*Journal of Social Sciences & Humanities*

## About the Journal

### Overview

Pertanika Journal of Social Sciences & Humanities (JSSH) is the official journal of Universiti Putra Malaysia published by UPM Press. It is an open-access online scientific journal which is free of charge. It publishes the scientific outputs. It neither accepts nor commissions third party content.

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

JSSH is a **quarterly** (*March, June, September* and *December*) periodical that considers for publication original articles as per its scope. The journal publishes in **English** and it is open to authors around the world regardless of the nationality.

The Journal is available world-wide.

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Notification of the editorial decision is usually provided within ten to fourteen weeks 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.

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

1. The Journal's Chief Executive Editor (CEE) and the Editorial Board Members examine the paper to determine whether it is appropriate for the journal and should be reviewed. If not appropriate, the manuscript is rejected outright and the author is informed.

2. The CEE sends the article-identifying information having been removed, to three reviewers who are specialists in the subject matter represented by the article. The CEE requests them to complete the review in three 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 field.

3. The CEE, in consultation with the Editor-in-Chief (EiC), examines the reviews and decides whether to reject the manuscript, invites the author(s) to revise and resubmit the manuscript. The CEE may seek additional reviews. Final acceptance or rejection rests with the CEE and EiC, who reserve the right to refuse any material for publication. In rare instances, the manuscript is accepted with almost no revision. Almost without exception, reviewers' comments (to the author) are forwarded to the author. If a revision is indicated, the editor provides guidelines 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 CEE editor along with specific information describing how they have answered' the concerns of the reviewers and the editor, usually in a tabular form. The author(s) may also submit a rebuttal if there is a need especially when the author disagrees with certain comments provided by reviewer(s).

5. The CEE sends the revised paper out for re-review. Typically, at least one of the original reviewers will be asked to examine the article.

6. When the reviewers have completed their work, the CEE in consultation with the EiC and Editorial Board Members examine their comments and decide whether the paper is ready to be published, needs another round of revisions, or should be rejected.

7. If the decision is to accept, an acceptance letter is sent to all the author(s), the paper is sent to the Press. The article should appear in print in approximately three months.

   The Publisher ensures that the paper 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 Publisher.  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 article appears in the pages of the Journal and is posted on-line.

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# Foreword

Welcome to the Fourth Issue of 2019 for the Journal of Social Sciences and Humanities (JSSH)!

JSSH 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 43 articles; two case studies and the rest are regular articles. The authors of these articles come from different countries namely Malaysia, Japan, Jordan, Indonesia, Thailand, Pakistan, Iran, United Arab Emirates, Oman and Saudi Arabia.

A regular article entitled "An Integrative Framework of Environmental Education for Environmental Crisis Transformation" discussed about the integrative framework of environmental education based on the integral theory and worldviews of various stakeholders in Thailand. This study fills the gaps between various perspectives of environmental education and provides a shift from the reductionistic approach to a more holistic approach in addressing the world's complex environmental crises. The detailed information of this article is presented on page 2475.

A selected regular paper from the scope of language and linguistics, entitled "Exploring medical terminology in Miyatake's Malay-Japanese dictionary (1942)" discussed about the bilingual Malay-Japanese dictionaries. The semantic field studied in this article is medical terminology. Both the global tradition of Malay lexicography, and the methods and practices of lexicography in general were deliberated deeper from this research. Details of this study is available on page 2285.

Teoh Sian Hoon and the researchers summarized the factors that affect students' motivation towards the ability to graduate on time (GOT) in their article, which entitled "Graduate on Time: A Case Study in Malaysia". Both the supervisors and students perceived that it was important for supervisors to be competent in conducting research besides monitoring students' progress, so that students were motivated to GOT. Further details of the study can be found on page 2417.

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.

In the last 12 months, of all the manuscripts processed, 33.08% were accepted. This seems to be the trend in Pertanika Journals for JSSH.

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

Special thanks to Professor Jayakaran Mukundan, the previous Editor in Chief for his contribution to Pertanika JSSH. His commitment and enthusiasm set a steady platform for future development of the journal. Pertanika wishes him well in his future endeavours.

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# Use of Phrasal Verbs in an ESL Learner Corpus and its Corresponding Pedagogic Corpus

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## ABSTRACT

Phrasal verbs are one of the most notoriously puzzling aspects of English language instruction. Despite their potential complexities, they are of high relevance for ESL/EFL learners because knowledge of them is often equated with language proficiency and fluency. With the emergence of corpus linguistics, phrasal verbs have been extensively studied in General, Learner and Pedagogic corpora. Literature, however, is lacking in how learners' use of phrasal verbs reflects the corresponding pedagogic corpora to which they are exposed. To fill this research gap, this study adopted a corpus-based content analysis as its methodological approach to investigate the treatment of phrasal verbs in an ESL learner corpus and its corresponding pedagogic corpus. Findings are also compared against the presentation of these combinations in the British National Corpus (BNC). The study reveals that the selection of teaching materials is more intuitively than empirically based. It also suggests that teachers can use available corpora as supplementary teaching sources to work out the areas of L2 that tend to cause problems for the learners.

*Keywords:* Corpus linguistics, ESL context, learner corpus, pedagogic corpus, phrasal verbs

## INTRODUCTION

With a number of studies in second language acquisition highlighting the significance of vocabulary and multiword expressions in language learning, the direction of a considerable body of linguistic research began to shift from syntax and phonology to the lexicon and multi-word expressions which are often looked at as the Cinderella

of the field (Zarifi, 2013). This paradigm shift was emphasized by Laufer (1997) observing, "After decades of neglect, lexicon is now recognized as central to language acquisition process". Phrasal verbs, albeit viewed as the multiword middle ground between syntax and lexicon, are generally recognized as word-level entities and, thus, have come to the fore in both language studies and language instruction. The emergence of large electronic corpora and the development of robust software have enabled researchers to better identify these otherwise elusive structures (Hunston, 2002; Read, 2004). Phrasal verbs have been extensively studied in different types of corpora, including general corpora (Biber et al., 1999; Gardner & Davies, 2007), learner corpora (Schneider, 2004), pedagogic corpora (Akbari, 2009; Von, 2007; Zarifi, 2013; Zarifi & Mukundan, 2014a) and specialized corpora (Trebits, 2009). More specifically, in ESP field, comparisons are sometimes made between the use of phrasal verbs in corpora and sub-corpora to distinguish between different genres (Trebits, 2009). Likewise, native speakers' use of phrasal verbs is often compared with that of the non-natives to identify the divide between the authentic language and the language that the textbooks try to model. However, to the best of the researchers' knowledge, no attempt has ever been made to study how learner use of phrasal verbs is in keeping with the content of the pedagogic corpus, mainly the textbook materials that learners are exposed to as the main language input.

## Study of Phrasal Verbs in Learner Corpora

There are a few corpus-based studies dealing with the use of phrasal verbs in learner and pedagogic corpora. For instance, Schneider (2004) compared the use of phrasal verbs in four sub-corpora of the International Corpus of English (ICE) from Singapore, the Philippines, India, and East Africa and compared them against the British English ICE corpus. The study was aimed at exploring how the speakers of these language varieties differed from one another in terms of the occurrence, frequency, structural behavior and productivity of these combinations. The findings indicated that the Singaporean learners enjoyed overusing phrasal verbs and tended to employ them considerably more than all the other varieties including the British English. Speakers of the other varieties, however, tended to underuse these combinations than native speakers. In addition, there appeared to be an inverse relationship between the level of stylistic formality and the propensity of the varieties to use phrasal verbs. To put this into perspective, while the use of phrasal verbs strongly featured spoken English in British and Singaporean English, their presentation in the other varieties turned out to be stylistically associated with more formal registers. In a similar way, Singaporean ESL learners tended to associate a wider range of potential word meanings with each phrasal verb unit than any other variety including BrE. While Indian and BrE English appeared to use each phrasal verb for an almost equal number of

meanings, learners from the Philippines and East Africa tended to associate phrasal verbs with a smaller number of word meanings.

In a similar way, Von (2007) investigated the use of phrasal verbs in the German and Italian components of the International Corpus of Learner English (ICLE) and compared the findings with Louvain Corpus of Native English Essays (LOCNESS). Findings revealed that German learners made use of more phrasal verbs than both the Italian and the native students. He reasoned that the German learners' overuse of phrasal verbs was motivated by their tendency to use more German verbs. Italian students, on the other hand, proved to underuse phrasal verbs simply because of their preference for Latinate verbs. His argument seems to be consistent with the fact that phrasal verb combinations are largely based on Germanic verbs and that these structures are absent from the Italian language.

In addition, in a corpus-based study, Akbari (2009) explored the Malaysian ESL learners' use of phrasal verbs in narrative compositions. The corpus of the study included a number of the Malaysian ESL students' narrative compositions sampled from the English of Malaysian School Students corpus (EMAS). Findings of the study revealed that the learners tended to avoid using the phrasal verb combinations of idiomatic type. In addition, they often experienced difficulty using these structures both in syntactic and semantic terms.

Moreover, Chen (2013), using a corpus of learner English and four native corpora of two English varieties, explored Chinese university students' use of phrasal verbs in

comparison with their American and British counterparts in argumentative and academic writing genres. The results showed that first, American students used phrasal verbs differently from their British counterparts both in terms of the number and variety of the combinations that they used. Not only did American students use more phrasal verbs in their argumentative and academic writing, but they also made use of a greater variety of phrasal verb combinations. Second, American and British students tended to use more phrasal verbs in argumentative writing than in academic writing. Simply because of these remarkable differences between the two groups of native students, the researcher found it really difficult to conclude whether the EFL Chinese learners had tendency towards over- or underuse of phrasal verbs in writing. Although the Chinese learners appeared not to be much different from the British students in terms of the overall frequencies of phrasal verbs they used, there existed some degree of discrepancy between the Chinese and American students in this regard.

Finally, Zarifi and Mukundan (2014b), in a corpus-based study of the use of phrasal verbs in the EMAS corpus investigated the issue of creativity and unnaturalness in the use of phrasal verbs by ESL Malaysian learners. Findings revealed that Malaysian ESL learners showed a great tendency towards both making up new phrasal verbs and overuse of these combinations in their language production. This enabled the researchers to argue that in spite of both the theoretical and empirical evidence "attesting the underuse of phrasal verbs

by non-native speakers, the Malaysian ESL learning context seems to counteract the effects of the differences between L1 and L2" (Zarifi & Mukundan, 2014b). Yet, there are some complicated features to the English phrasal verbs that tend to be problematic for nonnative speakers to grasp. While some of the forms they created appeared to be based on the existing patterns of phrasal verbs developed by the native speakers, and hence indicative of creativity among the non-native learners, some other combinations were really deviations of the standard use of the language both lexically and semantically. The learners' use of the non-idiomatic combinations appeared to be almost error free, e. g. PUSH OUT, WALK OUT, etc.; however, the learners' attempt to formulate new idiomatic forms was largely prone to error, e.g. SAY OUT, USE OUT, and VOICE OUT. As a result, the researchers came to conclude that the English language tends to keep the mystery of creating new idiomatic phrasal verbs as a linguistic property to its own native speakers and hide it from the non-native speakers.

## Study of Phrasal Verbs in Pedagogic Corpora

Because of the overwhelming number of phrasal verbs in English and the different collections available to choose from the right selection and presentation of these combinations have frustrated curriculum designers and materials developers. This sense of frustration still gets more complicated by the fact that course books cannot in any possible way include all

these expressions and neither are all of these combinations equally useful to the learners. Therefore, of main research interest is whether curriculum developers are really taking into account the corpus-based research findings in selecting and presenting these structures or are only paying lip service to the use of empirical findings in teaching materials.

In keeping with the above research concern, the selection and presentation of the phrasal verb combinations in the ELT materials has been investigated in different pedagogic corpora. Examining the presentation of phrasal verbs in a few ELT course books and reference materials, Side (1990) contended that some of the difficulties that learners encountered in dealing with these combinations were motivated by the way in which they were presented. She argued that ELT materials often failed "to create learnable patterns" of the combinations and they sometimes present them in "patterns of the wrong kind". While it is the particle element that gives some lexical verbs a specific aspect of meaning, course books often formulate lists that revolve around a particular lexical verb. On the other hand, dictionaries sometimes assign meanings to the particle elements of the phrasal verbs that are more conveyed by the lexical verbs. For instance, Longman English Grammar defines 'UP' as "confining/fastening/mending, etc." exemplified by 'LOCK STH UP, STICK STH UP, PACK STH UP, etc.'. Much of this sense is, however, conveyed by the lexical verb rather than the particle.

In addition, Darwin and Gray (1999) developed a list of the 20 most frequently occurring phrasal verbs in the BNC. Comparing the list with the phrasal verbs in a typical ESL grammar book, they found that only 3 of all the phrases in the textbooks matched the 20 phrasal verbs on the list. Likewise, Koprowski (2005) studied the treatment of phrasal verbs and other multiword expressions in three contemporary ELT course books. Although they were all developed as British general English materials for learners at the intermediate level, not even a single phrasal verb was found to be shared by the three textbooks. In addition, less than one per cent of the multiword expressions were shared by any of the course books. Lamenting the lack of consistency among the textbooks, Koprowski observed that ELT materials developers did not follow any principled criteria in the process of vocabulary selection.

In a recent study, Zarifi and Mukundan (2015) investigated the semantic treatment of these phrasal verbs in a corpus of ESL textbooks. Using WordSmith software and the Oxford Dictionary of Phrasal Verbs as research instruments, the study revealed that most of these combinations were presented with a very thin skeleton. Despite the huge number of phrasal verbs in the corpus, they turned out to be inadequately dealt with in terms of quality. Some combinations were presented with their rare and highly infrequent word meanings. Many others were narrowly presented in different Forms with the same meaning.

In another recent study on the Malaysian ESL textbooks, Zarifi and Mukundan (2012) investigated the use of phrasal verb combinations in the spoken sections of the materials. They found that both the selection and presentation of these structures were inconsistent with their natural use in the BNC. They reported that textbooks did a disservice to the learners by including combinations of extremely low frequency counts in general English and excluding a number of combinations with highly low frequency counts in general English.

The corpus-based study of the presentation of phrasal verbs in different pedagogic corpora has in fact provided illuminating findings on different aspects of these structures in different instructional language varieties. In a similar way, results of the empirical studies of ESL learners' use of phrasal verbs show how different ESL learners tend to use them, and how their treatment of these forms is in dis/agreement with their use by native speakers. The literature is, however, lacking in any cross-corporal study comparing how learner use of phrasal verbs mirrors the presentation of these forms in the corresponding pedagogic corpus they get exposed to as their main language input. In other words, there exists no evidence as to whether ESL/EFL textbook content is in keeping with learner needs. The current study was, therefore, carried out to bridge this research gap in the literature. More specifically, this cross-corporal study aimed to address the following questions:

1. What are the phrasal verbs in each of the ESL Learner and Pedagogic corpora?
2. How does the use of phrasal verbs differ in the two corpora?
3. To what extent is the use of phrasal verbs in the two corpora consistent with their presentation in the BNC?

