four walls was the key factor in the invisibility of women under more conservative government setups.

Findings of the study revealed that although there were significant changes in depiction of both the genders, the changes did not follow a linear path from better to worse (Chaudhry, 2016; Gerbner et al., 1978) or a continuation of the worse as found by many others (Gauntlett, 2008; Gerbner et al., 1978; Maclean, 2011; Poerwandari et al., 2014; Verhellen et al., 2016; Zeisler, 2008; Zheng, 2011). Although some literature had suggested a slight improvement in the depiction of both males (Gauntlett, 2008; Long et al., 2010; Pérez, 2005) and females (Ahmad, 2002; England et al., 2011; Gauntlett, 2008; Long et al., 2010; Panitchpakdi, 2007; Pérez, 2005;

Poerwandari et al., 2014; Sandonato, 2014; Walderzak, 2016b; Zeisler, 2008; Zheng, 2011), this was only partially supported as contrary to expectation female portrayal significantly improved in the most recent times but the depiction of the males was the worst possible. However, the evidence leads to the conclusion that the changes in the portrayal cannot possibly be due to the changing times; changes due to globalization and greater awareness of the audiences as had this been the case, the changes would have followed a more linear path for both genders. One possible explanation can be the emergence of the private TV channels in 2002 which created competition for ratings for the state broadcaster which compelled it to resort to formulaic and tested content with traditional storylines and hence traditional gender relations.

A better explanation for the non-linear changes in the depiction can be attributed to the changes in the government policies, PTV being a state channel the policies and attitudes of successive governments have definitely had a huge impact on media content. As mentioned earlier, the successive governments with their liberal or conservative agendas significantly influenced media content (Abbas, 2018; Hashmi, 2012; Kothari, 2005). Thus, the depiction can in part be attributed to the attitude of the successive governments in terms of gender parity and gender discrimination. However, no study so far has looked for conclusive links between gender representation and government policy. The present study identifies the possibility of this phenomenon which needs to be investigated in greater detail by future researchers.

CONCLUSION

In conclusion, it can be stated that although overall the data showed both the genders as displaying gender-specific stereotypes yet surprisingly some anomalies were observed, such that dominant stereotypes such as bravery and aggressiveness were not being displayed by males while passivity, victimization and fearfulness were not being displayed by females. With regard to the transformation in gender depiction, it was found that although there were differences in gender depiction between the five decades for both the genders yet the changes were non-linear which points to the role of other factors such as the influence of reigning governments which could be a contributing factor in the increase or decrease in gender stereotyping over the years, a phenomenon which needs to be explored further.

ACKNOWLEDGEMENT

I would like to thank Dr. Amrat Haq and Dr. Aniqa Ali from International Islamic University, for their comments and suggestions for this article.

REFERENCES

Abbas, S. (2018). Conventional female images, Islamization and its outcomes: A study of Pakistani TV dramas. *Online Journal of Communication and Media Technologies*, 8(2), 20-38. https://doi.org/10.12973/ojcmt/2352

- Ahmad, A. M. (2002). *Gender roles: A content analysis of Egyptian television* [Master's thesis]. Oklahoma State University.
- Ahmed, A. (2012). Women and soap operas: Popularity, portrayal and perception. *International Journal of Scientific and Research Publications*, 2(6), 1-6. http://www.ijsrp.org/research_paper_jun2012/ijsrp-June-2012-47.pdf
- Ali, R., & Batool, S. (2015). Stereotypical identities: Discourse analysis of media images of women in Pakistan. *Multidisciplinary Journal of Gender Studies*, 4(1), 690-717. https://doi.org/10.17583/generos.2015.1502
- Ashfaq, A., & Shafiq, Z. (2018). Contested images of 'perfect women' in Pakistani television dramas. Journal of the Research Society of Pakistan, 55(1), 45-63. http://pu.edu.pk/images/journal/history/PDF-FILES/4 55 1 18.pdf
- Aullette, J. W., Wittner, J., & Blakely, K. (2009). *Gendered worlds*. Oxford University Press.
- Bandura, A. (2002). Social cognitive theory of mass communication. In J. Bryant & D. Zillmann (Eds.), *Media effects: Advances in theory and research* (pp. 121-154). Erlbaum.
- Bosch, B. (2019). Bat meets girl: Adapting the Dark Knight's love life to the big screen. *Quarterly Review of Film and Video*, 36(3), 239-251. https://doi.org/10.1080/10509208.2019.1587341
- Carter, C., & Steiner, L. (2004). *Critical reading: Media and gender*. Open University Press.
- Chalupova, T. (2011). The representation of women in a Czech soap opera: The clash of genre conventions and feminist ideals in the Czech soap opera VelmiKřehkéVztahy [Master's thesis, Palacky University Olomouc]. Theses.cz. https://theses.cz/id/lnmriq/
- Chaudhry, N. (2016, October 20-23). "This is where you belong"-Representations of the ideal woman in Pakistani television serials from the 1980's to the present. *Proceedings of the 45th*

- Annual Conference on South Asia. University of Wisconsin, Madison, USA.
- Collins, R. L. (2011). Content analysis of gender roles in media: where are we now and where should we go? *Sex Role*, *64*, 290-298. https://doi.org/10.1007/s11199-010-9929-5
- D'Acci, J. (1994). Defining women: Television and the case of Cagney & Lacey. University of North Carolina.
- England, D. E., Descartes, L., & Collier-Meek, M. A. (2011). Gender role portrayal and the Disney Princesses. Sex Roles, 64, 555-567. https://doi.org/10.1007/s11199-011-9930-7
- Espinosa, D. (2010). Gender roles in the media and debunking society's stereotypes: 'Glee' as a popculture reflection [Unpublished Master's thesis]. Winona State University.
- Fogel, J. M., (2012). A modern family: The performance of "family" and familialism in contemporary television series [Unpublished Doctoral dissertation, The University of Michigan]. Deep Blue. http://hdl.handle.net/2027.42/91389
- Gallup Pakistan. (2012, July 12). Watching movies in cinema. Only 11% say they watch movies in a cinema. Most of them are infrequent movie-goers. https://gallup.com.pk/bb_old_site/Polls/120712.pdf
- Gallup Pakistan. (2014, October 17). Radio: Declining numbers of radio listeners over the past thirty years. https://gallup.com.pk/bb_old_site/News/171014.pdf
- Gauntlett, D. (2008). *Media, gender and identity: An introduction*. Rutledge.
- Geena Davis Institute on Gender and Media. (2014).

 Gender bias without borders: An investigation of female characters in popular films across 11 countries. https://seejane.org/wp-content/

- uploads/gender-bias-without-borders-full-report. pdf
- Gerbner, G. (1970). Cultural indicators: The case of violence in television drama. *The ANNALS of the American Academy of Political and Social Science*, 388, 69-81. https://doi.org/10.1177/000271627038800108
- Gerbner, G. (1998). Stories of violence and the public interest. In K. Brants, J. Hermes & L. Van Zoonen (Eds.), *The Media in Question* (pp. 135-146). Sage.
- Gerbner, G. & Gross, L. (1976). Living with television: The violence profile. *Journal of Communication*, 26(2), 173-199. https://doi.org/10.1111/j.1460-2466.1976.tb01397.x
- Gerbner, G., Gross, L., Jackson-Beeck, M., Jeffries-Fox, S., & Signorielli, N. (1978). Cultural indicators: Violence profile no. 9. *Journal of Communication*, 28(3), 176-207. https://doi.org/10.1111/j.1460-2466.1978.tb01646.x
- Goffman, E. (1979). *Gender advertisements*. Harper & Row.
- Gorham, B. W. (2004). The social psychology of stereotypes: Implications for media audiences. In R. A. Lindt (Ed.), *Race, gender, media:* Considering diversity across audiences content and producers (pp. 23-34). Pearson.
- Government of Pakistan Finance Division. (2016). *Pakistan Economic Survey 2016-17*. http://www.finance.gov.pk/survey_1617.html
- Gunter, B. (1995). *Television and gender representations*. John Libbey.
- Hashmi, M. (2012). At the limits of discourse: Political talk in drag on late night show with Begum Nawazish Ali. *South Asian History and Culture*, *3*(4), 511-531. https://doi.org/10.1080/19472498.2012.720065

- Khai, S. W., & Abdul-Wahab, J. (2017). Prettiness as a shield: The romantic perpetuation of patriarchy through the representation of pretty boy in popular Korean dramas in Malaysia. *Media Watch*, 8(3), 298-310. https://doi.org/10.15655/ mw/2017/v8i3/49153
- Kharroub, T., & Weaver, A. J. (2014). Portrayals of women in transnational Arab television drama series. *Journal of Broadcasting & Electronic Media*, 58(2), 179-195. https://doi.org/10.1080/08838151.2014.906434
- Kiran, E. (2016). Hidden Gender Stereotypes in TV Commercials. *Papers on Social Science*, *2*, 123-137.
- Kothari, S. (2005). From genre to Zanaana: Urdu television drama serials and women's culture in Pakistan. *Contemporary South Asia*, 14(3), 289-305. https://doi. org/10.1080/09584930500463719
- Lauzen, M. M., & Dozier, D. M. (2005). Maintaining the double standard: Portrayals of age and gender in popular film. Sex Roles, 52, 437-446. https:// doi.org/10.1007/s11199-005-3710-1
- Lauzen, M. M., Dozier, D. M., & Horan, N. (2008). Constructing gender stereotypes through social roles in prime-time television. *Journal of Broadcasting & Electronic Media*, 52(2), 200-214. https://doi.org/10.1080/08838150801991971
- Lippman, W. (1922). Public opinion. Harcourt.
- Long, M., Steinke, J., Applegate, B., Lapinski, M. K., Johnson, M. J., & Ghosh, S., (2010). Portrayals of male and female scientists in television programs popular among middle school–age children. *Science Communication*, 20(10), 1-27. https://doi.org/10.1177/1075547009357779
- Lorber, J., & Farrell, S. A. (Eds.). (1991). *The social construction of gender*. Sage Publications.
- Luif, V. (2014). As seen on TV: The portrayal of women (A quantitative and qualitative analysis of the presence and portrayal of women in Dutch

- television fiction and non-fiction) [Unpublished Master's thesis]. University of Amsterdam.
- MacLean, D. (2011). *Discourses of masculinity in the* contemporary male-centred drama [Unpublished master's thesis]. Western University.
- McGhee, P. E., & Frueh, T. (1980). Television viewing and the learning of sex-role stereotypes. *Sex Roles*, 6, 179-188. https://doi.org/10.1007/BF00287341
- Mulvey, L. (1975). Visual pleasure and narrative cinema. *Screen*, 16, 8-18. https://www.asu.edu/courses/fms504/total-readings/mulvey-visualpleasure.pdf
- Mumtaz, K. (2006). Gender and poverty in Pakistan. Pakistan poverty assessment update. Background Paper Series 7. Poverty Group. Pakistan Resident Mission.
- Neuendorf, K. A. (2011). Content analysis—A methodological primer for gender research, Sex Roles: A Journal of Research, 64(3-4), 276-289. https://doi.org/10.1007/s11199-010-9893-0
- Pakistan Electronic Media Regulatory Authority. (2010). PEMRA Annual Report 2010. http://www.gilanifoundation.com/homepage/Free_Pub/PEMRA/Pemra%20annual_report_2010.pdf
- Panitchpakdi, J. (2007). The *representations* of women in Thai soap operas: The contestation of gender ideologies and cultural identities. *Thammasat Review*, 9-51. https://sc01.tci-thaijo.org/index.php/tureview/article/view/40846
- Pérez, M. (2005). Cultural identity: Between reality and fiction: A transformation of genre and roles in Mexican telenovelas. *Television New Media, 6,* 407-414. https://doi.org/10.1177/1527476405279956
- Perkins, T. E. (1979). Rethinking stereotypes. In M. Barrett, P. Corrigan, A. Kuhn & J. Wolff (Eds.), *Ideology and cultural production* (pp. 135-159). Croom Helm.

- Poerwandari, E. K., De Thouars, T., & Hirano, K. (2014). Gender construction in five Japanese serial dramas: Fantasy and the real lives of Japanese youth. *Asian Journal of Women's Studies*, 20(2), 97-132. https://doi.org/10.1080/12259276.2014.11666183
- Prieler, M. (2016). Gender stereotypes in Spanishand English-language television advertisements in the United States. *Mass Communication and Society, 19*(3), 275-300. https://doi.org/10.1080 /15205436.2015.1111386
- Prieler, M., Ivanov, A., & Hagiwara, S. (2015). Gender representations in East Asian advertising: Hong Kong, Japan and South Korea. Communication & Society, 28(1), 27-41. https://doi.org/10.15581/003.28.1.27-41
- Ryan, J. R. (2009). Reel gender: Examining the politics of trans images in film and media [Unpublished Doctoral thesis]. Bowling Green State University.
- Saleem, N. (1994). Cultural imperialism: A case study of the impact of dish antennas on Pakistani's society [Unpublished Master's thesis]. University of Punjab.
- Sandonato, N. (2014). *The history of gender representations in teen television* [Unpublished Bachelor's thesis]. Boston College.
- Scott, A. M. (2011). *The roles of women in television situation comedies: A pilot study* [Unpublished Master's thesis]. Gonzaga University.
- Seidler, V. (1994). *Unreasonable men: Masculinity and social theory*. Routledge.
- Shanahan, J., Signorielli, N., & Morgan, M. (2008). Television and sex roles 30 years hence: A retrospective and current look from a cultural indicators perspective. Conference Proceedings -International Communication Association, 1-26.
- Signorielli, N. (2003). Prime-time violence 1993-2001: Has the picture really changed? *Journal of Broadcasting & Electronic Media*, 47(1), 36-57. https://doi.org/10.1207/s15506878jobem4701 3

- Sink, A., & Mastro, D. (2017). Depictions of gender on primetime television: A quantitative content analysis. *Mass Communication & Society*, 20(1), 3-22. https://doi.org/10.1080/15205436.2016. 1212243
- Song, G. (2010). Chinese masculinities revisited: Male images in contemporary television drama serials. *Modern China*, *36*(4), 404-434. https:// doi.org/10.1177/0097700410368221
- Steinke, J. (2005). Cultural representations of gender and science: Portrayals of female scientists and engineers in popular films. *Science Communication*, 27(1), 27-63. https://doi.org/10.1177/1075547005278610
- Talib, S., & Idrees, Z. (2012). Pakistani media and disempowerment of women. In T. Carilli & J. Campbell (Eds.), Challenging images of women in the media: Reinventing women's lives (pp. 29-33). Lexington Books.
- Tuchman, G. (1978). The symbolic annihilation of women by the mass media. In G. Tuchman, A.
 Daniels & J. Benet (Eds.), *Hearth and home: Images of women in the mass media* (pp. 150-174). Oxford University Press.
- Verhellen, Y., Dens, N., & de Pelsmacker, P. (2016). A longitudinal content analysis of gender role portrayal in Belgian television advertising. *Journal of Marketing Communications*, 22(2), 170-188. https://doi.org/10.1080/13527266.20 13.871321
- Walderzak, J. (2016a) The killing and the exemplary anomaly of the female Antihero. In F. Peters & R. Stewart (Eds.), *Crime Uncovered Series* (pp. 124-134). Intellect Ltd.
- Walderzak, J. (2016b). Damsels in transgress: The empowerment of the damsel in the Marvel Cinematic Universe. In M. J. McEniry, R. M. Peaslee & R. G.Weiner (Eds.), Marvel comics into film: Essays on adaptations since the 1940s (pp. 150- 164). McFarland & Company Publishers.

- Wood, J. T. (1994). Gendered media: The influence of media on views of gender. In *Gendered lives: Communication, gender, and culture* (pp. 231-244). Wadsworth.
- Zeisler, A. (2008). Feminism and pop culture. Seal Press.
- Zheng, Z. (2011). Stereotyping of women's images portrayed in prime time Chinese TV series from 1979 to 2008: Has the picture changed over time? [Unpublished Master's thesis]. Iowa State University. https://doi.org/10.31274/etd-180810-44



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Malaysian Youth eHealth Literacy via Healthcare Websites: A Study on Factors Forming Sexual and Reproductive Health Information-seeking Intention

Andrew Jason George^{1*} and Moniza Waheed²

Department of Communication, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 UPM Serdang, Selangor Darul Ehsan, Malaysia

ABSTRACT

Extensive research has been carried out to study the relationship between Malaysian youth and their perceptions of sexual and reproductive health (SRH); ranging from knowledge and awareness levels to lifestyle choices. However, there is insufficient information on youth e-health literacy levels on the subject matter. Therefore, this study examines the factors that influence youth intention towards using healthcare websites to search for SRH information. This study is guided by the Theory of Reasoned Action (TRA) which suggests that the best indicator of behaviour is intention, which is formed by attitude and subjective norms. Participants for the study were 400 youth (from 18 – 40 years of age) based in the Klang Valley area. Data was collected through a self-administered questionnaire where the research instruments were adopted from the TRA framework, namely: Attitude, Subjective Norms, and Intention. Overall, the findings showed that youth who had positive attitudes and adequate social support/pressure towards using healthcare websites to find SRH information were likely to have a high intention to do so. One crucial finding in the context of this study is how subjective norms are a stronger predictor of SRH information-seeking intention compared to attitude. This finding here can add a new dimension to how the TRA framework is utilised, especially in studies revolving around Asian youth intentions and behaviours. Ministries, NGOs, and private institutions that advocate better SRH practices

ARTICLE INFO

Article history:

Received: 04 September 2020 Accepted: 15 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.28

E-mail addresses:

andrewjasongeorge89@gmail.com (Andrew Jason George) moniza@upm.edu.my (Moniza Waheed)

* Corresponding author

in Malaysia should leverage the influence of new media to improve health literacy levels among youth.

Keywords: Healthcare websites, information-seeking intention, internet, sexual and reproductive health, the theory of reasoned action, youth

INTRODUCTION

Health, in general, is a topic that Malaysians freely discuss. However, when it comes to sexual and reproductive health (SRH), it is often labelled as a *taboo* or sensitive subject, where people in general, are hesitant to talk about out in the open. Owing to this, Malaysian youth face the risk of being inadequately informed about issues related to sexual health, sexuality, risk-taking behaviours and so on (Farid et al., 2018; Ismail & Hamid, 2016; Mustapa et al., 2015).

One of the biggest stumbling blocks that youth face when it comes to seeking SRH information in Malaysia is the lack of official online communication channels to disseminate accurate and credible SRH information (Farid et al., 2018; Mohamad et al., 2020). Shakir et al. (2019) argued that youth often found information on such matters, especially on sexually transmitted infections (STIs), through general websites via Google instead of visiting specific healthcare websites that specialise in SRH matters. In addition, some have even resorted to finding such information on social media sites such as Facebook where there is a high probability of receiving unreliable information or fake news (Khawaja et al., 2017; Müller & Schulz, 2019).

This highlights the need for young people to have access to official online SRH sources for information-seeking purposes and the opportunity to engage with qualified healthcare providers. Moreover, youth must also be equipped with the right skills to find information that is verified and factually-

correct in order to make better judgments of their overall reproductive health choices (Shakir et al., 2019). While local authorities are tasked with exploring, monitoring, and improving e-health literacy levels among youth, this responsibility does not fall on the government alone, but also on the nation as a collective noun (Centers for Disease Control and Prevention [CDC], 2018).

The main aim of this study is to analyse the factors that predict youth intention in using healthcare websites to seek SRH information by examining the predictive strength of the variables in the Theory of Reasoned Action (TRA). The TRA framework is apt for studies that investigate consumers' information-seeking intentions in various communication and behavioural fields because these intentions are associated with distinct influencing factors; an individual's intrinsic motivation (attitude) and social influence (subjective norms) (Ajzen & Fishbein, 1980; Fishbein & Ajzen, 1975). Researchers have used this theory to study various sexual intentions among youth (Conner et al., 2017; Manstead, 2011; Randolph et al., 2009; Rise, 1992).

The TRA postulates that intention is formed by the attitude towards the act and subjective norms (social pressure). A strong positive intention towards performing an act requires positive (favourable) attitudes and adequate social support/pressure to actually pursue the act (Ajzen & Fishbein, 1980; Fishbein & Ajzen, 1975; Lee & Kotler, 2016).

In a Malaysian context, previous studies have indeed looked at issues related to the topic, mainly focusing on knowledge of reproductive health (Ayub et al., 2017; Mokhtar et al., 2013; Mustapa et al., 2015; Ujang & Sutan, 2018; Wong, 2012) and factors predicting reproductive health issues (Cheah et al., 2016; Low, 2009; Manaf et al., 2014; Muhammad et al., 2017). However, these studies scarcely use this theory as a guide to study intention towards seeking SRH information to boost e-health literacy levels among young Malaysians. Currently, there is little academic research that suggests the usage of the TRA in predicting SRH information-seeking intention among youth (Alagrisamy & Arokiasamy, 2019).

Based on the aforementioned points, this study advances the following research objectives:

RO1: To determine the relationship between attitude towards using healthcare websites as a source of SRH information and the intention to do so among youth.

RO2: To analyse the relationship between subjective norms towards using healthcare websites as a source of SRH information and the intention to do so among youth.

RO3: To investigate if attitude and subjective norms will predict youth intention to use healthcare websites as a source of SRH information.

LITERATURE REVIEW

It is key for youth to develop healthy behaviours from a young age as various studies have shown that many young Malaysians are practicing unsafe sexual habits (Ayub et al., 2017; Cheah et al., 2016; Farid et al., 2018; Manaf et al., 2014; Manimaran et al., 2017; Muhammad et al., 2017). In most cases, it is due to the information available to them, or a lack of it, and how this affects their perspectives towards SRH topics. The common theme that resonates throughout these studies is that there is a need to understand the factors that form SRH information-seeking intention as there are insufficient studies on extensive e-health literacy among young Malaysians (Mohamad et al., 2020; Hamzah et al., 2016).

Theory of Reasoned Action

In SRH studies that employ the TRA framework, much focus is given towards the formation of intention as it is a precursor of behaviour, some examples include, seeking sexual health information (Crook et al., 2016; Donoghue et al., 2017; Tabaac, 2016), sexual communication (Bryan et al., 2002; Sheeran et al., 1999; Widman et al., 2014), intentions to use contraception (Alagrisamy & Arokiasamy, 2019; Albarracín et al., 2001; Delany-Moretlwe et al., 2015; Greene et al., 1997; Vanlandingham et al., 2014), intentions to get HPV vaccination (Fisher et al., 2013; Jozkowski & Geshnizjani, 2016) and teen pregnancy (Dippel et al., 2017; Woog et al., 2015). As for this study, in order to examine youth intention to use healthcare websites to seek SRH information, attitude and subjective norms are considered as the independent variables (IV) whereas intention is the dependent variable (DV).

Many research associate attitude with three basic features: attitude is learned, attitude predisposes action and these actions are either consistently favourable or unfavourable towards the act (Ajzen & Fishbein, 1980; Fishbein & Ajzen, 1975; Mittler et al., 2012; Montano & Kasprzyk, 2008; Muhammad et al., 2017). Youth are likely to access SRH information from healthcare websites if they form a positive attitude towards the action first. In a Malaysian context, Ayub et al. (2017) conducted a study to investigate the correlation between knowledge and attitude with regards to youth seeking SRH information. A quantitative study with a sample size of 853 university students was carried out where data was collected through questionnaires. This research had two independent variables (IV), attitude and knowledge, and one dependent variable: sexual health communication. All items were measured using a five-point Likert scale (1 = "strongly disagree" to 5 = "strongly agree"). Overall, it was found that SRH information-seeking behaviour was minimal among youth, in addition, Ayub et al. (2017) noted that there were gaps in identifying how youth behaved after receiving SRH knowledge, calling for further investigations to study the correlation between knowledge and attitude towards sexual health communication among young people. As Malaysian youth are avid users of new media (Shakir et al., 2019), getting SRH information through healthcare websites and other online platforms will motivate them to continue using these channels to improve their SRH knowledge, which will

ultimately lead to them having a positive attitude towards using online sources to seek for SRH information (Ujang & Satan, 2018). Therefore, the following can be predicted:

H1: There is a significant positive relationship between youth attitude and intention to use healthcare websites as a source of SRH information.

Moving on, Fishbein and Ajzen (1975) defined subjective norms as an individual's perception that those who were close and important to him (peers and family members) believed that he should or should not perform said behaviour (Ajzen & Fishbein, 1980; Breuner & Mattson, 2016; Montano & Kasprzyk, 2008; Sanci et al., 2015). Youth may want to access healthcare websites to find SRH information if there is some social pressure from family members, peers, partners, authoritative figures, and the community at large influencing them to do so. Ismail and Hamid (2016) added that Malaysian youth mainly acquired SRH knowledge from parents, friends, teachers, and the media, however in a bid to avoid the embarrassment of seeking information from a known source, they preferred the confidentially that the Internet offered, slowly their trust towards healthcare websites increased and they valued this platform as a legitimate source of SRH information (Farid et al., 2018; Manaf et al., 2014; Mustapa et al., 2015). One reason why the Internet prevails in this scenario is due to the breakdown in parentadolescent communication with regards to SRH matters. Parents are reluctant to talk about sex in front of their children, they find it difficult to initiate conversations about sexuality, puberty, and reproductive health (Bleakley et al., 2018; Widman et al., 2014, 2016) more so in Asian societies where parents usually advice or warn their children to abstain from sex (Ismail & Hamid, 2016). Cultural and religious sensitivities also affect youth in their search of SRH knowledge, guidance, and services in Malaysia, thus, there is an unmet need for an open and credible source of SRH information for young people to use as a guide (Ismail & Hamid, 2016; Lim, 2015; Wong, 2012). In light of this, the following can be predicted:

H2: There is a significant positive relationship between youth subjective norms and intention to use healthcare websites as a source of SRH information.

Lastly, Fishbein and Ajzen (1975) noted that intention is the best predictor of behaviour; it is a person's readiness to accomplish a behaviour, a cumulative function of both attitude and subjective norms (Ajzen & Fishbein, 1980; Freberg, 2013; Montano & Kasprzyk, 2008; Pecchioni & Sparks, 2007; Sheeran, 2002). Youth are likely to access SRH information from healthcare websites if they first demonstrate positive attitudes towards this act, along with having adequate social support/pressure from their social circle. To further understand youth sexual intentions here in Malaysia, Muhammad et al. (2017) developed a survey through the means of a questionnaire to measure youth sexual intention towards SRH behaviours; the

questions were crafted based on previous literature, input from experts in the SRH industry and opinions of youth. The finalised version of the questions had 20 items namely to gauge attitude towards sexual activities, subjective norms, and sexual intention. The survey was aptly titled the Youth Sexual Intention Questionnaire (YSI-Q). Each item in the YSI-Q was measured via a 4-point Likert scale of level of agreement from 1 (strongly disagree) to 4 (strongly agree), items that were closer to the value 4 indicated positive outcomes on attitude, subjective norms, and sexual intention respectively. Abdullah et al. (2020) used the YSI-Q to explore factors that predicted intention to take part in premarital sex amongst 466 local secondary schools among students (18 - 19 years old) in the peninsular state of Kuantan. The instruments and measuring scales on sexual intention were similar to the work created by Muhammad et al. (2017), the only addition was a self-administered questionnaire on socio-demographic profiles that had aspects of age, gender, race, religion, parent's education levels, total household income (monthly) and dating status. Results showed that gender was a significant factor in predicting sexual intention towards premarital sex, especially among male students. Abdullah et al. (2020) explained that this outcome was most likely related to the norms in Malaysia where males, in general, were less stigmatised while the fairer sex tended to get the blame for unwanted SRH consequences such as unplanned pregnancies or STIs. Therefore based on the aforementioned points, the following can be predicted:

H3: Attitude and subjective norms significantly predict youth intention to use healthcare websites as a source of SRH information.

METHODS

Sample Selection

The Klang Valley is one of the most industrialised regions in Malaysia with an established Internet structure (Krimi et al., 2010; Perumal et al., 2018), it consists of the highest number of Internet users in Malaysia (Alam et al., 2009; Haque et al., 2007; Rycker et al., 2017). According to the Internet Users Survey by the Malaysian Communications and Multimedia Commission (MCMC, 2018), about 70 percent of active Internet users were from urban regions in Malaysia, such as the Klang Valley, in addition, a majority of these users were in their 20's (30%) and 30's (25.9%) (Below 20 - 8.1%, 40's -17.9%, 50's -11.6% and 60 & above, 6.5%).

Some popular online activities of Internet users include searching for information and reading articles/journals/publications (MCMC, 2018). Therefore, as this study seeks to understand youth behaviour in seeking SRH information via healthcare websites, the target population for this study is Malaysian youth between the ages of 18 – 40 years old residing in the Klang Valley region. These key features are set as the inclusion criteria of the study. As the population for this study is large and well over 100,000 people (Department of Statistics Malaysia, 2018), Krejcie and Morgan (1970) stated that the sample size

for this study should be 384 respondents, this figure is rounded up to include 400 respondents.

Sampling and Data Collection Procedures

Data was collected using a self-administered questionnaire through convenience sampling where the sampling frame was homogenous in nature as the sample was controlled for age (18 – 40 years old) and location (Klang Valley Area). Most of the respondents comprised of public and private university students (undergraduate and postgraduate) and working youth.

Upon receiving the questionnaire, the respondents were given a short brief of the study (purpose and objectives) on the cover page of the questionnaire and they were informed that participation is on a voluntary basis and all answers are confidential. It takes about 10 to 15 minutes to complete the questionnaire after which the respondents returned their questionnaire personally to the researcher. Respondents completed their questionnaires promptly without any issues and answered all questions so no follow-up questionnaires were made. The data collection process ended when an adequate number of respondents (N = 400) was achieved.

A total of 400 youth aged 18-40 years old, with a mean age of 24.18 (SD=4.51) were included in this study. The majority of the respondents of this study were made up of Indians (41.8%) and Chinese (39.0%) ethnicity followed by those of the Malay ethnicity (12.0%). A detailed explanation

of the respondent's demographic profiles is tabulated in Table 1.

Research Instruments

The data collection procedure for this study was done through a survey via a questionnaire. The first section of the questionnaire – Section A: Profile of Respondents – comprised relevant information regarding the respondents' demographics: gender, age, race, religion, and current education level. The last two questions in this section were the average number of hours spent on the Internet per

Table 1
Profile of respondents

Demographic	Frequency	%
Gender		
Male	143	35.8
Female	247	64.3
Age		
18 - 23	209	52.3
24 - 29	143	35.8
30 - 35	37	9.3
>35	11	2.8
Race		
Malay	48	12.0
Chinese	156	39.0
Indian	167	41.8
Others	29	7.3
Religion		
Islam	51	12.8
Buddhist	85	21.3
Christian	155	38.8
Hindu	79	19.8
Others	30	7.5
Education Level		
STPM / Diploma / Advanced Diploma/ Pre-U	123	30.8
Bachelor's Degree	237	59.3
Post-graduate	40	10.0
On average, how many hours per day do you spend on the Internet?		
Less than 3 hours	57	14.3
4 – 6 hours	172	43.0
7 – 9 hours	87	21.8
More than 9 hours	84	21.0
Which is your most preferred source of information about reproductive health? (Pick ONE)	e	
Parents	10	2.5
Newspapers/Magazines	8	2.0
Friends	10	2.5
Internet	260	65.0
TV/Radio	1	0.3
Healthcare providers (Doctors, nurses)	111	27.8

day and the most preferred medium to receive reproductive health information

Moving on to Section B: Attitude towards Healthcare Websites to find SRH Information. Followed by Section C: Subjective Norms towards Healthcare Websites to find SRH Information. Finally, Section D: Intention of using healthcare websites to find reproductive health information. These variables were measured following a level of agreement 5-point Likert Scale (1 – "Strongly Disagree" to 5 – "Strongly Agree").

Attitude. The scale to measure this attitude was inspired by the TRA survey construction guidelines (Fishbein & Ajzen, 2010). Items for this section were adapted from the work of Ajzen (2013), Godin et al. (1991), and Tabaac (2016) which included questions such as "I feel that healthcare websites are useful when it comes to finding SRH information", "I prefer using websites over traditional media (television, radio, newspapers) to find reproductive health information", and "I feel relieved when healthcare websites remove my need to consult a doctor for minor reproductive health illnesses".

Subjective Norms. The scale to measure subjective norms follows the TRA survey construction guidelines (Fishbein & Ajzen, 2010). Questions in this section were divided into two types of norms: injunctive (e.g. most people around me think that I should perform this behaviour) and descriptive (e.g. most people around me

perform this behaviour) and were adapted from Ajzen (2013), Randolph et al. (2009), and Tabaac (2016). Examples include "My partner (boyfriend, girlfriend, husband, wife or significant other) would encourage me to use healthcare websites to find SRH information", "I will use healthcare websites to find SRH information if my personal doctor suggests that I should do so", and "Using healthcare websites to find reproductive health information is completely acceptable by my close friends".

Intention. The scale to measure intention was adapted from the TRA survey construction guidelines (Fishbein & Ajzen, 2010). Questions were adapted from Ajzen (2013), Randolph et al. (2009), Sheeran (2002), and Tabaac (2016). Every item here was crafted in terms of intention to perform a specific behaviour and included verbs such as plan, aim, intend, and so on. For instance, "I intend to use healthcare websites in the future to gain knowledge on reproductive health before engaging in sexual activities", "I plan to spend more time on healthcare websites in the future to find information on contraception (e.g. condoms, and birth control pills)", and "I aim to use healthcare websites in the future to update myself on new reproductive health information".

Reliability Analysis

The questionnaire underwent a pilot study and was pre-tested by 50 college/university students from Universiti Putra Malaysia and a few private universities in the Klang Valley area. Respondents were chosen

based on the characteristics that were set in the study's inclusion criteria. After collecting all the results from the pilot study, a reliability test took place via the Statistical Package for Social Sciences (SPSS) 22.0. The Cronbach's alpha values for all the variables in the survey instrument recorded a good to excellent (more than 0.8) internal consistency score. Table 2 shows a breakdown of Cronbach's alpha values according to the research instruments.

Table 2 Reliability analysis of the study's instruments

Variables	Number of Items	α
Attitude	9	.869
Subjective Norms	11	.940
Intention	10	.954

Data Analysis

All the data obtained was analysed using SPSS 22.0. Two bivariate correlation analyses were carried out to test the strength and direction of the relationship between the study's independent variables (attitude and subjective norms) and dependent variable (intention). After enquiring the strength and direction among the variables, a regression analysis was employed to evaluate the predictive power of the independent variables on the dependent variable.

RESULTS AND DISCUSSION

Hypothesis Testing

Table 3 shows the correlation analyses summary between the relationships of attitude – intention and subjective norms – intention. Based on the table, there was

a significant positive relationship between youth attitude and intention to use healthcare websites as a source of SRH information. The results for yielded, r(400)=.64, p<.001, indicating a moderate, positive correlation between attitude and intention; an increase in attitude was associated with an increase in youth intention to use healthcare websites as a source of SRH information. In addition, there was also a significant positive relationship between youth subjective norms and intention to use healthcare websites as a source of SRH information. The results yielded, r(400)=.66, p<.001, indicating a moderate, positive correlation between subjective norms and intention; an increase in subjective norms was associated with an increase in youth intention to use healthcare websites as a source of reproductive health information. Hence, both H1 and H2 were supported.

Table 3

Zero-Order correlations analysis summary

Measure	1	2
1. Attitude	_	
2. Subjective Norms	.67***	_
3. Intention	.64***	.66***

Note. ***p<.001

Table 4 shows the regression analysis summary of attitude and subjective norms as predictors of intention. Based on the table, the two predictors explained 50.4% of the variance in intention [R^2 =.50, F(2, 397) = 201.57, p<.001). It was found that attitude (β =.36, p<.001) and subjective norms (β =.41, p<.001) significantly predicted youth intention to use healthcare websites

as a source of SRH information. Although the difference in the coefficient values is minimal, it appears that subjective norms are a stronger predictor of intention compared to attitude. H3 was supported.

Table 4
Regression Model summary: Attitude and subjective norms as predictors of intention

Variables	В	SE B	β
Attitude	.41	.05	.36***
Subjective Norms	.43	.05	.41***

Note: R^2 =.50. ***p<.001

Relationship between Attitude and Intention

Using the TRA as a guide, this study sought to investigate the factors that influenced youth intention in using new media to seek SRH information. The attitude – intention relationship revealed that youth who have positive (favourable) attitudes towards using healthcare websites to find SRH information are likely to have a high intention to do so (Mittler et al., 2012; Muhammad et al., 2017).

From a Malaysian point-of-view, the Internet provides a worry-free, private and confidential pathway for young people to access this important information as such topics are still considered inappropriate to discuss openly in a public space, especially in Asian societies (Khawaja et al., 2017; Woog et al., 2015). A positive attitude towards accessing and accepting reproductive health information through Internet-based interventions is key for enhancing proper SRH practices among youth (Farid et al., 2018; Muhammad et al., 2017).

Relationship between Subjective Norms and Intention

In Malaysia, apart from new media, peers and romantic partners are considered as one of the main sources of SRH information for youth. They often share or discuss their findings with their peers via face-to-face and/or virtual communication (Ismail & Hamid, 2016; Low, 2009). As talking about sex often carries a negative connotation, it is no surprise that youth are more comfortable with peers of the same age/experience when discussing sexually-related matters. However, relying on peers for information may be detrimental, this is especially worrisome when friends get involved with each other in romantic relationships (Manaf et al., 2014).

Wong (2012) mentioned that there were instances where youth disregarded the importance of contraception during sexual activities as they trusted their partner, clearly showing a lack of SRH awareness (Awang et al., 2014; Mustapa et al., 2015). This is in stark contrast to youth who were influenced by authoritative figures from the medical field as they were willing to change their risk-taking behaviours and instil safer practices in their sexual lives (Breuner & Mattson, 2016; Donoghue et al., 2017; Sanci et al., 2015).

Attitude and Subjective Norms as predictors of Intention

Generally, studies using the TRA as a guide found that a stronger intention – behaviour relationship was formed when intention was based on attitudes as opposed to subjective norms (Ajzen & Fishbein, 1980; Sheeran et al., 1999), but these studies looked at individual behaviour, where active participation of significant others was not a major contributing factor to behaviour (Ross & McLaws, 1992). In studies pertaining to SRH, especially in measuring intention of using contraceptives, subjective norms played a more important role as social pressure from sexual partners can influence an individual's sexual habits (Dippel et al., 2017; Sanci et al., 2015; Widman et al., 2014).

In an Asian context, cultural values influence people's decision-making process, which ultimately affects behavioural intentions (Ohbuchi et al., 1999). For instance, the collectivist culture in Malaysia meant that the sexual experiences of young women were bounded by social norms in a bid to avoid public shaming and stigma (Khalaf et al., 2018). In some cases, young women even agreed to engage in sexual relations with their partners to prove their loyalty and sustain a long-term relationship, even if it meant not using any form of contraception (Reddy & Dunne, 2007). The collectivist culture places importance on relationships, roles, and status within the community (Guess, 2004), which mirrors the role of subjective norms in this study where the opinions of others weigh in on one's formation of SRH intentions.

CONCLUSION

This research aimed to examine the factors that predict youth intention in using healthcare websites to seek SRH information.

Youth who have a positive (favourable) attitude towards using healthcare websites to find SRH information are likely to have a high intention to do so. In addition, social support/pressure also influences youth intention to use healthcare websites to find SRH information. One crucial finding in the context of this study is how subjective norms are a stronger predictor of intention compared to attitude in terms of being an influential factor for Malaysian youth in their quest to equip themselves with SRH knowledge. This finding here can add a new dimension to how the TRA framework is utilised, especially in studies revolving around Asian youth intentions and behaviours when it comes to SRH scenarios.

The TRA variables attitude and subjective norms were used as a guide to understand the formation of intention development in this study. The findings confirmed the main assumption of the theory where attitude and norms have a linear relationship with intention (Ajzen & Fishbein, 1980; Fishbein & Ajzen, 1975; Tabachnick & Fidell, 2007). This study linked both communication and health behaviours to examine youth SRH information-seeking intentions. This is imperative in improving e-health literacy levels among young people (Mohamad et al., 2020; Shakir et al., 2019). Furthermore, the TRA showed its reliability as a viable model to predict health intention outcomes, it warrants more use to fully understand youth SRH intentions in Malaysia.

Implications, Limitations, and Recommendations

The findings of this study have a number of important implications for future research in understanding the intention of youth in using healthcare websites to access reproductive health information, especially with SRH issues among young Malaysians increasing over the past years.

From a theoretical point of view, the findings suggest that the TRA framework may be useful in explaining youth attitude/ behaviour in health communication and information-seeking studies in a Malaysian context as this theory is rarely used in this manner here. When testing the strengths of linear relationships between the TRA variables, it was found that subjective norms had a slightly bigger impact on intention than attitude, this shows the influence of social pressure from an individual's social circle when it comes to making SRH decisions.

From a practical standpoint, the findings here showed how the Internet is the go-to medium for youth who intend to seek SRH information. Healthcare website regulators who are tasked with creating and delivering such information to young Malaysians could work together with NGOs such as FRHAM (Federation of Reproductive Health Associations Malaysia), ARROW (Asian-Pacific Resource & Research Centre for Women), and MAC (Malaysian AIDS Council) and leverage on new media to provide SRH content and support that is credible, easily accessible and free/

affordable. These organisations have spearheaded online SRH efforts by offering information, guidelines, and services to those in need. However, the effectiveness of these efforts in influencing youth behaviour towards better SRH practices is largely unknown even though it has many benefits.

New media has the potential to revolutionise health education more effectively and efficiently compared to current traditional methods by engaging with large and diverse populations, providing relevant and personalised information to users, facilitating real-time feedback from health experts through online live chat services, and so on. One great example moving forward is the MyHEALTH portal by the Ministry of Health (MOH) which has gained traction over the years for providing quality healthcare information and services. Adequate utilisation of web-based health information services would greatly increase youth health literacy levels if it is widely used and adopted into their lifestyles. This paves the way for young people to become active health consumers.

Despite its findings, every study has its flaws, this one is no different. Firstly, one of the main limitations of this study is that the data is limited to youth in the Klang Valley; hence, the data that was collected was skewed to this group of people from the same area. In addition, the sample size (N=400) was rather small to make a significant conclusion of the general population, the results would yield new and additional information if the number

of respondents was increased to include youth from other states in Malaysia as well. Future research may also extend to younger individuals such as school students as they are also tech-savvy in today's modern world.

Moving on, as the study uses a convenience sample, the findings of this study may not represent all quarters of the population. Although the measures used in this study did well with the selected sample due to its homogeneity, repeating the process with different population samples is necessary to examine the generalisability of the research outcomes.

Lastly, there are other variables that contribute to the rise of eHealth literacy among youth that could also be tested such as the emergence of social media and how healthcare experts are turning to Facebook, Instagram, and Twitter to disseminate factual and credible information to their many followers.

This study hopes to provide a strong incentive for more research to understand Malaysian youth SRH behaviours and their health literacy levels to aid the formation of necessary policies and programmes. It is important for government bodies, education institutions, media outlets, NGOs, and other relevant parties to work together and realise that there must be a change in the conventional methods currently used to tackle the SRH issues faced by our youth.

ACKNOWLEDGEMENT

We are grateful to Professor Ezhar Tamam for his counsel and encouragement.

REFERENCES

- Abdullah, F. I., Rahman, N. A. A., Muhammad, N. A., Zainuddin, N. A., & Samsudin, S. (2020). Association between social-cognitive factors and intention towards sexual activity among schoolgoing late adolescents in Kuantan, Malaysia. *International Journal of Adolescence and Youth*, 25(1), 1-9. https://doi.org/10.1080/02673843.20 20.1828111
- Alagrisamy, R., & Arokiasamy, L. (2019). A study on young female adults' intention and adoption of emergency contraceptive pill in rural Malaysia. Global Business and Management Research: An International Journal, 11(1), 505-516.
- Alam, S. S., Musa, R., & Hassan, F. (2009). Corporate customers' adoption of internet banking: Case of Klang Valley business firm in Malaysia. *International Journal of Business and Management*, 4(4), 13-21. https://doi.org/10.5539/ijbm.v4n4p13
- Ajzen, I., & Fishbein, M. (1980). *Understanding* attitudes and predicting social behavior. Prentice Hall.
- Ajzen, I. (2013). Theory of planned behavior questionnaire. Measure Instrument Database for the Social Science. http://www.midss.org/sites/default/files/tpb.construction.pdf
- Albarracín, D., Fishbein, M., Johnson, B. T., & Muellerleile, P. A. (2001). Theories of reasoned action and planned behavior as models of condom use: A meta-analysis. *Psychological Bulletin*, 127(1), 142-161. https://doi.org/10.1037/0033-2909.127.1.142
- Awang, H., Wong, L. P., Jani, R., & Low, W. Y. (2014). Knowledge of sexually transmitted diseases and sexual behaviours among Malaysian male youths. *Journal of Biosocial Science*, 46(2), 214-224. https://doi.org/10.1017/s0021932013000114
- Ayub, S. H., Hamzah, M. R., Azmy, S. N. S., Omar, W. A. W., Abdullah, N. H., Wahab, Z., & Salim, H. (2017). Sexual health communication

- among youth: A study of knowledge and attitude. *Malaysian Journal of Communication*, 33(4), 234-248. https://doi.org/10.17576/jkmjc-2017-3304-15
- Bleakley, A., Khurana, A., Hennessy, M., & Ellithorpe, M. (2018). How patterns of learning about sexual information among adolescents are related to sexual behaviors. *Perspectives on Sexual and Reproductive Health*, 50(1), 15-23_https://doi.org/10.1363/psrh.12053
- Breuner, C. C., & Mattson, G. (2016). Sexuality education for children and adolescents. *Pediatrics*, 138(2), 1-11. https://doi.org/10.1542/peds.2016-1348
- Bryan, A., Fisher, J. D., & Fisher, W. A. (2002). Tests of the mediational role of preparatory safer sexual behavior in the context of the theory of planned behavior. *Health Psychology*, 21(1), 71-80. https://doi.org/10.1037/0278-6133.21.1.71
- Cheah, Y. K., Lim, H. K., Kee, C. C., & Ghazali, S. M. (2016). Factors associated with underage sex in Malaysia: A secondary data analysis of Malaysia Global School-Based Student Health Survey 2012. *Journal of Population and Social Studies*, 26(4), 305-320. https://doi.org/10.25133/JPSSv26n4.021
- Centers for Disease Control and Prevention. (2018). How CDC prepares healthy youth for successful futures. https://www.cdc.gov/healthyyouth/about/pdf/DASH Snapshot.508.pdf
- Conner, M., Mceachan, R., Lawton, R., & Gardner, P. (2017). Applying the reasoned action approach to understanding health protection and health risk behaviors. *Social Science & Medicine*, 195, 140-148. https://doi.org/10.1016/j. socscimed.2017.10.022
- Crook, B., Stephens, K. K., Pastorek, A. E., Mackert, M., & Donovan, E. E. (2016). Sharing health information and influencing behavioral intentions: The role of health literacy, information overload, and the internet in the

- diffusion of healthy heart information. *Health Communication*, 31(1), 60-71. https://doi.org/10.1080/10410236.2014.936336
- Delany-Moretlwe, S., Cowan, F. M., Busza, J., Bolton-Moore, C., Kelley, K., & Fairlie, L. (2015). Adolescent sexual and reproductive health: The global challenges. *Journal of the International AIDS Society*, 18(2), 29-40. https:// doi.org/10.7448/IAS.18.2.19833
- Department of Statistics Malaysia. (2018). *Population* by age. http://pqi.stats.gov.my/result.php?token= 14dec6447b3c1bb0f570c2b6a3ddab76
- Dippel, E. A., Hanson, J. D., McMahon, T. R., Griese, E. R., & Kenyon, D. Y. B. (2017). Applying the theory of reasoned action to understanding teen pregnancy with American Indian communities. *Maternal and Child Health Journal*, 21(7), 1449-1456. https://doi.org/10.1007/s10995-017-2262-7
- Donoghue, C., Bonillas, C., Moreno, J., Cardoza, O., & Cheung, M. (2017). Young people's perceptions of advice about sexual risk taking. *Sex Education*, *17*(1), 73-85. https://doi.org/10. 1080/14681811.2016.1236016
- Fishbein, M., & Ajzen, I. (1975). *Belief, attitude, intention, and behavior: An introduction to theory and research.* Addison-Wesley Pub.
- Fishbein, M., & Ajzen, I. (2010). Predicting and changing behavior: The reasoned action approach. Psychology Press (Taylor & Francis).
- Fisher, W. A., Kohut, T., Salisbury, C. M., & Salvadori, M. I. (2013). Understanding Human Papillomavirus vaccination intentions: Comparative utility of the theory of reasoned action and the theory of planned behavior in vaccine target age women and men. *The Journal of Sexual Medicine*, 10(10), 2455-2464. https://doi.org/10.1111/jsm.1221
- Freberg, K. (2013). Using the theory of planned behavior to predict intention to comply with a food recall message. *Health*

- Communication, 28(4), 359-365. https://doi.org/10.1080/10410236.2012.68865
- Godin, G., Valois, P., Jobin, J., & Ross, A. (1991).
 Prediction of intention to exercise of individuals who have suffered from coronary heart disease.
 Journal of Clinical Psychology, 47(6), 762-772.
 https://doi.org/c9snr6
- Greene, K., Hale, J. L., & Rubin, D. L. (1997).

 A test of the theory of reasoned action in the context of condom use and AIDS.

 Communication Reports, 10(1), 21-33. https://doi.org/10.1080/08934219709367656
- Guess, C. D. (2004). Decision making in individualistic and collectivistic cultures. Online *Readings in Psychology and Culture, 4*(1), 1-18. https://doi.org/10.9707/2307-0919.1032
- Hamzah, S. R., Suandi, T., & Ishak, N. H. (2016).
 Association between health literacy and demographic factors among adolescents in Malaysia. International Conference on Youth (ICYOUTH) 2016, Seri Kembangan, Selangor, Malaysia.
- Haque, A., Mahmud, S., Tarofder A. K., & Ismail, A. (2007). Internet advertisement in Malaysia: A study of attitudinal differences. *The Electronic Journal of Information Systems in Developing Countries*, 31(9), 1-15. https://doi.org/10.1002/j.1681-4835.2007.tb00218.x
- Ismail, K., & Hamid, S. R. A. (2016). Communication about sex-reproductive health issues with adolescents: A taboo among Malaysian parents? European Journal of Social Sciences Education and Research, 6(1), 27-41.
- Jozkowski, K. N., & Geshnizjani, A. (2016). Using a reasoned action approach to examine US college women's intention to get the HPV vaccine. *Health Education Journal*, 75(1), 14-26. https:// doi.org/10.1177/0017896914561100
- Khalaf, F. Z., Liow, J. W., Low, W. Y., Ghorbani, B., & Merghati-Khoei, E. (2018). Young women's experience of sexuality: A battle of pleasure and

- sexual purity in the context of Malaysian society. *Sexuality and Culture, 22*(3), 849-864. https://doi.org/10.1007/s12119-018-9496-4
- Khawaja, Z., Ali, K. I., & Khan, S. (2017). Using Facebook for sexual health social marketing in conservative Asian countries: A systematic examination. *Journal of Health Communication*, 22(2), 111-123. https://doi.org/10.1080/108107 30.2016.1222031
- Krejcie, R. V., & Morgan, D. W. (1970). Determining sample size for research activities. *Educational* and *Psychological Measurement*, 30(3), 607-610.
- Krimi, M., S., Yusop, Z., & Law, S., H. (2010). Regional development disparities in Malaysia. *Journal of American Science*, 6(3), 70-78.
- Lee, R. L., & Kotler, P. (2016). Social marketing: Changing behaviours for good (5th ed.). Sage.
- Lim, H. M. (2015). Country profile on universal access to sexual and reproductive health: Malaysia. Federation of Reproductive Health Association Malaysia (FRHAM). https://doi.org/10.1080/0144287012000277507
- Low, W. Y. (2009). Malaysian youth sexuality: Issues and challenges. *Journal of Health and Translational Medicine*, 12(1), 3-14. https://doi.org/10.22452/jummec.vol12no1.2
- Manaf, M. R. A., Tahir, M. M., Sidi, H., Midin, M., Jaafar, N. R. N., Das, S., & Malek, A. M. A. (2014). Pre-marital sex and its predicting factors among Malaysian youths. *Comprehensive Psychiatry*, 55(SUPPL.1), S82-S88. https://doi. org/10.1016/j.comppsych.2013.03.008
- Manimaran, K. K., Vikneswaran, S., Ng, S. Y., Aisah, M. S., & Chiew, W. L. (2017). Sexual and reproductive health implementation in Malaysia. *International Journal of Public Health and Clinical Sciences* 4(6), 12-21.
- Manstead, A. S. R. (2011). The benefits of a critical stance: A reflection on past papers on the

- theories of reasoned action and planned behavior. *British Journal of Social Psychology*, 50(3), 366-373. https://doi.org/10.1111/j.2044-8309.2011.02043.x
- Malaysian Communications and Multimedia Commission. (2018). *Internet users survey 2018*. https://www.mcmc.gov.my/skmmgovmy/media/ General/pdf/Internet-Users-Survey-2018.pdf
- Mohamad, E. M. W., Kaundan, M. K., Hamzah, M. R., Azlan, A. A., Ayub, S. H., Tham, J. S., & Ahmad, A. L. (2020). Establishing the HLS-M-Q18 short version of the European health literacy survey questionnaire for the Malaysian context. BMC Public Health, 20(580), 1-7. https://doi. org/10.1186/s12889-020-08704-7
- Mokhtar, M. M., Rosenthal, D. A., Hocking, J. S., & Satar, N. A. (2013). Bridging the gap: Malaysian youths and the pedagogy of school-based sexual health education. *Procedia Social and Behavioral Sciences*, 85, 236-245. https://doi.org/10.1016/j.sbspro.2013.08.355
- Montano, D. E., & Kasprzyk, D. (2008). Theory of reasoned action, theory of planned behavior, and the integrated behavioral model. In K. Glanz,
 B. K. Reimer, & F. M. Lewis (Eds.), *Health behavior and health education: Theory, research, and practice* (4th ed., pp. 67-96). Jossey-Bass.
- Muhammad, N. A., Shamsuddin, K., Amin, R. M., Omar, K., & Thurasamy, R. (2017). Questionnaire development and validity to measure sexual intention among youth in Malaysia. *BMC Public Health*, 17(1), 1-11. https://doi.org/10.1186/s12889-016-3949-1
- Mittler, J. N., Volmar, K. M., Shaw, B. W. Christianson, J. B., & Scanlon, D. P. (2012). Using websites to engage consumers in managing their health and healthcare. *The American Journal of Managed Care*, 18(6), 177-184.
- Müller, P., & Schulz, A. (2019). Facebook or Fakebook? How users' perceptions of 'fake

- news' are related to their evaluation and verification of news on Facebook. *Studies in Communication and Media*, 8(4), 547-559. https://doi.org/10.5771/2192-4007-2019-4-547
- Mustapa, M. C., Ismail, K. H., Mohamad, M. S., & Ibrahim, F. (2015). Knowledge on sexuality and reproductive health of Malaysian adolescents A short review. *Procedia Social and Behavioral Sciences*, 211, 221-225. https://doi.org/10.1016/j. sbspro.2015.11.088
- Farid. N. D. N., Arshad, M. F. M., Yakub, N. A., Zaki, R. A., Muhamad, H., Aziz, N. A., & Dahlui, M. (2018). Improving Malaysian adolescent sexual and reproductive health: An Intenet-based health promotion programme as a potential intervention. *Health Education Journal*, 77(7), 837-848. https://doi.org/10.1177/0017896918778071x
- Ohbuchi, K. I., Fukushima, O., & Tedeschi, J. T. (1999). Cultural values in conflict management: Goal orientation, goal attainment, and tactical decision. *Journal of Cross-Cultural Psychology*, 30(1), 51-71. https://doi.org/10.1177/0022022199030001003
- Pecchioni, L. L., & Sparks, L. (2007). Health information sources of individuals with cancer and their family members. *Health Communication*, 21(2), 143-151. https://doi.org/10.1080/10410230701307162
- Perumal, I., Abdullah, A., Supramaniam, M., Subramaniam, M., Sinniah, S., & Perumal, G. (2018). Determinants of online purchasing intention of household appliance among Malaysians in Klang Valley. *International Journal of Computer Science and Network Security*, 18(12), 211-220.
- Randolph, M. E., Pinkerton, S. D., Somlai, A. M., Kelly, J. A., Mcauliffe, T. L., Gibson, R. H., & Hackl, K. (2009). Seriously mentally ill women's safer sex behaviors and the theory of reasoned action. *Health Education & Behavior*, 36(5), 948-958. https://doi.org/10.1177/1090198108324597

- Reddy, S., & Dunne, M. (2007). Risking it: Young heterosexual femininities in South African context of HIV/AIDS. Sexualities, 10(2), 159-172. https://doi.org/10.1177/1363460707075797
- Rise, J. (1992). An empirical study of the decision to use condoms among Norwegian adolescents using the theory of reasoned action. *Journal of Community & Applied Social Psychology*, 2(3), 185-197. https://doi.org/10.1002/casp.2450020303
- Ross, M. W., & Mclaws, M. L. (1992). Subjective norms s about condoms are better predictors of use and intention to use than attitudes. *Health Education Research*, *7*(3), 335-339. https://doi.org/10.1093/her/7.3.335
- Rycker, A. D., Yang, L. F., Lee, C. E., & Ponnan, R. (2017). Internet use among urban Malaysians: Network diversity effects. SHS Web of Conferences, 33, 1-7. https://doi.org/10.1051/ shsconf/20173300066
- Sanci, L., Chondros, P., Sawyer, S., Pirkis, J., Ozer, E., Hegarty, K., Yang, F., Grabsch, B., Shiell, A., Cahill, H., Ambresin, A.-E., Patterson, E., & Patton, G. (2015). Responding to young people's health risks in primary care: A cluster randomised trial of training clinicians in screening and motivational interviewing. *PLOS ONE*, *10*(9), e0137581. https://doi.org/10.1371/journal.pone.0137581
- Shakir, S. M. M., Wong, L. P., Abdullah, K. L., & Adam, P. (2019). Factors associated with online sexually transmissible infection information seeking among young people in Malaysia: An observational study. *Sexual Health*, 16(2), 158-171. https://doi.org/10.1071/SH17198
- Sheeran, P., Norman, P., & Orbell, S. (1999). Evidence that intentions based on attitudes better predict behaviour than intentions based on subjective norms. *European Journal of Social Psychology*, 29(23), 403-406. https://doi.org/10.1002/

- (SICI)1099-0992(199903/05)29:2/3<403::AID-EJSP942>3.0.CO;2-A
- Sheeran, P. (2002). Intention-behavior relations: A conceptual and empirical review. *European Review of Social Psychology, 12*(1), 1-36. https://doi.org/10.1080/14792772143000003
- Tabaac, A. R. (2016). Gender and sexual health: Applying gender role theory to men and women's intention to engage in sexual health information seeking behaviors (Master's thesis), Virginia Commonwealth University. http://scholarscompass.vcu.edu/etd/4119/
- Tabachnick, B. G., & Fidell, L. S. (2007). *Using multivariate statistics* (5th ed.). Allyn & Bacon/Pearson Education.
- Ujang, F., & Sutan, R. (2018). The effects of short health messages intervention in improving knowledge and attitude on sexual and reproductive health among late adolescents at colleges in Malaysia. *Open Journal of Preventive Medicine*, 8(8), 207-228. https://doi.org/10.4236/ojpm.2018.88019
- Vanlandingham, M. J., Suprasert, S., Grandjean, N., & Sittitrai, W. (2014). Two views of risky sexual practices among Northern Thai males: The health belief model and the theory of reasoned action. *Journal of Health and Social Behavior, 36*(2), 195-212.
- Widman, L., Choukas-Bradley, S., Helms, S. W., Golin, C. E., & Prinstein, M. J. (2014). Sexual communication between early adolescents and their dating partners, parents, and best friends. *Journal of Sex Research*, 51(7), 731-741. https://doi.org/10.1080/00224499.2013.843148
- Widman, L., Choukas-Bradley, S., Noar, S. M., Nesi, J., & Garrett, K. (2016). Parent-adolescent sexual communication and adolescent safer sex behavior: A meta-analysis. *JAMA Pediatrics*, 170(1), 52-61. https://doi.org/110.1016/j. bbi.2017.04.008

- Wong, L. P. (2012). An exploration of knowledge, attitudes and behaviours of young multiethnic Muslim-majority society in Malaysia in relation to reproductive and premarital sexual practices. *BMC Public Health*, 12, 865. https://doi.org/10.1186/1471-2458-12-865
- Woog, V., Singh, S., Browne, A., & Philbin, J. (2015).

 Adolescent women's need for and use of sexual and reproductive health services in developing.

 Guttmacher Institute. https://www.guttmacher.org/sites/default/files/report_pdf/adolescent-srhs-need-developing-countries.pdf



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Authenticity in Reality Television—The Case of 'Sing! China'

Yuting Xie¹, Megat Al Imran Yasin^{1*}, Syed Agil Shekh Alsagoff¹ and Lay Hoon Ang²

- ¹Department of Communication, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia
- ²Department of Foreign Languages, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

ABSTRACT

The issue of onscreen authenticity has become a controversial topic among the public, especially in the Information Era. The reality television phenomenon is global; therefore, it is worth studying the topic of authenticity in reality television in a particular context. We analysed authenticity in reality television through the programme *'Sing! China'*, focusing on which authenticity issues were present and how these issues were depicted. The chosen methodology combined relevant literature and a case study, and the discussion about authenticity in the programme was studied through online audience discourse such as their communications and interactions. The research showed that authenticity in reality television was a type of mediated authenticity by directors. It mainly manifested in two ways: performing authenticity and fabricated authenticity, from the perspective of the performance of participants and the production of programmes respectively. The findings indicated that authenticity in reality television does not fully reflect the truth. This study can not only help us explore manifestations of the truth on the screen, but can also aid in the future development of reality television programmes.

Keywords: Audience, authenticity, media, reality television, 'Sing! China'

ARTICLE INFO

Article history:

Received: 25 January 2020 Accepted: 21 October 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.29

E-mail addresses:
shirley_xieyt@hotmail.com (Yuting Xie)
megat@upm.edu.my (Megat Al Imran Bin Yasin)
s_agil@upm.edu.my (Syed Agil Bin Shekh Alsagoff)
hlang@upm.edu.my (Lay Hoon Ang)

* Corresponding author

INTRODUCTION

General Issue

Reality television programmes represent a hybridised form of a documentary that is regarded as 'the creative treatment of actuality' (Kerrigan & McIntyre, 2010) or a hybrid project (Kosciesza, 2020) that exhibits characteristics of a documentary.

But reality television distinguishes itself from the documentary genre by its focus on dramatization, emotional effect, and spectacle. As a highly popular genre and a part of entertainment culture, it is characterized by the seemingly improvised and unscripted presentation of real-life situations (Brandt, 2020). It has value as a cultural phenomenon in the sense that it is part of society and media (Hill, 2020). It also incorporates some elements of realism and is produced as a result of demand for commercialism and ratings in the media industry. As a subgenre of reality television, singing competition reality shows have gradually come to dominate reality programmes on television networks around the world, and the mainland Chinese TV programme market is no exception (Xu & Guo, 2018). As part of the increasingly globalised culture, these shows have gained popularity in 21st century China (Berg, 2011). Singing competitions now draw massive Chinese audiences (Barton, 2013; Zhao, 2014).

However, there have been increasingly controversial issues surrounding these programmes, particularly regarding their authenticity. In the production of TV programmes, authenticity issues are controlled to an extent by producers in terms of arranging the sequence of editing and the dialogue of the programme. As such, the issue of realism was the general problem of this study that focused on one of China's major singing competition reality shows: 'Sing! China'. Premiering on Zhejiang Satellite Television, this programme is

widely viewed and has attracted a large audience. Retaining the pattern of the original programme ('The Voice of Holland'), the programme has several obvious features that hint at authenticity issues. First, there is only one standard for all contestants: their sound. Contestants are selected through a process of 'listening blindly' (coaches listen with their backs turned to the stage where contestants perform, ensuring that they make decisions based on contestants' voices alone rather than their appearance). Second, a 'double selection' occurs between coaches and players (contestants are also decision-makers since they can choose their tutor).

By relying on its characteristic style and patterns, the programme generates favourable comments and some disputes related to authenticity and mendacity. For instance, there were debates recently about the performance of programme participants and the production of the programme. To gain insight into the presentation of authenticity in reality television, instead of exploring whether reality television shows generally displayed on the screen are true or false, this study attempted to discover which kind of authenticity existed in it and how such authenticity issues are presented. We not only analysed the content discussed by audiences regarding authenticity controversy, but also concentrated on how audiences expressed themselves, their attitudes, and social participation during this entire process.

Additionally, this programme is a type of competition on the screen, just like a normal competition, which means that it is necessary to guarantee fairness, openness and justice. From this point, the meaning of authenticity in a reality competition show is essential, for equality of match in particular. Moreover, participants in this programme are based on ordinary people, which creates opportunities for the public to display themselves or even become famous. Some of the audience may be eager to become famous or to witness others' success by participating in such shows (Xu & Guo, 2018). Therefore, if there is some unreal content in the programme (involving contestants' identity or their relationship with tutors and directors), this will lead to unbalanced thoughts in the viewer that make them question competition's salient features of 'listening blindly' and 'double selection'. Hence, compared to other types of reality shows, such competitions give audiences a stronger desire to pursue actuality. This issue was also one of the pivotal points of controversy in the research.

Authenticity in Reality-TV

There is a certain relationship between authenticity and the media. The significance of authenticity is visible when people look at discussions within audiences. Through social media platforms, audiences engage in debate, questioning what is authentic and what is staged in the programme.

Authenticity is a defining characteristic of reality television (Hill, 2007). Reality programmes provide audiences with the promise of real events and experiences through a range of approaches and different modes of production common to television

broadcasting practices. Therefore, when discussing actuality in media, spectators usually consider reality programmes to be authentic and closest to the 'real' (Aslama & Pantti, 2012). Bauwel (2012) also argued that a claim of authenticity was essential for a reality programme to convey a semblance of realness to audiences. From this point, many elements should thus be authentic relatively, including the people who appear on the programmes.

Authenticity signifies the truth in media and regard authenticity as a necessary element or a duty for reality television. Actually, with the constant development of the media industry, people are viewing these issues in a new light. Nyre (2016) suggested that authenticity had numerous meanings related to media and presented various interrelated problems, including (in)authenticity of sources, messages, and our perception of the world through media. He discussed the concept of 'mediated authenticity', as defined by Enli (2015), which was regarded as the result of a paradoxical process wherein the negotiation between producers and audiences was essential to the success of the communication. Namely, authenticity (as delivered to audiences through media) is a social construction achieved on the one hand through an interplay between audiences' expectations and preconceptions about what determines a sense of authenticity, and on the other hand media producers' success in conveying content congruent with these notions. Therefore, mediated authenticity relies on the successful implementation of "authenticity illusions" (Holt, 2016, p. 131), which requires a certain negotiated balance between producers and media audiences.

Reality television makes a unique promise of engagement with reality while simultaneously guaranteeing a secure distance (Allen & Hill, 2004). Such a distance implies the existence of untrue elements (relatively) in media, or namely, full authenticity is difficult to achieve in the domain of media. However, the truth is that such problems do not matter because some audiences are aware of the existence of mediated authenticity; therefore, the authenticity issue depends on the degree of audience acceptance. If both producers and audiences understand that authenticity is constructed, the mediated authenticity can be viewed as a consequence negotiated by media producers and audiences. Authenticity arguments concern the presentation of mediated authenticity in reality television, reflecting the connection between authenticity and media, and more importantly, hinting at the primary focus of audiences and the importance of these audiences' participation.

Besides, this research mainly used the auteur theory as fundamental support. Auteur theory is used to describe the scenario when a director's film reflects the director's creative vision as if they were primary 'author'. In terms of this research, the auteur, as the creator of the programme, has creative thoughts that are distinctively reflected through all kinds of studio interference and collective process. An auteur can use camerawork, staging, and

editing to add to their vision, bringing what is shown on television to life and using the programme to express their thoughts and feelings about the subject matter and a world view (Chaudhuri, 2013). The intervention of the creator's subjective mind is inevitable in onscreen artworks. This theory is used to explain the rationality and significance of the director's thoughts in reality television, including the specific presentation. This is also one of the root causes of 'processed' controversial elements shown on the screen. The rationale lies in the existence of mediated authenticity of directors' creation, which combines objective authenticity, subjective authenticity, and artistic authenticity. The importance lies in the fact that it is 'creative treatment of actuality' of director, as the principal source of audiences' fascination that produces the commensurate audiences' interpretation and participation.

Additionally, although some present audiences know that events shown in reality television shows are not necessarily true and have a certain distance from the objective world, some audiences cannot accept this fact it and may judge these elements to be "fake". In reality, these TV programmes represent a sort of mediated authenticity, which is a TV programme form that "makes real records and artistically processes the competitive behaviours carried out following specific rules for the purpose given in advance" (Bu & Chang, 2012, p. 49). Besides, these audiences may be general about the concept of authenticity and not completely classify some elements that are not really "real" on a reality show.

As for the generalisation of this study, as an imported competition reality programmes, the features of this series of programmes are always preserved, regardless of which country's version. Hence, 'Sing! China' has certain reference value for such type of reality television. From a broader perspective, whether it is an imported reality programme or an original reality programme, authenticity issues are always the focus of this type of programme. As the world's cultural exchanges intensify, audiences in different countries can watch TV programmes all over the world. When they watch other programmes, they can discover similar situations from this regional case. Although the case this study chose was special, the main controversy and theme is similar in other cases and may only differ in specific performances. Viewing this, this study fits well into the larger reality television landscape.

As for the significance of the research, this study offered some ideas for television practitioners in related fields, allowing them to properly master the authenticity issue in the process of programme production. Theoretically, the auteur theory (Truffaut, 1954), with qualitative research analysis, broadens the comprehension of relevant knowledge. Although numerous studies have already been conducted on authenticity in reality television, they mainly focused on famous programmes. As many countries have imported original programmes from other countries, this study attempted to analyse this kind of regional reality television in a global context to promote the development and prosperity of television industry in China and overseas.

METHODS

The methodology of this research involved qualitative approach, including online observation and case study.

Online observation involves observing and monitoring the netizens' online behaviour through internet-based communities. It enables the researcher to gather data across perspectives and time as well as in the phenomenon's natural setting (Patton, 2014); hence, it may "reveal implicit problems and offer important insight into and information about informal aspects of interactions and relations" (Nørskov & Rask, 2011, p. 2). This research monitored the two most active Chinese social media platforms - Weibo and Baidu Tieba - that gather different typical audiences towards a certain topic. By observing and recording online audiences' reviews and discussions of the programme, the researcher can understand audiences' attitudes based on their discourse that are as 'connected speech or writing' and the target object (Harris, 1981), in a more detailed and thorough manner. This process also can involve a relatively large scope of objects and thus made the study more comprehensive.

The case study has become a popular choice for evaluations (Yin, 2011). As an empirical enquiry, such a study involves the investigation of a contemporary phenomenon within a real-life context and addresses a situation in which the boundaries between the phenomenon and its context

are not evident (Yin, 1994). The difference between the case study and other qualitative methods is that the former is open to the use of theory or conceptual categories that guide the research and analysis of data (Meyer, 2001). Because this research was based on observation of human behaviour and social phenomena, and case study is a method for understanding behaviour under specific circumstances or specific conditions (Stake, 1995), it was appropriate to implement this type of study in our research. During this process, researchers could focus on the real details of the phenomena that existed in 'Sing! China'.

This research considered authenticity in 'Sing! China' through the evaluation of the comments and discussions by viewers, fans, and other online users. Researchers looked for certain phrases or sentences in online forum expressing audiences' doubts about a specific topic of the programme. By repeatedly watching a series of episodes of this programme and examining audiences' participatory discourse, researchers found more evidence about authenticity issues and analysed them inductively. This research aimed to discover authenticity in media and culture regionally or even globally. To understand the discourse about authenticity in media and cultural phenomena, online participants' linguistic and other discursive choices and patterns in the context of their activities and interactions were analysed.

RESULTS AND DISCUSSION

Authenticity in reality television is still contentious (Allen & Mendick, 2013). It

is related to performance and liveness - how audiences judge 'truth' according to how real people act and how scenes are shown on the screen (Piper, 2006). Within reality television, notions of authenticity sit alongside 'performance' and 'artifice', which implies that this issue should be examined from the perspectives of both programme participants and programme production (Rose & Wood, 2005). Through these two aspects, this study presented an analysis of authenticity in 'Sing! China' based on the audiences' discourse.

What reality television displays is not real because it is not perceived as real by viewers (Nyre, 2016), which is the core debate about authenticity in reality television. In 'Sing! China', audiences are not merely watching programmes for entertainment, but are also engaging in a critical viewing of the attitudes and behaviours of the ordinary people featured in the programmes, and commenting on ideas and practices of programme's producers. Furthermore, it seems that spectators do not unanimously express their uncertainty as to the claims to truth made in or by reality television. This lack of unanimity is the entire point of authenticity debates in reality television among audiences.

Authenticity and Participants' Performance: Performing Authenticity

A paradox of reality television is that the more entertaining the reality programme is, the less authentic it appears to its audience. The more a participant is perceived as performing for the cameras,

the less authentic the programme appears. Thus, performance becomes one of the frameworks for judging a reality show's claim to authenticity (Hill, 2005). A moment of authenticity in a performance is a crucial factor of the "reality" relations between producers, participants, and audiences. An authentic identity or moment can be not only the self-conscious performance of the true self but also the produced or exaggerated identity or moment of authenticity by a knowing participant cast by reality television producers. Such genre had utilized common practices in documentary or drama, to grasp audiences' attention through unusual actions of real people or memorable performances by stars (Hill, 2020). Authenticity issue of performance in 'Sing! China' was mainly analysed through two competitive phases: before singing and during singing. In terms of the dispute's subjects, the controversy mainly happened around contestants, coaches, and their relationship, which involves contestants' identity and the competition's fairness.

Authenticity and Performance before Singing. Performance operates alongside authenticity as a criterion that allows viewers to subjectively respond to creativity within audio-visual representations (Wang, 2016). In 'Sing! China', audiences generally watch a short video on contestants' stories behind the stage. These videos are produced by director and like a personal documentary, which encompasses players' dreams, experiences, along with their precompetition preparation. It presents the

backstage to audiences, which somewhat shows the 'real selves' of contestants from another angle. Nevertheless, it is this feature that generated doubt about the identity and experiences of players because sometimes directors intentionally edited and manipulated contestants' stories for attraction, which ran contrary to the authenticity of their emotional stories.