## METHODS

This study is a corpus-based content analysis of the use of phrasal verbs in two ESL corpora namely, the EMAS and Malaysian ESL secondary level textbooks. The EMAS is a learner corpus of Malaysian ESL School Students created by Universiti Putra Malaysia. It contains around 472,652 tokens and includes written essays of 872 students at the secondary level and primary level. In order for the corpus to represent the southern- central, the northern, and the eastern parts of peninsular Malaysia, the respondents were selected from the schools in three states. These schools had performed well in the 1999 standardized examinations. This sample was intentionally selected in order to obtain sufficient and appropriate data for analysis. In other words, students with low proficiency in the English language were excluded as they were not expected to provide enough language data for the establishment of a corpus needed for further analysis. The data in this learner corpus were collected in the form of three narrative essays which each learner was required to write. The first essay dealt with a series of pictures, depicting a number of events happening to some kids going on a picnic to the river bank, of which the students were required to provide a written account within one hour. For the second essay, the students were asked to write an essay on the topic 'The happiest day of my life'. The third essay involved an essay selected from the essays that the teachers had assigned to the learners as part of their regular school work. The selection of these essays was motivated by their potentiality to generate extensive language, familiarity to the students, as well as control of language support. It should, however, be pointed out that for comparison purposes the current study does not include the data collected from the primary level students. In other words, the learner corpus consisted of only 370,876 running words, extracted from a total number of 1507 narrative essays that were produced by 567 students from the secondary level.

The pedagogic corpus, on the other hand, includes the five textbooks of the English textbooks prescribed for the Malaysian students at the secondary level. It contains 302,642 tokens and comprises an almost balanced selection of texts in terms of spoken versus written modalities and a variety of general topics. Despite the use of phrasal verbs in different parts of each lesson in the whole corpus, a few lessons particularly deal with introducing and teaching phrasal verbs. The selection of these textbooks as the pedagogic corpus in this study was, in fact, informed by the observation that textbooks form "the core of most teaching programs" (Brown, 2011), and empower the learners to consolidate their language learning both inside and outside the classroom (Mukundan, 2004).

It should be pointed out that the selection and presentation of phrasal verbs in this pedagogic corpus appear not to be informed by the findings of corpus-based studies. For instance while the Form One textbook fails to include such highly frequent forms as 'BREAK OFF, HOLD UP, COME THROUGH', etc., it contains some rare items like 'LAZE AROUND, POKE ABOUT, WHAM BACK', and so on. Moreover, the textbook fails to make a distinction between Verb + Particle and Verb + Preposition structures, presenting phrasal verbs like PUT ON with prepositional verbs like 'think about', 'concentrate on', etc., (Form Four) and even with prepositional constructions like 'responsible for' and 'happy with' (Form Five). This might mislead the students to conclude that structures that come under the same category and appear together in the same lesson behave similarly. However, while 'ON' in 'CONCENTRATE ON' is a preposition, forming a semantic unit with its following NP, 'ON' in 'PUT ON' is a real particle, making a semantic whole with the verb not with its following NP.

For data collection, the WordList function of the WordSmith software version 5.0 (Scott, 2008) was used to extract all the potential particle elements in the corpora. Then the Concordance function was run to locate all the instances of particle elements preceded by an adjacent or a nonadjacent lexical verb. It can be said that the study adopted a comprehensive sampling as all the phrasal verb combinations in different sections of the textbooks were included. Since a verb particle might behave differently as an adverb, a preposition, or a verb., based on the context in which it appears, we settled for a clear-cut definition that would differentiate phrasal verbs from prepositional verbs and other similar combinations. This study defines a phrasal verb "as combination of a lexical verb and a non-prepositional particle element that is either adjacent or nonadjacent to the verb" (Zarifi, 2013).

Following the definition, all the instances of lexical verbs followed by a particle of non-prepositional meaning (e.g. TURN ON) were tagged as phrasal verbs (VPart) to be distinguished from prepositional verbs (e.g. LOOK AT). Then, all the extracted combinations were lemmatized (turn, turned, turning = TURN) to have all the inflectional forms of each phrasal verb counted together. In order for the tagging process to be valid and acceptable, we asked an independent coder to read through the concordance lines and code all the combinations. The second coder who held a PhD degree in TESL had a record of teaching English as a second language for the past five years. Finally, Cohen's Kappa statistics was used to check for the consistency level of coding process between the coders. The inter-rater reliability value was calculated to be 0.94, which is an excellent index of coding consistency.

In the last stage, we compared all the combinations extracted from the two corpora. In a similar way, the findings were compared against the BNC as the reference corpora to see how the two ESL corpora agreed with actual language use of these combinations.

## RESULTS AND DISCUSSION

Application of the WordList and Concord functions of the WordSmith software (Scott, 2008) yielded the following results:

Table 1
*General descriptive statistics of phrasal verbs in the Malaysian ESL pedagogic corpus*

| PV tokens | PV Lemmas | LV Lemmas in PVs | Particle elements in PVs |
|---|---|---|---|
| 2212 | 464 | 226 | 23 |

As Table 1 reveals, a combination of 226 different lexical verbs with 23 different particles made up a total number of 2212 tokens of phrasal verbs in the Malaysian pedagogic corpus. These combinations appeared in 464 different lemmas. In other words, on the average, each lemma appeared roughly in 4.77 tokens of phrasal verbs, and each lexical verb took part in the formation of 9.79 phrasal verbs.

Table 2
*General descriptive statistics of phrasal verbs in the EMAS*

| PV tokens | PV Lemmas | LV Lemmas in PVs | Particle elements in PVs |
|---|---|---|---|
| 2120 | 492 | 244 | 23 |

Table 2 shows that a combination of 244 different lexical verbs with 23 different particle elements resulted in a total number of 2120 tokens of phrasal verbs in the Malaysian ESL learner corpus. These combinations appeared in 492 different phrasal verb lemmas. On average, each phrasal verb lemma provided 4.31 tokens of phrasal verbs and each lexical verb accounted for the formation of 8.68 tokens of phrasal verbs. It should be pointed out that the learners' incorrect use of phrasal verbs was also included for analysis. For example, nonstandard use of PICK UP in the utterance 'PICKED UP the flowers' and many other categorically ill-formed combinations like STATE OUT were counted as phrasal verbs.

In order for the figures to be directly comparable, they were normalized. To this end, the observed frequency counts of phrasal verbs in each corpus were projected to a corpus basis of exactly 10,000 words. First, Chi-square statistics revealed that the two corpora did not significantly differ in terms of the number of phrasal verb tokens they contained at 0.01 level of significance. Second, the normalized figures in Table 3 show only some negligible degree of difference in distribution of phrasal verb lemmas and lexical verb lemmas between the two corpora. That is, while in the pedagogy corpus, 15 phrasal verb lemmas and 8 lexical verb lemmas appeared per 10,000 tokens, about 13 phrasal verb lemmas and 7 lexical verb lemmas appeared per 10,000 tokens in the EMAS.

Table 3
*Frequencies normalized to a 10,000-token corpus*

| Corpus | Token | PV | (Norm) | PV Lemmas | (Norm) | LV Lemmas | (Norm) |
|---|---|---|---|---|---|---|---|
| EMAS | 319,725 | 2120 | (66) | 492 | (15) | 244 | (8) |
| Pedag. | 302,642 | 2212 | (73) | 464 | (15) | 226 | (7) |

Care should, however, be exercised in the interpretation of the noticeable similarity between the two corpora. While some units (23 forms) of common use in textbooks like FILL IN, FIND OUT, and SOUND OUT, (Figure 1) account for the extensive use of phrasal verbs in the pedagogic corpus, the overuse of these combinations in the learner corpus should be interpreted in terms of the fact that the Malay language, unlike English, is a verb-framed rather than a satellite-framed language (Talmy, 1991). In other words, while the direction of the motion in English is conveyed through particle elements (satellites) like into, down, out, in, up, and down, in the Malay language this notion is expressed by the verb such bertembung= run into, jatuh= fall down, keluar= go out, masuk= go in, and naik= go up, turun =go down. By the same token, we tend to expect ESL learners with verb-framed language backgrounds like Malay to avoid using phrasal verbs (Liao & Fukuya, 2004) which are common in satellite-framed languages like English.

Further data analysis revealed that a number of items like TAKE OVER, WORK OUT, BRING ABOUT, BRING IN, BRING DOWN, GET IN, COME ABOUT, TURN OFF, MOVE BACK, PICK OUT, etc., that appeared in the pedagogic corpus were absent from the learner corpus. The absence of these items in the learner corpus, however, needs to be dealt with cautiously. To begin with, some of these items like TAKE OVER, WORK OUT, and BRING ABOUT, are highly specialized and enjoy a limited meaning coverage. To follow, the absence of these units in the learner corpus can be partly accounted for in terms of the number of the topics it dealt with. Unlike the pedagogic corpus that dealt with a large number of topics, the learner corpus was developed by the respondents writing about only three topics. Finally, although these combinations occurred in the pedagogy, they were, nonetheless, not repeated enough and recycled appropriately to be imprinted in the learners' mind. They occurred for less than three times and were not recycled at suitable spaced intervals to consolidate learning and motivate productive use. In other words, these items were absent from the learner corpus either because the learners did not find the chance to use them, or because they failed to learn them well due to the



*Figure 1.* A concordance snapshot of the use of 'find out' in the pedagogic corpus

manner of presentation and practice of the items by the authors or by the teachers in the classroom. It seems also possible that they managed to choose another non-phrasal verb form simply because they felt that it would fit the context better than the phrasal verb form.

In order to have a clearer picture of the way phrasal verbs were presented in the two corpora, the researchers decided to compare the top twenty phrasal verbs in them and also against the top 100 phrasal verbs in the BNC. Table 4 shows the top 20 phrasal verb lemmas in the BNC, EMAS and the Pedagogic corpora.

As Table 4 shows, while 4 of the top 20 phrasal verbs in the BNC, i.e., POINT OUT, COME OUT, COME IN, and GET BACK, did not appear in the pedagogic corpus, only 3 of the top 20 items in the BNC, i.e., WORK OUT, TAKE OVER, POINT OUT, were absent from the learner corpus. In a similar way, while 9 of the top 20 phrasal verbs in the pedagogic corpus

Table 4
*Top 20 phrasal verbs in the BNC, Malaysian ESL pedagogy and EMAS*

| Phrasal Verb Lemma | BNC Rank | Pedagogy Rank | Learner Rank |
|---|---|---|---|
| Go on | 1 | 28 | 12 |
| Carry out | 2 | 3 | # |
| Set up | 3 | 18 | 10 |
| Pick up | 4 | 10 | 4 |
| Go back | 5 | 25 | 2 |
| Come back | 6 | 61 | 6 |
| Go out | 7 | 12 | 5 |
| Point out | 8 | * | * |
| Find out | 9 | 1 | 14 |
| Come up | 10 | 31 | 97 |
| Make up | 11 | 32 | 99 |
| Take over | 12 | 26 | * |
| Come out | 13 | * | 7 |
| Come on | 14 | 37 | 46 |
| Come in | 15 | * | 35 |
| Go down | 16 | 76 | 28 |
| Work out | 17 | 4 | * |
| Set out | 18 | 79 | # |
| Take up | 19 | 20 | # |
| Get back | 20 | * | 20 |
| Fill in | * | 2 | # |
| Write out | * | 4 | # |
| Look up | 26 | 5 | # |

Table 4 *(continue)*

| Phrasal Verb Lemma | BNC Rank | Pedagogy Rank | Learner Rank |
|---|---|---|---|
| Look after | * | 6 | # |
| Pick out | 75 | 7 | # |
| Write down | * | 8 | # |
| Take part | * | 9 | # |
| Cut down | * | 11 | # |
| put up | 33 | 13 | # |
| Wake up | * | 14 | 1 |
| Go through | 73 | 15 | # |
| Throw away | * | 16 | # |
| Give up | 24 | 17 | # |
| Check out | * | 19 | # |
| Fall down | * | # | 3 |
| Pull up | * | # | 8 |
| Get up | 25 | # | 9 |
| Bring along | * | # | 11 |
| Turn back | 56 | # | 13 |
| Calm down | * | # | 15 |
| Bring up | 36 | # | 16 |
| Pass away | * | # | 17 |
| Grow up | * | # | 18 |
| Put down | 32 | # | 19 |
| Bring back | 40 | # | 20 |

* zero frequency count in the corpus
# present in the corpus but not included within the range of the rank specified

did not appear in the top 100 phrasal verbs in the BNC, only 7 of the top 20 phrasal verb combinations in the learner corpus were absent from the top 100 units in the BNC. In addition, COME OUT and GET BACK, which were totally absent from the pedagogic corpus, were among the top 20 phrasal verbs in the BNC and the learner corpus. Although the disappearance of the high frequent items like COME OUT and GET BACK from the pedagogic corpus can be raised as a shortage of the textbooks, the absence of combinations like TAKE OVER and WORK OUT in the learner corpus could be attributed to the level of formality of these combinations.

Findings also showed that combinations like FILL IN, WRITE OUT, LOOK AFTER, WRITE DOWN, TAKE PART, THROW AWAY and CHECK OUT were among the high frequent items in the pedagogic corpus but not so in the learner and the BNC corpora. While some of these items like FILL IN, WRITE OUT, WRITE DOWN, and CHECK OUT are the expressions specific to pedagogic register, the overuse of the other forms indicates that the development of the textbook materials failed to mirror the natural language use. In addition to the absence of some top frequent phrasal verbs from the pedagogic corpus, the corpus included some highly infrequent forms like 'WHAM BACK, RUSTLE OUT, and SPROUT OUT' for which BNC query cropped out zero or some negligible frequency shots. On the other hand, there were some top frequent PVs in the learner corpus like FALL DOWN and PASS AWAY

that were not so in the Pedagogic corpus and the BNC. This discrepancy can be interpreted in terms of the size and makeup of the Pedagogic corpus and the nature of the topics it dealt with. For instance, one section of the corpus required the respondents to describe a series of pictures in which somebody falls into the water, hence overuse of FALL DOWN (Figure 2). A wider range of topics would yield a different and perhaps better picture of the learners' use of the PVs and, by implication, other forms of the language.

Moreover, a quick look at the phrasal verbs in Table 4 shows that the items most used by the learners are those that have more transparent meanings in their lexical and/or particle elements (e.g., 'go back', 'wake up', and 'fall down'), and the more non-compositional items (e.g., 'carry out', 'take part', and 'take over') are lower in frequency or even absent from the learner corpus. Among others, one key implication of this finding is that learners do show evidence that they somehow acquire phrasal verbs in spite of their being absent from the pedagogic corpus. This seems to be especially the case with the phrasal verbs that enjoy more transparent rather than opaque semantic properties. Therefore, with pedagogical issues in mind, perhaps one important takeaway could be that course-books writers should not heed the BNC and BNC-like corpus data willy-nilly. In other words, learners tend especially to benefit from overt attention being drawn to these more non-compositional phrasal verbs since the evidence suggests that the learners may not simply pick them up as readily.

*Figure 2.* A concordance snapshot of the use of 'fall down' in the EMAS corpus

Of major pedagogical concern to ESL materials developers should be the combinations like HOLD BACK, GIVE IN, and BREAK OFF, which were used by the ESL learners and are included among the top 100 forms in the BNC but were, nevertheless, missing in the pedagogic corpus. On the one hand, just because these items do not appear in the pedagogic corpus, chances are that very little or no formal teaching of these combinations occurs in the classroom. On the other hand, the appearance of these items in the learner corpus shows that since English serves as a second language in Malaysia, language learners tend to pick up part of their language knowledge through encounter with sources other than textbooks or outside the classroom context. Given sufficient out-of-class input, it can be argued that even coursebooks cannot foil the Zipfian frequency distributions that students will engage with. Similarly, the data show that teachers should not be so much concerned with the (relatively limited) language input presented in the prescribed textbooks, and instead should encourage as much meaningful engagement with the L2 as possible, since there exists evidence that students are also sensitive to naturally occurring frequency distributions, hence mitigating the concern with course book syllabi.

Of equal interest to materials developers should be the top frequent items and rare forms like WHAM BACK, RUSTLE OUT, and SPROUT OUT, in the pedagogic corpus that are either infrequent or missing in the learner and the BNC corpora. This shows that if authors rely on their intuition for the selection of teaching materials, they might fail to provide materials that are really appropriate to the target learners. They might either provide materials that are rare in the language or avoid materials that can be really useful to the learners. All these empirical findings have led the researchers to suggest that corpus-informed materials are more likely to take care of the learners' needs and preferences. Likewise, the formal instruction, if directed towards the high frequent forms and structures, can accelerate the acquisition of these forms in particular, and foster the process of language learning in general.

Findings also showed that a large number of top frequent items like HOLD UP, HOLD OUT, COME ROUND, SET ABOUT, COME OFF, SET DOWN, and MOVE UP, in the BNC were absent from both the pedagogic and learner corpora. While it seems insensible to question the learners for not using these frequent items, the absence of these combinations in the pedagogy corpus is a different story. In other words, we would like to concur with rationalists and argue that the absence of an element in a learner corpus does not prove the nonexistence of that item in the internalized system of the learner. The exclusion of these combinations from the pedagogy can, however, be thrown into question on the grounds that "dramatic differences in frequency should be among the most important factors influencing pedagogical decisions" (Biber & Conrad, 2001).

Finally, unlike the phrasal verbs in the pedagogic corpus, the combinations in the learner corpus seemed to follow closely the actual use of these structures in the BNC. To put this into perspective, while only 12 of the top 20 phrasal verbs in the pedagogic corpus were included in the top 100 phrasal verbs in the BNC, 14 instances of the top 20 items in the learner corpus were covered in the top 100 phrasal verbs in the BNC. More interestingly, PICK UP, COME BACK and GET BACK, which respectively ranked 4th, 6th and 20th in the BNC, occurred exactly with the same rank in the learner corpus. In the same way, GO ON, SET UP, GO BACK, GO OUT, FIND OUT and COME

OUT which come the 1st, 3rd, 5th, 7th, 9th and 13th in the BNC ranked the 12th, 10th, 2nd, 5th, 14th and 7th in the learner corpus. On the other hand, the closest rank pattern of phrasal verbs shared by the BNC and the Pedagogic corpus appeared to belong to CARRY OUT, TAKE UP, PICK UP, GO OUT, FIND OUT and WORK OUT which ranked the 2nd, 19th, 4th, 7th, 9th and 17th in the BNC. These combinations came respectively in the 3rd, 20th, 10th, 12th, 1st and 4th in the pedagogic corpus.

## CONCLUSIONS

Results of the study enabled the researchers to conclude that: first, ESL textbooks seem to be developed on an ad hoc basis, more based on the writers' intuition and speculation than on empirical findings; second, there is a divide between the language ESL learners pick up and the textbook language they get exposed to; third, learners in ESL contexts tend to incidentally pick up language through exposure to sources other than the textbook language; and finally, in order to have a better corpus of real life production of the learners of the language, learner corpora compilers should have the respondents write on a variety topics of their own interest rather than confining them to writing on specific topics. This would help them to produce more creatively and freely and cause their production to better represent their active knowledge of the language.

It is hoped that freely available web-based corpora like the BNC, the LOCNESS, and the Corpus of Contemporary American English (COCA), could be

used as supplementary teaching sources in classrooms, whereby language teachers can compare and locate the differences between learners' language and the target language and work out the areas of L2 that are likely to cause problems for the learners. In addition to their usefulness in error correction, corpora have a priceless pedagogic potential to, in Sinclair' words (Sinclair, 1997), "clarify, give priorities, reduce exceptions and liberate the creative spirit" of the language learners. More specifically, corpora can empower the teacher in grading and rearranging the course materials so that instructional materials include both the most frequent items and those tending to create difficulty for students. It is also hoped that materials designers take effective steps to develop new textbooks that comply with the natural use of language as evidenced in corpora. A case in point could be the inclusion and explicit teaching of the top 100 frequent phrasal verbs at least in the early stages of language teaching and learning. Because of their high frequency counts and, by the same token, for their usefulness to the learners, these items should be considered a priority in pedagogy and brought into sharp focus for explicit teaching and learning (Kennedy, 2002).

Despite its findings, this study suffers from some limitations. First, the learner corpus (EMAS) is based simply on three timed writing tasks for which the learners did not apparently have much of any choice in terms of topic. Second, although a pedagogic corpus consists of all the language data that a learner gets exposed to in the classroom, the pedagogic corpus in this study included only the English textbooks prescribed for the Malaysian students at the secondary level. Yet, the inclusion of the textbooks seems to be reasonable as they serve as the main source of language materials in Malaysian ESL formal education (Nooreen & Arshad, 2005), and all the class activities are largely motivated by the contents of the textbooks.

This study is likely, we hope, to provide a strong incentive for further research in ESL teaching and learning. One area of interest could be evaluating various ESL teaching materials against the general corpora. Another area of main research interest could be comparing different ESL textbooks with their corresponding ESL learner corpora. Studies of such nature would be highly promising due to the pivotal role of instructional materials in ESL learning contexts. It is highly likely that the language input in textbooks accounts for some of the difficulties that ESL learners experience in picking up such challenging aspects of the language as phrasal verbs.

## ACKNOWLEDGEMENT

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# A Comparative Critical Discourse Analysis of Hillary Clinton and Donald Trump's Language Use in US Presidential Campaign: A New Analytical Framework for Reading Journalistic Texts

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## ABSRACT

The present contribution is an attempt to make a Critical Discourse Analysis (CDA) comparison between Hillary Clinton and Donald Trump's presidential campaign discourses, based on Norman Fairclough's three-dimensional framework. The educational aim of the present study is to introduce an applicable approach through a new analytical framework for reading journalistic texts among EFL learners in order to equip them with the critical ability and analytical skills to achieve a depth-understanding of the texts. So this is a corpus-based qualitative-quantitative study focusing on how societal power relations are established and reinforced through language use. Through close analysis of texts we can find out where and why implicit messages and explicit meanings are foregrounded or backgrounded. The findings of the current study can be utilized for English foreign language learners to promote their critical ability to analyze the journalistic texts and this, in turn, can enhance the EFL learners' motivation in reading comprehension.

*Keywords:* Backgrounding, critical discourse analysis, foregrounding, language use, presidential campaign

## INTRODUCTION

Fairclough (1995, 1996, 2001, 2010) indicated that critical discourse analysis (CDA) was a *transdisciplinary* (italic in original) form of analysis that emphasized on language as a form of social practice. The ultimate end of CDA is to analyze texts in their social contexts (Fairclough, 1995). Fairclough (2010) also articulated the theoretical relationship between language

and ideology. He discussed "the merits of locating ideology in language structures or language events" (Fairclough, 1995). He outlined a conception of discourse and discourse analysis and argued that "a more diverse range of linguistic features and levels may be ideologically invested than is usually assumed, including aspects of linguistic form and style as well as content" (Fairclough, 1995). He also indicated that ideology was "a property of both structures and events", but the key problem was to find a satisfactory account of the dialectic of structures and events (Fairclough, 1995). He then argued that language/ideology issues should be put into a more general framework of theories and analysis of power. In this regard, the Gramscian theory of hegemony (1971) was very influential in shaping Fairclough's CDA approach.

Van Dijk (2015) viewed CDA as "a type of discourse analytical research that primarily studies the way social power abuse, dominance, and inequality were enacted, reproduced and resisted by text and talk in the social and political context". He also articulated that there was a dialectical correlation between the text and context in discourse. He viewed CDA "as a reaction against the dominant formal (often "asocial" or "uncritical") paradigms of the 1960s and 1970s" (Van Dijk, 2015). Van Dijk (1998) believed that the main task of ideology was to legitimize power and inequality in favor of the ruling class. Ideology was presumed to hide or obfuscate the reality to be at the service of dominant social formation. He also maintained that apart from the negative

function of ideology, it should be noted that ideology had some positive effects, including social solidarity, organizing struggle or sustain oppositions.

Ruth Wodak (2011) provided a remarkable view of CDA. She drew on the more extensive overviews of CDA:

> Most generally, CDA can be defined as a problem-oriented interdisciplinary research program, subsuming a variety of approaches, each with different theoretical models, research methods and agendas. What unites them is a shared interest in the semiotic dimensions of power, identity politics and political-economic or cultural change in society. (p. 38)

Wodak (2001) also reiterated language did not contain power in itself, but it derived its power from the powers of dominant formations. This explains why CDA deals with the relationship between language and power and the analysis of language use of dominant groups (Baker et al., 2008).

CDA approach focuses on three dimensions of discourse: text (linguistic characteristics and organization of the text itself including vocabulary, grammar, cohesion, coherence, and intertextuality), discourse practice (process of text production, distribution, and consumption, according to social factors, and socio-cultural practice (how discursive event shapes the nature of discursive practice). These three dimensions will be analyzed in three processes of analyses which are:

description (text analysis), interpretation (processing analysis), and explanation (social analysis).

For text analysis on the level of description Fairclough (1996) presented the ten-question model to analyze the text to reveal covered meanings implied in the language use.

Applying Fairclough's CDA model (1995, 1996, 2001, 2010) and utilizing the ten-question model of Fairclough (1996), the present contribution tries to make a CDA comparison between Donald Trump by Plumer (2016), and Hillary Clinton's by Winter (2016) presidential campaign discourse. The current study attempts to reveal the interrelation of discourse structures and ideological structures of their acceptance speech in the US Presidential Election of 2016 as a good sample of his language use in presidential campaign. So, the current contribution is going to find answers to the following questions:

1. What experiential, relational and expressive values do words and grammatical features have?

2. What are the most important linguistic traces that highlight ideology and power in their speech?

3. What are the linguistic features of foregrounding and backgrounding strategies in the texts?

**RELATED STUDIES**

Some researchers have carried out studies in the field of CDA, for instance, Bednarek and Caple (2014) conducted a study in order to introduce a new framework for the analysis of news discourse to scholars in CDA and beyond. They tried to emphasize the importance of news values for linguistic analysis. The authors tried to introduce a 'discursive' approach to news values. The new framework for the analysis of such values, which they introduced, aimed at the analysis of text, towards combining quantitative and qualitative analysis by using corpus linguistic techniques. According to the authors, from a linguistic perspective, language can be seen as expressing, indicating, emphasizing or highlighting new values. Their framework for a linguistic analysis of news discourse is situated within the *discursive* approach to news values (italic in original). They analyzed two different case studies to introduce a new analytical framework to achieve their research aims. In the first case study, they demonstrated a systematic linguistic analysis to depict what kind of discursive devices were repeatedly used in the British press. In the second case study, they used a linguistic analysis of news values for a specific topic, event or news actor to establish how they were constructed as news worthy. They finally declared that there are other potential uses of their new framework for CDA.

Abdi and Basarati (2016) conducted a qualitative CDA study on Yemen crisis in ideologically-inclined newspaper headlines of Iran, Arab and the West. The corpus of their research study consisted of 63 headlines taken from 10 newspapers. They went through the newspapers of Iran, Arab nations and Western ones since these three agents were the three major players in the

Yemen crisis and played effective roles in the ongoing events of this country. They utilized Fairclough's 3-dimensional model (1996) to explore the specific themes in the selected headlines. In this way, the analysis of their article focused on the linguistic features of the text, processes relating to the production and consumption of the text (discursive practice), and the wider social practice to which the text belonged. The results indicated that Iranian headlines represented the Houthis as Yemeni people meanwhile; the West and Saudi-led coalition represented the Houthis as rebels. As for the source of such opposing discourses, the study argued that the opposing ideological views of Islam in the Middle East and the discourse of secularism in the West led to contradictory discourses in the region.

In a newest attempt, Alkaff and McLellan (2017) conducted an investigation to compare 'Hard News Texts' in the Malay and English language media in Malaysia. They applied a modified CDA framework (as a 'product' approach) in order to establish the degree of parallelism between the Malay and English media texts reporting the same news. And also they tried to find the policies and processes involved in the construction of print media texts by a 'process' approach based on interviews. They placed the texts side-by-side to enable comparison of length and depth of coverage of the news reports. In this way, they could investigate what ideas or issues were being foregrounded or backgrounded in the texts. The authors also tried to use a quantitative approach to establish the degree of parallelism between

Malay and English language media texts (from the same institutions) reporting the same story. They came to this result that the same news has different stances and ideas.

It is worth mentioning that Bull and Fetzer (2006), KhosraviNik (2015), and Lotfi (2016) conducted studies on the news coverage of newspapers to reveal the ideological burden language features. By contrast with most other works, the present study attempts to present a framework to analyze language use through the CDA approach developed by Fairclough (1995, 1996, 2001, 2010). Despite the importance of this model, the previous studies either ignored or only mentioned in passing.

## METHODS

Iranian EFL learners are suffering from lacking critical ability to analyze and discuss the texts to reach the deep or unmasked meaning of the texts. Almost all of them are not familiar with the CDA techniques to realize the ideologically contested words and structures in a text. They are not able to describe a text to find out how societal power relations are established through language use, and also they cannot recognize linguistic traces that imply strategy and ideology. They just remain on the surface meaning of a text. So the present study tries to introduce a critical reading framework based on CDA techniques in order to equip EFL learners to be able to analyze a text critically. This provides and motivates them to enhance their ability in reading journalistic texts.

Although some scattered studies have been conducted in this sphere, they did not introduce an applicable framework for reading journalistic texts. This study tries to fill up the relevant gap.

The textual samples for the current study were chosen for their overall significance in the 2016 presidential campaign. Moreover, "political speeches are highly constructed pieces of discourse" (Jenson et al., 2016). The acceptance speech is one of the most important events in the US presidential campaign. Analyzing the acceptance speech through the CDA would provide a detailed exploration of the central themes and questions which the researchers wish to study.

So, this is a CDA comparative study of Hillary Clinton's acceptance speech on the fourth day of the Democratic National Convention at the Wells Fargo Center, July 28, 2016 in Philadelphia, Pennsylvania, and Donald Trump's acceptance speech at the Republican National Convention (RNC) delivered on July 21, 2016 to reveal how the language was utilized as a part of the presidential campaign to draw the audiences' attention and persuade them to vote.

Donald Trump's speech (text) comprised the total amount of 5144 words. This speech lasted 75 minutes. Hillary Clinton's acceptance speech is comprised of the total amount of 5202 words and it was 15 minutes shorter than Trump's acceptance speech.

According to Meng and Yu (2016) critical discourse analysis in conjunction with a corpus-driven analytical methodology can make a powerful qualitative and quantitative tool for deconstructing and studying political discourse. So, primarily this is a quantitative method of research which was conducted based on the statistical data especially the most frequent content words in setting a related word list in order to compare and contrast the two speeches. Then a qualitative focused analysis was manipulated on the macro level to see whether the discourse of the texts imply any ideological orientations towards the content of the speeches.

## RESULTS AND DISCUSSIONS

The present contribution can be considered as the newest attempt in order to show the importance of in-depth understanding of journalistic texts among EFL learners.