Onscreen performance of nonprofessional actors, mainly made by show creators, often framed spectators' discussion about the truthfulness of visual evidence in popular factual television. As audiences discussed in 2016 on Weibo:

Stevens: 'Some contestants participated in other singing competition shows before, but they are disguised as ordinary people who come from grassroots. Ding was the runner-up of 'Song' but he concealed this experience and claimed he was a stall-holder in 'Sing! China'...It is not too hard to discover their performance, so I would not believe other stories about contestants in such programmes'.

Following it, 'Yilin' replied: 'I cannot stand that they are not ordinary people and even pretend to be grassroots'.

As Corner (2002, p. 264) assumed, the performance of contestants has given television audiences the opportunity for "thick judgemental and speculative discourse around participants' motives, actions and likely future behaviour". Additionally,

there have been online debates about the exaggeration of the contestants' emotional experiences. One post within fan community of 'Zou Hongyu' in 2012 on Tieba read: 'After watching Zou's documentary, is there anyone who believes he is a farmer?' Under this posting, 'Li' questioned Zou's identity: 'He is not a poor farmer from a small village as he mentioned; surprisingly, he lives in a big city with lots of money. What embarrassed me most was that he even dressed like a farmer when he sang the song!' Similarly, 'Ouuang3' replied, 'Do you know how the programme responded? They argued that he came from a farming family...how [do they expect him] to convince audiences? These non-professional singers are good at acting indeed'.

Moreover, as some audiences mentioned, 'Deng' specifically said, 'I can still remember the story where Wu wrote a song in memory of her dead father, after which many people began to show sympathy for her. Although I appreciate her and commiserate with her unfortunate experiences as well (if they are true), it cannot compensate for my discomfort with her unnaturally crying on the stage'. 'Kross9' then replied humorously, 'Recently, talent shows [have just become] places where people compare who is the most miserable!'

With many singers' real identities emerging, audiences increasingly doubt their onscreen performances and programme's intention. Authenticity of participants was rooted, on the one hand, in their 'ordinariness', that is, their similarity to their audiences (Bauwel, 2012). On the other

hand, it also stemmed from their willingness to 'be themselves' on TV, to unveil their inner emotions and thinking. It was participants' purportedly ordinary identity and their performances that motivated audiences' distrust. From their discourse in online communities, contestants did not seem to be random choices from the public. Instead, they appeared to have been carefully chosen or planned for. Hence, they tended to act like different versions of themselves on the screen. They recognised players performing as a self that was far removed from the 'real self'.

This type of confusing self-presentation relating to authentic issues might be due to contestants' motivations of becoming famous or by directors' design. The backstage self of participants can be the true self, but also contains another conscious identity they want to show to audiences. Besides, in many cases, participants and their stories may be designed for publicity of the programme. They may not always manage to stay on reality, to make audiences as spectacular and natural as possible in this spectacle (Shestakova, 2020). Such reality show uses (seemingly) real everyday life, presenting physical and spiritual presence of an ordinary person in the unique on-screen context.

Authenticity and Performance during Singing. In 'Sing! China', each tutor exhibited a rich variety of facial expressions and body language. Viewers easily recognised when this type of scene was performed on the screen, especially while

each singer sang. Directors mainly displayed coaches' reactions when deciding whether to press the button and their excitement after turning around.

These types of shots reflected their complex inner activities and were cut by directors to amplify the show's atmosphere. It is these types of scenes and editing effects that triggered heated debates about coaches' performances in our observations. Viewers commented about the community of 'the secret of "Sing! China" on Tieba. 'Ethan' said, 'Following scenes will definitely appear each time: Na with ferocious facial expressions, pretending to think seriously; Wang with a smile, frowning slightly and biting his lips; Yang looking pained and hesitating to press the button; [and] Jay lift[ing] his head and look[ing] far into the distance'. Such vivid discourse on how coaches behaved on the screen pointed out the essence of coaches' performance in a humorous way.

Faced with such discussions, the programme replied that the coaches on the stage were real because they did not know which camera was filming them and which scene will air finally. According to the programme's response, these true hesitating shots mirrored the real mental activity of the coaches. Hill (2005) once said that if these programmes represented real selves, people would have to be unaware of the camera's presence, and that situation seldom emerged. Coaches are generally aware of the camera. In this respect, their reaction reflects, to some extent, a sort of performing authenticity in reality television.

'Sing! China' attempts to demonstrate its authenticity as much as possible; however, it is still a performing authenticity for 'show'. Its audiences tend to use 'factuality' to express authenticity, which is, for them, a criterion or marker of truth (Hill, 2007). From their comments, some believed these tutors deliberately pretended to be nervous or excited, as a sort of performance for the show.

In-depth details and speculation about coaches' performance occur in audiences' interpretations. For example, a comment by an audience on Weibo read: 'How well Na performed! There were these scenes when two different contestants sang on the stage in the same episode. She closed her eyes and reached for the button, grasped her hand tightly and performed a hesitant and tangled facial expression (Figures 1 and 2). I have seen this too much'.

From this audience's interpretation of tutor performance, it seemed there was a necessary link for this coach to remain in an undecided status about whether to press the button.

In the interest of catching the attention of audiences and improving audience ratings, many Chinese reality programmes have adopted entertainment and incorporated increasingly performative elements to it. This kind of participants' performance seems to disobey the rule of authenticity in reality television, but such performing authenticity is a part of mediated authenticity. In some circumstances, creators tended to invite relatively professional participants to perform on the screen to get



Figure 1. Close-up shot of Na's facial expression



Figure 2. Close-up shot of Na's facial expression

as what they want to present to audiences. They sometimes want to reflect a sort of reality-TV aesthetics through performances, designing to effectively entertains audiences and create an impression of authenticity (Brandt, 2020).

From another perspective, there appears to be an embarrassing situation in that 'performance' in reality television is gradually destroying the fascination of 'authenticity'. The conflict lies between viewing experiences of audiences and constructed truth in media. Actually, 'performed selves' and 'true selves' really coexist in hybrid formats within the reality

genre (Hill, 2005), which is difficult to distinguish or define. Some audiences may judge the personalized media image (a performance identity) as either accurately projecting an identity or lacking authenticity (Moody, 2020). With the innovation of modern thoughts, some audiences are constantly breaking down or renewing their attitudes towards watching, reacting, and performing (Hill, 2020). Although these audiences would not say they always like or dislike the acting moments or multiple identities all of the time. But through enjoying reality shows, they participated in the discussion about some interesting things.

Viewing these, it is important and necessary to maintain effective communication and continual negotiation between programmes and their audiences. Directors try their best to shape participants' image, whether it is to consider the fairness or effect of the programme or deliberately create heated topics, and audiences can examine it from the perspective of the feature of an entertaining show.

Authenticity and Programme's Production: Fabricated Authenticity

Additionally, for the programme, there were artificial operation and technical manipulation of the production. The feature of 'artifice' has become increasingly obvious nowadays. In the field of television and media studies, according to specific requirements and scripts, programmes often consider the format of 'liveness' and are produced through artificial editing techniques, to highlight particular themes (Allen & Hill, 2004). Improvement of digital manipulation and editing techniques has challenged the credibility of photographic and video discourses (Fetveit, 1999). Under the narrative mode of programmes, episodes are edited or designed by directors to form a natural development of logic and effect. Considering authenticity and the attractiveness of reality television, 'liveness' has become one of the most controversial points about the authenticity of reality television.

Reality television has integrated documentary-like elements, such as the shooting process and its adoption of a multi-camera documentary tracking method. It also is thought of as an attempt by the programme to achieve an authentic, concrete process and specific details in reality formats. In principle, reality television shows can appear as a form of unprocessed narration and can give viewers the impression that they are on the scene. A television programme is always planned or processed by producers to varying degrees, including in the crafting of 'liveness'. This is the controversial point questioned by spectators: What they see onscreen seems to be what the director wants them to see. This representation is highly crafted under the guidance and control of programmemakers. Although the edited programme may have a certain theme, the existence of the fabricated operation cannot be denied. From this point of view, authenticity appears to be distorted through various techniques of montage. How, then, was it manifested in this specific case? And how did audiences treat this type of phenomenon?

Liveness is one inauthentic point in reality television. As a television broadcasting format, liveness overcomes the constrictions of time and space, giving audiences special viewing experiences. In 'Sing! China', except final competition, most episodes are pre-recorded broadcasts. Though most of the programmes are typed in one scene, such a form actually increases the possibility of doubt about original intention during post-production.

For example, there were some illogical moments in 'Sing! China'. When Zhang was singing, the footage showed that Na turned

around first (Figure 3) at 01:15 in the video, after which Yu turned around at 01:35 in the same video. However, Na did not turn around in this shot (Figure 4). Furthermore, the contestant shown was not even the same one, which was clear by his change of outfit and hairstyle (Figure 5). Thus, it follows that this shot is not the live scene at the time; instead, it was taken from past episodes and subsequently edited.

The screen presented the same singer's information, which was one of the programme's goofs. As for why only this scene was edited in the whole programme, perhaps an original recording of this turnback status was not sufficient to heighten the atmosphere. Director wanted to create a particular effect, paving the way for the subsequent conversation between the coach and this singer. In the later video,



Figure 3. Screenshot of Zhang singing



Figure 4. Screenshot of tutors when Zhang was singing



Figure 5. Screenshot of the contestant's changed clothes

after Zhang had finished singing, the first sentence Yu said was, 'Who could guess he is a man?' Thus, it was no wonder that the director cut this coach's surprising reaction to serve the programme's narration and effects better. The loophole TV editor overlooked aligned with the controversial point about authenticity that audiences questioned.

The editing mainly depends on the purpose of producers or directors, but it is the most creative process in a programme. It serves different topics and corresponding logic, then presents different narrative lines and particular effects for audiences.

Programmes always display what they want to present to audiences, regardless of the purpose.

Taking a similar example, each coach had his or her range of emotions, but through editing, what viewers saw was just the most vivid and representative content. In some episodes of 'Sing! China', people found several scenes that the coaches' reflections were repeated, which meant that they might have been cut or edited from or into different programmes.

For instance, Na's hair changed onscreen during the same women's singing act. As shown in the scenes (Figure 6 to 9),



Figure 6. Screenshot of Na's curly hair



Figure 7. Screenshot of Na's straight hair



Figure 8. Screenshot of Na's curly hair



Figure 9. Screenshot of Na's straight hair

sometimes her hair was curly; sometimes it was straight. Thus, the programme had clipped scenes and reconstructed television footage, probably in attempts to create a tense atmosphere through the coach's indecision.

Moreover, some viewers specifically uploaded screenshots from this programme onto Weibo. One wrote: 'I found Na's [that] hairdo changed randomly. How fantastic was it?' Then other users commented, 'Participants are all actors' or 'What else?

Reality shows are originally performed according to the script'. These online discussions showed that audiences thought non-professional actors seemed to act up themselves and give scripted performances, partly because of artificial manufacturing. The format seemed to be designed with a default performance and fabrication angles, which produced negative emotions in many audiences.

There were other situations that different contestants received the same review by the same coach. Some viewers put the two scenes together and compared them to one another (Figure 10 and 11). Facing two players, Jay behaved in a sufficiently similar manner and generated the suspicion of viewers. This included what he said, his facial expression and other behaviours. Some people posted their opinions on Weibo (Figure 12).

Similarly, in the discussion forum about 'Jay' on Tieba in 2015, there was a relevant and critical voice under this topic. One user, 'Boo' questioned the coaches' similar reactions, "Why do these tutors always have similar facial expressions or behaviours? I know their hesitation or appreciation, but do



Figure 10. Comparison of the evaluation of two contestants' acts: When evaluating both contestants, Jay said each time, 'I tell you' first



Figure 11. Comparison of Jay's reaction and evaluation: Then he said, 'If you come to my team' with similar facial expressions. After that, he mentioned the issue of writing songs for the participant

中国好声音,我家杰伦小公举是有多喜欢给别人写歌啊?答应别人写歌的时候助作表情还都伸同步的。 How much does Jay Chou prefer to write songs to others in 'Sing! China'? His behaviours and facial expressions are the same when he promise to write songs to these contestants.

Figure 12. Viewers' comment online: Comparing Jay's reflection to different contestants, viewers did not directly point out that similar reactions revealed inauthenticity; instead, they assessed it in an ironic way

they feel bored or tired? I think it's [because of] the operation [of] the programme. Have they taped these scenes for each tutor ahead and then edited them into a finished programme?' 'Shanzhu' replied, 'They just want to highlight the centrepiece that grasps our eyeballs, a kind of gripping scene. Or, they merely attempt to create situations in which tutors are fighting for contestants'.

Generally, public lack of trust in the actuality of reality television is partly due to programme post-production. As noticed above, some real situations in the live programme might be cut or modified through editing. Each video in the live programme is indeed real, but it may be recombined with several videos, and not correspond to a single same continuous sequence. This means that some scenes are recorded before or later, and then edited into the programme to ensure that the narrative runs smoothly or other objectives are met.

With regards to this example, the programme responded online that this was a technical problem that had appeared during the editing process. From the show's perspective, it could be understood as a part

of authenticity constituted by media, as a sort of fabricated authenticity. According to auteur theory, choosing the personal factor in artistic creation as a standard of reference reflects the director's vision and preoccupations. The programme as a medium for the personal artistic expression of director may manifest itself as the stamp of the maker's personality or perhaps even focus on recurring themes within the body of work.

The reality programme is not an absolute recording of real liveness, but, rather, as an authenticity edited throughout the whole process of programme production. Although each scene is a real shot, it evokes an altogether different impression when deliberately cut and reconstructed together with others, to fulfil the demands of theme narration or the other objectives of creators. Reality television emphasizes personal conflict and dramatic tension (Brandt, 2020), hence actual technical skills and artificial purpose involved will influence the perceived authenticity to a greater or lesser degree.

Authentic mediated public space contained emotional performances of participants and editing by producers to draw out these selves. Competitive reality television gradually became a genre that "invited suspicion" instead of "speculation from viewers" (Hill, 2020, pp. 211-212). Under the context of mediated authenticity, participants consciously played up their personalities or shaped their identities to generate memorable moments or deep impressions; producers consciously cast characters and created situations; and audiences engaged in a social performance where "everyone was talking about it". For such competitive talent shows, the symbiotic relationship (Carter, 2013) between these three of them occurred throughout the whole issue of authenticity of reality television. It is their co-production and cooperation that made the phenomenon of mediated authenticity more clear and understandable.

CONCLUSIONS

The existence of the authenticity issue in contemporary reality television programmes cannot be ignored. In reality television, the 'mediated authenticity' exist and manifest in performing authenticity (from participants) and fabricated authenticity (from the programmes). A kind of high drama and big emotion that participants and producers created in the programme are regarded as a mediated moment, which requires the communication and negotiation between professional media producers and audience.

For programme participants, including contestants and tutors, our findings showed

that the controversy surrounding them mostly stemmed from their performances, which were sometimes designed by directors. The 'performed selves' and 'true selves' co-existed in hybrid formats within the reality genre. Performance of individual participants made them become the generator of argument in reality television. They hinted at the character of factuality and show (but not equal to fakeness) of reality television, collectively serving the narration or desired effects of the programme. Accordingly, participants' performances were categorised as performing authenticity. Then, the programme was closely connected to its post-production. Producers might edit realtime scenes and reconstruct them behind the screens. During this process, some conflicts about authenticity might be generated, including an aired episode composed of many scenes from other different episodes.

In specific programmes, these accidents as a distortion of truthfulness or a loss of realism had a certain counterfeit component. However, this type of performing authenticity and fabricated authenticity was not wholly false, because a real component remained. It was dual traits of 'reality' and 'show' that decided the potential for perceived inauthenticity. These disputed points existed in the links or processes that served the show. Mediated authenticity also has its real side, which constitutes part of a reality television show. When such phenomenon is placed on a global scale, 'fakeness' appears to be much more biased. It cannot, however, be allowed to describe or cover all circumstances, especially for

many different cases. Therefore, as with disputes of relevant mediated authenticity, factuality in the reality television show cannot be defined by absolute affirmation and negation, truth and falsehood. For viewers, some of them made empirical judgement or evaluations based on their own experiences and subjectively believed the programme to be fake. In reality, a programme that contains the ingredient of a 'show' does not thereby prove that it is entirely fake. For reality shows, programme directors produce a sort of creative work of actuality according to their viewpoints and purposes. Therefore this phenomenon should be treated dialectically.

This process embodies the features of a reality show: the reality and the show reflect both performing authenticity and fabricated authenticity, together with engagement between producers and audiences. We observed that their interaction and negotiation played a vital role in this process. Only when authenticity illusions had been successfully implemented was mediated authenticity effectively achieved. For programme, although subjective thoughts are unavoidable, directors can guarantee mediated authenticity in some way, controlling human performance and fabrication within a range that is acceptable to the audience. For the audience, they watch and participat in the programme with relative objectivity and inclusive minds. To some extent, both sides need to seek a balance between truth and show.

Although present popular media meant to entertain audiences and satisfy a market,

television media needs to constantly adapt to the change in the period of the new and old media. It should properly treat and balance the elements of authenticity concerning participants' performance and the programmes' production while taking the audience's individual needs as the basis for effective media dissemination and encouragement of audiences' participation. With regards to audiences themselves, because of the changes in the communicative environment, they need to form a type of rationale with tolerance and acceptance and understand reality television from multiple angles. During this communicative process, both of them need to strive for a balanced point, as they depend on each other to produce value and serve one another.

ACKNOWLEDGEMENT

The main author would like to show many thanks to her supervisors who provided insightful suggestion and support to this research.

REFERENCES

Allen, K., & Mendick, H. (2013). Keeping it real? Social class, young people and 'authenticity' in reality TV. *Sociology*, *47*(3), 460-476. https://doi.org/10.1177/0038038512448563

Allen, R. C., & Hill, A. (Eds.). (2004). *The television studies reader*. Psychology Press.

Aslama, M., & Pantti, M. (2012). Labourers of the real: Authenticity work in reality television. Pentagon Books.

Barton, K. M. (2013). Why we watch them sing and dance: The uses and gratifications of talent-based reality television. *Communication Quarterly*,

- 61(2), 217-235. https://doi.org/10.1080/01463 373.2012.751437
- Bauwel, V. (Ed.). (2012). Trans-reality television: The transgression of reality, genre, politics, and audience. Lexington Books.
- Berg, D. (2011). A new spectacle in China's mediasphere: A cultural reading of a webbased reality show from Shanghai. *The China Quarterly*, 205, 133-151. https://doi.org/10.1017/ s0305741010001438
- Brandt, S. L. (2020). Donald Trump, the reality show: Populism as performance and spectacle. *Zeitschrift für Literaturwissenschaft und Linguistik*, 50(2), 303-321. https://doi.org/10.1007/s41244-020-00170-3
- Bu, L. D., & Chang, J. (2012). Look at the authenticity of reality show from "The Truman Show". *Journalism Lover, 2012*(5), 49-50. https://doi.org/10.3969/j.issn.1003-1286.2012.05.025
- Carter, G. (2013). Interview with author. In A. Hill (Ed.), *Reality TV*. Routledge.
- Chaudhuri, A. (2013). Auteur Theory and its implications. *International Journal of Advancements in Research & Technology, 2*(11), 77-89.
- Corner, J. (2002). Performing the real: Documentary diversions. *Television* & *New Media*, 3(3), 255-269. https://doi.org/10.1177/152747640200300302
- Enli, G. (2015). *Mediated authenticity. How the media* constructs reality. Peter Lang GmbH.
- Fetveit, A. (1999). Reality TV in the digital era: A paradox in visual culture? *Media, Culture* & *Society*, 21(6), 787-804. https://doi. org/10.1177/016344399021006005
- Harris, Z. S. (1981). Discourse analysis. In H. Hiż (Ed.), *Papers on syntax* (pp. 107-142). Springer. https://doi.org/10.1007/978-94-009-8467-7_7

- Hill, A. (2005). Reality TV: Performance, authenticity, and television audiences. A companion to television. Blackwell Publishing Ltd. https://doi. org/10.1002/9780470997130.ch25
- Hill, A. (2007). *Restyling factual TV: Audiences and news, documentary and reality genres*. Routledge. http://doi.org/10.4324/9780203099735
- Hill, A. (2020). Reality TV: Performances and audiences. In W. Janet & R. M. Eileen (Eds.), *A companion to television* (2nd ed., pp. 199-219). John Wiley & Sons, Inc. http://doi.org/10.1002/9781119269465.ch10
- Holt, K. (2016). Gunn Enli: Mediated authenticity. How the media constructs reality. *Nordicom Review*, *37*(2), 131-132.
- Kerrigan, S., & McIntyre, P. (2010). The 'Creative Treatment of Actuality': Rationalizing and reconceptualizing the notion of creativity for documentary practice. *Journal of Media Practice*, *11*(2), 111-130. https://doi.org/10.1386/jmpr.11.2.111 1
- Kosciesza, A. (2020). Annette Hill, media experiences: Engaging with drama and reality television. *International Journal of Communication*, 14(2020), 2334-2337.
- Meyer, C. B. (2001). A case in case study methodology. *Field Methods*, *13*(4), 329-352. https://doi.org/10.1177/1525822X0101300402
- Moody, A. (2020). The authority and authenticity of performative Englishes in popular culture. *World Englishes*, *37*, 99-110. https://doi.org/10.1111/weng.12486
- Nyre, L. (2016). Gunn Enli: Mediated authenticity. How the media constructs reality. *Norsk Medietidsskrift*, 23(1), 1-3. https://doi.org/10.18261/issn.0805-9535-2016-01-11
- Patton, M. Q. (2014). *Qualitative research & evaluation methods: Integrating theory and practice* (4th ed.). Sage Publications.

- Piper, H. (2006). Understanding reality television: Reality TV-audiences and popular factual television: Reality TV-realism and revelation. *Screen*, 47(1), 133-138. https://doi.org/10.1093/ screen/hjl012
- Nørskov, S., & Rask, M. (2011). Observation of online communities: A discussion of online and offline observer roles in studying development, cooperation and coordination in an open source software environment. *Forum Qualitative Social Research*, 12(3), 1-21. http://dx.doi.org/10.17169/fqs-12.3.1567
- Rose, R. L., & Wood, S. L. (2005). Paradox and the consumption of authenticity through reality television. *Journal of Consumer Research*, 32(2), 284-296. https://doi.org/10.1086/432238
- Shestakova, E. G. (2020). Real'noye shou i teatral'naya kul'tura: Problemy vzaimnogo perecherkivaniya [Reality show and theatre culture: Problems of mutual crossing out]. *Filolohichni Nauky, 1*(19), 52-64. http://doi.org/10.32342/2523-4463-2020-1-19-4

- Stake, R. E. (1995). *The art of case study research*. Sage Publications.
- Truffaut, F. (1954). A certain tendency of the French cinema. *Cahiers du Cinema*, *31*, 224-235.
- Wang, X. (2016). Social media in industrial China. UCL Press. http://doi.org/10.14324/111.9781910634646
- Xu, D., & Guo, L. (2018). Use and gratifications of singing competition reality shows: Linking narcissism and gratifications sought with the multimedia viewing of Chinese audiences. *Mass Communication and Society*, 21(2), 198-224. https://doi.org/10.1080/15205436.2017.1404616
- Yin, R. K. (1994). Case study research design and methods: Applied social research and methods series (2nd ed.). Sage Publications.
- Yin, R. K. (2011). *Applications of case study research*. Sage Publications.
- Zhao, X. (2014). Gratifications about reality television: 'The Voice of China' among Chinese audience. Bangkok University.



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Assessment of Political Participation and Democratic Governance in Nigeria's Fourth Republic

Muhammad Fuad Othman and Victor Vincent Okpe*

Asian Institute of International Affairs and Diplomacy, College of Law, Government and International Studies, Universiti Utara Malaysia, 06010 Sintok, Kedah, Malaysia

ABSTRACT

Generally, this study examined the state of political participation and democratic governance in Nigeria's fourth republic. It relied mainly on descriptive qualitative research approach and secondary sources of data such as journal articles, books, reports from political parties amongst other works from scholars on politics, democracy and governance in the fourth republic. The study equally adopted the liberal democratic theory as its framework of analysis. The emerged result revealed that political participation and democratic governance in the fourth republic had not been in the favor of the populace. It further revealed negative indices against the system such as political and electoral violence, corruption, weak institutions of democracy, godfatherism, poor provision of positive leadership, poverty, inequalities, political intolerance, manipulation of electoral processes, blatant act of impunity, lawlessness, selfish interest and militarization. They have led to lack of trust on the political leaders, and by implication, remains a huge challenge against popular participation, democratic governance and consolidation. These ills are in sharp contrast with the tenets of the liberal democratic theory. Based on the above revelations, therefore, the study believes that it is pertinent that the political leadership must not only practice what is obtainable in the fourth republic constitution but must equally adhere to the doctrines of a liberal democratic system. The political system and the electoral processes must be violent

ARTICLE INFO

Article history:
Received: 05 Apri 2020
Accepted: 17 September 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.30

E-mail addresses: mfuad@uum.edu.my (Muhammad Fuad Othman) victorenugu47@gmail.com (Victor Vincent Okpe)

* Corresponding author

free to encourage popular participation and consolidation of democracy. The citizens must also endeavor to hold their leaders accountable.

Keywords: Democratic governance, fourth republic, liberal democratic theory, Nigeria, political participation

INTRODUCTION

In contemporary democracies, the significance of political participation of citizens in the affairs of their state cannot be overstretched. As Isma'ila (2016) and Fayemi (1998, 2000) noted, one of the aftermaths of 'the Cold War Era' between America and the Soviet Union was the extensive spread of democratic governance in various African countries including Nigeria. The era, as observed by Oke (2010), gave a wide acceptance to democracy as one of the best forms of governance. This wide acceptance is built on the premise that democratic governance grants opportunity for citizens' participation in the governance of their country, which is encouraged through a fair election in which they choose their representatives and leaders in the society (Falade, 2014; Nwebo, 2018; Oke, 2010). Democracy guarantees citizens political participation, transparency, accountability, respect for human rights, the rule of law and governing the people based on democratic ethos, which are the hallmarks of a democratic governance.

While political participation of citizens in the affairs of their political system regardless of their gender, remains sine qua none (Arowolo & Aluko, 2012), and as an embodiment of democracy. Isma'ila (2016) observed that democracy and governance were interconnected, distinctly unique as different variables, but also highly relevant in any political system. For instance, democracy involves a constitutional rule which permits the citizens to elect representatives amongst themselves to

execute responsibilities that have to do with their welfare, allocation of resources and values effectively. While governance from the view of the World Bank, involves the way in which state's powers are practiced in the management of a nation's social and economic resources for better development (Oke, 2010). Building on the above, therefore, democratic governance involves putting into practice those democratic ethics within a political system for the realization of a better life in the society (Isma'ila & Othman, 2016; Organization for Security and Co-operation in Europe, 2011). As political participation remains one of the vital ingredients of democratic governance (Arowolo & Aluko, 2010), development and stability of any democratic system lies in the genuine participation and awareness of the people in both political and civic matters (Falade, 2014). Consolidating on the above, Appadorai (2004) advanced that democracy demanded from the citizens a certain degree of character, ability, rational conduct and strong participation in the affairs of their state. The above scholarly views reveal the essence of citizens participation in the democratic affairs of their political system.

With respect to Nigeria, the return of democratic governance in May 1999 which ushered in the Fourth Republic, brought a high hope among the citizens. Nigerians saw the return as a great relieve and as an end to the authoritarian military government in the country. They believed it was an opportunity to actively participate in the affairs of the state to engender new political programs and good governance (Yusuf, 2018). As noted by Yagboyaju (2011) and Yusuf (2018),

the return of democratic governance in 1999 came with great expectations. These expectations, however, have not been met as the political system is yet to show any clear sign of good governance. It has been overheated with many challenges such as corruption, insecurity, electoral malpractices, and ethno-religious violence (Adeosun, 2014). Political participation as an ingredient of democratic governance is being discouraged by violence, love for power, greed, thuggery, assassination, election rigging and resulting to citizens' political apathy (Falade, 2014; Ojo, 2013). The above ills are in sharp contrast with the hallmarks of a democratic government and will only create room for further political apathy.

There is a high debate over the significance of political participation in the democratic governance across the world and Nigeria inclusive (Oni & Joshua, 2012). Previous related academic works have also been written in this regard, but dearth of information is still in manifest (Michels, 2011). Some of these previous studies include democratic stability and political participation (Edosa, 2014), political participation and good governance (Arowolo & Aluko, 2012), democracy and women participation in Nigeria (Leke, 2015), amongst other scholars like Wilson (2013), Loader et al. (2014), Ujomu and Olatunji (2014), and Collin (2015). Despite the above scholarly works, dearth of information still exists as none is found to concentrate primarily on the state of political participation and democratic governance in the Nigeria's fourth republic. This study,

therefore, intended to fill this gap created by previous related studies. To be specific, the study aimed to generally understand the state of citizens' political participation and democratic governance in the fourth republic in Nigeria, as this would build to the body of available literatures, enlighten the citizens and the political institutions in the country. In order to achieve the above objective, the paper is organized as thus, the introduction, literature review, methods and materials, theoretical framework, results and discussion, and finally, conclusion and recommendations.

LITERATURE REVIEW

Previous related studies on this topic such as Nigerian politics in the fourth republic, stability of democracy in Nigeria, good governance under the fourth republic, national and state level elections, women and youth's participation in elections amongst others have been reviewed. However, few studies appear to exist on political participation and democratic governance in Nigeria's fourth republic in general. This study would, therefore, take the advantage of the shortage in literature to review existing materials on the pursuit subject. Building on the above, therefore, Salisu and Avidime (2016) researched on democratic governance in the fourth republic. They concluded that while moderate gains existed under the fourth republic, the woes and pains that had befallen the country since the inception of democratic governance in 1999 were overwhelming. They argued that the character of the state, the pattern of politics and the weakness of the political leadership to afford responsible leadership had dented the ability of the system to offer goods and services to the populace. These had in turn constrained popular political participation in state affairs, reinforced a great sense of marginalization and alienation in the minds of many citizens.

Allying with the above, Oke (2010) observed that democratic governance was built on popular participation and consent of the people. However, since the return of democracy in 1999, the prolonged interference of the military into Nigerian politics permeated the political system and as such, had made it difficult to practice the basic tenets of a democratic governance. As he noted further, the shift from military authoritarianism to civilian rule instead of being democratic, political intolerance and violence existed as the hallmark of politics and this had obstructed citizen's value in electoral participation and legitimacy of the government. On the same note, Yagboyaju (2011) explained that the return of democratic governance in the fourth republic started with great expectations and high hope. After several years of democratic practice, however, no evidence of good governance and consolidation of democracy. The rule of law is abused, elections are subverted, political parties amongst other public institutions are manipulated. Not only is democratic governance threatened, but also the citizens and their corporate existence.

Falade (2014) narrowed his study on the extent of citizens' involvement in political

activities in Ondo state. The result showed that 57% of the sampled population were less involved in political activities. Only 30% of males and 13% females were found to be active participants, while about 53% lacked confidence in their politicians. The result also counted gender as a force against citizens' effective political participation. According to Falade (2014), political participation in Nigeria is very low as several Nigerians are not dedicated to the political activities. He further explained the failure of the political system to encourage mass participation through quality democratic practice and this was as a result of the culture of political violence, manipulation, sentiment, intimidation, ignorance, deception, corruption, political apathy and the continues marginalization of women.

Discussing about women marginalization in political participation in Nigeria, however, Uwa et al. (2018), found that over the years, marginalization had affected women's political participation in Nigeria due to certain social, religious and cultural factors. These had led to a low level of interest, knowledge and taking part in political events in the country by women. As they further explained, notwithstanding the hard efforts of governments and non-state actors following the Beijing World Conference declaration on women involvement in political positions through a 30% affirmative action and the 35% recommended by the National Gender Policy (NGP), women were still marginalized. This is against the popular saying that the sustenance of democratic

governance lies in the participation of all citizens in the political processes of their society.

The above revelations by Falade (2014) and Uwa et al. (2018) were supported by the works of Oni (2014) and Agbalajobi (2010). According to Oni (2014), indices like exploitation and gender oppression accompanied by traditional/cultural beliefs, religious doctrines, marital injunctions and the hangover of the colonial legacies negatively affect the status of women. By result, this have led to poor political participation of women folks in Nigeria at all public levels. It has equally been worsened by a rooted patriarchal structure in the body of nation's politics. While in the same vein, Agbalajobi (2010) argued that the Nigerian women occupied about half of the country's population and were known as mothers who played important roles in the society. Despite their population and designation, they are still marginalized politically. This is holding to certain factors like religion, culture, patriarchal societal structure among other traditional practices. They have become the target of political violence and downgraded. As a result, the sharp practices have led to under-representation of women in public life as they only participate in politics just to support their women folk. The ills do not represent the actual practice of a liberal democracy.

Democratic governance is seen as a platform for faster development not only in Nigeria, but Africa as a whole. Unfortunately, violence associated with elections hamper development. Electorates are dispirited from taking part in political activities while violence succeed in making democratic governance synonymous with death trap (Okafor & Okafor, 2018). Democratic governance represents the function of the over-all participation of the citizens in political activities. But whenever it is obstructed, development in both politics and economic which represent the dividends of democratic system would be denied (Okafor & Okafor, 2018). In their study on political participation in the South-Eastern Nigeria for example, the authors revealed that 21.3% believed that true democratic governance existed in Nigeria, while only 29.9% believed in the electoral system. The rest such as 65.2% did not believe that their votes count, 69.2% disbelieved in the electoral process, 69.5% observed electoral violence, while 56% withdrew their support for democratic governance due to political violence during elections.

Corroborating with the above, Ogbonnaya et al. (2012) also found out that religious crises, intra and inter-ethnic conflicts, electoral malpractices, weak democratic institutions, insecurity and corruption had confronted the success of democratic governance in Nigeria since 1999. Also, the pattern of political culture in Nigeria, poor political interests of electorates and joined with the non-integrative pattern of political participation continued to threaten democratic governance in the fourth republic. Just as the elites need the citizens, however, the citizens equally need the elites to promote political participation and democratic governance in Nigeria (Omodia, 2011).

According to Ogbonnaya et al. (2012), as they concluded, democratic governance generally, is characterized by a defined and definite principles which includes, political participation, respect to citizens' rights, observance to the rule of law and the protection of lives and property. But the inadequate and weakness of political institutions remain the greatest obstacles of democratic institutions in Nigeria. State institutions have failed to provide security to life and property to the people, the electoral processes are too weak, high rate of corruption and political violence. The electoral processes are vulnerable and are easily manipulated. Public confidence in political participation is undermined by corruption and insecurity looms at large. Notwithstanding the above challenges, however, the only available gains under the fourth republic are the creation of political parties, restoration of the National Assembly with their oversight functions on the executive, even when their effectiveness remains in doubt.

In summary, the above studies revealed that political participation and democratic governance over the fourth republic had been characterized by a lot of challenges. Also, notwithstanding the reviewed pieces of literature, gap still manifests in the body of works of literature that generally discussed primarily on the state of political participation and democratic governance under the Nigeria's fourth republic. This study, therefore, fills the gap by building on the body of existing knowledge.

MATERIALS AND METHOD

This study relied on a descriptive qualitative research approach to generally examine the state of political participation and democratic governance under the Nigeria's fourth republic. According to Wright and McKeever (2000), descriptive qualitative research method represents a perfect instrument in the study of a social phenomenon that involves generating public perception about a subject of interest. The objective is to provide a significant thought and deep description to understand the phenomenon under study (Braun & Clarke, 2013; Magilvy, 2003). Relying on the above scholarly perspectives, therefore, the choice of descriptive qualitative method in this study is considered germane because of its capacity to unravel issues the way they are. Also, the study relied largely on secondary data and these involved works of literature that shared knowledge on political participation and democratic governance such as, journal articles, institutional reports from political parties and civil society organizations. Other materials included books written by scholars in the field like Fashagba et al. (2019), Isma'ila and Othman (2016), Appadorai (2004), and Falade (2014) among others. Liberal democratic theory was equally adopted to support the secondary data in the analysis.

THEORETICAL FRAMEWORK

Liberal Democratic Theory

This study adopted the liberal democratic theory as its theoretical framework of analysis. This is premised on its importance

to help in explaining democratic governance and political participation in Nigeria's fourth republic. Though, other theories such as the elitist theory of democracy, the political economy theory, pluralist theory of democracy, and the Marxist theory of democracy are equally applicable, but lack acceptable capacity to offer a comprehensive understanding on the subject matter. Important to note, Adam Smith (1774), John Stuart Mill (1892), Thomas Hobbes (1651), and Jeremy Bentham (1789) were the early founders of liberal democratic theory. This theory as noted by Vincent and Tunde (2018), enjoys a great acceptability in democracies like the U.S., Britain, France, Canada amongst other western nations. In African countries also, nations like Ghana, South Africa, Kenya and Nigeria are not left out as it describes the pattern of democracy being practiced in most of the countries.

Liberal democratic theory projects a political system that encourages private liberty, social justice, private property, majority rule, individual participation and right moral development. It supports the rights of individual citizens in a democratic system to actively participate in the political affairs of their country without reference to their race, gender and ownership of property (Kwasau, 2013; Mohammed, 2013; Oddih, 2007). It advocates a democratic system and political organization that effectively promotes good governance and the agenda of the people. This also involves a periodic credible, free and fair elections which represent one among equals, the participation of the citizens. Furthermore, the tenets of the theory are shortlisted below

as its advocacy in a real democratic system that encourages political participation of the citizens. These are:

- The rule of law
- Freedom of assembly, speech, religion and the press
- Support for pressure groups and multi-party system
- Separation of power, checks and balances
- Free participation of citizens in the political system
- Acceptance of capitalism
- Universal franchise, periodic free and fair elections
- Peaceful change of government.

According to Vincent and Tunde (2018), and Kwasau (2013), liberal democratic theory makes a projection on how a democratic political system should work. It projects a universal suffrage system that encourages citizens political participation, the right to contest and vote in elections. Applying this theory and its tenets within the Nigerian fourth republic political system that practices democracy as a governance model and a multi-party system that supposed to encourage citizens' political participation in the affairs of the state, the case is, however, in sharp contrast with the tenets of the liberal democratic theory. Noting on this, Mohammed (2013) observed that despite the existence of a multi-party system that encouraged competitiveness amongst many political parties, instead of obeying electoral laws that guided their practices, most of the politicians prefered to employ all means of political violence to manipulate and subvert the electoral processes to their personal advantage and thereby continued to discourage citizens participation in the system. This form of practice is against the tenets of liberal democracy as citizens are discouraged from participation through electoral violence. For example, as he noted further, the Peoples' Democratic Party (PDP) almost rigged all the elections between 1999 to 2015 to their advantage, but in turn, the opposition parties would prefer to resort to the use of violence to overcome such electoral challenges. In the same vein, Agbo (as cited in Mohammed, 2013) noted that Independent National Electoral Commission (INEC) reported that 1249 petitions were engaged before the electoral tribunals especially on the governorship, legislature and state houses of assembly elections when PDP was in power. The whole of these is against democracy as the citizens are discouraged from participation through political violence, manipulation and subversion of the electoral processes.

RESULTS AND DISCUSSION

Generally, dissecting the state of democratic governance and political participation in Nigeria's fourth republic and within the scope of liberal democratic theory cannot be overemphasized. This is because it came with a lot of positive expectations. However, as noted by Yusuf (2018), after two decades of practice, these expectations remain far from being achieved as good governance, political participation and democratic consolidation remain as a mirage in the country. For better comprehension

of the subject matter, therefore, the major results and discussions are captured in the following subheadings below as revealed by the extant pieces of literature reviewed.

Democratic Governance and Political Participation in Nigeria's Fourth Republic

To comprehensively understand the state of democratic governance and political participation under Nigeria's fourth republic, it is important to note that it is over two decades of democratic practice in Nigeria judging from the re-emergence of democratization process around the globe. According to Isma'ila (2016), the period also known as the third wave era, is connected to the 1990's globalization influence and the spread of democracy across the world. Within the said period of democratization, 21 years of democratic experience has been witnessed in Nigeria without interruption from the military i.e., from 1999 to 2020. The key issue is that while the period is observed as the era of "emerging democracy", the democratic experience within the noted era can be examined and observed especially in terms of practice and consolidation in Nigeria (Yusuf, 2018). These observation and examination can be done using the tenets of liberal democratic theory. This theory in a democratic state encourages practice of the rule of law, freedom of assembly, speech, religion, freedom of press, support for pressure groups, multi-party system, participation of citizens in political affairs, universal franchise that promotes periodic

free and fair elections and peaceful change of government. Also close to the above is the indices by the Freedom House which includes, good governance, civil liberty and freedom of civil groups in the society. And lastly, the indices by the African Economic Intelligence Unit which also talks about sound electoral process, healthy political culture, organized government and political participation, political representation, effective institutions, quality service delivery and corruption free society (Isma'ila, 2016; Kwasau, 2013; Muhammed, 2013; Vincent & Tunde, 2018).

Examining the state of democratic governance and political participation in Nigeria's fourth republic from the above indices, therefore, Yusuf (2018) observed that the fact that democratic practice returned to the country in 1999, there was less assurance for an effective democratic consolidation in Nigeria as this could be seen in many negative governmental plagues in which the country is passing through. In the same vein, Salisu and Avidime (2016) revealed that while there existed moderate gains such as the establishment of the legislature, operation of a multi-party system and the conduct of an oversight role by the legislature, the woes and pains that had visited the country since the inception of democratic governance in 1999 were overwhelming. The character of politicians and their inability to offer responsible and purposeful leadership continues to undermine the delivery of quality public services. By implication, this has led to reduction in popular trust in the state institutions and the democratic processes. As they observed further, the ruling class paid no attention to the public aspirations. They dictated and direct public policies to satisfy their personal interests. This has affected the level of people's participation in governance against the popular advocacy in the tenets of the liberal democratic theory that encourages popular participation, protection of citizens' rights and promotion of a fair political system.

Building on the above, Oke (2010) observed that it was a common knowledge that amongst the tenets of a liberal democracy were justice, equity and fair conduct as democratic governance was based on the consent and general participation of the people in the affairs of their state. However, as he further revealed, the prolonged involvement of the military into Nigerian politics before the return of democratic governance in 1999, had permeated the political system under the fourth republic, and to the extent that the practice of the primary democratic principles became challenging for those in public positions in the country. This had resulted into bad governance and disenfranchisement of the common people under the fourth republic. According to Oke (2010), the shift in governance from military authoritarianism to democratic rule, instead of resulting into fulfilling the expectations of the masses, political intolerance and electoral violence remain the hallmark of the fourth republic. The implication is that the principles of democracy as advocated in the liberal democratic theory such as free and fair elections, justice, equity, fairness, public participation in the political processes has been denied from been consolidated.

Also, the issue of godfatherism in the political system continues to contradict all the virtues of democratic processes through their interference in the selection of candidates for public positions. They diminish the legitimacy of the government and obstruct the electoral value of the people. They also promote political instability which results in limited participation of the people in the formulation of government policies (Oke, 2010). Other attributes against the system comprise the over politicization of impeachment, state failure to protect life and properties, disregard for the 1999 constitution, election rigging, disobedience to rule of law, press censorship and police brutality. All these are in sharp contrast to liberal democracy as they are against popular participation in democratic processes. In support of the above, Yagboyaju (2011), revealed that many years after the return of democracy in Nigeria, the democratic practice was yet to present any convincing evidence of good governance. The rule of law is not pronounced, elections are subverted, political parties amongst other institutions of democracy are manipulated by the few privileged. Democracy is not only threatened by implication, but the corporate existence of the country is equally under a threat through the activities of several government officials who see themselves as being above the law.

Political participation involves the involvement of the people in the political affairs of their state as one of the ingredients

of a democratic state and advocacy of the liberal democratic theory. But in Nigeria, politics is found to be influenced by ethnic, money and religious factors. For instance, since the independence of 1960, ethnicity and religious politics characterize electioneering practices in the country (Oke, 2010). For example, Gabriel (2011) observed that it was one of the reasons why the former deputy Senate President in the person of Albert Legogie, noted that it was obvious from the election trends of 2011 that there was a huge gulf of division between the South and the North, and between Muslims and Christians. For instance, immediately after the presidential election in 2011, election violence erupted in the dominated Muslin north and several Christians and Southerners were injured and killed as well as the destruction of several Churches. This kind of attitudes continue to discourage many citizens from participating in elections amongst other political activities in the country.

According to Falade (2014), there is poor level of political participation in the country. Several Nigerians are not dedicated to elections and other political activities and this is because the political system does not encourage popular participation. The political culture of intimidation, violence, sentiment, manipulation, ignorance, money politics, deception, corruption and apathy that have characterized the political system. In all, women are the worst marginalized through violence, domestic responsibilities, cultural issues and financial constraint which lead to political indifference and

poor participation in the political system (Agbalajobi, 2010; Oni, 2014; Uwa et al., 2018).

Deducing from the above findings and thrusting on the tenets of a liberal democratic theory, indices from the Freedom House and the African Economist Intelligence Unit's advocacies, much is left to tell. These advocacies as earlier mentioned include popular participation of the citizens in the political activities of their country and the promotion of the rule of law. Also includes are an effective political system that consolidates democratic principles and freedom of assembly. And lastly, universal franchise that promotes a periodic free and fair elections and a peaceful change of government as projected by Vincent and Tunde (2018), Kwasau (2013), Muhammad (2013), and Isma'ila (2016). In the light of these indices, therefore, it would not be stressful to conclude from the findings that the state of political participation and democratic governance in the Nigeria's fourth republic has not been too positive. This is built on the several factors revealed to be working against the political system and have negatively affected political participation and consolidation of democratic governance. Some of these factors as revealed by Salisu and Avidime (2016), Aliu (2014), Oke (2010), Yagboyaju (2011), Falade (2014), Okafor and Okafor (2018), amongst others like Omodia (2011), Ogbonnaya et al. (2012), Oni (2014), Agbalajobi (2010) include electoral violence, the politics of godfatherism, corruption, intimidation, sentiment,

ignorance, manipulation, deception, money politics, selfish interest of leaders, and relegation of women. Just as Agaigbe (2015) noted, research carried out in respect of the 2011 general election by the Friedrich Elbert Stiffing Foundation revealed that absence of transparency, election violence, and the poor delivery of campaign promises among others led to high political apathy in the country. They are all against democratic tenets and popular participation in Nigeria.

Challenges of Democratic Governance and Political Participation in Nigeria's Fourth Republic

In modern democratic societies such as Nigeria, political participation is always envisaged as a strong component of a democratic government. However, as noted by Isma'ila (2016), the fact that a non-military government has reemerged in Nigeria with a framework for a constitutional governance, democratic governance cannot be assured. In this regard, if democratic governance or consolidation cannot be assured, it equally means that political participation is threatened. As he further explained, in a democratic state, there must be respect for the tenets of democracy such as the conduct of credible elections, respect for human rights, popular participation in political affairs and peaceful change of government. In the fourth republic, therefore, he listed corruption, political and electoral violence, weak democratic institutions like the legislature, the executive, political parties as the major challenges of democratic governance and political participation in Nigeria. These ills as shortlisted above are in sharp contrast with the doctrine of liberal democracy.

Also, the issues of selfish interest, personalized power, ethnic and religious preference have made development and human progress to remain questionable. The omission of women in politics, extreme human rights abuses, electoral violence and malpractices, constitutional challenges among other ills have remained strong in the system (Omodia, 2011; Uwa et al., 2018). In any political system where the issue of corruption and electoral violence are evident and perverse such as Nigeria, the political system cannot be economically viable, neither can the system develops enough needed affection for political participation and consolidation of democracy as the vote of the people do not count (Ogundiya, 2010).

Political participation as one of the tenets of democracy is found to be liberal and unrestrictive (Arowolo & Aluko, 2010), and it is as old as human community (Abubakar, 2012). Therefore, the importance of political participation in a democracy either primitive or civilized, is to pursue the control of power and influence decision making in the society (Arowolo & Abe, 2008; Arowolo & Aluko, 2010). However, and in Nigeria's fourth republic for instance, corruption, unfulfilled pledges and deceit by politicians have continued to play a high negative role in discouraging a good number of Nigerians from taking active part in political activities in the country. Political apathy continues to grow owing to deliberate deception

and ignorance of some political leaders (Falade, 2014). Also, the disfranchisement of women in Nigerian politics has remained disturbing and alarming (Arowolo & Aluko, 2010). By implication, the negative indices remain a huge constraint to the practice of the tenets of liberal democracy, democratic consolidation and popular participation of citizens. Following the above, therefore, it would not be wrong to say that a lot needs to be done in order to address all these challenges in the system. The people need to enjoy better participation in the politics and governance of their country, which is the essence of democracy and good governance in any presidential and constitutional democracy such as Nigeria.

Consolidation of Democratic Governance and Political Participation in Nigeria's Fourth Republic

The consolidation of democratic governance and political participation in any political system, lies in the understanding of the two concepts and how they operate within the principles of a liberal democracy. We must first understand that democratic governance simply involves ruling the people within the principles of democracy which functions through the consent of the people, while political participation involves the voluntary participation of the public in the affairs of their state (Okafor & Okafor, 2018). As Omodia and Aliu (2013) noted, it was expected of any democratic society to practice and promote popular participation, constitutionalism, accountability and transparency, respect human rights and the rule of law, and ensure integrity in the management of public resources. These values basically represent the main essence of democratic governance (Salisu & Avidime, 2016). According to Omodia and Aliu (2013), the attributes above are vital to the ability of democratic governance to ensure and fortify popular trust, social contract, state legitimacy and promote political and socio-economic development in the country that would ensure effective consolidation of democracy and political participation.

Drawing from the above, and from the dissection of the state of democratic governance and political participation in the Nigeria's fourth republic, it is understandable that the practice has not been more positive to Nigerians. Though, there may be existence of the legislature, their oversight over the executive, multi-party system, uninterrupted transitions, different citizens vying for political positions through elections as noted by Salisu and Avidime (2016), yet, the level of success relating to the practice of democratic governance in the country appear to be overshadowed by the problems of political and electoral violence, poverty, widespread of unemployment, poor industrialization, poor infrastructure, failure of security over lives and properties, weak governance institutions, illiteracy, and political corruption which continue to work against popular participation and consolidation of democratic governance in the country. The above ills were also supported by Falade (2014), Oke (2010), Okafor and Okafor (2018), amongst others.

As the tenets of the liberal democratic theory, supported by the Freedom House and the African Economic Intelligence Unit advocate that in a democracy, the state must promote civil liberty, citizens' rights, capitalism, freedom of speech, multi-party system, free and fair periodic elections build on universal franchise, freedom of pressure groups, the rule of law, separation of powers, checks and balances, corruption-free society through transparency and accountability in the management of public resources, popular participation and easy change of government, the Nigerian political system, therefore, must be reorganized in a manner that would practice and adhere to the above principles. The institutions of democracy must be consolidated to serve the interest of the people. The political processes must be violent free, and women accommodated in order to promote participation and democracy consolidated. Only then, shall we continue to discuss about good governance, popular participation and consolidation of democratic governance in the country. They must be done with all sense of responsibility to favor the public interest.

CONCLUSION

The central thrust of this article was built on the objective to generally examine and understand the state of democratic governance and political participation in Nigeria's Fourth Republic 1999. As observed from the prelude, democratic governance is envisaged as the promotion and practice of good governance, civil liberty, freedom of civil society groups,

the rule of law and the active participation of the citizens in their political system. It is simply exercising state's power in line with the tenets of democracy as also demonstrated by the liberal democratic theory. While participation is an ingredient of democratic governance which simply means the active engagement of the citizens in the political life of their country. The study relied on descriptive qualitative method of research, secondary data generated, reviewed literatures and the liberal theory of democracy. Results emerged showed that since the return of democracy in 1999, which marks the beginning of the fourth republic, the state of democratic governance and political participation has been stagnant due to various negative indices working against the system. Some of these negative indices include political and electoral violence, corruption, selfish interest of leaders and weak institutions. It also found that many Nigerians no longer have trust in their leaders, as they were revealed to be selfish to the plights of the masses. They often make promises but fail to fulfill such to the people. By implication, the nature of the political system and the character of the political leaders discourage political participation, consolidation of democratic governance, as well, against the tenets of the liberal democratic theory.

Following the above, therefore, there is need that the political leaders must practice, promote and adhere to the doctrines of the constitution, the tenets of liberal democracy, and respect the interest of the

people who gave them their consent to rule over them. The political system and the electoral processes must be made to be transparent and accountable in order to promote a just system. The citizens rather than becoming disinterested in the political system, must endeavor to hold their leaders accountable to serve their interests. They must actively participate in the political processes and ensure that selfish leaders are not allowed to have access to any public office. Through the genuine practice of the above, an effective democratic governance and political participation shall be achieved and consolidated in Nigeria. In this nature, this study would not only benefit the political institutions, public figures, citizens, researchers alike, but also adding to the body of literature in this field. Lastly, and to continue expansion of the body of knowledge in this field, further research can also be conducted in the area of women political participation in Nigeria. The extent of youth participation, and public opinion with regards to the rule of law and democratic consolidation under the current led government of the All Progressive Congress party in Nigeria.

ACKNOWLEDGEMENT

The authors naturally acknowledge the support rendered by the School of International Studies, Universiti Utara, Malaysia. Most honorably, to Professor Dr. Muhammad Fuad Othman, the current Dean of the School of International Studies who also stands as the supervisor.

REFERENCES

- Abubakar, A. A. (2012). Political participation and discourse in social media during the 2011 presidential electioneering. *The Nigerian Journal of Communication*, 10(1), 96-116.
- Adeosun, A. B. (2014). Democracy and democratic consolidation in Nigerian fourth republic: Issues and challenges. *Journal of Humanities and Social Science*, 19(10), 05-10. https://doi.org/10.9790/0837-191060510
- Agaigbe, F. M. (2015). Voter apathy and voter turnout in the 2015 general elections: The Benue state experience. https://www.inecnigeria.org/wpcontent/uploads/2019/02/Conference-Paper-by-Faeran-Agaigbe2.pdf
- Agbalajobi, D. T. (2010). Women's participation and the political process in Nigeria: Problems and prospects. *African Journal of Political Science and International Relations*, 4(2), 075-082.
- Aliu, M. (2014). The state, development and governance in Africa: The Nigerian experience. Journal of Humanities and Social Sciences, 19(4), 21-32.
- Appadorai, A. (2004). The substance of politics (Fourth impression). Oxford University Press.
- Arowolo, D., & Abe, O. (2008). Features of the present international power system. In D. Arowolo (Ed.), Contemporary issues in international relations (pp. 137-142). Prince way-Gbade Ltd.
- Arowolo, D., & Aluko, F. S. (2010). Women and political participation in Nigeria. *European Journal of Social Sciences*, 14(4), 581-593.
- Arowolo, D. E., & Aluko, O. A. (2012). Democracy, political participation and good governance in Nigeria. *International Journal of Development* and Sustainability, 1(3), 797-809.
- Bentham, J. (1789). *An introduction to the principle of morals and legislation*. T. Payne, and Son.

- Braun, V., & Clarke, V. (2013). Successful qualitative research: A practical guide for beginners. Sage.
- Collin, P. (2015). Young citizens and political participation in a digital society: Addressing the democratic disconnect. Springer. https://doi.org/10.1057/9781137348838 7
- Edosa, E. (2014). National integration, citizenship, political participation and democratic stability in Nigeria. *AFRREV IJAH: An International Journal of Arts and Humanities*, *3*(3), 61-82. https://doi.org/10.4314/ijah.v3i3.6
- Falade, D. A. (2014). Political participation in Nigerian democracy: A study of some selected local government areas in Ondo State, Nigeria. *Global Journal of Human-Social Science*, 14(8), 17-23.
- Fashagba, J. Y., Ajayi, O. R. M., & Nwankwor, C. (Eds.). (2019). *The Nigerian National Assembly*. Springer Cham.
- Fayemi, J. K. (1998). The future of demilitarization and civil military relations in West Africa: Challenges and prospects for democratic consolidation. African Journal of Political Science/Revue Africaine de Science Politique, 82-103.
- Fayemi, J. K. (2000): Beyond presentability: Civilmilitary relations and the future of democratic consolidation in West Africa. Centre for Democracy and Development (CDD) 12. https://www.slideshare.net/kayodefayemi/ beyond-presentability-civilmilitary-relationsand-the-future-of-democratic-consolidation-inwest-africa-11537194
- Gabriel, C. (2011, April 23). The task before Jonathan. *Vanguard*. https://www.vanguardngr.com/2011/04/the-task-before-jonathan/
- Hobbes, T. (1651). Leviathan. Blackwell.
- Isma'ila, Y. (2016). Malpractices in Nigeria's Fourth Republic elections: Challenges of democratic governance [Doctoral dissertation]. Universiti Utara Malaysia.

- Isma'ila, Y., & Othman, Z. (2016): Globalization and democratization in Nigeria's quest for democratic governance in the Fourth Republic. *Mediterranean Journal of Social Science*, 7(1), 386-396. https://doi.org/10.5901/mjss.2016. v7n1p386
- Kwasau, M. A. (2013). The challenges of democratic consolidation in Nigeria's Fourth Republic. European Scientific Journal, 9(8),181-192.
- Leke, O. K. E. (2015). Democracy, women's political participation and the policy environment in Nigeria. *Developing Country Studies*, 5(10), 1-8.
- Loader, B. D., Vromen, A., & Xenos, M. A. (2014). The networked young citizen: Social media, political participation and civic engagement. *Information, Communication & Society, 17*(2), 143-150. https://doi.org/10.1080/1369118x.2013.871571
- Magilvy, J. K. (2003). Qualitative designs. In K. S. Oman, M. Krugman & R. Fink (Eds.), *Nursing research secrets* (pp. 123-128). Hanley & Belfus, Inc.
- Michels, A. (2011). Innovations in democratic governance: How does citizen participation contribute to a better democracy? *International Review of Administrative Sciences*, 77(2), 275-293. https://doi.org/10.1177/0020852311399851
- Mill, J. S. (1892). *On liberty*. Longmans, Green and Co.
- Mohammed, U. (2013). Nigeria's electoral system: A challenge to sustainable democracy in the Fourth Republic. *International Journal of Innovative Research and Development* 2(2), 567-581.
- Nwebo, O. E. (2018). The African Union agenda 2063 and the imperative of democratic governance. *Law and Development Review*, *11*(2), 259-276. https://doi.org/10.1515/ldr-2018-0019
- Oddih, M. (2007). Electoral fraud and the democratic process: Lessons from the 2003 elections. In A. Jega & O. Ibeanu (Eds.), *Elections and the future*

- of democracy in Nigeria (pp. 147-185). Nigerian Political Science Association.
- Ogbonnaya, U. M., Omoju, O. E., & Udefuna, N. P. (2012). The challenges of democratic governance in Nigeria's fourth republic. *Mediterranean Journal of Social Sciences*, 3(11), 685-685.
- Ogundiya, I. S. (2010). Democracy and good governance: Nigeria's dilemma. *African Journal of Political Science and International Relations*, 4(6), 201-208.
- Ojo, J. S. (2013). An assessment of gender inequality in democratic politics in the fourth republic in Nigeria (1999-2003). *International NGO Journal*, 8(7), 138-145. https://doi.org/10.5897/INGOJ2013.0278B
- Okafor, S. O., & Okafor, J. C. (2018). Political violence and the prospect of democracy in Nigeria: A survey of the south-east geopolitical zone of Nigeria. *Journal of Political Science and Public Affairs*, 6(3), 1-9. https://doi.org/10.4172/2332-0761.1000331
- Oke, L. (2010). Democracy and governance in Nigeria's Fourth Republic. *International Multidisciplinary Journal, Ethiopia, 4*(3a), 31-40.
- Omodia, S. M. (2011). Sustaining democracy through functional political culture in the Nigerian fourth republic. *Trakia Journal of Sciences*, 9(4), 75-78.
- Omodia, S. M., & Aliu, M. (2013). Governance and threats to national security in emerging democracies: A focus on the Nigerian Fourth Republic. *Research on Humanities and Social Sciences*, 3(4), 36-42.
- Oni, E. O. (2014). The dynamics of women political emancipation and political participation in Nigeria. *Journal of Sustainable Development in Africa*, 16(3), 99-112.
- Oni, S., & Joshua, S. (2012). Gender relations in Nigeria's democratic governance. *Journal of Politics and Governance*, 1(2/3), 4-15.

- Organization for Security and Co-operation in Europe. (2011). Office of Democratic Institutions and Human Rights. https://www.osce.org/odihr/democratic-governance
- Salisu, O. U., & Avidime, S. S. (2016). Assessing democratic governance in the Nigerian Fourth Republic, 1999-2014. European Scientific Journal, ESJ, 12(29), 142. https://doi. org/10.19044/esj.2016.v12n29p142
- Smith, A. (1774). An inquiry into the nature and cause of the wealth of nations. Bartam Classic.
- Ujomu, P. O., & Olatunji, F. O. (2014). Democratic theories and the problem of political participation in Nigeria: Strengthening consensus and the rule of law. *Human Affairs*, 24(1), 120-135. https://doi.org/10.2478/s13374-014-0211-3
- Uwa, O. G., John, A. E., Dauda, B. O., & Oyindamola, O. (2018). Political participation and gender inequality in Nigerian fourth republic. *Global Journal of Political Science and Administration*, 6(5), 22-38.

- Vincent, O. V., & Tunde, S. R. (2018). Nigeria and 21st century democratic dispensation. *Asian Journal of Multidisciplinary Studies*, 6(1), 121-125.
- Wilson, G. (2013). The politics of local government reforms and democratic governance in Nigerian local governments. *Developing Country Studies*, 3(1), 136-143.
- Wright, J. G., & McKeever, P. (2000). Qualitative research: Its role in clinical research. *Annals of the Royal College of Physicians and Surgeons of Canada*, 33, 275-280.
- Yagboyaju, D. A. (2011). Nigeria's fourth republic and the challenge of a faltering democratization. *African Studies Quarterly*, 12(3), 93-106.
- Yusuf, A. Y. (2018). The legislative functions and democratic consolidation in Nigeria 's Fourth Republic, 1999-2015 [Doctoral dissertation]. University Utara Malaysia.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

The Nigerian State and International Human Rights Laws in the Fourth Republic

Solomon I. Ifejika

Department of Political Science and International Relations, Landmark University, Omu-Aran, Nigeria Landmark University SDG 16 (Peace, Justice and Strong Institutions) Research Group

ABSTRACT

Nigeria, during her long period of military dictatorship, earned an appalling human rights record accompanied by various degrees of sanctions by the international community. Underlying these odious developments were the various instances of violations and gross disrespect for international human rights law by the successive governments of the day. Thus, as part of the efforts at redeeming the country's global human rights image, prodemocracy forces pushed for the return of the country to the democratic system, a desire that eventually materialized in May 1999. This paper, therefore, examined Nigeria's commitment to international human rights instruments towards the actualization of the International Community's goal of Universal Human Rights. Relying on data collected through the secondary sources and the qualitative-descriptive method of data analysis, the study found, that Nigeria had exhibited an appreciable commitment to the actualization of the International Community's goal of Universal Human Rights having ratified several important international treaties and conventions for the protection of human rights both at the global and regional levels. However, certain major challenges still hamper the country's full commitment to these instruments, and adequate protection of the fundamental rights and liberties of her citizens. To enable Nigeria to overcome the challenges, the study suggests, among other measures, the revocation of section 12 of the 1999 Nigerian Constitution

ARTICLE INFO

Article history:
Received: 03 September 2020
Accepted: 28 December 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.31

E-mail address: solomonifejika@yahoo.com

to enable seamless domestication and implementation of all existing human rights treaties Nigeria has acceded to, and those it may accede to in future times.

Keywords: Democracy, human rights, international community, international laws, international human rights laws, Nigeria's Fourth Republic

INTRODUCTION

The long period of military rule in Nigeria attracted an appalling human rights record for the country. This period in the country's political history was characterized by extreme human rights abuses by the military dictators which provoked much international outrage. At the epicenter of these gross human rights violations were the regimes of Generals Ibrahim Badamasi Babangida and Sani Abacha. Human rights abuses in Nigeria during the reigns of these two former military heads of states ultimately reached a crescendo. For instance, the annulment of the historic June 12 presidential election, where Chief Moshood Kashimawo Olawale Abiola of the Socialist Democratic Party (SDP) emerged winner over his opponent, Bashir Tofa of the National Republican Convention (NRC) by Gen. Ibrahim Babangida, remains memorable. Also, the unfair trial and unlawful execution of Ken Saro-Wiwa and fourteen other members of the Movement for the Survival of the Ogoni People (MOSOP) by Gen. Abacha's government in 1995, continues to occupy a significant space in major discourses on the politics and governance of the country. These two experiences, among many others, remain part of the monumental political transgressions against the fundamental human rights of Nigerians during military rule, which have now become parts of the country's political history.

Significantly, the annulment of the June 12, 1993, presidential election and the execution of the fifteen Nigerian citizens of the Ogoni ethnic extraction in Rivers

States by the Abacha junta worsened Nigeria's human rights posture both locally and internationally as the actions were in clear contravention of the Nigerian Constitution and international human rights laws. Indeed, according to Birnbaum (1995, p. 10), all the fifteen Ogoni activists were "denied access to ordinary courts or any right of appeal, in violation of their fundamental human rights guaranteed both by Nigerian and international law". Thus, with their tradition of rule by decrees, the military governments in Nigeria committed fundamental human rights atrocities and greatly undermined the significance of the rule of law, a situation that culminated in a strained relationship between Nigeria and the international community during the period. Specifically, Nigeria saw colossal human rights infringements reach their peaks between 1994 and 1998, under the regime of Gen. San Abacha (Federal Republic of Nigeria [FRN], 2006). Apparently, "the abysmal situation of human rights under this regime resulted in Nigeria becoming a pariah state at the international arena and the country was put on the agenda of the United Nations Commission on Human Rights for five consecutive years" (FRN, 2006, p. 3). As its implication, Nigeria during the period was isolated from participating in the global community, and was served various degrees of sanctions which brought untold hardship on the country's population (Egobueze, 2017).

Besides the ugly image this scenario created for Nigeria abroad, the military's protracted transition programme (which slowed-down the process of transition from military to civilian rule), provoked heightened agitations by pro-democracy and humans rights movements in Nigeria. The transition struggle was not an easy task for the pro-democracy allied forces; but it took the unenvisaged death of Gen. Sani Abacha, (the then Head of States, on June 8, 1998) for the dream to eventually materialize on May 29, 1999, with the ushering-in of the democratic government of the erstwhile President Olusegun Obasanjo. This coming of democracy in May 1999, signaled a new lease of atmosphere for human rights in the country, hence the transition from military to civilian rule was considered highly important for Nigeria in that the event brought the country into its Fourth Republic. Relying on secondarily sourced data that was analyzed the qualitativedescriptive method of data analysis, this paper examined Nigeria's efforts towards upholding the universal goal of protecting and promoting individuals' human rights under the Fourth Republic through her commitment to international human rights instruments.

A Review of Related Literature on Democracy and Human Rights Protection

The relationship between democracy and human rights is a classical issue. Scholarly literature, both empirical and theoretically grounded studies, has long established the links between the two concepts. Suffice it to state that the subject matter has been around for a long time, and enjoys substantial

scholarly concern. As Besson (2011, p. 19) contended, "human rights and democracy have been regarded as a mutually reinforcing couple by many political theorists to date". Fundamentally:

...recent developments in human rights theory and especially current discussions on the so-called political conception of human rights that explain human rights *qua* external limitations on state sovereignty make the relationship between human rights and democracy a central feature of future human rights theories (Besson, 2011, p. 20).

While Human Rights are embedded in the idea and concept of Democracy, democracy is in-turn founded on the principles of human rights, in front of all the democratic principle as part of human rights (Kirchschlaeger, 2014).

Thus, democracy and human rights are both intertwined and interwoven. Borrowing the words of United Nations (UN) and International Institute for Democracy and Electoral Assistance (IDEA; 2013, p. 7), "the relationship between democracy and human rights is intricate, symbiotic and mutually constitutive". Simmons (2009, p. 25) corroborated this position when he explained that, "democracies are the natural allies of human rights because as a state becomes more open the public gains the ability to mobilize and press for increased rights". No mention of democracy is meaningful without reference to human

rights. Of course, it is difficult to define democracy without human rights (UN & International IDEA, 2013). At the heart of democracy lie liberties and freedom of expression. Human rights, from a procedural stance, are a basis for political opinion-building and decision-making process which provides every human being favourable conditions to partake in the political process (Kirchschlaeger, 2014).

The idea of equal political status is a fundamental democratic tenet because democracy is commitment to the equal political status of all persons. Just as human rights, democracy invigorates and enables political equality. The mutual relationship between human rights and democracy is confirmed by their common grounding in political equality (Besson, 2011). Of all forms of governments, democracies show greater respect for the rule of law and human rights of persons, which is a precondition for harmonious living. "Studies on compliance with international law suggest that democratic states have greater respect for their international legal obligations because they have experience with the rule of law at the domestic level" (Simmons, 2009, p. 14). Also, "the significance of democracy as a way to promote respect for human rights resides in the fact that it offers the promise of providing short-term strategic guidance for reformers and policy makers" (De Mesquita et al., 2005, p. 439).

No other systems can guarantee effective protections of human rights than the democratic states (UN & International IDEA, 2013). Undoubtedly, democracies

strive to preserve human rights as individuals' rights are obviously less prone to abuses in democracies than in other forms of governance arrangements. "A rights-based approach to democracy grounded in the rule of law is considered increasingly the most consistent safeguard against human rights abuses" (UN & International IDEA, 2013, p. 6). Researches on human rights have ceaselessly demonstrated the indispensability of the democratic system in minimizing violations of personal integrity (De Mesquita et al., 2005). The UN and International IDEA expatiates this fact as follows:

A functional democracy that accommodates diversity, promotes equality and protects individual freedoms is increasingly becoming the best bet against the concentration of power in the hands of a few and the abuse of human rights that inevitably results from it, in turn, the greatest protection of human rights emanates from a sustainable democratic framework grounded in the rule of law (2013, p. 7).

The UN & International IDEA further argues, on the other hand, that:

The success of democracy-building will be directly affected by the inclusive and consultative nature of the constitution making process, as much as by the eventual contents of the constitution. Human rights standards and jurisprudence provide

a detailed foundation for processes that are inclusive and consultative, as well as for the substance of what is contained in a constitution (2013, p. 10).

Thus, there cannot be substantial improvements in human rights without a viable democracy and effective institutions. Democracy and human rights are inseparable elements. Whereas progress in human rights requires significant improvements in democratic governance practices, human rights are a part of the major determinants of the strength and acceptability of any acclaimed democracy.

Theoretical Framework

The Blackstonian doctrine which emanated from William Blackstone's Commentaries on the Law of England published, 1765-1769 (Schorr, 2009), is the theoretical framework of analysis upon which this study is anchored. His Commentaries on the Laws of England serve both as a theory of law and a theory of rights in the lens of which the actions of states can be viewed and evaluated (Workmaster, 1999/2000). Blackstone wrote his Commentaries in favour of the common law, and sought to strengthen or protect it against anything that might render it weak (Callies, 2000). Thus, he strongly advocated the perfection of the common law (McKnight, 1959). Blackstone, held and esteemed the common law as the basis for all English legal decisions or proceedings, and common law did not permit the changing of law to reflect

common social beliefs by accretion but by avulsion (Callies, 2000). Accordingly, "the Blackstonian doctrine essentially states that international conventions or treaties are not directly enforceable in national legal systems unless provisions of such treaties or conventions have been re-enacted, by municipal legislative authority, into domestic law" (Dada, 2012, p. 38). This domestication is aimed at preventing the weakening of national law of states. Within the Blackstonian doctrine, the effectiveness of international agreements and treaties would be the function of the extent of the domestication or incorporation of their provisions into the national legal systems of states (Dada, 2012).

MATERIALS AND METHODS

This study is a descriptive research that investigates the Nigerian State under its Fourth Republic concerning international human rights instruments. The study employs the secondary method of data collection. The secondary data were sourced from books, journals, publications of National Human Right Commission of Nigeria, daily newspapers as well as the Internet. The data were analyzed using the qualitative-descriptive method of data analysis, consisting of instruments such as content analysis, inferences and logical arguments.

RESULTS AND DISCUSSIONS

The discussion of the study is presented thematically under, in sync with the summary of the findings stated as follows.

Summary of the Findings

- Nigeria under the Fourth Republic had shown demonstrable commitment in supporting the international community's efforts towards ensuring the attainment of the universal goal of adequate protection and promotion of human rights through her ratification and signing of numerous most important international human rights treaties or conventions at both global and continental levels.
- Despite the profound successes
 Nigeria has recorded in the field
 of human rights, the country is,
 however, still confronted with
 certain salient issues which
 blighting its commitment and actual
 fulfillment of her international and
 national human right obligations.

Nigeria and International Human Rights Instruments in the Fourth Republic

The Nigerian state has shown considerable level of commitment and support to the international community in the area of safeguarding human rights by ratifying and signing a good number of important global and regional human rights agreements (FRN, 2006). At the international level, human rights pacts the country presently accedes to include "the International Covenant on Civil and Political Rights (ICCPR) and its Optional Protocol on individual communications, the International Covenant on Economic, Social and Cultural Rights (ICESCR), the

Convention Against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment (CAT)" (International Federation for Human Rights [IFHR], 2010, p. 8). Others are "the International Convention on the Elimination of all Forms of Racial Discrimination (CERD), the Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) and its Optional Protocol, and the Convention on the Rights of the Child (CRC)" (IFHR, 2010, p. 8).

In the African region, Nigeria is party to many human rights charters. These include "the African Charter on Human and Peoples' Rights, the African Charter on the Rights and Welfare of the Child, and the African Charter on the Rights of Women in Africa" (IFHR, 2010, p. 8). In the meantime, she is the only country in Africa that made a determined effort and "domesticated the Charter on Human and People's Rights" (IFHR, 2010, p. 8). This step by Nigeria represents a milestone in the country's efforts at incorporating global and regional human treaties (FRN, 2006). Besides, as part of her commitment to upholding human dignity and rights, Nigeria has also prepared and submitted human rights reports to the United Nations and the Africa Commission. Among these are "the Report on The Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW), submitted to the UN; the Report on the UN Convention on the Rights of the Child, submitted to the UN" (FRN, 2006, p. 10). On the regional level this includes "the Report on the African Charter on Human and Peoples' Rights, submitted to the African Commission" (FRN, 2006, p. 1). Additionally, there are other achievements Nigeria has made in international human rights domain. Besides successfully establishing her presence and prominence within global community through active participation, especially in recent times, Nigeria fielded a candidate and gallantly won the membership of the United Nations Human Rights Council (HRC) in 2006. Subsequently, precisely in June 2008, Nigeria also won election as the President of UN's HRC, and served in that capacity up to June 2009 (IFHR, 2010). At regional level, Nigeria in November 2008, "hosted the 44th session of the African Commission on Human and People's Rights (ACHPR). In December 2008, the then country's President Umaru Musa Yar'Adua (late) was elected the new Chairman of the Economic Community of West African States (ECOWAS), to serve for one year" (IFHR, 2010, p. 8).

While appreciating Nigeria's role on global and continental fronts, it should be borne in mind that the concept and idea of human rights cannot be said to be entirely new to the country. However, in modern times, Nigeria began to recognize the importance of upholding the individual dignity and human rights formally after her independence in 1960. Nigerian Constitutions including "the 1960 independence Constitution, the Republican Constitution of 1963, the 1979 Constitution and the current 1999 Constitution" (Dada, 2012, p. 34), have all recognized and given

proper attention to human rights. These constitutions contain adequate provisions for the protection of human rights. As a matter of fact, the 1999 Constitution (as amended) which is presently in operation has devoted two chapters consisting of twenty six sections, to human rights issues (Dada, 2012).

Practically speaking, Nigeria's human rights situation has, no doubt, improved tremendously under the Fourth Republic. In a statement, the former US Ambassador to Nigeria between 2010 and 2013, Terence P. McCulley unequivocally testified to this claim when he noted within his three years as the US Ambassador to Nigeria, that the country had recorded progress in the field of human rights. In buttressing his point, McCulley alluded to 2011 elections which were for him the most free and fair elections in the history of the nation; the committed reconciliation efforts in the North; the enactment of the Freedom of Information Act (FIA); and the visible efforts of the House of Representatives towards managing security and corruptionrelated cases in the country, including its recent ordering of an investigation into rising cases of extrajudicial killings by the police (McCully, 2013). Among other giant strides made in the field of human rights field, "Nigeria has also set up mechanisms and adopted laws aimed at ensuring respect for human rights, including for example the establishment of the National Human Rights Commission...and the creation of State Directorates for Citizens Rights" (IFHR, 2010, p. 10). Therefore, overall, Nigeria has

demonstrable track record of commendable efforts and commitment at the international, regional, and national levels, towards the realization of the international community's human rights aspirations.

Despite these feats, however, the country is still faced with some obstacles in attaining desired heights in human rights endeavor. The most important of these challenges are hereby examined.

Challenges to Nigeria's Commitment to International Human Rights Instruments

Despite Nigeria's commendable efforts and successes in international, regional and national human rights environments, the country, from the optics of this study, is still confronted with some notable challenges which limit her commitment to international human rights instruments such as follows.

Legal Challenge: The Domestic Legal System Perspective. The major barrier to Nigeria's commitment to, and compliance with international human rights treaties stems from the core proposition of the Blackstonian doctrine employed as the basic framework of analysis in this study, which Dada (2012, p. 38) described as "doctrinal relationship between the international human rights instruments and the domestic (municipal) law; which includes the constitution". In concordance with the tenet of the Blackstonian doctrine, this relates essentially to the Nigerian domestic legal system and the supremacy attached to the country's constitution over international

laws including human rights treaties. Dada (2012) explained that section 12 of Nigeria's Constitution contained an inherent shortcoming which served as a basis for assessing the status of all treaties within the country's legal framework. The said section of the Constitution stipulates thus: "No treaty between the federation and any other country shall have force of law except to the extent which any such treaty has been enacted into law by the National Assembly" (FRN, 1999). As can clearly be deduced, "the implication of the above provision is that the efficacy of a treaty is dependent and predicated on its "domestication" (Dada, 2012, p. 38).

From the foregoing, it becomes apparent that section 12 of the Constitution constitutes a great impediment to the country's commitment and fulfillment of her obligation to international human rights instruments to which it is a party. Based on the argument of the Blackstonian doctrine, the resultant consequence is that, the several human rights treaties Nigeria accedes to have little or no meaning and impact unless the National Assembly of the country adopts and re-enact them, as those instruments are not automatically binding on Nigeria. Thus, Nigeria merely being a signatory to various international human rights treaties does not really transform into much concrete impact on the human rights environment at all levels, as those treaties have no force on the country. The interpretation of section 12 of the Constitution by the Nigerian Supreme Court goes further to explain the implication of the provision in simple terms, thus: "An international treaty to which Nigeria is a signatory to does not *ipso facto* (meaning 'as a result', or 'for this reason') become a law enforceable as such in Nigeria. Such a treaty would have the force of law and therefore applicable only if the same has been enacted into law by the National Assembly..." (Dada, 2012, p. 38).

The Supreme Court states further that, though treaties are equal and similar in status with domestic legislation, the Constitution enjoys preeminence over treaties (Dada, 2012). Advancing its argument, the court refers specifically to the African Charter on Human and People's Rights (Ratification and Enforcement) Act, and states as follows:

It is a statute with an international flavor. Being so...if there is a conflict between it and another statutes its provisions will prevail over those of other statutes for the reason that it is presumed that the legislature does not intend to breach an international obligation... The Charter possesses "a greater vigour and strength" than any other domestic statute but that is not to say that the charter is superior to the constitution (Dada, 2012, p. 39).

Consequent upon this, Dada (2012) posited that the provision of section 12 of Nigerian Constitution limits, restricts, circumscribes and abridges international human rights treaties to which Nigeria was a signatory. He further alluded that, given the prevailing circumstance Nigeria's 1999 Constitution represented a major

obstacle to international jurisprudence and goals of human rights as its section 12 provision stands to discourage the Nigerian Government from fulfilling its international obligation in compliance with the several international human rights instruments to which the country is a party (Dada, 2012). Ideally, proper protection of the human rights articulated in international instruments necessitates that national constitution are governed by international human rights instruments because issues relating to human rights transcend the exclusive domestic jurisdiction of States (Dada, 2012). As long as section 12 provision in the Nigerian 1999 Constitution remains valid and applicable, successive governments in the country would be enjoying unwarranted immunity from international human rights treaties. This portends unprecedented negative consequences for the protection and promotion of human rights at international, regional, and national levels.

Institutional Challenge: The Judicial System and Security Agencies Perspective.

The weaknesses in Nigeria's judicial system and the odious role of government security agencies. i.e., institutions meant to defend and protect citizens' rights, are themselves one of the major obstacles to optimal realization of human rights aspirations in the country. Nigeria's Civil Society Organizations (SCO) Coalition (2008, p. 5) summarizes the pitfalls of the judiciary thus:

The existing system of administration of justice in Nigeria is grossly inadequate. Access to courts and justice is obstructed by inefficient legal aid, court congestion, high costs of litigation, poor and inadequate court facilities, cumbersome system of recording court proceedings (leading to delay and abuse of processes), archaic and non-uniform rules of procedure, and corruption in the clerical and administrative cadre.

On the other hand, the security agencies present another fundamental problem. They are known to be involved in excessive use of force and grave human rights violations. Generally, the trend of extrajudicial killings, illegal detentions and destruction of properties by Nigerian security forces has remained worrisome and such acts create a deadly cycle of mistrust, harming the very citizens the security agencies pledge to protect (McCully, 2013).

The United States Department of State and Bureau of Democracy, Human Rights, and Labour (BDHRL; 2017) confirmed McCully's claims by asserting that government security agencies in Nigeria were committing arbitrary and unlawful killings. It stated that "the national police, army, and other security services used lethal and excessive force to disperse protesters and apprehend criminals and suspects and committed other extrajudicial killings" (U.S. Department of State and BDHRL, 2017, p. 2). Similarly, the IFHR (2010, p. 20) attested that the Nigerian police and the military were responsible for human rights abuses when it asserted that "the military and the police are in many cases involved in human rights violations against the population, including extrajudicial killings. It is reported that the military and the policy extort money at roadblocks and there have been cases where they have reacted to refusals to pay by killing". Beholding the prevailing situation, it becomes crystal clear that the judicial system and the security forces in Nigeria are a serious impediment to actualization of the dreams of human rights in the country. Whereby these two key institutions for the promotion of respect for, and protection of human rights are in themselves contributory to the violations of human rights of the citizens, the hope of the common man is dimmed.

Leadership and Economic Challenges: The Political Corruption and Poverty Phenomenon Perspective. Political corruption has been widely recognized as one of the key challenges to democracy and good governance in Nigeria vis-à-vis protection of fundamental rights of the citizens. Unarguably, record has it that Nigeria has severally been mentioned among the world's most corrupt countries by various international good-governance and anti-corruption institutions. Importantly, Ikpeme (2014, p. 27) posited that "corruption has been noted by many researchers as a major problem confronting human rights system in Nigeria". Indeed, culture of impunity and institutionalized corruption, especially among government officials and/ or political office-holders seriously inhibit the protection and promotion of human rights in Nigeria. The US Department of

State and BDHRL (2017) brought to the fore that the law provides criminal penalties for conviction of official corruption in Nigeria, but the rate at which officials continued to engage in corruption and impunity had remained very disturbing because the law was not being effectively implemented. Massive, widespread, and pervasive corruption continues to beset Nigeria in all facets and at all levels of government, including the security agencies. The immunity clause in Section 308 of the 1999 Nigerian Constitution shields political office-holders including the president, vicepresident, governors, and deputy governors from being prosecuted on civil and criminal grounds while in office (US Department of State & BDHRL, 2017).

Consequently, they hide under the cover of the constitutional immunity to perpetuate corrupt practices that put the fundamental human rights of the citizens into jeopardy. The two major Nigerian anti-corruption agencies established to handle case of corruption involving government officials - The Economic and Financial Crimes Commission (EFCC) and the Independent Corrupt Practices and Other Related Offences Commission (ICPC) appear to be weak. The anti-corruption agencies are weakened by political influences and interferences. Originally, the agencies are empowered by law to prosecute corrupt officials, but undue meddlesomeness in their activities by the political class whittles down their effectiveness. Officials of the agencies who attempt to play by the rules in the discharge of their duties are often

harassed and frustrated by the higher powers. Recalling one of the memorable examples, the IFHR (2010, p. 22) narrated that:

A case that received significant media attention involved two members of the Economic and Financial Crimes Commission (EFCC), the body established to fight against corruption. In August 2008, Mr. Ibrahim Magu, former EFCC official, was arrested in connection with documents in his possession which it is believed were related to the EFCC's investigations into corruption at various levels of Government. When this fact-finding mission took place, Mr. Ibrahim Magu was still in detention and no charges were brought against him. On the same day, Mr. Mallam Nuhu Ribadu, EFCC Chairperson, who was investigating acts of corruption by top Government officials, was demoted from the post of Assistant Inspector-General of Police to Deputy Commissioner of Police as a way of intimidating him from releasing the facts and evidence about acts of corruption. In both cases, domestic and international anticorruption groups reported that the arrest of Mr. Magu and the demotion of Mr. Ribadu were motivated by their work at EFCC.

It is a truism, therefore, that in Nigeria, human rights defenders and civil servants

working on anti-corruption and good governance are often targeted and harassed (IFHR, 2010). Given this situation, impunity is the order of the day in Nigeria. The socalled powerful politicians and influential government officials in sacrifice the economic rights and well-being of citizens on the altars of corruption and impunity. Corruption in Nigeria obstructs good and responsive governance, depriving the citizens of their rights to basic social goods and services. It is "a factor that creates a vicious circle where human rights awareness is constantly paired with and undermined by harsh realities of poor economic and political performance...Corruption is both the cause and the consequence of political turbulence, human rights abuses and under-development" (Ikpeme, 2014, p. 27). Corroboratively, corruption in Nigerian context leads to diversion of financial resources from building of important socioeconomic infrastructures that would cause businesses to flourish, attract foreign direct investments, and create job opportunities (McCully, 2013). In Nigeria, it is also observed that the, "very often officers who are expected to use their positions to promote human rights often collect bribe and turn their backs on terrible human rights violations meted on the masses" (Ikpeme, 2014, p. 27). This, of a truth, is the reality; this trend occurs almost daily in Nigeria's national life.

On the other hand, Nigeria is blessed with abundant human and material resources, albeit the country ranks as one of the poorest countries in the world (Ogbonnaya et al., 2012). The United Nations Development Programme (UNDP; 2009) observed that hunger showed its ugly face in most Nigerian homes where the average citizens struggled with a life of abject poverty. Hence, "the poor is alienated from himself as he lacks the wherewithal to afford the basic necessities of life such as education, medical facilities and so forth" (UNDP, 2009, p. 27). The prevalence of poverty among majority of Nigerians has much adverse impact on the human rights climate in the country. Poverty, as Christine (2001) put it, reduces human dignity and consequently the very core of human rights (as cited in Odeku & Animashaun, 2012). One of the most concrete ways in which extreme poverty affects human rights in Nigeria is in the area of access to justice. Section 46 of the Nigerian Constitution regards the rights to access to court and legal aid to Nigerian citizens in Nigeria as fundamental rights and guarantees them. Notwithstanding this, poor Nigerians mainly regard access to justice for the enforcement of their rights as exception rather than the rule (Brems & Adekoya, 2010; as cited in Odeku & Animashaun, 2012).

This is because as Ogbonnaya et al. (2012, p. 689) argued, "life generally in Nigeria is threatened by absolute and abject poverty... Although Nigerian economy is paradoxically growing, the proportion of Nigerians living in poverty is increasing every year". Thus, the poor Nigerian would prefer to use the little financial resources in his disposal to cater for the daily needs of himself and family rather go to court to

spend it even when their fundamental rights are trampled upon. This is more so as the cost of litigation in the country is very high. Again, average Nigerians do not also have trust and confidence in the Nigerian legal system; there is the belief that justice can be subverted even in the case of clear violation of their rights due to the corrupt tendencies of some 'bad eggs' in the judicial system - corrupt judicial officers who are ready to receive bride from the rich-oppressors. Hence, defending their rights in the courts is more or less considered as a wasteful adventure. In short, as Ikpeme (2014, p. 28) avered, "the poor can easily collect bribe (usually some annoying token like few cups of rice or bread) and gladly allow their rights to be infringed upon or deny them". This is quite true because poor Nigerians are arguably more concerned about how to ensure they meet their daily needs than issues bothering on their rights.

Social and Cultural Challenges: The Illiteracy and Mundane Cultural Practices Perspective. High level of illiteracy and certain cultural practices among Nigerian societies greatly inhibit the promotion and protection of fundamental rights and dignity of persons in the country. The menace of illiteracy contributes in no small measure to the appalling states of human rights in Nigeria today. The views of Ikpeme (2014) are noteworthy in this context. He argued that: "illiterate populations do not often show interest in knowing their rights or how to seek redress. They chose to succumb to infringement on their rights than to follow an

enlightened person who offers to show them the way to seek their rights" (Ikpeme, 2014, p. 28). This correctly depicts the situation in Nigeria. Many Nigerians, as a result of illiteracy, do not know either, observably, do they show any desire to know their rights, let alone how and where to seek redress when those rights and fundament freedoms are violated. As a result, they remain somewhat perpetually silent in glaring instances of continuous violations of rights by the educated and state managers. The illiteracy level in Nigeria is alarming. Recently, the Nigerian National Commission for Mass Literacy, Adult and Non-formal Education (NMEC) disclosed that as much as 35% of adult Nigerians are illiterates ("The growing illiteracy", 2019). With this disturbing rate of illiteracy, it becomes apparent why the majority of Nigerians do not know their rights and how to express their fundamental freedoms. Education liberates from ignorance, oppression, and denial or deprivation.

Cultural orientation in the Nigerian society is another significant challenge to the promotion and protection of human rights. The notion of male dominance over women, for instance, poses a unique impediment to realization of the goal of human rights in the country. In Nigeria, as the IFHR (2010, p. 10) observed, "gender inequality is prevalent and institutionalized discrimination against women is also common. Even when specific pieces of legislation exist, as it is the case about gender equality and non-discrimination, they often remain not implemented". This

lap is rooted in cultural belief; Nigerian societies are patriarchal in nature, supporting and sustaining continued dominance of men over women. Women are merely regarded as domestic helpers and not to be seen in the public as social or political leaders (Ikpeme, 2014).

Due to cultural and religious barriers, the female has fewer opportunities in political parties and government in Nigeria (US Department of State & BDHRL, 2017). The subordination of the women folk in Nigeria also affects their rights to education. In Nigeria, men education is regarded as more worthwhile than that of female. As a result of this, "28% of Nigerians who can neither read nor write are women" (Nigeria's CSOs Coalition, 2008, p. 5). To worsen the situation, various harmful traditional practices are common among Nigerian women (Nigeria's CSOs Coalition, 2008). A study by Okome (2011) shows that many Nigerian women are subjected to the tradition of Female Genital Mutilation against their will (as cited in Ikpeme, 2014). This is despite the Federal law that criminalizes female circumcision or genital mutilation in Nigeria (US Department of State & BDHRL, 2017). The communities frown at any human rights issues that attempt to eliminate the age long traditional practices (Ikpeme, 2014).

CONCLUSIONS

Nigeria has recorded some noticeable progress in support of the realization of the universal goal of human rights. The country's effort and commitment in this regard is exhibited in its ratification of several most important international treaties or conventions both at global and continental levels, for the protection and promotion of human rights. Also, the general human rights condition in Nigeria has also improved since 1999, following the restoration of civil rule in the country. However, regardless of these achievements, Nigeria is still grappling with some important issues, with the most prominent directly rooted in the principles of the Blackstonian theory, which constitute obstacles to her commitment to, and fulfillment of her obligations to the international human rights legal instruments to which she has acceded, vis-a-vis the basic objective of protection and promotion of fundamental human rights of her citizens.

Recommendations

Merely identifying the above problems is not enough without finding enduring solutions to them. Thus, the paper recommends the following workable measures below to enable Nigeria to address the challenge so that she can attain her desired dreams and aspirations in the human rights sphere.

1. The Nigerian Federal Government through the Legislature should repeal the provision in the section 12 of the 1999 Nigerian Constitution. Alternatively, the constitution should empower the National Assembly to readily adopt, domesticate, and implement with immediate effect all human rights treaties that Nigeria has already acceded to, as well as

those it might accede to in future, as the case may warrant. This ways, Nigerian Government will be sending strong signal to its citizenry and the international community about the country's sincere and genuine commitment towards upholding the universal goal of enhancing protection and promotion of the dignity and rights of persons. Overall, the step will impact positively on the Nigeria's human rights record and external image.

- 2. There is the need for reforms in the Nigerian judicial system to rid it of all the observed inadequacies.
- 3. Nigerian security agencies should properly re-train their personnel, and constantly organize sensitization programmes for them on issues of human rights and civil-military relations. This could be in the forms of workshops, seminars, and conferences in collaborations with relevant international and national human rights organizations, academics, NGOs among other actors to positively transform their officers' orientations about human rights issues.
- 4. To show that Nigeria is serious in its fight against corruption, the Federal Government through the Legislative arm should abolish the immunity clause in the Section 308 of the 1999 Nigerian Constitution, which protects political office-
- holders from being prosecuted for corrupt acts while in office, from the constitution. Also, any officials, be it the political office-holders, judicial officers or the security agencies alleged of corruption and human rights abuses should be adequately tried, and if found guilty, apportioned due punishment according to the law. Members of the political class should cease from interfering in the operations of the EFCC and ICPC to allow the agencies the required freedom and independence to perform their roles. On their own, the agencies should fully apply the powers bestowed on them by law to handling corrupt cases including those involving high profile people in the country, and avoid being used as instruments of oppression and political witchhunting. The Federal Government should design more pro-active poverty alleviation and mass empowerment programmes that can help Nigerians come out of the doldrums of abject poverty and hardship.
- 5. The Nigerian Federal Government should initiate free and compulsory education programme for Nigerian children, precisely from primary to secondary schools levels to increase access to education and literacy level among future generations of Nigerians. In this wise, Civic Education and Government

should be elevated to the status of compulsory subjects in the country's primary and secondary schools curriculum, respectively. The Federal Government should also design and introduce free adult mass literacy programmes to afford interested adult who may wish to acquire basic academic knowledge opportunity to do so. The Federal Legislature should make laws banning and criminalizing all harmful cultural practices by Nigeria communities. Meanwhile, specifically, the Federal Government needs to expedite actions towards implementing the existing law against traditional Female Genital Mutilation. All states across the federation, irrespective of their religious and cultural configurations must be made to domesticate the law through the state legislatures.

ACKNOWLEDGEMENT

The author would like to thank Dr Romola Adeola of the Centre for Human Rights, University of Pretoria, South Africa, who provided the insights and expertise that assisted greatly in the writing of the paper.

REFERENCES

- Besson, S. (2011). Human rights and democracy in global context: Decoupling and recoupling. *Ethics and Global Politics*, *4*(1), 19-50. https://doi.org/10.3402/egp.v4i1.6348
- Birnbaum, M. (1995). Nigeria fundamental rights denied. Report of the trial of Ken Saro-Wiwa

- and others. https://www.article19.org/data/files/pdfs/publications/nigeria-fundamental-rights-denied.pdf
- Callies, D. L. (2000). Custom and public trust: Background principles of state property law? Environmental Law Reporter, 30, 10003-10023.
- Dada, J. A. (2012). Human rights under the Nigerian constitutions: Issues and problems. *International Journal of Humanities and Social Sciences*, 2(12), 33-43.
- De Mesquita, B. B., Downs, G.W., Smith, A., & Cherif, F. M. (2005). Thinking inside the box: A closer look at democracy and human rights. *International Studies Quarterly*, 49(3), 439-457. https://doi.org/10.1111/j.1468-2478.2005.00372.x
- Egobueze, A. (2017). Nigeria's image, democracy and foreign policy, 1999-2007. *Asian Journal of Social Science Studies*, 2(4), 110-120. https://doi.org/10.20849/ajsss.v2i4.276
- Federal Republic of Nigeria. (1999). Constitution of the Federal Republic of Nigeria, 1999 (with amendments 2011). Federal Government Printer.
- Federal Republic of Nigeria. (2006). National action plan for the promotion and protection of human rights in Nigeria. https://www.ohchr.org/Documents/Issues/NHRA/nigeria.pdf
- Ikpeme, N. J. (2014). A review of socio-cultural factors militating against human rights in Nigeria. *International Journal of Humanities and Social Science Invention*, 3(3), 25-32.
- International Federation for Human Rights. (2010). Nigeria: Defending human rights: Not everywhere not every right: International fact-finding mission report, April 2010. http://www.refworld.org/docid/4bed03412.html
- Kirchschlaeger, P. G. (2014). *The relationship* between democracy and human rights. https://www.sociostudies.org/almanac/articles/files/globalistics and globalization 3/112-125.pdf

- McCully, T. P. (2013, April 29). Nigeria's commitment to human rights. *Chidoonumah.com*. http://www.chidoonumah.com/nigerias-commitment-to-human-rights/
- McKnight, J. W. (1959). Blackstone, quasijurisprudent. *Southwestern Law Journal*, 13(4), 399-411.
- Nigeria's Civil Society Organizations Coalition. (2008). State of human rights in Nigeria. https://lib.ohchr.org/HRBodies/UPR/Documents/Session4/NG/JS1_NGA_UPR_S4_2009_ConstitutionalRightsProject Etal JOINT.pdf
- Odeku, K., & Animashaun, S. (2012). Poverty, human rights and access to justice: Reflections from Nigeria. *African Journal of Business Management*, 6(23), 6754-6764. https://academicjournals.org/journal/AJBM/article-abstract/40D1E0635709
- Ogbonnaya, U. M., Omoju, O. E., & Udefuna, N. P., (2012). The challenges of democratic governance in Nigeria's fourth republic. *Mediterranean Journal of Social Sciences*, 3(11), 685-693.
- Schorr, D. B. (2009). How Blackstone became a Blackstonian. *Theoretical Inquiries in Law,* 10, 103-126. https://doi.org/10.2202/1565-3404.1210

- Simmons, B. A. (2009). *Mobilizing for human rights: International law in domestic politics*. Cambridge University Press.
- The growing illiteracy in Nigeria. (2019, April 2). *This Day.* https://www.thisdaylive.com/index. php/2019/04/12/the-growing-illiteracy-innigeria/
- United Nations and International Institute for Democracy and Electoral Assistance. (2013). Democracy and human rights: The role of the UN (Discussion Paper, September 2013). https://www.idea.int/sites/default/files/publications/democracy-and-human-rights-the-role-of-the-united-nations.pdf
- United Nations Development Programme. (2009). Human development report 2009: Overcoming barriers: Human mobility and development. Palgrave Macmillan. https://doi.org/10.18356/2f6e5457-en
- United States Department of State and Bureau of Democracy, Human Rights, and Labour. (2017).

 Nigeria 2017 human rights reports. https://www.state.gov/wp-content/uploads/2019/01/Nigeria.pdf
- Workmaster, J. N. (1999/2000). A Blackstonian approach to international relations. *Regent University Law Review, 12*, 297-312.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

The Arab Spring and the Egypt-United States of America's Relations in Post-Revolution Era

Hossein Taghdar¹, Zaid Ahmad¹, and Abdolreza Alami^{2,3*}

ABSTRACT

Egypt has experienced drastic changes in government recently. Studying these changes can lead to more understanding of the revolutions caused by the Arab Spring in other countries and can also explain the hegemonic conduct of the United States. This qualitative study was conducted through 1) reviewing scholarly published documents and other relevant official news resources that were published on the relationship between Egypt and the United States after the 2011 revolution, and 2) interviewing 12 key informants (ethnic, academic, and administrative elites). Qualitative content analysis was the main approach to data analysis. The results with a focus on both Obama's administration and Trumps' administration revealed that Egypt and the United States relations were affected due to Egypt's anti-western agenda. Later, the United States' main strategies in maintaining its hegemony in Egypt were discussed. Among these factors, 1) the United States' aid

ARTICLE INFO

Article history:

Received: 19 March 2020 Accepted: 23 August 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.32

E-mail addresses:
Taghdar@yahoo.com (Hossein Taghdar)
zaid_a@upm.edu.my (Zaid Ahmad)
Abdolrezaalami@gmail.com (Abdolreza Alami)
*Corresponding author

policy, 2) the United States' tolerance policy, 3) aborting FJP, 4) imposing the western culture, and 4) the United States' support of street protests can be mentioned. Areas for further research are discussed at the end of the study.

Keywords: Arab Spring, Egypt-The United States Relations, hegemony, Post-Revolution Era, Power Transition Theory

¹Department of Politics and Government, Faculty of Human Ecology, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

²Department of Sociology, Faculty of Literature and Humanities, Kharazmi University, 1571914911, Tehran. Iran

³Media and Communication Studies, Faculty of Arts and Social Sciences, University of Malaya, 50603 Kuala Lumpur, Malaysia

INTRODUCTION

The movement 'Arab Spring' refers to a series of revolutions in South West Asia and North African countries since 2010 (Zubaida, 2015). As a result of Arab spring, rulers in Tunisia, Egypt, Libya, and Yemen have been shot down of power. The civil uprising has erupted in Bahrain and Syria. Massive protests have spread in Algeria, Iraq, Jordan, Kuwait, Morocco, and Sudan, and minor protests have happened in Lebanon, Mauritania, Oman, and Saudi Arabia. Egypt also experienced the Arab Spring in 2011. As a result, Egypt's relations with the United States has been affected.

Historically, Egypt and the United States have had military and economic relations; due to the significance of Egypt's geopolitical position in the region. Egypt's geopolitical location can provide the United States national security interests (Shannon & Cummins, 2014). However, Egypt has not always been the United States' ally, although the main hegemon in Egypt in 1950s was the United States. Egyptian president, Gamal Abdel Nasser, showed tendencies to form relationships with the Soviet Union (Weinbaum, 1985). However, he was not very successful in this regard. One of the reasons was that his rule was succeeded by Anwar El Saddat, who contrary to Nasser, was not interested in building a relationship with the Soviet Union and was more open to building relationships with the United States. Another reason was the United States that attempted to moderate Egypt's behavior through its aid policy (Burns, 1985). During this era, Egypt and the United States also had several confrontations among which Egypt's first arms purchases from the Soviet Bloc in 1955 (during Cold War), nationalization of the Suez Canal by Egyptian government in 1956, and American Marines' landing in Lebanon in 1958, can be highlighted (Skaggs, 2015).

Most of the economic and military relationships between Egypt and the United States can be traced back in the 1970s, after signing the Camp David Treaty with Israel. As a result of this treaty, the United States provided Egypt with assistance. Indeed, Egypt, as a power in the region, has attempted to work as the provider of stability, an issue which was marked by the Egyptian-Israeli peace treaty in 1979 (Rabinovich, 2009).

As stated by Sharp (2014), the relationship between Egypt and the United States has not always been smooth and without challenge. The United States was for stepping down Hosni Mubarak, former Egypt's president, in 2011. The reason, as stated by the government of the United States, was a violation of human rights by Hosni Mubarak. Therefore, Obama's administration suspended and later recast relations with Egypt.

Indeed, the Egyptian revolution in 2011 can be marked as the beginning of a new era in Egypt-United States relationships. Although after the United States established relationships with Egypt in 1952 and until the last autocrat (President Mubarak) held power in 2011, the two countries maintained relatively good relationships, these bilateral relationships were turmoil tremendously

by the one-year presidency of the Muslim Brotherhood's Muhammad Morsi, from June 2012 to July 2013, and were changed afterward. As can be understood from the background of the bilateral relationships between the two countries, at the end of the Mubarak era and at the beginning of the Egyptian revolution in 2011 (Morsi's presidency), the relationship between these two countries was tense when Morsi called for a cessation of relationships with the United States (Housden, 2013).

Statement of the Problem

Although some pieces of news and academic articles have attempted to cover the effect of the Egyptian revolution in 2011 on Egypt's relationship with the United States, there is a need for a comprehensive study that considers all aspects of this multifarious phenomenon. Research in this area should come to an understanding on why Egypt-United States' relationship was affected by the Arab Spring rather than a descriptive account of what has happened between the two countries. However, this issue is, to a considerable extent, understudied. Also, other studies that have investigated the Arab Spring in Egypt are more interested in the series of events that have happened, rather than the United States hegemony. This is the first reason that the researchers considers conducting this study significant.

Undoubtedly, the advent of the Arab Spring in Egypt has resulted in new developments. Many of these developments, such as the transition of secular political power to an Islamic religious one, or Egypt's

closeness with Iran, has sure affected Egypt-United States relationships. Such developments can be understood by not only studying the published documents with regard to Egypt's developments after 2011, but also by listening to the administrative, academic, and ethnic elites who have had an active role in either making these decisions or interpreting the events. However, previous studies have mostly dealt with published data and have ignored the primary data. This is the second reason the researcher believes the Egypt-United States relationships after the 2011 revolution should be subject to a comprehensive study from different perspectives.

Research Objective

To evaluate the effect of the Arab Spring on Egypt-United States relationship in the post-revolution era.

Research Question

Q1: How have the political developments in Egypt after the Egyptian revolution in 2011 (Known as Arab spring) affected Egypt's political relations with the United States?

Significance of the Study

Exploring how the United States has attempted to maintain its hegemony in Egypt can lead to frameworks in understanding how international revolutions in other countries are affected by the revolution caused by the Arab Spring. Also, it is significant to know what factors have played a role in the hegemony of the United States

in Egypt and how the recent developments affected these factors, and eventually, the United Stated hegemony in Egypt. Egypt has had a shift in trends after the 2011 revolution in terms of international relationships. Barack Obama was not for supporting Egypt, and the two countries' long-lasting relations were affected. It is important to know if this change, along with other developments afterward, has affected the United States' hegemony in Egypt.

LITERATURE REVIEW

Theoretical Framework

The underlying theory in analyzing the Egypt-United States' relations was that of Power Transition theory by Organski (1958),

as this study considers domestic variables as well as international variables as causes of conflict over hegemony. Indeed, the two main aspects that can have an effect on the United States' hegemony in Egypt are the domestic aspect (related to the developments in Egypt) and the international aspect (Foreign Policy). Studying these aspects of the study would give the readership a picture of the United States' hegemony in Egypt without military intervention. From this perspective, studying the United States' attempt to maintain its hegemony in Egypt reveals the significance of Egypt as a geopolitical country in the region. Figure 1 visualizes how Power Transition Theory was used in this study.

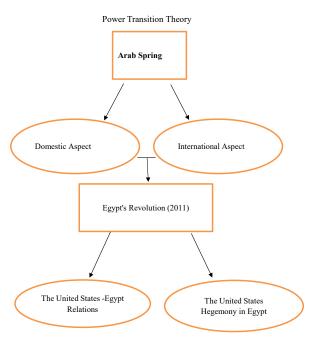


Figure 1. Theoretical framework of the study

The Power Transition theory is a theory through which one can seek how the transition of power has affected the relationship between nations (Flint & Taylor, 2007). Organski and Kugler (1981) refered to the imbalance of power and explained that the aggressors in conflicts were the dissatisfied small groups or strong powers. This indicates that the theory is a suitable one to be used in this study, as not only was power transition in Egypt the focus of the study, but also the aggression of Egyptians had resulted in a revolution. In order to operationalize the Power Transition theory in this study, the researcher searched for the themes extracted from the published documents and the informants' speech. However, in line with the premises of this theory, the themes were only sought in two categories of domestic and international variables. These two concepts are the most fundamental concepts in the Power Transition theory. In addition, the researchers' focus was on how these variables had changed the relationship between the United States and Egypt.

"Why Egypt"

Egypt is a country with a long history. It is known to be a part of the Ottoman Empire from 1517. Although the country is known to have 6000 years of civilization, it has borne ups and downs, which are mostly due to its being a focus of attention by international hegemons. Civilization is a strong one so much that its footprints can be seen in other parts of the world. This is, as

stated by Llobera (2003), a common feature of old civilizations.

Historical sights provide rich sources of income for world hegemons. Just as old pieces of art from these lands can be sold to generate income, these sights can be used as touristy lands to generate revenue for both the local government and the contractors. Both of these cases were observed in Egypt. As reported by Al-Shalchi (2010), from 2002 until 2010, over 5000 stolen artifacts were returned to Egypt, which shows the high rate of stealing antiques from Egypt. Although this can be considered as a nonpolitical intervention of the United States in Egypt affairs, it can also show the United States' interest in the wealth of Egypt (Al-Shalchi, 2010).

Another feature that makes the history of Egypt unique is that Egypt is a divine land. The advent of Islam to Egypt can be traced back in the 7th century (Wilson, 2013). Later on, Islam grew in Egypt and became the dominant religion of the country. According to Lev (1991), in the late 10th century, the Fatimids chose Egypt as their center and Cairo as their capital. This resulted in Egypt becoming a trade center between two bodies of water (Indian Ocean and Mediterranean). This trade line was stretched to other important countries such as China. The Fatimids contributed to Egypt's architecture and also build hospitals and universities.

Another significant feature of Egypt is its geography. The country has a geopolitical position. It is connected to the Mediterranean and Europe. It is also connected to Asia and Africa through two provinces, i.e., North Sinai and South. Moreover, Egypt is situated on the lands around the Red Sea. The privilege of domination over the Suez Canal and also domination over a large part of the Mediterranean has given this country a special position. Mearsheimer (2014) asserted that such features were significant in providing the security of Israel and made Egypt a unique land to the United States; thus, hegemony in Egypt is of high significance to America.

The Arab Spring

Arab Spring, sometimes referred to as Arab Winter or Arab Uprising, was sparked by a street vendor named Bouazizi who burned himself from self-immolation (Ashley, 2011). Arab Spring is considered to be among the largest transformation since the Arab world and even outside the Arab countries after decolonization (Agdemir, 2016). The effect of protests was strong to the extent that, in many cases, the protests were successful. For example, Zine El Abidine Ben Ali, the ruler of Tunisia, fled to Saudi Arabia after the protests in Tunisia. The nation's belief in the movement had even caused minor protests in countries such as Mauritania and Oman (Sunil, 2011).

The factors that have caused the Arab Spring have been of prime significance to scholars and political scientists; therefore, the series of events that have happened in different countries have been keenly observed. To political scientists, revolutions can have a variety of reasons, among which

social, political, and economic factors can be highlighted. On the other hand, demographic changes and social media can reinforce the process. Although such factors usually result in revolutions, one question has remained unanswered, i.e., why have protests been successful in one country, though a failure in another?

Previous Studies

Scholars such as Vidino (2013) did not look at the United States' role in Egypt's revolution in a pre-planned agenda. They considered it a failure in maintaining hegemony in a country that was already an ally to them. Although the previously mentioned studies state that the United States had a plan to maintain its hegemony in Egypt. Segal (2016) gave an example of the United States' failure in this regard and refered to the bilateral relationships between Egypt and Iran. He stated that the Iranian revolution of 1979 had deteriorated the relationships between Egypt and Iran. He related this problem to the Camp David treaty between Egypt and Israel. However, the author stated that in recent years (after 2011), the trust between Iran and Egypt was improved.

Some studies have also mentioned the consequences (developments) of the Egyptian revolution in 2011. For example, Sader (2012) explained that America's hegemony in Egypt was negatively affected by the selection of the Muslim Brotherhood as the ruling party in Egypt. By the advent of the Muslim Brotherhood in Egypt, Islam is considered to be in its place both in Egypt

and in the Arab World. He related this to the chain of revolutions in the Arab Spring. Sader (2012) believed the dominance of Islam in contrast with Western ideology. As a result, Islam was used as a weapon against hegemony in revolutions in the Arab Spring.

Salem (2018), who studied the Nasserist ruling class state in Egypt, noted that this group was different from the rest of the country and did not resemble dependency. To Salem, however, the status quo of Egypt in the post-colonized era should be subject to more research as he called Egypt a dependent country and proned to maintaining hegemony. Indeed, other scholars such as Jadallah (2014) also noted that the United States might be looking to complete its perfect hegemony in the era of Mubarak in Egypt. As a result, postrevolution Egypt should be subject to more research. Contrary to such as the in-depth need to study America's hegemony in Egypt in the post-revolution era, research has mostly dealt with the developments in Egypt rather than following the footprints of America in Egypt's political, social and economic decisions.

METHOD

Design of the Study

This study has a qualitative design, as only soft data was collected throughout the study. Content analysis (CA) was used as the main analytical approach to seeking answers to the research questions. Content analysis is used widely in the field, as it matches the nature of qualitative research, especially when the data is in the form of documents that require

a precise and systematic analysis. Babbie (2007) also acknowledged that CA was a suitable approach for conducting research in political sciences.

As CA is a flexible approach to data analysis, the researcher made use of Hsieh and Shannon (2005) approach to CA to structure the study. In Hsieh and Shannon tradition, the successful content analysis consists of 8 main stages, i.e., 1) preparation of data, 2) defining the units or themes of analysis, 3) developing categories and coding scheme, 4) pre-testing the coding scheme on a sample, 5) coding all the text, 6) assessing the consistency of coding employed 7) drawing inferences on the basis of coding or themes, and 8) presentation of results.

Procedure

In order to implement the steps mentioned by Hsieh and Shannon (2005) in this study, the researcher made a list of scientific databases which published articles and books on political sciences, then, the researcher conducted comprehensive research and downloaded the articles which seemed to be relevant to this study (preparation of data). Based on the topics of the published materials and previously studied areas, the main themes for the analysis were extracted (defining the units or themes of analysis). In the next step, these themes were coded, and the main categories were extracted (developing categories and coding schemes). As all categories extracted from the themes were not relevant to the study. Thus, the researchers studied some categories and omitted the irrelevant ones. Next, the remaining themes were coded in relationship with each other.

The acquired data was checked from various sources to make sure there is consistency in views about the events (assessing the consistency of coding employed). This could help the researcher gain more information by comparing various points of views and results from various sources (drawing inferences on the basis of coding or themes). Finally, the data was interpreted and presented (presentation of results). This procedure was adopted for both the data collected from previously published academic articles, books, a quotation from political elites in the US and Egypt. In addition, the same procedure was adopted to analyze the qualitative data collected through interviews.

Primary data in this study was provided through interviews with ethnic, academic, and administrative elite, which were involved with studying, interpreting, and making decisions about the political issues in Egypt with regard to the Arab Spring, Egypt's revolution in Egypt, and Egypt-United States relationships. The reason for selecting these categories is that they had already been selected by scholars in the field who had investigated similar topics, e.g., Khorshidi (2013).

Key Informants

Purposive sampling can explain this selection of the informants for this study. As the researchers selected the informants who were informed of the series of events in the Egyptian revolution in 2011. Rubin and Babbie (1997) explained that purposive sampling occurred when the participants in a study were already involved in the mainstream of the study. The researchers also attempted to interview key informants who came from various walks of life. In addition, this type of sampling is considered to be non-random. Although in random sampling, all informants in a context have the chance to be part of a study, in this study and through non-random sampling, only 12 informants could take part in the study.

Table 1

Demographics of the participants

Code	Type of key informant	Position/ Job	Ethnicity	Field of study	Age	Gender
E1	Ethnic Elite	University Professor	Egyptian	Political Sciences	52	Male
E2	Ethnic Elite	Journalist	Egyptian	Journalism with regard to Politics	43	Male

Table 1 (Continued)

Code	Type of key informant	Position/Job	Ethnicity	Field of study	Age	Gender
E3	Ethnic Elite	PhD student	Egyptian	Political sciences	37	Female
E4	Ethnic Elite	Social activist	Egyptian	Women and Children rights	39	Female
A1	Academic Elite	University Lecturer	American	Political Sciences	41	Male
A2	Academic Elite	University Lecturer	American	Political sciences	62	Male
S1	Social elite	Social Activist	American	Cultural Heritage	33	Male
A3	Academic Elite	Journalist	Iranian	Media and Political Relationships	49	Male
A4	Academic Elite	University Senior Lecturer	German	Political Sciences	37	Female
A5	Academic Elite	University lecturer	Iranian	Political Sciences	41	Male
AD1	Administrative Elite	-	-	-	-	-
AD2	Administrative Elite	-	-	-	-	-

The data from the administrative elite could not be shown, as a limited number of people work as administrative elite, and it would be possible to unveil their identity by knowing their demographic data.

Semi-Structured Interviews

The researchers presented the interviewees with the research question in this study. This could also confirm the content validity of the interview questions, as the interview questions were directly extracted from the

content of this study. The semi-structured interviews in this study were conducted through email.

RESULTS

How have the political developments in Egypt after the Egyptian revolution in 2011 (Known as Arab spring) affected Egypt's political relations with the United States? To answer the research question, the opinions of the key informants are discussed prior to the analysis of the published documents.

This is indeed one of the limitations of this study. Although the researchers aimed at conducting face-to-face interviews; due to the presence of the key informants in various contexts including Egypt, it was not possible.

The Ethnic Elite

The first research question was asked from 4 ethnics (Egyptian) elites who were one university professor, one journalist, 1 Ph.D student, and a social activist. The most frequent theme expressed by three key informants was the anti-Western agenda of the current political party, which held power in Egypt and its effect on Egypt- the United States relationships.

A1: The demand of many people in Egypt at the time of street protests was for the country to stand on its own feet and end its dependency on the west.

The researchers asked the key informants to clarify whether or not they thought the new political party (i.e., Muslim brotherhood) had fulfilled the need of the public protests. In simple words, if the public's demand was cutting relationships with the West and the United States, did this happen after all.

The key informants' reply to this issue revealed that this issue had been taken for granted after some time.

A1: Many revolutions are like this. Politician listen to the public but things return to what they were after some time. If Egypt does not have good relationships with the US, why is it

receiving aids from the US?

It was concluded that the ethnic elite believed that there had not been much change in the relationship with the US after the Egyptian revolution in 2011.

Another issue mentioned by the ethnic elite was an economic partnership between America and Egypt. Also, most key informants believed that the relationship between Egypt and the US had been limited after the revolution, A4 key informant noted that such changes stemmed from the ruling party in the US as well.

A4: We cannot say that Egypt- United States relationships should have been cut. Obama's policy is different from that of Trump. Recently Trump is trying to build up the relationships with the United States to avoid Egypt's partnership with US enemies.

In general, the ethnic elite accepted that major changes had occurred in the relationship between Egypt and the US, but they also accepted that the relationships were getting stronger as time passed.

The Academic Elite

The five academic elites (1 German, 1 Iranian, and 3 American) who took part in this study also made reference to the people's demand for independence of Egypt, but they mostly focused on the interplay of power in Egypt. These academicians had already conducted research on Egypt's revolution. To academic scholars, the core of the relationship between Egypt and the

United States was the role of Egypt in the region. They believed that the United States was attempting to build up this relationship to maintain its power in the Arab world.

E5: Egypt has been the voice of America in the Arab league. After the revolution, America lost Egypt and invested on Saudi Arabia.

E4: Undoubtedly, Israel has played an effective rule for America, and America would attempt to keep its allies to strengthen Israel. But one thing is for sure, Muslim Brotherhood is not as obedient as. Say for example Anwar Al Sadat and America has a long journey to maintain its hegemony.

Apparently, the Academic elite believed that the United States -Egypt relationships had been affected by the new developments, i.e., the advent of an Islamic party to power, loss of the United States interests, and power in the Arab World. The respondents explained that the United States had lost its power in Egypt compared to its prerevolution status. They also explained that the United States seeked its interests rather than the benefit of the Egyptians.

Administrative Elite

The administrative elite believed that the relationship between Egypt and the United States had changed to the extent that Egypt was a dependent country.

AD1: We are independent now. If the US gives Egypt financial aids does not

mean were are dependent. We make our own decisions. The new ruling party has a religious agenda, not a western one.

AD2: Egypt is standing on its feet. We still have many issues. Egypt needs experience, not because it is under the power of any country, but because it is practicing independency.

It can be stated that the key informants, in general, believed that Egypt was more independent from the United States than the pre-revolution era (before 2011). Thus, the new developments had affected the United States' hegemony in the United States and the United States -Egypt relationships. Among the most frequent themes mentioned by the key informants were 1) the advent of an Islamic party, 2) closing down Americanrelated businesses in Egypt, and 3) less control over Egypt in the Arab League. In addition, the key informants (academic elites) believed that external factors also affect America's relationships with Egypt. The most important external factor was the transition of power from Democrats to the Republicans in the United States, which had different points of view about the relationships with Egypt.

Published Documents

The following themes (Figure 2) were extracted as a result of analyzing the published documents.

DISCUSSION

One of the most significant themes extracted

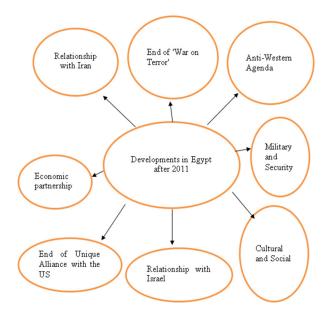


Figure 2. Developments in Egypt in Post-revolution era (designed by the researcher)

from the analysis of the published documents on Egypt-United States' relationship and the effect of the Egyptian revolution in 2011 on this relationship was the end of a unique alliance between these two countries. This theme is among the most frequently repeated themes mentioned by various scholars (i.e., Adams et al., 2017; Bassiouni, 2016; Scobey, 2009; Sharp, 2014). With regard to the significance of alliance between world hegemons and regional powers, Smelser and Baltes (2001) stated that alliance between world hegemons and countries with regional importance played a significant role in maintaining hegemons power in various regions in the world. Morton (2007) stated that Gramsci, who had incepted the concept of hegemony, believed that at the early stages of spreading hegemonic power, the world powers attempted to gain public consent. Later, and as they had laid the foundation for their power, they attempted to begin a partnership with the targeted country and to consider it as an ally. This issue can be observed in the case of Egypt, as Obama's administration frequently supported the public uprising to win public consent (Al-Zawahiri, 2011). Ali and Stuart (2014) also pointed out to this issue and explained that the analysis of the United States' behavior in Egypt after three years from the revolution showed that the United States did not care who should rule the country after Mubarak. To them, their national interest had priority overvalues. Thus, the end of a unique alliance with Egypt was costly for the United States, as they had to face changes in their foreign

policy with Egypt (Al-Zawahiri, 2011).

However, America's policy in developing its hegemonic power has been different in various locations (Adams et al., 2017) leading to modernity in some places and colonialism in other places, the United States' approach to Egypt has been friendlier (Sharp, 2014). Indeed, one of the major political developments in Egypt, which affected the relationship between the United States of America and Egypt, is the end of a unique alliance these two countries had for many years.

As stated by Scobey (2009), Egypt was not among the United States allies in NATO; however, it became the second receiver of aid from the United States after Israel. Before 2009, Egypt had received \$ 30 billion aid from the United States, and following this date, the aid was raised to \$250 billion. Egypt also received various forms of military help from the US. In addition, Egypt's Old Russian air force was renewed by America's help, and the country was granted \$1.3 Billion to aid its military purposes (Scobey, 2009). Therefore, there were unique ties between the two countries before the 2011 revolution. However, the Egyptian policy was changed from some aspects. In the first place, the antiwestern agenda of the Muslim Brotherhood considered Egypt to be capable of handling its issue without the need from any external sources (Bassiouni, 2016). This eventually led to new Egypt turning its back to America and its allies, such as Israel, by becoming less friendly to them after about 40 years and welcoming mutual relationships with

countries that had open hostility with the United States such as Iran. As a result of this change in policy, a number of economic, security, and military partnerships between America and Egypt were stopped, which in turn weakened America's hegemony in Egypt. This issue also affected the benefits of the United States in Egypt and caused a reduction in the United States' power in Egypt. Telhami (1992) explained that since the Camp David Treaty, the United States had been leading in the region due to its power. Thus, the reduction of America's power in Egypt can result in the United States' losing its leadership in its foreign policy with Egypt, as absence of a hegemon in a geopolitical region can lead to presence of another hegemon (Carmody & Owusu, 2007).

Other sources also acknowledged that the 2011 revolution in Egypt affected America's hegemony. For example, Wolkov (2015) stated that the 2011 revolution in Egypt was a costly one for America. Not only the inexperienced politicians who had gained power had uncertain foreign policies, but also they caused instability in the relationships with America. He believed that after 2011 and until 2014, the relationship between America and Egypt had had many ups and downs for the US.

Muslim Brotherhood's anti-western ideology could also be observed from the movement by members of the Muslim Brotherhood in America. Norman (2016) stated that the Muslim Brotherhood was incriminated several times by members of the United States parliament, but

the party exonerated its members from being accused of involvement in terrorist activities. An example of this issue is the Holy Land Foundation trial in 2007. Muslim Brotherhood's members were accused of training the use of weapons and guns, and espionage against the United States government.

As mentioned earlier, Obama's administration was uncertain about the new political party, which would have gained power after 2011 in Egypt. On the other hand, Obama's administration was under pressure by many quarters to ease the process of dropping Mubarak. Hamid (2012) noted that Egypt- United States relationships were never as low as they were at the time of the Egyptian revolution in 2011. Indeed, due to political pressures, the United States asked its citizens to leave Egypt. This led the United States' government to a dilemma. Although Mubarak was not as faithful as Sadat to America, it was always loyal to Camp Davide Treaty of 1979. Mubarak was also power against the sentiments of the Arabs (Cooper, 2011). As the Muslim Brotherhood was among the candidate of elections, the United States was not sure about the future of Israel. On the other hand, the new Egyptian government could be willing to build relationships with Iran, an issue which was not favored by America; therefore, for some time, America adopted a new policy.

Probably, most concerns of postrevolution events in Egypt were for Israel, as the United States is a close ally to Israel, and hostility between Muslim brotherhood and the United States could affect Israel's security. Indeed, a shift was felt between the foreign policy of FJP and later Muslim brotherhood towards Israel after the 2011 revolution in Egypt. In the past, Egypt was the first Arab country to Sign Camp David agreement with Israel which resulted in functional relationships between the two countries.

In line with the interest of Mubarak and his constitution, political activities were considered to be against the law. In most cases, the opposition leaders were imprisoned and tortured so much that Morsi was also imprisoned many times. Tadros (2012) posited that all presidential elections had known results prior to being conducted, and the parliamentary elections had fake results. As a result, oppositions and political parties did not have the chance to experience a political life. This had effects on their talks in, media, political decisions, and political doctrine after the 2011 revolution.

Prior to the Camp David treaty, the relationship between Iran and Egypt was smooth. In 1939, Youssef Zulficar Pasha was assigned as an Egyptian ambassador in Iran. In addition, Muhammad Reza Shah, the former Iranian King before the 1978 revolution of Iran, married an Egyptian princess (Al Sherbini, 2013).

Although the relationship between Iran and Egypt was turmoiled by the Egyptian revolution of 1952 and the advent of General Nasser, Anwar Al Sadat adopted a different policy and began mutual and open relationships with Iran after the death of General Nasser in 1970. After the

1973 war between Egypt and Israel, Iran assumed a leading role in cleaning up and reactivating the blocked Suez Canal with heavy investment. Iran also facilitated the withdrawal of Israel from the occupied Sinai Peninsula by promising to substitute with free Iranian oil the loss of the oil to the Israelis if they withdrew from the Egyptian oil wells in Western Sinai. All these added more to the personal friendship between Sadat and the Shah of Iran.

Previously it was mentioned that the peace treaty signed between Egypt and Israel was one of the greatest milestones for the United States in establishing its hegemony in the region. Egypt's cooperation with America was a mutual one. Egypt received great sums of money in return for supporting Israel in the region. Between 1979 and 2003, Egypt had acquired a total of \$ 19 billion to develop its military, placing Egypt as the second greatest non-NATO receiver of America's donation. As a result, Egypt was placed as a major military ally to the United States after Israel.

Huntington (1993) explained that the type of clashes between countries varied. While some could be military or economical, others could be cultural and based on civilization. To him, when Islam was involved in the war, the type of clash was cultural. By changing the culture of Islamic states, there will be more room to grow the economy. In line with this idea, Luttwak (1990) asserted that the logic of cultural war lay in its economic benefits.

CONCLUSION

Having conducted a comprehensive analysis of academic documents, and ethnic, academic, and administrative elites, it was understood that the recent developments in Egypt had affected the United States hegemony in Egypt. Among these factors, 1) End of Unique Alliance with the United States, 2) Egypt's cold relationships with Israel, 3) Egypt's reestablishment of relationships with Iran, 4) Suspension of war on terror, 6) the United States' new policy, 7) Egypt's anti-western agenda, 8) military and security factors, and 9) cultural and social factors can be highlighted.

Recommendations for Further Research

In this study, some variables were introduced as factors that could affect the United States' hegemony in Egypt. These issues were listed under the new developments. Some of these developments are still understudied and require more research. As a result, the researchers felt limited when looking for published documents in these areas. For example, more research is required to find out how the economic partnership between the United States and Egypt was affected as a result of 2011's revolution. In the same vein, more research is required to understand the approaches the United States uses to maintain its hegemony in Egypt. One of the variables which needs attention in this regard is 'culture.'

As a result of Egypt's revolution, many changes have occurred in this country; however, this study only dealt with the hegemony of the United States in Egypt. Some issues are very significant to determine. For example, it is obvious that with changing Egypt's government, the deep structure of the country cannot be changed. It is important to know how this issue has affected the success of the new Egypt. In addition, such information can be used to project the future of other revolutions.

Egypt has traditionally been an ally to the Soviet Union; however, the United States began to spread its hegemonic power in Egypt as early as 1952. As the relationship between Egypt and the United States was weakened during the early years of revolution in Egypt, i.e., between January 2012 and March 2013, other hegemons such as Russia, attempted to have a negative influence on the United States -Egypt relationship. This issue is understudied and requires more attention.

ACKNOWLEDGEMENT

First and foremost, I (Hossein Taghdar) would like to extend my sincere thanks to my supervisor, Professor Dr. Zaid Ahmad, who gave me this chance to start a new way in my academic life, giving me the freedom to find my own path and words of wisdom when I needed it. It was a great honor to work with the advice of such a knowledgeable and intuitive supervisor. Also, I would like to express my sincere gratitude to Dr. Loghman Ansarian for the continuous support of my research and the study, for his patience, motivation, and immense knowledge. I owe a debt of gratitude to Dr. Abdolreza Alami for his

advice on research matters, without which I could not complete my project.

REFERENCES

- Adams, G., Estrada-Villalta, S., & Ordóñez, L. H. G. (2017). The modernity/coloniality of being: Hegemonic psychology as intercultural relations. *International Journal of Intercultural Relations*, 62, 13-22. https://doi.org/10.1016/j.ijintrel.2017.06.006
- Agdemir, A. M. (2016). The Arab Spring and Israel's relations with Egypt. *Israel Council of Foreign Affairs*, 10(2), 223-235. https://doi.org/10.1080/23739770.2016.1221154
- Al Sherbini, R. (2013, February 5). Egypt and Iran on long, bumpy road: Diplomatic ties initiated in 1939 but have remained strained for past three decades. *Gulf News*. http://gulfnews.com/news/mena/iran/egypt-and-iran-on-long-bumpy-road-1.1142431
- Al-Shalchi, H. (2010, April 9). Egypt to museums: Return our stolen treasures. *NBC News*. http://www.nbcnews.com/id/36280732/ns/technology_and_science-science/t/egypt-museums-return-our-stolen-treasures/
- Al-Zawahiri, A. (2011). A message of hope and glad tidings to our fellow Muslims in Egypt 5. 1-14. https://scholarship.tricolib. brynmawr.edu/bitstream/handle/10066/7275/ZAW2011XXXX.5.pdf?sequence=3
- Ali, R., & Stuart, H. (2014). Refuting Jihadism: Can Jihad be reclaimed? *Current Trends in Islamist Ideology*, 17, 102-123.
- Ashley, J. (2011, March 6). The Arab spring requires a defiantly European reply. *The Guardian UK*. https://www.theguardian.com/commentisfree/2011/mar/06/arab-spring-european-reply-labour

- Babbie, E. (2007). *The practice of social research*. Thomson Higher Education.
- Bassiouni, M. C. (2016). Chronicles of the Egyptian revolution and its aftermath: 2011-2016. Cambridge University Press. https://doi.org/10.1017/9781316459744
- Burns, W. J. (1985). *Economic aid and American policy toward Egypt, 1955-1981*. Suny Press.
- Carmody, P. R., & Owusu, F. Y. (2007). Competing hegemons? Chinese versus American geoeconomic strategies in Africa. *Political Geography*, 26(5), 504-524. https://doi.org/10.1016/j.polgeo.2007.03.005
- Cooper, R. (2011). *The breaking of nations*. Atlantic Books Ltd.
- Flint, C., & Taylor, P. J. (2007). *Political geography: World-economy, nation-state, and locality.* Pearson Education.
- Hamid, S. (2012). Beyond guns and butter: A US-Egyptian relationship for a democratic era. Saban Center at Brookings. *Middle East Memo*, 22, 2-12.
- Housden, O. (2013). Egypt: Coup d'Etat or a Revolution Protected? *The RUSI Journal*, 158(5), 72-78. https://doi.org/10.1080/030718 47.2013.847727
- Hsieh, H.-F., & Shannon, S. E. (2005). Three approaches to qualitative content analysis. *Qualitative Health Research*, *15*(9), 1277-1288. https://doi.org/10.1177/1049732305276687
- Huntington, S. P. (1993). Why international primacy matters. *International security*, 17(4), 68-83. https://doi.org/10.2307/2539022
- Jadallah, D. (2014). United States economic aid: Imperfect hegemony in Egypt [Doctoral dissertation, University of Arizona]. UA Theses and Dissertations. https://repository.arizona.edu/bitstream/handle/10150/314671/azu_etd_13178_sip1_m. pdf?sequence=1&isAllowed=y

- Khorshidi, M. (2013). *Influence of government ethnic policies on national unity in Iran (1997-2005)* [Unpublished Doctoral dissertation]. University Putra Malaysia.
- Lev, Y. (1991). *State and society in Fatimid Egypt* (Vol. 1). Brill Publications.
- Llobera, J. (2003). *An invitation to anthropology*. Berghahn.
- Luttwak, E. N. (1990). From geopolitics to geoeconomics: Logic of conflict, grammar of commerce. *The National Interest*, (20), 17-23.
- Mearsheimer, J. J. (2014). America unhinged. *The National Interest*, (129), 9-30.
- Morton, A. D. (2007). *Unravelling Gramsci: Hegemony and passive revolution in the global political economy.* Pluto Pr. Publications. https://doi.org/10.2307/j.ctt18dzstb
- Norman, K. P. (2016). Migrants, refugees and the Egyptian security state. *International Journal of Migration and Border Studies*, 2(4), 345-364. https://doi.org/10.1504/ijmbs.2016.079333
- Organski, A. F. K. (1958). World Politics, in "Harvard Law Review". Alfred A.
- Organski, A. F., & Kugler, J. (1981). *The war ledger*. University of Chicago Press.
- Rabinovich, I. (2009). Waging peace: Israel and the Arabs, 1948-2003 (Updated and revised ed.). Princeton University Press. https://doi.org/10.1515/9781400825974
- Rubin, A., & Babbie, E. (1997). *The practice of social research*. Wadsworth Publications.
- Sader, K. (2012). The role of political Islam in Arab transitions: Year II of the Arab Spring, between Islamism, democratic transition and new power relations. *IEMed: Mediterranean yearbook*, (2012), 25-29. https://www.iemed.org/observatori-en/arees-danalisi/arxius-adjunts/anuari/med.2012/Sader_en.pdf-en
- Salem, S. (2018). Reading Egypt's postcolonial state through Frantz Fanon: Hegemony,

- dependency and development. *Interventions*, 20(3), 428-445. https://doi.org/10.1080/136980 1X.2017.1421041
- Scobey, M. (2009). Scenesetter: President Mubarak's visit to Washington. *Aftenposten*. https://www.aftenposten.no/norge/i/JJoPm/19-05-2009-scenesetter-president-mubaraks-visit-to-washington
- Segal, A. (2016). The Egyptian uprising Implications for regional stability: The US, Iran & Israel. http://www.culturaldiplomacy.org/academy/content/pdf/participant-papers/2011/april/biecroa-nua/the_egyptian_uprising-_arik_segal.pdf
- Shannon, V. P., & Cummins, J. (2014). US-Egyptian relations since the Arab Spring: Balancing interests and values. *The DISAM Journal*, 21(2), 353-385.
- Sharp, J. M. (2014). Egypt: Background and US relations. *Current Politics and Economics of Africa*, 7(1), 47.
- Skaggs, T. M. S. (2015). The Czech-Egyptian arms deal of 1955: A turning point in Middle Eastern Cold War history (Paper 2287). [Master's thesis, University of Louisville] Electronic Theses and Dissertations. https://doi.org/10.18297/etd/2287
- Smelser, N. J., & Baltes, P. B. (Eds.). (2001).
 International encyclopedia of the social & behavioral sciences. Elsevier.
- Sunil, V. (2011, February 27). One dead, dozen injured as Oman protest turns ugly. *Gulf News*. https://gulfnews.com/world/gulf/oman/one-dead-dozen-injured-as-oman-protest-turns-ugly-1.768789

- Tadros, M. (2012). The Muslim brotherhood in contemporary Egypt: Democracy redefined or confined? Routledge Taylor and Francis Group. https://doi.org/10.4324/9780203115701
- Telhami, S. (1992). Power and leadership in international bargaining: The path to the Camp David accords. Columbia University Press.
- Vidino, L. (Ed.). (2013). The west & the Muslim brotherhood after the Arab spring. Al Mesbar Studies & Research Centre. https://www.fpri.org/docs/201303.west_and_the_muslim_brotherhood after the arab spring.pdf
- Weinbaum, M. G. (1985). Egypt's *Infitah* and the politics of US economic assistance. *Middle Eastern Studies*, 21(2), 206-222. https://doi.org/10.1080/00263208508700624
- Wilson, J. A. (2013). *The culture of ancient Egypt.* University of Chicago Press.
- Wolkov, B. (2015). US-Egyptian relations since the 2011 Revolution: The limits of leverage [Doctoral dissertation, Brandeis University]. Brandeis University Senior Honors Theses. https://bir.brandeis.edu/bitstream/handle/10192/30470/WolkovThesis2015.pdf?sequence=1&isAllowed=y
- Zubaida, S. (2015, June 23). The "Arab spring" in historical perspective. *Open Democracy*. https://www.opendemocracy.net/sami-zubaida/arab-spring-in-historical-perspective



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Determinants of Financial Liberalization in SAARC Region

Syed Danial Hashmi*, Iram Naz, Farrukh Mehmood and Mattiullah Faroogi

Faculty of Management Sciences, Riphah International University, 46000 Islamabad, Pakistan

ABSTRACT

Financial liberalization is the face of financial reforms around the world. This study examines the determinants of financial liberalization in SAARC (South Asian Association for Regional Cooperation) countries. The study considers both political and economic factors as possible determinants of financial liberalization. Data from five countries of the South Asian region (Bangladesh, India, Nepal, Pakistan, and Sri Lanka) over a time span of 48 years i.e. 1970 to 2018 had been analyzed. We selected 1970 as a start point of data as liberalization policies were theoretically advocated for and practically started implementing in the '70s. The result of panel data estimation shows that among economic factors trade openness, foreign reserves, economic development (GDP growth), and recession predict financial liberalization in the SAARC region. Further, political stability and level of democracy are important political factors in predicting financial liberalization in the region. The country-specific analysis shows some variation from the overall region and is reported in the results section. We also tested for the likelihood of dynamic modeling. However, the result of Arellano and Bond estimation shows that static modeling is appropriate in our context and validates the robustness of our initial estimates. Our study gives useful insights to the policymakers who aim to liberalize the financial markets.

Keywords: Economic factors, financial liberalization, political factors, SAARC

ARTICLE INFO

Article history:

Received: 18 March 2020 Accepted: 07 September 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.33

E-mail addresses: danial.hashmi@riphah.edu.pk (Syed Danial Hashmi) iram.naz@riphah.edu.pk (Iram Naz) farrukhsatti2@gmail.com (Farrukh Mehmood) mattiullah.farooqi@riphah.edu.pk (Mattiullah Farooqi) * Corresponding author INTRODUCTION

In about the last 50 years, countries around the globe have started implementing financial reforms (Hermes & Meesters, 2015). The ultimate objective of these reforms is to minimize the involvement of the state in institutions to maximize competition and efficient resource allocation. The proponents of this school of thought believe that these

reforms bring financial and economic development and are a source of economic growth (e.g. see, Beck et al., 2000; Bumann et al., 2013; Elkhuizen et al., 2018). One of these important reforms is financial liberalization. Financial liberalization allows the interest rate to reach market equilibrium which will enhance savings and investments and ultimately results in economic growth (McKinnon, 1973).

The liberalization of financial markets that started around the globe in the 1970s reached its peak after the "Washington Consensus" proposed by Williamson (1990). In a post-Washington-consensus world, both developed and developing countries started implementing liberalization policies. The developing countries, in order to revamp their economy, implemented the economy recovery program famously called "Structural Adjustment Program" introduced by the Bretton Woods Institutions (World Bank & International Monetary Fund) aimed at liberalizing prices in distress and melt-down economies (Kalu, 2007). The adoption of this program signals the phasing out of financial repressive policies in the economy. Financial liberalization thus became the process of eliminating financial repression.

Without any doubt, financial liberalization has changed the outlook of many countries and has remained a focal point for researchers and practitioners around the world since the seminal work of McKinnon (1973) and Shaw (1973) on this area. However, much of the research till now has remained focused on either examination of the consequences of financial

liberalization and its relation with economic growth (e.g. Bandiera et al., 2000; Hossain, 2020; Naveed & Mahmood, 2019; Reinhart & Tokatlidis, 2003) or the links between financial liberalization and financial crisis (e.g. Demirguc-Kunt & Detragiache, 2001; Kaminsky & Reinhart, 1999; Yalta, 2011). There is still a dearth of research that examines the factors influencing the adoption of financial liberalization policies. Among the studies conducted on determinants of financial liberalization, the focus of researchers has remained on Africa, Latin America, and some parts of Europe. To the best of our knowledge, there has been only one study that examines determinants of equity market liberalization in emerging economies (i.e. Kaya et al., 2012). However, the emphasis of the mentioned study was only restricted to equity market liberalization which is a subpart of the complete financial liberalization process.

This study aims to explore factors leading towards liberalization policies of countries in the South Asian region and are members of the South Asian Association for Regional Cooperation (SAARC) i.e. Bangladesh, India, Nepal, Pakistan, and Sri Lanka (Due to unavailability of data on liberalization, Bhutan and Maldives are excluded from the study). The region faces different political and economic challenges including terrorism, political instability, and economic and political pragmatism which make it important to study the factors that can possibly influence the economic growth in the region (Awan et al., 2018; Bhattacharjee, 2017) and can affect the financial liberalization process.

The region has also become an important economic hub because of China Pakistan's economic corridor, Indo-Iran-Afghan cooperation, the emergence of Bangladesh as an Asian tiger, and the emergence of India as the fifth-biggest economy in the world. Further, the economic and financial growth of the region is ever-increasing (Awan et al., 2018) and the region is attracting foreign investment more than ever before (Ahmad et al., 2019). The countries in the region also have healthy bi-lateral trade with agreements like SAFTA (South Asian Free Trade Area) in place that ensures mutual cooperation for economic development and growth (Sun et al., 2019).

It is thus prudent to look for different political and economic factors that can influence the level of financial liberalization within the region. Further, almost all of these countries are going through the process of financial restructuring and the biggest problem they are facing is structural reforms for economic development and growth including agriculture, ICT, industry (Babu & Joshi, 2019), and political reforms. Thus, it is important to look at the factors that can help in achieving the liberalization goals of these countries.

Previous research shows that there are different factors that can predict financial liberalization. These factors can be both economic and political. Among economic factors, GDP Growth, foreign reserves, trade openness, and recession while among political factors, level of democracy and political stability are considered as important predictors of financial liberalization. We

thus examine that whether these different economic and political factors predict the liberalization in the SAARC region or not.

Our contribution to the body of knowledge is two-fold: Firstly, we add to the scarce body of knowledge that examines the determinants of financial liberalization. As it is well established that financial liberalization is a source of economic development, it is important to understand the factors that can possibly lead to liberalization. We thus fill this gap in the existing literature by examining different economic and political factors as possible antecedents of financial liberalization. Secondly, the study is exclusively focused on the SAARC region. SAARC is the only intergovernmental geopolitical body in the South Asian region. All members of SAARC are participants of the SAFTA agreement that ensures similarity in the enforcement of economic policies. The region has been ignored in the previous research on the liberalization issue. Our study also serves as a guide for policymakers in the region. The results of the study show that policymakers who are trying to liberalize financial sectors and are trying to bring reforms shall look for trade openness, GDP growth, increase in reserves, political stability, and democracy in their respective countries.

LITERATURE REVIEW AND HYPOTHESES DEVELOPMENT

Financial liberalization is an important way to achieve economic growth. The initial studies on liberalization and reforms by McKinnon (1973) and Shaw (1973)

promoted financial reforms as a way forward to achieve efficiency in the allocation of capital and economic development.

Since then, researchers have studied the importance of financial restructuring and financial liberalization in different countries and regions. A lot of work has been conducted on the liberalizationgrowth nexus (Naveed & Mahmood, 2019). However, despite its importance, the research on the explanatory factors of liberalization is scarce to date specifically in the context of emerging economies (Kaya et al., 2012). It is vital to study these factors even today as emerging economies around the world are struggling to have a sound financial system. The different economic and political factors that can explain financial liberalization are discussed below.

The first factor that can influence financial liberalization policy in the region is economic development. Economic development can have a crucial role in financial reforms and liberalization (Henisz & Mansfield, 2019; Kaya et al., 2012). Previous research had shown that poor countries (i.e. those having less GDP) might not have developed institutions and thus would continue to go with financial repression (Abiad & Mody, 2005). Alternatively, countries with high GDP have better institutions and thus liberalize more (Henisz & Mansfield, 2019).

Financial liberalization allows foreign investors to invest in a country. Economically developed countries want foreign investors to invest more. This will lead economically developed countries to liberalize their

financial sectors and economic policies (Kaya et al., 2012). Previous research has also shown that economic development leads to current account liberalization (Henisz & Mansfield, 2019) and equity market liberalization (Kaya et al., 2012). We use GDP growth rate to measure economic development and thus expect that

H1: Economic development (GDP growth) is positively related to financial liberalization

A country's level of trade openness is another macro-economic factor that may affect the likelihood of financial liberalization. Trade openness may induce financial liberalization as foreign firms with operations in the local market search for ways to facilitate the repatriation of profits to their home countries. To measure the extent of trade openness, we use the sum of imports and exports as a percentage of GDP. A high level of openness indicates that foreign businesses and capital have a significant influence on the domestic economy. Such external influence would strengthen the position of domestic actors pushing for financial liberalization. Previous research also shows that trade openness is positively associated with the likelihood of financial liberalization (e.g. Abiad & Mody, 2005; Maxfield, 1998; Shortland & Girma, 2005). Thus, we hypothesize that

H2: Trade openness is positively related to financial liberalization

Another important factor that we believe may play a role in liberalization

is a recession. A recession is a situation when the economy is contracting and the economy needs some structural adjustments. Financial liberalization policies are a way through which the economy can be restructured. Generally, interest rates rise in a recession. So, closed economies have to deregulate interest rates in order to combat the recession. Similarly, more investment is required in the economy. Liberalization provides the mechanisms through which the economy can be boosted. This is the reason that during the recession period, countries would opt to liberalize their economic and financial markets.

H3: Recession is positively related to financial liberalization.

Another important economic factor that may affect the likelihood of financial liberalization is a country's balance of foreign reserves (Kalu, 2007). Where a country is able to maintain a high GDP growth rate and a healthy balance of foreign reserves, policymakers do decide to leave economic repression and adopt liberalization policies to attract foreign investors. In their study, Rajan and Zingales (2003) argued that small firms would also not oppose the policy of liberalization as it enhanced capital flow. Similarly, a high level of foreign reserves makes a country more favorable to trade and attracts more investors. Thus, in order to avail of these opportunities, countries with a high level of foreign reserves would decide to liberalize the economic and financial policies. Thus, we expect that

H4: Foreign reserves are positively related to financial liberalization

Besides economic factors, political factors can also be important determinants of the financial liberalization process. The process of democratization and financial liberalization both were accelerated at the world level in the early 1990s. Giuliano et al. (2013) suggested that democracy significantly and monotonically affected economic reforms and financial reforms and further with the passage of time democratization across the world proposed little room for the policy reversals. Susemihl and Hicks (1894) pointed that in the 4th century BC, Aristotle suggested that democratization, oligarchic and tyrannical polities were idiosyncratic in all types of adopted policies (Ch. 11). The studies conducted by Helliwell (1994), Keefer and Knack (2000), Mansfield et al. (2000, 2002), and Rodrick (1999) propose many advanced theories of the politics-economic liberalization relationship. Liberalization policy is dependent on the government and the political system. Research suggests that financial liberalization is good for the development of the economy only if the government is strong (Blackburn & Forgues-Puccio, 2008). Researchers have argued that political stability brings economic development and countries leave the repressive regime once they attain stability in political regimes. Similarly, recent studies have shown that political systems and democratic governments are key players in the liberalization of economic and financial policies (Hashmi et al., 2020;

Henisz & Mansfield, 2019; Steinberg et al., 2018). Thus we hypothesize that,

H5: The existence of democratic governments is positively related to financial liberalization

H6: Political stability is positively related to financial liberalization

METHOD

Data

Data for economic factors were extracted from IMF statistics and World Bank open data (WDI) whereas the political factors are dummy variables. The observational data of political variables were extracted from reports of the center for systemic peace. The specific data source for each study variable is mentioned in Table 1. Data of 48 years i.e. from a period of 1970-2017 was used for analysis purposes. The year 1970 was purposively selected because of certain important events within the South Asian region including: (i) Bangladesh's independence in 1971, (ii) Current account liberalization in South Asian countries, and most importantly (iii) emergence of financial liberalization as a policy reform in the 70s.