### A Comparative/Contrastive Analysis of the Most Important Issues of Concerns

The most important issues of concerns in Hillary Clinton and Donald Trump's acceptance speeches are as follows: 1) Americanism; 2) Immigration; 3) Terrorism; and 4) Economy

### Americanism

The table below presents the frequency of the most important related words or vocabulary items that project the meaning of Americanism.

It is not unreasonable that Trump emphasized on America, American(s) and Americanism more than Hillary did (according to the Table 1). Trump wanted

Table 1
*Americanism*

| Related words | Hillary | Trump |
|---|---|---|
| Americanism | 0 | 1 |
| America-American(s) | 27+11 | 31+30 |
| (Our) Country | 23 | 31 |
| (Our) Nation | 15 | 11(3 unrelated) |
| (Our) People | 36 | 20 |
| (Our) Citizens | 1 | 8 |
| Constitution | 2 | 1 |
| (Declaration of) Independence | 0 | 1 |
| Women's Right | 1 | 0 |
| Democracy | 1 | 0 |
| Equality | 1 | 0 |
| American dream | 1 | 0 |

to persuade the audiences being agreed that such issues were completely ignored by Hillary Clinton. While Donald Trump explicitly separated "Americanism" from "globalism" by using emphatic wordings: "*The most important difference between our plan and that of our opponents is that our plan will put America first. Americanism, not globalism, will be our credo*", Hillary Clinton did not mention the ideologically contested word "Americanism" in her speech at all. She utilized a plain positive wording about the present economic conditions of America, "*America is stronger because of President Obama's leadership, and I'm better because of his friendship*". And emphasized that "*That's the only way we can turn our progressive platform into real change for America*".

Other words and phrases may project the meaning of "Americanism" are "(our) country", "(our) nation", "(our) people"

and "(our) citizens). According to the Table 1, Hillary emphasized citizens and citizenship rights by frequently using "(our) people", "(our citizens)". She used these wordings in her speech to show her obligations to human rights, women's rights, democracy and so on, but not specifically on "Americanism". But Trump emphasized "Americanism" and the *"system that works for the American People"*. While he pointed out lost opportunities and utilized oppositional wordings to stimulate the nations' unsatisfactory, Hillary tried to emphasize plain general issues which had not included any persuasive wordings: *"America needs every one of us to lend our energy, our talents, (and) our ambition to making our nation better and stronger*".

Donald Trump skillfully applied ideologically contested phrases such as "Hillary Clinton's legacy" contrasted with "American legacy" to categorize them in the classification scheme of catastrophically situation of the "rigged system". By these simple and short clauses, he implied the experiential and expressive values of related words to project the meaning of Americanism.

**Immigration**

The most important related words or vocabulary items that project the meaning of immigration.

Comparing and contrasting the wordings in Table 2 implies that Trump made a classification scheme replete with ideologically contested words. It gives him a persuasive language use to attack

Table 2
*Immigration*

| Related words | Hillary | Trump |
|---|---|---|
| Immigration | 2 | 9 |
| (Illegal) Immigrant(s) | 0 | 10 |
| Refugees | 0 | 4 |
| (Illegal) Border(s) | 3 | 8 |
| Violence | 3 | 11 |
| Crime(s) | 0 | 7 |
| Human Smuggling | 0 | 1 |
| Lower Wages | 0 | 1 |
| Killing | 0 | 9 |
| Murdered | 0 | 2 |
| Homicide(s) | 0 | 1 |
| Brutal(ly) | 0 | 2 |
| Dangerous immigration policy | 0 | 1 |

his opponent very efficiently. Most of the ideologically contested words are introduced by many "oppositional wordings". These related words or vocabulary items project the negative meaning of immigration such as "illegal immigrants", "(illegal) borders", "terrorism", "terrorists", "violence", "crimes", "human smuggling", "lower wages", "killing", "savage", "murdered", "homicide", "brutal (ly)", and "radical and dangerous immigration policy".

Hillary drew a classification scheme full of positive wordings which were ideologically contrasted with Trump's negative rewordings. Not only she did not utilize the negative synonyms for immigrants but also she tried to apply positive statement *"And we'll build a path to citizenship for millions of immigrants who are already contributing to our economy!"* In this way, she tried to persuade a larger of the population to vote her. Donald Trump in his classification scheme utilized such wordings to project the negative social consequences of immigrants and immigration, but Hillary Clinton utilized positive wordings to project the economic benefits of immigration,

> *"I believe that when we have millions of hard working immigrants contributing to our economy, it would be self-defeating and inhumane to kick them out".* And *"Comprehensive immigration reform will grow our economy and keep families together - and it's the right thing to do".*

Trump used parallelism structure as a form of foregrounding such as *"Mass amnesty, mass immigration, and mass lawlessness"* to present a persuasive negative experiential and expressive value on immigration policy.

Fairclough (1996) focused on how a text's choice of wordings depended on and helped create, social relationships between participants. These social relationships can be shown by using euphemistic expressions. While Trump euphemistically used some expressions to show his sympathetic feelings on the victims of "murder" and "violent crimes" committed by "gangs" (he means immigrants), Hillary applied euphemistic words implying experiential and relational values to support immigrants and introduced herself as a passionate advocate of them. She rejected US/THEM division and said, *"We have to heal the divides in our country"*. Or *"I refuse to believe we can't find common ground here"*. Trump intended to show that crises were consequences of the "open

border policy" but Hillary used wordings to show the positive experiential and relational values on the issue of immigration.

It seems there is no important place for "metaphor" in Hillary and Trump's speech in part of related to immigration. In fact, Trump's strategy was to speak very clearly utilizing simple and short sentences.

Their speeches were replete with so many grammatical features such as topicalization, nominalization, and juxtaposition which comprised experiential, relational and expressive values. Trump used a lot of simple sentences to blame his rival on all deplorable conditions, for example, *"Americans are suffering"*, topicalization like "radical and dangerous immigration policy" and "*Homicides last year increased by 17% in America's fifty largest cities*". And finally, he came to this result that she "is not fit to lead our country". Hillary, on the other hand, tried to "de-emphasize our bad things" and in this way she had unconsciously trapped herself into a self-defeating position.

**Terrorism**

The most important related words or vocabulary items that project the meaning of terrorism.

Table 3
*Terrorism*

| Related words | Hillary | Trump |
|---|---|---|
| Terrorism | 1 | 9 |
| Terrorists | 1 | 2 |
| ISIS | 2 | 4 |
| Islamic radicals (terrorists) | 0 | 4 |
| Savage killers | 0 | 1 |
| Law and order | 0 | 9 |

According to the Table 3, terrorism and the related words or vocabulary items that project the meaning of terrorism are comprised a significant part of Trump's speech. Trump explicitly and aggressively applied some hyponyms and over-wordings to create negative connotations such as "Islamic radicals" or "Islamic terrorists", and "criminals". Trump tried to blame Hillary for all her responsibility for widening terrorism:

*"Our convention occurs at a moment of crisis for our nation. The attacks on our police, and the terrorism in our cities, threaten our very way of life. Any politician who does not grasp this danger is not fit to lead our country."*

*"After four years of Hillary Clinton, what do we have? ISIS has spread across the region and the entire world. Libya is in ruins, and our ambassador and his staff were left helpless to die at the hands of savage killers. Egypt was turned over to the radical Muslim Brotherhood, forcing the military to retake control. Iraq is in chaos. Iran is on the path to nuclear weapons. Syria is engulfed in a civil war and a refugee crisis that now threatens the West. After 15 years of wars in the Middle East, after trillions of dollars spent and thousands of lives lost, the situation is worse than it has ever been before."*

Hillary tried to mitigate the problem of terrorism by applying an implicit collocation structure which implied that terrorism can be diminished by some reforms. *"We should be working with responsible gun owners to pass common-sense reforms and keep guns out of the hands of criminals, terrorists and all others who would do us harm."*

**Economy**

The most important related words or vocabulary items that project the issue of economy.

Table 4
*Economy*

| Related words | Hillary | Trump |
|---|---|---|
| Economy/Trade | 1 | 18 |
| Poverty | 0 | 4 |
| Laid-off factory workers | 0 | 1 |
| Not employed | 0 | 1 |
| Ignored (people) | 0 | 1 |
| Tax Laws | 0 | 4 |
| Job killing/ Job killers | 0 | 2 |
| Rigged system | 0 | 5 |
| Corruption | 0 | 1 |

According to the Table 4, Hillary views U.S. economic conditions very optimistically: *"we will build an economy where everyone who wants a good paying job can get one"*. *"Our economy is so much stronger than when they took office. Nearly 15 million new private-sector jobs. Twenty million more Americans with health insurance. And an auto industry that just had its best year ever. That's real progress"*. *"We will not build a wall"*. She shows a mitigated negative view on the economy by relating to democracy: *"I believe that our economy isn't working the way it should because our democracy isn't working the way it should"*. *"I believe that when we have millions of hardworking immigrants contributing to our economy, it would be self-defeating and inhumane to kick them out"*.

Trump's speech was full of two strategies in applying negative evaluation: parallelism and emphatic style. He knew how to influence on his audiences by applying a range of wordings associating negative evaluations: *"58% of African-American youth are now not employed"*, *"2 million more Latinos are in poverty"*, *"14 million people have left the workforce entirely"*, *"President Obama has almost doubled our national debt to more than $19 trillion, and growing"*. He applied some nominalizations such as "laid-off factory workers", "the forgotten men and women of our country" as a good strategy to attack his rival. In this way, he tried to depict all the deplorable conditions which Americans have got stocked, and then by using sympathetic wording he introduced himself as the only savior, *"These are people who work hard but no longer have a voice. I am your voice"*. Trump applied some phrases such as "colossal mistakes", "colossal disasters" and "job killing trade" as a linguistic strategy to "Emphasize their bad things". Trump clearly utilized an aggressive language on the economic relationship between the U.S. and China, "China's outrageous theft of intellectual property" or *"our horrible trade agreements with China, and many others, will be totally renegotiated"*.

He also projected the negative expressive value of "rigged system" and "corruption" through emphatic style *"I know that corruption has reached a level like never ever before in our country". "Nobody knows the system better than me, which is why I alone can fix it. I have seen firsthand how the system is rigged against our citizens".*

## CONCLUSIONS

Initially, the current study is a quantitative method of research that is implemented based on the statistical data especially the most frequent words in order to compare and contrast the two speeches. Then a qualitative focused analysis has been done in order to reach the macro level of the speeches. Both speeches cover a wide diversity of different issues. It is worth mentioning that the candidates' acceptance speech is a good sample of methodological instrument pertaining and including most of the linguistic components can be applied for the purpose of the present study.

As Chalak and Ghasemi (2017) found "accepting a CDA approach to language teaching and learning could be much more interesting for language learners to read between the lines and not in the lines in order to search for cultural, societal, and political differences dominated throughout the textbooks".

The current study came to the following answers and statements of the research questions on the basis of the above method analysis.

Concerning the research question 1, findings of the research revealed that how the two Presidential nominees tried to draw upon some classification schemes through ideologically contested words. The research indicated that in what ways they applied synonymy, hyponymy and antonymy to convey ideological significant meaning relations. For instance "crime", "gangs" and "violence" are hyponyms and also synonyms of "terrorism" in Trump's speech. Furthermore, the present study revealed that in what ways they tried to show their dominance (power) by using very simple sentences in which the agent is explicitly clear. How they used nominalization in active sentences, and how they applied inclusive and exclusive pronouns.

Both of them applied simple vocabularies and short sentences to make a very provocative and intimately language use, because their audiences were all Americans, either educated or uneducated people. And this helped them minimize the social distance between the speakers and the audiences. In this way, strategically they could make a very emotional situation to express their feeling and attitudes to the nation. Another reason for applying simple sentences especially in the form of (SVO), (SV) and (SVC) is that this kind of sentences convey the experiential values which in turn can help the speaker attack directly the opponent, besides, it helped them to put the blame of catastrophically situation on the other side. So, the agent is very clear and most of the sentences are in an active voice. Their speeches are replete with conjunctions

such as "and" and "but". This kind of usage pattern, however, could help them to apply a very persuasive and powerful language use. Most of the sentences are declarative. In a declarative form, the speaker can show his/her power very easily. Applying simple declarative sentences (SVO), they tried to put them in the same position as the audience. Furthermore, it would be a persuasive tool to introduce themselves very sympathetic and responsible for the main nations' problems. Both of them applied idiosyncratic pattern of emphatic speech style but in different wordings full of experiential, relational and expressive values. In short, language was being used in an instrumental way as a part of a wider objective to convince the audience to vote them.

Concerning the research question 2, findings of the research revealed that there are a lot of linguistic traces that highlight ideology and power in both speeches. Both speeches covered a wide diversity of different issues, and it provided appropriate textual samples for the present research contribution. Hillary Clinton and Donald Trump in one of the most important speeches in their lives tried to set forth some selected crucial problems relating to Americans and some vital global affairs in such a way to attract the attention of their parties and the voters as well. The textual samples are replete with linguistic features that highlight their ideology and depict their willing to project their power. Since Trump has introduced himself as an opponent to the status in quo, he could make a wider

space and capacity to use opposing wordings to attack his rival successfully "*My plan is the exact opposite of the radical and dangerous immigration policy of Hillary Clinton*". Applying lots of ideologically contested words through topicalizations, nominalizations helped Trump to stand in a good position "*Communities want relief from uncontrolled immigration*". Ideology in Trump's speech can be revealed via considering two familiar sentences "*Americanism, not globalism, will be our credo*" and his main motto in the presidential election in a short imperative sentence "*Make America Great Again*!" But Hillary Clinton stood on the government side. And this made a very self-defeating situation to her. While Donald Trump applied a male-oriented pattern of negative and aggressive language speech, Hillary utilized positive connotations to draw the audience's attention to her motto "*stronger together*".

Concerning research question 3, the findings of the research depicted that both of the two rivals tried to utilize different kinds of foregrounding and backgrounding strategies. Halliday (1973, 1978) introduced foregrounding as the phenomenon of linguistic highlighting, whereby some features of the language of a text stood out in some way. Analysis of the text showed that Donald Trump applied this kind of strategy more than Hillary Clinton. For instance "*I know that corruption has reached a level like never ever before in our country*" or "*She supported the Trans-Pacific Partnership which will not only destroy our manufacturing but it will make*

*America subject to the rulings of foreign governments. And it is not going to happen*". Trump frequently applied opposing and aggressive language through parallelism as a form of foregrounding, "*Mass amnesty, mass immigration, and mass lawlessness*". Although almost both of them could apply the linguistic strategies in their speech, it seems Trump could make a wider capacity and atmosphere to use persuasive words, phrases, and sentences because he introduced himself as an opponent and a critic of the government. To sum up, scrutinizing the texts critically depicted how they used positive sentences for foregrounding and negative sentences for backgrounding to an US/THEM relations.

The current study can be utilized for English foreign language learners to promote their critical ability to analyze the journalistic texts and this; in turn can enhance the EFL learners' motivation in reading comprehension.