Measures

Dependent Variable (Financial Liberalization). The financial liberalization index was constructed using eight factors:
i) Interest Rate Deregulation (IRD), ii)
Removal of Entry Barriers (REB), iii)
Reduction in Reserve Requirement (RRR), iv) Easing in Credit Control (ECC), v)

Implementation of Prudential Rule (IPR), vi) Stock Market Reforms (SMR) vii) Privatization of State-Owned Banks (PSB), and viii) External Account Liberalization (EAL). This same approach has previously been used by Bandiera et al. (2000), Demetriades and Luintel (1997), Hermes and Meesters (2015), Laurenceson and Chai (2003), and Shrestha and Chowdhary (2006). For each policy variable, a value between 0 and 1 is assigned depending on how the policy has been implemented. If a particular sector is fully liberalized that policy variable will be assigned value 1 and if any particular sector remains regulated it takes a value 0. In the case of partial and phase-wise ongoing liberalizations of a particular sector, different values have been assigned like 0.33, 0.5, and 0.66. In the case of the two-phased deregulation process, the value of 0.5 is assigned in the first phase, whereas 1 at the end of the second phase. For the three-phased deregulation process, 0.33 in the first phase, 0.66 in the second phase, and 1 at the end of the third phase have been assigned.

Mathematically, the index is shown as:

$$FLI = {}_{w_1} IRD + {}_{w_2} REB + {}_{w_3} RRR + {}_{w_4} IRP + \\ + {}_{w_5} PSB + {}_{w_6} EAL + {}_{w_7} SMR + {}_{w_8} ECC$$
 (i)

Here, w_i is the weight of the component. IRD takes the value of 1 if the interest rate is deregulated, 0 otherwise. REB takes the value of 1 if licensing of new businesses is easy, foreign investments are encouraged, specialized banking

services and universal banks exist, 0 otherwise. RRR takes the value of 1 if reserve requirements are decreased, 0 otherwise. IRP takes the value of 1 if BASEL accord has been adopted, banking supervisory agency is independent and supervisory oversight is maintained, 0 otherwise. PSB takes the value of 1 if all state-owned banks have been privatized, 0 otherwise. EAL takes the value of 1 if the external account has been fully liberalized, 0 otherwise. SMR takes the value of 1 if the policies with respect to auctioning of government securities exist, markets are open to foreign investors, and tax regulations regarding the securities market exist, 0 otherwise. ECC takes the value of 1 if credit control requirements are easy, 0 otherwise.

Independent Variables. Both economic factors and political factors were measured using standard proxies/ measures.

Table 1 below summarizes the measures of economic and political factors.

Mathematical Equation. The mathematical equation of the study is shown below:

$$\begin{split} FL_{i,t} &= \beta_o + \beta_1 (TO)_{i,t} + \beta_2 (RES)_{i,t} + \beta_3 (GDPg)_{i,t} \\ &+ \beta_4 D_1 (REC)_{i,t} + \beta_5 D_2 (PS)_{i,t} + \beta_6 (LOD)_{i,t} \\ &+ \mu_{i,t} \end{split}$$
 (ii)

Here.

FL= Financial liberalization, TO= trade openness, RES= Reserves, GDPg= GDP growth, REC= Recession, PS= Political stability, LOD=level of democracy.

RESULTS

Descriptive Statistics and Correlation Analysis

Table 2 provides the results of descriptive statistics and correlation analysis for SAARC countries. The mean and standard deviation value of foreign reserves are not of raw form, rather it is the logarithmic value used in the analysis.

It can be seen in the table that economic factors are significantly and positively related to financial liberalization: GDP

Table 1 Summary of measures/proxies and data sources of independent variables

Variable	Measures	Data Source
Trade Openness	Sum of imports and exports as a percentage of GDP	World bank open data
Reserves	\$ value of net reserves	IMF Statistics
GDP growth	%age change in GDP of the country with respect to last year	IMF Statistics and World bank open data
Recession	Dummy variable. 1 if GDPg is negative, 0 otherwise.	IMF Statistics
Political stability	Dummy variable. 1 if no regime change occurs in 20 years, 0 otherwise. Regular transfer of power from one political party to another does not constitute a regime change.	Center for systemic peace
Level of democracy	Democracy scores from 0-10 based on the openness of the political process, as well as the level of check and balances on the power of the executive	Center for systemic peace

Table 2
Descriptive statistics and correlation analysis for SAARC region

	Mean	S.D.	1	2	3	4	5	6	7
1. GDP growth	10.25	11.68	1.00						
2. Trade openness	26.02	19.32	51*	1.00					
3. Recession	0.042	0.22	25*	-0.12	1.00				
4. Reserves	17.43	7.28	.89*	.43*	.04	1.00			
5. Level of Democracy	1.58	1.98	.80*	48*	10*	72*	1.00		
6. Political Stability	7.92	4.15	.17*	01	-0.02	.23*	.22*	1.00	
7. Financial Liberalization	4.81	3.30	.37*	.43*	.29*	.17*	.13*	.14*	1.00

Note. *p<.05, S.D.= Standard deviation

Table 3
Results for unit-root test

Variable	Statistic	p-value
Financial Liberalization	-2.00	.02
GDP Growth	-6.19	.00
Recession	-6.13	.00
Reserves	-3.31	.03
Trade Openness	-2.71	.01
Level of democracy	-0.70	.00
Political Stability	-5.43	.00

Note. Ho for Levin-Lin-Chu= Panels contain unit-root, Ha= Panels are stationary

growth and financial liberalization (r=.37, p<.05), trade openness and financial liberalization (r=.43, p<.05), recession and financial liberalization (r=.29, p<.05) and foreign reserves and financial liberalization (r=.17, p<.05). Similarly, results show that level of democracy (r=.13, p<.05) and political stability (r=.14, p<.05) are also positively linked with financial liberalization. These results provide initial support for all formulated hypotheses.

Diagnostic Testing for Possibility of Two-Way Relationship

Before proceeding with regression analysis, diagnostic testing was done to check whether OLS estimation can be performed on our data or not? The big question that arises regarding our study is the existence of theoretical rationale for two way relationship of variables under study. We performed the unit-root test (Levin-Lin-Chu test) to confirm the stationary of data. Our results of the unit root test are summarized in Table 3 which shows that all variables were stationary at level. So, we rejected H_0 and pursued OLS estimation instead of the cointegration technique.

Results of Panel Data Regression Analysis

Once the stationary of data was confirmed, the panel data regression technique was applied to the data. Table 4 reports results for both pooled OLS regression and fixed effect regression along with the results of the Hausman test to determine fixed or random effect regression model. The results for the overall SAARC region and country-wise variations are reported in the table. It can be seen that for our model, fixed effect regression was more appropriate for the overall SAARC region and individual countries.

It can be seen in the table that for the overall SAARC region among economic factors trade openness is significantly positively related to financial liberalization $(\beta=.10, p<.01)$. Similarly, reserves $(\beta=.09, p<.01)$, GDP growth $(\beta=.18, p<.01)$, and recession $(\beta=.16, p<.05)$ are all significantly positively related to financial liberalization. Among political factors, the level of democracy is significantly and positively related to financial liberalization $(\beta=.15, p<.05)$. Similarly, political stability is also significantly and positively related to financial liberation $(\beta=.42, p<.01)$.

A fixed-effect regression model was applied after the results of the Hausman test. The results for fixed effect regression also show a positive relationship between all economic and political factors under consideration and financial liberalization with slight variations in the value of coefficient. It can be seen that trade openness $(\beta=.16, p<.01)$, reserves $(\beta=.05, p<.01)$, GDP growth $(\beta=.17, p<.01)$, recession $(\beta=.75, p<.05)$ level of democracy $(\beta=.42, p<.01)$ and political stability $(\beta=.19, p<.05)$ are all significantly and positively associated with financial liberalization in SAARC

region. The results of both pooled OLS and panel data regression analyses for the overall SAARC region support our formulated hypotheses from H1 through H6.

The country-wise analysis shows some variations in results of countries from the overall region. These variations can also be seen in Table 4. Among economic factors, the strongest predictor of financial liberalization is GDP growth in the overall SAARC region whereas among political factors it is the level of democracy. Country-wise analysis shows that although the relationship between all economic and political factors is positive with financial liberalization. However, there are slight variations in the effect size that are evident in the table. Country-wise analysis shows that, for all countries, among economic factors, either GDP growth or trade liberalization appears to be the most important factor. For instance, GDP growth is the strongest predictor of liberalization in Bangladesh, Nepal, Pakistan, and Sri Lanka whereas, for India, trade openness is the strongest predictor.

Robustness Check

In order to test for the robustness of our results, we tested for possible endogeneity in our data and considered dynamic estimation too. We used Arellano and Bond's (1991) estimation to test for dynamic panel data modeling. After applying Allerano and Bond test, we also tested for the unidentified restrictions in the model. Our results for both the tests for the overall region are summarized in Table 5.

Table 4 Results of panel data regression analysis

	Overall	Overall SAARC	Bangl	Bangladesh	Inc	India	Ne	Nepal	Pakistan	stan	Sri Lanka	anka
	(1)	(2)	(1)	(2)	(1)	(2)	(1)	(2)	(1)	(2)	(1)	(2)
C	2.28**	0.75*	1.40**	0.76**	2.12**	0.83**	3.22**	0.64**	2.23**	0.81**	0.93**	0.86**
	(0.522)	(0.823)	(0.534)	(0.834)	(0.573)	(0.421)	(0.638)	(0.461)	(0.556)	(0.569)	(0.625)	(0.632)
Trade	.101**	.16**	.113**	**	.354**	.17**	0.100**	.14**	0.101**	.18**	.145**	.14*
Openness	(0.010)	(0.015)	(0.010)	(0.017)	(0.528)	(0.632)	(0.010)	(0.021)	(0.010)	(0.012)	(0.015)	(0.011)
Reserves	.092**	*850.	.102**	0.012**	**580.	0.06**	0.087**	**80	0.091**	0.07**	0.065**	**60
	(0.021)	(0.022)	(0.020)	(0.020)	(0.023)	(0.021)	(0.028)	(0.164)	(0.216)	(0.064)	(0.021)	(0.017)
GDP growth	**81.	.17**	.198**	.15**	.167**	0.19**	.163**	.19**	0.181**	0.14**	.158**	.13**
	(0.026)	(0.061)	(0.026)	(0.021)	(0.027)	(0.069)	(0.026)	(0.037)	(0.066)	(0.054)	(0.025)	(0.036)
Recession	.16*	.75*	.119*	.10*	.152*	*49.	.145*	.61**	0.148*	.71*	.117*	.52*
	(0.900)	(0.094)	(0.867)	(0.761)	(0.915)	(0.752)	(0.893)	(0.729)	(0.102)	(0.345)	(0.887)	(0.762)
Political	.159**	.19**	.19**	.18**	.167**	.17**	.231**	.21**	0.162**	.17**	*680	**
stability	(0.041)	(0.048)	(0.040)	(0.023)	(0.043)	(0.036)	(0.050)	(0.041)	(0.042)	(0.036)	(0.044)	(0.041)
Level of	.428*	*24.	.452**	*45*	.421*	.43**	.496**	.46**	0.413**	.43**	.325*	.36**
democracy	(0.141)	(0.142)	(0.138)	(0.138)	(0.144)	(0.132)	(0.145)	(0.139)	(0.152)	(0.135)	(0.142)	(0.126)
\mathbb{R}^2	0.42	0.38	0.46	0.48	0.42	0.36	0.44	0.38	0.42	0.35	0.47	0.39
f- stat	11	11.04	29.	29.62	24.	24.29	25	25.73	24.	24.20	29.65	65
Significance	0.0	0.000	0.0	0.000	0.0	0.000	0.0	0.000	0.0	0.000	0.000	00
Hausman-test	42	42.47	22.	22.78	82.	82.10	32	32.39	40,	40.89	13.	13.78
	0.0	0.000	0.0	000	0.0	000	0.0	000	0.0	000	0.01)]

Note. **p<.01, *p<.05, standard error in (), (1) shows Pooled OLS regression, (2) shows results for Fixed effect regression (FE)

Table 5
Results of Arellano and Bond test and Sargan test of over identified restrictions

	Co-efficient/ Chi-square value	p-value
Arellano Bond test (L1)	0.12	.71
Sargan test of overid. Restrictions	198.5	.09

Note. H₀ for Arellano Bond= no autocorrelation, H₀ for Sargan test=overidentified restrictions exists

The results for dynamic modeling as shown in Table 5 indicate that in the case of both Arellano and Bond estimation and Sargan test for over-identified restrictions, we can't reject H0. This leads to the conclusion that dynamic modeling is inappropriate for the study and thus the initial results of the study are robust. So, our original estimates of OLS are robust.

DISCUSSION

Considering the importance of financial reforms for emerging and developing economies, this study was conducted to examine the determinants of financial liberalization in the SAARC region. We identified both economic and political factors from literature as determinants of liberalization in the region. Among economic factors, it was hypothesized that trade openness, foreign reserves, GDP growth, and recession are determinants of financial liberalization. Similarly, it was hypothesized that the level of democracy and political stability are political determinants of financial liberalization in the SAARC region. Overall, our results support the formulated hypothesis with minor variations for individual countries.

The first hypothesis of the study was that GDP growth has a positive relationship with financial liberalization. The results of the study support this hypothesis. When the economy grows, GDP grows and the dream for the achievement of economic growth realizes for countries. They would liberalize thus their economies so that foreign investors can also invest in the economy. This will help in the achievement of economic growth. Previous research has also shown that economically developed countries (countries with high GDP) liberalize their markets (Kaya et al., 2012).

The second hypothesis of the study was that trade openness has a positive relationship with financial liberalization. Our results support this hypothesis. Trade openness represents the openness of the country to trade with other countries and is measured with respect to imports and exports. Trade openness can be seen as the first step towards the liberalization of financial markets. Trade openness opens the door for foreign investors and is a way towards economic development. Previous research has shown that trade openness is related to economic growth and sustainable development (Alam & Sumon, 2020; Klasra, 2011; Murshed, 2020). Thus, countries with open policies for trade are more likely to go for financial liberalization. Previously, Kaya et al. (2012) also found support for the relationship between trade openness and equity market liberalization.

The third hypothesis of the study is that recession is positively associated with financial liberalization. Results of the study support this hypothesis too. A recession is a situation when the economy is contracting and needs some structural adjustments. Financial liberalization policies are a way through which the economy can be restructured. Generally, interest rates rise in a recession. So, closed economies have to deregulate interest rates in order to combat the recession. Similarly, more investment is required in the economy. Liberalization provides the mechanisms through which the economy can be boosted. This is the reason that during the recession period, countries would opt to liberalize their economic and financial markets.

Our fourth hypothesis was related to the last economic factor i.e. foreign reserves. We hypothesized that a high level of foreign reserves is positively associated with financial liberalization. The results of the study support this hypothesis too. Foreign reserves represent the amount of foreign currency in a country. The more foreign reserves a country has, the more it aims to liberalize as it will help in making itself more competitive. Liberalization will allow foreign banks to start operations and in the local country and the presence of foreign banks enhances competitiveness in the local market (Wang & Bayraktar, 2004).

The fifth and sixth hypotheses of the study were related to the relationship of political factors i.e. political stability and level of democracy with financial liberalization respectively. Both hypotheses have also been supported by the results. The government of any country is the most important policymaker regarding liberalization. The most important thing that leads to economic development is the consistency of economic policies. The consistency of economic policies is dependent on the political stability within a country. Political stability helps in gaining the trust of investors both local and foreign. Previous research has shown that political parties, systems, and bureaucracy are important in determining the liberalization policies of a country (e.g. Zhang, 2003). Research has also shown that democratic governments encourage financial liberalization (Quinn, 2000). Our results are in line with the school of thought which says that democratic institutions and political structure are important in liberalization and reported a positive relationship between the two (e.g. Giuliano et al., 2013; Henisz & Mansfield, 2019; Steinberg et al., 2018).

IMPLICATIONS, LIMITATIONS & FUTURE DIRECTIONS

Our study provides empirical evidence towards determinants of financial liberalization. We report that GDP growth, trade openness, recession, and foreign reserves are important economic factors that predict financial liberalization and signals financial reforms. Similarly, we found that political factors i.e. political stability and democratic governments were also important in predicting financial liberalization. These results carry serious implications for policymakers of local,

regional, and global forums. Policymakers who intend to liberalize economies to boost financial development must try to enhance GDP growth, reserves and must open borders for trade. Similarly, democratic governments should be promoted and stability in the political system should be maintained in order to achieve liberalization and structural reform goals.

Our results must be interpreted with caution as they are related to a specific region i.e. South Asian region. Future studies may investigate the determinants of financial liberalization in other regions and see the pattern of liberalization across countries and regions.

ACKNOWLEDGEMENT

The authors acknowledge the support of Dr. Zeeshan Ghafoor at Riphah International University who helped us in accessing the database and Mr. Irfan Ahmed who helped us in proof-reading the document.

REFERENCES

- Abiad, A., & Mody, A. (2005). Financial liberalization: What shakes it? What shapes it? *American Economic Review*, 95(1), 66-88. https://doi.org/10.1257/0002828053828699
- Ahmad, F., Draz, M. U., Su, L., Ozturk, I., Rauf, A., & Ali, S. (2019). Impact of FDI inflows on poverty reduction in the ASEAN and SAARC economies. *Sustainability*, 11(9), 2565. https:// doi.org/10.3390/su11092565
- Alam, K. J., & Sumon, K. K. (2020). Causal relationship between trade openness and economic growth: A panel data analysis of Asian countries. *International Journal of Economics*

- and Financial Issues, 10(1), 118-126. https://doi.org/10.32479/ijefi.8657
- Arellano, M., & Bond, S. (1991). Some tests of specification for panel data: Monte Carlo evidence and an application to employment equations. *The Review of Economic Studies*, 58(2), 277-297. https://doi.org/10.2307/2297968
- Awan, R. U., Akhtar, T., Rahim, S., Sher, F., & Cheema, A. R. (2018). Governance, corruption and economic growth: A panel data analysis of selected SAARC countries. *Pakistan Economic and Social Review*, 56(1), 1-20.
- Babu, S. C., & Joshi, P. K. (2019). Extension reforms in South Asia: Synthesis of conclusions, lessons learnt, and the way forward. In *Agricultural extension reforms in South Asia* (pp. 369-375). Academic Press.
- Bandiera, O., Caprio, G., Honohan, P., & Schiantarelli, F. (2000). Does financial reform raise or reduce saving? *Review of Economics and Statistics*, 82(2), 239-263. https://doi.org/10.1162/003465300558768
- Beck, T., Levine, R., & Loayza, N. (2000). Finance and the Sources of Growth. *Journal of Financial Economics*, 58(1-2), 261-300. https://doi.org/10.1016/S0304-3932(00)00017-9
- Bhattacharjee, J. (2017). Do institutions affect economic growth? An empirical analysis of selected South Asian countries. *Asian Journal of Comparative Politics*, 2(3), 243-260. https://doi.org/10.1177/2057891116671833
- Blackburn, K., & Forgues-Puccio, G. F. (2008). Financial liberalization, bureaucratic corruption and economic development. *Journal of International Money and Finance*, 29(7), 1321-1339. https://doi.org/10.1016/j.jimonfin.2010.05.002
- Bumann, S., Hermes, N., & Lensink, R. (2013). Financial liberalization and economic growth: A meta-analysis. *Journal of International*

- Money and Finance, 33, 255-281. https://doi.org/10.1016/j.jimonfin.2012.11.013
- Demetriades, P. O., & Luintel, K. B. (1997). The direct costs of financial repression: Evidence from India. *Review of Economics and Statistics*, 79(2), 311-320. https://doi.org/10.1162/003465397556665
- Demirguc-Kunt, A., & Detragiache, E. (2001). CML is correlated with banking crises. Financial liberalization and financial fragility. In G. Caprio, P. Honohan, & J. E. Stiglitz (Eds.), Financial liberalization, how far how fast. Cambridge University Press.
- Elkhuizen, L., Hermes, N., Jacobs, J., & Meesters, A. (2018). Financial development, financial liberalization and social capital. *Applied Economics*, 50(11), 1268-1288. https://doi.org/10.1080/00036846.2017.1358446
- Giuliano, P., Mishra, P., & Spilimbergo, A. (2013). Democracy and reforms: Evidence from a new dataset. American Economic Journal: Macroeconomics, 5(4), 179-204. http://dx.doi. org/10.1257/mac.5.4.179
- Hashmi, S. H., Hongzhong, F., & Ullah, A. (2020). Effect of political regime, trade liberalization and domestic investment on FDI inflows in Pakistan: New evidence using ARDL bounds testing procedure. *International Journal of Information*, *Business and Management*, 12(1), 276-299.
- Hermes, N., & Meesters, A. (2015). Financial liberalization, financial regulation and bank efficiency: A multi-country analysis. *Applied Economics*, 47(21), 2154-2172. https://doi.org/ 10.1080/00036846.2015.1005815
- Helliwell, J. F. (1994). Empirical linkages between democracy and economic growth. *British Journal of Political Science*, 24(2), 225-248.
- Henisz, W. J., & Mansfield, E. D. (2019). The political economy of financial reform: De jure liberalization vs. de facto implementation. *International Studies Quarterly*, 63(3), 589-602. https://doi.org/10.1093/isq/sqz035

- Hossain, M. (2020). Financial liberalization, financial development and economic growth: An analysis of the financial sector of Bangladesh. In M. Hossain (Ed.), *Bangladesh's macroeconomic policy*. Palgrave Macmillan. https://doi.org/10.1007/978-981-15-1244-5 15
- Kalu, K. E. (2007). The determinants and effects of financial liberalization in Sub-Saharan Africa: A regional analysis with a case study of Nigeria (Doctoral dissertation). Carleton University.
- Kaya, I., Lyubimov, K., & Miletkov, M. (2012). To liberalize or not to liberalize: Political and economic determinants of financial liberalization. *Emerging Markets Review*, 13(1), 78-99. https://doi.org/10.1016/j.ememar.2011.10.002
- Kaminsky, G. L., & Reinhart, C. M. (1999). The twin crises: The causes of banking and balance-of-payments problems. *American Economic Review*, 89(3), 473-500. https://doi.org/10.1257/aer.89.3.473
- Keefer, P., & Knack, S. (2000). Polarization, politics, and property rights: Links between inequality and growth [Policy Research Working Paper No. 2418]. World Bank.
- Klasra, M. A. (2011). Foreign direct investment, trade openness and economic growth in Pakistan and Turkey: An investigation using bounds test. *Quality & Quantity*, 45(1), 223-231. https://doi.org/10.1007/s11135-009-9272-5
- Laurenceson, J., & Chai, J. C. (2003). Financial reform and economic development in China. Edward Elgar Publishing.
- Mansfield, E. D., Milner, H. V., & Rosendorff, B. P. (2000). Free to trade: Democracies, autocracies, and international trade. *American Political Science Review*, 94(2), 305-321. https://doi. org/10.1142/9789814644297 0007
- Mansfield, E. D., Milner, H. V., & Rosendorff, B. P. (2002). Replication, realism, and robustness:

- Analyzing political regimes and international trade. *American Political Science Review*, 96(1), 167-169.
- Maxfield, S. (1998). Understanding the political implications of financial internationalization in emerging market countries. *World Development*, 26(7), 1201-1219. https://doi.org/10.1016/S0305-750X(98)00053-9
- McKinnon, R. I. (1973). Money and capital in economic development. Brookings Institute.
- Murshed, M. (2020). Are trade liberalization policies aligned with renewable energy transition in low and middle income countries? An instrumental variable approach. *Renewable Energy*, 151, 1110-1123. https://doi.org/10.1016/j.renene.2019.11.106
- Naveed, S., & Mahmood, Z. (2019). Impact of domestic financial liberalization on economic growth in Pakistan. *Journal of Economic Policy Reform*, 22(1), 16-34. https://doi.org/10.1080/1 7487870.2017.1305901
- Quinn, D. P. (2000). Democracy and international financial liberalization. *McDonough School of Business*, *Georgetown University*. https://citeseerx.ist.psu.edu/viewdoc/download?doi=1 0.1.1.464.7531&rep=rep1&type=pdf
- Rajan, R. G., & Zingales, L. (2003). The great reversals: The politics of financial development in the twentieth century. *Journal of Financial Economics*, 69(1), 5-50. https://doi.org/10.1016/ S0304-405X(03)00125-9
- Reinhart, C. M., & Tokatlidis, I. (2003). Financial liberalisation: The African experience. *Journal of African Economies*, *12*(suppl_2), ii53-ii88. https://doi.org/10.1093/jae/12.suppl_2.ii53
- Rodrick, D. (1999). Institutions for high-quality growth. *IMF Conference on Second Generation Reforms*, Washington, USA.
- Shaw, E. S. (1973). *Financial deepening in economic development*. Oxford University Press.

- Shortland, A., & Girma, S. (2005, September 1-3). The political economy of financial liberalisation. *Money Macro and Finance (MMF) Research Group Conference 2005*. Money Macro and Finance Research Group.
- Susemihl, F., & Hicks, R. D. (1894). *The politics of Aristotle, books IV: A revised text*. Ayer Company Pub.
- Shrestha, M. B., & Chowdhury, K. (2006). Financial liberalization index for Nepal. *International Journal of Applied Econometrics and Quantitative Studies*, *3*(1), 41-54. https://ro.uow.edu.au/buspapers/440
- Steinberg, D. A., Nelson, S. C., & Nguyen, C. (2018).

 Does democracy promote capital account liberalization? *Review of International Political Economy*, 25(6), 854-883. https://doi.org/10.1080/09692290.2018.1486725
- Sun, H. P., Tariq, G., Haris, M., & Mohsin, M. (2019). Evaluating the environmental effects of economic openness: Evidence from SAARC countries. *Environmental Science and Pollution Research*, 26(24), 24542-24551. https://doi.org/10.1007/s11356-019-05750-6
- Wang, Y., & Bayraktar, N. (2004). Foreign bank entry, performance of domestic banks, and sequence of financial liberalization. The World Bank.
- Williamson, J. (1990). What Washington means by policy reform. In J. Williamson (Ed.), *Latin American adjustment: How much has happened?* Institute for International Economics.
- Yalta, A. T. (2011). Analyzing energy consumption and GDP nexus using maximum entropy bootstrap: The case of Turkey. *Energy Economics*, 33(3), 453-460. https://doi.org/10.1016/j.eneco.2010.12.005
- Zhang, X. (2003). Political structures and financial liberalization in pre-crisis East Asia. *Studies in Comparative International Development*, *38*(1), 64-92. https://doi.org/10.1007/BF02686323





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Economic Efficiency of Stingless Bee Farms in Peninsular Malaysia Estimated by Data Envelopment Analysis (DEA)

Norhidayah Che Soh^{1,2*}, Nur Syahirah Samsuddin¹ and Mohd Mansor Ismail¹

¹Institute of Agricultural and Food Policy Studies, Universiti Putra Malaysia, Putra Infoport Jalan Kajang-Puchong, 43400 UPM Serdang, Selangor, Malaysia

²Faculty of Fisheries and Food Science, Universiti Malaysia Terengganu, 21030 Kuala Nerus, Terengganu, Malaysia

ABSTRACT

The commercial stingless beekeeping industry has good economic growth potential in Malaysia, which is a tropical country rich in flora that serves as food sources for stingless bees. Local consumption of honey is increasing and its production locally can be raised to meet the demand by sustainable stingless beekeeping. An important indicator that measures the success of the industry is the economic efficiency of the farm. This study hence examined the cost efficiency (CE), technical efficiency (TE), and allocative efficiency (AE) of commercial stingless beekeeping farms in the East Coast and Northern regions of Peninsular Malaysia using Cost Data Envelopment Analysis (DEA) under the assumption of Constant Return to Scale (CRS). Interviews with 47 respondents in the East Coast region and 28 respondents in the Northern region showed that the average CE scores for the two regions were 0.291 and 0.172, respectively. TE for the East Coast region and Northern region were 0.656 and 0.385 while mean AE scores of 0.445 and 0.404 were obtained. Factors that influenced the efficiency of the farms included farmers' years of schooling and extension officer visits. In conclusion, CE, TE, and AE of commercial stingless bee

ARTICLE INFO

Article history: Received: 28 March 2020 Accepted: 08 October 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.34

E-mail addresses: norhidayah.soh@umt.edu.my (Norhidayah Che Soh) nursyahirahsamsuddin91@gmail.com (Nur Syahirah Samsuddin) mkk@upm.edu.my (Mohd Mansor Ismail)

* Corresponding author

honey production in Peninsular Malaysia were fairly low, and the determinants responsible for this low efficiency is of concern. Economic efficiency in stingless beekeeping needs to be further elevated to optimise productivity.

Keywords: Allocative efficiency, cost efficiency, economic efficiency, inefficiency, stingless bee farms, technical efficiency

INTRODUCTION

Malaysia, located in the tropics, is rich in natural resources with a wide variety of flora and fauna that can contribute to economic growth. Bees are among the abundant fauna species found in Malaysia; they include stingless bees that produce honey for human consumption. Worldwide, there are about 500 species within the stingless bee genus, with most of them found in Latin America, Australia, Africa, and Eastern and Southern Asia (Rasmussen & Cameron, 2010). They play an important role as the main pollinators for many wild and cultivated tropical plants (Slaa et al., 2006).

According to Ismail (2014), there are about 100 species of bees in Malaysia. The country is suited for stingless beekeeping (meliponiculture) owing to the high diversity of dipterocarp (Dipterocarpaceae) forests which produce resin and tropical forest moisture (Rasmussen, 2008) that contribute to the survival of stingless bees. The Malaysian Agricultural Research and Development Institute (MARDI, 2013) reported that 30 species of stingless bees, generally harmless to humans, have been identified in Malaysia. Currently, nine stingless bee species have been found suitable for meliponiculture, viz. Heterotrigona erythrogastra, Lepidotrigona doipaensis, Lepidotrigona latipes, Lepidotrigona terminata, Platytrigona, Tetragonila atripes, Tetragonila collina, Heterotrigona itama and Geniotrigona thoracica. However, only two (H. itama and G. thoracica) are widely domesticated owing to the higher volume of honey produced as compared with other species. Honey from stingless bees is frequently consumed as a health supplement. There have been studies showing that such honey is valuable in the treatment of various diseases (Souza et al., 2006). For example, stingless bee honey has been reported to have properties that render them anti-inflammatory (Borsato et al., 2014), anti-cancer (Yazan et al., 2016), and anti-microbial (Zainol et al., 2013). The honey is also reputed to possess antioxidant properties (Duarte et al., 2012). Malaysia currently faces a deficit in local honey production and depends on imported honey from countries such as Australia and China. Local demand for honey is on the rise because of higher population growth and increased disposable income in the country, as well as consumers' increasing awareness of health-related foods and supplements. As shown in Figure 1, the amount of honey imported had consistently exceeded its export from 2011 to 2018. The increasing demand for honey occurs due to the growing population and disposable income in the country, as well as the consumers' awareness of healthy foods and lifestyle.

Stingless bees commonly build nests in existing hollowed out parts of trees and in buildings. This behaviour offers the opportunity for the insects to be intensively domesticated, offering a source of income for residents in rural areas. In this connection, standard operating procedures need to be observed in farms for the industry to be successful. The empowerment of current stingless beekeepers contributes directly to the better production of high-quality honey (Mustafa et al., 2018). Yet, the stingless bee honey industry is in stagnation due to a

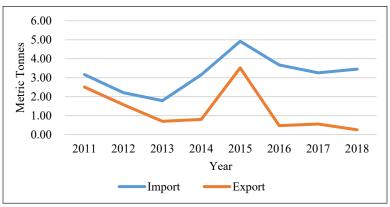


Figure 1. Honey statistic of import and export in Malaysia Source: United Nations Comtrade (2018)

paucity of research and development, thus leading to poor management, low honey production, and increasing costs (Saludin et al., 2019). The development of the modern beekeeping sector in Malaysia has attracted considerable attention from authorities in various sectors of the economy such as those related to production, marketing, and trade (Iryani, 2016). As commercial beekeepers in Malaysia are producing honey only as of the main output, proper farm management could increase productivity and efficiency while good cost management would minimize production expenditure and increase farm profits. One important indicator of production success is the efficiency of the farm. To be specific, economic efficiency is an important aspect as it is a crucial element in running a successful business.

Efficiency can be achieved by maximising honey production and minimising the cost of inputs. There is a paucity of research on the economic efficiency of honey bee farming in the world (Alropy et al., 2019; Ritten et al., 2018), and

none on the economic efficiency of honey bee or stingless beekeeping in Malaysia. Hence, the purpose of this research is to evaluate the performance of commercial stingless beekeepers in Peninsular Malaysia via an economic efficiency assessment, and thence to identify the underlying factors in farm management responsible for any shortcomings. The findings would help stingless beekeepers and governmental policy-makers take appropriate action to optimise farm management input to maximise the output of honey from stingless beekeeping.

Conceptual Framework

Economic efficiency refers to the ability of certain firms to utilise and maximise all inputs or production factors to produce a maximum set of outputs. It covers both technical and allocative efficiencies, though it is more important to use technical efficiency as it stresses the efficient use of scarce resources. The Cost Data Envelopment Analysis (DEA) is a non-parametric approach to

estimate the efficiency in production. This approach was originally developed by Charnes et al. (1978). The advantages of the DEA approach are that it does not require any explicit functional forms to specify the relationship between the inputs and output as well as it can easily accommodate multiple inputs (Coelli et al., 2002).

Basically, DEA is based on the technological assumptions of Constant Returns to Scale (CRS). Later on, Banker et al. (1984) extended this approach to accommodate the technologies that exhibited variable returns to scale (VRS). Our study adopted the CRS assumptions where increasing the input by one unit would generate an output of one unit. This assumption is suitable to be implemented when all DMUs are operating at an optimal scale. The CRS shows the total TE score by solving the linear programming (LP) based on the DEA model as shown in Eq. 1 (Charnes et al., 1978). We assumed that the single output production units (bee farms), henceforth referred to as the decisionmaking unit (DMU), made use of multiple inputs, m in the production of output (honey). Then, Yi is the output, Xi is the vector of the inputs matrix $(m \times 1)$, Y is the vector of output matrix $(1 \times n)$, and X is the $(m \times n)$ input matrix of DMUs, where n = 47and 28. Thus, the constrained optimization problem in the LP DEA can be stated as:

$$Max_{uv}(u'v_i/v'x_i)$$

Subject to

$$u'y_j - v'x_j \le 0$$
, where $j = 1, 2, ..., N$, and $u, v \ge 0$. (1)

It should be noted that the DEA can also be used to measure cost efficiency. It is also important to clarify the efficiency scores obtained from the DEA model by studying the determinants of technical efficiency (Sherzod et al., 2018). In the CRS assumption, any DMUs with $\theta^{crs} = 1$ are said to be on the frontier and technically efficient, while values < 1 are below the frontier and technically inefficient. The technically efficient production cost of the ith DMU is stated as: $P'i(\theta^{crs}Xi)$, where Pi is the vector of input price. In order to obtain the overall Economic Efficiency (EE) under the CRS assumption, the DEA LP constrained optimisation problem was solved as shown in Eq. 2.

Min X*
$$i\lambda$$
,Pi Xi*; subject to: Yi \leq Y λ , Xi* \geq X λ , $\lambda \geq$ 0 (2)

where the cost minimisation objective or economically efficient input vector for the ith DMU is Xi*, and its price Pi, and the output level, Yi. The total EE value for the ith farm was calculated as the ratio of the least cost to the actual cost using Eq. 3, where EE = 1 implies economically efficient, while EE < 1 signifies economically inefficient.

$$EEi = PiXi* / PiXi$$
 (3)

Furthermore, the Allocative Efficiency (AE) index is generated as shown in Eq. 4.

A E i = E E i /
$$\theta$$
 i C R S = PiiXi*,Pi(θ iCRSXi) (4)

where AE = 1 indicates that the DMU is allocatively efficient, while AE < 1 implies the highest amount of cost that

the technically efficient DMU could save by using the least cost strategy (Chavas & Aliber, 1993).

As introduced by Banker et al. (1984), Charnes et al. (1981), and Farrell (1957), the two most popular DEA models to measure technical efficiency are the input-oriented DEA, which considers how much the number of inputs could be reduced to produce the same level of output (and this model was applied here), while the second model is output-oriented DEA, which is concerned on how much the amount of output could be increased from the given set of inputs. The estimation of technical efficiency has subsequently been extended to accommodate multiple inputs and outputs (Coelli et al., 2005).

In the present study, after measuring technical, allocative, and cost efficiency scores in the DEA model, a second stage analysis that applied the Tobit regression model was used to determine the cause of inefficiency. This model was introduced by James Tobin in 1958 and is well- known as the censored regression model, where expected errors do not equal to zero (Amemiya, 1984). Therefore, the Tobit model is the most appropriate technique to handle characteristics of the distribution of censored efficiency scores in this study and it has also been widely used in many previous studies around the world. This study applied the following Tobit regression model and expressed it as follows:

$$\bigcup_{i=1}^{*} \boldsymbol{\beta}_{o} + \sum_{i=1}^{K} \boldsymbol{\beta}_{j} \boldsymbol{Z}_{ij} + \boldsymbol{\mu}_{i}$$

Denoting U_i as the observed dependent variables.

$$U_{i} = 1 \text{ if } U_{i}^{*} \ge 1;$$
 $U_{i} = U_{i}^{*}; \text{ if } 0 < U_{i}^{*} < 1;$
 $U_{i} = 1 \text{ if } U_{i}^{*} \le 0;$

where i U is an efficiency measure representing technical efficiency with both CRS and VRS; allocative efficiency, cost efficiency, and scale efficiency of the i-th stingless beekeepers based on DEA estimation; * iU is the latent inefficiency variable; Zi is a vector of explanatory variables representing of farm characteristics; β j are unknown parameters to be estimated; μ_i is the random error term that is independently and normally distributed with mean zero and common variance.

The empirical Tobit model specification is written as follows:

$$U_{i} = \beta_{0} + \beta_{1}Z_{1} + \beta_{2}Z_{2} + \beta_{3}Z_{3} + \beta_{4}Z_{4}$$
$$+ \beta_{5}Z_{5} + \beta_{6}Z_{6} + \beta_{7}Z_{7} + \beta_{8}Z_{8} + \beta_{9}Z_{9}$$
$$+ \beta_{10}Z_{10} + \beta_{11}Z_{11} + \beta_{12}Z_{12}\mu$$

Where:

 Z_1 represents the age of stingless beekeepers Z_2 represents the gender of stingless beekeepers

Z₃ represents the year of schooling of stingless beekeepers

Z₄ represents the income of stingless beekeepers

Z₅ represents the experience of stingless beekeepers

 Z_6 represents the agricultural officers' visits Z_7 represents the full-time or part-time involvement in stingless beekeeping

 Z_8 represents the family size Z_9 represents the involvement of stingless beekeepers in an association Z_{10} , Z_{11} , Z_{12} represent the types of plants as sources of food for stingless bees.

METHOD

Study Area and Data Collection

In a cluster sampling exercise, stingless beekeepers were categorized into two regions in Peninsular Malaysia, namely the Northern region that comprised the states of Perlis, Kedah, Penang, and Perak, and the East Coast region that included the states of Kelantan, Terengganu, and Pahang. A random sampling of stingless beekeepers was undertaken from a list provided by the Agriculture Department. Primary data were collected through face-to-face interviews of commercial stingless beekeepers operating at least 50 stingless bee colonies. The data collected included detailed information on the costs involved in stingless bee honey production, their output, and related socioeconomic characteristics. In the Northern Region, 28 stingless beekeepers were interviewed while 47 respondents were from the East Coast region.

Data Analysis

Descriptive Study. The descriptive analysis of this study involved sociodemographic factors such as age, gender, years of education, marital status, size of the household, experience, visits by agricultural extension officers, involvement

in associations, and full-time/part-time involvement. All of these factors were deemed to affect the efficiency of production. The information was summarised as mean, maximum, minimum, and standard deviation (Table 1).

Data Envelopment Analysis. Cost DEA in the DEAP version 2.1 Program was used to calculate cost efficiency (CE), technical efficiency (TE), and allocative efficiency (AE) of stingless bee farms. Three variables that were considered were (i) output, as revenue of honey production in Malaysian Ringgit (RM), (ii) input, as a number of hives, hours of labour and farm size (acres), and (iii) input costs, as cost of hives with colonies, labour costs and cost of Quit Rent (RM).

Tobit Regression (Second Stage Analysis). The Tobit regression model is an econometric model where the dependent variable is limited or censored at both sides. This study applied Tobit regression as a second stage analysis on the relationship between the efficiency measure and other relevant external factors that affected the efficiency of the farms. In this stage, 11 external factors were identified, namely 1) years of schooling, 2) family size, 3) gender, 4) age, 5) experience, 6) involvement in associations, 7) extension officer visits, 8) full or part-time involvement, and the types of plants available for stingless bee food sources such as 9) fruits, 10) flowers, and 11) acacia forest.

RESULTS AND DISCUSSION

Descriptive Statistics

Table 1 presents a summary of sociodemographic variables associated with the stingless beekeeping industry. The results showed that for both geographical regions, most of the beekeepers were between 41 to 50 years old. Very few beekeepers were 61 years old and above, due perhaps to modern beekeeping involving technologies that may be difficult for older people to learn and practise. Adgaba et al. (2014) noted that in Saudi Arabia, only 5.49% of

Table 1 Socio-demographic of stingless beekeepers in East Coast and Northern Region

Categories	East Coast $(n = 47)$	Percentage	Northern $(n = 28)$	Percentage
Age				
20-30	7	15	1	4
31-40	7	15	5	18
41-50	14	30	11	39
51-60	13	28	5	18
61-70	4	9	6	21
Above 70	2	4	0	0
Gender				
Male	38	81	25	89
Female	9	19	3	11
Education level				
Primary school	3	6	3	11
Secondary school	25	53	14	50
Higher education	19	40	11	39
Experience				
1-3 years	6	13	0	0
4-6 years	32	68	15	54
7-9 years	7	15	11	39
10 year and above	2	4	2	7
Involvement				
1=Full time	11	23	17	61
2=Part time	36	77	11	39
Family size		, ,		
1-3	12	26	9	32
4-6	25	53	12	43
7-9	9	19	5	18
10 and above	1	2	2	7
Officer Visit	1	2	2	,
1-3	22	47	11	39
4-6	13	28	5	18
7-9	2	4	0	0
10 and above	10	21	12	43
Off farm Income	10	∠1	12	43
1500 and less	17	36	2	7
1500 and less 1501-3000	21	45	9	32
3001-4500	1	2	5	18
Above 4500	8	17	12	43

Source: Field survey 2019

the beekeepers were below 30 years old, 18.13% were between the ages of 30 and 40, and the remaining 76.37% were over 40 years old. The number of beekeepers who were between 20 and 30 years old was very small. The high initial start-up costs for hives and other equipment might be a deterrence to young people.

In terms of gender participation, male beekeepers dominated the industry in this survey, comprising more than 80% of the total respondents for both study areas. About half of the beekeepers in the East Coast and Northern regions had completed secondary school (53%, 50% respectively). The number of beekeepers who attended higher education in the East Coast and Northern regions was also quite high (40%, 30% respectively). Onwumere et al. (2012) noted that in Abia State, Nigeria, a high proportion of secondary school leavers (43%) were involved in modern beekeeping as they could cope with learning and practising the intricacies of modern beekeeping. Generally, an educated person would have a better chance of success to justify the large initial capital needed to start up a stingless bee farm, e.g. the costs of area preparation, purchase of hives, and various tools. Moreover, managing a stingless bee farm involves many technical skills such as harvesting, storing, and packaging honey correctly to preserve its quality. In contrast, alternative farming activities such as paddy farming are less technically demanding for which minimally skilled labour would suffice. While education should theoretically be advantageous in acquiring the competencies and entrepreneurial skills required by beekeepers, Joshi (2001) noted that benefits from higher education would only be realised in the modern agricultural sector rather than in traditional agriculture. The analysis showed that all beekeepers were experienced in beekeeping. For both the East Coast and Northern regions, the highest percentages (68%, 54% respectively) were recorded for those with 4 to 6 years of experience. However, only a few beekeepers in the East Coast region (4%) and the Northern region (7%) had more than ten years of beekeeping experience.

The most common family size in both areas was 4 to 6 people, this being true for 53% in the East Coast region and 43% in the Northern region. The results also revealed the frequency of extension officer visits to the farm, bearing in mind that the industry was relatively new. In the East Coast region, 47% of beekeepers reported that they were visited only 1 to 3 times a year. For the Northern region, on the other hand, 43% of the beekeepers reported that they were visited more than 10 times a year. Household income other than income from beekeeping was used to measure the ability of farmers to procure initial capital. The results showed that for the East Coast region, 45% of beekeepers had incomes in the range of RM1501 to RM 3000, while in the Northern Region, 43% of the beekeepers had a household income exceeding RM4500.

Farm Input and Output Variables

The single output involved in the analysis was revenue from honey production. The inputs were farm size, number of hives,

labour hours, and the input costs for Quit Rent, hives, and labour (Table 2).

These inputs were the key components in the production of stingless bee honey and they contributed to the total production cost.

Efficiency Measurement

Table 3 shows the cost DEA analysis under the CRS assumption. The table presents distribution scores of technical efficiency (TE), allocative efficiency (AE), and cost efficiency (CE) in the East Coast and Northern regions. For the East Coast region, the minimum, mean and maximum TE scored were 0.139, 0.656, and 1.00 respectively, while for the Northern region, the corresponding scores were 0.057, 0.385, and 1.00. The difference between the mean values of the two regions was quite high. It

is noted here that for the East Coast region, the input was more efficiently deployed than for the Northern region but stingless beekeepers in the former would still have to reduce input by up to 35%, which is a large amount, to optimise output.

In the Northern region, most of the bee farms (61%) achieved TE scores of less than 0.300, a very low value. This meant that the inputs were not efficiently utilised, and they needed to be lowered by up to 70% in order to achieve the optimum output efficiency.

As shown in Figure 2, the distribution of TE in the Northern region varied widely. Nevertheless, the highest score of 1.00, which indicated full efficiency, was attained by 17% of bee farms in the East Coast region and by 14% of farms in the Northern region.

Table 2
Farm input and output variables

Variables	Unit of Measure	Region	Mean	Minimum	Maximum	Std Deviation
Output Davanua	DM	East Coast	39422.98	6000.00	99360.00	21205.46
Output Revenue	KIVI	Northern Region	47979.52	6750.00	144000.00	36132.28
Input						
Farm size	Acre	East Coast	1.44	0.25	4.50	1.15
rarin size	Acre	Northern Region	3.24	0.25	10.50	2.98
Hive	number	East Coast	75.72	50.00	230.00	38.38
	number	Northern Region	98.64	50.00	254.00	60.80
Labour	Hour	East Coast	1590.38	288.00	8736.00	1513.79
Laboui	поиг	Northern Region	2399.54	48.00	16584.00	3944.91
Cost/price of Input used						
Quite rent	RM	East Coast	328.23	50.00	1000.00	254.97
	KIVI	Northern Region	4076.35	25.00	70000.00	13383.65
TT: .	RM	East Coast	37791.49	5000.00	115000.00	21668.48
Hive cost	KIVI	Northern Region	50737.50	6000.00	230000.00	52185.38
Labour cost	RM	East Coast	16534.47	3000.00	57600.00	11165.47
Laboui Cost	KIVI	Northern Region	34879.71	2880.00	113040.00	31823.89

Table 3

Economic efficiency of stingless bee farming in East Coast and Northern Region

	Tech	Technical Efficiency				ativ	e Efficien	cv	Cost Efficiency			
	EC		NR	-	EC		NR	•	EC		NR	
RANGE	freq(n)	%	freq(n)	%	freq(n)	%	freq(n)	%	freq(n)	%	freq(n)	%
0.0-0.099	0	0	2	7	2	4	5	18	10	21	15	54
0.1-0.199	4	9	12	43	5	11	4	14	14	30	4	14
0.2-0.299	3	6	3	11	8	17	5	18	5	11	6	21
0.3-0.399	5	11	0	0	8	17	3	11	4	9	1	4
0.4-0.499	4	9	2	7	7	15	0	0	4	9	0	0
0.5-0.599	5	11	3	11	4	9	4	14	5	11	0	0
0.6-0.699	2	4	1	4	5	11	1	4	1	2	0	0
0.7-0.799	5	11	0	0	3	6	1	4	2	4	0	0
0.8-0.899	5	11	0	0	3	6	2	7	1	2	0	0
0.9-0.999	6	13	1	4	2	4	2	7	1	2	1	4
1.000	8	17	4	14	0	0	1	4	0	0	1	4
Mean	0.65	6	0.38	5	0.44	5	0.40	4	0.29	1	0.17	2
Min. Efficiency	0.139	9	0.05	7	0.05	6	0.00	9	0.03	9	0.00	1
Max. Efficiency	1		1		0.90	7	1		0.90	7	1	
Std. Deviation	0.28	8	0.32	9	0.239	9	0.31	7	0.22	4	0.24	4

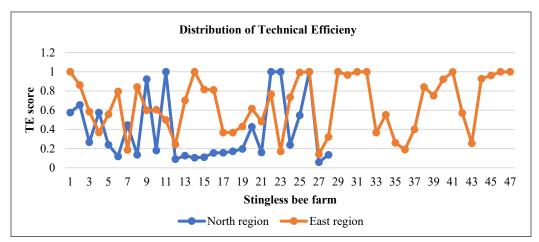


Figure 2. TE's distribution of bee farms in the East Coast and Northern Region

Allocative efficiency (AE) is measured by the ratio of the minimum costs required by the Decision Making Unit (DMU) to produce a given level of output and the actual costs of the DMU adjusted for TE (Farrell, 1957). Figure 3 shows that in the East Coast region, there were two ranges of AE scores (0.2 to 0.299 and 0.3 to 0.399), which were the highest attained by 17% of farms. None of the farms surveyed in the East Coast region was fully allocative efficient, i.e. achieving a score of 1.00. For

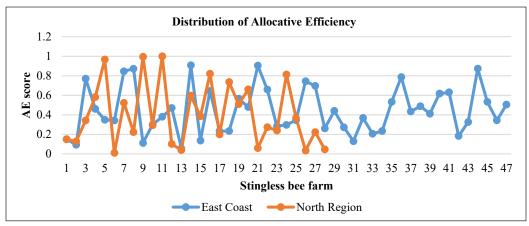


Figure 3. AE's distribution of bee farm in East Coast and North Region

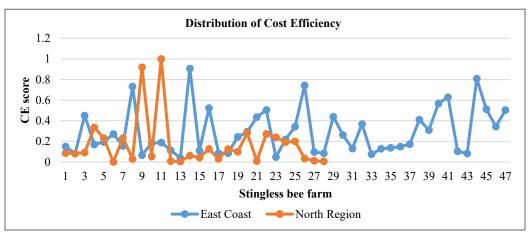


Figure 4. CE's distribution of bee farms in the East Coast and Northern Region

the Northern region, one farm did attain a score of 1.00. Two ranges of scores (0.00 to 0.099 and 0.2 to 0.299) representing the highest frequencies were applicable to 18% of the farms. Farms in the East Coast region showed a mean AE score of 0.445, a minimum of 0.056, and a maximum of 0.907. For the Northern Region, the AE mean, minimum, and maximum scores were 0.404, 0.009, and 1.000 respectively.

The data on input (quantity and prices) and output were analysed using the Cost

efficiency (CE) DEA programme. Any efficiency measurement that uses more data obtained from DMUs is deemed more reliable than other efficiency measures (Jahanshahloo et al., 2011). In this study, therefore, the cost-efficiency evaluated the ability of the stingless bee farm to produce the current output at a minimal cost, given its input prices. From Table 3 and Figure 4, it can be seen that the majority of the farms attained lower CE scores in the East Coast region, with 30% of the farms falling

in the range of 0.1 to 0.199, followed by 21% in the 0.00 to 0.099 range and 11% in the 0.2 to 0.299 range. For the Northern region, the values achieved were lower, where 54% of the farms had CE scores of only 0.00 to 0.099, followed by 21% with scores of 0.2 to 0.299 and 11% scoring 0.1 to 0.199. Hence, the scores of cost efficiency were lower for both regions in comparison with technical efficiency and allocative efficiency. CE scores in both the East Coast and Northern regions were very variable, with mean, minimum, and maximum scores of 0.291, 0.039, and 0.907 respectively. Corresponding scores in the Northern Region were 0.172, 0.001, and 1.00. Essentially, CE scores were strongly influenced by the TE and AE scores. Cost efficiency can be described as the effective choice of inputs in relation to expenditure with the aim of minimising production costs, whereas technical efficiency investigates how well the production process converts inputs into outputs. AE, on the other hand, involves managerial decisions to be implemented at the farm to lower costs for profits to increase. Generally, a low AE score would cause the CE value also to be low.

Referring to Table 2, the cost of hives (with colonies) and labour constituted the highest share of the expenditure as compared to expenditure for Quit Rent. To increase the CE of the farm, the cost of hives can be reduced by stingless beekeepers setting up the beehives and colonies themselves using appropriate methods and material, instead of purchasing them. Here, government

institutions can play a role to keep the prices of hives and colonies affordable. Much of the costs and time on labour were spent on the manual honey recovery ("sucking") process which was quite complicated. The use of a mechanical aspirator is suggested to reduce the time spent on this process. Costs can be reduced if the beekeepers perform this process themselves instead of assigning the task to hired help.

Determination of Factors Leading to Inefficiency

In order to determine resource (technical, allocative, and cost) efficiency, the independent variables were separately regressed on selected demographic, socioeconomic, and other farm variables. The impacts of these factors that possibly influenced the stingless beekeeping efficiency (or inefficiency) were analysed by using the Tobit regression model. As presented in Table 4, on the East Coast, the age of beekeepers contributed an insignificant influence and carried a negative sign which means that older beekeepers were technically more efficient than younger beekeepers. In contrast, for the Northern region, the influence of age on TE carried a positive sign and was significant at p<.1, meaning that younger beekeepers were technically more efficient than older beekeepers. The gender of beekeepers was not statistically significant in both regions and for each aspect of efficiency. However, the sign was positive, meaning that farms managed by males had reduced technical inefficiency. The analysis showed

628

different results in the two regions for years of schooling. In the East Coast, the relationships with TE and CE were negative and significant (p<.05). On the other hand, the relationships in the Northern region were positive and significant for the same independent efficiency variables. The results, therefore, suggested that bettereducated beekeepers in the Northern region were more technically efficient and more cost-efficient compared to less educated beekeepers. On the other hand, the converse was true for beekeepers in the East Coast region.

Household income presented no significant effects. This variable carried a positive sign for TE and a negative sign for AE and CE for the East Coast, while for the Northern Region, the relationship was negative for TE and CE while it was positive for AE. As shown in Table 4, the experience of beekeepers was statistically not significant but carried a positive sign for the East Coast region, meaning that increasing beekeepers experience increased the technical inefficiency of the bee farming, whereas, for the Northern region, the results showed a negative sign. Table 4 indicated that extension officer visits had a significant influence at p<.1 for the East Coast region and p<.05 for the Northern region, with the relationship in both regions carrying negative signs. Extension officer visits are important as such agriculture officers support beekeepers in terms of knowledge, technology transfer, and allocation of government incentives to improve farm productivity and increase the market share of locally produced honey. The results indicated that the more often officers visited the farms, the less inefficiency prevailed. In terms of whether the involvement of beekeepers had been part-time or full time, the sign was negative for AE in the East Coast region, and it indicated a significant influence at p<.05. This result indicated that if beekeepers were involved as part-timers, the efficiency of the stingless beekeeping increased compared to doing it full time. However, the results for the Northern region were the opposite where the TE carried a positive sign, meaning full-time beekeepers were more technically efficient. The result for the family size was not significant for the East Coast but indicated positive effects for TE, AE, and CE which showed that larger family size increased the inefficiency of the farms. In the Northern region, a negative sign was attached to family size for AE, significant at p<.1, which meant an increase in family members raised the efficiency of the farm. Many beekeepers join professional associations to obtain the benefits that they offer and to exchange ideas and technologies with other members. Moreover, such associations commonly provide seminars and training to enhance beekeepers' skills. Nevertheless, as noted in Table 4, the influence of membership in associations was not significant. However, this variable carried a positive sign for both regions, meaning associations helped to support beekeepers in increasing the technical efficiency of the farms.

In the wild, the stingless bees depend on the food sources around their nest, e.g. flowers, fruits, and trees. If the food

Table 4Factor determinants of beekeeping farm technical inefficiency

Note: * and ** Indicated values statistically significant at 10% and 5%

supply in nature is insufficient, they move to other areas that provide enough food for their colony's survival. Therefore, in the beekeeping industry, the food source is an essential element to be considered by beekeepers. In addition to wild and existing plants in the vicinity of the farm, beekeepers should grow flowering plants that produce nectar and pollen around the farm area. Especially useful are plants that flower throughout the year and the acacia tree is a known nectar source. Based on the results of this study, however, the contribution of fruits, flowers, and acacia trees was not significant. However, positive signs were noted for the East Coast region, which showed that the planting of such plants contributed to the TE, AE, and CE of the farms. For the Northern region, fruits and flowers carried a negative sign for TE and CE. A positive sign was noted for acacia in relation to TE and CE.

CONCLUSION

This research revealed that most of the stingless beekeepers were not economically efficient in utilising scarce resources. Farm managers should be made aware of better ways to reduce inefficiencies and production costs in order to increase profits. The study revealed how efficiency might be increased by addressing factors such as: age of beekeepers, level of education, frequency of farm visits by agriculture officers, the length of experience in stingless beekeeping, and the availability of fruits as food and pollen sources for stingless bees. This industry is

considered relatively new in Malaysia and, therefore, the results of this study can give an impetus to the Malaysian government and policymakers to assist stingless beekeepers to increase the economic efficiency of their farms so that they can be sustainable. It is suggested that a similar study be undertaken in the East Malaysian states of Sabah and Sarawak.

ACKNOWLEDEGEMENT

The authors wish to acknowledge the financial support received from the TRGS research grant no. TRGS/1/2016/UPM/01/5/1 provided by the Ministry of Education, Malaysia.

REFERENCES

Adgaba, N., Al-Ghamdi, A., Shenkute, A. G., Ismaiel,
S., Al-Kahtani, S., Tadess, Y., Ansari, M. J.,
Abebe, W., & Abdulaziz, M. Q. A. (2014).
Socio-economic analysis of beekeeping and determinants of box hive technology adoption in the Kingdom of Saudi Arabia. *The Journal of Animal & Plant Sciences*, 24(6), 1876-1884.

Alropy, E. T., Desouki, N. E., & Alnafissa, M. A. (2019). Economics of technical efficiency in white honey production: Using stochastic frontier production function. *Saudi Journal of Biological Sciences*, 26(7), 1478-1484. https://doi.org/10.1016/j.sjbs.2019.09.029

Amemiya, T. (1984). Tobit models: A survey. *Journal Economic*, 24(1-2), 3-61. https://doi. org/10.1016/0304-4076(84)90074-5

Banker, R. D., Charnes, A., & Cooper, W. W. (1984).

Some models for estimating technical and scale inefficiencies in data envelopment analysis. *Management Science*, 30(9), 1078-1092. https://doi.org/10.1287/mnsc.30.9.1078

- Borsato, D. M., Prudente, A. S., Boscardin, P. M., Borsato, A. V., Luz, C. F. P., Beatriz, H. L., Maia, N. S., Cabrini, D. A., Otuki, M. F., Miguel, M. D., Farago, P. V., & Miguel, O. G. (2014). Topical anti-inflammatory activity of a monofloral honey of *Mimosa scabrella* provided by *Melipona* marginata during winter in Southern Brazil. *Journal of Medicinal Food, 17*(7), 817-825. https://doi.org/10.1089/jmf.2013.0024
- Charnes, A., Cooper, W. W., & Rhodes, E. (1978). Measuring the efficiency of decision making units. *European Journal of Operational Research*, 2(6), 429-444. https://doi.org/10.1016/0377-2217(78)90138-8
- Charnes, A., Cooper, W. W., & Rhodes, E. (1981). Evaluating program and managerial efficiency: An application of data envelopment analysis to program follow through. *Management Science*, 27(6), 668-697. https://doi.org/10.1287/mnsc.27.6.668
- Chavas, J. P., & Aliber, M. (1993). An analysis of economic efficiency in agriculture: A nonparametric approach. *Journal Agriculture Resource Economics*, 18(1), 1-16. https://doi.org/10.22004/ag.econ.30811
- Coelli, T., Rahman, S., & Thirtle, C. (2002). Technical, allocative, cost and scale efficiencies in Bangladesh rice cultivation: A non-parametric approach. *Journal Agricultural Economic*, 53(3), 607-626. https://doi.org/10.1111/j.1477-9552.2002.tb00040.x
- Coelli, T. J., Rao, D. S. P., O'Donnell, C. J., & Battese,G. E. (2005). An introduction to efficiency and productivity analysis (2nd ed.). Springer.
- Duarte, A. W. S., Vasconcelos, M. R. S., Menezes, A. P. D., Silva, S. C., Souza, M. O., & López, A. M. Q. (2012). Composition and antioxidant activity of honey from Africanized and stingless bees in Alagoas (Brazil): A multivariate analysis. *Journal of Apicultural Research*, 51(1), 23-35. https://doi.org/10.3896/IBRA.1.51.1.04

- Farrell, M. J. (1957). The measurement of productive efficiency. *Journal of the Royal Statistical Society, Series A, 120*(3), 253-290. https://doi.org/10.2307/2343100
- Iryani, W. I. W. (2016). A review on beekeeping in Malaysia: History, importance and future directions. *Journal of Sustainability Science and Management*, 11(2), 70-80.
- Ismail, M. M. (2014). *Competitiveness of beekeeping industry in Malaysia*. UPM Press.
- Jahanshahloo, G. R., Hosseinzadeh Lotfi, F., Jafari, Y., & Maddahi, R. (2011). Selecting symmetric weights as a secondary goal in DEA crossefficiency evaluation. *Applied Mathematical Modelling*, 35(1), 544–549. https://doi. org/10.1016/j.apm.2010.07.020
- Joshi, P. K. (2001). Education, technology adoption and agricultural productivity. *Indian Journal of Agricultural Economics*, 56(1), 33-37. https://doi.org/10.22004/ag.econ.297795
- Malaysian Agricultural Research and Development Research. (2013, January 22). MARDI kumpul 30 spesies Kelulut [MARDI collected 30 species of Stingless bee] https://www.kelablebahkelulut. com/2015/01/mardi-kumpul-30-spesies-kelulutharian.html
- Mustafa, M. Z., Yaacob, N. S., & Sulaiman, S. A. (2018) Reinventing the honey industry: Opportunities of the stingless bee. *The Malaysian Journal of Medical Sciences*, 25(4), 1-5. https://doi.org/10.21315/mjms2018.25.4.1.
- Onwumere, J., Onwukwe, F., & Alamba, C. S. (2012). Comparative analyses of modern and traditional bee keeping entrepreneurships in Abia State, Nigeria. *Journal of Economics and Sustainable Development*, 3(13), 1-9.
- Rasmussen, C. (2008). Catalog of the Indo-Malayan/ Australasian stingless bees (Hymenoptera: Apidae: Meliponini) (Zootaxa 1935). Magnolia Press. https://doi.org/10.11646/zootaxa.1935.1.1

- Rasmussen, C., & Cameron, S. A. (2010). Global stingless bee phylogeny supports ancient divergence, variance, and long distance dispersal. Biological Journal of the Linnean Society, 99(1), 206-232. https://doi.org/10.1111/j.1095-8312.2009.01341.x
- Ritten, C. J., Peck, D., Ehmke, M., & Patalee, M. A. B. (2018). Firm efficiency and returns-to-scale in the honey bee pollination services industry. *Journal of Economic Entomology*, 111(3), 1014-1022. https://doi.org/10.1093/jee/toy075
- Saludin, S. F., Kamarulzaman, N. H., & Ismail, M. M. (2019). Measuring consumers' references of stingless bee honey (meliponine honey) based on sensory characteristics. *International Food Research Journal*, 26(1), 225-235.
- Sherzod, B., Kim, K., & Lee, S.H. (2018). Agricultural transition and technical efficiency: An empirical analysis of wheat-cultivating farms in Samarkand Region. *Uzbekistan Sustainability*, 10(9), 3232. https://doi.org/10.3390/su10093232
- Slaa, E., Chaves, L., Malagodi-Braga, K., & Hofstede, F. E. (2006). Stingless bees in applied pollination:

- Practice and perspectives. *Apidologie*, *37*(2), 293-315. https://doi.org/10.1051/apido:2006022
- Souza, B., Roubik, D., Barth, O., Heard, T., Enríquez, E., Carvalho, C., Villas-BoAs, J., Almeida, M. L., Bogdanov, S., & Vit, P. (2006). Composition of stingless bee honey: Setting quality standards. *Interciencia*, 31(12), 867-875.
- United Nations Comtrade. (2018). World merchandise exports and imports by commodity (HS02). https://comtrade.un.org/ data/
- Yazan, L. S., Zali, M. F. S. M., Ali, R. M., Zainal, N. A., Esa, N., Sapuan, S., & Alwi, S. S. S. (2016). Chemopreventive properties and toxicity of Kelulut honey in Sprague Dawley rats induced with azoxymethane. BioMed Research International, 2016, 4036926. https:// doi.org/10.1155/2016/4036926
- Zainol, M. I., Yusoff, K. M., & Yusof, M. Y. M. (2013). Antibacterial activity of selected Malaysian honey. BMC Complementary and Alternative Medicine, 13(1), 1-10. http://doi. org/10.1186/1472-6882-13-129





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Review Article

A thematic Review on Industrialised Building System (IBS) Publications from 2015-2019: Analysis of Patterns and Trends for Future Studies of IBS in Malaysia

Mohd Zairul

Department of Architecture, Faculty of Design and Architecture, Universiti Putra Malaysia, 43000, Serdang, Malaysia

ABSTRACT

IBS has been theoretically and practically proven to improve the construction delivery apart from reducing the lead of time and cost throughout its supply chain. Under the Malaysian Construction Industry Transformation Programme (CITP) 2016-2020, it is stated that the government is accelerating the adoption of IBS through mechanisation and modern practices. Despite the government's initiative, there have been relatively small amounts of materials published discussing the patterns in IBS publications in Malaysia and what the future holds for IBS. This paper explores a thematic review of the literature regarding new definitions and patterns that juxtaposes IBS in the construction industry in Malaysia from 2015 till 2019 by using the thematic review. The findings from the code-to-document analysis using ATLAS.ti 8 found that the patterns and trends on IBS from the year 2015 to 2019. This paper contributes to analysing the patterns and trends of IBS by identifying the thematic code within IBS publications for recommendations of future studies on IBS in Malaysia.

Keywords: ATLAS.ti 8, construction industry, IBS research, Industrialised Building System, thematic review

ARTICLE INFO

Article history: Received: 04 November 2019 Accepted: 06 July 2020 Published: 26 March 2021

 $DOI:\ https://doi.org/10.47836/pjssh.29.1.35$

E-mail address: m_zairul@upm.edu.my INTRODUCTION

IBS or Industrialised Building System has proven its capability in improving its construction delivery by minimising time and cost throughout its supply chain. IBS is also known worldwide as prefabricated (Noguchi, 2003), pre-fab construction (Benros & Duarte, 2009), modern method

of construction (MMC) (Musa et al., 2016), and off-site construction (Piroozfar et al., 2012). Under the Malaysia Construction Industry Transformation Programme (CITP) 2016-2020, the government aspired to accelerate the adoption of IBS through mechanisation and modern practices. There are several definitions of IBS in practice and the literature mainly emphasises on off-site (Jonsson & Rudberg, 2014; Musa et al., 2018) controlled environment (Rashidi & Ibrahim, 2017; Yunus et al., 2016). Some define it as a technique of construction where building components are manufactured in a controlled environment, either at the site or off-site, placed and assembled into construction works (Md. Ali et al., 2018). However, in this paper, IBS is defined as an innovative process of building components utilising mass production Industrialised systems, produced within a controlled environment (on or offsite) which includes organised logistics and installation process on-site with systematic planning and management.

Within the Construction Industry Transformation Plan (CITP) 2016-2020 framework on the IBS initiative and Government's effort to enhance the Industrial Revolution IR 4.0, the government is focusing on the implementation of IBS in their sector projects as well as extending the usage towards privately run projects. This initiative, in return, will provide a sustainable value chain in the construction industry in Malaysia. Construction Industry Development Board (CIDB) Malaysia, through the IBS Centre, actively promotes IBS through several programs and activities

for the contractors and developers. The content of IBS (IBS Score) is determined based on the Construction Industry Standard 18 (CIS 18: 2010); which can be done manually executed through a web application or a fully automated CAD-based IBS Score calculator. Despite the initiatives, no publication described the patterns present within IBS publications in Malaysia. Hence, the objective of this paper is to explore the patterns and trends in the IBS publications from the year 2015-2019 to be recommended for future studies and set the direction of IBS in both theoretical and practical use.

METHOD

The primary sources of the data were extracted from SCOPUS and Mendeley search. Several Elsevier journals collaborate with Mendeley data to make underlying research data available. Datasets are linked with the article, making it accessible to look for literature in both SCOPUS and Mendeley databases. The critical part is to identify the patterns and construct categories to understand the trends of IBS publications in the country. The tenets of the research are to analyse and interpret the findings for the recommendation of future research in the IBS fraternity in the context of Malaysia. The thematic review incorporates a multitude of research methods at the same time as an expected range of epistemological standpoint. To illustrate the steps involved in a thematic review, this paper performed the analysis based on several selection criteria: 1) publications

from 2015-2019, 2) possess keyword(s) of 'IBS' or 'Industrialised Building System' or 'Prefabricated' in the content, 3) Focusing on IBS discussion in Malaysia. However, the study was limited to Malaysia to help define future recommendations of IBS in the Malaysian context. The literature discovery was performed in the SCOPUS and Mendeley literature search using the following search strings (Table 1).

From the SCOPUS search, the TITLE-ABS-KEY ("Industrialised building system" AND Malaysia AND (Limit-TO (PUBYEAR, 2019) or LIMIT-TO (PUBYEAR, 2018) OR LIMIT-TO (PUBYEAR, 2017) OR LIMIT-

TO (PUBYEAR, 2016) OR LIMIT-TO (PUBYEAR, 2015) generated 75 articles which discuss IBS in Malaysia from 2015-2019. From the Mendeley literature search, the initial search came out with the term "Industrialised building system" yielding 171 articles. The next strings of searches used "Industrialised building system" AND "Malaysia" which yielded 90 results. In the final round, the search strings used "Industrialised building system" AND "Malaysia" [year: 2015 TO 2019] which yielded 40 results. 19 overlapping articles were removed and resulted in further filtration from both SCOPUS and Mendeley

Table 1
Search strings from SCOPUS and Mendeley

Search strings	TITLE-ABS-KEY ("Industrialised building system" AND Malaysia AND (Limit -TO
from SCOPUS	(PUBYEAR, 2019) or LIMIT-TO (PUBYEAR, 2018) OR LIMIT-TO (PUBYEAR,
	2017) OR LIMIT-TO (PUBYEAR, 2016) OR LIMIT-TO (PUBYEAR, 2015)
	Result= 75 articles
Search strings	"Industrialised building system"= 171 articles
Search strings from Mendeley	"Industrialised building system" = 171 articles "Industrialised building system" AND "Malaysia" = 90 articles
U	

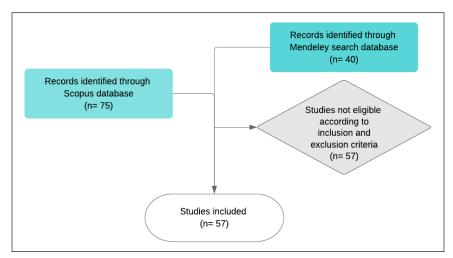


Figure 1. The procedure of identifying the articles for thematic review

search which resulted in 97 articles touching on IBS in the Malaysian context from the year 2015 to 2019 (Figure 1). However, conference publications were removed, and hence this paper chose articles from journals and theses which were reviewed thematically.

This manuscript is termed a thematic review (Zairul, 2020) due to the method employed in this study as thematic analysis. Clarke and Braun (2013) defined thematic analysis as a process of identifying the pattern and construct themes over thorough reading on the subject. Hence, the final count of valid publications came down to 57 from the 115 papers in the preliminary

Table 2
Paper reviewed according to year

Year	Articles
2015	10
2016	19
2017	7
2018	17
2019	4
Total	57

round. Following the first stage of selection, the articles were uploaded into the ATLAS. ti 8 software (textual analysis software) as primary documents which were then grouped into 1) author; 2) issue number; 3) periodical, 4) publisher, 5) volume and 6) year of publication. In doing so, the articles were conveniently categorized to be analysed according to the year of publication and the discussion pattern each year. After many counts of filtration, 57 articles were finalised using the ATLAS.ti (Table 2).

Based on Figure 2, a word cloud from the 57 documents captured the term 'IBS' which was used 3364 times, while 'construction' was mentioned 3269 times and 'project' 1407 times. Based on the thematic analysis of the selected articles and sequence of frequency, the present discussion was based on the following themes; 1) Application; 2) Issues and Problems; 3) Sustainable; 4) Framework; 5) Management; 6) Review Paper; and 7) Automation. The result of the present thematic review is reported in the results section.



Figure 2. Word cloud generated from 57 articles

FINDINGS

This paper reviews the patterns and trends of IBS publications and applications in Malaysia. After recalling the 57 articles, the trends and patterns have produced 45 initial codings. However, following several rounds of re-coding and code merging in ATLAS. ti 8, the final trends and patterns delivered seven main patterns (Table 3).

Application

Within this theme, the applications of IBS in the construction industry were discussed (Figure 3). In the application theme, the titles are divided into several sub-themes such as application in management, application in terms of product and materials, and application in terms of practice on site. The most discussed topics included the IBS

Table 3
Thematic review of IBS publications from 2015 till 2019

	2015	2016	2017	2018	2019
• Application	3	8	2	5	1
• Issues & Problems	1	5	1	6	1
• Sustainable	1	0	0	2	1
Framework	0	2	0	1	0
 Management 	1	2	2	5	1
• Review paper	0	3	0	1	1
• Automation	2	1	0	0	0

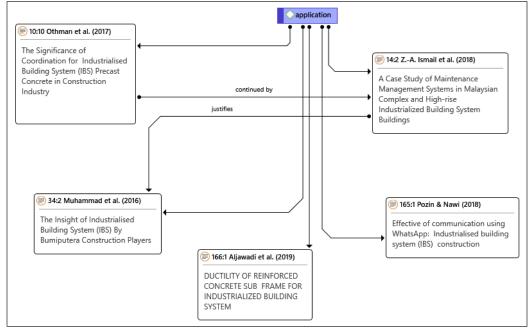


Figure 3. Network view on the application in the practice

applications tested in the industry and the evaluation of its performance (Othman et al., 2017), discussed the coordination for IBS focusing on precast concrete in the construction industry. Another aspect of the application includes the maintenance management system (Z.-A. Ismail et al., 2018) and the involvement of Bumiputera construction players in IBS (Muhammad et al., 2016). Further, Nawi et al. (2018) suggested supply chain management as part of the application strategy and proposed WhatsApp as an effective communication platform in IBS management on site (Pozin & Nawi, 2018).