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# The Patterns and Translation Techniques of English-Indonesian Verbal Node Collocations

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## ABSTRACT

This study aims to investigate the patterns of English verbal node collocations and to explore the patterns of their translation in Indonesian. In addition, this study also examines the translation techniques employed in translating English verbal node collocations into Indonesian. The study used the novel *Pride and Prejudice* and three translated versions of the novel. A total of 117 verbal node collocations were analysed. The data were collected using Ant.Conc. 3.4.4.w Software. The findings show that most of the verbal node collocation patterns are in the form of clausal extension and clausal enhancement. Others are in the form of verbal extension and verbal enhancement. This study also finds that English verbal node collocations are transferred into the same patterns as they are in English and also into different ones. In addition, English verbal node collocations are sometimes translated into nonverbal node collocations. With regard to translation techniques, the two most frequently used translation techniques found are established equivalence and discursive creation. Other techniques, from the highest to the lowest usage, are modulation, explicitness, reduction, pure borrowing, generalization, literal translation, addition, particularization, deletion, transposition, variation, adaptation and compensation.

*Keywords*: Collocation, English-Indonesian translation, node, translation patterns, translation techniques

## INTRODUCTION

When translating a text, a translator should be aware that patterns of juxtaposition in the source language text (SLT) differ from those in the target language text (TLT). The difference is not only influenced by the grammatical construction underlying the two but is also affected by the lexical meaning conveyed in each word. This

juxtaposition of words is referred to as collocation. Collocation is a term coined by Firth (1957, as cited in Seretan, 2011) who defined collocation as "the company that words keep or actual words in habitual company". Firth assumed that the meaning of a word was determined by the co-occurrence of words at a syntagmatic level (Firth, 1957, as cited in Seretan, 2011). He used as an example the clause *John ate the apple*. *Apple* stood in syntagmatic relation with the words *ate* and *John*. In other words, Firth described collocation as meaning at a syntagmatic level. This syntagmatic relation between lexis in a collocation is not always the same among different languages. However, each collocation is composed of a node. Sinclair (1991) stated that *a node* was the word that was being studied. Since this study explores collocations made up of verbs, the node of the collocations is a verb. Meanwhile, for any word that occurs in the specific environment of a node is called *collocate* (Sinclair, 1991).

In a study focusing of verbal node *do*, the collocate *hair* will come after *do*. English permits a collocation *do somebody's hair.* On the other hand, in Indonesian this is equal to '*menata rambut'* (*menata 'arrange'* and *rambut 'hair'*). In English, a verbal node *draw* collocates with *a conclusion* and builds the collocation *draw a conclusion*; while in Indonesian *kesimpulan 'a conclusion'* collocates with a node *menarik 'pull'*. This sequence yields the collocation *menarik kesimpulan.* Another example is a verbal node *make* which collocates with *a lot of money*; which in Indonesian becomes *menghasilkan uang* (*produce money*).

In juxtaposing a sequence of lexemes, one cannot ask the reason why the co-occurrence of certain words is unacceptable or the reason for positioning one word after another. Another example in English is the sequence *strong tea.* This collocation is acceptable, while the juxtaposition of \**powerful tea* is unsuitable. The similar meaning of *strong* and *powerful* does not automatically make the use of these two lexemes interchangeable. In Indonesian, *strong tea* is not translated literally as \**teh kuat* (*teh 'tea'* and *kuat 'strong'*); the proper translation of *strong tea* is *teh kental* (*teh 'tea'* and *kental 'thick'*). This phenomenon was clearly stated by Menon and Mukundan (2010) that any of the collocational combinations which formed compound nouns with similar syntactic characteristics or lexical patterns (noun+noun and adjective+noun) did not have similar semantic associations.

Studies on collocation have focused on the translation of collocation from SLT into TLT (Feng et al., 2018; Haghighi & Hemmati, 2018; Izwaini, 2016; Pastor, 2015; Setiarini, 2017; Zinel'aabdin & Ahmed, 2017). A study on translating English verbal collocation into Spanish was conducted by Pastor. Pastor (2015) examined the collocational verbal range for prima facie translation equivalents of words like *decision* and *dilemma*. She built a corpus on the identification of what nouns followed by the verbal node of decision and dilemma in Spanish and the co-existing national varieties.

A research on translating collocation from Arabic into English was done by Izwaini (2016). In conducting his work, he started with the key element, which was usually the node in those collocations and then proceeded to the collocate. Methods in rendering collocation had also become his interest.

Translating collocation from SLT into TLT deals with the translation techniques applied by either professional translators or students. A research on discussing translation techniques was carried out by Setiarini (2017). She found out that the most common translation technique applied in translating a bilingual recipe from English into Indonesian was established equivalence. On the other hand, Zinel'aabdin and Ahmed (2017) showed that literal technique was commonly used by the leaners in translating collocation from English into Arabic.

Haghighi and Hemmati (2018) also conducted a research on translating collocation. They found out that the procedures mostly used in translating collocation verb+noun and adjective+noun from English into Persia were equivalence, literal translation, and transposition. This study revealed that some changes inevitably happen in translating collocations from SLT into TLT. They reported that the changing was in the pattern of collocation.

Attempts to scrutinize the translation of collocation from SLT into TLT were also done by Feng et al. (2018), and Lei and Liu (2018). Feng et al. (2018) provided an evidence that the use of collocations in the translational business text from Chinese into English could be characterized as over-use of collocations with a literal sense and under-use of collocations with a delexical sense. Lei and Liu (2018) carried out a study in identifying the pattern of collocation in a corpus driven study. Out of eleven patterns, two most common patterns are verb followed by noun and adjective followed by noun. However, the least pattern used is adverb followed by adverb. This research only focused on the pattern of collocation using content words.

To our knowledge, few studies on translating collocation have been done in the area of translating collocation from English novel into three versions of translated novels. Since few studies have been conducted in the three translated Indonesian novels and there has also been a need in finding out the patterns of collocation found in the three translated novels and also the translation techniques employed, this study is saliently to be carried out. This study expands and fills the gap of the related studies by exploring the verbal node collocation in SLT and the translation in the three TLTs.

Therefore, the purposes of this study are to explore the patterns of English verbal node collocations and to discuss the patterns of their translations in Indonesian. Moreover, the aim of the study is also to point out the translation techniques employed in translating English verbal node collocations into Indonesian by professional translators.

Accordingly, based on the different patterns of juxtaposing words, the authors formulated three research questions: 1) what

patterns of English verbal node collocations are most commonly used in the novel *Pride and Prejudice*? 2) What are the translations and the patterns of English verbal node collocations in the three translated versions of the novel? 3) What translation techniques are used in translating English verbal node collocations into Indonesian?

In conducting the study, the authors used a novel *Pride and Prejudice* written by Jane Austen (1813/2013) as source of data. This novel contains 291 collocations. Out of the 291 collocations, 117 data are categorized as verbal node collocation. The availability of the data is considered as the reason of choosing this novel as source of data. The different era in which the novel was written and then translated has also become the reason of choosing the novel as source of data. This different era contributes obstacles in translating the novel, especially the collocation.

Over and above that, this novel is a best-selling novel. It is proven that the three versions of the Indonesian translated novels are published in Indonesia. The obtainable of the three translated versions gives the chance for the authors to compare the translation of the collocations found in the three novels.

**On the Definition of Collocation**

The notion of collocation is referred to as "arbitrarily restricted lexeme combinations" (Nesselhauf, 2005). This notion comes under the sub manifestation of cohesion, i.e., lexical cohesion (Halliday & Hasan, 1976). Furthermore, Halliday and Hasan (1976)

argued that collocation refered to "the association of lexical items that regularly co-occur". They gave the example of *fork* goes with *knife*, *lend* goes with *money* and *snow* goes with *white*. On the other hand, Stubbs (2005) claimed that "collocations create connotations." He gave the example that *grass* was usually associated with *death, decay* and *desolation.* He agreed with the statistical view that not all types of co-occurrence were considered to be collocations. In his opinion, collocation was frequent co-occurrence. Co-occurrence was the number of times a *node* was accompanied by one or more collocates. Stubbs (2005) provided a more specific definition of collocate. A collocate refers to a word which co-occurs with a node in a corpus (Sinclair, 1991; Stubbs, 2005). Let us take as an example the co-occurrence of *make* and *money*. *Make* is categorised as a node and *money* is classified as a collocate. The identification of words followed by *make* or preceded by *make* brings about the categorization of *make* as a node.

The study of collocation in this research is implemented through a lexical composition approach and a structural approach. In the lexical composition approach it can be said that words get their meanings from the words with which they co-occur. This is in line with the concept of collocation proposed by Firth (as cited in Gitsaki, 1996) i.e. "a mode of meaning: the meanings of words are closely related to the meaning of their surroundings". By contrast, in the structural approach, it is understood that grammar has a close relation

to juxtaposing words; in other words, an acceptable collocation can be judged by its syntax.

There are certain words which can be juxtaposed side by side as long as they meet the regulations of the syntax in the language concerned. Take the example of the word *school*. *School* has a number of specific collocates which bear different meanings, such as in *go to school* (an institution for education), *skip school* (play truant), *a school of dolphins* (a large group of), *school a horse* (train or ride) and *the school of medicine* (a department). Based on the structural approach, the meaning of *school* in each collocation is influenced by the syntactic pattern and the collocates which come before and after the word *school.*

## Patterns of Collocation

Collocation is a form of lexical cohesion (Halliday, 1985/2014; Halliday & Hasan, 1976). Meanwhile, Martin (1992) argued that collocation is reflected in nuclear relations−the ways in which actions, people, places, things and qualities configured as activities in activity. Based on the relationship between the lexis constituents, lexical cohesion is divided into extension and enhancement pattern (Martin, 1992).

## Extension and Enhancement

These two classifications fall under the heading of nuclear relation in English. In addition, these two classifications can be divided further into three sub classifications, namely clausal, verbal and nominal (Martin, 1992). Since this study focuses on the verbal node collocation, the sub categorisations discussed are only clausal and verbal. Nominal is discussed under the analysis of nominal node collocation.

Clausal extension collocation is composed of a node realised by a verb and one or more collocates in the form of nouns. Martin (1992) provided the example of the nuclear relation of clausal extension *chase cat* and *climb fence.* Meanwhile, his example of verbal extension was *start to chase.* In this study, the writers adopt these patterns as the basis of the collocation patterns, in which clausal extension is composed of a node in the form of a verb and a collocate in the form of a noun. On the other hand, clausal enhancement is composed of a node in the form of a verb and a collocate in the form of an adverb. Meanwhile, verbal extension is composed of a verb functioning as the node and a verb functioning as the collocate. This juxtaposition is categorized as a verbal group composed of two events. It is on the basis of Martin's categorization that this current research study was carried out.

## On the Overview of Translation

Translation is a product of the activity of translating. The material to be translated is called the SLT and the result of the activity is the TLT. Many scholars have proposed different definitions of translation. Catford (1965) argues that translating refers to "the replacement of textual material in one language (SL) by equivalent textual material in another language (TL)". By this definition it can be said that the activity of translating is equal to replacing. According to this

definition, translating means changing the text of a language into the text of another language. Larson (1984), on the other hand, described the activity of 'translating' as 'transferring'. In his opinion, translation consisted of transferring the meaning of the source language into the receptor language. Meanwhile, Nida and Taber (1982) stated that translating meant reproducing in the receptor language the closest natural equivalent of the source language message, primarily in terms of meaning and secondly in terms of style.

According to these definitions, translation covers three areas: the activity and the two materials (the source text and the product). The product–as the result of the activity–should be equivalent to the message of the material to be translated. Pym (2014) suggested that the relation between the original text or TLT and the translation was one of equivalence or *equal value*, where *value* could be on the level of form, function, or anything in between. Moreover, Baker (2011) explained that equivalence was at the level of word, phrase, grammar, text and pragmatics. She also offered a more detailed distinction between word-level and above-word level equivalence. Collocation comes under the heading of above-word level. A number of different categorizations of solutions which can produce equivalence of certain collocations may be implemented. The procedures applied by the translator are called translation techniques.

## Translation Techniques

In translating a text from SLT into TLT, translators may find problems. To solve the problems, translators activate translation strategies. Strategies are procedures (conscious or unconscious, verbal or nonverbal) used by the translator to solve problems that emerge when carrying out the translation process. The solution to the problems will be materialised by using a particular technique (Molina & Albir, 2002).

The translation techniques discussed in this study are derived from the techniques presented by Molina and Albir (2002). Molina and Albir (2002) stated that translation techniques were neither good nor bad. They classified 18 translation techniques. (1) *Adaptation*. To replace a ST cultural element with one from the target culture, e.g., to change *for a kingdom*, for *Ya ampun 'My Godness'* in a translation. (2) *Amplification*. To introduce details that are not formulated in the ST, e.g., when translating from Arabic to add *the Muslim month of fasting* to the noun *Ramadan*. (3) *Borrowing*. To take a word or expression straight from another language, e.g., to use the English word *hot dog* in Indonesian. (4) Calque. Literal translation of a foreign word or phrase, e.g., the English translation *secretary general* for the Indonesian *sekretaris jendral*. (5) Compensation. To introduce a ST element of information or stylistic effect in another place in the TT because it cannot be reflected in the same place as in the ST, e.g., *They have never visited Indonesia 'yet'*. This is translated into *Mereka belum pernah mengunjungi*

*Indonesia.* The translation of *yet* in TLT is not put at the end of the sentence, but after subject *mereka* '*they*'. (6) Description. To replace a term or expression with a description, e.g., to translate the Indonesian *becak* into *three wheeled-bicycle used as a means of transport in Indonesia.* (7) Discursive creation. To establish a temporary equivalence that is totally unpredictable out of context, e.g., the novel *The Naked Face* is translated into Indonesian *Wajah Sang Pembunuh 'The Face of the Murderer'.* (8) Established equivalence. To use a term or expression recognized (by dictionaries or language in use) as an equivalent in the TL, e.g., to translate *brush your teeth* as *sikat gigimu. Sikat 'brush', gigi 'teeth', -mu 'your'.* (9) Generalization. To use a more general or neutral term, e.g. to translate *son* into *anak 'child'.* (10) Linguistic amplification. To add linguistic elements, e.g., to translate the Indonesian *siswa pintar* (*siswa 'student'* and *pintar* 'smart') into *a smart student.* (11) Linguistic compression. To synthesize linguistic elements in the TT, e.g., to translate *It is cold* into *dingin 'cold'.* (12) Literal translation. To translate a word or an expression word for word, e.g., *They will come* is translated into *Mereka akan datang. Mereka 'they', akan 'will', datang 'come'.* (13) Modulation. To change the point of view. *Keep off the grass* is translated into *Dilarang menginjak rumput. Dilarang 'do not', menginjak 'step on', rumput 'grass.* (14) Particularization. To use a more precise or concrete term, e.g., *red* is translated into *maroon.* (15) Reduction. To suppress a ST information item in the TT, e.g., *the month of fasting* in opposition to *Ramadan* when translating into Arabic. (16) Substitution. To change linguistic elements for paralinguistic elements (intonation, gestures) or vice versa, e.g., to translate *the Arab gesture of putting your hand on your heart* as *thank you.* (17) Transposition. To change a grammatical category, e.g., *It is raining* is translated into *hujan* (*rain*). (18) Variation. To change linguistic or paralinguistic elements (intonation, gestures) that affect aspects of linguistic variation. *I* is translated into *gue* '*Jakarta's dialect.*

## METHODS

This study employed a descriptive, comparative and qualitative method. The data was described in a natural setting and the study compared verbal node collocations in the SLT and their translations in the three TLTs. There are four materials used in this study: a novel entitled *Pride and Prejudice* (Austen, 1813/2013) and three versions of the novel translated into Indonesian – Austen 1813/2011a, Austen 1813/2011b, Austen 1813/2014. In this study, the translated novels are indicated by TLT1, TLT2 and TLT3. The novel translated by Berlini Mantili Nugrahani, i.e. Austen (1813/2011a) is referred to as TLT1; the novel translated by Susilawati and Wahyuningsih, i.e. Austen (1813/2014) is indicated by TLT2 and the novel translated by Yunita Chandra, i.e. Austen (1813/2011b) is labelled as TLT3.

The data for this study includes clauses which represent verbal node collocation in the SLT and their translations in the TLTs. In collecting the data, the concordance

program Ant.Conc. (version 3.4.4.w) was used. With the use of this concordance tool, the writers were able to identify 117 English verbal node collocations, which were then classified as: verbal node followed by collocate noun, collocate noun followed by verbal node, verbal node followed by collocate verb and verbal node followed by adverb.

After analysing the English verbal node collocations, the writers highlighted the translations in the three Indonesian versions of the novel and identified the translation techniques used. The selected data of English verbal node collocations and their Indonesian translations were triangulated by method and source. In collecting the data, the methods employed were documentary analysis and focus group discussion. In the documentary analysis, the writers investigated the patterns and their equivalence found in the documents, i.e. the novels. In the focus group discussion, three raters were actively involved in analysing the translation techniques applied. All of the raters were experts in both English and Indonesian linguistics and also in translation.

## RESULTS AND DISCUSSIONS

### Verbal Node Collocations in the SLT

This study found that the total number of verbal node collocations identified in the novel *Pride and Prejudice* was 117 (see Supplementary Data). Supplementary Data shows that the most commonly used verb functioning as a node was *make* with a total of 20 occurrences. In second place was the verb *cry*. The number of clauses containing the verb *cry* as a node was 18. The third most common verb was *take* which appeared 17 times. Fourth was the verb *give,* with 13 clauses using *give* as a node. In fifth and six places were the verbs *break, have* and *bear* which were found 12, 12, and 11 times respectively. In addition, three other kinds of verbs appeared which functioned as nodes. These verbs, which appeared nine times in the results of the study, were *return, run* and *see.* All the other verbs were used less than nine times as nodes in the collocations.

The results of the study, as illustrated in Figure 1, show that the verbal node collocations found in the SLT were classified as four different patterns of collocation, i.e. clausal extension, verbal extension, clausal enhancement and verbal enhancement. The
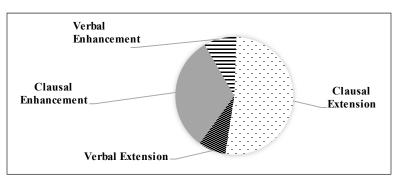


*Figure 1.* Patterns and the use of collocations in the SLT

manifestation of the patterns of verbal node collocation in the SLT is presented in Figure 1. A research on identifying the collocational pattern was also done by Izwaini (2016). This present study corresponds to the findings reported by Izwaini (2016). He stated that patterns in both SLT and TLT helped the translator to make lexical choices in constructing the TLT. He continued that the constraints of the TL collocational patterns played a significant role in shaping the rendition of a collocation.

If we look at Figure 1, it can be seen that most of the collocations in the SLT were in the form of clausal extension. This pattern is in line with the findings in a study conducted by Feng et al. (2018). In their research they found that one of the most commonly pattern in collocation was verb followed by noun.

The total number of occurrences of clausal extension in the SLT was 151. Clausal enhancement appeared more frequently than verbal enhancement in the patterns of collocation used in *Pride and Prejudice*. The total number of appearances of clausal enhancement was 92 or 32%. Only a small number of collocations in the SLT used verbal enhancement, namely 26 collocations or 9%. In contrast with the occurrence of clausal extension—as shown in Figure 1— the number of collocations using verbal extension was found to be the least. This pattern was found only 22 times, or making up 7% of all the different patterns used.

## Clausal Extension Collocation in the SLT and its Equivalence in the Three TLTs

The relation across the elements in a clause is regarded as collocation, and particularly the relation among the lexical items of process realized in verbs and participants realized in nouns (Martin & Rose, 2007). This relation, between the process and the participants, is referred to as clausal extension (Martin, 1992). In other words, clausal extension collocation is composed of a node, manifested in the form of a verb, and one or more collates, manifested in the form of a noun.

The distribution of the equivalence of the SLT's clausal extension collocation in the three Indonesian translations of the novel is illustrated in Figure 2.

Based on Figure 2, this study found that the most common pattern of English clausal extension collocation when translated into the three TLTs was clausal extension. As shown in Figure 2, 92 of the clausal extension collocations in the SLT were translated into the same pattern in TLT1. Meanwhile, 88 of the SLT's clausal extension collocations were also transferred into clausal extensions in TLT2. The lowest number of clausal extension collocations from the SLT which were transferred into the same pattern in the TLT was found in TLT3, which included only 83 cases.

If we look at Figure 2, it can be observed that the second most common pattern of translation of the English clausal extension in the TLT was clausal enhancement. This occurred in all three TLTs. Figure 2 shows
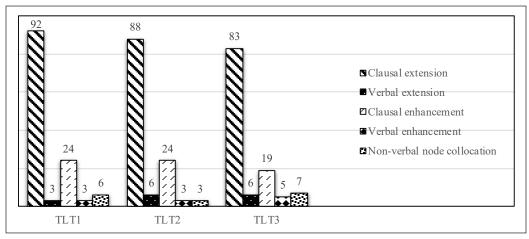
*Figure 2.* Equivalence of SLT's clausal extension in the three TLTs

that both TLT1 and TLT2 had the same number of cases using clausal enhancement; each TLT showed 24 incidences of the SLT's clausal extension transferred into clausal enhancement.

As shown in Figure 2, the order of the translation of clausal extension collocation from the SLT as found in TLT1, from the highest usage to the lowest, is clausal extension, clausal enhancement, nonverbal node collocation, verbal extension, and verbal enhancement. In contrast to TLT1, the order of the translation patterns found in TLT2 is clausal extension, clausal enhancement, verbal extension, verbal enhancement, and nonverbal node collocation. On the other hand, the order of equivalence of the SLT's clausal extension in TLT3, from the highest to the lowest usage, is clausal extension, clausal enhancement, nonverbal node collocation, verbal extension, and verbal enhancement.

The following example shows an English clausal extension and its equivalence in the three TLTs.

(1) *Sir William Lucas had* **made a tolerable fortune**. (SLT1)

(2) *Sir William Lucas* **mendapatkan cukup banyak kekayaan**. (TLT1)
Gloss: *mendapatkan 'earned', cukup 'enough', banyak 'a lot of', kekayaan 'profit'.*

(3) *Sir William Lucas* **meraup banyak laba**. (TLT2)
Gloss: *meraup 'earned a lot', banyak 'a lot of', laba 'profit'.*

(4) *Sir William Lucas* **berkembang cukup berhasil**. (TLT3)
Gloss: *berkembang 'growing', cukup 'quite', berhasil 'successfully'.*

In (1) the collocation is shown by *made a tolerable fortune*. This is made up of the node *made* and the collocate *a tolerable fortune*. The pattern of the SLT collocation is clausal extension. The node is in the form of a verb and the collocate is in the form of a noun. Based on the results of

the study, the total number of collocations using the verb *made* was found to be 20. Of these 20 appearances, 13 used the pattern of clausal extension and seven used the pattern of clausal enhancement. In (2) the collocation *made a tolerable fortune* is translated as *mendapatkan cukup banyak kekayaan.* This equivalence is categorised as clausal extension collocation. The node of the collocation is a verb, i.e. *mendapatkan* '*earned*'; meanwhile, the collocate is in the form of a noun, i.e. *cukup banyak kekayaan*. For the translation technique, the translator used established equivalence. Thus, the meaning of the source language is as equal as the meaning conveyed in the target language.

Similar to TLT1, in TLT2, the collocation *made a tolerable fortune* was translated into the same pattern as it appeared in the SLT, i.e. clausal extension. The translation in TLT 2 is *meraup banyak laba*. *Meraup* is a node in the form of a verb and *banyak laba* is a noun phrase. The translation technique used was amplification. The meaning of *tolerable* is amplified into the Indonesian: *meraup banyak 'earned or got a lot'*.

In both (2) and (3), the equivalence of the SLT collocation *made a tolerable fortune* is in the form of clausal extension, whereas in (4), as found in TLT3, the equivalence uses the pattern of verbal enhancement: *berkembang cukup berhasil* (*berkembang 'grow'* and *cukup berhasil 'quite successfully'*)*'*. The node of the collocation is *berkembang*, which is a verb, and *cukup berhasil* is the collocate, which is in the form of an adverb. The juxtaposition of verb and adverb produces the pattern of verbal enhancement. This change in the point of view, from *tolerable fortune* into *berkembang* '*grow'*, is due to the use of the translation technique, i.e. modulation.

## Verbal Extension Collocation in the SLT and its Equivalence in the Three TLTs

Verbal extension collocation refers to a verbal group. The lexical process in a verbal group is known as the event (Martin & Rose, 2007). A verbal group may include more than one event. In a collocation, one of the events functions as the node and the other functions as the collocate. Martin (1992) used the verbal group *start + to chase* as an example of verbal extension. The denotation or symbol of extension is '+'. The distribution of verbal extension from the SLT in the three TLTs is shown in Figure 3.

Based on Figure 3, it can be seen that the order of usage of the equivalence of verbal extension in TLT1, from highest to lowest, is verbal extension, clausal enhancement, nonverbal node collocation, and clausal extension. Meanwhile, in TLT 2, the order is clausal enhancement, verbal extension, nonverbal node collocation, and clausal extension. On the other hand, in TLT3 the order is verbal extension, nonverbal node collocation, clausal enhancement, and clausal extension.

One similarity among the three TLTs is that no examples of data were found which used the pattern of verbal enhancement. The following examples show verbal extension and its equivalence in the TLTs.
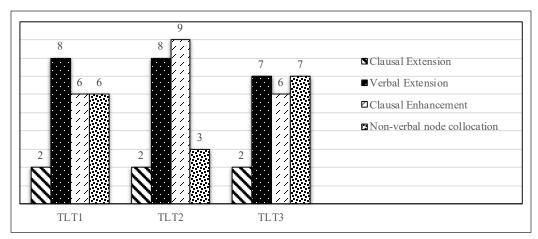
*Figure 3.* Equivalence of SLT's verbal extension in the three TLTs

(5) *took **leave and rode** on with his friend* (SLT)

(6) ***berpamitan dan berlalu** bersama kawannya* (TLT1)
Gloss: *berpamitan 'said good bye', dan 'and', berlalu 'passed, bersama 'with', kawannya 'his friend'.*

(7) ***berlalu pergi dan menunggang kuda** kembali bersama temannya* (TLT2)
Gloss: *berlalu pergi 'went away, dan 'and', menunggang kuda 'rode a horse', bersama 'with', temannya 'his friend'.*

(8) ***mohon diri dan pergi** bersama temannya* (TLT3)
Gloss: memohon *diri 'leave', dan 'and', pergi 'go', bersama 'with', temannya 'his friend'.*

Based on example (5), it can be seen that the collocation *took leave and rode* is categorized as verbal extension. This is

due to the elements of the collocation, i.e. a verbal group. The node of the collocation is *took leave* and the collocate is *rode*. In (6) this collocation is translated as *berpamitan dan berlalu*, as found in TLT1. *Berpamitan dan berlalu* is also classified as a verbal extension collocation. *Berpamitan* is a verb and it is followed by the other event *berlalu*. The translation techniques used were established equivalence and generalization. By using established equivalence, the message in (5) is as the same as the message conveyed in (6). On the other hand, the use of generalization changes the meaning from specific into general. The generalization is found in the meaning of *berlalu 'went away'*. In (5), the message conveys *the way of leaving*, i.e. *by using a vehicle*, whereas in (6) this information is omitted.

In contrast to (6), in (7) the translation technique used was producing the explicit meaning. The translator translated *rode on* into *menunggang kuda 'riding a horse'*. This translation was found in (TLT2). This

translation provides additional information which is more explicit than that in (5). Meanwhile, the pattern used in (8) is also verbal extension as it is composed of the verbal group *mohon diri* and the other event *pergi*.

In (8), the pattern used is verbal extension *mohon diri dan pergi*. This equivalence was found in TLT3. This collocation is composed of a verbal group embracing two events. The first event is a node *mohon diri* '*leave'* and the other event is *pergi 'go'*. The translation technique used was established equivalence and generalization. By using established equivalence, the translation of *took leave* into *memohon diri* achieves a high level of accuracy; meanwhile the translation of *rode* into *pergi* shows the use of generalization: no vehicle is mentioned to indicate the way of leaving as stated in (5).

**Clausal Enhancement Collocation in the SLT and its Equivalence in the Three TLTs**

Clausal enhancement collocation is a string of words comprising a process and circumstance. The process is realised in the form of a verb and the circumstance is manifested in the existence of a conjunction (Martin, 1992). Martin's example of clausal enhancement is *chase x around the room*. The notation 'x' represents enhancement. Furthermore, the types of conjunction that may be applied are temporal, comparative, causal, conditional and concessive (Emilia, 2005).

There were 92 occurrences of English clausal enhancement found in the SLT. Meanwhile, as shown in Figure 4, this pattern was mostly transferred into the same pattern, i.e. clausal enhancement in TLT1, TLT2 and TLT3. In TLT1, the total number of appearances was 39, whereas in both TLT2 and in TLT3 the total number was 34. This finding supports a research done by Izwaini (2016). He declared that a collocation comprising of verb followed by adverb in Arabic retained the structure in the English collocation.

Nonverbal node collocations were also chosen to be used in translating English clausal enhancement in the three TLTs. This pattern was the third most common
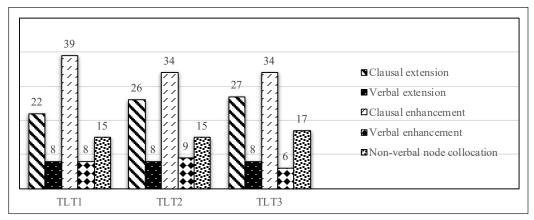


*Figure 4.* Equivalence of SLT's clausal enhancement in the three TLTs

in TLT1, TLT2 and TLT3, with 15 cases of nonverbal node collocation across the three TLTs. In TLT3, there were 17 cases of verbal extension from the SLT which were transferred into nonverbal node collocations.

Based on Figure 4, the two least common patterns found in the TLTs were verbal extension and verbal enhancement. This was the case in all three TLTs. The total number found in TLT1 was eight cases of verbal extension and 8 cases using the pattern of verbal enhancement. In TLT2, in forth and fifth places were verbal enhancement and verbal extension, with nine and eight appearances respectively. In TLT3, verbal extension was in fourth place and verbal enhancement in fifth place, with six appearances in total.

The following examples show an example of English clausal enhancement collocation and its equivalence in the three TLTs.

(9) *escape from Mrs. Bennet's civilities.* (SLT)

(10) melarikan diri dari keramahan Mrs. Bennet (TLT1, TLT2, TLT3)
Gloss: *melarikan diri 'escape from', civilities 'keramahan'.*

The pattern of the collocation in the SLT, as seen in (9), is clausal enhancement. The node is in the form of a verb, i.e. *escape* and the collocate is the circumstance *from Mrs*. Bennet. The SLT was translated into *melarikan diri dari keramahan Mrs. Bennet* as seen in (10). This translation was found in all three TLTs. This equivalence is also categorized as clausal enhancement. The

node is *melarikan diri*, which is in the form of verb. Meanwhile, the collocate is the circumstance *dari keramahan Mrs. Bennet*. The translation technique used was established equivalence. By using established equivalence, the meaning of the SLT is the same as the meaning in the TLT.