The competency of architectural firms in Malaysia and the competence of the project manager (Jabar et al., 2015) were also discussed and categorised as an application pattern. Md. Ali et al. (2018) highlighted the lack of skilled workers and mentality among industry key players as the main reason for the impending acceptance of the IBS system. Furthermore, Z.-A. Ismail (2017) proposed I-CMMS for the maintenance of the IBS building. In 2019, Aljawadi et al. (2019), focused their publication on the test scheme of nonlinear elastic sub-frame systems to build an IBS structural building system. Previously, Mohammad et al. (2016), highlighted the high investment in the IBS technical and maintenance remained the main obstacles in the implementation of IBS in Malaysia. Hence, more studies were established to exemplify the usage of the system in practice; therefore, highlights several issues and problems as being discussed in the next section.

Issues and Problems

Several publications raised issues on contractual and economic factors (Figure 4). Shamsuddin et al. (2015), highlighted the methodology for cost planning of IBS projects in Malaysia. Costing and economic factors were among the main reasons for the readiness among the key players to adopt the system. Besides, sustainability and generating economic turnover were some of the obstacles mentioned in the industry (Shamsuddin et al., 2018). Moreover, there is also a suggestion to review the existing standard form of contract to suit the IBS system in Malaysia (Fateh et al., 2020). This suggestion was previously asserted by H. L. T. Ariffin et al. (2019) on the importance of having dedicated procurement specialised in IBS. Most of the articles were found focusing on issues and challenges on the implementation of the system. Several incentives have been offered by the government to increase the participation of industry players towards incorporating IBS in their system, e.g. manufacturers developing their own facilities and manufacturing plant that has incorporated IBS into their system will enjoy tax exemption of 70% or 100% for a period of 5 years. Although such incentives are provided by the government, there are still drawbacks in the industry and this theme remains popular among the researchers in Malaysia.

The issues and challenges include competency and performance (H. L. T. Ariffin et al., 2019), implementation (Nawi et al., 2013), and the acceptance among the

key players (Nasrun & Nawi, 2015) and investigating factors of delays (Nawi et al., 2019). In summary, issues and problems can be categorised into procurement (Fatch et al., 2020) management (Fauzi et al., 2017; Noor et al., 2018); and system (Ern et al., 2017; Md. Ali et al., 2018; Razak & Awang, 2014).

Based on the results obtained by a group of researchers from a survey conducted on IBS manufacturers, the researchers identified that integration, competency, and communication were among the challenges faced by the IBS key players in the industry (Jin et al., 2017). The fragmented disciplines in the construction team have further caused the effectiveness of the supply chain management (SCM) at stake (Fauzi et al., 2017). The issues on communication are associated with cost, time, product, design, safety, profit, business performance, and relationship (Yunus et al., 2016). Despite the challenges, another group of researchers suggested that technology transfer or benchmarking on IBS construction and exchange of information to be among the best practices for successful systems (Amin et al., 2017). To further support this suggestion, a recent study revealed issues of IBS using conventional contracts like PWD or PAM contracts which were found to be unsuitable for work and procurement of IBS (H. L. T. Ariffin et al., 2019) Nevertheless, the issues and challenges pattern is among the most popular publications or research conducted by IBS researchers in Malaysia, considering the adversarial factors involved among the key players in the construction issues in Malaysia.

Sustainable

The next pattern highlighted sustainability topics as a popular theme for IBS publications. In 2017, IBS was redefined and was recommended to be integrated with CAD into IBS applications in order to improve the performance and to reduce wastages from the onset (Rashidi & Ibrahim, 2017). In Malaysia, sustainable issues were revolved around the application of IBS in housing construction projects (Wen et al., 2015). Further, S. Ismail (2018) developing a framework for sustainable IBS to facilitate infrastructure redevelopment works in Malaysia. This has led to a case study on waste generation based on IBS constructions in Malaysia (Maniam et al., 2018). The study on IBS for housing has been highlighted again in the publication by Aris et al. (2019) on the importance of improving the fabrication technology among the IBS key players. IBS has also been proven to reduce wastages, especially by using timber IBS compared to steel construction (Muhaidin & Chan, 2018). Z. A. Ismail (2018) proposed a holistic framework to adopt IBS as a concerted effort to promote sustainability in the construction industry (Figure 5). Hence, more publications to support the green and sustainable construction of IBS are needed to enhance the awareness of its benefits.

Framework

The framework is the next theme under the pattern of IBS publications in Malaysia. Under this theme, several frameworks were proposed such as organisational framework (Musa et al., 2016), life cycle

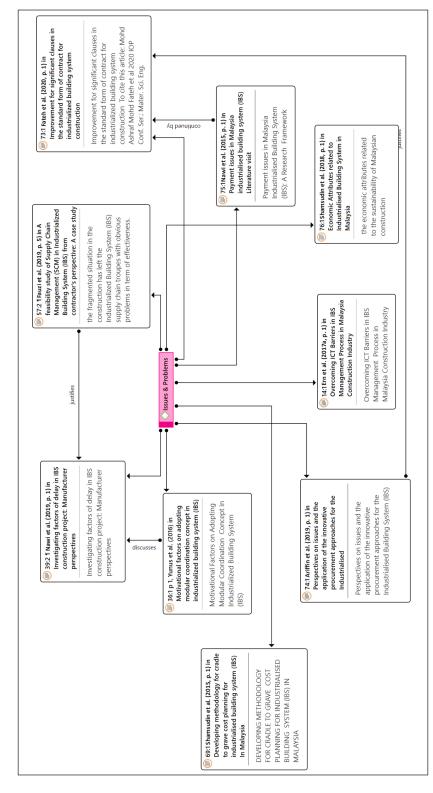


Figure 4. Network view on issues and problems of IBS

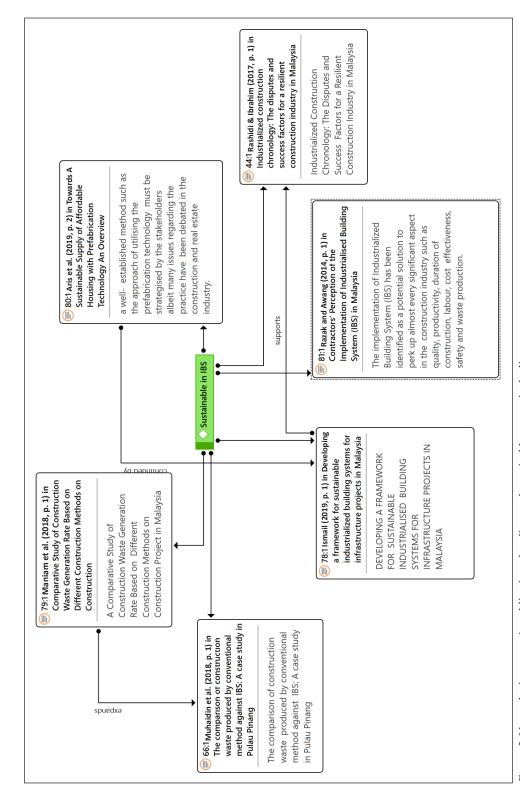


Figure 5. Network view on main publications that discussed sustainable pattern in the literature

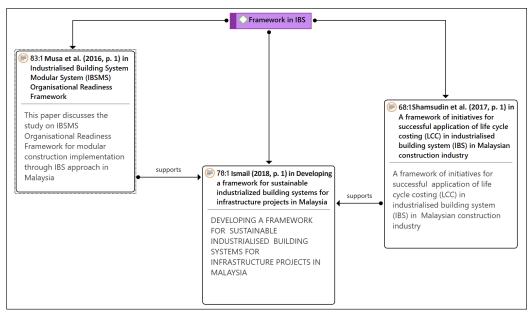


Figure 6. Network view on the framework in IBS

costing in the IBS framework (Shamsuddin et al., 2017), and a holistic, sustainable IBS framework (Z.-A. Ismail et al., 2018). Based on these frameworks, several potential solutions were drafted and discussed in previous studies. Using the organisational framework, organisations that execute modular construction could operate more efficiently in coordinating modular systems (Musa et al., 2016). A holistic, sustainable IBS framework promotes the incorporation of IBS in the construction industry (S. Ismail, 2018), while comprehensive cost estimates will aid in decision making between IBS or conventional construction (Shamsuddin et al., 2017). In summary (Figure 6), recent publications focusing on building a framework to support the sustainable effort as mentioned in the previous section.

Management

Innovation in management was among the popular themes discussed by researchers in IBS (Figure 7). Several innovations in management were proposed, e.g. supply chain management (SCM) (Fauzi et al., 2017; Nawi et al., 2018) and quality function deployment (QFD) (Haron et al., 2014). Most of the topics covered under this theme discussed a way to achieve the required quality and customer satisfaction using the IBS management strategy. Yunus et al. (2017) further suggested that the integration of lean management should begin at the early inception stage. The familiarity with the system is also the key to the success of the project. Even though this pattern overlapped with other sections earlier, the research indicates how the IBS projects were managed on-site, and this involves quality, plan of work, way forward, and IoT in the construction industry.

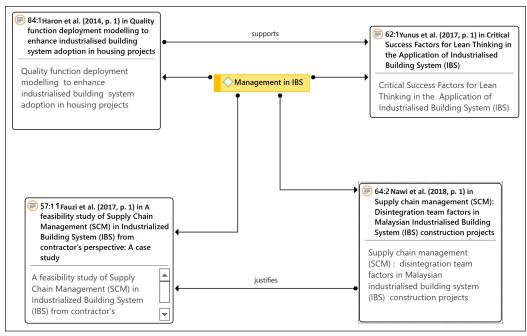


Figure 7. Network view on management

Review Paper

The review paper was also amongst the favourite type of articles for the IBS researchers in Malaysia. Considering the review on IBS in Malaysia in 2014, which focused on the migration from the conventional system to mechanisation such as IBS (Kamaruddin et al., 2018) and factors affecting quality management of IBS construction projects (Azman et al., 2018). Another publication highlighted the formulation of the standard form of contract for IBS (Fatch et al., 2017). Z.-A. Ismail et al. (2018) provided a review of the contractor's social networking on IBS infrastructure maintenance projects. And recently, the review paper is focusing on factors affecting quality management using IBS (Azman et al., 2018) and review on delay factors in IBS construction by Nasir et al. (2016) Similarly, this theme was also discussed again in subsequent publications (Amin et al., 2017; Fatch et al., 2017) as the main challenges in the contractual stage. Fatch and Mohammad (2017) posited that developing a new form of contract was necessary to ensure the smoothness of the project (Figure 8). In terms of technology application, Ghazali et al. (2016) mapped the critical factors in IBS formwork application. However, none of the review papers analyse the pattern in the IBS articles, particularly in Malaysia.

Mechanisation and Automation

In recent years, the idea of mechanisation and automation was proposed for the future of IBS construction in Malaysia. The tendency of high quality and precision has been highlighted as the marketing

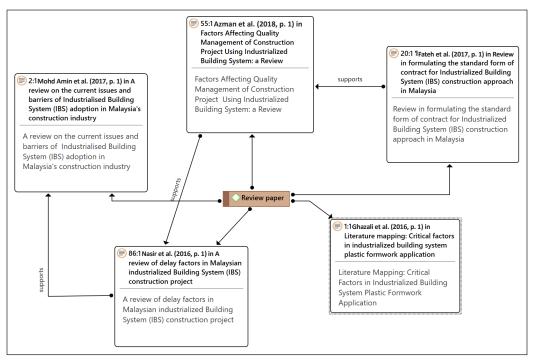


Figure 8. Network view on the review paper

strategy to increase customer satisfaction. This strategy in the field of automation can reduce dependency on unskilled labour (Chia et al., 2012) and poor quality in the construction industries (Haron et al., 2014). Although robotics and automation have already become common in other countries such as Japan, Australia, and Europe, the business model is still at its infancy stage, especially in Malaysia. The construction industry in Malaysia, which is one of the oldest sectors and biggest industries in the country, is still unfamiliar with the benefits of automation and robotic mechanisms. In the era of Industrial revolution 4.0, the dependency on cheap labour is unnecessary; therefore a test conducted by Marsono et al. (2015) on the structural performance through manufacturing can open up a new business model that supports automation and mechanisation which has been proposed by Zairul (2017) in his thesis (Figure 9). Earlier several articles discussed the enablers and barriers for onsite mechanisation (Waris et al., 2015) and the awareness of onsite mechanization (Waris et al., 2014). Hence, the future topics for publication on IBS shall focus more on the automation and mechanisation strategy towards componentindustrialisation, pre-assembled, clean production, and circular economy. IR 4.0 concepts should be combined with construction production; innovative knowledge can be integrated into the IBS construction to improve the level of integration and finally to achieve a sustainable development goal (SDG).

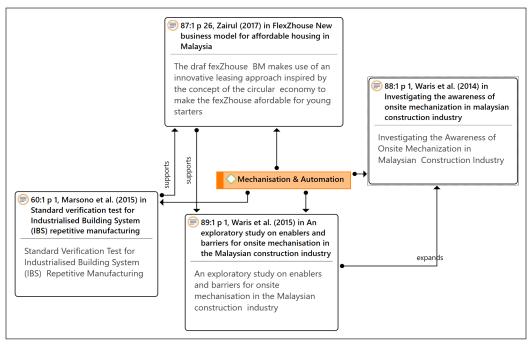


Figure 9. Network view on mechanisation and automation

CONCLUSION AND FUTURE STUDIES

This article reviewed the patterns and trends in IBS publications in Malaysia to support the idea of the Industrial revolution IR 4.0 in the construction industry. The findings from the code-to-document analysis in ATLAS.ti 8 indicated that the patterns and trends on IBS highlighted application, issues & problems, sustainability, innovation management, review papers, and mechanisation & automation. This paper has contributed towards analysing the patterns of IBS by extensively identifying the thematic codes within IBS publications in Malaysia from the year 2015 to 2019 further to assess the trends of the publications to date. However, based on the findings of this study, there

is a gap in the study of automation and mechanisation in the construction industry in Malaysia. Imperatively, the future of IBS is moving towards full automation and robotics. However, the move towards full automation requires a big investment from the company and higher key resources. Hence, based on the Malaysian context, a new business model is needed to support the future of IBS using robotics and automation in IBS construction. Therefore, it is a good move to explore the potentials of robotics construction which will enhance the IBS system in the country to support IR 4.0 and sustainable development goal no: 9 across further collaboration with the industry, through innovation and improvement of the infrastructure.

PRACTICAL AND THEORETICAL CONTRIBUTIONS

This paper analysed the patterns of IBS by extensively identifying the thematic codes within IBS publications to assess further the trends of the publications from 2015 to date. The findings will benefit the future research direction and identify the gaps in IBS studies in Malaysia.

ACKNOWLEDGEMENTS

The author would like to acknowledge the Technical Director of Proven Holding Sdn Bhd, Tuan Haji Suffian Hashim for his immense support and knowledge on IBS, KPM, and Universiti Putra Malaysia for the grant FRGS/1/2017/SSI11/UPM/03/1.

REFERENCES

- Aljawadi, A. S., Marsono, A. K., & Ismail, C. R. (2019). Ductility of reinforced concrete sub frame for Industrialized Building System. *Jurnal Teknologi*, 81(2), 1-9. https://doi.org/10.11113/ jt.v81.11452
- Amin, M. A. M., Abas, N. H., Shahidan, S., Rahmat, M. H., Suhaini, N. A., Nagapan, S., & Rahim, R. A. (2017). A review on the current issues and barriers of Industrialised Building System (IBS) adoption in Malaysia's construction industry. IOP Conference Series: Materials Science and Engineering, 271(1), 012031. https://doi.org/10.1088/1757-899X/271/1/012031
- Ariffin, H. L. T., Mohd, N. I., Mustaffa, N. E., Bandi, S., & Chee, C. H. M. (2019). Perspectives on issues and the application of the innovative procurement approaches for the Industrialised Building System (IBS). *International Journal* of Built Environment and Sustainability, 6(1), 39-43. https://doi.org/10.11113/ijbes.v6.n1.328

- Ariffin, S. T., Yunus, R., Mohammad, H., & Yaman, S. K. (2017). A preliminary review on Economies of Scale (EOS) towards Industrialized Building System (IBS) manufacturer. *MATEC Web of Conferences*, 103, 03008. https://doi.org/10.1051/matecconf/201710303008
- Aris, N. A. M., Fathi, M. S., Harun, A. N., & Mohamed, Z. (2019). Towards a sustainable supply of affordable housing with prefabrication technology: An overview. *Journal of Advanced Research in Business and Management Studies*, 15(1), 1-13.
- Azman, N. S. S., Ramli, M. Z., & Zawawi, M. H. (2018). Factors affecting quality management of construction project using industrialized building system: A review. *International Journal of Engineering and Technology (UAE)*, 7(4), 307-311. https://doi.org/10.14419/ijet.v7i4.35.22751
- Benros, D., & Duarte, J. P. (2009). An integrated system for providing mass customized housing. *Automation in Construction*, *18*(3), 310-320. https://doi.org/10.1016/j.autcon.2008.09.006
- Chia, F. C., Skitmore, M., Runeson, G., & Bridge, A. (2012). An analysis of construction productivity in Malaysia. *Construction Management and Economics*, 30(12), 1055-1069. https://doi.org/ 10.1080/01446193.2012.711910
- Clarke, V., & Braun, V. (2013). Teaching thematic analysis: Overcoming challenges and developing strategies for effective learning. *The Psychologist*, 26(2), 120-123.
- Ern, P. A. S, Kasim, N., Hamid, Z. A., & Chen, G. K. (2017). Critical ICT-inhibiting factors on IBS production management processes in the Malaysia construction industry. *IOP Conference Series: Materials Science and Engineering*, 245(3), 032067. https://doi.org/10.1088/1757-899X/245/3/032067
- Fateh, M. A. M., & Mohammad, F. M. (2017). IBS provision in local and international standard

- form of contracts. *Journal of Construction in Developing Countries*, 22(2), 1-12. https://doi.org/10.21315/jcdc2017.22.2.5
- Fateh, M. A. M., Mohammad, M. F., & Shukor, A. S. A. (2017). Review in formulating the standard form of contract for Industrialized Building System (IBS) construction approach in Malaysia.

 MATEC Web of Conferences, 87, 01001. https://doi.org/10.1051/matecconf/20178701001
- Fateh, M. A. M., Zakariah, H., & Ezanee, S. E. (2020). Improvement for significant clauses in the standard form of contract for industrialized building system construction. *IOP Conference Series: Materials Science and Engineering*, 713, 012037. https://doi.org/10.1088/1757-899x/713/1/012037
- Fauzi, M. A., Hassan, S. H., Yunus, J. N., Sulaiman, H., & Hashim, M. Z. (2017). A feasibility study of Supply Chain Management (SCM) in Industrialized Building System (IBS) from contractor's perspective: A case study. *Journal of Engineering and Applied Sciences*, 12(5 SI), 6916-6921. https://medwelljournals.com/abstract/?doi=jeasci.2017.6916.6921
- Ghazali, M. A. A., Bahardin, N. F., Zaidi, M. A., Baharuddin, M. N., & Yusof, M. R. (2016). Literature mapping: Critical factors in industrialized building system plastic formwork application. *International Review of Management and Marketing*, 6(S7), 204-208.
- Haron, N. A., Abdul-Rahman, H., Wang, C., & Wood,
 L. C. (2014). Quality function deployment modelling to enhance Industrialised Building
 System adoption in housing projects. *Total Quality Management & Business Excellence*,
 26(7-8), 703-718. https://doi.org/10.1080/1478
 3363.2014.880626
- Ismail, S. (2018). Developing a framework for sustainable Industrialised Building Systems for infrastructure projects in Malaysia (Doctoral thesis). Queensland University of Technology.

- Ismail, Z.-A. (2017). A case study of maintenance management systems in Malaysian complex and high-rise IBS buildings. *Journal of Steel Structures & Construction*, 3(2), 7650. https://doi.org/10.4172/2472-0437-C1-003
- Ismail, Z.-A. (2018). An Integrated Computerised Maintenance Management System (I-CMMS) for IBS building maintenance. *International Journal of Building Pathology and Adaptation*, 37(3), 326-343. https://doi.org/10.1108/IJBPA-10-2017-0049
- Ismail, Z.-A., Mutalib, A. A., & Hamzah, N. (2018).
 Improving contractor social networking on IBS infrastructure maintenance projects: A review.
 Engineering, Construction and Architectural Management, 25(4), 479-496. https://doi.org/10.1108/ECAM-08-2016-0180
- Jabar, I. L., Ismail, F., & Aziz, A. R. A. (2015). Public participation: Enhancing public perception towards IBS implementation. *Procedia - Social* and Behavioral Sciences, 168, 61-69. https://doi. org/10.1016/j.sbspro.2014.10.210
- Jin, T., Zhou, Z., Chang, W., & Huang, X. (2017). Man-made targets pose estimation using time-frequency distribution in UWB SAR. 2005 IEEE International Geoscience and Remote Sensing Symposium, 7(1), 4633-4635. https://doi. org/10.1109/IGARSS.2005.1526701
- Jonsson, H., & Rudberg, M. (2014). Classification of production systems for industrialized building: A production strategy perspective. *Construction Management and Economics*, 32(1-2), 53-69. https://doi.org/10.1080/01446193.2013.812226
- Kamaruddin, S. S., Mohammad, M. F., & Mahbub, R. (2018). IBS: An economic perspective on mechanisation and automation. *Asian Journal* of Quality of Life, 3(9), 87-98. https://doi. org/10.21834/ajqol.v3i9.80
- Maniam, H., Nagapan, S., Abdullah, A. H., Subramaniam, S., & Sohu, S. (2018).

- A comparative study of construction waste generation rate based on different construction methods on construction project in Malaysia. *Engineering Technology & Applied Science Research*, 8(5), 3488-3491. https://doi.org/10.48084/etasr.2340
- Marsono, A. K., Ying, W. J., Tap, M. M., Chieh, Y. C., & Haddadi, A. (2015). Standard verification test for Industrialised Building System (IBS) repetitive manufacturing. *Procedia CIRP*, 26, 252-257. https://doi.org/10.1016/j.procir.2014.07.047
- Md. Ali, M., Abas, N. H., Affandi, H. M., & Abas, N. A. (2018). Factors impeding the Industrialized Building System (IBS) implementation of building construction in Malaysia. *International Journal of Engineering & Technology*, 7(4), 2209-2212. https://doi.org/10.14419/ijet. v7i4.17863
- Mohammad, M. F., Baharin, A. S., Musa, M. F., & Yusof, M. R. (2016). The potential application of IBS modular system in the construction of housing scheme in Malaysia. *Procedia Social and Behavioral Sciences*, 222, 75-82. https://doi.org/10.1016/j.sbspro.2016.05.189
- Muhaidin, N. H. M., & Chan, H. B. (2018). The comparison of construction waste produced by conventional method against IBS: A case study in Pulau Pinang. AIP Conference Proceedings, 2020(1), 020055. https://doi.org/10.1063/1.5062681
- Muhammad, W. M. N. W., Azman, M. A., Othman, M. K. F., Hadi, N. A., Sahimi, S. N. S., & Mohammad, M. F. (2016). The insight of Industrialised Building System (IBS) by Bumiputera construction players. MATEC Web of Conferences, 47, 04013. https://doi.org/10.1051/matecconf/20164704013
- Musa, M. F., Mohammad, M. F., Mahbub, R., & Yusof, M. R. (2018). Adopting modular construction in the Malaysian construction industry. *Asian Journal of Environment-Behaviour Studies*,

- 3(10), 1-9. https://doi.org/10.21834/aje-bs. v3i10.307
- Musa, M. F., Mohammad, M. F., Yusof, M. R., & Ahmad, R. (2016). Industrialised Building System Modular System (IBSMS) organisational readiness framework. *Procedia Social and Behavioral Sciences*, 222, 83-92. https://doi.org/10.1016/j.sbspro.2016.05.191
- Nasir, N. M., Nawi, M. N. M., Rahim, M. K. I. A., Bahaudin, A. Y., Tapa, A., Nasrun, M., Nawi, M. N. M., Kamarul, M., Abdul, I., & Bahaudin, A. Y. (2016). A review of delay factors in Malaysian Industrialized Building System (IBS) construction project. ARPN Journal of Engineering and Applied Sciences, 11(16), 9868-9873.
- Nasrun, M., & Nawi, M. (2015). Barriers to implementation of the Industrialised Building System (IBS) in Malaysia. *The Built & Human Environment Review*, 4, 22-35.
- Nawi, M. N. M., Anuar, H. S., & Lee, A. (2013). A review of IBS Malaysian current and future study. *International Journal of Engineering Research & Technology*, 2(10), 2378-2383.
- Nawi, M. N. M., Lee, A., Mydin, M. A. O., Osman, W. N., & Rofie, M. K. (2018). Supply Chain Management (SCM): Disintegration team factors in Malaysian Industrialised Building System (IBS) construction projects. *International Journal of Supply Chain Management*, 7(1), 140-143.
- Nawi, M. N. M., Mydin, M. A. O., Nifa, F. A. A., Osman, W. N., & Anuar, H. S. (2015). Malaysian Industrialised Building System (IBS): A review of studies. *Australian Journal of Basic and Applied Sciences*, 9(7), 99-101.
- Nawi, M. N. M., Nasir, N. M., Azman, M. N. A., Jumintono, & Khairudin, M. (2019). Investigating factors of delay in IBS construction project: Manufacturer perspectives. *Journal of*

- Engineering Science and Technology, (Special Issue on ICEES2018), 59-66.
- Noguchi, M. (2003). The effect of the qualityoriented production approach on the delivery of prefabricated homes in Japan. *Journal of Housing* and the Built Environment, 18, 353-364. https:// doi.org/10.1023/B:JOHO.0000005759.07212.00
- Noor, S. R. M., Yunus, R., Abdullah, A. H., Nagapan, S., & Mazlan, S. M. S. S. (2018). Insights into the adoption of lean management in Industrialised Building System (IBS) implementation: The drivers and challenges. *International Journal of Engineering and Technology (UAE)*, 7(3.23), 22-31. https://doi.org/10.14419/ijet.v7i3.23.17253
- Othman, M. K. F., Muhammad, W. M. N. W., Hadi, N. A., & Azman, M. A. (2017). The significance of coordination for Industrialised Building System (IBS) precast concrete in construction industry. *MATEC Web of Conferences*, 103, 03004. https://doi.org/10.1051/matecconf/201710303004
- Piroozfar, P., Altan, H., & Popovic-Larsen, O. (2012). Design for sustainability: A comparative study of a customized modern method of construction versus conventional methods of construction. Architectural Engineering and Design Management, 8(1), 55-75. https://doi.org/10.1080/17452007.2012.650935
- Pozin, M. A. A., & Nawi, M. N. M. (2018). Effective of communication using WhatsApp: Industrialised Building System (IBS) construction. AIP Conference Proceedings, 2016(1), 020018. https://doi.org/10.1063/1.5055420
- Rashidi, A., & Ibrahim, R. (2017). Industrialized construction chronology: The disputes and success factors for a resilient construction industry in Malaysia. *The Open Construction and Building Technology Journal*, 11(1), 286-300. https://doi.org/10.2174/1874836801711010286
- Razak, F. M., & Awang, H. (2014). The contractors' perception of the implementation of Industrialised Building System (IBS) in Malaysia. MATEC

- Web of Conferences, 10, 04003. https://doi.org/10.1051/matecconf/20141004003
- Shamsuddin, S. M., Zakaria, R., Hashim, N., Mohamad Yusuwan, N., Sahamir, S. R., & Abidin, N. I. (2017). A framework of initiatives for successful application of life cycle costing (LCC) in Industrialised Building System (IBS) in Malaysian construction industry. *MATEC Web of Conferences*, *138*, 05002. https://doi.org/10.1051/matecconf/201713805002
- Shamsuddin, S. M., Zakaria, R., & Mohamed, S. F. (2018). Economic attributes related to Industrialised Building System in Malaysia. Asian Journal of Behavioural Studies, 3(11), 65-73. https://doi.org/10.21834/ajbes.v3i11.102
- Shamsuddin, S. M., Zakaria, R., Mohamed, S. F., Saleh, A. L., Utomo, C., Majid, M. Z. A., & Yahya, K. (2015). Developing methodology for cradle to grave cost planning for Industrialised Building System (IBS) in Malaysia. *Jurnal Teknologi*, 77(16), 37-42. https://doi.org/10.11113/jt.v77.6397
- Waris, M., Liew, M. S., Faris, M., & Idrus, A. (2015).
 An exploratory study on enablers and barriers for onsite mechanisation in the Malaysian construction industry. *Malaysian Construction Research Journal*, 16(1), 15-30.
- Waris, M., Liew, M. S., Khamidi, M. F., & Idrus, A. (2014). Investigating the awareness of onsite mechanization in Malaysian construction industry. *Procedia Engineering*, 77, 205-212. https://doi.org/10.1016/j.proeng.2014.07.018
- Wen, T. J., Siong, H. C., & Noor, Z. Z. (2015). Assessment of embodied energy and global warming potential of building construction using life cycle analysis approach: Case studies of residential buildings in Iskandar Malaysia. *Energy and Buildings*, *93*, 295-302. https://doi.org/10.1016/j.enbuild.2014.12.002
- Yunus, R., Abdullah, A. H., Yasin, M. N., Masrom, M. A. N., & Hanipah, M. H. (2016). Examining

- performance of Industrialized Building System (IBS) implementation based on contractor satisfaction assessment. *ARPN Journal of Engineering and Applied Sciences*, *11*(6), 3776-3782.
- Yunus, R., Noor, S. R. M., Abdullah, A. H., Nagapan,
 S., Hamid, A. R. A., Tajudin, S. A. A., & Jusof,
 S. R. M. (2017). Critical success factors for lean thinking in the application of Industrialised
 Building System (IBS). IOP Conference Series:
 Materials Science and tableEngineering,
- 226, 012045. https://doi.org/10.1088/1757-899X/226/1/012045
- Zairul, M. (2017). FlexZhouse: A new business model for affordable housing in Malaysia. In *A+BE* architecture and the built environment (Vol. 2, Issue 2). https://doi.org/10.7480/abe.2017.2
- Zairul, M. (2020). A thematic review on student-centred learning in the studio education. *Journal of Critical Reviews*, 7(2), 504-511. https://doi.org/10.31838/jcr.07.02.95



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Alienation Effect in Kee Thuan Chye's Wayang Kulit Adaptations in 1984 Here and Now and The Big Purge

Arbaayah Ali Termizi, Hoo Poh Ying*, Nur Aainaa Amira Mohd Said and Faris Abdullah Sani

Department of English, Faculty of Modern Languages and Communication, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

ABSTRACT

Existing studies have acknowledged the respective influence of Brechtian epic theatre and the adaptation of wayang kulit in Kee Thuan Chye's plays, though largely keeping them as two separate entities. This paper focuses on Kee's adaptation of wayang kulit in his first two published plays, namely 1984 Here and Now and The Big Purge to examine its functions in generating the Brechtian alienation effect in the selected plays. The rationales behind the increased scale of wayang kulit adaptation in The Big Purge compared to 1984 Here and Now is also explored in tandem with Kee's alleged increase in theatrical subtlety. In the findings, the adaptation of wayang kulit in the selected plays correlates to the Brechtian alienation effect through the means of the incongruity of the wayang kulit, the role of the dalang or puppeteer and the fragmented plot structure of the wayang kulit metadrama. In The Big Purge, Kee's increased scale of wayang kulit adaptation reflects his swerve to a more subtle style of writing as a reaction to the public perception of 1984 Here and Now and his first wayang adaptation in the play.

Keywords: Alienation effect, epic theatre, Kee Thuan Chye, political plays, wayang kulit

ARTICLE INFO

Article history:

Received: 25 August 2020 Accepted: 02 December 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.36

E-mail addresses:
arbaayah@upm.edu.my (Arbaayah Ali Termizi)
geanhoo0803@gmail.com (Hoo Poh Ying)
aainaasaid31@gmail.com (Nur Aainaa Amira Mohd Said)
farisabdullahsani@gmail.com (Faris Abdullah Sani)

INTRODUCTION

This paper seeks to delve further into the relationship between the adaptation of the general form of wayang kulit in the first two of Kee Thuan Chye's four published plays and Brechtian epic theatre. The adapted wayang kulit scenes in the selected plays are studied under the lens of Brechtian alienation effect to understand how Kee's wayang kulit

* Corresponding author

adaptation puts forth the issues of political manoeuvrings by initiating a state of critical reasoning in the audience. The increased scale of *wayang kulit* adaptation in *The Big Purge* is also analysed to examine Kee's attempt towards a subtler style of political playwriting.

Written in the 80s, both Kee Thuan Chye's first two published plays adopted the general nuances of wayang kulit, instilling elements such as the wayang screen, the dalang or the puppeteer and leather puppets traditionally used in wayang kulit performances. To date, there is no mention of a specific type of wayang kulit used by Kee. Instead, it is meant as a general reference to his cultural identity, as remarked by Kee in an interview by Quayum:

Later, in the 1980s, as I became more aware of the importance of reclaiming my Asian identity, I borrowed elements from Asian myths and traditional theatre for my plays and some of my poems. The play 1984 Here and Now (1984) incorporated elements of the wayang kulit. And The Big Purge (1987) again had wayang kulit as a central motif (2005, p. 134).

Culturally familiar to Malaysians, wayang kulit, or sometimes called the Malay shadow play or shadow puppetry, is a traditional art form thought to have been brought in from Java to Southeast Asia through Cambodia, and was influenced by the Indian epics of Mahabharata and Ramayana (Ibrahim, 2008). Traditionally,

leather puppets are manoeuvred by the puppeteer, or *dalang* behind the screen. He is simultaneously a playwright, director, actor and occasionally, singer. A *dalang* is typically also a *Dukun* or *Bomoh* (the Malay medicine-man and spirit medium) in the Malay community (Ibrahim, 2008).

The initially experimentative grafting of wayang kulit came along in 1984 Here and Now, where a single scene is allocated to be depicted in wayang kulit style with human actors acting as puppets (Kee, 1987). It then gained expansion in The Big Purge where wayang kulit scenes were replaced with the dalang manoeuvring puppets behind a wayang screen (Kee, 2004). The standalone scene (scene fourteen) in 1984 Here and Now revolves the meeting between the play's nominal oppressors, the Inner Party members where Big Brother shows up to announce his stance on curbing a public protest. In Purge, the wayang kulit scenes tell the workings between the iron-fisted Chief Minister and his corrupt cabinet members. Perceivably, both wayang kulit adaptations serve to portray political trickery, as the playwright notes in scene fourteen in 1984 Here and Now: "Altogether, the atmosphere is one of foreboding" (Kee, 1987, p. 63). A similar atmosphere is rendered to the wayang kulit scenes in Purge, in which the Prologue opens with an actor ridiculing the wayang kulit adaptation as 'Wayang Sulit' (Kee, 2004).

Kee Thuan Chye is a Malaysian playwright, actor, dramatist and journalist. Until 2019, Kee has published four plays, 1984 Here and Now (1984), The Big Purge (1988), We Could **** You Mr.

Birch (1994), and Swordfish+Concubine (2004) (Kee, 2018). He also writes sociopolitical commentaries, authoring Just in So Many Words (1992), March 8: The Day Malaysia Woke Up (2008), The Elections Bullshit (2013), The People's Victory (2019) and many more. 1984 Here and Now (1987) is a loose adaptation of Orwell's dystopian novel, Nineteen Eighty-Four written in 1949. Retaining its undertone of political suppression and basic plot structure, Kee's rendition employs various Brechtian techniques and wayang kulit adaptation for Big Brother's appearance to localise its content. First staged at Universiti Malaya Experimental Theatre in 1985, directed by Krishen Jit, (Gilbert, 2001) its second staging in Malaysia was conducted in Mandarin in 2016.

Meanwhile, *The Big Purge* (2004) is a metadrama that weaves in and out between wayang kulit and naturalist scenes. Set in the allegorical 'Equaland', the play tells the story of five characters from different ethnicities embroiled in a political scheme, implicitly referring to the May 13 racial riots and the 1987 Operation Lalang (Gilbert, 2001). *The Big Purge* was staged at Essex University Theatre in May 1988 as part of a Master of Arts course in playwriting (Lim, 2004) but has never been performed in Malaysia.

Overall, Kee's published plays show a proclivity to the Malaysian culture. Apart from the constant employment of cultural customs and practices, especially that of Malay origin such as *pantun* (A Malay verse form); *silat* (Malay Martial Arts); *joget* (a traditional Malay dance) and *gamelan*

(A traditional ensemble music), Kee's plays all adopt Malay traditional narrative forms, including wayang kulit (shadow puppetry) in 1984 Here and Now and The Big Purge; and romanticized historical narratives (legend and myths) in his two later plays, We Could **** You Mr. Birch and Swordfish+Concubine.

Kee's plays have been copiously read as being influenced by the epic theatre. Nevertheless, his adaptation of wayang kulit has not been comprehensively studied as a dramatic technique or as a part of his Brechtian strategy. Therefore, this paper intends to look into Kee's adaptation of wayang kulit through the core method of Brechtian epic theatre, which is the alienation effect. Apart from examining the wayang kulit scenes through a perspective of critical detachment or emotional distancing, this paper also intends to provide plausible explanations to Kee's increased adoption of wayang kulit scenes from 1984 Here and Now to The Big Purge by examining the public perceptions of the plays and Kee's alleged attempt to create more subtlety in his political plays.

MATERIALS AND METHODS

Brechtian Alienation Effect

Bertolt Brecht (1898-1956) is a contemporary German playwright renowned for his reformative 'epic theatre' aimed to initiate social reform and his theatre company, Berliner Ensemble. He proposed the *Verfremdungseffekt*, generally known by Willett's translation as the 'alienation effect'. Brecht (1978, p. 91) referred it as

"part of the attempts being made to evolve an epic theatre" which comprised plays that did not depend on empathy.

John Willett contended that 'epic theatre' was a term borrowed from Piscator, upon which Brecht further denounced the entertaining quality of theatre and the naturalist conceptions of 'catharsis' and 'empathy'. According to Willett, alienation effect is about "jerking the spectator out of his torpor and making him use his critical sense" (1968, p. 172). Brecht first introduced the term Verfremdungseffekt in his essay "Verfremdungseffekte in der chinesischen Schauspielkunst" or "Alienation Effects in Chinese Acting" (Brecht, 1978, p. 91), as a reaction to Mei Lan-fang's performance in Moscow in 1935. The term Verfremdung was coined by Brecht to explain the means by which he achieves critical detachment, which he used to call 'epic' (Willett, 1968). The endeavours to translate it into English have led to numerous results, some of which are 'distancing', 'estrangement', 'alienation' and 'disillusion'.

In the essay mentioned, Brecht proposed that for theatre to fulfil its instructive function, complete empathy from the audience must be hindered to retain "his attitude of observing or looking on" (1978, p. 93). This retention of critical detachment is achieved by deliberately pointing out the incongruous or "turning the object of which one is to be made aware, to which one's attention is to be drawn, from something ordinary, familiar, immediately accessible, into something peculiar, striking and unexpected" (Brecht, 1978, p. 143). To

further illustrate, Brecht drafted a chart of comparison between dramatic theatre and epic theatre in the notes to the opera *The Rise and Fall of the City of Mahagonny*, in which he proposed that the epic theatre should be more narrative in nature when compared to the plot-based dramatic theatre (1978). Brecht's aversion to the typical Aristotelian five-act form arose from his belief that the typical theatre deluges the audience with emotions and impairs their reasoning power. Thus, the coherence of plot must be fragmented, as he famously expounded:

The episodes must not succeed one another indistinguishably but must give us a chance to interpose our judgement. The parts of the story have to be carefully set off against one another by giving each its own structure as a play within a play (Brecht, 1978, p. 201).

This resistance to coherence is to show men and their interrelations in specific circumstances by presenting itself as "a montage, in which each scene has a self-contained life, and, like the segments of a worm, each is capable of life even when cut off from its neighbour" (Leach, 2004, p. 117). In short, Brecht's plays are presented in the form of episodic fragmentation so that each of the 'episodes' can be critically perceived on their own. This is opposed to the traditional naturalistic theatre, for Brecht argued that traditional theatre tends to be overly sentimental and make audiences misidentify the events as their own. To

Brecht this kills their ability to see existing social issues as it is, as expounded by Esslin, "To do social good the theatre, Brecht felt, must be able to convince its audience that its examples were typical and of wide applicability" (1961, p. 21).

Brecht's practices rose to popularity in Europe during the 1960s and 1970s after his production visited London in 1956. It has since then inspired Feminist theatre and 'Theatre of the Oppressed' (Leach, 2004). In the context of post-colonial drama, Brecht's alienation effect saw the incorporation of indigenous music and dance, nonlinear timeline and self-commenting characters used to challenge European systems that decimated aboriginal culture (Gilbert & Tompkins, 2002), a trend with which Kee Thuan Chye's works might be identified.

In tandem with Brecht's method stated above, this paper examines the adaptations of wayang kulit as a means to generate the alienation effect in the first two of Kee Thuan Chye's published plays, 1984 Here and Now and The Big Purge. In the selected plays, scenes that adapt wayang kulit are analysed to examine their roles in distancing the audience to fulfil Kee's calls for political awareness. The scenes that adapt wayang kulit in the selected plays include scene fourteen in 1984 Here and Now; scene one, four, ten, thirteen, eighteen and twenty-one in The Big Purge. Other scenes are also included in the discussion when necessary. The selected scenes are close read mainly from three perspectives according to the aforementioned attributes of alienation effect: the incongruities foregrounded by wayang kulit, the episodic wayang kulit metadrama and the epic acting of the dalang. The ways through which these aspects of Kee's wayang kulit adaptations contribute to the generation of Brechtian critical detachment are explored.

In addition, reviews from researchers, critics and audience who attended the staged performances of the plays are also sourced to understand the public perception of the plays. To also explore the relationship between Kee's increased adoption of wayang kulit elements in Purge and his attempt towards a subtler form of political play, critics' reviews and interviews of Kee are also examined to look into the rationales behind Kee's change in writing style through the adaptation of wayang kulit.

LITERATURE REVIEW

Literary studies have dwelled mostly on the thematic aspects of Kee's plays, for instance, from existentialist, feminist and political perspectives (Bakar et al., 2016; Rajoo, 2001; Tneh, 2016). The infusion of wayang kulit has also been discussed closely with the subject matters of the plays which often manifest a clash between cultural identity and the dominant culture. Helen Gilbert (2001) in the anthology *Postcolonial Plays* remarked that the wayang kulit scene in 1984 Here and Now functioned to delineate the role of tradition in the strengthening of Malay cultural and political power. Amy Lai (2009) likewise contended that the scene served to underline both ethnic-based oligarchy and the tradition of obeisance in politics.

This is echoed by David Tneh, who has done several studies on Kee's cultural infusion. According to Tneh, the role of wayang kulit in Kee's plays is to foreground Malay hegemony through the mythical effect of the wayang screen (Tneh, 2017). All these studies have categorized Kee's adaptation of wayang kulit as a form of racial identification, suggesting a resistance against the dominant culture by highlighting it. Differing from these pejorative interpretations is Susan Philip, who read Kee's wayang kulit adaptation as "a subtle way of expressing hope of empowerment for the people" (2012, p. 367).

As can be seen, wayang kulit is generally viewed as a tool to the thematic aspects of the plays, though how it works as a dramatic technique remains, for the most part, unexplored. Meanwhile, Kee's plays have been put in the tradition of the Brechtian epic theatre. Researchers including Helen Gilbert, Robert Yeo, Shirley Lim and Amy Lai who have noticed both the Brechtian influence and cultural proclivity in Kee's plays have mostly discussed them as two separate entities. Among them is Shirley Lim who contended that The Big Purge showed obvious influence of Brecht's (2004) alienation strategies through its breaking of the fourth wall and its episodic effect. Amy Lai (2009) had further elaborated Lim's arguments by including We Could **** You Mr. Birch in her discussion. Robert Yeo in his introduction to the 1994 publication of We Could **** You Mr. Birch, also acknowledged that "Brecht's practice provides Kee with a model he could use

to shake theatrical illusion" (1995, p. 17). These studies blatantly put Kee's plays in the tradition of the epic theatre but found little correlations between that and Kee's infusion of cultural elements.

David Tneh's (2016) doctoral thesis provides a more in-depth analysis of Kee's relation to Brecht by specifying Kee's use of Brechtian historification (the adaptation of historical narratives, proposed in Brecht's theoretical essays) to challenge dominant national narratives. Again, this has put Kee's cultural infusion as a means of racial identification. Nonetheless, it has given substance to the use of history as a Brechtian strategy in Kee's ensuing plays, We Could **** You Mr. Birch and Swordfish+Concubine. In contrast, the significance of Kee's adapted wayang kulit scenes from a Brechtian perspective remains a dearth.

Regardless, discussions on Kee's wayang kulit adaptations have suggested a connection to the tradition of Brechtian theatre. Helen Gilbert and Joanne Tompkins noticed that "shadow puppetry and gamelan music were combined with various Brechtian techniques to produce a highly politicized text rooted in local experience" (2002, p. 266). Studies done on 1984 Here and Now and The Big Purge have related Brecht's 'play-within-a-play' approach to Kee's wayang kulit adaptations which create a multi-layered narrative structure (Gilbert & Tompkins, 2002; Lai, 2009; Lim, 2004; Tneh, 2017). Reviews made on scene fourteen in 1984 Here and Now (which is in the form of wayang kulit)

also suggest a sense of critical detachment through the use of puppets to represent key characters: "human shadows replace puppets in traditional wayang kulit and the aloofness of Big Brother was achieved by his appearing only on screen" (Kee, 1987, p. 128). This is echoed by Tneh, who argued that Big Brother's visual representations in 1984 "achieves a level of invincibility and detachment" (Tneh, 2017, p. 125). Thus, interpretations of the dalang and the use of puppets in selected scenes of Kee's plays seem to provide an inkling of the alienation effect.

Hence, a deeper look into the alienating functions of Kee Thuan Chye's adaptation of wayang kulit is necessitated, not only by the lack of studies done through the perspective, but also by the need to read Kee's works as dramatic oeuvres that entail more technical aspects of presentation than subject matters alone. The use of the shadow screen, the addition of the role of dalang and the puppets in Purge—all these would have a bearing on how Kee's political ideas are conveyed to his audience through the form of drama. Brecht's vision of theatre as a means of initiating political reform is similar to Kee's. Therefore, a juxtaposition of Brecht's methods and Kee's wayang adaptation could potentially add more profundity to Kee's infusion of cultural elements and perhaps that of other Malaysian playwrights. Meanwhile, since the alienation effect entails a generalizing of subject matter, the increased scale of wayang adaptation in Purge may be a means to enhance political subtlety and

hence should be studied along with Kee's alleged turn towards a softer approach in playwriting.

RESULTS AND DISCUSSION

Transcending the Conspicuous

Before familiarity can turn into awareness the familiar must be stripped of its inconspicuousness; we must give up assuming that the object in question needs no explanation. However frequently recurrent, modest, vulgar it may be it will now be labelled as something unusual (Brecht, 1978, p. 144).

Both 1984 Here and Now and The Big Purge, written in a gap of less than four years, deal with the issues of racial hegemony and Big-brotherism (Gilbert, 2001; Lim, 2004; Philip, 2012). The similarity of subject matters distinguishes Kee's wayang kulit adaptation in his first two published plays from his later shift to historical adaptation to address deep-rooted issues in the Malay culture. The manoeuvred nature of wayang kulit was consciously tapped to foreground official corruption and manipulation, as noted by Kee in hindsight,

I incorporated these elements in 1984 Here and Now and The Big Purge to depict the shadowy world of manipulative powers. In a sense,

¹ Kee's ensuing plays, *We Could* **** *You Mr. Birch* and *Swordfish+Concubine* adapt the assassination of colonialist, J.W.W.Birch and myths from the *Malay Annals* respectively.

ruling politicians are like the *dalang* who is all-powerful because he dictates the story, the script, the performance. He manipulates. He theatricalises reality. What you see is what he conjures. The *Wayang Kulit* is for me, therefore, a powerful metaphor of power play (Quayum, 2005, p. 135).

The mythical nature of wayang kulit, along with its visual appeals of the shadows, enables a dramatization of reality as a means of estrangement, showing the absurdity of the otherwise seemingly commonplace political scenario. As Jacqueline Lo argued: "The wayang performance gave the impression of a shadowy realm where manipulation took place and conjured an ambience different from that of the common people" (2004, p. 90). While this defamiliarizing wayang kulit metaphor pervades both plays, the primitive form of dalang or the all-powerful narrator comes first in the role of Big Brother in Kee's appropriation of Orwell's Nineteen Eighty-Four.

In 1984 Here and Now, the experimentative scene fourteen which consists the only wayang kulit scene throughout the play, employs actors mimicking puppet movements behind the screen, accompanied by percussive wayang kulit music and serunai, a traditional Malay wind musical instrument (Kee, 1987). Big Brother enters in an Inner Party meeting where he imparts his scheme to curb the people's demonstration with more draconian measures. The scene sees Big Brother's only physical appearance on-stage throughout

the play, albeit as a shadowy figure. The representation of Big Brother is made entirely symbolic throughout the play by the means of televised media, as directed by Kee in scene one: "Upstage left is a huge picture of Big Brother. Both the TV set and the portrait remain as permanent features of the set" (Kee, 1987, p. 1). By hindering his direct appearance on stage, Big Brother's characterization is alienated from himself and real-life politicians, subdued to a symbol of god-like ruling power that can be applied to both nobody and anybody.

As argued by Helen Gilbert, "Big Brother appears to be omnipotent because he is paradoxically everywhere and nowhere. His remote image transmitted through the wonders of capitalist technology signals the realization of a police state in which disciplinary practices are internalized by the citizens" (2001, p. 251). The wayang kulit finesse which hinders Big Brother's direct appearance is a continuation of the non-naturalistic strategy, maintaining a critical distance that strikes the audience as both otherworldly and poignantly relevant. Tneh also remarked, "By not appearing in person, he achieves a level of invincibility and detachment that is further strengthened by his control and repeated appearance on television" (2017, p. 124).

Each aspect in scene fourteen puts forth the sense of incongruity. The scene, which is technically a rough adaptation of wayang kulit, achieves its semblance to the art form primordially through the utilization of the shadow screen that denies the convenience of perceiving the actors or characters simply as they are. As Helen Gilbert remarked: The inner party members are played by actors behind a shadow screen, which serves to magnify their physical dimensions while also introducing a disjunctive element since traditional *wayang* characters are not humans but rather mythical beings such as gods and demons (2001, p. 251).

This is accompanied by Kee's adoption of Brechtian acting strategy, or 'epic acting' which demands that the actors stay separated from and clarify an attitude towards the roles they play (Butler, 1991). In 1984 Here and Now the distancing is achieved by the characters mimicking puppet movements: "Their dialogue is delivered in heightened manner, their physical mannerisms broad, puppet-like" (Kee, 1987, p. 62). The selfrevealing actions of the Inner Parties characters necessitate a skeptical judgement of their characters, answering to the stealthy tone of the scene and its theme of political maneuvering. As observed by Brecht regarding the role of actor, "acceptance or rejection of their actions and utterances was meant to take place on a conscious plane, instead of, as hitherto, in the audience's subconscious" (1978, p. 91). The Inner Party members strike the audience as odd through their blatant lack of visual recognizability on screen. This is echoed by Kee simply naming them IPM 1, 2 and 3, suggesting the characters' lack of power in contrast to Big Brother's entrance whose "shadow looming larger than the rest, towering over all" (1987, p. 63).

Therefore, with the finesse of wayang kulit, scene fourteen compels the audience to critically detach itself instead of going entirely into the plot by deliberately accentuating the incongruous. It is thus in this stupor-denying setting that the three IPMs finally give voice to the oppressive undertone of the play, quoting Orwell: "Freedom is slavery"; "Discipline is strength!" (Kee, 1987, pp. 63-64). In Brecht's terms, the wayang kulit adaptation in 1984 Here and Now underlines the workings of politicians in power as something that is absurd and demands questioning. By jerking the reasoning power of the audience to work, the incongruous ensures that nothing that one's accustomed to is taken for granted.

Wayang Kulit for Subtlety

A few circumstances vary, the environments are altered, but Man remains unchanged. History applies to the environment, not to Man. The environment is remarkably unimportant, is treated simply as a pretext (Brecht, 1978, p. 97).

The 'play-within-a-play' wayang kulit structure has considerably developed in Kee's following oeuvre, The Big Purge, in which the single puppetry scene grew into a full-fledged frame story that encapsulates a more realistic inner story. Though the wayang kulit scenes have almost identical nature in both plays, both showing corrupt politicians in the middle of plot-hatching, the scale of adaptation and faithfulness

towards the authentic form of wayang kulit has drastically increased in Purge with the additions of the dalang, or wayang kulit narrator, and puppets representing characters.

The rationale behind this is likely multifaceted, some of which could be deduced from the public perception of 1984 Here and Now which critiqued Kee's dichotomous racial stance and his lack of subtlety, as Nagara remarked, "The play ignores the fact that real inequalities within each race are greater in extent and variety than formal and circumstantial inequalities between the races" (as cited in Kee, 1987, p. 138). This is an iteration of Fadzillah Amin's view, which opines that the play fails to delineate injustices that "cut across racial lines" (as cited in Kee, 1987, p. 129). Even Kee himself has admitted to Asiaweek that "The play was loaded heavily on the side of the Proles" (as cited in Kee, 1987, p. 129). In fact, the public disfavour has much to do with Kee's Orwellian appropriation. The direct borrowing of the party-nonparty dichotomy from Orwell's novel led Kee to the dilemma of race-based selfidentification.

Moreover, Orwell's model is essentially a western one, which is, to some audience, too far-fetched to the Malaysian political state of affairs, as criticized by Kua Kia Soong: "This is where the play tended to grate in places... it blunts the object of our own critique of the Malaysian reality" (as cited in Kee, 1987, p. 114). It was perhaps these criticisms, that led to Kee's drastic localization of his play since *The Big Purge*,

as argued by Lim, "In *The Big Purge*, Kee abandons the 'authority' of the British canonical pretext of his first play for the 'authority' of the Malay traditional pretext of the *wayang*" (2004, p. 11).

These critiques drove Kee's overall swerve towards more political subtlety. If the timespan in which Kee's four published plays were written was to be divided into two phases according to Susan Philip's dating (2012, p. 358), grouping 1984 Here and Now (1984) and The Big Purge (1988) in the first phase: 'the 80s'; and We Could **** You Mr. Birch (1994) and Swordfish+Concubine (2004) in the second: 'the 90s and onwards', there would be seen between the phases a distinct change of core strategy from the adaptation of wayang kulit to the parodic retellings of historical episodes. While both answering to the alienation effect, historical adaptations enable Kee to put forth his political commentaries in a more elliptical way because it essentially indicates a distinct time period. Nevertheless, Purge has already shown an earlier endeavour to enhance 'implicitness' through the interference of the wayang kulit universe. In Brecht's terms, the environment from which the playwright's issues originated is displaced by the metaphorical Equaland which comprises the mythical power of the dalang and his puppets. As Lim also remarked:

The theatrical performance of Malaysian realpolitik as puppetry offers a performative distance from real-life political commentary, while drawing upon the teleological meaning of the static universe of good and evil... (2004, p. 11).

Consequentially, Purge is deemed a mellowed-down iteration of the playwright's first published play, 1984 Here and Now (Lim, 2004; Philip, 2012). Moreover, it signifies Kee's return to the more dramatic side of theatre despite his emphasis on politics. This uncannily mirrored the dramaturgical evolvement of Brecht (1978) himself, who in his last published collection of writings entitled "Die Dialektik auf dem Theater" (Dialectics in the Theatre), proposed to change his earlier naming of the 'epic theatre' to 'dialectical theatre' because the former sounded too serious for the type of theatre he wanted. Wulbern (1971) viewed this as Brecht's rediscovery of the importance of 'naivete' (the dramatic side of theatre), which however, was not actualized due to his soon followed demise. When asked about the reason behind his softer approach during his recent talk in Universiti Putra Malaysia in 2019, Kee, likewise, attributed it to having realized the importance of a less grave approach:

When I wrote my first political play, I did it in the form of an agitprop. It is very direct. It is in your face. But I later learned that that might not be the best way to get things across because people don't like the playwright haranguing them. They want to be able to make up their own minds. This play in a sense is quite didactic. It is trying to teach you something or

persuade you to think in a certain manner. Audiences don't like that. They think this is low art. So, as I continued to write more political plays I realized (that) (Hoo Poh Ying, personal communication, October 14, 2019)

Providing an alternative to presenting political issues, the dramatic environment of the wayang kulit came timely as Kee resolved to a subtler approach in playwriting. The shift from the naturalistic story by Orwell to embracing the narrative potentials of wayang also signifies Kee's maturing employment of Brechtian strategies. Consequentially, the standalone scene fourteen in 1984 Here and Now saw its expansion into a six-scene frame story in Purge while both focus on depicting misconducts of politicians, as will be discussed in the following section.

The Actor-Narrator and his Fragmented Tales

In this epic theatre serving a non-aristotelian type of drama the actor will at the same time do all he can to make himself observed standing between the spectator and the event (Brecht, 1978, p. 58).

The Big Purge opens with an actor coming out of behind a wayang kulit screen and states "above all, let me emphasize one very important point – this is only a story. Fiction." (Kee, 2004, p. 22). The breaking of the fourth wall decides the alienating tone of the play, as Amy Lai argued that the opening

speech "not only creates a metadrama to the 'realistic' drama in it, but also played on the 'fictitiousness' of this 'realistic' play" (2009, p. 44).

The prologue introduces the wayang kulit structure of the play, with the actor reiterating the sense of political manoeuvrings in 1984 Here and Now by making fun of the wayang kulit adaptation: "Did I say 'Wayang Sulit'? Sorry, I mean Wayang Kulit. Wayang Sulit means secret show; In Equaland, no secret, everything transparent" (Kee, 2004, p. 23). This heralded the following scenes that constantly went in and out of the world of wayang kulit and that of realism, in the tradition which Brecht termed "each scene for itself", "montage" (1978, p. 37). As Shirley Lim opined, "Influenced chiefly by Brechtian strategies of Alienation, the play is deliberately structured to convey the awareness of being performance rather than realistic or naturalistic representation" (2004, p. 6). The six wayang kulit scenes in The Big Purge include scene one, four, ten, thirteen, eighteen and twenty-one, which form the frame structure of the play. The more realistic inner story between the five characters, Rong, Joan, Runid, Mawiza and Ravinen set in the fictitious Equaland is constantly segmented by the grafting of wayang kulit scenes, which takes place every two to five scenes. The progression of the naturalistic plot is hence interrupted every now and then by the disjunctive wayang kulit episode to retain the critical detachment of the audience.

Unlike 1984 Here and Now which resorts to human actors mimicking puppets behind

the wayang kulit screen, the alienating effect in Purge is generated by the dalang, who is traditionally the wayang kulit narrator and puppeteer. As Tneh remarked, "...the thrust of the role of the dalang goes beyond the usual literal and metaphorical interpretation, to that of a storyteller and manipulator who has reclaimed his part in the national affairs of the state regardless of affiliation" (2017, pp. 127-128).

With the wayang kulit metadrama gradually revealed by the dalang via speeches and songs throughout the play, the dalang in Purge is comparable to the singer, Arkadi Tcheidse in Brecht's renowned play, The Caucasian Chalk Circle, who narrates the internal parable that intertwines with the frame story. The role of the dalang is multilayered. He is all at once the storyteller that propels the story, the manipulator who controls the puppets/characters and the commentator who critiques the characters every now and then. Taking up the role of epic actor from the narrator in the Prologue, the dalang narrates with a blatantly sarcastic tone. Take the following examples:

The Chief Minister is a genius.

He has been Chief Ministers,

And head of the ruling Equaland Equa Party,

For donkey's years (Kee, 2004, p. 24).

The most brilliant Minister that the CM hand-picked

Is a hard-sneezing man with a nose like a prick (Kee, 2004, p. 37).

Brecht argued regarding epic acting that an actor must "act in such a way that nearly every sentence could be followed by a verdict of the audience and practically every gesture is submitted for the public's approval" (1978, p. 95). The dalang's role is thus that of an epic actor who with every utterance, guides the audience towards a certain deduction or perception of events and characters, just as Susan Philip remarked "the Dalang is more than a mere storyteller. He is also a commentator" (2012, p. 367). In control of the puppets representing the Chief Minister, Minister Without Portfolio, Minister of Information, Minister of Education and the Minister of Home Affairs, the dalang's juggling between his roles as all of the above guarantees a generalization of concept which Shirley Lim termed "multiply distanced, re-re-representation of Malaysian politics" (2004, p. 9).

While the use of human actors in scene fourteen in 1984 Here and Now compels the acting to be done in a "puppet-like" manner to resolve dramatic illusion, there is no such need in The Big Purge where puppets are used. Taking Artaud's impressionistic concept, Shirley Lim contended that the characters played by puppets underwent a 'systematic depersonalization' whose "dialogue cannot be taken as imitating or representing real persons but as evoking the 'power of a system'" (2004, p. 10). The lack of sentimentality and personal will of the political figures is thus emphasised, as can be seen in the dalang's nonchalant handling of the puppets:

DALANG brings on the relevant puppet (Kee, 1987, p. 25).

DALANG takes off MINISTER WITHOUT PORTFOLIO puppet and brings on MINISTER OF INFORMATION (Kee, 1987, p. 27).

It should be noted that all puppet characters in both 1984 Here and Now and The Big Purge represent authority figures whereas ordinary folks are played by humans. This naturally gravitates the spectators' attention to the wayang kulit scenes that tell the inner workings of corrupt politicians; more so than the overall plots revolving the relationships between characters. In a way, hence, prominence is given to the wayang kulit metadrama which bring the audience beyond the dramatic façade of the play into Kee's intended discourse. As echoed by Amy Lai, the puppetry scenes in *The Big Purge* differ from 1984 Here and Now because they involve a dalang, whose roles further blurred the boundary between the playwright and the actor (2009, p. 41). Reverberating Kee's ultimate calls for political awareness, the wayang kulit adaptation provides a perspective that puts the power back into the hands of the people. As Susan Philip proposed:

Kee presents them, through the framework of the shadow puppetry, as being manipulated by an outside force, which is able to critique their actions. This points, perhaps, to the fact that the power should be in the hands of the people, and that

they can, if they choose to exercise that power, become the *dalangs* themselves (2012, p. 367).

In short, the play-within-a-play structure of *The Big Purge* answer to the Brechtian fragmentation needed to dissolve dramatic illusion while resorting to the audience's reasons. The narrative nature of epic acting and Kee's political commentaries are embodied by the *dalang* who is, at the same time, the actor, puppeteer, narrator and commentator. Making strange the backstories of political maneuverings, the *wayang kulit* episodes highlights the need to critically review existing political traditions, suggesting that the possibility of reform lies in the power of the audience

CONCLUSION

All in all, the adaptations of wayang kulit in Kee Thuan Chye's published plays, 1984 Here and Now and The Big Purge answer to the Brechtian alienation effect by retaining the critical detachment needed by the audience to perceive the significance of power play depicted in Kee's wayang scenes. The faceless, corrupt politicians hiding behind the screen of the wayang blurred the individual recognizability of each actor, dissolving their pejorative characters into a general representation of public figures whose integrity demands questionings. The presentation of political manoeuvrings in the form of wayang kulit alienates Kee's audience from the everyday perception of politics and from its customary and systematic vices that they have long taken for granted. The god-like presence of the

dalang whose role includes that of an actor, a narrator, a puppeteer and a commentator embodies Brecht's recommendation for epic actors, bringing the audience in and out of the dramatic world of the play to that of their realities, nudging them to critically judge similar issues happening in the actual world. The play-within-a-play structure of the wayang segments the plays into independent parts that demand specific attention, echoing Brecht's subversion of traditional naturalist plot structure.

Kee's attempt to be more eclectic in his political representation in Purge is a response to the critiques of 1984 Here and Now. Kee's persistent search for dramatic material from the Malay culture may stem from a need to establish his cultural identity as a Malaysian writer of Chinese origin who writes in English; and perhaps also a wish to reach out to his Malay audience. Nevertheless, the drastic increase in the scale of adaptation of wayang kulit in Purge signifies a more matured employment of Brecht's strategies to enhance subtlety while retaining the audience's critical perception of the playwright's commentaries. Consequentially, the metaphorical displacement of real-life politics through the wayang kulit universe helped Kee to relay his hope for reform, or awareness in the least, in a less didactic, more entertaining tone to his audience.

ACKNOWLEDGEMENT

This work was supported by Geran Putra Berimpak 2018 (UPM/800-3/1/GPB/2018/9660100) from Universiti Putra Malaysia (UPM).

REFERENCES

- Bakar, E. W., Yusof, N. M. D., & Vengadasamy, R. (2016). Reclaiming voices and disputing authority: A feminist dialogics approach in reading Kee Thuan Chye's Plays. 3L: The Southeast Asian Journal of English Language Studies, 22(1), 97-109. http://doi.org/10.17576/3L-2016-2201-08
- Brecht, B. (1978). *Brecht on theatre: The development of an aesthetics* (J. Willet, Ed.). E. Methuen.
- Butler, J. G. (Ed.) (1991). Star texts: Image and performance in film and television. Wayne State University Press.
- Esslin, M. (1961). *Brecht: The man and his works*. Anchor Books.
- Gilbert, H. (2001). Introduction to 1984 Here and Now. In H. Gilbert (Ed.), Postcolonial Plays: An Anthology (pp. 250-253). Routledge.
- Gilbert, H., & Tompkins, J. (2002). *Post-colonial drama: Theory, practice, politics*. Routledge.
- Ibrahim, M. A. (2008). *Shadow play: Malay traditional theatre*. Malaysian Handicraft Development Corporation.
- Kee, T. C. (1987). 1984 Here and Now. K. Das Ink.
- Kee, T. C. (2004). The Big Purge. Marshall Cavendish.
- Kee, T. C. (2018). Swordfish+Concubine. Gerakbudaya Enterprise.
- Lai, A. T. (2009). Asian English writer of Chinese origin: Singapore, Malaysia, Hong Kong. Cambridge Scholars Publishing.
- Leach, R. (2004). *Makers of modern theatre: An introduction*. Routledge.

- Lim, S. G. (2004). Introduction. In *The Big Purge* (pp. 5-20). Marshall Cavendish.
- Lo, J. (2004). Staging nation: English language theatre in Malaysia and Singapore. Hong Kong University Press.
- Philip, S. (2012). Kee Thuan Chye's political plays: An analysis. *Asian Theatre Journal*, 29(2), 357-378. https://doi.org/10.1353/atj.2012.0034
- Quayum, M. A. (2005). Confessions of a liminal writer: An interview with Kee Thuan Chye. *Kunapipi*, 26(2), 130-139.
- Rajoo, K. (2001). Existentialism in four Malaysian Anglophones Writers: K.S. Maniam, Llyod Fernando, Kee Thuan Chye and Salleh Ben Joned [Unpublished Master's thesis]. Universiti Putra Malaysia.
- Tneh, D. (2016). The political plays of Arthur Miller and Kee Thuan Chye: Resisting the hegemonic state [Unpublished Doctoral dissertation]. University of Malaya.
- Tneh, D. (2017). From 1984 to Birch: The politics of cultural and traditional arts/games in the plays of Kee Thuan Chye. SARE: Southeast Asia Review of English, 52(1), 122-138.
- Willett, J. (1968). The theatre of Bertolt Brecht: A study from eight aspects. New Directions.
- Wulbern, J. H. (1971). *Brecht and Ionesco: Commitment in context*. University of Illinois Press.
- Yeo, R. (1995). Introduction. In *We Could* **** *You Mr. Birch* (pp. 7-21). Academe Art & Printing Services.





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Leveraging Intellectual Capital Dimensions for Promoting Learning Organization in a Rural Development Agency

Amiruzie Ramli and Roziah Mohd Rasdi*

Department of Professional Development and Continuing Education, Faculty of Educational Studies, Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia

ABSTRACT

Given the considerable intangible resources within organizations in the public sector must be put to good use, e.g. to enhance organizational learning. This study examined three intellectual dimensions of intellectual capital (human, structural, and relational) in a rural development organization and their contributions to a learning organization. Using simple random sampling, research data were obtained from 153 managers, including Heads of Department at the Headquarters and at Regional and Settlement Offices covering Peninsular Malaysia's Northern, Southern, Central, and Eastern regions. Pearson Product Moment Correlation Coefficient and Multiple Linear Regression were carried out and the results supported the hypotheses that the dimensions of intellectual capital, namely human, structural and relational capital, were positively correlated with the learning organization, with structural capital being the most significant predictor.

Keywords: Human capital, intellectual capital, learning organization, relational capital, rural development organization, structural capital

ARTICLE INFO

Article history:

Received: 12 September 2020 Accepted: 15 February 2021 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.37

E-mail addresses: amiruzieramli@gmail.com (Amiruzie Ramli) roziah_m@upm.edu.my (Roziah Mohd Rasdi) *Corresponding author

INTRODUCTION

The agricultural sector plays a vital role as it not only provides employment opportunities for rural folk but is also tasked with the management and utilisation of natural resources for national economic development (Mamat et al., 2016). Dynamic agricultural activities provide an important foundation for the nation, generating strong

linkages to various economic sectors. Hence, the government has to ensure that rural development is properly managed. Rural livelihoods are enhanced through promoting the learning culture in government or public organizations that are established to strategize and manage development in rural areas. The learning capacity of an organization stems from the interaction of resources (individuals and fixed capital), processes (how things are done), and values (including the organizational culture and mission) (Ekboir et al., 2009).

The definition of learning in an organization has been defined by various writers using different words in many ways (Bhaskar & Mishra, 2017). Training is important for preparing effective strategies for organizational growth, organizational change, the advancement of human resources, and strategic management (Pokharel & Choi, 2015). The emerging concept is called learning organization, coined by Senge (2006) and strongly associated with Bhaskar and Mishra (2017) and Örtenblad (2018). The term "organizational learning" is used in much of the literature for the same purpose as for the learning organization. Palos and Stankovicic (2016) pointed out that some authors often used both terms interchangeably. According to Watkins and Kim (2018), most scholars see organizational learning as a mechanism and equate it with the acquisition of information, whereas learning organizations refer to organizations that are skilled in developing, acquiring, and transmitting knowledge. Örtenblad (2018) suggested that learning organization was a transformation of the term organizational learning, i.e. it was just a paraphrase. In the late 1970s and early 1980s, this paraphrasing occurred interchangeably in the literature on organizational learning and learning organization. In this study, however, we make a distinction between the two terms. Our focus is not on the process of learning; rather it is on learning organization, i.e. the organization where learning is enabled because this study examines the contextual factor of "organization" as a unit of analysis.

Numerous studies on learning organizations have been conducted, particularly in business organizations where shareholder value and profitability are the main concerns (Visser & Van der Togt, 2016). A study by Jarvie and Stewart (2018) highlighted the difficulty of fostering organizational learning in public organizations. The legal and regulatory environment that operates within the bureaucratic structure limits organizational learning. Within the bureaucratic hierarchy, individual learning is limited to the responsibility of a particular position (Jarvie & Stewart, 2018). According to Palos and Stancovici (2016), and there is little training of employees in public sector organizations owing to the constraints of a fixed budget. On top of that, employees have limited time and organizational support for informal learning at the workplace to improve their skills. However, Pedler and Burgoyne (2017) proposed that learning would benefit from a hierarchy in public institutions if top executives took a well-informed summary of the situation and guided

operations accordingly. The trouble is that the upward flow of information is often limited and distorted by junior staff, who often do not want to pass on bad news as they want to protect their territories (Pedler & Burgoyne, 2017). In countries where public organizations have a large number of stakeholders, they continuously face pressure to enhance their effectiveness and quality, albeit with limited resources (Khan & Nouman, 2019). To ensure successful and efficient delivery of services, public organizations need to engage the public as customers. According to Ramírez (2010), while the idea is similar to that of a customer in a business organization, the lack of competition and little need to accommodate customers' demands make learning in a public organization different from that in a business organization.

In this study, we examined a public organization in Malaysia that was established by the Malaysian government some six decades ago specifically to eradicate rural poverty by helping rural communities raise their agricultural productivity as well as to improve their socio-economic status (Sutton, 2001). While the organization has administrative and financial powers, it is regulated by the Government and operates in the same way as in the typical bureaucratic hierarchy of public organizations. The 1987 World Bank report described this organization as one of the most successful land settlement organizations in the world, responsible for managing around 723,394 hectares (or 16%) of Malaysia's total land area (Barau & Said, 2016).

Given these complexities in the public organization, a more realistic, analytical approach is needed to examine it as a learning organization. With a strict hierarchical organizational structure, there are limited opportunities for its employees to learn from one another and to apply one's ideas. Coupled with a non-competitive consumer market, public sector organizations have been perceived as having difficulty in developing as learning organizations. This is where intellectual capital comes into the picture. However, the idea of the learning organization was inspirational in the design of Malaysian national Agricultural policy (Ministry of Agriculture and Agro-Based Industry, 2011); although it was not clear to designers or implementers how to translate it into practice.

According to Busenan et al. (2018), intellectual capital is a valuable tool that public entities have within their organization to achieve their goals. Public sector organizations have much more intangible resources than business organizations (Busenan et al., 2018). Guthrie (2001) pointed out that work on intellectual capital in the public sector organization was one of the least discussed. Sharabati et al. (2010) opined that intellectual capital was a newly emerging concept that needs to be theoretically explicated. Chahal and Bhaksi (2015) stressed the need to know how intellectual capital was created. Kamukama et al. (2011) highlighted the importance of enhancing the impact of intellectual capital on organizational learning.

The resource-based theory implies that assets must be important, rare, inimitable, and difficult to replace in order to gain and maintain competitive advantage (Barney et al., 2001). Smith et al. (1996) pointed out that organizational learning and the resource-based theory had the same objective of creating and sustaining competitive advantage. The resourcebased theory emphasizes the use of internal resources, both tangible and intangible assets (physical, human, and organization) to achieve competitive advantage (Barney et al., 2001). Thus, in this present study, human, structural, and relational resources are identified as intellectual capital that drives the competitive advantage of the learning organization.

Based on recent literature research, there seems to be a lack of literature on factors that influence the learning organization. Tuggle's (2016) reviewed of 'The Learning Organization Journal from 2003 to 2013' identified several issues related to critical contextual factors affecting the learning organization, viz. how organizations made the transition to learning organizations, where learning processes were centered within the organization, and when one should try to build a learning organization. Empirical research is, therefore, necessary to investigate the intangible resources in public organizations that can contribute to enhancing learning culture in public organizations. Thus, the present study investigates the impact of three dimensions of intellectual capital, namely human, structural, and relational capital on the learning culture of a public sector organization.

This study extends the existing literature on learning organizations, focusing particularly on how intellectual capital as intangible resources within the organization could foster organizational learning, a notion that is underpinned by the resource-based theory.

The paper is structured as follows: The paper begins with an introduction to the concept of the learning organization, focusing on a public organization. This is followed by a discussion on the selected learning organization which is a rural development agency, and the influence of intellectual capital on the learning organization. Next, we explain the methods. This is followed by the results and findings of the study. The paper ends with a discussion on the implications of the findings, limitations, and suggestions for future studies.

The Rural Development Agency as a Learning Organization

This study examined a rural development organization completely under the management and supervision of the Malaysian government, thus making it a public organization. Concerning the hierarchical structure, the staff is predominantly Malays. Over the years, the organization has managed to achieve its goal of national rural poverty reduction, decreasing the rate of rural poverty from 49.3% in 1970 to 0.6% in 2014 (Economic Planning Unit, 2017). Besides, Hall and

Jones's (1999) study demonstrated the important effect of human capital on economic development. Their results showed that the level of learning had an impact on the differences in GDP per capita between countries.

According to Barau and Said (2016), in the context of rural development, this organization has successfully transformed poor rural areas since its inception in the 1950s into more liveable towns surrounded by valorised agricultural lands. The organization has also experienced the ups and downs of economic turmoil, social and political changes in Malaysia (Mamat et al., 2016). All these changes in the micro and macro contexts of the organization have influenced the structure of the organization, the people, and the dynamism of the employees who have enabled this organization to successfully face various challenges over the years. Besides, operations within the organization are typically focused on intangible assets in terms of human capital and relational capital with a large number of participants and employees. The organization also enjoys fiscal autonomy and has intact structural capital.

LITERATURE REVIEW

Intellectual Capital

The concept of intellectual capital is evolving and, although it has been discussed for decades, there is neither a unified definition (Durrah et al., 2018) nor a consensus on its definition and its sub-components (Kozak, 2011). Intellectual capital can be

characterised as the amount of formalised, acquired, and used intangible assets to produce higher-value assets (Mikula, 2020). According to Stewart (2010), intellectual capital is characterised as information, data, intellectual property, or experience that can be used to build wealth. Busenan et al. (2018) and Edvinsson and Malone (1997) referred to intellectual capital as a collection of intangible assets such as competencies, capabilities, and resources that increased the performance of organizations, thus creating value. In this study, intellectual capital is operationalized as a set of intangible resources or assets and capacities owned or controlled by the organization (Albertini, 2016).

While previous studies suggest different dimensions of intellectual capital, the most common and standard classification appears to be Bontis's (1998) three dimensions of intellectual capital, comprising human, structural, and relational capital (Albertini, 2016; Asiaei et al., 2018; Durrah et al., 2018). Human capital is the most fundamental, basic resource, and assets. It encompasses employees' characteristics such as skills, knowledge, capabilities, and educational qualifications. Human capital comprises the knowledge stock of an organization, but it does not belong to the organization (Bontis et al., 2000). Although human capital leaves the company after office hours, structural capital, including any nonhuman knowledge storage or institutional knowledge within the organization remains in the office at night (Albertini, 2016). Structural capital applies to all non-human storehouses of information within the corporation. Databases, organizational maps, method manuals, methods, and routines are included (Bontis et al., 2000). The third dimension of intellectual capital is relational capital, also known as social or customer capital in some literature.

Relational capital refers to the knowledge embedded in the relationship with customers, suppliers, industry associations, or any other stakeholder that affects the sustainability of the organization (see Figure 1) (Cabrita & Bontis, 2008).

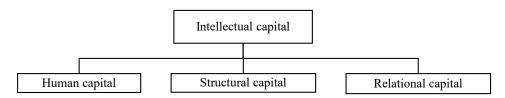


Figure 1. Elements of intellectual capital

Intellectual Capital Dimensions and Learning Organization

Intellectual capital is a crucial asset in any organization's value creation process and is a source of lasting competitive advantage. Moghadam et al. (2013) examined the relationship between intellectual capital and organizational learning and found that there were a positive relationship and significant correlation between all the intellectual capital dimensions with organizational learning. However, a study by Durrah et al. (2018) and Yusoff et al. (2019) found that not all intellectual capital dimensions were positively and significantly related to organizational learning in a hospital in France; they found that relational capital had no relationship with organizational learning. Yusof et al. (2019) offered a different perspective on the concept of intellectual capital by combining a green technology element with intellectual capital

and referring to it as Green Intellectual Capital with organizational learning. Yusof et al.'s (2019) study showed that only green relational capital had a positive relationship with organizational learning while Omar et al.'s (2019) study showed that there was a positive relationship between green human capital and green structural capital and organizational learning.

Human Capital and the Learning Organization

Busenan et al. (2018) referred to human capital as the behavior of employees, intellect, talent, skills, tacit knowledge, the workers' experience, and attitude. Workers with a high level of knowledge and skills are an important asset to their organizations (Yusoff et al., 2019). Organizations with knowledgeable workers always have a competitive advantage; they help their organizations promote a culture of learning,

knowledge creation, and innovation (Akhtar et al., 2017; Wong et al., 2017). At the same time, learning organizations provide the space and opportunity for employees to improve their ability to achieve organizational efficiency, good communication skills, self-confidence, creativity, and vision (Salehzadeh et al., 2014). Such employees are constantly striving to acquire more knowledge and are always motivated to learn and improve themselves. Sable and Dave (2016) found that workers who were constantly acquiring new skills and knowledge, learning for education and growth, and tapping on people's commitment and ability to learn were factors contributing to the learning organization. Previous studies conducted by Farsani et al. (2012) in the petrochemical industries, and Durrah et al. (2018) in a public hospital, and Moghadam et al. (2013) in the water service industry found that there was a positive relationship between human capital and the learning organization. Therefore, we hypothesize that:

 H_1 : Human capital has a positive and significant impact on the learning organization.

Structural Capital and Learning Organization

Structural capital encompasses the knowledge and intangible assets within the organization, such as governance and operations of the organization, its policies, and codes of ethics and technology systems (Ramírez et al., 2013). An organization with

strong structural capital has a supportive culture that lets people try, fail, learn, and try things again (Kunasegaran et al., 2016). Formalization, specialization, and standardization of employees' work impact employees' search for knowledge, the learning style, and the learning loops they implement at work (Sitar & Škerlavaj, 2018). Wu et al. (2012) pointed out that it was impossible to achieve a learning organization without organizational management structures. This argument, supported by studies in China and Austria. Wu et al. (2012) found that the organizational structure had a significant impact on organizational learning. In a study on the tourism industry, Kanten et al. (2015) found that both organic and mechanical organizational structures had a significant impact on the learning organization. On the other hand, a study among hospital administrative staff showed that structural capital did not have a significant impact on the learning organization (Durrah et al., 2018). An empirical study by Moghadam et al. (2013) showed that structural capital was related significantly to organizational learning. The above discussion leads to the following hypothesis:

 H_2 : Structural capital has a positive and significant influence on the learning organization.

Relational Capital and Learning Organization

In any organization, trained, educated and skilled employees are in a better position to serve or respond to the needs of customers (Chahal & Bakshi, 2015). Employees with higher levels of relational skills with the external environment are eager to acquire more knowledge. Akhtar et al. (2017) conducted a three-dimensional social-capital study comprising structural social capital, cognitive social capital, and relational social capital. These dimensions were derived from the interrelationship of individuals, organizations, and the community. They found that of the three dimensions, social capital was the strongest factor influencing the learning organization in the context of higher education institutions. In a different setting, i.e., in the Malaysian public sector organizations, Sulaiman et al. (2015) found that social capital was correlated with organizational learning. Hsu and Fang (2009) examined the effect of intellectual capital dimensions on organizational learning in regards to new product development. The results indicated that relational capital had a positive relationship with organizational learning. Relationships between organizations create a learning climate in which organizations learn and improve by competing with one another. Therefore, we hypothesize that:

 H_3 : Relational capital has a positive and significant impact on the learning organization.

According to Bontis et al. (2000), the quality of staff, organizational structure, and relationships of staff give the organization the competitive edge in a knowledge-based

economy. Quality workers develop internal and external identities and behaviors within their organization while the management helps put in place structural and regulating procedures (Palos & Stancovici, 2016). Various literature suggests that a diverse range of benefits can be derived from intellectual capital, such as improved productivity, strategic positioning, innovation, customer loyalty, efficiency, and competitive advantage (Khan & Nouman, 2019). As both the learning organization and resource-based theory aim at creating and sustaining competitive advantage, it seems logical that the learning organization and intellectual capital dimensions should be identified as strategic resources from a resource- centred perspective. Based on the three main study hypotheses (H₁, H₂, and H₃), this study postulates the proposed regression model of learning organization fits the data. Hence, we hypothesize:

 H_4 : The data support the proposed multiple linear regression model for learning organization i.e., the three dimensions of intellectual capital (human, structural, and relational) contribute significantly towards the learning organization.

METHODS

Participants and Procedures

The study samples consisted of 153 participants, comprising the Heads of Department at the Headquarters, and at Regional, and Settlement Offices covering the North, South, Central, and East of Peninsular Malaysia, involving 310

settlement offices in 10 Regional Offices and the Headquarters altogether. In this study, a random cluster sampling procedure was used to select the participants. All the managers from the selected offices were eligible to participate in the study. The unit of analysis in this study was the organization, and therefore, the Heads of Department at settlement offices and regional offices were considered the best representatives of the organization. Managers at settlement offices and regional offices were tasked with the management of estates and economic activities as well as community development, while at the same time managing employees at the settlement and regional level. Since they were in charge of the overall operations in their area, they should be aware of the extent of learning within their organizations.

The questionnaire was a translated version of the original, which was in English. Since the mother tongue of the respondents was the Malay language, this was the language used so that the respondents would not have difficulty in understanding the questions. Two independent bilingual translators translated the original instrument to the Malay language using Brislin's (1970) back-to-back-translation. The questionnaires were distributed to and collected from senior managers from various parts of Peninsular Malaysia who attended the monthly meetings and assemblies at Regional Offices. Data were also collected using an online survey to gauge responses from the samples at the headquarters. Cumulatively, the total number of samples resulted in 153 ready-to-use responses, following the elimination of incomplete data and outliers. Thus, a response rate of 84.53 percent was achieved.

Of the total respondents, 93.5 percent (n=143) were males, and 6.5 percent (n=10) were females. The fact that the majority of the respondents were males indicated a dominant masculine culture in the organization. Furthermore, the nature of work in rural and agricultural areas, specifically in estates and settlement areas, was more suited to males. Concerning work experience, 48.4 percent (n=74) of the respondents had worked in the organization for 11 to 20 years, 29.4 percent (n=45) 21 to 41 years, and 22.2 percent (n=34) less than 10 years. The average age of the respondents was 42.23 years (SD=9.06 years) and the average work experience was 18.08 years (SD=10.06 years). The average length of time in the current management role was 6.74 years (SD=6.66 years). This indicated that all respondents had extensive work experience, especially as managers.

Instrumentation

Intellectual capital was measured using an intellectual capital questionnaire developed by Bontis (1998). The questionnaire consisted of 20 items relating to human capital, 15 items on relational capital, and 12 items on structural capital. After a content expert validated the contents, it was found that six of the original questions had to be removed because they did not apply to the public sector context. The questions omitted included two items on relational capital and

four on structural capital. The two items that were omitted from the relational capital questions were: "Our market share has been continually improving over the past few years" and "Our market share is the highest in the industry." Examples of items excluded from structural capital questions were: "Our company has the lowest cost per sale of anyone in the industry" and "We have consistently increased our costs per revenue dollar." These items were eliminated because they did not represent the context of the public sector organization involved in the study; they were more relevant to business organizations. Each item was rated on a seven-point Likert-like scale ranging from 1= "strongly disagree" to 7 = "strongly agree". To check the reliability of all constructs, an internal consistency test of the Cronbach Alpha coefficient was used. The previous study reported internal reliability for each of the three constructs to be greater than .85 (Bontis, 1998). The reliability of each of the constructs was satisfactory, according to previous studies, because the Cronbach alpha values for each were substantially greater than the prescribed .70. The values ranged from .74 (human capital) to .97 (structural capital) and showed that the instrument was reliable (e.g., Bontis et al., 2000). In a separate study, the internal reliability reported in the analysis was .85 for human capital, .89 for institutional capital, and .90 for relational capital (Firer & Williams, 2003). These scores thus met the recommended threshold value of .70 for the three constructs.

The learning organization was assessed using the shorter version of the 21-item Dimensions of the Learning Organization Questionnaire (DLOQ) by Yang et al. (2004). DLOQ covers seven dimensions, viz. continuous learning, inquiry and dialogue, collaboration and team learning, a system of shared learning, empowerment, connection to the environment, and strategic leadership. A six-point scale where 1 was scored for "Almost never" and 6 for "Almost always" was used to measure the scale. Sample item: "In my organization, people are rewarded for learning". This instrument was utilized in studies by Palos and Stancovici (2016) and Lau et al. (2016). They reported that the internal reliability for seven dimensions varied between .90 and .95 (Palos & Stancovici, 2016) and the overall reliability reported in Lau et al.'s (2016) study was .93. In this study, the internal reliability was .94.

Data Analysis

The assumptions of the residuals distributed in data normality, variance homogeneity, linearity, and normality were tested for proper application of statistical analysis. It was found that all preliminary assumptions were met. Besides, the data were also checked for multicollinearity to determine that the independent variables had high correlations with the dependent variable, but not with each other. In this study, multicollinearity was assessed using the tolerance and variation inflation factor (VIF). The results indicated that the tolerance statistics ranged from 0.429 to 0.527, and the VIF statistics ranged from 1.899 to

2.331, thus showing that multicollinearity was not a potential issue in this study. To test the hypotheses of the study, Pearson Product Moment Correlation Coefficient and Multiple Linear Regression were conducted.

FINDINGS

The means (M), standard deviation (SD), and the effects of the Pearson Product Moment Correlation Coefficient analysis of the variables used in this study are presented in Table 1. The three-dimensional levels of intellectual capital yielded the following results: human capital (M=4.87; SD=0.99), relational capital (M=5.14; SD=0.93), and structural capital (M=5.12; SD=1.00); all were found to be high except for human capital. In the same vein, the level of learning organization (M=4.76; SD=0.83) was also high. Scores for six of the seven learning organization dimensions were also considered high in the range between 4.41 and 4.64, except for the moderate score for the item, empowerment (M=4.26; SD=0.85). The three levels of intellectual dimensions were categorized as follows: low (1-2.99); moderate (3-4.99); and high

(5-7) while those for learning organization level were categorized as follows: low (1-2.66); moderate (2.67-4.33); and high (4.34–6.00). Class interval width is the highest scale value minus the lowest scale value divided by the number of classes determined (Bluman, 2001).

 H_1 , H_2 and H_3 postulated that human capital, structural capital, and relational capital would have a positive and significant relationship with a learning organization. The correlation analysis revealed that all three dimensions of intellectual capital were found to be positively influenced the learning organization. According to Guildford's Rule of Thumb, structural capital (r=.742,p < .05) showed a strong relationship while relational capital (r=.640, p<.05) and human capital (r=.589, p<.05) indicated moderate relationships (Guildford, 1956). The high association between the structural capital and the learning organization indicated that the organization's structure, processes, and culture allowed the workers to learn continually. Thus, based on these findings, three hypotheses, H1, H2, and H3 were supported.

Table 1

Mean, SDs, and correlation result

Variables	Mean	SD	Y	X_1	X_2
Y Learning Organization	4.76	0.83			
X ₁ Human Capital	4.87	0.99	0.589*		
X ₂ Relational Capital	5.14	0.93	0.640*	0.667*	
X ₃ Structural Capital	5.12	1.00	0.742*	0.575*	0.674*

Notes: *Correlation is significant at the 0.05 level (2-tailed)

H₄ postulated that the data fully supported the proposed multiple linear regression model for a learning organization. Table 2 provides further details on the multiple regression analysis to testing the H₄ hypothesis. The R² value indicates that 59.5 percent of the variance in learning organization was explained by all dimensions of intellectual capital, namely human capital, structural capital, and relational capital. Further analysis showed that structural capital (β=.439, p<.05) was the strongest predictor variable, followed by relational capital (β=.150, p<.05) and human capital (β=.144, p<.05). Thus, H₄

was supported. The findings explained the predictability of intellectual capital dimensions factors on learning organization with the estimated model for learning organization as follows:

$$Y = 1.039 + .144(X_1) + .150(X_2) + .439(X_3),$$

where X_1 =human capital, X_2 =relational capital and X_3 =structural capital.

Hence, for every one-unit increase in human capital, relational capital, and structural capital, the learning organization would increase by .733.

Table 2

Multiple regression analysis

Variables	В	t	p-value
Constant	1.039	4.005	.001
Human Capital (X1)	0.144	2.432	.016*
Relational Capital (X ₂)	0.150	2.128	.035*
Structural Capital (X ₃)	0.439	7.375	.000*

Notes: R = .776; $R^2 = .603$; Adjusted $R^2 = .595$; F = 75.282; p = .000; *significant at .05 level of significance

DISCUSSION

The study aimed to examine the influence of the three dimensions of intellectual capital, namely human, structural, and relational capital on the learning organization, which in this study, was a public organization. First, the analysis found that six dimensions, *viz.* system connection, providing leadership, team learning, continuous learning, inquiry and dialogue, and the embedded system had high mean values, except for the moderate

mean value for one dimension, namely empowerment. This indicated that this public sector organization met the criteria of a learning organization. This organization had its organizational authority and financial control as in a business organization and was able to create a learning environment within the organization. As this organization has met the criteria of being a learning organization, we shall now discuss the factors that influence it as a learning organization.

The results of the study supported all the assumptions that the three dimensions were significantly related to, and had an impact on the learning organization. The results also showed that all the dimensions of intellectual capital explained more than half of the variance of the learning organization. One of the factors that contributed to this model making intuitive sense was the appropriate selection of respondents. Our respondents consisted of Managers and Heads of Department representing the unit of analysis which was the organization itself. According to Edwards et al. (2014) and Heide et al. (2018), top members of organizations who have the competence to answer questions that have to do with the strategic issues of the organizations can respond to questions meant for the organizations.

Respondents with experience in the organization and positions held are symbolic of human capital. Through such wisdom and experience, the respondents were able to provide a clear understanding of the organization's structure and culture, besides being more positive in charting the organization's learning practices and processes (Borge et al., 2018). Besides, the respondents, particularly the settlement managers, were responsible for providing information and feedback on agricultural and social activities, acting as extension agents to keep in touch with the community. Other possible reasons for such findings of the study may be explained by the selection of the organization in this study, i.e., a rural development organization. This large longstanding organization had built a strong, fundamental framework and created an environment that fostered information sharing and learning, organizational engagement, and empowerment in decision-making (Salahzadeh et al., 2014). In addition, a study by Borge et al. (2018) showed that respondents in larger organizations valued their organization as a learning organization more than smaller organizations did.

The established relationship between human capital and the learning organization indicated that the organization had employees who were competent, creative, and experienced, constantly coming up with great new ideas as its employees cooperated. Through dialogues and discussions, the management was able to foster a continuous learning culture within the organization. Despite being a public sector organization, this rural development agency had to compete with private companies in the agricultural sector. Hence, the organization employed robust recruiting strategies to employ the best candidates and, at the same time, support their employees through the continuous development of skills and training in various areas. In this study, the public service organization was perceived as having a stable organizational structure and its employees were optimistic about career development (Rasdi et al., 2012). As such, it was able to achieve a high level of quality human capital.

Formalization or standardization of the public sector organizational system makes workers uncreative and unresponsive to customers' needs (Rupčić, 2018). It does

not, however, mean that such an organization does not encourage learning. In this study, the organization prioritized customers' needs by using technology and data system development efficiently to reduce customer transaction time. The organization also helped to develop new ideas and perspectives and to put in place systems and methods to promote creativity and shared learning. According to Bunderson and Boumgarden (2010), such an organization provides a sense of ownership and responsibility. With increased organizational flexibility and decreased external intervention, employees become more appreciative of the learning organization. This demonstrates that structural organization facilitates the empowerment of collective vision.

Investigations on the relationship between the relational capital and the learning organization indicated that the public organization in this study had successfully maintained a positive valueadded service to customers by constantly meeting with them to find out their needs. As pointed out by Hsu and Fang (2009), organizations gain knowledge from the exchange and sharing of knowledge with other parties, and that knowledge has an impact on the development of new products. In the context of this study, the organization had the advantage of having broad networking of stakeholders, between settlers and their families, and interorganizational relationship with other public sector organizations, business organizations, and non-governmental organizations. In fulfilling the aspirations of various parties,

the organization took note of the demands and needs of the stakeholders and strived to accommodate them.

Overall, the proposed regression model fitted the data at a .05 level of confidence, with all the dimensions having significant contributions towards the learning organization. The findings of this study provide support for the resource-based theory which states that human, structural and relational capital are valuable resources for organizational sustainability. At the same time, these three dimensions also support the social learning theory whereby individual learning takes place in the form of social activities when employees interact with colleagues, managers, customers, suppliers, and others. Interestingly, the regression model in this study showed that structural capital had a strong influence on the learning organization. Structural capital is made up of organizational culture, management philosophies, organizational processes, systems, and information resources (Benevene & Cortini, 2010).

In this study context, the organization had a high degree of autonomy and was able to develop a learning culture, facilitate knowledge sharing of ideas, and promote innovation. The sophistication of this organization that had endured hard times such as global, economic, and internal problems made it important for the organization to maintain the organizational philosophy of manuals, procedures, and processes.

The value of such structural capital is often overlooked. In one report, for

example, one-third of the 1970 losses among *Fortune 500* companies concentrated only on the material assets of the company without examining the mechanism behind circumstances (Senge, 2006).

Implications for Practice

The study examined the impact of intellectual capital on a rural development organization and its contributions to the learning organization. Our findings suggest that the three dimensions of intellectual capital, viz. human, structural, and relational capital, have significant relationships with the learning organization, with structural capital being the most significant predictor. The organization's long establishment is reflected in its strong structural capital, with intact governance, function, and strategies that help workers achieve maximum organizational learning. By integrating the resource-based theory, intellectual capital model, and learning organization, this study adds supportive value to the existing literature on the learning organization. The result gives a new dimension to the resource-based theory by showing how human, structural, and relational capital can contribute to the learning organization.

Based on structural capital scores, organizations need to enhance the capabilities of the data system to facilitate the achievement and sharing of information within the organization. They should take the initiative to improve facilities and infrastructure to support the sharing of data and knowledge through the latest technological capabilities, particularly in the

era of the Industrial Revolution 4.0. Perhaps an online knowledge sharing and learning platform based on artificial intelligence should be set up to ensure the content is constantly updated. Furthermore, the use of social media often facilitates the exchange of information among social media users by providing an informal network for open expression. Organizations should also take advantage of the opportunity to expand customer information through social media. Qi and Chau (2016) found that social media influenced knowledge management and organizational learning, thus lending support to the underlying assumption of the social capital theory that the social network could benefit knowledge creation and knowledge sharing.

The findings in this study highlight the importance of human capital development to improve organizational learning capabilities. HRD practitioners and managers should therefore work together to enhance human capital capabilities. Organizations need to develop new recruitment methods to ensure that those hired would have a high level of knowledge, skills, and positive attitude. At the same time, policies and practices, such as good career planning, salary, incentives, and opportunities that improve workers' knowledge and skills would attract talented workers to the organization. To improve organizational learning and enhance performance, the essential infrastructure needs to be in place to support employees' networking, information sharing, individual career management initiative, and organizational socialization activities (Rasdi et al., 2011).

Limitations and Future Research

There are few drawbacks to this study. First, the study was limited to only one public sector agency related to the rural development sector, and thus the study results may not be generalized to other industries or sectors. It would be enlightening to compare learning organizations in other sectors or other industries, such as the public health sector, universities, and nongovernment organizations. Second, data from this study were obtained based on what the respondents themselves perceived of the learning organization. Apart from bias, the responses were also subjected to social desirability limitations. Future studies may want to include a 360-degree viewpoint that takes into consideration responses from others such as stakeholders and individual employees. This may provide a better picture of the factors influencing the learning organization. Third, the results showed that structural capital was the strongest factor influencing learning organization. Thus, qualitative studies are suggested to unravel the intricacies of these relationships. Moreover, future qualitative studies can be carried out to explore the process of how intellectual capital dimensions influence organizational learning. Fourth, this present study was based on data collected in a Malaysian setting. As such, the results of the study may be unique to this cultural context and may not be directly relevant to an individualistic society, such as in Western countries. Future studies can include different types of organizations in different countries for comparative

analyses. In this way, the impact of cultural influence on the learning organization can be investigated.

ACKNOWLEDGMENT

We would like to extend our sincere gratitude to the Malaysian Public Service Department (JPA) for study sponsorship and to the management as well as all respondents from respective Rural Development Agency for their participation and cooperation in the data collection process.

REFERENCES

- Akhtar, S., Awan, S. H., Ismail, K., & Naveed, S. (2017). Social capital and learning organisation: Is it worth to engage in networking? *International Journal of Learning and Change*, 9(3), 208-227. https://doi.org/10.1504/IJLC.2017.086853
- Albertini, E. (2016). An inductive typology of the interrelations between different components of intellectual capital. *Management Decision*, 54(4), 887-901. https://doi.org/10.1108/MD-09-2015-0425
- Asiaei, K., Jusoh, R., & Bontis, N. (2018). Intellectual capital and performance measurement systems in Iran. *Journal of Intellectual Capital*, 19(2), 294-320.
- Barau, A. S., & Said, I. (2016). From goodwill to good deals: FELDA land resettlement scheme and the ascendancy of the landless poor in Malaysia. *Land Use Policy*, 54, 423-431.
- Barney, J., Wright, M., & Ketchen Jr., D. J. (2001). The resource-based view of the firm: Ten years after 1991. *Journal of Management*, 27(6), 625-641. https://doi.org/10.1016/S0149-2063(01)00114-3
- Benevene, P., & Cortini, M. (2010). Interaction between structural capital and human capital in Italian NPOs: Leadership, organizational culture and human resource management. *Journal of*

- *Intellectual Capital*, 11(2), 123-139. https://doi. org/10.1108/14691931011039642
- Bhaskar, A. U., & Mishra, B. (2017). Exploring relationship between learning organizations dimensions and organizational performance. *International Journal of Emerging Markets*, 12(3), 593-609. https://doi.org/10.1108/ IJoEM-01-2016-0026
- Bluman, A. G. (2001). *Elementary statistics: A step by step approach*. McGraw-Hill.
- Bontis, N. (1998). Intellectual capital: An exploratory study that develops measures and models. *Management Decision*, 36(2), 63-76. https://doi. org/10.1108/00251749810204142
- Bontis, N., Keow, W. C. C., & Richardson, S. (2000). Intellectual capital and business performance in Malaysian industries. *Journal of Intellectual Capital*, *1*(1), 85-100. https://doi.org/10.1108/14691930010324188
- Borge, B. H., Filstad, C., Olsen, T. H., & Skogmo, P. Ø. (2018). Diverging assessments of learning organizations during reform implementation. *The Learning Organization*, 25(6), 399-409. https:// doi.org/10.1108/TLO-02-2018-0024
- Brislin, R. W. (1970). Back-translation for cross-cultural research. *Journal of Cross-Cultural Psychology*, 1(3), 185-216. https://doi.org/10.1177/135910457000100301
- Bunderson, J. S., & Boumgarden, P. (2010). Structure and learning in self-managed teams: Why "bureaucratic" teams can be better learners. *Organization Science*, 21(3), 609-624. https://doi.org/10.1287/orsc.1090.0483
- Busenan, E. F. M., Ramli, A., & Bakar, M. S. (2018). Intellectual capital and its importance to the public sector. *Journal of Global Business and Social Entrepreneurship*, 4(10), 131-138.
- Cabrita, M. d. R., & Bontis, N. (2008). Intellectual capital and business performance in the

- Portuguese banking industry. *International Journal of Technology Management*, 43(1-3), 212-237. https://doi.org/10.1504/IJTM.2008.019416
- Chahal, H., & Bakshi, P. (2015). Examining intellectual capital and competitive advantage relationship. International Journal of Bank Marketing, 33(3), 376-399. https://doi.org/10.1108/IJBM-07-2013-0069
- Durrah, O. M., Allil, K. K., & Alkhalaf, T. (2018). The intellectual capital and the learning organization. *International Journal of Public Leadership*, 14(2), 109-118. https://doi.org/10.1108/IJPL-08-2017-0031
- Economic Planning Unit. (2017). Sustainable development goals. Prime Minister's Department. https://www.epu.gov.my/en/sustainable-development-goals
- Edwards, P. K., O'Mahoney, J., & Vincent, S. (2014). Studying organizations using critical realism: A practical guide. Oxford University Press.
- Edvinsson, L., & Malone, M. (1997). *Intellectual capital*. Harper Business.
- Ekboir, J. M., Dutrénit, G., Martinez V, G., Vargas, A. T., & Vera-Cruz, A. O. (2009). Successful organizational learning in the management of agricultural research and innovation: The Mexican Produce Foundations. The Mexican Produce Foundations, International Food Policy Research Institute. http://www.ifpri.org/ sites/default/files/publications/rr162.pdf
- Farsani, J. J., Bidmeshgipour, M., Habibi, M., & Rashidi, M. M. (2012). Intellectual capital and organizational learning capability in Iranian active companies of petrochemical industry. *Procedia-Social and Behavioral Sciences*, 62, 1297-1302. https://doi.org/10.1016/j.sbspro.2012.09.222
- Firer, S., & Williams, S. M. (2003). Intellectual capital and traditional measures of corporate performance.

- Journal of Intellectual Capital, 4(3), 348-360. https://doi.org/10.1108/14691930310487806
- Guthrie, J. P. (2001). High-involvement work practices, turnover, and productivity: Evidence from New Zealand. *Academy of Management Journal*, 44(1), 180-190. https://doi.org/10.2307/3069345
- Hall, R. E., & Jones, C. I. (1999). Why do some countries produce so much more output per worker than others? *The Quarterly Journal of Economics*, 114(1), 83-116. https://doi.org/10.1162/003355399555954
- Heide, M., von Platen, S., Simonsson, C., & Falkheimer, J. (2018). Expanding the scope of strategic communication: Towards a holistic understanding of organizational complexity. *International Journal of Strategic Communication*, 12(4), 452-468. https://doi.org/10.1080/1553118X.2018.1456434
- Hsu, Y.-H., & Fang, W. (2009). Intellectual capital and new product development performance: The mediating role of organizational learning capability. *Technological Forecasting and Social Change*, 76(5), 664-677. https://doi.org/10.1016/j.techfore.2008.03.012
- Jarvie, W., & Stewart, J. (2018). Conceptualizing learning in the public sector: The importance of context. *International Journal of Public Sector Management*, 31(1), 14-30. https://doi. org.10.1108/IJPSM-08-2016-0137
- Kamukama, N., Ahiauzu, A., & Ntayi, J. M. (2011). Competitive advantage: Mediator of intellectual capital and performance. *Journal of Intellectual Capital*, 12(1), 152-164. https://doi. org/10.1108/14691931111097953
- Kanten, P., Kanten, S., & Gurlek, M. (2015). The effects of organizational structures and learning organization on job embeddedness and individual adaptive performance. *Procedia Economics and Finance*, 23, 1358-1366. https://doi.org/10.1016/ S2212-5671(15)00523-7

- Khan, A. A., & Nouman, M. (2019). Intellectual capital in practice in the public sector: Developing a conceptual framework for the 'Third Wave'. Business & Economic Review, 11(2), 1-18. http://bereview.pk/index.php/BER/article/view/297
- Kozak, M. (2011). Strategic approach to intellectual capital development in regions. *International Journal of Learning and Intellectual Capital*, 8(1), 76-93. https://doi.org/10.1504/IJLIC.2011.03736
- Kunasegaran, M., Ismail, M., Rasdi, R. M., Ismail, I. A., & Ramayah, T. (2016). Talent development environment and workplace adaptation. European Journal of Training and Development, 40(6), 370-389. https://doi.org/10.1108/EJTD-07-2015-0060
- Lau, P. Y. Y., McLean, G. N., Hsu, Y.-C., & Lien, B. Y.-H. (2016). Learning organization, organizational culture, and affective commitment in Malaysia: A person–organization fit theory. *Human Resource Development International*, 20(2), 159-179. https://doi.org/10.1080/13678868.2016.1246306
- Mamat, M. Z., Ng, B.-K., Azizan, S. A., & Chang, L. W. (2016). An attempt at implementing a holistic inclusive development model: Insights from Malaysia's land settlement scheme. *Asia Pacific Viewpoint*, 57(1), 106-120. https://doi. org/10.1111/apv.12115
- Mikula, B. (2020). Instrumental approach in human capital management: A conceptual framework. *Management*, 8(4), 267-283. https://doi.org/10.17265/2328-2185/2020.04.001
- Ministry of Agriculture and Agro-Based Industry. (2011). *National Agro-Foods Policy (2011-2020)*. Ministry of Agriculture.
- Moghadam, S. K., Zabihi, M. R., Kargaran, M., & Hakimzadeh, A. (2013). Intellectual capital and organizational learning capability. *Journal of Soft Computing and Applications*, 2013, 1-9. https:// doi.org/10.5899/2013/jsca-00011

- Rasdi, R. M, Garavan, T. N., & Ismail, M. (2012). Networking and managers' career success in the Malaysian public sector. *European Journal* of *Training and Development*, 36(2/3), 195-212. https://doi.org/10.1108/03090591211204715
- Rasdi, R. M, Ismail, M., & Garavan, T. N. (2011).
 Predicting Malaysian managers' objective and subjective career success. *The International Journal of Human Resource Management*, 22(17), 3528-3549. https://doi.org/10.1080/09585192.2011.560878
- Omar, M. K., Yusoff, Y. M., & Zaman, M. D. K. (2019). The effect of organizational learning capability as a mediating variable in the relationship between green intellectual capital and business sustainability: Evidence from the manufacturing sector. *International Journal of Academic Research in Business and Social Sciences*, 9(6), 584-599. http://dx.doi.org/10.6007/IJARBSS/v9-i6/5974
- Örtenblad, A. (2018). What does "learning organization" mean? *The Learning Organization*, 25(3), 150-158. https://doi.org/10.1108/TLO-02-2018-0016
- Palos, R., & Stancovici, V. V. (2016). Learning in organization. *The Learning Organization*, 23(1), 2-22. https://doi.org/10.1108/TLO-01-2015-0001
- Pedler, M., & Burgoyne, J. G. (2017). Is the learning organisation still alive? *The Learning Organization*, 24(2), 119-126. https://doi.org/10.1108/TLO-12-2016-0087
- Pokharel, M. P., & Choi, S. O. (2015). Exploring the relationships between the learning organization and organizational performance. *Management Research Review*, 38(2), 126-148. https://doi. org/10.1108/MRR-02-2013-0033
- Qi, C., & Chau, P. Y. (2016). An empirical study of the effect of enterprise social media usage

- on organizational learning. PACIS 2016 Proceedings, Chiayi, Taiwan. https://aisel.aisnet.org/pacis2016/330
- Ramírez, Y. (2010), Intellectual capital models in Spanish public sector. *Journal of Intellectual Capital*, 11(2), 248-264. https://doi.org/10.1108/14691931011039705
- Ramírez, Y., Tejada, A., & Gordillo, S. (2013). Recognition of intellectual capital importance in the university sector. *International Journal of Business and Social Research*, 3(4), 27-41.
- Rupčić, N. (2018). Complexities of learning organizations—addressing key methodological and content issues. *The Learning Organization*, 25(6), 443-454. https://doi.org/10.1108/TLO-09-2018-127
- Sable, M. R. G., & Dave, D. G. B. (2016). A study on factors affecting learning organization. *International Journal of Management*, 7(7), 134-143. http://www.iaeme.com/ijm/issues.asp?JType=IJM&VType=7&IType=7
- Salahzadeh, Z., Maroufi, N., Ahmadi, A., Behtash, H., Razmjoo, A., Gohari, M., & Parnianpour, M. (2014). Assessment of forward head posture in females: Observational and photogrammetry methods. *Journal of Back and Musculoskeletal Rehabilitation*, 27(2), 131-139. https://doi. org/10.3233/BMR-130426
- Salehzadeh, R., Asadi, A., Pool, J. K., Ansari, M. R., & Haroni, A. (2014). The influence of perceived organizational support on dimensions of learning organization. *The Learning Organization*, 21(3), 206-219. https://doi.org/10.1108/TLO-08-2013-0040
- Senge, P. M. (2006). *The fifth discipline: The art and practice of the learning organization*. Currency/ Doubleday.
- Sharabati, A.-A. A., Jawad, S. N., & Bontis, N. (2010). Intellectual capital and business

- performance in the pharmaceutical sector of Jordan. *Management Decision*, 48(1), 105-131. https://doi.org/10.1108/00251741011014481
- Sitar, A. S., & Škerlavaj, M. (2018). Learning-structure fit part I: Conceptualizing the relationship between organizational structure and employee learning. *The Learning Organization*, 25(5), 294-304. https://doi.org/10.1108/TLO-09-2015-0050
- Smith, K. A., Vasudevan, S. P., & Tanniru, M. R. (1996), Organizational learning and resource-based theory: An integrative model. *Journal of Organizational Change Management*, 9(6), 41-53. https://doi.org/10.1108/09534819610150512
- Stewart, T. A. (2010). *Intellectual capital: The new wealth of organization*. Currency/Doubleday.
- Sulaiman, C., Bala, U., Tijani, B. A., Waziri, S. I., & Maji, I. K. (2015). Human capital, technology, and economic growth: Evidence from Nigeria. Sage Open, 5(4), 1-10. https://doi.org/10.1177%2F2158244015615166
- Sutton, K. (2001). Agribusiness on a grand scale—FELDA's Sahabat Complex in East Malaysia. Singapore Journal of Tropical Geography, 22(1), 90-105. https://doi.org/10.1111/1467-9493.00095
- Tuggle, F. D. (2016). Gaps and progress in our knowledge of learning organizations. *The Learning Organization*, 23(6), 444-457. https://doi.org/10.1108/TLO-09-2016-0059
- Visser, M., & Van der Togt, K. (2016). Learning in public sector organizations: A theory of action approach. *Public Organization Review*, 16(2), 235-249. https://doi.org/10.1007/s11115-015-0303-5

- Watkins, K. E., & Kim, K. (2018). Current status and promising directions for research on the learning organization. *Human Resource Development Quarterly*, 29(1), 15-29. https://doi.org/10.1002/hrdq.21293
- Wong, S. C., Rasdi, R. M., Samah, B. A., & Wahat, N. W. A. (2017). Promoting protean career through employability culture and mentoring career strategies as moderator. *European Journal* of *Training and Development*, 41(3), 277-302. https://doi.org/10.1108/EJTD-08-2016-0060
- Wu, W. W., Hao, Q., Kasper, H., & Muehlbacher, J. (2012). How does organizational structure influence performance through learning and innovation in Austria and China. *Chinese Management Studies*, 6(1), 36-52. https://doi. org/10.1108/17506141211213717
- Yang, B., Watkins, K. E., & Marsick, V. J. (2004). The construct of the learning organization: Dimensions, measurement, and validation. *Human Resource Development Quarterly*, 15(1), 31-55. https://doi.org/10.1002/hrdq.1086
- Yusoff, Y. M., Omar, M. K., Zaman, M. D. K., & Samad, S. (2019). Do all elements of green intellectual capital contribute toward business sustainability? Evidence from the Malaysian context using the Partial Least Squares method. *Journal of Cleaner Production*, 234, 626-637. https://doi.org/10.1016/j.jclepro.2019.06.153



SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Interpretative Phenomenological Analysis of the Experiences of Kapampangan Flagellants – Kristos

Nestor Lambino Sibug¹, Philip Joseph David Sarmiento^{2*}, Cristina Canlas Samia², Paolo Tayag Lumanlan³ and Benita Malonzo Bonus⁴

Psychology Department, School of Arts and Sciences, Holy Angel University, Angeles City, 2009, Philippines ²Christian Living Education Department, Institute for Christian Formation and Social Integration, Holy Angel University, Angeles City, 2009, Philippines

³Commission on Higher Education Regional Office III, City of San Fernando, Pampanga, 2000, Philippines ⁴School of Education, Holy Angel University, Angeles City, 2009, Philippines

ABSTRACT

In the province of Pampanga, Philippines, Holy Week is one of the highlighted seasons of the year. Seemingly, during this time, there are a number of flagellants (called 'Kristos') who want to be crucified as a form of penitence and supplication. However, after a thorough search of published literature, the researchers found a dearth in the body of knowledge focusing on the experiences of these flagellants. Therefore, this interpretative phenomenological study sought to unearth and interpret the lived experiences of Kapampangan Kristos. Five (5) Kristos voluntarily participated in the individual face-toface interview using semi-structured questions. Findings revealed that there are three (3) superordinate themes namely: prosaic family life, spiritual drift, and looking back-moving forward reflection. Recommendation for future research undertakings to consider in-depth psychological analysis on the lived experiences of Kristos.

Keywords: Kapampangan, Kristos, lived experiences, Pamagdarame, phenomenology

ARTICLE INFO

Article history: Received: 28 April 2020 Accepted: 07 October 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.38

E-mail addresses:

nes_svd@yahoo.com (Nestor Lambino Sibug) pjsarmiento@hau.edu.ph (Philip Joseph David Sarmiento) csamia@hau.edu.ph (Cristina Canlas Samia) plumanlan@ched.gov.ph (Paolo Tayag Lumanlan) bethmbonus@gmail.com (Benita Malonzo Bonus)

* Corresponding author

INTRODUCTION

Reflecting on the passage "It is finished" coming from the Gospel of John (New American Bible Revised Edition, 2011, John 19:30) is one of the so called "Seven Last Words" of Jesus Christ while he was crucified on the cross. These words of Christ expressed that "he was able to accomplish the very role of saving humanity from the bondage of sin and death in accordance with the Scriptures. The sacrifice of Christ is unique because it completes and surpasses all other sacrifices" (*Catechism of the Catholic Church*, 1994, no. 614). Every Lenten season especially during Holy Week, the Catholic Church commemorates the Lord's passion, death, and resurrection to remind the faithful that Jesus Christ already performed the salvific role to atone the world from sin.

However, in the Philippines, every Holy Week especially in the province of Pampanga, some Kapampangan penitents locally called *magdarame* (self-flagellants) are performing flagellations so as to imitate Christ in his sufferings also known as *Pamagdarame* (self-flagellation). These unusual practices of Kapampangan penitents include carrying of crosses (mamusan krus); bleeding and whipping their backs (mamalaspas); crawling on hot pavement and dirty roads (magsalibatbat); and nailing on the cross (kristos) (Marasigan, 2015; Sarmiento et al., 2017; Tiatco & Bonifacio-Ramolete, 2008).

Since the 1980's, foreign and local scholars have started exploring the phenomenon on flagellation and crucifixion in the Philippines because they were drawn by the prevalence of the practice. Consequently, these rituals and practices performed by well-known individuals in the community become part of costly commitments to one's religion, just like the Catholic faith, thereby perpetuating them across generations (Atran & Henrich, 2010).

Local scholars from the Philippines tried to engage in the crucifixion and flagellation practices to unveil their significant meaning. Zialcita (1986) reiterated that crucifixions and flagellations had multiple meanings which were not just exclusively religious in character. Tiatco and Bonifacio-Ramolete (2008) highlighted the practice of nailing on the cross in the theatrical perspective by dealing with other factors that led to the staging of the ritual. In another article, Tiatco (2010) gave emphasis on the concept of panata as an axiom of performances which included the ritual practice of flagellation and crucifixion. Meanwhile, Francisco (2011) pointed out the embodiment of the crucifixion which led to a close and intimate way of being with Christ. Cornelio (2014) used ethnography in dealing with experiences of everyday authenticity for those who engaged in the crucifixion ritual. Lastly, Sarmiento et al. (2017) looked into the forms, reasons and preparations of the Kapampangan flagellants. On the onset, spirituality has been highlighted in the study since the majority of the participants mentioned that they prepared themselves spiritually by praying and living in solitude before they did the act.

Moreover, some foreign scholars did research on the phenomenon of flagellations and crucifixion rituals. Barker (1998) conducted a longitudinal study on the passion rituals in the Philippines and he had observed that there was a lot of media channels who portrayed these rituals. Schneider (2009) examined the experience of enduring pain because there was a

manifestation of trance like state among those who were being crucified. Houser and Zamponi (2011) discussed how pain became a very significant element of cultural manifestations of religious faith especially in the ritual practice of crucifixion and flagellation in the Cutud, San Fernando. Meanwhile, Bräunlein (2009) paid attention to women who were being crucified in Kapitangan in the province of Bulacan. These women were members of a faithhealing movement which drew more people to believe in their healing power. From the socio-anthropological point of view, Bräunlein (2012) did a hermeneutical interpretation of those who performed the passion rituals. In another study, Bautista and Bräunlein (2014), presented an ethnographic study of engaging in the passion rituals but not focused on the Kristos or flagellants rather on the act of witnessing by the participant observer researchers. Bautista (2017) explained that the act of nailing was a form of entrusted agency between the Kristo and the ritual associates who facilitated the crucifixion possible. Lastly, another article of Bautista (2018) explored the clerical and public attitudes towards passion rituals in the Philippines.

Among the highlights of the pamagdarame in the province of Pampanga especially in the community of Cutud, City of San Fernando and of Pampang, Angeles City is the crucifixion of Kristos every Good Friday. This undertaking makes the province well known not just locally but even internationally which draws tourists coming from various places.

Kristos- flagellants who are nailed on the cross and portraying the role of Jesus Christ during Senakulo (Passion plays). A kristo is the lead actor performing the role of Jesus and other devotees in the whole community regard him as the ultimate portrayal of sacrifice and faith (Tiatco & Bonifacio-Ramolete, 2008). During the performance of crucifixion, a flagellant may undergo the internalization of being like Christ to perform the character of Jesus depicted in the passion play. Thus, flagellants could potentially have a "redemptive effect on the viewer in the form of a 'second Christ'" (Kreuder, 2008, p. 181). Peterson (2007) also affirmed this observation regarding the performance of being a Kristo. He explained that the Philippines was famous around the world for the number of devout Christians who flagellated and the offering of their bodies for literal crucifixion.

Brewer (2004, p. 71) pointed out that the practice of flagellation "was preached as the only way to salvation." She further explained that flagellation had survived as a mainstream religious practice in southern France, Italy, Spain and the Philippines. She observed that in the early seventeenth century the practice of *disiplina* or flagellation in the Philippines, were common among Spanish men during Lent, "leapt across the cultural divide to be adopted by indigenous men" (Brewer, 2004, p. 71).

Performing as *Kristo* is adhered towards a ritual. As mentioned by O'Murchu (2015, p. 563), "spirituality tends to distinguish ritual from liturgy or sacrament, claiming that the former prevailed for thousands

of years long before formal religion ever evolved." Furthermore, he claimed that all people are endowed with the capacity for ritual making, and need to exercise this endowment for their spiritual growth and development. Though these claims are exclusive to the official liturgy of the Church, performing as *Kristo*, flagellants may take it as a form of ritual to profess spirituality.

On the other hand, Moriones Festival in Marinduque, Philippines has a passion play depicting Christ as well. Peterson (2007) interviewed Allen Madrigal, a native of Marinduque but worked in Manila, who performed as an actor portraying the character of Christ. Madrigal mentioned that his sacrifices to portray the character of Christ in the passion play was a sacrifice. The play was done so that others realized how Jesus experienced self-sacrifice to redeem the humankind from the state of sin.

In Filipino spirituality, being a Kristo is a manifestation of the damay concept. Beltran (1987, p. 247) explained damay as the subjective relationship of the Filipino to events implies the "understanding of being-in-relation" to general life events. Damay is not a merely passive experience but is closely related to the Filipino trait of malasakit which is the concern for the other. Beltran (1987, p. 247) further elaborated that "malasakit is the concern for another that proves itself in action, no matter what price one has to pay or what pain one must suffer." Hence, it can be said that to accept the truth of Jesus meant sharing his fate, even to the point of death. Beltran (1987) explained that

corporal mortification was foreign to the Filipinos previously but it became prevalent when it was introduced by the Spaniards during their more than three-hundred-year colonization of the Philippine Islands from 1565 to 1898 and it became prevalent when it was taken up by popular piety especially when it was connected to one's *damay*, sympathy with or suffering with Jesus.

Moreover, flagellation can also be considered as a form of bodily expression of faith. De Mesa and Cacho (2012a) claimed that many Filipinos expressed their love for God through bodily gestures like walking on one's knees, walking bare foot during a procession amongst various other actions. Such bodily gestures for Filipinos give much importance to body language such as embrace, hug, holding hand. Other gestures are common expressions of affection in their relationships. Indeed, the body expresses deeper meanings when words limit human's capacity to communicate because what persons may deny in words, the body may truthfully manifest.

Additionally, Jocano (2001) also had an observation regarding the concept of damay. Jocano had observed that damay reflected three components such as dama (feeling), kahulugan (meaning attached to events) and habag (sympathy for people in need). In connection with being a Kristo, the performer may take damay as one of the reasons in doing panata. Tiatco and Bonifacio-Ramolete (2008, p. 59) cited panata as "a popular expression of faith and piety (a religious vow whereby the devotee promises to do a sacrifice for his faith)."

It can be observed that existing local and foreign literatures on *pamagdarame* and the practice of crucifixion in the Philippines are more focused on the spiritual, anthropological, and sociological dimensions of the ritual practice especially those who are subjecting themselves in crucifixion rituals. Though these literatures provide in-depth analysis in understanding the practice, the psychological dimension of *pamagdarame* is not that well explored. There is only one study (Schneider, 2009) which dealt with flagellation and crucifixion on the psychological point of view.

Hence, this research is an attempt to contribute to the ongoing discussions on flagellation and crucifixion rituals by revisiting the lived experiences of Kapampangan *Kristos*.

METHODS

Research Design

The researchers employed an interpretative phenomenological method. This design is appropriate for the study since the researchers aim to explore and interpret the lived experiences of Kapampangan flagellants regarding their spirituality and religious beliefs, and practices.

Participants

The participants of this study were five (5) men who are called "Kristos." These men are usually taking part in the re-enactment of the crucifixion every good Friday in Pampanga, particularly in the villages of *Cutud*, City of San Fernando and *Pampang*, Angeles City in the Philippines. The researchers used purposive sampling technique which included a set of criteria in the selection of participants. The demographic profile of the participants is shown in Table 1.

Data Collection

The participants of this study were contacted to inquire their interest in participation. They were also briefed about the nature of the research of the study. All interviews were recorded using a digital voice recorder with the permission of the participants. Both the researchers and the informants used the *Kapampangan* language - their mother-tongue language - in the conduct of interview. Then, the researchers transcribed

Table 1
Demographic profile of the participants

Participant	Age	Civil status	Occupation	Educational attainment	# of children	# of years of doing Panata
1	55	Married	Sign painter	HS undergraduate	4	29
2	60	Married	Construction worker	Elementary graduate	4	25
3	52	Married	Three-wheeler driver	Elementary graduate	12	18
4	50	Married	Three-wheeler driver	Elementary graduate	4	20
5	44	Married	Laborer	HS undergraduate	4	16
Mean (SD)	52. 20 (5.93)					21.6 (5.32)

the interview data to English, which was their second language. To ensure the accuracy of the transcriptions, the researchers listened to the recorded interviews while reading the transcriptions and removed all discrepancies.

Participants of this study were asked to answer a short demographic questionnaire for descriptive purposes only. After answering the questionnaire, a one-on-one interview followed. The interview was both structured and unstructured so that the researcher could ask questions along the way to make sure the participants would understand what they were saying. The researchers asked the participants the fundamental question of: "How do you describe your experience as Kristos?"

Data Analysis

The researchers used the Interpretative Phenomenological Analysis (IPA), described by Smith et al. (2009), in order to analyse interview data. This analysis involved the following steps: (1) reading and re-reading, (2) initial noting, (3) developing emergent themes, (4) searching for connections across emergent themes, (5) moving to the next case, (6) looking for pattern across cases. Finally, in the discussion section the researchers engaged in dialogue with the existing literature by looking at how existing studies clarified the present findings.

To ensure the validity of the interpretations, the researchers employed internal auditors who were well versed with qualitative research, including IPA. These auditors were coming from the field of psychology, sociology, and theology.

They read the complete report and gave their comments on how the write-up can be improved and whether the interpretative analysis remained true to the lived experiences of the participants.

Ethical Considerations

The technical and ethical approval of this research came from the Ethics Review Board of a private university in the Philippines. After getting the approval, the researchers personally approached the participants and established rapport with them. Then, the researchers explained the nature of the study to the participants. Furthermore, the participants' rights (in terms of research undertakings) were explicitly explained. A process consent (counterpart of the informed consent for qualitative research) was secured from each participant. Lastly, all gathered information were kept with confidentiality and used for research purposes only.

RESULTS

To meet the objective of the study, an interpretative phenomenological analysis was conducted. The following superordinate themes and subthemes were explored and uncovered as presented in Table 2. These themes were derived from the participants' lived experiences as interpreted in various facets such as sociological, theological, philosophical, and even psychological perspectives.

Prosaic Family Life

The first superordinate theme that emerged from the interviews conducted with the

Table 2
Themes on the lived experiences of Kristos

Superordinate themes	Subthemes		
Prosaic family life	☐ Personal and Social affairs		
	☐ Domestic and family affairs		
Spiritual drift	☐ Interpersonal		
	☐ Intrapersonal		
	☐ Transpersonal		
Looking back-moving forward	☐ Giving-up and letting go		
	☐ Being hopeful		

flagellant-*Kristos* is "Prosaic Family Life" which includes the day-to-day activities of the participants as persons and as family men. It also explains the social life of the *Kristos* when they are not engaged in the *pamagdarame*.

Personal and Social Affairs. This subtheme describes the personal and social affairs of the Kristos especially during the ordinary days. They do the ordinary activities like working to earn a living and to provide the needs of their families. Most of them are engaged in blue collar job such as working as three-wheeler drivers, farmers, construction workers and helpers. It can be said that their life revolves around work and interaction with others. As mentioned by Participant 1 (Personal communication, January 26, 2017) that "Kanita pung bayu ku papaku ing obra ku agyang makananu kasakit agyang makananu la pa kakatas ding building ukyatan kula ban mikaobra. Sign painter ku. Magobra ku, ing bie balamu linabas ya mu kilub ning patingapun" [Before I engaged in the crucifixion rite, my work even if it was difficult and the buildings were high, I became a sign painter. I work and my life seems to pass for a day].

Part of the *Kristo's* life is to experience social activities. Ordinarily, from time to time, they engaged in recreational activities such as occasional drinking and dancing. These activities are means to relieve themselves from stress and anxieties of life. Moreover, they do this not to be intoxicated but as means for *pakikisama* (getting along with others) being active members of the community. Participant 2 (Personal communication, January 26, 2017) said that "Minsan miminum ku naman. Makiabe ku keng terakan" [I sometimes drink beer. I also join in dance parties].

Domestic and Family Affairs. In the Philippines, the family gives the basic sense of belonging, stability and security. This means that Filipinos try to consider their families in any anything that they do for their welfare. Consequently, all the participants are family men who are fathers to their children and husbands to their wives. It can be said the family plays a significant role in their practice of being a *Kristo*. All of them offer their painful sacrifice of being a *Kristo* for their families. As an observation, they tend to give their entire life for the family because they want their family to

remain intact despite of the many daily conflicts and difficulties of life. Participant 3 (Personal communication, January 28, 2017) mentioned that his children are well because he offered his sacrifice for them as he cited that "Okay noman pu deng anak ku. Eno man pu magkasakit uling yang pagpanata kung talaga" [My children are okay. They are not getting sick because I offer them during my sacrifice].

Another aspect of domestic and family affair is the role of the Kristos in instilling discipline especially to their children. In return, the family members of the Kristos would always support the cause of their father's panata by being good in their behaviors and attitude to become role models to others in their community. Participant 2 (Personal communication, January 26, 2017) articulated that "Ing asawa ku pu neng minsan emu aiwasan, itang mipamakibat kayu lalu na kareng anak mi kanita ating suwail. Syempre pilit kung palako kareng anak ku ing sugal" [My wife and I sometimes argue because of my stubborn children. I also ask my children to refrain from engaging in gambling].

Spiritual Drift

The second superordinate theme is spiritual drift. It is the spiritual movement of the flagellant-*Kristos* from the ordinary life gradually shifting to their preparation of engaging in the spiritual and religious practices (penance and sacrifices) as part of the commitment and dedication to their promise or "panata" during Holy Week.

Interpersonal. It describes the way the *Kristos* deal with others especially those who do not understand the spiritual undertakings they experience. *Kristos* recognize the irreplaceable sacrificial status of Christ, yet undertake part of the sacrifice for their loved ones. Consequently, these *Kristos* are self-professed Catholics, yet they feel discriminated by the local church as the ritual of flagellation, including the role of being a *Kristo*, is rejected as part of the official worship and liturgy. Participant 2 (Personal communication, January 26, 2017) explained that

Eku neman pu gagayahan i Kristo uling tutuparan ke mu itang pengaku kaya, agyang ditak mu pu king delanan na adama ku anti mo pu itang keng gamat pepapaku ya, aku man delanan ku. Inya pu yang adama ku na masakit pung talaga ing papaku. Inya eku naman pu atukyan ing babawal da kekami [I do not replicate Christ because I only fulfill my promise to him that even just a little of what he went through I could also experience it such as the crucifixion of his hands. I myself also experienced that. I already felt the pain of being crucified. I could not follow them for what they refrained us to do].

Intrapersonal. This subtheme describes the spiritual drift of the flagellants as they make time to pray and discern in preparation for their crucifixion. This experience reveals the personal rituals being done by *Kristos*

specifically their prayer and solitude. They move away from people in order to enter into the depth of their being. The practice of prayer and solitude are not only being done during the Holy Week by Kristos but every day of their lives. Seemingly, they do not often go to church but they have more personal time to pray every day so as to strengthen their relationship to God. Participant 1 (Personal communication, January 26, 2017) clarified that "Pero mostly pu agyang Maleldo atin mu rin time keng pisamban. Pero halus keraklan keng tahimik a lugal ka rin ku mangadi. E madalas sisimba pero ing pamangadi aldoaldo" [I attend masses. But mostly even if it is Holy Week, I have time for the Church. Oftentimes, I go to a quiet place to pray. I do not often go to mass but I pray every day].

Transpersonal. This subtheme highlights the experience of Kristos having spiritual communion with God. Through their pamagdarame, they are able to reach a certain peak of their spirituality and religiosity that makes them experience fulfillment within the realm of their being. They claim that they enter the transcendental state of consciousness especially when they are crucified on the cross. They feel a sense fulfillment because they were able to perform their promise to God in offering themselves as Kristos in enacting the passion and death of Christ. This is the experience of Participant 5 (Personal communication, January 28, 2017) who stated that

Patse makapaku naku king krus kasi ing panlalawe ku karing tau malati na lamu. Balamu ing kakung espiritu panandalian mako at ing espiritu ning keng babo (Diyos) yang lungub kaku. Kung lalawen mu la deng gamat areni potang atiu naka king krus, balamu ala man. Mayan ku pakiramdam [When I am already crucified on the cross, I look at people as just small. Seemingly my spirit leaves me and the spirit of God enters my being. When you look at my hands at the cross, it seems nothing happens. I feel light].

Looking Back - Moving Forward

The third superordinate theme is looking back – moving forward. It is the experience of the flagellant-*Kristos* to move forward in clinging to their promise of engaging in crucifixion as much as they can up to the point of relinquishing this promise to those who are willing to continue the *panata*. It is a concept giving and receiving in relation to the *panata* that they ought to perpetuate the practice of *pamagdarame*.

Giving-up and Letting Go. It is the willingness of the Kristos to surrender everything to God as they fulfil their panata. Giving up means a total surrender and reliance upon the providence of God that they will never be forgotten. Letting go means leaving ones comfort to embrace the pain and suffering of their pamagdarame in response to the call of self-sacrifice. They give-up and let go of things as way of showing their gratitude to God. Participant 4 (Personal communication, January 27,

2017) claimed that "Potang lulub ku king simbahan, mangadi ku sabyan ku, sopan yu ku pu O Dios ko papaku naku na naman pu" [When I enter the church, I pray and I say to Him, help me O God, I will be crucified again].

Participant 2 (Personal communication, January 26, 2017) articulated that he attempted to stop the crucifixion of himself, but a voice from within called him to continue the crucifixion. He said

Hanggang agyu ku pa. Kasi pu sibuknan kuna sinabi kun a kaya (Ginu) angga naku ngeni oneng pung potang datang na ing Maleldo balamu atin mamaus na sisitsit kanaku na papaku ku pa. Anya kinai ku namu pu na hanggat mabie ku nung agyu ku pa papaku ku pa [As much as I can. Before I already tried to say to God that I would already stop but every time Holy Week was fast approaching, seemingly a voice would tell me that I should be crucified. That is why I say to myself that as long as I am alive. I will let myself be crucified].

Being Hopeful. Kristos also mentioned that their hope would be individuals who can continue the tradition. They claim that they will never stop doing their panata unless someone continues their practice. They see the value of pamagdarame because they experience hope in the midst of suffering, allowing them to endure the process. Participant 1 (Personal communication, January 26, 2017) said that "Kung sakali pu

nung mika kapalit ku mu pu. Nung atin nang manalili kanaku pwedi naku rin tuknang" [Actually, if there is only someone willing to replace me. I am willing to stop already].

DISCUSSIONS

The main superordinate themes of Kapampangan flagellant-Kristos such as prosaic family life, spiritual drift and looking back-moving forward describe the participants' lived experiences of ordinary individuals as the roles of skilled workers and responsible family men.

These superordinate themes represent a cycle of spiritual journey of certain events such as family concerns and personal experiences. These events captivated the Kristos to enter a phase of spiritual drift that would remind them to look back and move forward as a sense of gratitude to God as a process of living and winning in a constant struggle of life. The experience of Kristos is a manifestation of kagandahang loob ng Dios (goodness of God) that made them realize God's pagpapadama (revelation) (De Mesa & Cacho, 2012a). This is the reason why they enter into panata. Flagellants engage in spiritual preparations before they perform in pamagdarame (Sarmiento et al., 2017).

However, their promise or *panata* bring them to a gradual spiritual drift especially during Holy Week to undertake part of the sufferings of Christ. *Kristos* enter into the concept of *damay* (Jocano, 2001) as they engage into *pamagdarame*. Namely, they have *dama* as signifying Christ's sacrifice, *kahulugan* in what they do and *habag* for

their loved ones especially those to whom they dedicate their sacrifice. It is their personal conviction to continue their *panata*.

These *Kristos* know that being crucified on the cross is a fulfilment of their *panata* since God answered their prayers (i.e. healing of loved ones). The experiences of *Kristos* conform to the concept of *damay* (Beltran, 1987) which is being in relation to others leading to *malasakit*.

As compared to other forms of flagellation, being a *Kristo* would entail a longer engagement as shown by the findings. Only few flagellants engaged in crucifixion (Sarmiento et al., 2017). These flagellants may probably consider crucifixion as part of the process of ritual making which leads them to spiritual growth (O'Murchu, 2015).

The sacrifices of Kristos in professing their panata or vow highlights "a showing of a doing" (Schechter, 1988, p. 105 as cited in Bautista, 2017). For the Kristos, this is their way of expressing their desire to express their spirituality. In the Filipino context, spirituality is anchored with the concept of pangangatawan as discipleship (De Mesa & Cacho, 2012b). Pangangatawan as discipleship means that "those who follow Jesus represents in their bodies or personhood his spirit today" (De Mesa & Cacho, 2012b, p. 80). Kristos express their embodied selves through crucifixion to signify their desire to follow Jesus as his disciples even though other may take it differently.

Consequently, the CBCP Vice President and former Auxiliary Bishop of the Archdiocese of San Fernando, Pampanga, made a counterargument on the practice of flagellation and crucifixion (Sebastian, 2015b). He said that Catholics should focus more on carrying out the faith concretely by doing corporal works of mercy instead of doing "ritualistic penitential acts" every Holy Week. The bishop argued that they were reintroducing the corporal works of mercy which could be found in the Gospel of Matthew (*New American Bible Revised Edition*, 2011, Matthew 25:35-40) instead of doing "mortification of the flesh" like what the crucifixion and flagellation.

Another member of the Catholic Bishops' Conference of the Philippines (CBCP) who is the Auxiliary Bishop of Manila and Chairman of National Secretariat for Social Action, reminded the Catholic faithful that "the Church frowns upon folk practices like flagellation, as well as the staged crucifixions in Pampanga and Bulacan on Good Friday each year" (Sebastian, 2015a, para. 2). He also pointed that flagellation and crucifixion "should not be used especially as a way to boost tourism, trivializing and commodifying Lent in the process" (Sebastian, 2015a, para. 3). He stressed that the Lenten season was all about contrition, conversion, and charity.

In the Archdiocese of San Fernando, the ecclesial territory where the village of Cutud, City of San Fernando belongs, a circular letter of the Archbishop Emeritus sometime in the 1990s was issued to regulate the singing of the *pasyon* (passion narrative) on Holy Wednesday which was usually being done until Good Friday. The Archbishop Emeritus asked the people that they should

focus themselves with the celebration of the paschal triduum from Holy Thursday to Easter Sunday rather than engaging with other non-liturgical activities such as the flagellations and crucifixions. However, most of the flagellants and Kristos did not stop doing their vow even if the singing of the passion narrative was regulated up to this day. This is a clear manifestation that there is a nuance in terms of the Catholic Church hierarchy's pronouncements and that of the people's practice. Rituals, like crucifixion in relation to pain, bring people to think that these "are embedded in often conflicting system of meaning-making between folk and official Catholicism" (Bautista, 2011, p. 156).

Despite the opposition of the institutional Church on the practice of crucifixion, *Kristos* remain steadfast with their conviction that what they do is an authentic expression of faith. The institutional Church should also find ways and means on how they could reach out to these people. There should be a more accommodating and tolerating attitude and actions on the passion rituals (Bautista, 2018). Sensitivity comes with the understanding of inculturation that passion rituals like crucifixion showcase the interconnection of local customs and traditions into a positive engagement with these expressions of faith (Bautista, 2018).

It is also observable that most of the *Kristos* do not experience a sense of belongingness with the Church. Though it may not be accepted as an official form of devotion in the church, everyone is encouraged to give the utmost respect to one's expression of faith. As articulated by De Mesa and Cacho (2012a, p. 113) that

We should be careful in judging one another as if there is only one correct way of expressing our love for God. If Filipino religiosity keep faith alive and truly felt, who are we to claim that its expressions are to be considered superstitious and immature?

On the part of the Philippine government, the Department of Health (DOH) reminded the flagellants during Holy Week against the risk of being affected by tetanus caused by flagellation and crucifixion (CNN Philippines Staff, 2017). Even though flagellants want to express their religious devotion, it may even lead them to harmful effects of tetanus such as muscle spasm and lockjaw. Flagellants are reminded to maintain cleanliness by washing their wounds with soap and water.

Most of the participants also mentioned the "seasonal concern" of the government and Church to them. They felt that the government and Church would only look after them during the Holy Week but afterwards there would be no engagements during the days outside Holy Week. It is a considerable issue as these people desire attention and care from the government and Church. The government and Church currently lack sufficient long—term programs and activities that will make the flagellants feel that they truly belong. For the Church, a program to engage them in the parish and community affairs such as prayer

meetings, livelihood activities, catechetical and formation activities will be welcoming experiences to the flagellants. On the one hand, the government can look into their livelihood and not just to become objects of tourism promotion especially during the Holy Week.

Furthermore, the community in Cutud and Pampang are also engaged in the crucifixion rite where they support and approve the event of crucifixion in their place. The community respects the devotion of the flagellants especially the Kristos. People in the community take part in different roles such as in the preparation of the place of crucifixion, materials to be used and co-actor in the theatrical Passion play. But most importantly, the mere presence of the people during the crucifixion is a strong expression of support and approval. As explained by Bautista (2017) that during the crucifixion of Kristos, there may have been an anthropological turn to effect as the Kristos benefit from the said practice as well as the community.

In addition, their *panata* (vow) reflects their daily positive disposition towards the self, others and God. *Kristos* are being reminded by their *panata* to be adept with themselves especially with their motivations of engaging in the crucifixion rite. Their painful sacrifice of being crucified on the cross reflects their desire to offer such for others especially to their families and friends. Lastly, *Kristos'* crucifixion is a time to engage in offering their sacrificial pain as a form of devotion as they commune with God.

The crucifixion practice in Pampanga needs to be understood as well from the psychological perspective though it can be observed that the superordinate themes on prosaic family life, spiritual drift, and looking back-moving forward are affirming the previous literature findings. The psychological dimension of *pamagdarame* derived from themes that emerged from the *Kristos* presents three possible views for the phenomenological analysis that involves pain, optimal experience, and human existentialism.

The first view on the psychological dimension underscores the reality of pain being experienced by flagellants. The superordinate themes from the IPA are grounded on the psychological attachment of the Kristos with the sacred because they had experienced a strong sense of awe through pain for glorious consummation. Kristos can turn their negative affective state over one's control, intensity, and duration of pain "into an equally potent but positive affective state" (Schneider, 2009, p. 288). With each addition of pain by being nailed on the cross, the participants believe they have to be tied and nailed for them to be free. This phenomenon illustrates the concept of sadomasochism which involves an unbalanced relationship established through the infliction of pain. The vital component of this concept is not merely the presence of pain but rather the knowledge that someone has complete control over the other. Like drunkenness and other forms of vices, participants' deep longing for habitual pain especially being crucified, is a

way to forget themselves and focus on their relationship with the Divine. This can be another angle of understanding why *Kristos* continue the crucifixion practice which even the Church cannot stop. Pain is an essential dimension of existence, especially for Filipinos. *Kristos* also experience pain in ordinary and extra-ordinary life situations and these experiences turn out as positive. In the Filipino psyche, they will never allow pain to dampen their attitude towards life and eventually find pleasure.

Meanwhile, the second view on the psychological dimension is focused on the optimal experience of flagellants especially *Kristos*. In Burger (2015), optimal experience makes people being caught in a natural, almost effortless movement or flow of being so involved in what they do. Whenever *Kristos* are nailed on the cross, they also encounter optimal experience because they are being taken over by the activity. There are eight components of optimal experience to wit;

1) Activity is challenging and requires skill, 2) One's attention is being absorbed by the activity, 3) the activity has clear goals, 4) There is clear feedback, 5) One can concentrate on the task at hand, 6) One achieves a sense of personal control, 7) One losses self-consciousness, and 8) One losses a sense of time (Burger, 2015, p. 293).

This optimal experience of *Kristos* explains the reality of spiritual drift that they

encounter every time they are nailed on the cross. Most of the components of optimal experience, if not all, can be observed during the crucifixion rites. At the end of the optimal experience of *Kristos* being nailed on the cross, they feel a sense of happiness and pleasure because they were able to perform once more their *panata* or promise.

Finally, the third view on the psychological dimension of Kristos is geared towards the humanistic existentialist approach. As cited in Feist et al. (2018), human existentialist theorists Abraham Maslow, Carl Rogers, and Rollo May describe the humanistic-existential perspective when people strive to have meaningful lives, aiming for psychological well-being and growth. The three major themes on prosaic family, spiritual drift, and looking backmoving forward illustrate the existential reality of Kristos. They find meaning and purpose in their practice of being crucified. Their existentialist personalities are highlighted by their ordinary life and even during the performance of crucifixion. These experiences bring about the desire of Kristos to continue what they do and have the yearning to pass it on to the next generation especially among their kin. In that manner, the practice of crucifixion is perpetuated and the sense of fulfilment of Kristos is achieved.

CONCLUSION

Based on the findings of the study, the lived experiences of the flagellant-*Kristos* revolve around three superordinate themes such as *prosaic family life* (personal and social

affairs, domestic and family affairs), spiritual drift (intrapersonal, interpersonal and transpersonal) and looking-back -moving forward (giving up and letting go, being hopeful). Prosaic family life highlights the familial and social involvement of Kristos when they are not performing the crucifixion ritual. Spiritual drift illustrates the process of transition that Kristos experience from ordinary life to spiritual preparation as an essential element of the crucifixion ritual for the fulfilment of their *panata*. And, looking back – moving forward provides the avenue for Kristos to continue their panata and to relinquish their desire to find persons who will perpetuate the crucifixion ritual as a sign of commitment.

Meanwhile, the study is limited only to a very few *Kristos* who indulge in these practices. Their experiences became the bases of the researchers for interpretation. Future research undertakings can also focus on the psychological perspective of the passion rituals especially the experiences of *Kristos* since there were only few studies available.

ACKNOWLEDGMENTS

The authors would like to express their sincerest gratitude to the *Kristos* participants for their valuable insights and sharing in the conduct of the study.

REFERENCES

Atran, S., & Henrich, J. (2010). The evolution of religion: How cognitive by-products, adaptive learning heuristics, ritual displays, and group

- competition generate deep commitments to prosocial religions. *Biological Theory*, 5(1), 18-30. https://doi.org/10.1162/BIOT_a_00018
- Barker, N. (1998). The revival of ritual self-flagellation and the birth of crucifixion in lowland Christian Philippines (Discussion paper, 63, 1-36). Nagoya University, Japan.
- Bautista, J. (2011). The bearable lightness of pain: Crucifying oneself in Pampanga. In A. Dańczak & N. Lazenby (Eds.), *Pain: Management,* expression and interpretation (pp. 151-159). Interdisciplinary Press.
- Bautista, J. (2017). Hesukristo superstar: Entrusted agency and passion rituals in the Roman Catholic Philippines. *The Australian Journal of Anthropology, 28*, 152-164. https://doi.org/10.1111/taja.12231
- Bautista, J. (2018). On the anthropology and theology of Roman Catholic rituals in the Philippines. *International Journal of Asian Christianity, 1*(1), 143-156. https://doi.org/10.1163/25424246-00101009
- Bautista, J., & Bräunlein, P. (2014). Ethnography as an act of witnessing: Doing fieldwork on passion rituals in the Philippines. *Philippine Studies: Historical and Ethnographic Viewpoints*, 62(3-4), 501-528. https://doi.org/10.1353/phs.2014.0027
- Bräunlein, P. (2009). Negotiating charisma: The social dimension of Philippine crucifixion rituals. *Asian Journal of Social Science, 37*(6), 892-917. https://doi.org/10.1163/15684840 9X12526657425262
- Bräunlein, P. (2012). Negotiation charisma: The social dimension of Philippine crucifixion rituals. In T. Reuter & A. Horstmann (Eds.), Faith in the future: Understanding the revitalization of religions and cultural traditions in Asia (pp. 63-90). Brill.