**Verbal Enhancement Collocation in the SLT and Its Equivalence in the Three TLTs**

In contrast to verbal extension, which is composed of a verbal group, verbal enhancement is made up of a process and a circumstance in the form of an adverb of manner. This adverb gives quality to the verb in the process. Martin (1992) used as an example of verbal enhancement *chase x furiously* in which *chase* was the node and *furiously* was the collocate.

The results of the study, as shown in Figure 5, found that none of the verbal enhancements from the SLT were translated into verbal extension. The most commonly used pattern in translating English verbal enhancement into Indonesian was verbal enhancement. There were 13 occurrences of this found in both TLT1 and TLT2. Meanwhile, in TLT3 there were nine uses of the pattern of verbal enhancement. From the 26 appearances of verbal enhancement in the SLT (see Figure 1), eight were found in TLT1, seven in TLT2 and six in TLT3.

In Figure 5, it can be seen that only a few verbal enhancements were translated into nonverbal node collocations. In TLT1 there were only 4 cases, while in TLT2 the total number of the equivalence of verbal
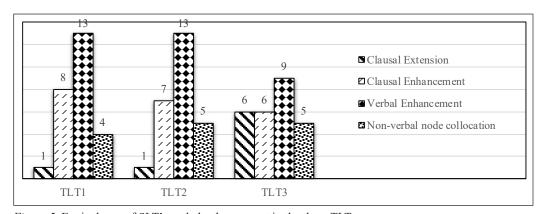
*Figure 5.* Equivalence of SLT's verbal enhancement in the three TLTs

enhancement translated into nonverbal node collocations was five cases. In TLT3, meanwhile, as mentioned above, the second most common patterns were clausal extension and clausal enhancement.

The following examples show English verbal enhancement collocation in the SLT and its equivalence in the TLTs.

(11) *She had **instinctively turned away*** (SLT)

(12) *Elizabeth **tanpa sadar membuang muka*** (TLT1, TLT2)
Gloss: *tanpa sadar 'instinctively', membuang muka 'turned away'.*

(13) *Elizabeth **seketika ingin berbalik*** (TLT3)
Gloss*: seketika 'suddenly', ingin 'want', berbalik 'to turn around'.*

The pattern of the collocation from the SLT as shown in (11) is verbal enhancement. It is composed of a node in the form of verb, i.e. *turned away* and the collocate in the form of an adverb of manner *instinctively*. This collocation was translated into the same pattern across all three TLTs. In TLT1 and in TLT2, the translation technique used was

established equivalence. The node is also in the form of a verb, i.e. *membuang muka*, and the collocate is in the form of an adverb of manner *tanpa sadar* as shown in (12). The equivalence of *instinctively tuned away* in TLT3 was *seketika ingin berbalik* as shown in (13). The pattern of this equivalence is also verbal enhancement. In contrast to TLT1 and TLT2, the translation technique used in TLT3 was discursive creation. This produced a different meaning from the meaning found in the SLT. The meaning of *turned away* is different from the meaning of *berbalik*. The meaning of *berbalik* is *to turn back*. Meanwhile, the meaning of *instinctively* and its equivalence, i.e. *seketika* are not the same. *Instinctively* conveys the meaning of *unconsciously*; however, *seketika* implies the meaning of *suddenly.*

## Translation Techniques Used in Translating English Verbal Node Collocations into Indonesian

Several translation techniques were identified in the three translated versions of the novel. Table 1 presents the translation techniques used in translating English verbal

node collocations into Indonesian. The table is presented in descending order from the highest to the lowest frequency.

Based on Table 1, there were 15 kinds of translation techniques used in translating English verbal node collocations into Indonesian; these were adaptation, addition, exploitation, deletion, generalization, literal translation, established equivalence, compensation, discursive creation, modulation, particularization, pure borrowing, reduction, transposition and variation.

As seen in Table 1, established equivalence was the technique most commonly used in translating English verbal node collocations into Indonesian. This technique was found in all three of the TLTs. In total 305 of all data used this kind of translation technique in TLT1. In TLT2,

this technique was implemented as many as 288 times. Meanwhile, in TLT3 it was used 263 times. With regard to translation techniques, this findings support the result of the research done by Setiarini (2017). She found that established equivalence was the most frequent technique used by translator in translating a bilingual recipe from English into Indonesian.

The findings also correspond to the research conducted by Pungă and Pârlog (2017). Based on their study, the translation techniques employed by the translators in translating English collocation into Romanian to obtain naturally-sounding Romanian collocations are equivalence, modulation, and transposition. They argued that English collocations were only sometimes translatable directly, by applying the word-for-word technique.

Table 1
*Translation techniques used in translating English verbal node collocations*

| Translation Techniques in TLT1 | Σ | Translation Techniques in TLT2 | Σ | Translation Techniques in TLT3 | Σ |
|---|---|---|---|---|---|
| Established Equivalence | 305 | Established Equivalence | 288 | Established Equivalence | 263 |
| Discursive Creation | 71 | Discursive Creation | 79 | Discursive Creation | 99 |
| Modulation | 47 | Modulation | 50 | Modulation | 38 |
| Explicitness | 27 | explicitness | 29 | Reduction | 30 |
| Reduction | 15 | Reduction | 16 | explicitness | 18 |
| Pure Borrowing | 10 | Pure Borrowing | 10 | Generalization | 13 |
| Literal | 8 | Generalization | 8 | Pure Borrowing | 10 |
| Generalization | 7 | Literal | 7 | Literal | 7 |
| Addition | 5 | Particularization | 5 | Addition | 6 |
| Particularization | 4 | Addition | 4 | Deletion | 5 |
| Deletion | 3 | Deletion | 2 | Transposition | 4 |
| Transposition | 2 | Transposition | 2 | Variation | 1 |
| Variation | 2 | Variation | 2 | Adaptation | 1 |
| Compensation | 1 | Compensation | 2 | Compensation | 1 |
| | | Adaptation | 1 | | |

However, the result of the present study is not in line with the study conducted by Feng et al. (2018). The findings of Feng et al. (2018) show that literal translation is over used in translating Chinese to English translation in a business text. The overuse of literal translation is also reflected in a study conducted by Zinel'aabdin and Ahmed (2017). They found out that in translating collocation from English into Arabic, Saudi EFL students tended to use literal technique to produce translation. This technique results the unnatural collocation.

In this present study, the second most common technique was also the same across all three TLTs, i.e. discursive creation. In third place it was modulation, with 47, 50 and 38 respectively found in TLT1, TLT2 and TLT3.

Based on Table 1, there were seven cases of generalization used in TLT1. One similarity found in TLT1 and TLT3 was that addition was the ninth most common translation technique used. In TLT2, particularization was in ninth place. Based on the results, there were very few cases of translation techniques using transposition, variation, compensation and deletion. Adaptation was only used in TLT2 and TLT3.

## CONCLUSIONS

The patterns of verbal node collocations found in SLT are clausal extension, verbal extension, clausal enhancement and verbal enhancement. For clausal extension, most of the data showed that the collocations were translated into the same pattern. Some examples were translated into clausal enhancement and some into nonverbal node collocations. Only a few were translated as verbal extension and verbal enhancement. For verbal extension, it found that most of the collocations were translated into the same pattern as they were in SLT. Some were translated into nonverbal node collocations. Meanwhile, for clausal enhancement, the most frequently used pattern was clausal enhancement and the other common pattern found was clausal extension. The study also discovered the translation techniques used, namely established equivalence, discursive creation, modulation, explicitness, reduction, pure borrowing, generalization, literal translation, addition, particularization, deletion, transposition, variation, adaptation, and compensation. It revealed that the most frequently used translation technique was established equivalence.

However, this study is limited to only the patterns of collocation and the translation techniques implemented by the translators. Further studies can be conducted in investigating the translation quality assessment and the cause of the mistranslation. Moreover, the authors suggest further study on comparing the patterns in the translation of collocation produced by professional translators, novice translators, and students of translation.

## ACKNOWLEDGEMENT

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# Puntóng-Buná: The Curious Case of a Barangay-level Phonological Variation

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## ABSTRACT

Puntóng-Buná, spoken exclusively in Buná Cérca and Buná Léjos, in Indang, Cavite, Philippines, is used by people who seem to be perpetually asking questions. Following The United Nations' proclamation of 2019 as International Year of Indigenous Languages, the research has pioneered the documentation of the Puntóng-Buná, and has identified possible factors that have been contributory to its perceived threat of abandonment. Anchored on uptalk, community of practice, and stereotypes of language use, the study aimed to answer these questions: (1) How is the phonological variation characterized? (2) Why does phonological variation occur in this speech community as opposed to others? (3) What are the reasons for the perceived disappearance of this phonological variation? The research techniques used were: (1) interviews; (2) observations (unstructured); and (3) program software. The research instruments were (1) an interview guide; (2) field notes; and (3) data sheet graphs. The investigation has yielded the following reasons for the perceived disappearance of the PB: (1) social stigma; (2) old generation; (3) impurity; (4) influx of new residents; and (5) occupations and mobility. Puntóng-Buná now being documented as a unique element to the world's language heritage may finally give it a fighting chance for survival.

*Keywords:* intonation, language preservation, language promotion, phonological variation, variable, variant, voice pitch analyzer

## INTRODUCTION

The social milieu has "pervasive effects on the accents and dialects which are its medium" (Chambers & Schilling, 2018). However, studies on language variation and change brought about by particular societal conditions are fairly recent. Nevertheless, change and variation are so prevalent in language that distinctions would simply be the norm. Language becomes available to speakers by virtue of "choice of words, selections of options within the grammatical system, or exploitation of phonological distinctions" (Clark et al., 2007). A certain dialect may have distinctive phonological features that contrast it from other dialects and give its speakers the impression of creating different sounds. Phonological variation is thus the subject of this paper as a variable where the speakers' way of speaking is not the same as the others living around them. The actual instantiations, or variants, of this variable are the use of the Filipino intonation pattern 3-3-4 (asking questions), that appears in the rise and fall of the voice pitch during conversations. Factors such as attitudes and emotions affect the rhythmic and intonational patterns of language. In fact, Crystal (1975), as cited in Ukam et al. (2017), argued that "intonation is not a single system of contours and levels, but the product of interaction of features from different prosodic systems – tone, pitch-range, loudness, rhythmicality and tempo."

Buná Tagalog, spoken by the citizens of Barangays[1] Buná Cérca and Buná

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1         smallest administrative unit in Philippine government

Léjos, Indang, Cavite, Philippines, is a curious case in the study of phonology and sociolinguistics because people seem to be perpetually asking questions, and that it is unique as a barangay-level-only phonological variant. In fact, this peculiar intonation variant is used only in the two barangays and nowhere else in the entire town, nor in the entire Cavite province, that it had taken on its own unique name: "puntóng-Buná" (henceforth, PB), 'puntó' is Filipino for 'intonation'). D. Trick (personal communication, January 8, 2019) stated that "language variation is typically a consequence of long periods of time during which there was little or no contact with neighboring communities, but this is rather rare for a particular barangay… [this] would be referred to as a barangay-level dialect (as opposed to, e.g., province-level, town-level, etc.)". Figure 1 shows the locale of the study.

### Research Questions

This study set out to answer three questions: (1) How is the phonological variation characterized? (2) Why does phonological variation occur in this speech community as opposed to others? (3) What are the reasons for the perceived disappearance of this phonological variation?

In order to answer the questions, the study anchored its framework on Warren's (2005, 2016) phonological variation called 'uptalk', Eckert and McConnell-Ginet's (1999) community of practice, and on Meyerhoff's (2011) motivations in regard to variation. According to Warren (2005, 2016), a phenomenon called 'uptalk' is

*Figure 1*. Locale of the study. Upland Cavite towns and Buná Cérca and Buná Léjos ( ) in Indang (Maplandia, 2019).

commonly used to describe rising intonation at the end of declarative sentences. It is "a marked rising intonation pattern found at the ends of intonation units realized on declarative sentences". Some communities tend to make statements sound like questions and Warren argued that 'uptalk' was "perceptually salient" because it was used in contexts where questions would not be expected. PB's high-rising terminal is a perfect example of an 'uptalk' but this one is displayed by an entire community (barangay) and is exclusive only to them. Gussenhoven (2004) contended that rising intonation gave utterances a further discoursal meaning that was independent of the meanings of the words themselves. McConnell-Ginet (1983) argued that high-rising terminals were used by interlocutors in powerful ways, such as challenging, grabbing, and maintaining control.

Eckert and McConnell-Ginet (1999) introduced the concept of community of practice (CoP) which described the analytical domain of variation and was defined in terms of the members' subjective experience of the boundaries between their community and other communities. It is to mean social categories that are locally meaningful, "distinctions that the participants themselves can and often do orient to explicitly" (Ehrlich et al. as cited in Meyerhoff, 2001). In CoP, variations in language are analyzed in terms of the speakers' entire range of social practices. In this context, the PB is seen as "one vehicle by which speakers construct, maintain or contest the boundaries of social categories and their membership in or exclusion from those categories" (Meyerhoff & Strycharz, as cited in Chambers & Schilling, 2018). These distinctions make the PB totally unique because they are not random but are systematic, encompassing the entire community but not the adjoining areas.

Eckert's (2012) ethnographic work examines the role of variation and social meaning. According to Eckert and Wenger (2005), as cited in Chambers and Schilling (2018), "practices" are the engagements

or activities shared by the speakers which should all share three criteria: mutual engagement, jointly negotiated enterprise, and shared repertoire. In mutual engagement, the citizens of Buná Cérca and Buná Léjos get together in order to experience shared practices. In using the PB in all their day-to-day tasks and activities, the citizens are delineated from their neighboring barangays and barrios. Examples that stood out in the interviews and observations are their occupation in preparing a local delicacy (*kalámay*-Buná), where the cooks praise the goodness of the sweet rice while using very heavy PB; in their farming and animal care, and in leisure and pastime activities. In jointly negotiated enterprise, a purpose defines a certain pursuit and mutual accountability. Religious processions and the *pasyón* (epic narrative of the life of Jesus Christ that is sung) using the PB identify their speech community as Buna, different from the way the *pasyón* would be uttered and chanted in other areas. The purpose is to be able to create a unique way of singing the *pasyón* the "Buná way". In shared repertoire, the PB represents the cumulative result of internal reserve and resources, especially in local lore, traditional healing knowledge, and beliefs. Figure 5 and Figure 6 show two transcripts depicting such stories.

Meyerhoff (2011) related social psychology with cases of language variation. She identified four motivations in regard to variation: (1) A desire to show how one fits in with some people and are different from others; (2) A desire to do things that have value in the community (and associate oneself with that value); (3) A desire not to do things that are looked down on in the community (and have others look down on the speaker); and (4) A desire to work out how others are orienting themselves to the concerns. The research aimed to investigate the perceptions of the citizens of Buná toward their variant intonation. The PB marks the extent to which a speaker identifies as a 'real' Buná native, and the extent to which he may want to differentiate himself from outsiders visiting his place.