- Beltran, B. (1987). *The Christology of the inarticulate:*An inquiry into the Filipino understanding of
 Jesus the Christ. Divine Word Publications.
- Brewer, C. (2004). Shamanism, Catholicism and gender relations in colonial Philippines: 1521–1685. Ashgate Publishing.
- Burger, J. M. (2015). *Personality: An introduction* (9th ed.). Cengage Learning Asia Pte Limited.
- Catechism of the Catholic Church. (1994). Word & Life Publications.
- CNN Philippines Staff. (2017, April 10). DOH reminds Holy Week flagellants and penitents on tetanus risk. *CNN Philippines News*. http://cnnphilippines.com/news/2017/04/10/dohreminds-flagellants-penitents-tetanus.html
- Cornelio, J. (2014). Popular religion and the turn to everyday authenticity: Reflections on the contemporary study of Philippine Catholicism. *Philippine Studies: Historical and Ethnographic Viewpoints*, 62(3-4), 471-500. https://doi.org/10.1353/phs.2014.0024
- De Mesa, J., & Cacho, R. (2012a). *In love with God:*Doing theology for students. St. Scholastica's College.
- De Mesa, J., & Cacho, R. (2012b). When beauty beckons: Theological ethics of Filipino aesthetics. St. Scholastica's College.
- Feist, J, Feist, G. J., & Roberts, T.-A. (2018). *Theories of personality* (9th ed.). McGraw-Hill Education.
- Francisco, J. M. C. (2011). The Philippines. In P. C. Phan (Ed.), *Christianities in Asia* (pp. 97-128). Wiley-Blackwell.
- Houser, D., & Zamponi, G. (2011). Perceiving pain: Health, culture and ritual. Antrocom Online Journal of Anthropology, 7(2), 191-196. https:// doi.org/10.31826/9781463235413-017
- Jocano, F. (2001). Filipino worldview: Ethnography of local knowledge. PUNLAD Research House.

- Kreuder, F. (2008). Flagellation of the Son of God and divine flagellation: Flagellator ceremonies and flagellation scenes in the Medieval passion play. *Theatre Research International*, *33*(2), 176-90. https://doi.org/10.1017/S0307883308003672
- Marasigan, M. (2015, April 3). LOOK: Flagellants perform Holy Week rituals in Pampanga. *Pinoy Adventurista*. http://www.pinoyadventurista.com/2015/04/flagellants-perform-ritual-on-holyweek.html
- New American Bible Revised Edition. (2011). St. Pauls Study Edition.
- O'Murchu, D. (2015). Spirituality: Daring new horizons/Espiritualidad: Aventurándonos hacia nuevos horizontes/Espiritualidade: Ousar Novos Horizontes. *Horizonte*, 13(37), 550-568. https://doi.org/10.5752/P.2175-5841.2015v13n37p550
- Peterson, W. (2007). 'Holy Week in the 'Heart of the Philippines': Spirituality, theatre, and community in Marinduque's Moriones festival. *Asian Theatre Journal*, 24(2), 309-337. https://doi.org/10.1353/atj.2007.0039
- Sarmiento, P. J., Sibug, N., Lumanlan, P., Bonus, B., & Samia, C. (2017). Pamagdarame in the Philippines: Forms, reasons, and preparations of Kapampangan Flagellants. *The International Journal of Religion and Spirituality in Society,* 7(3), 15-24. https://doi.org/10.18848/2154-8633/CGP/v07i03/15-24
- Sebastian, R. A. (2015a, February 9). Lent about following Jesus, not torture—bishop. CBCP News. http://www.cbcpnews.com/cbcpnews/?p=51330
- Sebastian, R. A. (2015b, March 6). Bishop: Concrete faith more important than rituals. CBCP News. http://www.cbcpnews.com/cbcpnews/?p=52254
- Schneider, A. (2009). The rhythm of the whip. Social Psychology Quarterly, 72(4), 285-289. https://doi.org/10.1177/019027250907200401

- Smith, J. A., Flowers, P., & Larkin, M. (2009). Interpretative phenomenological analysis: Theory, method and research. Sage Publications.
- Tiatco, S. A. (2010). Libad nang apung iru and pamamaku king krus: Performances of ambivalence in Kapampangan cultural spectacles. *The Drama Review, 54*(2), 91-102. https://doi.org/10.1162/dram.2010.54.2.91
- Tiatco, S. A., & Bonifacio-Ramolete, A. (2008). Cutud's ritual of nailing on the cross: Performance of pain and suffering. Asian Theatre Journal, 25(1), 58-76. https://doi.org/10.1353/ atj.2008.0014
- Zialcita, F. (1986). Popular interpretations of the passion of Christ. Philippine Sociological Review, 34(1), 56-62. https://www.jstor.org/stable/44242618?seq=1





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Design and Application of a Legal Game to Promote Factual Investigation Knowledge for Undergraduate Law Students

Chainarong Luengvilai*, Noppon Wongta and Pitipong Yodmongkol

College of Arts, Media and Technology, Chiang Mai University, Chiang Mai, 50200 Thailand

ABSTRACT

This study presents a successful example of experimenting with proper step-by-step guidance on how, when and why to conduct factual investigations by introducing new learning tools to a group of law students, such as this set of computer-based games. Deploying the games as an extension of traditional law learning, this paper synthesizes complex tacit knowledge from legal experts, adopting the cognitive learning theory of Bloom's Taxonomy, to create serious games as new learning approaches. Students' learning revealed satisfactory achievement in enhancing the body of fact-finding knowledge and engagement. The gaming has potential in advancing practical knowledge of fact investigation for mass utilization, reducing traditional learning obstacles of a Thai law school, while minimizing the gap between existing educational approaches and students' future professional practices.

Keywords: Cognitive learning, factual investigation, knowledge management, law of evidence, lawyering skill, legal education, serious game

ARTICLE INFO

Article history: Received: 25 December 2019 Accepted: 17 July 2020 Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.39

E-mail addresses:
chainarong.l@cmu.ac.th (Chainarong Luengvilai)
noppon.w@cmu.ac.th (Noppon Wongta)
pitipong.y@cmu.ac.th (Pitipong Yodmongkol)
* Corresponding author

INTRODUCTION

Legal experts unanimously agree that factual investigation is an essential fundamental lawyering skill (American-Bar-Association, 1992; Luengvilai & Yodmongkol, 2011; Sattayutchamnan, 1939/2019; Waincymer, 2010). It is the first mission before any practicing lawyer shall provide any further legal action or legal advice. Without the skills, genuine truth and proper counselor judgment can rarely succeed. One reason for case dismissal by the courts in Thailand is

an inadequate factual investigation process (Office of the Attorney General of Thailand, 1996; Sherry Ann Duncan, 1999; "Thai Supreme Court ordered", 2003). As a result, innocent lay people may get involved with unfair accusations caused by the insufficient presentation of truth. For example, in one criminal case, the defendants maintained their innocence and appealed the verdict. Three years later, the Supreme Court acquitted all four men and ordered their release. It was too late: one defendant died while in custody, two others became seriously ill, and one of them died soon after his release. No compensation was legally available to them or their families for this miscarriage of justice. In 2001, Thailand for the first time introduced new legislation to compensate wrongfully accused people who suffered harm as the result of the criminal justice process. During 2009–2013, the Thai government compensated over 300 innocent persons, spending more than 50 million baht (Thailand Ministry of Justice, 2015).

Law schools in Western countries (Becker, 2001; Binder & Bergman, 2003; Binder et al., 2007; Bock et al., 2009; Boon & Webb, 2008; Brest, 1995; Cantroll, 1952; Irish, 2006; Maxeiner & Yamanaka, 2004; McClain, 1953) and even some advanced Eastern civil law countries, such as Japan, Taiwan, and South Korea (Pohjonen & Lindblom-Ylänne, 2002; Post, 2009; Wang, 2009; Wilson, 2010), have been studying, discussing and identifying fundamental lawyering skills, including fact-finding, and initiating skill transferring approaches in their law school's curriculums for years to

prepare their law students to be competent novice lawyers in order to serve the law, society and protect the public interest.

Thai legal educators have only recently realized the needs of lawyering skills-based learning to achieve justice system reform, but the challenges regarding the vision and strategies remain unresolved (Public Law Net, 2017; Thailand Development Research Institute, 2015). The argument for the need for legal education reform to promote factual investigation skills of the Thai undergraduate law programs is based on two reasons. Firstly, the Thai Bar Education and National Lawyer License Training Program are supposed to be the higher legal profession training programs after the undergraduate law degree. In fact, they are not compulsory education for law career paths except the mainstream law careers: judges, public prosecutors, and litigating lawyers (Act on Judicial Administration of the Courts of Justice B.E. 2543[A.D. 2000]; Act on Public Prosecution Administration of the Public Prosecution B.E. 2553 [A.D.2010]; Thailand Lawyers Act 1985) and they do promote factual investigation skills learning. The Thai Bar Professional Training Course offers one year to acquire a higher level of substantive legal knowledge by means of the lecturing method. The exit examination applies the same pattern of legal case analysis essays as the undergraduate law program (Thai Bar Under The Royal Patronage, 1964). The students are not required to discover or prove any truth before any legal case analysis is delivered in the essay exams.

Neither a one year National Lawyer License Training Program nor a full internship in a recognized law firm program are sufficient on litigation skills training due to the meager design of the fact finding skill-based curriculum (Sathitsuksomboon, 2015). As a result, any law graduates who have achieved the two non-compulsory programs and entered into the legal practicing arena may still lack factual investigation knowledge or skill, as it was not the key focus of the programs. Secondly, the emergence of new legal missions and career paths under the Thai Constitution, for instance, the National Human Rights Commission of Thailand, the Consumer Protection Board of Thailand. Lawyers of Provincial Administrative Organizations, or lawyers of Non-Governmental Organizations; Foundation for Consumers. Thus, social changes have widened an opportunity for undergraduates to practice law without both the Thai Bar certificate and lawyers' license since 1997. The new in-house lawyers definitely are involved in gathering facts before making any official decision under their authority which ultimately impacts on people's legal rights.

Therefore, the undergraduate law program is the only compulsory legal education for Thai lawyers and should provide factual investigation skills learning opportunities at an appropriate level as possible to their law students before they enter and practice in the legal arena. However, a survey of Chiang Mai University's law school curriculum, which apparently shares common curriculum characteristics and a

learning approach with other law schools in Thailand (Tipmanee, 2011), as an example, revealed that almost half of the 148 senior and recently graduated law students (47.5% and 44.1%, respectively) lack self-confidence in their fact-finding skills (Luengvilai & Yodmongkol, 2011). Due to most law schools focusing their curriculum on comprehensive legal knowledge in civil law to provide a thorough body of the core substantive legislation, including specific terms, reasoning of laws, analysis of legal cases and application of laws at work. As a result, a large part of the examinations deals overwhelmingly with legal case analyses drawn from settled case facts, while in real-life legal practice, lawyers have to begin a case by gathering all related facts. Besides, the initial survey found that general law schools make less effort to encourage students to possess factual investigation skills for actual legal cases (Luengvilai & Yodmongkol, 2012). Available courses for skills training are not adequate to equip students with basic investigation techniques (Luengvilai & Yodmongkol, 2016).

However, some other particular current circumstances of Thai law schools prohibit effective promotion of factual investigation skills learning opportunities to law students in mass but the possible solutions are time-consuming and have inconsistent outcomes. For instance, young age and inexperience of the law students raise the question of designing an effective learning approach other than the traditional lecture-based model. A lack of experienced law professors accustomed to teaching lawyering skills

has resulted in the law schools inviting outside legal experts as guest lecturers. Notwithstanding that a new innovative teaching model operating in parallel with a traditional lecture method can yield inconsistent outcomes, defensive routine behavior or lack of motivation may also be expected (Argyris, 1976; Ashforth & Lee, 1990; Biljana & Dragana, 2017). In fact, guest lecturers who have training skills are difficult to find and, perhaps, too busy to deliver a full training course in a particular class schedule. Furthermore, the plan to provide additional compulsory fact-finding skill courses under the law program might need curriculum revision due to current total course-credits which have to a reach maximum requirement.

Based on the potential of knowledge sharing concepts in an innovative learning approach (Andolšek & Andolšek, 2015), students' learning can be maximized through a knowledge spiral process, adopting innovative learning tools from the community of practice that gradually integrates into the professional legal work arena. The concept of the spiral process has been developed in the works of Ikujiro Nonaka and Hirotaka Takeuchi (Takeuchi & Nonaka, 2000). Its main idea is that the process of acquiring any knowledge, including legal knowledge, has four dimensions – socialization, externalization, combination, and internalization. The knowledge is created by a 'spiral' passing through all these dimensions. This paper will develop this concept in application

to legal knowledge. The problem with the contemporary state of Thai legal education is that it does not permit in its present form the application of this innovative approach. There is a need to change the traditional methods of law teaching. A change does not to be immediate and dramatic. Practically, the legal experts can be invited to stimulate insight discussion with law students during learning activity which, as a result, not only enhances shared experiences but also eliminates the burden of extra classes, cost management and is user-friendly for any busy guest lecturer who believes in the power of knowledge sharing.

Applying the modern concept of active learning and new technology can effectively transfer knowledge and promote a better engagement to a mass cohort and young generation of law students (Biljana & Dragana, 2017). In this research paper, learning by interactive games will be examined to present an alternative way to advance an innovative learning approach based on the concept of spiral process of acquiring knowledge. The methodological aspects of an interactive learning game are described in the following section.

METHODS

Structuring Knowledge Concerning Factual Investigation Skills

This study consisted of the following two crucial steps based on knowledge management concepts, specifically knowledge-capturing methods as a guiding methodology. The First Step was Identification of Qualified Legal Experts to Demonstrate Intensive Interviewing. Two official communities of practical lawyers and a well-known lawyer of Thailand agreed for one-on-one in-depth interviews, including the President of the Law Society of the Lawyers' Council of Thailand, the general attorney at law, and a well-known lawyer, who had both strong legal academic and practicing backgrounds. A snowball sampling method was used to reach a qualified informant referral (Atkinson & Flint, 2001; Browne, 2005; Sadler et al., 2010).

The Second Step was Structuring the **Body of Factual Investigation Skills** Knowledge from Interviewing Analysis. Upon the official invitation, all the volunteers identified legal experts who in the first step were encouraged to respond to a set of questions designed and articulated from the pilot interviewing of a legal expert (Luengvilai & Yodmongkol, 2012), who possessed ten years of experience in practical fact-finding skills in according with the "ten thousand hour rule" (Gladwell, 2008). The meaning of the rule is that to become a real expert at any branch of knowledge, one must accumulate ten thousand hours of practice in that particular area. In ordinary circumstances, that would require approximately ten years of practice. All the tacit and explicit knowledge of factual investigation from the concerned interviewees were transcribed, analysed, and synchronized as a single model.

Interactive Learning Game Design

The core concept of game design was not intended to create a performance evaluation tool but to encourage self-learning with concepts of high learning accessibility and promoting learning engagement for a mass and young generation of law students to acquire factual investigation skills with live client cases. In this study, game players utilized their critical thinking and learning through many challenges and other aspects of the game design, such as knowledge-transferring design and learning engagement, with fun in the design. Intentionally, the more the students have opportunities to play and learn the game, even with some mistakes, the more they acquire knowledge regarding fact-finding skills.

The designed learning approach is based on key conceptual ideas including familiarization, cognitive learning, feedback, and engagement. First, the introduction stage of the game is focused to familiarize players with the learning purposes and how to use the learning tool in brief.

Second, the cognitive learning stage allows the players to obtain knowledge of factual investigation skills as structured from the qualified-legal experts' views. This stage provides challenging questions from basic to advanced level. The objective design of the questioning was based on the cognitive learning theory of the so-called "Bloom's Taxonomy" which had been widely applied in designing examining objectives frameworks, classroom assessments design and other educational

aspects for decades (Cannon & Feinstein, 2014; Halawi et al., 2009; Kastberg, 2003). This taxonomy classifies educational learning objectives into levels of complexity and specificity. Its advantage is that it helps educators to focus better on the learning skills of students. Students are expected to gain the following learning outcomes: remembering, understanding, applying, analysing, evaluating, and creating a factual investigation (Anderson et al., 2001; Forehand, 2010).

The simulation stage focused on enhancing the player actively to exercise their higher-order thinking related to factual investigation skills as gained from the previous cognitive learning stage in identifying, criticizing, analyzing, evaluating, and solving the problem as considered in the simulation case. Moreover, missions, or challenges, were designed to stimulate young law students' critical thinking, curiosity, decision making in a legal case, and engagement to retain learning attention (Birzer, 2003; Knowles, 1970, 1978; Merriam, 2001).

As regards the learning tool platform selection, the serious game approach in its various forms, including computer-based games, has a potential for transferring serious knowledge or skills for specific purposes rather than entertainment (Andrews & Baber, 2009; Breuer & Bente, 2010; Kim et al., 2009; Michael & Chen, 2005; Susi et al., 2007; Yusoff et al., 2009). This serves interactive mass learning with timely feedback and high accessibility, and enhances possible function design to

promote engagement. Therefore, a serious game concept, together with the cognitive learning theory of the so-called "Bloom's Taxonomy" and captured-knowledge, including an idea of the flow of logical decision-making in investigating facts by legal experts, were integrated as the core idea in designing an interactive learning tool instead of the lecture-based method which had been predominant in Thai law schools generating low learning retention rates (Day et al., 2004).

Third, the feedback aspect is another feature to enhance and clarify learning issues to all participants during the game, proceeding in a way where each stage provides meaningful feedback to the players for each decision and for overall stage performance. Lastly, learning engagement is built into each stage of the game, while incorporating curiosity and excitement for the participants to learn as many important legal concepts as possible.

EXPERIMENTAL DESIGN

The research aimed at discovering an innovative legal skill learning approach which would promote self-learning by the law students who were used to the passive learning of lecture-based classrooms. Although the experimental design explored the effectiveness of only the fact-finding game, the lecturing method was also evaluated in comparison for effectiveness in transferring knowledge and promoting learning engagement promotion to participants.

Voluntary Sampling (Cohen et al., 2013)

The voluntary participation theory was applied in this research sampling. The research specifically required voluntary senior law students who were committed to the experiment. Moreover, all volunteers must have never learned or experienced factual investigation skills to avoid distortion in the learning results. Lastly, Grade Point Average (GPA) of participants must also be proportionate between the 2 groups of 2.0-3.0 and more than 3.0. With the specified participant qualifications and time limit of the research, the sampling, therefore, comprised a total of 28 volunteer senior law students from Chiang Mai University, Thailand (Law CMU). The first 14 students, the so-called "G group", were encouraged to learn knowledge of factual investigation from the game as created in this research. The second 14 students, the so-called "L group", were encouraged to learn through the lecturing method the same knowledge of the factual investigation as provided in the game. Each group consists of 7 students with GPA 2.0 -3.0 and 7 students with GPA more than 3.0.

Procedures

The experiment, with full consent of the individual participants, consists of two stages of pre- and post-learning interviews and tested for comparison comparative analysis of the samples' cognitive knowledge development and learning engagement. Participants' behaviours during the observations and the interviewing might show a level of engagement in learning with

pleasure as a result of fulfilling the purpose of the game design. Note that a pilot study was carried out before the final pre- and post-tests were set. Four law students completed the tests and were invited to comment on their language and content. Appropriate changes were made. Moreover, the pre-test was introduced to each sample after the pre-learning interviewing stage to avoid the samples' responses being influenced by the contents of the test. Lastly, samples were required to complete the posttest by the second day after the learning for both the game and lecture-based approach to avoid short term memory influence to the post-test results.

RESULTS

The study provided two essential results which were (1) the core knowledge of the factual investigation skills shared by the qualified-legal experts, which comprised the serious game elements, as well as (2) the analysis of the experiment that demonstrated the effectiveness of the serious game as a learning tool for acquiring factual investigation skills knowledge.

Knowledge Body of Factual Investigation Skills for Lawyers

Nine qualified legal experts with at least ten years of experience agreed with the proposed methodology, especially that factual investigation skills are a fundamental skill necessary for law students. They also admitted that sharing knowledge regarding fact-finding skills could advance the sense of social responsibility, and that this sharing could create a value chain perspective, through senior lawyers to law students, who would finally become practicing lawyers in the future. The core process involved in the verified fact-finding skills were set forth briefly as follows:

Core Principle. The legal experts stated that effective fact-finding processes must strictly adhere to and be controlled by the following core principles: bias-free; avoid presumption or prediction as regards the truth; a well-rounded investigation was possible with facts coming before conclusions, and a scientific and arts approach integrated.

The summary of Factual Investigation Skill Task Process. To begin investigating fact(s) effectively, lawyers should understand the flow of thoughts as implemented by the legal experts. There were two core processes, quantitative and qualitative assessment, with eight sub-tasks concerning how to perform factual investigations for legal cases, as illustrated in the following Figure 1. In summary, the skill consisted of various complex tasks, for example, identification of the core conflict, identification of the law related to the core conflict, procurement of the required facts and evidence, validation of the credibility and reliability of all the

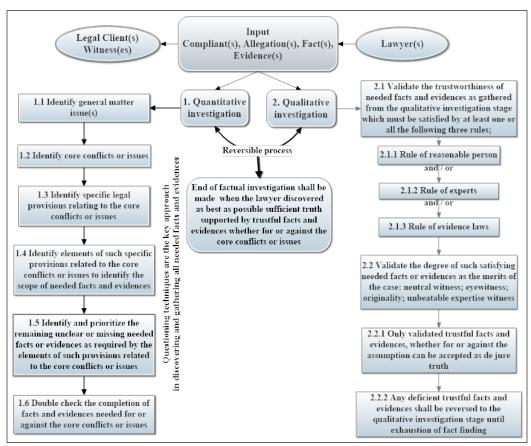


Figure 1. The task process of lawyering, involving factual investigation skills

required facts and evidence that have been gathered.

Game Elements

The game was divided into three stages of learning as follows.

Stage 1-2: Quick-quiz. Stage 1 is a question set regarding the meaning and relationship of "fact" and "truth" from the perspective of law and the principles of factual investigation skills. Stage 2 has a question set with an emphasis on proceeding step by step and including the techniques, tips and cases analysis related to factual investigation skills. All questions were structured from the legal experts' knowledge and defined learning purposes by the six higher order thinking concepts whichever of Bloom's Taxonomy. Achieving the equivalent of 70% or above of total scores for both Stage 1 and 2, unlocked Stage 3 for the player, as shown in Figure 2.

In term of game challenges, there are various and complex types of answering approaches. For example, the types are 1) Single choice selection, 2) Multi-choices set selection, 3) Multi-choices matching, 4) Reordering of multi-choices, 5) Selection plus reordering of the multi-choices, 6) Non-retrieval quiz style with a time-limit and 7) Rotatable multi-choices.

The player obtained additional knowledge details from a pop-up dialogue box for every correct answer, as shown in Figure 3. There were hints in either color or clue style to encourage critical thinking together with sound effects to

make it fun to play as shown in Figure 4. Performance report at the end stage was given in percentage (%) form and higher order thinking of Bloom's Taxonomy for more meaningful player's feedback.

Stage 3: Case-based Mission. The game missions of Stage 3 are based on ideas of adult learning under andragogy theory (Birzer, 2003; Knowles, 1970) and from the flow chart of experts thoughts as shown in Figure 1. Andragogy theory is an attempt to develop an educational approach aiming at adults. There is a greater focus on the process of learning and less on the content. The player was encouraged within the constraint of information and time to provide analysis, critical thinking, identification and verification, as regards not only the possible specific legal provisions related to the case, but also as to what given facts were crucial and trustable based on the knowledge of legal experts, as they had just learnt from the Stage 1-2. The case started with a conversation between a lawyer (a player) and a lady client who was confronting the tragic death of her parents caused by a drunk driver. The player was given in total of two factual sets sequentially by the client. Her family members were not only angry with the driver but also apprehensived of the urgent funeral ceremony preparation and the parents' property management. The sudden tragic situation put a lot of pressure and confusion on her, as the oldest sister, regarding what and how to carry out the legal matters.

Mission 1: Identifying the General Issue and Possible Law Areas Related to the Client's Case. It is the lawyer's first reaction when conducting the factual investigation, to try to figure out some hints along with the client dialogue to determine the exact area of the law involved.

Mission 2: Verifying the Accuracy of Mission 1's Decision. The player is required to select any key sentences from the client's dialogue (Factual Set 1) which are considered to provide the issues involved in answering the questions in Mission 1. The player is to consider four from ten key sentences as giving the correct answers to the Mission.

Mission 3: Analysing what Fact Issues are Possibly Related to Legal Issue(s) in the Client's Case. In Factual Set 2, the client delivered more unstructured facts which revealed more clues, witnesses, documents, claims and arguments based on the client's thinking and feeling. Only a competent lawyer can possibly realize not only the relationship between them but also the core problems and specific law. According to Factual Set 2, the player is required to reconsider in details toward what four from eleven key sentences, taken from Factual Set 2 are considered to be useful for further legal analysis.

Mission 4: Verifying the Accuracy of Mission 3's Decision. The player is encouraged to explain more about why each selected key sentence in Mission 3 is

interesting by matching each of them with any of possible seven choices in Mission 4.

Mission 5: Specifying Legal Area and Legal Provision(s) Related to the Core Issue of the Client. Based on all revealed facts, the player is encouraged to specify precisely the proper choices regarding the code of law, legal title, legal chapter and legal provision(s) related to the client's core issue from the four codes of laws: Civil & Commercial Code; Civil Procedural Code; Criminal Code and Criminal Procedural Code. The player is allowed to change the answers from Mission 1-2 at this Mission stage, if the player realized that he or she had made the wrong decisions based upon gaining more facts and evidences.

Mission 6: Generalizing the Core Fact Issues, Evidence Gap and Action Plan for Further Factual Investigation. The player is encouraged to identify any facts or evidence gap between the current situation and what was necessary, as required by elements of the specific legal provision(s). The Mission demands the player not only select but also prioritize the five, out of nine possible, key questions to gain new fact details related to the core issue. Improper choice selection prohibits the player from additional crucial facts or evidence. There was one key question among the possible choices which was the first priority for further investigation. Therefore, the player is rewarded with a useful hint if he or she selects such the key question as the first answering choice.

Mission 7: Finalizing the Client's Core Legal Problem. The Mission encourages the player to select one from seven possible keywords which best described the client's core legal problem. The player is rewarded with the elements of the specific legal provision(s) related to the client's core issue.

Mission 8-9: Identifying and Evaluating All Crucial Fact Issues as Required by Each Element of Specific Legal Provision(s) Related to the Core Issue. The task is self-reminding regarding how many fact issues and evidence are settled and how many are remaining for further fact finding. Mission 8-9 require the player to identify eight from possible thirteen fact issues and evaluate each of them by matching any of five possible symbols considered to apply in the situation as shown in Figure 5. Each symbol can refer to, for example, "The fact issue is crucial for the case but lacks clear fact details or evidence", or "The fact issue is crucial and settled in the details, but is currently awaiting supportive evidence", or "The fact issue is crucial and settled in both details and supportive evidence"

Mission 10: Evaluating the Trustworthiness of the Facts. Any gathered facts and evidence which are supposed to be true from a legal perspective must be satisfied at least by logical reasoning and the law of evidence, as suggested by the legal experts. In terms of litigation, the lawyer should, in addition, identify the best de jure trustful

facts and evidence to benefit the lawyer in the preponderance stage. Therefore, the Mission requires the player to use critical thinking, not only to discover the final fact details and evidence from possible involved persons, but also, to evaluate the reliability of eight fact issues and related evidence by selecting the perfect choice as provided in the Mission.

Mission 11: Summarizing the Investigation.

The last Mission encourages the player to reconfirm whether the whole situation and the factual investigation task has arrived at the proper conclusion or not, including the supportive reasons behind the conclusion. There are possible multiple choices for selection, either positive or negative answers.

Summary Performance Report. The player shall be informed in a timely manner in a performance report on two aspects after Missions 7 and 11, regarding the number of (1) re-clicking which implies hesitating or wavering decisions and (2) re-trying after making wrong decisions as shown in Figure 6. Lower numbers demonstrate to the player a higher standard of professional critical thinking.

Based on the design, the player should be able to figure out that there is one, out of the eight fact issues, which makes the situation unsolvable due to conflicts in related facts and evidence caused by illogical fact details as revealed by witnesses and evidence.

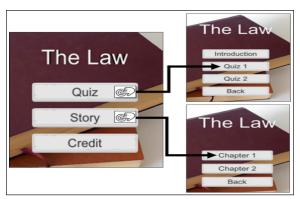


Figure 2. Demonstrating game stages including First Page, Quiz 1 & 2 and Story Stage (Case-based mission) with 11 sub-missions within Chapter 1-2

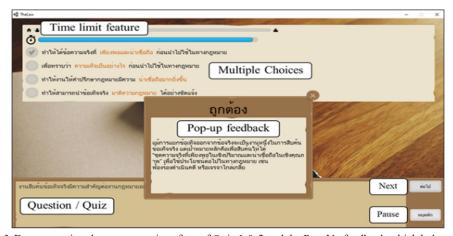


Figure 3. Demonstrating the game user interface of Quiz 1 & 2 and the Pop-Up feedback which helps promote game learning by providing additional explanation for correct answer



Figure 4. Demonstrating a game feature of case-based mission to promote learning engagement by providing volunteer with decision results in colors: green color for correct decision and red color for wrong decision

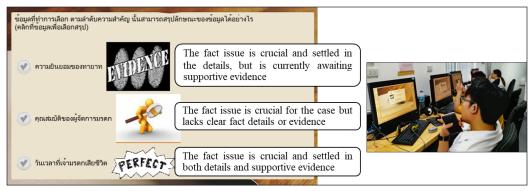


Figure 5. Demonstrating the game missions 8-9 which encourage volunteer to evaluate the quality of gathered facts acquired by previous volunteer's decisions in case-based mission



Figure 6. Demonstrating volunteer's final performance evaluation of case-based mission

Experimental Results Based on Knowledge Transferring Tool

Based on one purpose of the study, the following pre- and post-test scores analysis demonstrated the effectiveness of knowledge transfer between learning through the serious game and through the lecturing methods. Each member of the G group was represented with "G1 to G14" and the L group was represented with "L1 to L14".

Analysis of Pre-Test and Post-Test Score.

The serious game aims at effective learning tool by which law students can learn by themselves outside the classroom. The participants are encouraged to complete the pre-test and post-test following the guideline information provided in the game package. After learning through the use of the serious game, each participant is expected to have post-test scores higher than the pre-test scores. The following results and analyses demonstrated the positive results from the comparison of the pre-test and the post-test scores as shown in Figure 7, Figure 8 and Table 1, and Table 2.

The T-test score analysis (N=14) comparing the test scores for all the participants of G group shows that the average pre-test score was 32.50 points

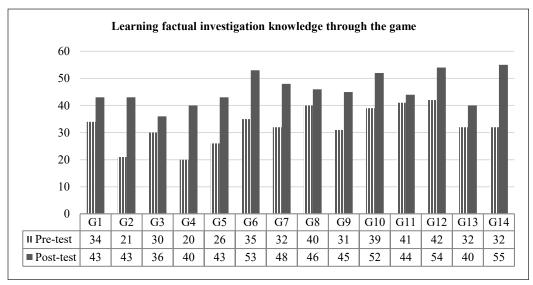


Figure 7. Analysis of the pre-test and the post-test scores of the student participants on learning via the factual investigation game. (Game)

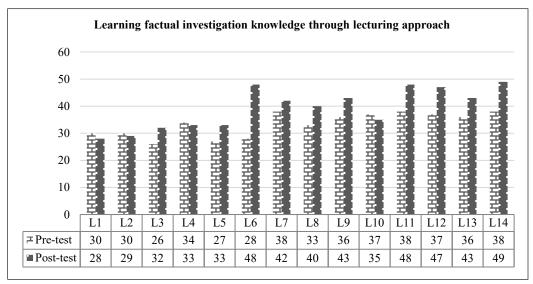


Figure 8. Analysis of the pre-test and the post-test scores of the student participants on learning factual investigation via lecturing approach. (Lecture)

Table 1
Pre-test and post-test analyses by paired sample T-test of factual investigation learning via game

Game method	Participants	Mean	Std. deviation	t	P-value
Pre-Test	14	32.50	6.84	-7.908*	.000
Post-Test	14	45.85	5.80		

^{*}Statistical significance at .05

Table 2
Pre-test and post-test analyses by paired sample T-test of factual investigation learning via lecturing approach

Lecturing method	Participants	Mean	Std. deviation	t	P-value
Pre-Test	14	33.43	4.39	-3.585*	.003
Post-Test	14	39.29	7.46		

^{*}Statistical significance at .05

Table 3
Post-test analyses by paired independent sample T-test of factual investigation learning between lecturing and game method

Learning Method	Participants	Mean	Std. Deviation	t	P-value
Lecturing (L Group)	14	39.29	7.47	-2.60*	.015
Game (G Group)	14	45.86	5.80		

^{*}Statistical significance at .05

and the average post-test score was 45.85 points. When both the average scores were tested, the T-test statistic yielded a significant difference at the 0.05 level (p<.05*), meaning that all participants progressively and significantly gained knowledge after learning through the game. There is a statistical difference between the average pre-test score and the average post-test score demonstrated by participants, as presented in Table 1.

The T-test score analysis (N=14) comparing the test scores for all the participants of L group shows that the average pre-test score was 33.43 points and the average post-test score was 39.29 points. When both the average scores were tested, the T-test statistic yielded a significant difference at the 0.05 level (p<.05*). It was shown that all participants had satisfactorily gained new knowledge after learning through the lecturing method, as presented in Table 2.

When both the post-test scores of all participants between L group and G Group were tested, Independent Sample T-Test statistic yielded a significant difference at the 0.05 level (p<.05*) as shown in Table 3. The game has a higher potential in transferring factual investigation knowledge to all participants than the lecturing method because there is a statistical difference between the average difference between the pre and post-test scores of lecturing method and the average pre and post-test scores of the game method demonstrated by participants.

Analysis of Pre-Test and Post-Test Mean Scores Based on The Six Higher-Order Thinking Concepts Whichever in Education of Bloom's Taxonomy. The following Figure 9 and Figure 10 show that the post-test mean scores for each of the six cognitive domains of Bloom's Taxonomy were higher than the pre-test scores in all aspects. That demonstrated that all participants of L group and G group had in general acquired higher knowledge of aspects of factual investigation in varying degrees.

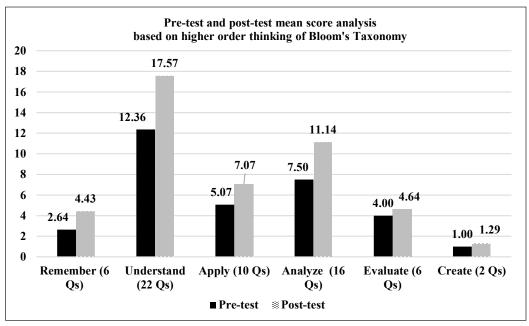


Figure 9. Mean score analysis of pre & post-test results based on the six higher order thinking concepts in education of Bloom's taxonomy of learning factual investigation knowledge through the game. (Game)

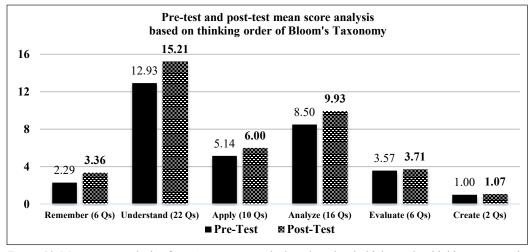


Figure 10. Mean score analysis of pre & post-test results based on the six higher order thinking concepts in education of Bloom's taxonomy of learning factual investigation knowledge through lecture. (Lecture)

Moreover, Figure 9 and Figure 10 comparisons additionally showed the students who self-learned factual investigation knowledge through the game had mean scores higher than the lecturing

method's students in all questions related to particular aspects of understanding, applying, and analysing the facts and relevant questions to determine them.

Experimental Results Based on Learning Engagement Promotion

Post-interview responses and observation of the behaviour of the participants were applied to identify how the game and lecturing methods encouraged engagement in learning of the participants.

Post-Learning Interview Analysis.

Allowing participants to respond freely, with encouragement for positive and negative impressions, feedbacks were recorded immediately after game or lecture completion, particularly on the issue of the learning matter and learning approach designs

Generally, most participants in the G and L Groups stated that they were satisfied with the learning approach. Additionally, they also gave some impressions and made some suggestions about the learning approach. There were some comments which might be perceived as positive feedback of their interest.

(1) Positive feedback from Participants of G Group. Fifty-seven percent (57%) of the participants stated that the game design provided them a new game with challenging experiences which were different from previous online games which they had played purely for entertainment.

Thirty-five percent (35%) of the responses spoke positively about the game encouraging the learner's critical thinking, urging the learner to conduct self-questioning, Mission by Mission during the game. Most players expressed a curiosity to know the answers.

Twenty-eight percent (28%) of the players reflected that the game was quite a new approach in the law school and full of useful practical knowledge and processes. The case-based mission and the last game stage made them feel like actual legal counsellors for legal clients.

Twenty-one percent (21%) of the participants regarded playing the fact-finding game as more worthwhile than spending two or three hours trying to acquire the knowledge by reading.

However, they felt that the game Missions were difficult because they had never learned the skills before. Conversely, they ultimately gained knowledge even from their mistakes during the game. The dialogue box which provided extra knowledge through explanation was a great approach in imparting additional learning without the aid of classrooms.

(2) Suggestions from Participants of G group. Fifty-seven percent (57%) of the players mentioned that the quality of the game system and the computer graphic design needed improvement and redesign to make the game more attractive.

Forty-three percent (43%) of the participants requested more legal case challenges as options which can be categorized by the difficulty level, from beginner level to advanced level, or by the nature of legal expertise, such as, criminal law cases, business law cases, labour law cases, etc. It should be noted that such comments also indicate that the participants were sufficiently engaged with the game

to want more kinds of optional legal cases which could extend their knowledge and critical thinking.

(1) Positive Feedback from Participants of L Group. Fifty-seven percent (57%) of participants stated that the class encouraged them to learn new and very useful knowledge beyond the curriculum.

Fifty percent (50%) of participants mentioned that all the case studies and techniques of factual investigation skill as described in the classroom was enlightening.

Thirty-seven percent (37%) of responses reflected that knowledge transferring techniques of the lecturer during the class was good, as a result of a relaxed learning atmosphere and engagement.

(2) Suggestions from Participants of L Group. Fifty-seven percent (57%) of participants reflected that the class time of four hours was too short for an optimum learning result.

Fourteen percent (14%) of participants requested that the action learning part be increased for a better learning result.

Seven percent (7%) of participants stated that learning through the game style should have been more fun than lecturing method based on their past experiences playing other games.

Seven percent (7%) of participants stated that the factual investigation skill should be a compulsory course under the law curriculum.

Reaction of Participants Towards the Game and Lecturing Approaches. The more a participant engages in a well-designed learning method, the more likely that he or she will gain deeper knowledge. Based on learning engagement dimensions (Trowler & Trowler, 2010), the video recordings and observations showed many positive learning engagement actions by participants in the game and lecturing methods.

(1) G Group. Most participants stayed focused on their personal computer screen from the first game stage for 2-3 hours. No one disturbed other participants except for game discussion. Some felt annoyed if a technical problem interrupted their game (Behavioural engagement).

Participants exercised their critical thinking for every decision in the game. Some applied note-taking or snap shooting, consulting a friend for some information or to discuss a previous wrong decision to benefit from new analysis or opinion. Some requested further discussion and guidance from the instructor with regard to their failures in the current tough Mission of the story stage before retrying the same Mission (Cognitive engagement).

Some participants obviously expressed joyful actions, smiles, laughing, surprise for unexpected right answers, or bluffing a friend regarding game progression (Emotional engagement).

(2) L Group. Most of the participants stayed focused on just the first half of 3

hours of lecturing time. Some one third of participants (4-5 law students) periodically took a nap in class and others occasionally played on their smartphones during the class. The lecturer had to encourage participants with interesting case studies related to the particular knowledge (Behavioural engagement).

As a result of the small classroom, most students were listening, however, only some students, particularly in the first three front rows, participated with the series of questions and case studies analysis (Cognitive engagement).

Participants generally did not express any obvious joyful moments or exciting feelings but did show inspiring moments to learn new knowledge of factual investigation skills (Emotional engagement).

DISCUSSION

The analysis of Figures 7 to 10 and Tables 1 to 2 indicated that the cognitive learning of all students had generally developed after learning. Both the game approach and the lecturing method have potential in transferring factual investigation knowledge to law students at a satisfying level. It is evident that learning through the game has more potential in knowledge transfer as shown in Table 3 and learning engagement promotion based on a comparison of preand post-test analysis and post-interview.

In term of learning engagement promotion which potentially impacts upon learning ability (Halm, 2015; Park, 2003), the post-learning interviewing and observation additional data showed

that the self-learning game more actively impacted the participants' engagement than the lecturing method. The participants in the G group were consistently positive and enthusiastic throughout the three to five hours of the game, depending on the different participants' performance. Observed behaviours indicated that they were excited and eager to complete each Mission and curious to know what exactly was the right answer in each Mission, which implies normal adult learning behaviour when being stimulated. Some participants had not only informative discussions with friends about their game decisions during the lunch break but were also inspired by the game to learn more from additional legal cases under the game.

The game design demonstrated strong potential in stimulating the learning engagement and curiosity through game interaction at various levels. Meanwhile, the behaviour observation and post-learning interview of samplings of L group did not show lively reflection from a learning engagement perspective through the lecturing method. They mostly appreciated and requested extra time on learning new knowledge and applicable techniques of factual investigation due to it being beyond their former core classes and law curriculum. All participants in the G group focused on even the more difficult Missions throughout the three or four hours of learning. The mission and design of the game had a tendency to provide consistent active engagement more than a lecture. There were only a few of the L group participants who requested additional action learning or alternative active learning approach.

CONCLUSIONS

Law is a dynamic field of knowledge. Therefore, a stronger emphasis on the skills is vital for a successful legal career. By using interactive learning games as described in this paper, core lawyer skills and concepts are sufficiently acquired by the learners with greater accessibility for mass and individual legal education beyond the constraints of lectures and traditional classroom methods of legal education. In terms of cognitive learning and knowledge management, the experimentation with the game presents satisfactory evidence that the factual investigation knowledge gained via game application not only makes up for the shortcomings of traditional lawyering skills learning but also provides a new exciting learning experience for all law novices.

Notwithstanding that the approach of this game has the potential for learning engagement while building a passion for legal-related fact inquisition, the functionality and user-friendliness of the game application does need some refining and improvement to gain pubicwide acceptability, as suggested by the participants' feedback.

ACKNOWLEDGEMENTS

We are very grateful to all participanting legal experts, Faculty of Law and the law students of Chiang Mai University who supported and engaged in the game's experimentation.

REFERENCES

- Act on Judicial Administration of the Courts of Justice B.E. 2543 (A.D. 2000) Section 26-28. http://web. krisdika.go.th/lawHeadContent.jsp?fromPage=la wHeadContent&formatFile=htm&hID=0
- Act on Public Prosecution Administration of the Public Prosecution B.E. 2553 (A.D. 2010) Section 49-52. http://www.ago.go.th/new_law/doc_ago3.pdf
- American-Bar-Association. (1992). Report of the task force on law schools and the profession:

 Narrowing the gap. https://www.corteidh.or.cr/tablas/28961.pdf
- Anderson, L. W., Krathwohl, D. R., & Bloom, B. S. (2001). A taxonomy for learning, teaching, and assessing: A revision of Bloom's taxonomy of educational objectives. Longman.
- Andolšek, D. M., & Andolšek, S. (2015). Knowledge sharing in an organization from the perspective of the individual. *International Journal of Cognitive Research in Science, Engineering and Education,* 3(2), 65-76. https://doi.org/10.23947/2334-8496-2015-3-2-65-76
- Andrews, D., & Baber, C. (2009). The use of narrative in the design of serious games for criminal investigation and community policing. In Q. Mehdi, A. Elmaghraby, D. Anderson & E. Ch'ng (Eds.), *Proceedings of CGAMES' 2009 USA* (pp. 63-67). The University of Wolverhampton.
- Argyris, C. (1976). Single-loop and double-loop models in research on decision making. *Administrative Science Quarterly, 21*(3) 363-375. https://doi.org/10.2307/2391848
- Ashforth, B. E., & Lee, R. T. (1990). Defensive behavior in organizations: A preliminary model. *Human Relations*, 43(7), 621-648. https://doi.org/10.1177/001872679004300702
- Atkinson, R., & Flint, J. (2001). Accessing hidden and hard-to-reach populations: Snowball research strategies. *Social Research Update*, 33(1), 1-4.

- Becker, D. M. (2001). Some concerns about the future of legal education. *Journal of Legal Education*, 51, 469-486.
- Biljana, N.-C., & Dragana, S. (2017). Educational needs of teacher for introduction and application of innovative models in educational work to improve teaching International *Journal of Cognitive Research in Science, Engineering and Education*, 5(1), 49-56. https://doi.org/10.5937/IJCRSEE1701049N
- Binder, D. A., & Bergman, P. B. (2003). Taking lawyering skills training seriously. *Clinical Law Review, 10*(19), 191-220.
- Binder, D. A., Moore, A. J., & Bergman, P. (2007). A depositions course: Tackling the challenge of teaching for professional skills transfer. *Clinical Law Review*, 13, 871-898.
- Birzer, M. L. (2003). The theory of andragogy applied to police training. *Policing: An International Journal of Police Strategies & Management*, 26(1), 29-42. https://doi.org/10.1108/13639510310460288
- Bock, H., Boyd, C., Gibson, S., Lyons, P., Mottershead, T., Rose, L. M., Rushton, T., Stacy, C. U., Vaaler, B., & Westfahl, S. (2009). The future of legal education: A skills continuum. https://clp.usc. edu/assets/docs/contribute/NITAFuture_of_ Legal_Education.pdf
- Boon, A., & Webb, J. (2008). Legal education and training in England and Wales: Back to the future? *Journal of Legal Education*, 58(1), 79-121.
- Brest, P. (1995). The responsibility of law schools: Educating lawyers as counselors and problem solvers. *Law and Contemporary Problems*, *58*, 5-17. https://doi.org/10.2307/1192017
- Breuer, J. S., & Bente, G. (2010). Why so serious? On the relation of serious games and learning. Eludamos. *Journal for Computer Game Culture*, *4*(1), 8, 10-11.

- Browne, K. (2005). Snowball sampling: Using social networks to research non-heterosexual women. *Social Research Methodology, 8*(1), 47-60. https://doi.org/10.1080/1364557032000081663
- Cannon, H. M., & Feinstein, A. H. (2014). Bloom beyond bloom: Using the revised taxonomy to develop experiential learning strategies. *Developments in Business Simulation and Experiential Learning*, 32, 349-355.
- Cantroll, A. M. (1952). Law school and the layman: Is legal education doing its job. *American Bar Association Journal*, *38*, 907.
- Cohen, L., Manion, L., & Morrison, K. (2013). *Research methods in education.* Routledge.
- Day, J. A., Foley, J. D., Groeneweg, R., & Van der Mast, C. A. (2004). *Enhancing the classroom learning experience with Web lectures*. https://smartech.gatech.edu/handle/1853/65
- Forehand, M. (2010). Bloom's taxonomy. In M. Orey (Ed.), Emerging perspectives on learning, teaching, and technology (pp. 41-47). Association for Educational Communications and Technology.
- Gladwell, M. (2008). *Outliers: The story of success*. Little, Brown and Company.
- Halawi, L. A., McCarthy, R. V., & Pires, S. (2009). An evaluation of e-learning on the basis of Bloom's taxonomy: An exploratory study. *Journal of Education for Business*, 84(6), 374-380.
- Halm, D. S. (2015). The impact of engagement on student learning. *International Journal of Education and Social Science*, 2(2), 22-33.
- Irish, C. R. (2006). Reflections of an observer: The international conference on legal education reform. *Wisconsin International Law Journal*, 24(1), 5-22.
- Kastberg, S. (2003). Using Bloom's Taxonomy as a framework for classroom assessment. *Mathematics Teacher*, 96(6), 402-405. https://doi.org/10.5951/MT.96.6.0402

- Kim, B., Park, H., & Baek, Y. (2009). Not just fun, but serious strategies: Using meta-cognitive strategies in game-based learning. *Computers* & *Education*, 52(4), 800-810. https://doi. org/10.1016/j.compedu.2008.12.004
- Knowles, M. S. (1970). The modern practice of adult education (Vol. 41). Association Press New York.
- Knowles, M. S. (1978). Andragogy: Adult learning theory in perspective. *Community College Review*, 5(3), 9-20. https://doi. org/10.1177/009155217800500302
- Luengvilai, C., & Yodmongkol, P. (2011, November).

 What fundamental lawyering skills do law students of Chiang Mai University need to improve their legal practice ability? Paper presented at The 11th Annual SEAAIR Conference: University Social Responsibility: Pathways to Excellence, Chiang Mai, Thailand.
- Luengvilai, C., & Yodmongkol, P. (2012, September).

 Interviewing questions design for knowledge capture: Lawyer's factual investigation skill.

 Paper presented at The 6th International Conference on Software, Knowledge.

 Information Management and Application (SKIMA), Chengdu, China.
- Luengvilai, C., & Yodmongkol, P. (2016). Mediation game when the conflict can be fun to learn—A legal skill learning tool: The integration of knowledge management, learning theory and serious game concept. *International Education Studies*, 9(5), 219. https://doi.org/10.5539/ies. v9n5p219
- Maxeiner, J. R., & Yamanaka, K. (2004). The new Japanese law schools: Putting the professional into legal education. *Pacific Rim Law & Policy Journal Association*, 13, 303.
- McClain, Jr. J. A. (1953). Is legal education do its job? A reply. *American Bar Association Journal*, *39*(2), 120-175.
- Merriam, S. B. (2001). Andragogy and self-directed learning: Pillars of adult learning theory. *New*

- Directions for Adult and Continuing Education, 2001(89), 3-14. https://doi.org/10.1002/ace.3
- Michael, D. R., & Chen, S. L. (2005). *Serious games: Games that educate, train, and inform.* Thomson

 Course Technology PTR.
- Office of the Attorney General of Thailand. (1996).
 กดีเชอรีแอน กระบวนการยุติธรรมจะคุ้มครองสิทธิ เสรีภาพของ ผู้บริสุทธิได้อย่างไร? : รายงานการ เสวนาทางวิชาการ [Report of the seminar on The Sherry Ann Duncan Case: How to the criminal justice could protect the rights and freedom of the Innocent?]. Office of the Attorney General of Thailand.
- Park, C. (2003). Engaging students in the learning process: The learning journal. *Journal of Geography in Higher Education*, 27(2), 183-199. https://doi.org/10.1080/03098260305675
- Pohjonen, S., & Lindblom-Ylänne, S. (2002). Challenges for teaching interaction skills for law students. *The Law Teacher*, *36*(3), 294-306. https://doi.org/10.1080/03069400.2002.9993110
- Post, D. (2009, October 31). Cracks appearing in law firms associate model. *The Volokh Conspiracy*. http://www.volokh.com/2009/10/31/cracks-appearing-in-law-firm-associate-model/
- Public Law Net. (2017). การปฏิรูปด้านการเรียนการ สอนและการศึกษากฎหมาย ตอนที 1 และ 2 [Legal studying-teaching and education reform Part 1 and 2]. http://public-law.net/publaw/view. aspx?id=1980
- Sadler, G. R., Lee, H.-C., Lim, R. S.-H., & Fullerton, J. (2010). Recruiting hard-to-reach United States population sub-groups via adaptations of snowball sampling strategy. *Nursing & Health Sciences*, 12(3), 369-374. https://doi.org/10.1111/j.1442-2018.2010.00541.x
- Sathitsuksomboon, C. (2015, March 3). Thailand's legal system: Requirements, practice, and ethical conduct. *Thailand Law Forum: Law analysis and features on Southeast Asia*. http://www.thailawforum.com/articles/charununlegal2.html

- Sattayutchamnan. (2019). วิชาข้อเท็จจริง [Factual theory] (4th ed.). Prayoonwong. (Original work published 1939).
- Sherry Ann Duncan 1999 No. 2071/2542.
- Susi, T., Johannesson, M., & Backlund, P. (2007). Serious games: An overview (Technical Report HS-IKI-TR-07-001). https://www.researchgate.net/publication/220017759_Serious_Games_-_An Overview
- Takeuchi, H., & Nonaka, I. (2000). Classic work: Theory of organizational knowledge creation. In D. Morey, M. T. Maybury, B.Thuraisingham (Eds.), Knowledge management: Classic and contemporary works. https://doi.org/10.7551/ mitpress/4075.001.0001
- Thai Bar Under The Royal Patronage. (1964). Regulation of Thai bar students, studying, and discipline of 1964. http://www.thethaibar.or.th/thaibarweb/files/Data_web/3_%20Kong_Borikan/thabian naksueksa/Rb Ed2507.pdf
- ศาลสังจ่าย 26 ล.แพะเชอรีแอน [Thai Supreme Court ordered a compensation to Sherry Ann Duncan case for 26 million Thai Bath] (2003). *Mathichon Weekly*. pp. 1-12. https://www.matichonweekly.com/scoop/article_20990
- Thailand Development Research Institute. (2015), ปฏิรูป (หลักสูตร) นักกฎหมายไทยรับความท้าทาย อนาคต [Law curriculum reform to prepare the future challenging]. https://tdri.or.th/2015/10/ legal-education-reform/
- Thailand Lawyers Act B.E. 2528 (A.D. 1985) s. 35. http://web.krisdika.go.th/data/law/law2/%b701/%b701-20-2528-001.pdf

- Thailand Ministry of Justice. (2015). *Rights and liberties protection monthly report*. http://www.rlpd.go.th/rlpdnew/index.php/2013-05-30-08-10-17
- Tipmanee, P. (2011). Analysis and evaluation of the undergraduate programs at Pridi Banomyong Faculty of Law, Dhurakij Pundit University. Dhurakij Pundit University. https://www.dpu.ac.th/dpurdi/research/347
- Trowler, P., & Trowler, V. (2010). Student engagement evidence summary. http://eprints.lancs.ac.uk/61680/1/Deliverable_2._Evidence_Summary._Nov_2010.pdf
- Waincymer, J. (2010). Internationalization of legal education; putting the 'why' before the 'how'. In S. Steele & K.Taylor (Eds.), Legal Education in Asia: Globalization, change and contexts (pp. 68-88). Routledge.
- Wang, T.-S. (2009). The development of legal education in Taiwan: An analysis of the history of law and society. In S. Steele & K. Taylor (Eds.), Legal Education in Asia: globalization, change and contexts (pp. 136-155). Routledge Law in Asia. https://doi.org/10.4324/9780203862254
- Wilson, M. J. (2010). US legal education methods and ideals: Application to the Japanese and Korean systems. *Cardozo Journal of International and Comparative Law, 18,* 295-335.
- Yusoff, A., Crowder, R., Gilbert, L., & Wills, G. (2009, July). A conceptual framework for serious games. In ICALT '09: Proceedings of the 2009 Ninth IEEE International Conference on Advanced Learning Technologies (pp. 21-23). https://doi.org/10.1109/ICALT.2009.19





SOCIAL SCIENCES & HUMANITIES

Journal homepage: http://www.pertanika.upm.edu.my/

Review Article

Understanding the Importance of Stakeholder Management in Achieving Sustainable Ecotourism

Ahmad Salman^{1*}, Mastura Jaafar² and Diana Mohamad²

¹School of Housing Building and Planning, Universiti Sains Malaysia, 11800, Penang, Malaysia ²Housing Building and Planning Universiti Sains Malaysia, 11800, Penang, Malaysia

ABSTRACT

Ecotourism brings many economic, environmental, and socio-cultural benefits to the tourism destination, but its implementation is not simple. Several studies in the past have shown the importance of including stakeholders for the development of ecotourism in the area. Understanding stakeholders varied interests and their power of influence is vital to achieve sustainability in a tourism destination. The study aimed to develop a multistakeholder management model that could unite stakeholders towards achieving sustainable ecotourism in the area. A critical synthesis of the literature was conducted by classifying and then critically reviewing the literature to construct and integrate the variables that could help in the better management of stakeholders, which would lead towards the development of a framework that can guide in achieving sustainability in ecotourism. This study validates previous findings and also directs to develop a sustainable ecotourism framework through which the environmental, social, and economic benefits can be achieved in the destination. Understanding multiple stakeholders helps to achieve sustainability and, as a result, makes

ARTICLE INFO

Article history:
Received: 19 May 2020
Accepted: 2 September 2020
Published: 26 March 2021

DOI: https://doi.org/10.47836/pjssh.29.1.40

E-mail addresses: ahmadsalman@student.usm.my (Ahmad Salman) masturaj@usm.my (Mastura Jaffar) diana_mohamad@usm.my (Diana Mohamad) *Corresponding author the tourist destination experience better for both the visitor and host. The developed model would add value to the literature by enriching tourism destination stakeholders understanding, precisely related to the multiple stakeholder management, and leads to achieving ecotourism sustainability.

Keywords: Ecotourism framework, stakeholder influence, stakeholder interest, stakeholder management, sustainable ecotourism

INTRODUCTION

Ecotourism plays a critical role in boosting the economy of the area (Abdullah et al., 2018; Miočić et al., 2016). Ecotourism boosts the destination by creating more jobs and providing an alternate source of living to the community of the area (Pongponrat & Chantradoan, 2012). Moreover, ecotourism seeks to protect resources, primarily biological and also maintains sustainability in the use of resources to help travelers give ecological experience, protect the environment and enhances the economic activities aspects of the destination (Kiper, 2013). Ecotourism undoubtedly presents several types of opportunities to the destination, but its implementation is challenging because of the involvement of multiple stakeholders (Üllenberg et al., 2015). For ecotourism to promote sustainability in the destination, which can benefit the community of the destination, enhance environmental protection and become economically viable, it must account for the complexity of issues generated because of the presence of multiple stakeholders in the ecotourism destination. Stakeholders are vital for ecotourism implementation in the destination and management is considered to be crucial for the success of an ecotourism destination (Su et al., 2014).

In the past, the stakeholder concept was mostly related to the context of organizations and their management. Researchers such as Getz and Timur (2005) have noted that destination settings are somewhat similar to the settings of the organizations. However,

the structure of the tourism destination is more complicated as compared to the organizations. Tourism destination also encompasses different stakeholders such as communities, government sector, NGOs and businesses, and these stakeholders are impacted back by the destination, and they also have the ability to influence the destination or the project taking place in the destination (Komppula, 2016; Lalicic, 2018; Wei & Yang, 2013).

Tourism development literature also emphasizes on including the stakeholder identification, power estimation, interest determination and strategy for improving stakeholder relationships, their management, prioritization and categorization for better managing the destination (Sheehan & Ritchie, 2005; Timur & Getz, 2008). Studies conducted by Kenawy and Shaw (2014), and Osman et al. (2018) identified that lack of stakeholder collaboration and management in an ecotourism destination could lead to

- Continuous degradation of the destination
- Reduction of the benefits provided to the stakeholders especially the community
- Degradation of natural resources because of informal and unregulated activities
- Lack of stakeholder management leads to the failure of plans for the destination

Researchers have identified that the sustainability of a tourist destination is dependent on stakeholders and their level of

interest in the destination. The development and management of ecotourism destinations for the long term sustainability will not work well if there is no active role and interest involved for each stakeholder (McComb et al., 2017; Wei & Yang, 2013). Mihalic (2016) and McComb et al. (2017) identified that difficulties in understanding issues and achieving a mutual ground among stakeholders was the main barrier in achieving sustainable ecotourism. Past literature has shown that stakeholders level of interest and their power to influence changes as time passes due to which issues among stakeholders rise (Berardi, 2013; Newcombe, 2003; Walker et al., 2008). Sustainable ecotourism is only possible when all the stakeholders are adequately managed. Lack of stakeholder management not only leads to making stakeholders resistant to the ecotourism implementation, but it also leads to significant overlap and unwanted utilization of the resources (Salman et al., 2020). Recognizing and managing stakeholders according to their interests and influence power is crucial for the long term sustainability of ecotourism destination.

Even though stakeholder management has been recognized as a critical step toward to achieve sustainable ecotourism (Getz & Timur, 2005) and numerous studies in the past have tried to explore the stakeholder management point from various perspectives. Wondriad et al. (2020) argued that on the investigation of the contributions of stakeholders to achieve sustainable ecotourism. Su et al. (2014) argued

on understanding relationships among stakeholders and emphasized on community participation to achieve sustainability in the destination. Abdullah et al. (2018) explained that increasing number of visitors and improper environmental management strategies from the perspectives of four main stakeholders; management authorities, local communities, tour guides and visitors led to unsustainability in the destination. While the previous researches are widespread and the existing studies have been largely fragmented theoretically, and have not yet developed a framework that guides to understand multiple stakeholders in an ecotourism destination and then develop management strategies to manage multiple stakeholders present in the destination. To address this issue, we propose a framework that first utilizes stakeholder theory to analyze the different aspects of stakeholders such as stakeholders interests and stakeholder level of influence and the second feature is to develop a managerial approach to develop management strategies for the stakeholders to achieve ecotourism sustainability in the destination. Since the stakeholder theory will be used as the underpinning theory for the proposed framework, this paper will start to deliberate on stakeholder theory, followed by proposing a theoretical framework and discuss its relevancy in managing ecotourism destinations.

Background

This segment examined the literature related to the subject being explored. This encompasses a general presentation

of the stakeholder theory, stakeholder interests, stakeholder influence, stakeholder management, and finally, ecotourism implementation.

Stakeholder Theory- An Overview.

Stakeholder theory was initially originated for the field of business and management during the 1980s (Freeman, 2010). Stakeholder theory helps to define, identify, and then analyze stakeholders for the success of a project or for the betterment of the organization. The main principle behind stakeholder theory is the principle of fairness, which implies that all stakeholders should be treated equally, and their interests should be equally regarded in a project (Phillips, 1997, 2003).

Understanding the stakeholders participating in the project is vital for the success of a project. It does not matter whether the project is related to engineering, management, or tourism. Stakeholder theory suggests that stakeholders should be divided into two main groups (Kenawy et al., 2017; Waligo et al., 2013).

- Primary stakeholders
- Secondary stakeholders

Primary stakeholders are those stakeholders without whose participation, the organization, or the project will cease to exist or will not be able to survive (Riahi, 2017; Waligo et al., 2013). While the secondary stakeholders are those that influence or affect or are influenced or affected by the organization, but the success of the project or the survival is not dependent

on the secondary stakeholders (Byrd, 2007; Riahi, 2017). Primary stakeholders will be heavily involved throughout the process (Maguire et al., 2012), while the secondary stakeholders are not directly associated with the project however can influence the project. Similar to the organizations, tourism destinations also have primary and secondary stakeholders such as NGOs, institutions, government agencies, local community, and businesses.

Stakeholder Theory in Tourism. Since the early 20th century, researchers have been striving to incorporate this stakeholder theory in tourism to get a better understanding of the stakeholders present in the tourism destination (Byrd, 2007; McComb et al., 2017; Nicolaides, 2015). Stakeholders are the main actors for sustainable tourism development in the destination, and their management plays a crucial role in the success of the tourism destination (Backman & Munanura, 2015; Lyon et al., 2017). Stakeholder theory also has a significant impact on the growth of ecotourism because it helps to identify the key players that are involved in the planning and decision making and thereby making the process of ecotourism implementation smoother, participatory and mutually agreeable by all parties involved in the destination (Sheehan & Ritchie, 2005).

The planners and developers of the tourism destination have also realized that the policy development of the area must involve the diverse number of stakeholders who are impacted by the

ecotourism development (Fennell, 2003). Thus, the stakeholder theory can help to provide a management framework that is compatible with the values and ethics of the sustainable development paradigm (Getz & Timur, 2005). Another utility of the stakeholder theory is that it helps to include the perspectives of all stakeholder groups present in the destination with respect to the decision making and general management of resources in the area (Moswete et al., 2012).

Stakeholder theory also guides to understand the interests, stakes, and the power of the stakeholders that are involved in the tourism destination (Chan & Bhatta, 2013; Harrison & Freeman, 2015; Noto & Noto, 2019). It is vital to include stakeholders' interests and understand their power of influence during the development, planning, and management of ecotourism in the destination (Byrd, 2007; Chan & Bhatta, 2013). No stakeholder interest should be left behind (Harrison & Freeman, 2015; Kenawy et al., 2017; Wei & Yang, 2013). Treating all stakeholders with the same respect, value, and fairness will generate a synergy towards making a project successful. Byrd (2007) identified main ecotourism stakeholders as local communities, protected area personnel, tourism industry, NGOs, consumers, financial institutions and ecotourism associations in the area.

Freeman (2010) stated that the essential component of the stakeholder theory was understanding the mutual interests and the power of influence of the stakeholders through which the stakeholders could be better managed. Stakeholder management

relies a great extent on stakeholder theory to develop strategic management solutions (Eskerod & Huemann, 2013).

Stakeholder theory can contribute significantly to understanding the processes involved in stakeholder management and achieving sustainability. The studies related to the stakeholder theory give strong evidence of how the stakeholder theory can contribute towards tourism sustainability (Perez-Batres et al., 2012). Together with the support of stakeholder theory, stakeholders roles, interests, and their power of influence can be determined for better management of the stakeholders.

METHODOLOGY

This section talks about the methodology and the theory that supports the framework of this article to develop a sustainable ecotourism framework. This study proposed to adopt stakeholder theory by Freeman, which emphasizes on identifying, understanding, and then managing stakeholders. To develop the conceptual framework, numerous methods were used to accumulate, synthesize, and examine the literature. The literature search used the following keywords "stakeholders involvement in ecotourism development", "sustainable ecotourism framework," and "stakeholders management in ecotourism destination." Different subjects were also analyzed to understand the stakeholders because stakeholders can impact on the success of the project. The search for the articles was done through Scopus, Google Scholar, ScienceDirect, and Web of Science.

After finding the relevant literature, an indepth review of the literature was conducted to construct and integrate the variables that could help in the better management of stakeholders, which would lead to achieving sustainability in ecotourism. Epistemological approach was used in this study because this approach recommends that because of the interaction between the researcher and the research issues and also for a reason that of the attempt of the researcher to understand viewpoints of the other studies and researchers and then interpret them, the findings of the study exist (Creswell & Clark, 2007). A deductive approach was used in this study, which was informed by the theories and studies used in the development of this paper. This review methodology is also in line with Gilson and Goldberg (2015), where they noted that the conceptual paper should provide a link between existing theories, literature from different subjects, provide multi-level perceptions and expanded the room for thinking.

Proposed Framework

This study tries to bring a new perspective for developing an ecotourism framework by managing stakeholders in the destination. The stakeholder theory also supports the view that the stakeholders' interests and their power of influence should be understood to make sure that the complete support of stakeholders is possible for sustainable tourism development. The gap between the understanding of the stakeholders' interests and their power of influence should be understood before developing management strategies that can

lead to a sustainable ecotourism model. This is where stakeholder management as a mediating variable is relevant to this framework. Stakeholder management plays the role of the mediator in this research because it helps to explain and strengthen the relationship between the dependent variable and independent variables. In the past, stakeholder management has been used as a mediator to strengthen the relationship between project success and also to achieve sustainability (Backman & Munanura, 2015; Rajablu et al., 2015; Rhodes et al., 2014). So, this study also utilizes stakeholder management as a mediator and tries to evaluate it from the perspective of sustainable tourism. The independent variables influence the mediator, and as a result, mediator influences the dependent variable. After understanding the stakeholders' interests and their influence capabilities, this study recommends to identify and develop stakeholder management strategies for the management of the stakeholders. The literature identified that stakeholder management could be done through engaging, empowerment, and monitoring of stakeholders (Rajablu et al., 2015; Waligo et al., 2013).

The understanding of the interest and the influence of the stakeholders in a tourism destination is vital for the success of the tourism destination. The management of the stakeholders of the destination on the basis of interests and influence power could help to cover the gap, and the subsequent effect would be the long term sustainable ecotourism in the destination. This study is the result of the literature review from previous studies and many suggestions provided by different researchers such as Chan and Bhatta (2013), Waligo et al. (2013), Ayachi and Jaouadi (2017), Kenawy et al. (2017), and Mendoza-Ramos and Prideaux (2018). Thus, this study developed a conceptual framework for future scholars to establish a connection between the independent variables such as stakeholders interests. stakeholders influence, mediating variable stakeholder management, and finally, the dependent variable sustainable ecotourism implementation and operationalization. The constructs are materialistic interests. environmental interests, socio-cultural interests, power, and networking. The conceptual framework in this study has two independent variables, namely, stakeholders interests and stakeholders

influence. The dependent variable is the successful implementation of ecotourism, and the mediating variable is stakeholder management, as shown in Figure 1. There are three stages in this framework known as stage 1: action, stage 2: purpose, and stage 3: effect stage. This study centers on understanding stakeholders' interests and influences for the development of the sustainable ecotourism framework. Stakeholders are critical players in the implementation and long term ecotourism in any destination, and their importance cannot be ignored. Consequently, with the help of data collected through mixed methodology research, it is proposed that these factors might contribute towards achieving sustainable ecotourism in the destination.

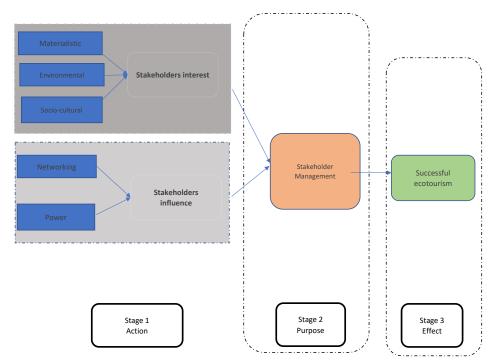


Figure 1. Proposed conceptual framework

Understanding Framework Components

Stakeholders Interest. The actions of the stakeholders define their interest in the project (Kenawy et al., 2017). Stakeholders importance is not judged by the possession of the money or information they hold but by the responsibilities, their contribution, and the stakes they have in the sustainable development of the destination (Getz & Timur, 2005; Nicolaides, 2015). Stakeholders interest can also be judged by how much loss or benefit they can suffer from the project. The more the stakeholders are involved in the project, the stronger their interest will be in the project. This interest of the stakeholders can increase or decrease because of different reasons such as ownership in the project, values, legal claim, monetary benefits, and some risk and return. Stakeholder theory also points out that the interests of the stakeholders are not only economical, but different stakeholders have other types of tangible interests as well (Freeman, 2010). After reviewing the studies, stakeholders identified different type of stakeholders interest while related to the sustainable tourism which are

- 1. Materialistic interest
- 2. Socio-cultural interest
- Environmental sustainability interest

It is crucial to understand that the stakeholders' interests vary among and in the groups. The disparate interests of the stakeholders can be an obstacle to prioritize actions and distort collective

efforts, which can result in the failure of the project (Nicolaides, 2015). Furthermore, the benefit of recognizing and understanding stakeholders interest is that it allows to include them as a part of the collective effort. Rajablu et al. (2015) stated that in order to achieve success in a project, stakeholders interests played a vital role in stakeholder management. Moreover, understanding and identifying stakeholders with varied interests help to bring more ideas, including different perspectives, gain support, fair to everyone, strengthens the project and saves from being blindsided by different concerns such as stakeholders striking against the project or losing their interest in the project (Osman et al., 2018). Achieving collaboration among stakeholders from different areas with diverse interests can generate integrative and holistic approaches for sustainable development, policy development, and achieving advance sustainability (Lee et al., 2017; Stoll-Kleemann et al., 2010). For sustainable tourism, the primary stakeholders of the area should have strong interests in environmental protection, financial benefits the ecotourism can bring, and sociocultural promotion. Sustainable tourism development is ecologically sustainable, economically viable and socially equitable (Ecological Tourism in Europe, 2005). In order to understand sustainable development in tourism, proactive planning should be done to anticipate the issues that can arise in the future and to find the best solution for the problems. Hardy and Pearson (2016) stated that sustainable tourism development by focusing on its principles and with proper planning should influence the (1) Economic health, (2) Subjective well being of local (3) Protection of natural resources, (4) Healthy culture and (5) Optimum satisfaction of guest requirements.

In order to achieve a better results in a tourism destination, it is said that similar interests among stakeholder belonging to different groups will have a positive impact on that change (Butler, 2018). If the interests are urgent, then it is more likely that the stakeholders will protect those interests (Miočić et al., 2016). Studying stakeholders' interests that can affect the outcome and can help to achieve sustainable ecotourism development in the area can help to ease the process of sustainable tourism (Das & Chatterjee, 2015). Stakeholders interest is associated with the stakeholder influence because a highly interested stakeholder can significantly influence the project due to which stakeholder's interest should be combined to develop proper management strategies.

Stakeholder Influences. Stakeholder influence is referred to as the level of impact and involvement of a stakeholder to bring the required shift in the project (Eskerod & Huemann, 2013). Freeman (1999) defined stakeholders influence as a set of actions stakeholders use to achieve their interests. This also helps us to identify a strong relationship between stakeholders interest and their power of influence. In the past stakeholder, influence has been used as an effective tool in the sustainable development studies to explore and demonstrate the

influence that the stakeholders hold over the decision making and the planning (Lyon et al., 2017).

Both the stakeholders' interests and their influence are related to each other because, in order to have an influence over a project, stakeholders should have a strong commitment and interest in the issues and actions occurring in the project (Yang, 2014). For tourism destination, multiple stakeholders influence can be measured through their power and their networking in the destination. Power can be personal, political, or positional, and networking of the stakeholders can be within the destination or outside the destination as well. The more powerful the stakeholders are, the more probable they will influence the project (Freeman, 2010).

Sustainable ecotourism development in a tourism destination can be influenced by stakeholder groups in many ways such as including tourism supply and demand, regulation, management of tourism impacts, human resources impose a correlation between goals of tourism stakeholder management and the implementation of sustainable tourism. The stakeholders could also form local, regional, national, and international action groups through networking to influence the activities and decision-making of the project. Furthermore, they can also establish alliances and allegiances to have a more significant impact (Voss, 2014). Stakeholders can also control resources to exert influence. Their level of influence can also be determined by how much hold they have over the resources of the area. Understanding stakeholder influence is thus crucial in promoting environmental sustainability.

As the concept of the stakeholder theory has evolved over the past years, it is thought to be synonymous with collaboration and management (Stoll-Kleemann et al., 2010; Van Cuong et al., 2018). Stakeholder theory identifies that there are several parties involved, and understanding their interests and influences is significant for the management of the stakeholders to project success and sustainability in the area (Waligo et al., 2013).

Stakeholder Management. The complexity and severity of environmental problems, such as climate change, biodiversity loss, pollution, ocean acidification, and interconnected problems, such as water and food security, need the support of all stakeholders in the society (Ayala-orozco et al., 2018). Implementing appropriate solutions to these problems requires the proper management and collaboration of government, civil society organizations (CSOs), local communities, and businesses (Ayala-orozco et al., 2018; Miočić et al., 2016).

Management of the diverse stakeholder groups mentioned above and tackling their interests can occur at national, regional, and local levels and is mostly orchestrated by a range of different organizations (Nicolaides, 2015). The inaccessibility of many stakeholders in the tourism system creates practical communication problems and appears to be a significant factor

behind the development of collaboration and management strategies (Van Cuong et al., 2017). The first step in developing a management strategy should be to understand the interest and influence of the stakeholders involved. Influential stakeholders with the highest interest are the most important and are followed by the stakeholders with less influence power and interest (Yang, 2014).

Management of the stakeholders plays a vital role in the success of the project. Project Stakeholder Management has been introduced as the tenth (10th) Knowledge Areas of PMBOK® Guide, 5th Edition, which was published in 2013. After understanding the stakeholders' interests and influences, they can be managed through developing communication and engagement strategies. A study conducted by Salman et al. (2020), on understanding the success indicators in the development of ecotourism framework also identified that key stakeholders involvement and their management were vital for the development of ecotourism framework. This study also emphasized on the management and involvement of the primary stakeholders by identifying their interests and influence level. The literature identified that stakeholder management could be done through engaging stakeholders accordingly to their level of influence and interest (Kent et al., 2012; Rajablu et al., 2015). Stakeholder management is considered as processes required to identify stakeholders or organizations impacted by the project, analyzing stakeholder expectations (interests), and impact on the project (influence), and developing appropriate management strategies for effectively engaging stakeholders in project decisions and execution (Project Management Institute [PMI], 2013). Stakeholder management is an iterative process, which manages stakeholders through a deliberate plan of action and strategic planning for the life of the project Inadequate understanding of the stakeholders interests and influence will lead to misunderstanding and raise conflicts between the stakeholders and eventually impacting the success of the project. PMI (2013) after considering the importance of these aspects, proposed that the stakeholder management for the project should be based on the process shown in Figure 2.

It should be noted that the management of the stakeholders by understanding the stakeholders' interests and their influences is not a simple task. Stakeholders can have varied interests and power to influence the project (Kenawy et al., 2017; Lee et al., 2017; Osman et al., 2018; Yang, 2014). It is also essential to understand stakeholders because the relationship between the stakeholders keeps on changing, and moreover, new stakeholders with varied interests and influence also keep on emerging over time (Getz & Timur, 2005). For instance, the private sector may have a keen interest in the economic development activities in the region, but only a small interest in biodiversity conservation. While on the other hand, the NGO's position in the region might be different. It will be more interested in biodiversity conservation and less interested in the economic activities that can hinder the conservation in the region (Fennell & Dowling, 2003).

Ecotourism Implementation. The concept of ecotourism was generated due to the negative impacts of mass tourism on one hand and environmental awareness on the



Figure 2. Stakeholder management processes PMI (2013)

other (Coria & Calfucura, 2012; Dam, 2013; Nigar, 2018; Picard, 2015). The International Ecotourism Society (2018) defined ecotourism as "responsible travel to natural areas that conserves the environment, sustains the well-being of the local people and involves interpretation and education."

Ecotourism has gone through many changes since the time of its emergence. It is one of the rare topics in the field of tourism that has been debated and researched but is still facing practical implementation issues (Cohen & Cohen, 2012; Walker & Moscardo, 2014).

Researchers have found that the lack of understanding on stakeholders interest and influences can lead to the failure of ecotourism implementation (Ayachi & Jaouadi, 2017; Rivera et al., 2018). All the stakeholders such as the local community, government, NGOs, tourists, research institutions should work together despite of the diversified interests and their power to influence to enhance the community well-being and the conservation of the resources. NGOs and the local government should collaborate with the community for a better understanding on this issues (Chan & Bhatta, 2013; Grieves et al., 2014; Mendoza-Ramos & Prideaux, 2018).

If ecotourism is implemented and maintained properly with the help of stakeholders, it can not only help generate economic benefits for the destination, but it can also stop the environmental destruction, increase cultural awareness and protect the resources of the destination (Salman et al., 2020). Therefore, understanding the

issues and varied interests of these multiple stakeholders are considered to be vital for successful ecotourism implementation.

RESULTS

Several studies have been conducted in the past to develop a sustainable ecotourism framework, and the main focus areas of researches were concerned about the factors affecting sustainable ecotourism. Researchers have acknowledged that key players for implementing and managing ecotourism are the stakeholders, and their involvement and collaboration is vital for the successful implementation of ecotourism in the area. Literature observed for this study shows some researches focused on the place-specific conditions for ecotourism development, while some have focused on governance strategies to develop sustainable ecotourism in the area. All of the studies reviewed have pointed out that the stakeholders are vital for ecotourism implementation, and without their involvement, collaboration and management, ecotourism implementation, or operationalization in an area is not possible. Some of the primary studies conducted to develop sustainable ecotourism are mentioned in the table provided in appendix section.

The studies analyzed showed that continuous work was being done on achieving sustainability in ecotourism. The studies indicated some critical factors for achieving ecotourism sustainability which are:

- 1. Conservation
- 2. Destination Management
- 3. Stakeholders collaboration
- 4. Ecotourism policy development

The researchers are aware of the importance of the multiple stakeholder management, but still, none of the studies above has focused on understanding stakeholders interest and their influence first to develop management strategies for stakeholders to achieve ecotourism sustainability in the destination. Understanding stakeholders interests and their level of influence will help to prioritize key stakeholders and can also guide to achieve unity among different stakeholders to achieve a common goal of ecotourism sustainability.

Ecotourism successful implementation is not possible without the stakeholders' involvement, collaboration, and management. This study focused on the factors related to stakeholders and how their interest and influence could be aligned for the management of stakeholders, which would eventually lead towards successful ecotourism implementation. Ecotourism implementation requires a framework, and it cannot be implemented if the stakeholders are not adequately understood and managed. Past literature also points out that stakeholders interests and their level of influence should be understood first before developing a strategy. Stakeholder management can be done through stakeholder engagement, and positive engagement will help and guide to develop sustainable ecotourism in the destination

Social Relevance and Implications of The Framework

Ecotourism, as identified by the International Ecotourism Society, focuses on reducing environmental damages, developing cultural and environmental awareness, enhancing the tourism experience for both visitors and hosts, provide financial benefits for conservation, and developing low impact facilities. This study will help to develop a sustainable ecotourism framework through which the environmental, social, and economic benefits can be achieved in the destination. The successful implementation of the ecotourism in the destination will result in creating more jobs and long term alternate source of living for the community. Moreover, environmental awareness will be enhanced, and the socio-cultural impact of tourism would be positive. Natural resources and its management would be done in an efficient way for the long term sustainability of the area. This framework will help to understand stakeholders of the destination because without understanding the stakeholders, it is not possible to implement sustainable ecotourism in the destination, and the benefits of ecotourism cannot be enjoyed. So, this model will also validate the previous findings that the understanding stakeholders and then developing strategies for the management of the stakeholders for the ecotourism implementation can lead to the successful ecotourism development in the area.

DISCUSSION

Importance of all primary stakeholders

cannot be overlooked while developing a sustainable ecotourism plan for a destination. Stakeholders need to be adequately managed so that they remain focused towards the same goal of achieving sustainability in the destination. Stakeholders will be involved in a destination if they have a high interest in it. Stakeholders with high interest will also be able to influence as well, so their management is of vital significance for the successful ecotourism in the destination. There are times when stakeholder management is complex, especially when multiple stakeholders are involved. Stakeholders interests and influence should be considered to make stakeholder management successful.

After analyzing the studies provided in Table 1, the difference between the successful and less successful ecotourism was observed. Successful ecotourism destinations included countries like Korea, UK, Mexico, Costa Rica, Austria, Africa and Australia. The main successful ecotourism factors identified in these points were the involvement of stakeholders, influencing stakeholders involvement, identifying key stakeholders, understanding and managing stakeholders interests, understanding stakeholders involvement capacity, analyzing stakeholders relationships, monitoring and evaluating ecotourism activities in the destination, ecological rules for the preservation of resources and environment, stakeholders support. Moreover, it was also observed that internet advertising, understanding of the right ecotourism activities, and continued financial support for expansion was a key for a thriving ecotourism destination. Resources such as transportation infrastructure to overcome remoteness and a technical connection to the outside for public relations and advertising are necessary. As a result of successful ecotourism implementation, these destinations were able to enjoy great economic, environmental and socio-cultural benefits like more jobs, cultural promotion, biodiversity preservation and environmental protection. The community and other key stakeholders of these destinations seemed to be eager to take part in the ecotourism activities because they were aware of the benefits it will bring to them.

Less successful ecotourism destinations present in Ethiopia, South Africa, Indonesia, Philippines, Egypt, Greece, Nepal, China and Romania also identified some key points to enhance ecotourism in the destination. The analysis of the less ecotourism destinations identified that lack of satisfaction, difference in perception of stakeholders, lack of stakeholder management strategies, lack of awareness of issues, focusing on economic activities only, lack of support from the community, lack of stakeholders involvement from stakeholders, varied stakeholders interests, limited resources, overlapping land ownership structure, political issues, lack of appropriate ecotourism policies and plans, accessibility issues and finally lack of proper destination management was observed to the main factors that made these destinations less successful in implementing and maintaining long term ecotourism sustainability.

Table 1
Synthesised articles list

No	Author	Geographical	Ec	Ecotourism	ism	Mana	Management	Col	Conservation	ion		Stakeholders	lders	
		Area	ED	EI	EPD	DM	MMS	CA	BC	RC	SC	KSI	SI	SIF
-	Hardy & Beeton (2001)	Australia					>			>		>	>	
7	TG Ko (2005)	Korea	>		>							>	>	
33	Courvisanos & Jain (2006)	Costa Rica		>						>	>	>		
4	Pipinos & Fokiali (2009)	Northern Karpathos, Greece					>	>	>	>		>		
5	Chan & Bhatta (2013)	Nepal	>	>	>			>	>	>		>		
9	Wei & Yang (2013)	China	>									>	>	
7	Waligo et al. (2013)	UK	>				>					>		
∞	Su et al. (2014)	China					>				>	>		>
6	Grieves et al. (2014)	Mexico				>	>			>	>	>		
10	Ramos & Prideaux (2014)	Mexico	>				>			>	>	>		
11	Zehrer & Hallmann (2015)	Austria	>				>					>		
12	Nicolaides (2015)	South Africa					>					>		>
13	Candrea & Herțanu (2015)	Romania		>	>	>		>			>	>		
14	Cobbinah et al. (2015)	Africa (Ghana)				>	>	>		>	>	>		
15	Miočić et al. (2016)	Croatia	>				>					>	>	

Table 1 (Continued)

No	No Author	Geographical	Ā	Ecotourism	ism	Mana	Management	Cor	Conservation	tion		Stakeholders	olders	
		Area	ED	EI	EPD	DM	MMS	CA	BC	RC	SC	KSI	SI	SIF
16	Wang et al. (2016)	Taiwan	>				>				>			>
17	Lee et al. (2017)	Korea	>				>					>	>	
18	Kenawy et al. (2017)	Egypt	>									>	>	>
19	Ayachi & Jaouadi (2017)	Island of Farasan				>				>	>	>		
20	Van Cuong et al. (2017)	Australia					>			>		>		
21	Ayala-orozco et al. (2018)	Mexico	>				>			>	>	>		
22	Osman et al. (2018)	Egypt	>				>				>	>		
23	Rivera et al. (2018)	Philippines		>	>		>	>	>	>		>		
24	Van Cuong et al. (2018)	Vietnam	>				>			>		>	>	
25	Litheko & Potgieter (2019)	South Africa	>			>	>							
26	Herlangga & Basuni (2019)	Indonesia	>										>	>
27	Wondriad et al. (2020)	Ethiopia	>				>		>	>	>	>		

Destination Management, MMS= Management of multiple stakeholders); Conservation (CA= Conservation Activities, BC= Biodiversity Conservation, EC= Environmental Conservation); Stakeholders (SC= Stakeholder Collaboration, RSI= Key stakeholder involvement, SI = Stakeholder Interest, SIF= Stakeholder Coding Note: Ecotourism (ED= Ecotourism Development, EI= Ecotourism Integration, EPD= Ecotourism Policy Development); Management (DM= influence)

It can be noticed that whether the destination is successful or less successful, stakeholders are considered to be the key of achieving ecotourism sustainability in the destination. Both types of destinations have pointed out that along with other factors, the management of stakeholders is vital for the success of any tourism destination. It was clearly observed from the less successful ecotourism destinations that lack of understanding and management of the stakeholders resulted in the failure of achieving sustainability in the destination.

The unsuccessful cases of ecotourism implementation also pointed that their lack of understanding of the stakeholders interests was one of the major reasons for the destination failure in contrast to the successful ecotourism destinations pointed out that identifying stakeholders, understanding their interests, level of influence, perceptions and proper management led to the success of the destination. Stakeholders in sustainable ecotourism development can be classified accordingly to their level of interest and the level of their influence. The level of interest will determine how much stakeholders care about the outcomes. Are they beneficiaries or will there be adverse effects? The level of influence will determine the degree in which a stakeholder will make or break the project, for example, authority, protests, legislation or funding. After their level of interest and influence is determined, stakeholders management strategies can be developed to make sure that the stakeholders remain focus on the sustainable ecotourism implementation and development.

In the context of developing a sustainable ecotourism framework, the aforementioned factors mentioned in the framework such as understanding stakeholders' interest and their influences are vital for success. Stakeholders interests and influence power must be considered during planning and decision-making phases for the successful ecotourism development. These factors can lead to the success or failure of an ecotourism destination. It is vital to manage the destination properly with the help of all key stakeholders because stakeholders involved in the destination can influence the destination in various ways such as demand, supply, policy development, workforce or holding of the resources. This indicates the importance of stakeholders management in the destination. Moreover, the majority of the issues that hamper the ecotourism sustainability in the destination are also related to the stakeholders due to which stakeholder management should be carefully planned and strategized. Therefore, the framework proposed in this study will help to understand the interests and level of influence of the stakeholders which will as a result help manage and align all stakeholders of the destination towards achieving ecotourism sustainability.

CONCLUSION

This study examined and suggested a positive mediating influence of stakeholder management on ecotourism implementation and operationalization. Consequently, this proposed model has numerous contributions regarding sustainable ecotourism

implementation. The resultant effect of this model would produce results that will offer insights to policymakers and government agencies regarding the significance of the stakeholders in the ecotourism development.

Secondly, past studies have pointed out that the stakeholders are of vital importance when it comes to the implementation of the ecotourism in the destination. Not including the interest of a single stakeholder can lead to the failure of the project. Furthermore, strategic stakeholder management can also lead in creating support for the area and constructs an environment that helps the destination to grow. Understanding the stakeholders involved in the destination will also guide the policymakers to manage the destination efficiently leading towards sustainable ecotourism. The recommended framework also suggests that adequate stakeholder management will lead to sustainable ecotourism. This implies that the understanding of stakeholders interests and their power of influence have the potential to implement ecotourism in the area. Thus, this model can be validated and additional research, both empirical and non-empirical analysis could be done to understand just how the moderating effect of the stakeholder management will lead to the ecotourism implementation and operationalization.

ACKNOWLEDGEMENT

The authors would like to thank the Universiti Sains Malaysia (USM) for supporting this research under the USM Fellowship Scheme and Research Grant, School of Housing Building and Planning, Universiti Sains Malaysia (Grant no: 1001/PPBGN/8016053).

REFERENCES

- Abdullah, A. R., Weng, C. N., Afif, I., & Fatah, A. (2018). Ecotourism in Penang National Park: A multi-stakeholder perspective on environmental issues. *Journal of Business and Social Development*, 6(1), 70-83.
- Ayachi, H., & Jaouadi, S. (2017). Problems and perspective of ecotourism in the Island of Farasan. *Society and Business Review*, 12(2), 235-251. https://doi.org/10.1108/sbr-10-2016-0056
- Ayala-orozco, B., Rosell, J. A., Merçon, J., Bueno, I., Alatorre-frenk, G., Langle-flores, A., & Lobato, A. (2018). Challenges and strategies in place-based multi-stakeholder collaboration for sustainability: Learning from experiences in the global South. Sustainability, 10. https://doi.org/10.3390/su10093217
- Backman, K. F., & Munanura, I. (2015). Introduction to the special issues on ecotourism in Africa over the past 30 years. *Journal of Ecotourism*, *14*(2-3), 95-98. https://doi.org/10.1080/147240 49.2015.1128058
- Berardi, U. (2013). Stakeholders' influence on the adoption of energy-saving technologies in Italian homes. *Energy Policy*, 60, 520-530. https://doi.org/10.1016/j.enpol.2013.04.074
- Butler, R. (2018). Sustainable tourism in sensitive environments: A wolf in sheep's clothing? Sustainability (Switzerland), 10(6), 1789. https://doi.org/10.3390/su10061789
- Byrd, E. T. (2007). Stakeholders in sustainable tourism development and their roles: Applying stakeholder theory to sustainable tourism development. *Tourism Review 62*(2), 6-13. https://doi.org/10.1108/16605370780000309

- Candrea, A. N., & Herţanu, A. (2015). Developing ecotourism destinations in Romania. A case study approach. *Bulletin of the Transilvania University of Braşov*, 8(2), 293-294.
- Chan, R., & Bhatta, K. D. (2013). Ecotourism planning and sustainable community development: Theoretical perspectives for Nepal Ecotourism Planning and Sustainable Community. *South Asian Journal of Tourism and Heritage, 6*(1), 69-96. https://doi.org/10.5353/th b5328039
- Cobbinah, P. B., Black, R., & Thwaites, R. (2015). Ecotourism implementation in the Kakum Conservation Area, Ghana: Administrative framework and local community experiences. *Journal of Ecotourism*, 14(2-3), 223-242. https://doi.org/10.1080/14724049.2015.1051536
- Cohen, E., & Cohen, S. A. (2012). Current sociological theories and issues in tourism. *Annals of Tourism Research*, *39*(4), 2177-2202. https://doi.org/10.1016/j.annals.2012.07.009
- Coria, J., & Calfucura, E. (2012). Ecotourism and the development of indigenous communities: The good, the bad, and the ugly. *Ecological Economics*, 73, 47-55. https://doi.org/10.1016/j.ecolecon.2011.10.024
- Courvisanos, J., & Jain, A. (2006). A framework for sustainable ecotourism: Application to Costa Rica. *Tourism and Hospitality, Planning and Development*, *3*(2), 131-142. https://doi.org/10.1080/14790530600938378
- Creswell, J., & Clark, V. P. (2007). Ch. 3. Choosing a mixed methods design. In *Designing and* conducting mixed methods research (pp. 53-106). Sage Publications
- Dam, S. (2013). Issues of sustainable ecotourism development in Sikkim: An analysis. *South Asian Journal of Tourism and Heritage*, 6(2), 32-47.
- Das, M., & Chatterjee, B. (2015). Ecotourism: A panacea or a predicament? *Tourism Management*

- *Perspectives, 14*, 3-16. https://doi.org/10.1016/j. tmp.2015.01.002
- Ecological Tourism in Europe. (2005). Sustainable tourism development in UNESCO designated sites in South-Eastern Europe. http://www.ceeweb.org/stcdb/handbook/sustainable-tourism-development-in-unesco-designated-sites-in-south-eastern-europe/
- Eskerod, P., & Huemann, M. (2013). Sustainable development and project stakeholder management: what standards say. *International Journal of Managing Projects in Business*, 6(1), 36-50. https://doi.org/10.1108/17538371311291017
- Fennell, D. A. (2003). *Ecotourism: An introduction*. Routledge.
- Fennell, D. A., & Dowling, R. K. (2003). Ecotourism policy and planning: Stakeholders, management and governance. In *Ecotourism policy and planning* (pp. 331-344). CABI. http://doi.org/10.1079/9780851996097.0001
- Freeman, R. (2010). Strategic management: A stakeholder approach. Cambridge University Press.
- Freeman, R. E. (1999). Divergent stakeholder theory. *Academy of Management Review*, 24(2), 233-236. https://doi.org/10.5465/AMR.1999.1893932
- Getz, D., & Timur, S. (2005). Stakeholder involvement in sustainable tourism: Balancing the voices. In *Global Tourism* (pp. 230-247). Elsevier Inc. https://doi.org/10.1016/b978-0-7506-7789-9.50019-4
- Gilson, L. L., & Goldberg, C. B. (2015). Editors' comment: So, What is a conceptual paper? In *Group and Organization Management* (Vol. 40, Issue 2; pp. 127-130). SAGE Publications Inc. https://doi.org/10.1177/1059601115576425
- Grieves, M., Adler, M., & King, R. (2014). To preserve the mountains and the community: indigenous ecotourism as a sustainable development

- strategy. *Social Thought and Research*, *33*. https://doi.org/10.17161/STR.1808.18446
- Hardy, A. L., & Beeton, R. J. S. (2001). Sustainable tourism or maintainable tourism: Managing resources for more than average outcomes? *Journal of Sustainable Tourism*, 9(3), 168-192. https://doi.org/10.1080/09669580108667397
- Hardy, A., & Pearson, L. J. (2016). Determining sustainable tourism in regions. Sustainability (Switzerland), 8(7), 1-18. https://doi.org/10.3390/ su8070660
- Harrison, J. S., & Freeman, R. E. (2015). Stakeholder theory as an ethical approach to effective management: Applying the theory to multiple contexts. *Review of Business Management*, 17(55), 858-869. https://doi.org/10.7819/rbgn. v17i55.2647
- Herlangga, R. E., & Basuni, S. (2019). Stakeholder management of Kawasan Konservasi Mangrove dan Bekantan in Tarakan City. *Jurnal Manajemen Hutan Tropika*, 25(3), 146-153. https://doi. org/10.7226/jtfm.25.3.146
- Kenawy, E. H., & Shaw, D. (2014). Developing a more effective regional planning framework in Egypt: The case of ecotourism. WIT Transactions on Ecology and the Environment, 187, 77-91. https://doi.org/10.2495/ST140071
- Kenawy, E., Osman, T., & Alshamndy, A. (2017).
 What are the main challenges impeding implementation of the spatial plans in Egypt using ecotourism development as an example?
 Social Sciences, 6(3), 75. https://doi.org/10.3390/socsci6030075
- Kent, K., Sinclair, A. J., & Diduck, A. (2012). Stakeholder engagement in sustainable adventure tourism development in the Nanda Devi Biosphere Reserve, India. *International Journal* of Sustainable Development and World Ecology, 19(1), 89-100. https://doi.org/10.1080/1350450 9.2011.595544

- Kiper, T. (2013). Role of ecotourism in sustainable development. In *Advances in Landscape Architecture*. https://doi.org/10.5772/55749
- Ko, T. G. (2005). Development of a tourism sustainability assessment procedure: A conceptual approach. *Tourism Management*, 26(3), 431-445. https://doi.org/10.1016/j. tourman.2003.12.003
- Komppula, R. (2016). The role of different stakeholders in destination development. *Tourism Review*, 7(1), 67-76. https://doi.org/10.1108/TR-06-2015-0030
- Lalicic, L. (2018). Open innovation platforms in tourism: How do stakeholders engage and reach consensus? *International Journal of Contemporary Hospitality Management*, 30(6), 2517-2536. https://doi.org/10.1108/ IJCHM-04-2016-0233
- Lee, J. H., Kim, S. H., & Kwon, H. S. (2017). Mapping interests by stakeholders' subjectivities toward ecotourism resources: The case of Seocheon-Gun, Korea. *Sustainability (Switzerland)*, *9*(1). https://doi.org/10.3390/su9010093
- Litheko, A., & Potgieter, M. (2019). Strategic management of tourism stakeholders: Bakgatlaba-Kgafela, South Africa. *African Journal of Hospitality, Tourism and Leisure*, 8(2), 1-23.
- Lyon, A., Hunter-jones, P., & Warnaby, G. (2017).

 Are we any closer to sustainable development?

 Listening to active stakeholder discourses of tourism development in the Waterberg Biosphere Reserve, South Africa. *Tourism Management*, 61, 234-247. https://doi.org/10.1016/j.tourman.2017.01.010
- Maguire, B., Potts, J., & Fletcher, S. (2012). The role of stakeholders in the marine planning process—Stakeholder analysis within the Solent, United Kingdom. *Marine Policy*, *36*(1), 246-257. https://doi.org/10.1016/j.marpol.2011.05.012

- McComb, E. J., Boyd, S., & Boluk, K. (2017). Stakeholder collaboration: A means to the success of rural tourism destinations? A critical evaluation of the existence of stakeholder collaboration within the Mournes, Northern Ireland. *Tourism* and Hospitality Research, 17(3), 286-297. https://doi.org/10.1177/1467358415583738
- Mendoza-Ramos, A., & Prideaux, B. (2018). Assessing ecotourism in an Indigenous community: using, testing and proving the wheel of empowerment framework as a measurement tool. *Journal of Sustainable Tourism*, 26(2), 277-291. https://doi.org/10.1080/09669582.2017.1347176
- Mihalic, T. (2016). Sustainable-responsible tourism discourse Towards "responsustable" tourism. *Journal of Cleaner Production*, *111*, *Part B*(January), 461-470. https://doi.org/10.1016/j. iclepro.2014.12.062
- Miočić, B. K., Razović, M., & Klarin, T. (2016). Management of sustainable tourism destination through stakeholder cooperation*. *Journal of Contemporary Management Issues*, 21(2), 99-120.
- Moswete, N. N., Thapa, B., & Child, B. (2012). Attitudes and opinions of local and national public sector stakeholders towards Kgalagadi Transfrontier Park, Botswana. *International Journal of Sustainable Development and World Ecology*, 19(1), 67-80. https://doi.org/10.1080/13504509.2011.592551
- Newcombe, R. (2003). From client to project stakeholders: A stakeholder mapping approach. *Construction Management and Economics*, 21(8), 841-848. https://doi.org/10.1080/0144619032000072137
- Nicolaides, P. A. (2015). Tourism stakeholder theory in practice: Instrumental business grounds, fundamental normative demands or a descriptive application? *African Journal of Hospitality, Tourism and Leisure*, 4(2), 1-27.

- Nigar, N. (2018). Ecotourism for sustainable development in Gilgit-Baltistan. *Strategic Studies*, 38 (3), 72-85.
- Noto, G., & Noto, L. (2019). Local strategic planning and stakeholder analysis: Suggesting a dynamic performance management approach. *Public Organization Review*, 19(3), 293-310. https://doi.org/10.1007/s11115-018-0403-0
- Osman, T., Shaw, D., & Kenawy, E. (2018). Examining the extent to which stakeholder collaboration during ecotourism planning processes could be applied within an Egyptian context. *Land Use Policy*, 78(March), 126-137. https://doi.org/10.1016/j.landusepol.2018.06.043
- Perez-Batres, L. A., Doh, J. P., Miller, V. V., & Pisani, M. J. (2012). Stakeholder pressures as determinants of CSR strategic choice: Why do firms choose symbolic versus substantive self-regulatory codes of conduct? *Journal of Business Ethics*, *110*(2), 157-172. https://doi.org/10.1007/s10551-012-1419-y
- Phillips, R. (1997). Stakeholder theory and a principle of fairness. *Business Ethics Quarterly*, 7(1), 51-66. https://doi.org/10.2307/3857232
- Phillips, R. (2003). Stakeholder theory and organizational ethics. Berrett-Koehler Publishers.
- Picard, D. (2015). Making ecotourism sustainable: Refocusing on economic viability. Lessons learnt from the "Regional strategic action plan for coastal ecotourism development in the South Western Indian Ocean". *Journal of Sustainable Tourism*, 23(6), 819-837. https://doi.org/10.108 0/09669582.2015.1019512
- Pipinos, G., & Fokiali, P. (2009). An assessment of the attitudes of the inhabitants of Northern Karpathos, Greece: Towards a framework for ecotourism development in environmentally sensitive areas: Aramework in environmentally sensitive areas. *Environment, Development and Sustainability, 11*(3), 655-675. https://doi.org/10.1007/s10668-007-9135-y

- Project Management Institute. (2013). A guide to the project management body of knowledge. In *Choice Reviews Online* (5th ed.). https://doi.org/10.5860/choice.34-1636
- Pongponrat, K., & Chantradoan, N. J. (2012). Mechanism of social capital in community tourism participatory planning in Samui Island, Thailand. *Tourismos*, 7(1), 339-349.
- Rajablu, M., Marthandan, G., Fadzilah, W., & Yusoff, W. (2015). Managing for stakeholders: The role of stakeholder-based management in project success. *Asian Social Science*, 11(3), 111-125. https://doi.org/10.5539/ass.v11n3p111
- Ramos, A. M., & Prideaux, B. (2014). Indigenous ecotourism in the Mayan rainforest of Palenque: empowerment issues in sustainable development. *Journal of Sustainable Tourism*, 22(3), 461-479. https://doi.org/10.1080/09669582.2013.828730
- Rhodes, J., Bergstrom, B., Lok, P., & Cheng, V. (2014). A framework for stakeholder engagement and sustainable development in MNCs. *Journal of Global Responsibility*, 5(1), 82-103. https://doi.org/10.1108/jgr-02-2014-0004
- Riahi, Y. (2017). Project stakeholders: Analysis and management processes. *SSRG International Journal of Economics and Management Studies*, 4(3), 37-42. https://doi.org/10.14445/23939125/IJEMS-V4I3P108
- Rivera, J. P. R., Gutierrez, E. L. M., & Rivera, J. P. R. (2018). A framework toward sustainable ecotourism value chain in the Philippines. *Journal of Quality Assurance in Hospitality & Tourism*, 20(2), 123-142. https://doi.org/10.108 0/1528008X.2018.1492495
- Salman, A., Mastura, J., & Mohamad, D. (2020). Strengthening sustainability: A thematic synthesis of globally published ecotourism frameworks. African Journal of Hospitality, Tourism and Leisure, 9(3), 246-258.

- Sheehan, L. R., & Ritchie, J. R. B. (2005). Destination stakeholders: Exploring identity and salience. *Annals of Tourism Research*, *32*(3), 711-734. https://doi.org/10.1016/j.annals.2004.10.013
- Stoll-Kleemann, S., De La Vega-Leinert, A. C., & Schultz, L. (2010). The role of community participation in the effectiveness of UNESCO Biosphere Reserve management: Evidence and reflections from two parallel global surveys. *Environmental Conservation*, *37*(3), 227-238. https://doi.org/10.1017/s037689291000038x
- Su, M. M., Wall, G., & Ma, Z. (2014). Assessing ecotourism from a multi-stakeholder perspective: Xingkai Lake National Nature Reserve, China. *Environmental Management*, *54*(5), 1190-1207. https://doi.org/10.1007/s00267-014-0360-5
- The International Ecotourism Society. (2018). What is Ecotourism? | The International Ecotourism Society. https://ecotourism.org/what-is-ecotourism/
- Timur, S., & Getz, D. (2008). A network perspective on managing stakeholders for sustainable urban tourism. *International Journal of Contemporary Hospitality Management*, 20(4), 445-461. https://doi.org/10.1108/09596110810873543
- Üllenberg, A., Buchberger, C., Meindl, K., Rupp, L., Springsguth, M., & Straube, B. (2015). Evaluating cross-border natural resource management projects: Community-based tourism development and fire management in conservation areas of the SADC region (Publication Series S259). Seminar für Ländliche Entwicklung.
- Van Cuong, C., Dart, P., Dudley, N., & Hockings, M. (2018). Building stakeholder awareness and engagement strategy to enhance biosphere reserve performance and sustainability: The case of Kien Giang, Vietnam. *Environmental Management*, 62(5), 877-891. https://doi.org/10.1007/s00267-018-1094-6

- Van Cuong, C., Dart, P., & Hockings, M. (2017). Biosphere reserves: Attributes for success. Journal of Environmental Management, 188, 9-17. https://doi.org/10.1016/j. jenvman.2016.11.069
- Voss, H. (2014). Environmental public participation in the UK. *The International Journal of Social Quality*, 4(1), 26-40.
- Waligo, V. M., Clarke, J., & Hawkins, R. (2013). Implementing sustainable tourism: A multistakeholder involvement management framework. *Tourism Management*, 36, 342-353. https://doi.org/10.1016/j.tourman.2012.10.008
- Walker, D. H. T., Bourne, L. M., & Shelley, A. (2008). Influence, stakeholder mapping and visualization. *Construction Management and Economics*, 26(6), 645-658. https://doi.org/10.1080/01446190701882390
- Walker, K., & Moscardo, G. (2014). Encouraging sustainability beyond the tourist experience: Ecotourism, interpretation and values. *Journal of Sustainable Tourism*, 22(8), 1175-1196. https://doi.org/10.1080/09669582.2014.918134
- Wang, C. C., Cater, C., & Low, T. (2016). Political challenges in community-based ecotourism. *Journal of Sustainable Tourism*, 24(11), 1555-1568. https://doi.org/10.1080/09669582.2015. 1125908

- Wei, M., & Yang, R. R. (2013). A research on ecotourism development models based on the stakeholder theory. Applied Mechanics and Materials, 291-294, 1447-1450. https://doi.org/10.4028/www.scientific.net/amm.291-294.1447
- Wondriad, A., Tolkach, D., & King, B. (2020). Stakeholder collaboration as a major factor for sustainable ecotourism development in developing countries. *Tourism Management*, 78(October 2019), Article 104024. https://doi. org/10.1016/j.tourman.2019.104024
- Yang, R. J. (2014). An investigation of stakeholder analysis in urban development projects: Empirical or rationalistic perspectives. *International Journal of Project Management*, 32(5), 838-849. https://doi.org/10.1016/j.ijproman.2013.10.011
- Zehrer, A., & Hallmann, K. (2015). A stakeholder perspective on policy indicators of destination competitiveness. *Journal of Destination Marketing & Management*, 4(2), 120-126. https://doi.org/10.1016/j.jdmm.2015.03.003



REFERES FOR THE PERTANIKA JOURNAL OF SOCIAL SCIENCES AND HUMANITIES

VOL. 29 (1) MAR. 2021

The Editorial Board of Pertanika Journal of Social Sciences and Humanities wishes to thank the following:

Abolfathi Momtaz Yadollah	Azreen Rozainee	Evan Lau Poh Hock
(UPM, Malaysia)	(UUM, Malaysia)	(UNIMAS, Malaysia)
Abu Hanifah Haris	Barbara Blundell	Faizah Safina Bakrin
(UM, Malaysia)	(Curtin, Australia)	(KPJUC, Malaysia)
Afida Mohamad Ali	Basu Sharma	Farideh Alizadeh
(UPM, Malaysia)	(UNB, Canada)	(UM, Malaysia)
Ahmad Fauzi Mohd Ayub	Benjamin Okorie Ajah	Fides del Castillo
(UPM, Malaysia)	(UNN, Nigeria)	(DLSU, Philippines)
Ahmad Rizal Mazlan	Bernard Lim Jit Heng	Garry Tan Wei Han
(UUM, Malaysia)	(INTI, Malaysia)	(UCSI, Malaysia)
Ahmad Zamri Khairani	Carol Elizabeth Leon	Ghada Sasa
(USM, Malaysia)	(UM, Malaysia)	(YU, Jordan)
Amily Fikry (UiTM, Malaysia)	Chan Kim Ling @ Geraldine (UKM, Malaysia)	Ghazali Bello Abubakar (SSU, Nigeria)
Ani Munirah Mohamad	Chan Mei Yuit	Hafezali Iqbal Hussain
(UUM, Malaysia)	(UPM, Malaysia)	(Taylor's, Malaysia)
Anita Rosli	Che Aleha Ladin	Hairul Anuar Hashim
(UPM, Malaysia)	(UM, Malaysia)	(USM, Malaysia)
Anna Christina Abdullah (WOU, Malaysia)	Chien-Jui Cynthia Tseng (PSU, Thailand)	Halimah Abdul Manaf (UUM, Malaysia)
Anuar Mohd Yusof	Chinedu Ernest Dinne	Hani Salwah Yaakup
(UMK, Malaysia)	(UI, Nigeria)	(UPM, Malaysia)
Arshad Abd Samad (UPM, Malaysia)	Chu Ei Yet (USM, Malaysia)	Hardev Kaur Jujar Singh (UPM, Malaysia)
Atipat Boonmoh	Donnie Adams	Harlida Abdul Wahab
(KMUTT, Thailand)	(UM, Malaysia)	(UUM, Malaysia)
Azlin Zaiti Zainal	Donny Abdul Latief	Harris Shah Abd Hamid
(UM, Malaysia)	Poespowidjojo	(UM, Malaysia)
Azman Mohamed Nor Azhari (UPSI, Malaysia)	(UUM, Malaysia) Ehsan Namaziandost	Hawati Janor (UKM, Malaysia)
Azmawaty Mohamad Nor (UM, Malaysia)	(IAU, Iran) Emeh Ikechukwu Eke (UNN, Nigeria)	Hazrina Ghazali (UPM, Malaysia)

Helen Tan (UPM, Malaysia)

Ibrahim (UBB, Indonesia)

Intan Marfarrina Omar (UM, Malaysia)

Jamiah Manap (UKM, Malaysia)

Jane-Francis Abongdia (CPUT, South Africa)

Jennifer Kim Lian Chan (UMS, Malaysia)

Julia Wirza Mohd Zawawi (UPM, Malaysia)

Juliana Othman (UM, Malaysia)

Kaj Sparle Christensen (AU, Denmark)

Khairul Farhah Khairuddin (UKM, Malaysia)

Lajiman Janoory (UPSI, Malaysia)

Lee Yok Fee (UPM, Malaysia)

Liew Yueah Cin (YSU, Taiwan)

Lim Chong Hin (Taylor's, Malaysia)

Lim Jia Wei (UM, Malaysia)

Linh Duy Nguyen (RERU, Thailand)

Mad Noor Mad Japuni (UMS, Malaysia)

Malini Ganapathy (USM, Malaysia)

Mazlini Adnan (UPSI, Malaysia)

Md Zahidul Islam (IIUM, Malaysia)

Melissa Ng Lee Yen Abdullah (USM, Malaysia)

Mimi Nahariah Azwani Mohamed (UTHM, Malaysia)

Mohamad Hashim Othman (USM, Malaysia)

Mohamad Zaidi Abdul Rahman (UM, Malaysia)

Mohammad Rezal Hamzah (UniMAP, Malaysia)

Mohd Azmir Mohd Nizah (USIM, Malaysia)

Mohd Hafiz Jaafar (USIM, Malaysia)

Mohd Hilmi Hamzah (UUM, Malaysia)

Mohd Kamarulnizam Abdullah (UUM, Malaysia)

Mohd Khairie Ahmad (UUM, Malaysia)

Mohd Kipli Abdul Rahman (UPSI, Malaysia)

Mohd Muzhafar Idrus (USIM, Malaysia)

Mohd Rizal Abd Rahman (UKM, Malaysia)

Mohd Sallehhudin Abd Aziz (UKM, Malaysia)

Mustapha Alhaji Ali (YSU, Nigeria)

Ngo Sheau Shi (USM, Malaysia)

Nik Salida Nik Saleh (USIM, Malaysia)

Noor Hanim Rahmat (UiTM, Malaysia)

Nor Wahiza Abdul Wahat (UPM, Malaysia)

Nor Zaiham Midawati Abdullah (UBD, Brunei)

Norafidah Ismail (UUM, Malaysia)

Noraini Mohd Ariffin (IIUM, Malaysia)

Noraini Noordin (UiTM, Malaysia)

Nurliyana Bukhari (UUM, Malaysia)

Nurul Hamiruddin Salleh (IIUM, Malaysia)

Peter Duff (ABDN, United Kingdom)

Phuah Kit Teng (TARC, Malaysia)

Radiah Yusoff (USM, Malaysia)

Rhochie Avelino E. Matienzo (UST, Philippines)

Rita Abdul Rahman Ramakrishna (USM, Malaysia)

Rogis Baker (UPNM, Malaysia)

Rohaida Nordin (UKM, Malaysia)

Rosli Talif (UPM, Malaysia)

Roslina Kamaruddin (UUM, Malaysia)

Roziana Shaari (UTM, Malaysia)

Rozniza Zaharudin (USM, Malaysia)

Rumaya Juhari (UPM, Malaysia)

Saralah Devi Mariamdaran (UUM, Malaysia)

Sarena Abdullah (USM, Malaysia)

Shaheen Mansori (MUST, Malaysia)

Shahreen Mat Nayan (UM, Malaysia)

Shaidatul Akma Adi Kasuma (USM, Malaysia)

Shalini Nadaswaran (UM, Malaysia)

Shamsul Azahari Zainal Badari (UPM, Malaysia)

Siti Norbaya Azizan (SU, Malaysia)

Soaib Asimiran (UPM, Malaysia)

Tunku Badariah Tunku Ahmad (IIUM, Malaysia)

Tunku Mohar Tunku Mohd Mokhtar (IIUM, Malaysia)

Vijayakumar Muthusamy (VIT, India)

W. A. Amir Zal (UMK, Malaysia)

Zakiyah Jamaluddin (UUM, Malaysia)

Zalina Zakaria (UM, Malaysia)

Zanariah Ismail (UPM, Malaysia)

Zarinah Arshat (UPM, Malaysia)

Zawiyah Mohd. Zain (UUM, Malaysia)

Zeti Zuryani Mohd Zakuan (UiTM, Malaysia)

ABDN - University of Aberdeen – Universiti Kebangsaan Malaysia UKM AU CPUT - Aarhus University
- Cape Peninsula University of Technology UMK – Universiti Malaysia Kelantan – Universiti Malaysia Sabah Curtin - Curtin University UМ - Universiti Malaya - De la Salle University University of New BrunswickUniversiti Malaysia Perlis DLSU UNB IAU IIUM - Islamic Azad University UniMAP – Universiti Malaysia Sarawak – International Islamic University Malaysia UNIMAS - INTI International College
- King Mongkut's University of Technology Thonburi
- KPJ Healthcare University College INTI UNN University of Nigeria KMLITT ПРМ Universiti Putra Malavsia KPJUC UPNM – Universiti Pertahanan Nasional Malaysia Malaysia University of Science and Technology
 Prince of Songkla University MUST UPSI - Universiti Pendidikan Sultan Idris PSU USIM – Universiti Sains Islam Malaysia RFRII Roi Et Rajabhat University
Sokoto State University USM Universiti Sains Malavsia SSU UST University of Santo Tomas SII Sunway UniversityTunku Abdul Rahman University College UTHM Universiti Tun Hussein Onn Malaysia
Universiti Teknologi Malaysia TARC UTM Taylor's UBB – Taylor's University – Universitas Bangka Belitung - Universiti Utara Malaysia - Vellore Institute of Technology UUM VIT UBD – Universiti Brunei Darussalam wou – Wawasan Open University UCSI - UCSI University YSU Yobe State University – Universiti Teknologi MARA UiTM ΥU Yarmouk University - University of Ibadan YZU – Yuan Ze University IJI

While every effort has been made to include a complete list of referees for the period stated above, however if any name(s) have been omitted unintentionally or spelt incorrectly, please notify the Chief Executive Editor, *Pertanika* Journals at executive-editor.pertanika@upm.edu.my

Any inclusion or exclusion of name(s) on this page does not commit the *Pertanika* Editorial Office, nor the UPM Press or the University to provide any liability for whatsoever reason.





Pertanika Journal of Social Sciences & Humanities

Our goal is to bring high-quality research to the widest possible audience

INSTRUCTIONS TO AUTHORS

(REGULAR ISSUE)

(Manuscript Preparation & Submission Guide)

Revised: December 2020

Please read the *Pertanika* guidelines and follow these instructions carefully. The Chief Executive Editor reserves the right to return manuscripts that are not prepared in accordance with these guidelines.

MANUSCRIPT PREPARATION Manuscript Types

Pertanika accepts submission of mainly 4 types of manuscripts

- that have not been published elsewhere (including proceedings)
- that are not currently being submitted to other journals

1. Regular article

Regular article is a full-length original empirical investigation, consisting of introduction, methods, results, and discussion. Original research work should present new and significant findings that contribute to the advancement of the research area. *Analysis and Discussion* must be supported with relevant references.

Size: Generally, each manuscript is **not to exceed 6000 words** (excluding the abstract, references, tables, and/ or figures), a maximum of **80 references**, and **an abstract of less than 250 words**.

2. Review article

A review article reports a critical evaluation of materials about current research that has already been published by organising, integrating, and evaluating previously published materials. It summarises the status of knowledge and outlines future directions of research within the journal scope. A review article should aim to provide systemic overviews, evaluations, and interpretations of research in a given field. Re-analyses as meta-analysis and systemic reviews are encouraged.

Size: Generally, it is expected **not to exceed 6000 words** (excluding the abstract, references, tables, and/or figures), a maximum of **80 references**, and **an abstract of less than 250 words**.

3. Short communications

Each article should be timely and brief. It is suitable for the publication of significant technical advances and maybe used to:

- (a) reports new developments, significant advances and novel aspects of experimental and theoretical methods and techniques which are relevant for scientific investigations within the journal scope;
- (b) reports/discuss on significant matters of policy and perspective related to the science of the journal, including 'personal' commentary;
- (c) disseminates information and data on topical events of significant scientific and/or social interest within the scope of the journal.

Size: It is limited to 3000 words and have a maximum of 3 figures and/or tables, from 8 to 20 references, and an abstract length not exceeding 100 words. The information must be in short but complete form and it is not intended to publish preliminary results or to be a reduced version of a regular paper.

4. Others

Brief reports, case studies, comments, concept papers, letters to the editor, and replies on previously published articles may be considered.

Language Accuracy

Pertanika emphasises on the linguistic accuracy of every manuscript published. Articles can be written in English or Bahasa Malaysia and they must be competently written and presented in clear and concise grammatical English/Bahasa Malaysia. Contributors are strongly advised to have the manuscript checked by a colleague with ample experience in writing English manuscripts or a competent English language editor. For articles in Bahasa Malaysia, the title, abstract, and keywords should be written in both English and Bahasa Malaysia.



Author(s) may be required to provide a certificate confirming that their manuscripts have been adequately edited. All editing costs must be borne by the authors.

Linguistically hopeless manuscripts will be rejected straightaway (e.g., when the language is so poor that one cannot be sure of what the authors are really trying to say). This process, taken by authors before submission, will greatly facilitate reviewing, and thus, publication.

MANUSCRIPT FORMAT

The paper should be submitted in **one-column format** with 1.5 line spacing throughout. Authors are advised to use Times New Roman 12-point font and *MS Word* format.

1. Manuscript Structure

The manuscripts, in general, should be organised in the following order:

Page 1: Running title

This page should **only** contain the running title of your paper. The running title is an abbreviated title used as the running head on every page of the manuscript. The running title **should not exceed 60 characters**, **counting letters and spaces**.

Page 2: Author(s) and Corresponding author's information

General information: This page should contain the **full title** of your paper **not exceeding 25 words**, with the name of all the authors, institutions and corresponding author's name, institution and full address (Street address, telephone number (including extension), handphone number, and e-mail address) for editorial correspondence. **The corresponding author must be clearly indicated with a superscripted asterisk symbol (*).**

Authors' name: The names of the authors should be named **in full without academic titles.** For Asian (Chinese, Korean, Japanese, Vietnamese), please write first name and middle name before surname (family name). The last name in the sequence is considered the surname.

Authors' addresses: Multiple authors with different addresses must indicate their respective addresses separately by superscript numbers.

Tables/figures list: A **list** of the number of **black and white/colour figures and tables** should also be indicated on this page. See "5. Figures & Photographs" for details.

Example (page 2):

The Mediating Role of Cognitive Emotion Regulation Strategies in the Development of Social Behavior among Adolescents

Samsilah Roslan^{1*}, Noorhayati Zakaria², Siaw Yan-Li³ and Noorlila Ahmad¹

¹Department of Foundations of Education, Faculty of Educational, Studies, Universiti Putra Malaysia, 43400 Serdana, Malaysia

²Politeknik Banting, 42700 Banting, Selangor, Malaysia

³Department of Educational Psychology and Counseling, Faculty of Education, Universiti Malaya, 50603 Kuala Lumpur, Malaysia

E-mail addresses:

samsilah@upm.edu.my (Samsilah Roslan)

znorhayati@polibanting.edu.my (Noorhayati Zakaria)

yanli@um.edu.my (Siaw Yan-Li)

noorlila_ahmad@yahoo.com (Noorlila Ahmad)

*Corresponding author

List of Table/Figure: Table 1.

Figure 1.

Page 3: Abstract

This page should **repeat** the **full title** of your paper with only the **Abstract**, usually in one paragraph and **Keywords**.

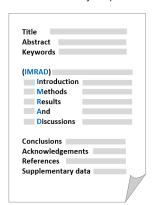
Keywords: Not more than 8 keywords in alphabetical order must be provided to describe the content of the manuscript.

For articles in Bahasa Malaysia, the title, abstract and keywords should be written in both English and Bahasa Malaysia.



Page 4: Text

A regular paper should be prepared with the headings *Introduction, Materials and Methods, Results and Discussions, Conclusions, Acknowledgements, References,* and *Supplementary data* (if any) in this order. The literature review may be part of or separated from the *Introduction*.



MAKE YOUR ARTICLES AS CONCISE AS POSSIBLE

Most scientific papers are prepared according to a format called IMRAD. The term represents the first letters of the words Introduction, Materials and Methods, Results, And, Discussion. It indicates a pattern or format rather than a complete list of headings or components of research papers; the missing parts of a paper are: Title, Authors, Keywords, Abstract, Conclusions, and References. Additionally, some papers include Acknowledgments and Appendices.

The Introduction explains the scope and objective of the study in the light of current knowledge on the subject; the Materials and Methods describes how the study was conducted; the Results section reports what was found in the study; and the Discussion section explains meaning and significance of the results and provides suggestions for future directions of research. The manuscript must be prepared according to the Journal's instructions to authors.

2. Levels of Heading

Level of heading	Format
1 st	LEFT, BOLD, UPPERCASE
2 nd	Flush left, Bold, Capitalise each word
3 rd	Bold, Capitalise each word, ending with .
4 th	Bold italic, Capitalise each word, ending with .

3. Equations and Formulae

These must be set up clearly and should be typed double-spaced. Numbers identifying equations should be in square brackets and placed on the right margin of the text.

4. Tables

- All tables should be prepared in a form consistent with recent issues of *Pertanika* and should be numbered consecutively with Roman numerals (Table 1, Table 2).
- A brief title should be provided, which should be shown at the top of each table (APA format):

Example:

Table 1

Reliability of subscales of the job satisfaction questionnaire

- Explanatory material should be given in the table legends and footnotes.
- Each table should be prepared on a new page, embedded in the manuscript.
- · Authors are advised to keep backup files of all tables.
- ** Please submit all tables in Microsoft word format only, because tables submitted as image data cannot be edited for publication and are usually in low-resolution.

5. Figures & Photographs

- · Submit an original figure or photograph.
- · Line drawings must be clear, with a high black and white contrast.
- Each figure or photograph should be prepared on a new page, embedded in the manuscript for reviewing to keep the file of the manuscript under 5 MB.
- These should be numbered consecutively with Roman numerals (Figure 1, Figure 2).
- Provide a brief title, which should be shown at the bottom of each table (APA format):

Example: Figure 1. Mean willingness to pay (WTP) for a clean environment



- If a figure has been previously published, acknowledge the original source, and submit written permission from the copyright holder to reproduce the material.
- · Authors are advised to keep backup files of all figures.

** Figures or photographs must also be submitted separately as TIFF or JPEG, because figures or photographs submitted in low-resolution embedded in the manuscript cannot be accepted for publication. For electronic figures, create your figures using applications that are capable of preparing high-resolution TIFF files.

6. Acknowledgement

Any individuals and entities who have contributed to the research should be acknowledged appropriately.

7. References

References begin on their own page and are listed in alphabetical order by the first author's last name. Only references cited within the text should be included. All references should be in 12-point font and double-spaced. If a Digital Object Identifier (DOI) is listed on a print or electronic source, it is required to include the DOI in the reference list. Use Crossref to find a DOI using author and title information.

NOTE: When formatting your references, please follow the **APA-reference style** (7th edition) (refer to the examples). Ensure that the references are strictly in the journal's prescribed style, failing which your article will **not be accepted for peer-review**. You may refer to the *Publication Manual of the American Psychological Association* (https://apastyle.apa.org/) for further details.

Examples of reference style are given below:

	Books	
	Insertion in text	In reference list
Book/E-Book with 1-2 authors	Information prominent' (the author's name is within parentheses):	Bales, S. (2017). Social justice and library work: A guide to theory and practice. Chandos Publishing. https://doiorg/10.1016/C2016-0-00181-X
	(Bales, 2017)	•
	(Mahat & Ali, 2020)	Mahat, F., & Ali, N. A. (2020). Fundamental of Islamic finance. UPM Press.
	Or	
	'Author prominent' (the author's name is outside the parentheses):	
	Bales (2017)	
	Mahat and Ali (2020)	
Book/E-Book with 3 or more authors	For all in-text references, list only the first author's family name and followed by 'et al.'	Meera. N., Ampofo-Boateng, K., & Abd Latif, R. (2012). Coaching athletes with disabilities. UPM Press.
	Information prominent' (the author's name is within parentheses):	
	(Meera et al., 2012)	
	Or	
	'Author prominent' (the author's name is outside the parentheses):	
	Meera et al. (2012)	
Book/E-Book with more than 20 authors		For books with more than 20 authors, please follow the guidelines for journal articles with more than 20 authors.
Chapter in an edited Book/E-Book	Inform ation pr ominent' (the author 's name is within parentheses):	Nagamine, T., Fujieda, Y., & Iida, A. (2018) The role of emotions in reflective teaching in second language
	(Nagamine et al., 2018)	classrooms: Felt sense, emotionality, and practica knowledge acquisition. In J. Martínez Agudo (Ed.)
	(Van der Port, 2015)	Emotions in second language teaching (pp. 145-163)
	Or	Springer, Cham. https://doi.org/10.1007/978-3-319
	'Author prominent' (the author's name is outside the parentheses):	75438-3_9 Van de Port, M. (2015). Reading Bruno Latour in Bahia
	Nagamine et al. (2018)	In M. Jackson & A. Piette (Eds.), What is existential anthropology? Berghahn Books.
	Van der Port (2015)	a.aopo.og/. Borgham Books.



	Insertion in text	In reference list	
Editor	Information prominent' (the author's name is within parentheses):	Machado, C., & Davim, J. P. (Eds). (2014). Work organization and human resource management.	
	(Machado & Davim, 2014)	Springer, Cham. https://doi.org/10.1007/978-3-319- 06376-8	
	(Sheldon & Turner-Vorbeck, 2019)	Sheldon, S. B., & Turner-Vorbeck, T. A. (Eds.). (2019).	
	Or	The Wiley handbook of family, school, and community	
	'Author prominent' (the author's name is outside the parentheses):	relationships in education. New Jersey, USA: John Wiley & Sons.	
	Machado and Davim (2014)		
	Sheldon and Turner-Vorbeck (2019)		
Several works by the same author in	Information prominent' (the author's name is within parentheses):	Camilleri, M. A. (2018a). Travel marketing, tourism economics and the airline product: An introduction	
the same year	(Camilleri, 2018a, 2018b)	to theory and practice. Springer, Cham. https://doi org/10.1007/978-3-319-49849-2	
	Or	Camilleri, M. A. (2018b). Understanding customer needs	
	'Author prominent' (the author's name is outside the parentheses):	and wants. In Travel marketing, tourism economics and the airline product: An introduction to theory and	
	Camilleri (2018a, 2018b)	practice (pp. 29-50). Springer, Cham. https://doi org/10.1007/978-3-319-49849-2_2	
	Journals		
Journal article with 1-2 authors	Information prominent' (the author's name is within parentheses):	Al-Shboul, Y., & Maros, M. (2020). The high and low-context communication styles in refusal strategies by	
	(Al-Shboul & Maros, 2020)	Jordanian Arabic and American English speakers. Pertanika Journal of Social Sciences and Humanities,	
	Or	28(3), 2063-2080.	
	'Author prominent' (the author's name is outside the parentheses):		
	Al-Shboul and Maros (2020)		
Journal article with 3 or more authors	For all in-text references, list only the first author's family name and followed by 'et al.'	Khajouei, R., Abbasi, R., & Mirzaee, M. (2018) Errors and causes of communication failures from	
	Information prominent' (the author's name is within parentheses):	hospital information systems to electronic health record: A record-review study. <i>International Journal o Medical Informatics</i> , 119(January), 47-53. https://doi	
	(Khajouei et al., 2018)	org/10.1016/j.ijmedinf.2018.09.004	
	(Yusop et al., 2020)	Yusop, F. D., Ab Ghaffar, F., Danaee, M., Firdaus, Hamzaid, M. A., Abu Hassan, Z. F., Senom, F., Ebrah N. A., Bonn, B. Y., & Chen, Y. M. (2020). Two decades research on early career faculties (ECFs): A bibliome analysis of trends across regions. <i>Pertanika Journal Social Sciences and Humanities</i> , 28(1), 325-342.	
	Or		
	'Author prominent' (the author's name is outside the parentheses):		
	Khajouei et al. (2018)		
	Yusop et al. (2020)		
Journal article with more than 20	Information prominent' (the author's name is within parentheses):	Tobler, R., Rohrlach, A., Soubrier, J., Bover, P., Llamas B., Tuke, J., Bean, N., Abdullah-Highfold, A., Agius S. O'Depositive A. O'll earth in J. Sutter B. 7ilia F.	
	(Tobler et al., 2017)	S., O'Donoghue, A., O'Loughlin, I., Sutton, P., Zilio, F., Walshe, K., Williams, A. N., Turney, C. S. M., Williams,	
	Or	M., Richards, S. M., Mitchell, N Cooper, A. (2017) Aboriginal mitogenomes reveal 50,000 years o	
	'Author prominent' (the author's name is outside the parentheses):	regionalism in Australia. Nature, 544(7649), 180-184 https://doi.org/10.1038/nature21416	
	Tobler et al. (2017)		
Journal article with an article number	Information prominent' (the author's name is within parentheses):	De Rubeis, J., Lugo, R. G., Witthöft, M., Sütterlin S., Pawelzik, M. R., & Vögele, C. (2017). Rejection	
	(De Rubeis et al., 2017)	sensitivity as a vulnerability marker for depressive symptom deterioration in men. <i>PloS One, 12</i> (10), Article	
	Or	e0185802. doi: 10.1371/journal.pone.0185802	
	'Author prominent' (the author's name is outside the parentheses):		
	De Rubeis et al. (2017)		
Journal article with missing information	Information prominent' (the author's name is within parentheses):	Missing volume number Bajaj, G., Deepa, N., Bhat, J. S., D'Souza, D., & Sheth	
	(Bajaj et al., 2014)	P. (2014). Self-efficacy and verbal fluency — does age	
	(Jdaitawi, 2015)	play a role? Healthy Aging & Clinical Care in the Elderly (6), 17-24. http://dx.doi.org/10.4137/HACCE.S14292	
	(Nastasa & Farcas, 2015)		



	Insertion in text	In reference list
Journal article with	Or	Missing issue number
missing information	'Author prominent' (the author's name is outside the parentheses): Bajaj et al. (2014)	Nastasa, L. E., & Farcas, A. D. (2015). The effect of emotional intelligence on burnout in healthcare professionals. <i>Procedia - Social and Behavioral Sciences</i> , 187, 78-82.
	Jdaitawi (2015)	Missing page or article number
	Nastasa and Farcas (2015)	Jdaitawi, M. (2015). Social connectedness, academic, non-academic behaviors related to self-regulation among university students in Saudi Arabia. <i>International Education Studies</i> , 8(2). https://doi.org/10.5539/ies.v8n2p84
Several works by the same author in the same year	Information prominent' (the author's name is within parentheses): (Ibrahim, 2019a, 2019b)	Ibrahim, M. H. (2019a). Capital regulation and Islamic banking performance: panel evidence. <i>Bulletin of Monetary Economics and Banking</i> , 22(1), 47-68.
	Or 'Author prominent' (the author's name is outside the parentheses):	Ibrahim, M. H. (2019b). Oil and macro-financial linkages: Evidence from the GCC countries. <i>The Quarterly Review of Economics and Finance</i> , 72(May) 1-13. https://doi.org/10.1016/j.qref.2019.01.014
	Ibrahim (2019a, 2019b)	
	Newspaper	
Newspaper article – with an author	(Davidson, 2018) Or Davidson (2018)	Davidson, J. (2018, January 9). CES 2018: Samsung vows to add artificial intelligence to everything it does. Australian Financial Review. https://www.afr.com/technology/ces-2018-samsung-vows-to-add-artificial-intelligence-to-everything-it-does-20180109-h0fdtd
Newspaper article – without an author	("Economics nudging," 2017). OR "Foregries nudging," (0017)	Economics nudging people away from war. (2017, December 16). <i>The Age</i> , 33.
	"Economics nudging" (2017) Use a shortened title (or full title if it is short) in Headline Case enclosed in double quotation marks.	
	Dissertation/Th	nesis
Published Dissertation or Thesis References	(Solomon, 2016) Or Solomon (2016)	Solomon, M. (2016). Social media and self-evaluation: The examination of social media use on identity, social comparison, and self-esteem in young female adults [Doctoral dissertation, William James College]. ProQuest Dissertations Publishing. https://search.proquest.com/openview/7d66a63f277a84a64907db68fff991ba/1?pq-origsite=gscholar&cbl=18750&diss=y
Unpublished Dissertation or Thesis References	(Curry, 2016) Or Curry (2016)	Curry, J. (2016). A guide to educating single mothers about early gang intervention and prevention (Unpublished Master's thesis). Pacific Oaks College.
	Conference/Semina	r Papers
Conference proceedings published in a journal	(Chaudhuri et al., 2017) Or Chaudhuri et al. (2017)	Chaudhuri, S., & Biswas, A. (2017). External terms-of-trade and labor market imperfections in developing countries: Theory and evidence. <i>Proceedings of the Academy of Economics and Economic Education</i> , 20(1), 11-16. https://search-proquest-com.elibrary.jcu.edu.au/docview/1928612180?accountid=16285
Conference proceedings published as a book chapter	(Morgan et al., 2017) Or Morgan et al. (2017)	Morgan, R., Meldrum, K., Bryan, S., Mathiesen, B., Yakob, N., Esa, N., & Ziden, A. A. (2017). Embedding digital literacies in curricula: Australian and Malaysian experiences. In G. B. Teh & S. C. Choy (Eds.), Empowering 21st century learners through holistic and enterprising learning: Selected papers from Tunku Abdul Rahman University College International Conference 2016 (pp. 11-19). Springer. https://doi.org/10.1007/978-981-10-4241-6_2



	Insertion in text	In reference list
Online	(McDonald et al., 2019) Or McDonald et al. (2019)	McDonald, E., Manessis, R., & Blanksby, T. (2019, July 7-10). Peer mentoring in nursing - Improving retention, enhancing education [Poster presentation]. STARS 2019 Conference, Melbourne, Australia. https://unistars.org/papers/STARS2019/P30-POSTER.pdf
	Government Publi	ications
Government as author	First in-text reference: Spell out the full name with the abbreviation of the body.	U.S. Department of Housing and Urban Development. (2020). National comprehensive housing market
	U.S. Department of Housing and Urban Development (2020)	analysis. https://www.huduser.gov/portal//publications/ pdf/National-CHMA-20.pdf
	Or	
	(U.S. Department of Housing and Urban Development, 2020)	

8. General Guidelines

Abbreviations: Define alphabetically, other than abbreviations that can be used without definition. Words or phrases that are abbreviated in the *Introduction* and following text should be written out in full the first time that they appear in the text, with each abbreviated form in parenthesis. Include the common name or scientific name, or both, of animal and plant materials.

Authors' Affiliation: The primary affiliation for each author should be the institution where the majority of their work was done. If an author has subsequently moved to another institution, the current address may also be stated in the footer.

Co-Authors: The commonly accepted guideline for authorship is that one must have substantially contributed to the development of the paper and share accountability for the results. Researchers should decide who will be an author and what order they will be listed depending upon their order of importance to the study. Other contributions should be cited in the manuscript's *Acknowledgements*.

Similarity Index: All articles received must undergo the initial screening for originality before being sent for peer review. *Pertanika* does not accept any article with a similarity index exceeding **20%**.

Copyright Permissions: Authors should seek necessary permissions for quotations, artwork, boxes or tables taken from other publications or other freely available sources on the Internet before submission to *Pertanika*. The *Acknowledgement* must be given to the original source in the illustration legend, in a table footnote, or at the end of the quotation.

Footnotes: Current addresses of authors if different from heading may be inserted here.

Page Numbering: Every page of the manuscript, including the title page, references, and tables should be numbered.

Spelling: The journal uses American or British spelling and authors may follow the latest edition of the Oxford Advanced Learner's Dictionary for British spellings. Each manuscript should follow one type of spelling only.

SUBMISSION OF MANUSCRIPTS

All submissions must be made electronically through the submission link in the Online Submission page. Owing to the volume of manuscripts received by the editorial office, the authors are insisted to follow the 2-steps submission process:

STEP 1: The manuscript MUST be submitted to https://forms.gle/SRyCB1pA3i2LYKkj8 for Editorial Screening. Authors have to fill the form that requires basic information of the manuscript and upload the COMPLETE manuscript.

STEP 2: Successful authors will be supplied with the link to ScholarOne and the Submission Guidelines.

Submission Checklist (ScholarOne submission)

1. MANUSCRIPT:

Ensure your manuscript has followed the *Pertanika* style particularly the first-4-pages as explained earlier. The article should be written in a good academic style and provide an accurate and succinct description of the contents ensuring that grammar and spelling errors have been corrected before submission. It should also not exceed the suggested length.



2. DECLARATION FORM:

Author has to sign a declaration form. In signing the form, authors declare that the work submitted for publication is original, previously unpublished, and not under consideration for any publication elsewhere.

Author has to agree to pay the publishing fee once the paper is accepted for publication in Pertanika.

3. COVER LETTER:

In Step 6 of the ScholarOne system, author is asked to upload a cover letter in *Pertanika* format. Please ignore this instruction and replace the cover letter with the Declaration Form.

Note

COPYRIGHT FORM: Author will be asked to sign a copyright form when the paper is accepted. In signing the form, it is assumed that authors have obtained permission to use any copyrighted or previously published material. All authors must read and agree to the conditions outlined in the form and must sign the form or agree that the corresponding author can sign on their behalf. Articles cannot be published until a signed form (original pen-to-paper signature) has been received.

Visit our Journal's website for more details at http://www.pertanika.upm.edu.my/

ACCESS TO PUBLISHED MATERIALS

Under the journal's open access initiative, authors can choose to download free material (via PDF link) from any of the journal issues from *Pertanika*'s website. Under "**Browse Journals**" you will see a link, "*Regular Issue*", "*Special Issue*" or "*Archives*". Here you will get access to all current and back-issues from 1978 onwards. No hard copy of journals or offprints are printed.

Visit our Journal's website at:

http://www.pertanika.upm.edu.my/regular_issues.php for "Regular Issue" http://www.pertanika.upm.edu.my/cspecial_issues.php for "Special Issue" http://www.pertanika.upm.edu.my/journal_archives.php for "Archives"

PUBLICATION CHARGE

Upon acceptance of a manuscript, a processing fee of RM 750 / USD 250 will be imposed on authors; RM 750 for any corresponding author affiliated to an institution in Malaysia; USD 250 for any corresponding author affiliated to an institution outside Malaysia. Payment must be made online at https://paygate.upm.edu.my/action.do?do

Any queries may be directed to the **Chief Executive Editor's** office via email to <u>executive_editor.pertanika@upm.edu.my</u>



Management Studies
Leveraging Intellectual Capital Dimensions for Promoting Learning Organization in a Rural Development Agency Amiruzie Ramli and Roziah Mohd Rasdi
Religious Studies
Interpretative Phenomenological Analysis of the Experiences of Kapampangan Flagellants – Kristos Nestor Lambino Sibug, Philip Joseph David Sarmiento, Cristina Canlas Samia, Paolo Tayag Lumanlan and Benita Malonzo Bonus
Technology Management
Design and Application of a Legal Game to Promote Factual Investigation Knowledge for Undergraduate Law Students Chainarong Luengvilai, Noppon Wongta and Pitipong Yodmongkol
Tourism
Review Article Understanding the Importance of Stakeholder Management in Achieving Sustainable Ecotourism 73

Ahmad Salman, Mastura Jaafar and Diana Mohamad

Malaysian Youth eHealth Literacy via Healthcare Websites: A Study on Factors Forming Sexual and Reproductive Health Information-seeking Intention	509
Andrew Jason George and Moniza Waheed	
Authenticity in Reality Television—The Case of 'Sing! China' Yuting Xie, Megat Al Imran Yasin, Syed Agil Shekh Alsagoff and Lay Hoon Ang	527
Political Sciences and Public Policy	
Assessment of Political Participation and Democratic Governance in Nigeria's Fourth Republic Muhammad Fuad Othman and Victor Vincent Okpe	547
The Nigerian State and International Human Rights Laws in the Fourth Republic Solomon I. Ifejika	565
The Arab Spring and the Egypt-United States of America's Relations in Post-Revolution Era Hossein Taghdar, Zaid Ahmad and Abdolreza Alami	583
Economics	
Determinants of Financial Liberalization in SAARC Region Syed Danial Hashmi, Iram Naz, Farrukh Mehmood and Mattiullah Farooqi	601
Economic Efficiency of Stingless Bee Farms in Peninsular Malaysia Estimated by Data Envelopment Analysis (DEA) Norhidayah Che Soh, Nur Syahirah Samsuddin and Mohd Mansor Ismail	617
Architecture and Habitat	
Review Article A thematic Review on Industrialised Building System (IBS) Publications from 2015-2019: Analysis of Patterns and Trends for Future Studies of IBS in Malaysia Mohd Zairul	635
Arts and Culture	
Alienation Effect in Kee Thuan Chye's Wayang Kulit Adaptations in 1984 Here and Now and The Big Purge Arbaayah Ali Termizi, Hoo Poh Ying, Nur Aainaa Amira Mohd Said and Faris Abdullah Sani	653

Filipino Families in Slum Communities and their Tales of Survival in Times of Pandemic: An Exploration of Wellness Dimensions Jem Cloyd M. Tanucan and Marlon T. Bojos	311
Participation of Individuals with Disabilities in Political Activities: Voices from Jordan	329
Zahraa Jamel Rahahleh, Mizyed AbdelFattah Hyassat, AbdelLatif Khalaf Alramamneh, Obaid Abdalkarim Sabayleh, Ra'ad AbdEl Kareem Al-Awamleh and Azeez Ahmad Alrahamneh	
Socio-Contextual Factors as Determinants of Psychological Wellbeing of Selected Aged in South Africa: A Moderating Approach Ali Arazeem Abdullahi, Anathi Ntozini and Rotimi Oguntayo	349
Consumer and Family Economics	
Consumer Perceived Value of Organic Vegetables: Does Ethnic Group Matter? Ong Choon Hee and Tan Koh Lin	367
Consumer Adoption of Alipay in Malaysia: The Mediation Effect of Perceived Ease of Use and Perceived Usefulness Tze Kiat Lui, Mohd Haniff Zainuldin, Kwang-Jing Yii, Lin-Sea Lau and You-How Go	389
Which Consumers are Least Likely to Have a Balanced Diet in Japan? Akira Ishida and Emiko Ishida	419
Literature	
Transnational Identity in Unaccustomed Earth: A Study of Jhumpa Lahiri's and Chitra Banerjee Divakaruni's Short Fictions Aisyah Hasnan and Mohamad Rashidi Mohd Pakri	439
Decolonization, Neo-Apartheid and Xenophobic Violence in Phaswane Mpe's Welcome to Our Hillbrow Mustafa Mohammed Abdullah, Hardev Kaur Jujar Singh, Omar Mohammed Abdullah and Mohammed Fleih Hasan	457
Joel's Self-Redemption in the Unnatural Narrative Structure of Charlie Kaufman's Eternal Sunshine of the Spotless Mind (2004) Nur Aainaa Amira Mohd Said, Arbaayah Ali Termizi, and Mohammad Ewan Awang	471
Media and Communication Studies	
Gender Stereotyping in TV Drama in Pakistan: A Longitudinal Study <i>Qurat-ul-Ain Malik and Bushra Hameed-ur-Rahman</i>	489

-		
	•	% % 7
ш	$\Box a$	**

175
193
207
221
229
249
267
291

Pertanika Journal of Social Sciences & Humanities Vol. 29 (1) Mar. 2021

Content

Foreword Abu Bakar Salleh	i
Language and Linguistics	
Self-efficacy and Critical Thinking of Novice and Experienced EFL Teachers: A Sequential Mixed Methods Study Mojgan Rashtchi	1
Urban English Learners' Perceptions Towards the Influence of Second Language Identity on Employment Opportunities in Malaysia Minder Kaur Parthaman Singh, Jo Yee Liew, and Ching Sin Siau	27
'Let's take a look': An Investigation of Directives as Negotiating Interpersonal Meaning in Engineering Lectures Heri Kuswoyo, Eva Tuckyta Sari Sujatna, Lia Maulia Indrayani, Akhyar Rido and Doris Macdonald	47
The Morphosyntactic Abilities of Bilingual Malay Preschool Children Based on the Malay and English Sentence Repetition Tasks Zur Hanis Hamim, Rogayah Abdul Razak and Badrulzaman Abdul Hamid	71
Education	
Activity-Based Teaching of Quran for Deaf Students in the Special Education Integration Program Izuli Dzulkifli, Asmawati Suhid, Fathiyah Mohd Fakhruddin and Nor Aniza Ahmad	91
Workplace Skills and Teacher Competency from Culinary Arts Students' Perspectives Hanis Mohamed, Mohd Hazwan Mohd Puad, Abdullah Mat Rashid and Rahimah Jamaluddin	107
Applying Fractional Strategies on Number Line among Primary School Students	127
Teoh Sian Hoon, Geethanjali Narayanan and Parmjit Singh	
Factors Influencing High Academic Achievement of Stateless Migrant Children in Tak Province, Thailand Peson Chobphon	141



Pertanika Editorial Office, Journal Division
Putra Science Park
1st Floor, IDEA Tower II
UPM-MTDC Technology Centre
Universiti Putra Malaysia
43400 UPM Serdang
Selangor Darul Ehsan
Malaysia

http://www.pertanika.upm.edu.my/ E-mail: executive_editor.pertanika@upm.edu.my Tel: +603 9769 1622



http://penerbit.upm.edu.my E-mail: penerbit@upm.edu.my Tel: +603 9769 8851