A wide dearth in the review of literature regarding the PB exists since this phonological variation has never been identified as such in any scholarly research, and thus has never been studied phonologically or sociolinguistically. Gonzalez (1970) did report on the results of an investigation into the linguistically relevant acoustic correlates of intonation on Philippine languages. The study, however, focused generally on Tagalog, and not on the PB. The PB as being initially identified and descriptively documented in this research is the study's justification. This work is a contribution, too, to the development of Philippine national culture and literary scholarship by ascribing meaning to a phonological variation, which is in line with the Mother Tongue- Based Multilingual Education. Moreover, the study is a direct answer to the call of United Nations and UNESCO towards the documentation and preservation of the world's unique dialects and languages, 2019 being proclaimed as International Year of Indigenous Languages.

## MATERIALS AND METHODS

### Research Design

The study is an ethnographic qualitative research that employed the research techniques of (1) interviews; (2) observations (unstructured); and (3) program software in the form of a voice pitch analyzer. The research instruments were (1) an interview guide; (2) field notes or log notes in the form of stories; and (3) data sheet graphs of the voice pitch analyzer. The publication manual of the American Psychological Association (2018), 6th edition, had been used in the documentation format.

### Sample and Participant Selection

In the selection of samples, informants had been suggested who would fit the following criteria, set by Newell (1995): (1) male or female; (2) fifty years old or older; (3) have lived in Buná Cérca and Buná Léjos all their lives; (4) lucid in mind and speech; (5) have good memories and possess a wide view of the history of the area; and (6) preferably have gone beyond the elementary grade in education. In general, they were chosen based on their educational ability to initiate talks and record conversations of communicative events with the local folks. As for the sample size, the determination of the total number of informants was based on similar researches like Chambers (2003), Trousdale (2005), Feagin (1979), and Rozul (2012), who interviewed 1-20 informants. The fifteen (15) informants, 10 females and 5 males, interviewed in this study all followed the set criteria for authenticity and so 15 is a justified number.

### Methods of Data Collection

**Interview.** The informants were interviewed and videotaped in their most natural, everyday talk showing very strong fidelity to the PB. Through the unstructured type of eliciting responses, more meaningful data were collected. According to Kiesling (2011), natural speech could only happen when the informant knew that no recording is taking place but, for ethical reasons, the speaker must know that recording *is* taking place. Enough speech and recordings were done to come up with large samples of the variation.

**Observation.** The narrative, or storytelling, technique was employed in order to gather field notes or log notes. This observation technique served as the orientation detailing time, persons, places, and situations which the researcher needed to understand in order for meaning to be created. From the informants' storytelling, 16 narratives were produced.

After the data from the recordings were transcribed by the researcher and a title was assigned to each of the 16 narratives, three experts in the field (a) determined as a group the patterns of the phonological variant through the coding scheme 3-4-4 in order to signify the increase in the intonation during the talk; and (b) arrived at one final transcript showing marks in the variation. Among the 16 transcripts, the two most unique in terms of fidelity to the PB are shown on Figure 3a (Masilaw) and Figure 3b (Salapê).

**Program Software.** One select informant who used a very strong PB was asked to tell first-hand accounts of his experiences with (1) a pit of snakes ('Ahas'), and (2) Elisa's winning a softball match ('Elisa'). Two members of the community outside Buná Léjos (one male and one female) also narrated accounts of their experiences using their normal storytelling voices. The narrations were accompanied by a recording using a software called a voice pitch analyzer.
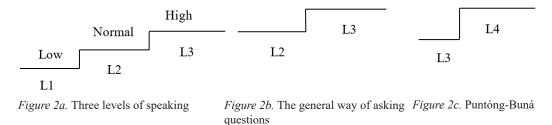
**Member Checking.** Member checking had been done during the interview when the researcher restated interview questions to determine comprehension and accuracy. It was also done after the study was completed when the research findings had been shared with the informants for their comments on whether or not the summaries reflected their opinions and experiences. In this second member check, more narratives for future transcripts and pitch analyzers had been volunteered to the researcher.

## RESULTS AND DISCUSSION

In response to Research Question Number 1, the research has described the PB using the (a) the three levels of speaking; (b)

transcripts showing the PB; (c) voice pitch analyzer; and (d) isoglosses.

(a) Figure 2a shows the three levels of speaking used by Filipinos (Gonzales-Garcia, 1999): low, normal, and high. Figure 2b shows the general way of asking questions. Sentences normally start at Level 2, the normal level, then reaches until Level 3 when the speaker is asking a question, and stays at Level 3 until the end of the sentence. In some regions in the Philippines, an even higher level, L4, is found. With the PB (Figure 2c), the speaker begins with Level 3 then proceeds using Level 4 until the end of the sentence, whether or not one is asking a question. In other words, the accent is begun at Level 3 then always ends on Level 4, making the speakers appear to be perpetually asking questions when they talk.

(b) Figures 3a and 3b have indexed the speakers' geographic origin (*tagá-Buná*) in these two transcripts (*Masílaw* and *Salapê*) because their peculiar intonation is a tell-tale sign of where they are coming from. In general, 'who you are' means 'where you come from'. It is the region of origin which determines which dialectical variety of the language a speaker uses. Based on the recordings, numbers 3 and 4, used in asking questions, almost always appear in the way the speakers talk. These transcripts depict



*Figure 2a.* Three levels of speaking

*Figure 2b.* The general way of asking questions

*Figure 2c.* Puntóng-Buná

Transcript 2
**Masílaw**

3      4      4   3      3   4

Punong puno ng punong bukakê ang malaking pulo. O, pagkaraming ibon di-yan. Kaya nga

3      4      4

pinupuntahan i-yan ng mga manghuhuli ng ibon at … ng mga mangangaso…lalo na sa

4   3      4

pamumulaklak ng bukakê. Minsan…pagtirik ng araw at masanting ang init, ay silaw na

4      4   3   4      4

silaw…dahil parang nag-aapoy ang kulay ng bulaklak nu-on. Kaya mula nu-on ay hindi na

4   3      4      4

tinawag na Malaking Pulo i-yon. Tinawag na Masilaw…gawa nga ng mga bulaklak ng

4      3   4      4

bukakê…Atat may natitira pang ilan … mga puno…sa mga tabi ng ilog. Ay!

*Figure 3a.* Masílaw transcript with numbers 3-4-4

Transcript 6
**Salapê**

3      4      3      4

Dyan sa paibaba, wala ka nang makikita doon na pinupuntahan ng ibang tao kundi yung tindahan

4   3      3   4   3   4   3   4   3      4

ni Andang Munay. Kalimitang andun e karmelo, balikutsa, ginayat na tabako para sa pirot,

3      3      4   3      4

siyempre may tabako e di may kasufuego, bihira noon ang Zippo na layter. Pag umaga nga e

3      4      4      4   3      4

nanghihingi pa kami ng baga para hindi na gumamit ng kasufuego. Noon ang pera nama'y iba

4      4   3      4      3      4      3      4

isang kutineng, iyon e isang kusing. Isang pera, meron pa ngang bente de bilyon, benteng papel

3   4      3      4   3   4      3      4      3      4

iyon. Bente sentimos. Bihira doon ang piso, meron e kahate, yun e bente singko, kahati't walo.

*Figure 3b.* Salapê transcript with numbers 3-4-4

very strong PB and the stories are reflective of the way the people value tradition and history.

(c) Figures 4a, 4b, 4c, and 4d show the four graphs that were produced after the application of a voice pitch analyzer. A licensed electronics and communications engineer verified the application software used in the study and interpreted the findings. Most males often speak at the 65-250 Hertz range and most females at the 100-525 Hertz range. Figures 4a and 4b show that most of the points fall within the High Frequency range (200 Hertz-290 Hertz) which indicates that the male participant telling the story has a pitch that falls within a female range. This high pitch range is attributed to his using the PB, his normal storytelling pitch, while recounting the incidents. Figures 4c and 4d show pitches of a male and

female who live outside the community. Most of the points fall within the Low Frequency Range (120 Hertz-200 Hertz), their normal storytelling pitches, further setting boundaries for the PB. According to Perez et al. (2005) and Clark et al. (2007), pitch is synonymous to frequency in that the higher the frequency, the higher the pitch. High-pitched sounds have faster frequencies or more vibrations than low-pitched sounds with slow frequencies.

(d) Isoglosses. Figures 5a and 5b show isoglosses depicting a more or less dialect boundary. An isogloss, or a linguistic map, is a line that demarcates the area in which some phonological, lexical, morphological, or syntactic feature can be found (Chambers & Trudgill, 1998). The isoglosses show boundaries of social dialectology that have been identified on the basis of what was elicited from the speakers' reports of what they usually say.

The lone street is the only road connecting Buná to the rest of Indang. Mild to strong PB litter this isogloss landscape. The no-PB is almost non-existent.
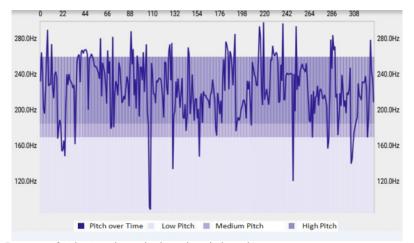


*Figure 4a.* Recount of 'Ahas' as shown in the voice pitch analyzer
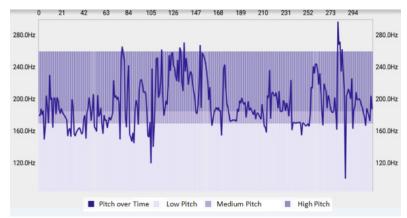


*Figure 4b.* Recount of 'Elisa' as shown in the voice pitch analyzer
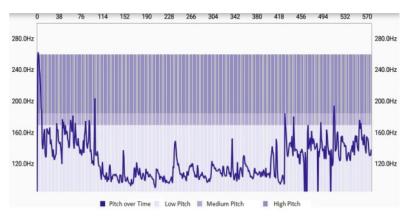
*Figure 4c*. Recount of 'Te Corong' (male) as shown in the voice pitch analyzer
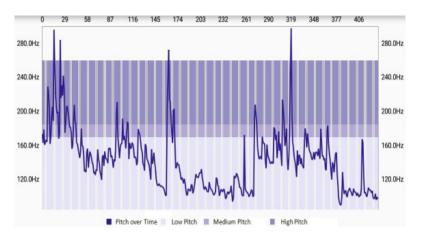


*Figure 4d*. Recount of 'Bayad' (female) as shown in the voice pitch analyzer
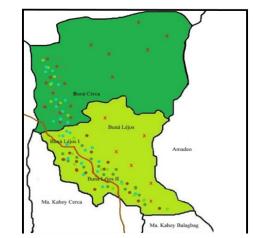


*Figure 5a.* Isogloss A shows the lone street going in and coming out of Buná.



*Figure 5b*. Isogloss B shows the geographical distribution of the PB.

strong PB   mild PB
no PB   X   farms/no habitation

In response to Research Question Number 2, isolation, social stigma, networks, membership and belongingness, PB as source of pride, and legacy were the reasons why the PB occurs in Buna alone and not in any of the surrounding communities. These reasons had been enumerated and volunteered spontaneously by all the 15 respondents. The first was isolation. Place is one of the easiest ways of defining a community. According to Johnstone (2004), as cited in Fought (2010), the role of place in the construction of phonological identity is highly significant. The two barangays are adjoining but they are both relatively isolated since there is only one major road going in and coming out into the national highway, the Indang-Mendez national road (see Figure 4). The folks' way of living, basically farming, has also secluded them from neighboring towns and cities which are more modern and progressive and has, in a way, preserved their way of living, thus segregating the PB all the more. In dialectological terms, isolation causes people to speak and sound less like people from other places (Chambers, 2009).

The PB has become both "salient markers of identity, project prestige and opportunity, or stigma or inequality", as Don and Blommaert (2009, in Meyerhoff, 2011) put it. It is this stigma, or inequality, that is PB's biggest obstacle to enduring, and to outsiders from using it. Outsiders tend to distance themselves as far away as possible from using it. They get embarrassed and get laughed at when they try using it. The citizens of Buna feel that they are being treated unfairly but respond that they cannot change their accent just to make people change their way of treating them.

A third reason for the persistence of the PB in Buna and not elsewhere is networks. Within tightly structured, relatively homogeneous social clusters – as in the Buna neighborhoods, parish, school, barangay hall – individuals further demarcate themselves by this phonological variation and put the community apart from other Tagalog-speaking communities. These reasons had been enumerated and volunteered spontaneously by all the 15 respondents. According to Milroy (1992), an individual's vernacular norms are what they are depending on how close his ties are with the local community. There is a gradation of linguistic conformity to local dialect correlated fairly closely with an individual's integration into the network.

Membership and belongingness caused by the PB is very strong in Buna. It is inward looking and outweighs ties with other speech communities surrounding them. A special bond is felt within the group of PB users than with outsiders. According to Mesthrie et al. (2000), language practices may be equally diagnostic of the social coherence of a group, and may be a more natural boundary for sociolinguistic study than geographical cohesion alone. The people who use the PB are in habitual contact with each other and share ways of interpreting the intonation and of using it. Myers-Scotton (2003), as cited in Meyerhoff (2011), indicated that this 'requires balancing goals that may be in conflict with each other…the tension [being]

highlighted particularly when a speaker has to maximize his fit with others, while simultaneously maintaining individual distinctiveness'. The use of the PB is an example of people maintaining *communal* common ground at the community level (MacWhinney & O'Grady, 2018) in order to keep individuality while existing in groups.

Pride and the desire to transfer the PB to the next generation are clearly shown. The PB is a value that the people find good and worthy of passing on to the next generation. PB norms are shared and people work together to preserve it by its continued use. Similar to the statement made by the authors of The Linguistic Sciences and Language Teaching: "A person who is made ashamed of his own language habits suffers a basic injury as a human being: to make everyone, especially a child, feel so ashamed is as indefensible as to make him feel ashamed of the colour of his skin" (Halliday, 1968, cited in Robertson & Acar, 2007).

In response to Research Question Number 3, the reasons for the perceived disappearance of this phonological variation are social stigma, old generation is dying, PG has become impure, influx of new residents into the community, and occupation and mobility. Again, these reasons had been enumerated and volunteered spontaneously by all the 15 respondents. Similar to the response in Research Question Number 2, social stigma also plays a role in the possibility of losing the PB. "Discrimination on the grounds of accent still, unfortunately, occurs" (Trudgill, 2002). There is a similar strong desire for speakers to avoid using forms that will bring them scorn or censure in their speech community, or outside of it. The PB is "*pinagkákamatayan*" (cause of death), the source of trouble that erupted in an inter-barangay basketball game. Outsiders would rather not be identified with the PB. In other words, avoidance is sometimes just as important a factor as identification. The old folks are extremely limited in mobility. With them, the PB remains intact and pure. But once this old generation passes, the silent epidemic of language loss that is occurring throughout the world may as well happen here. In addition to this, the influx of new residents has something to do with the identities of new members as accommodated in the community. New members of the barangay bring their linguistic styles into the group, seeing themselves as part and parcel of the interlocutors, thus making the PB 'impure'.

Occupation and mobility have to do with the fact that some members of the community are exposed to more opportunities to expand their linguistic repertoire. The variability between speakers highlighted the important role that their occupation and mobility could make to their speech when they get back to their community. The tighter people are connected to their local network, the narrower the range of their contacts, thus the stronger their local intonation is. And vice versa, the greater the mobility, the weaker would the intonation be.

## CONCLUSION

The continued existence of this phonological variation is dependent on its speakers'

attitudes: how they look upon the PB's uniqueness, and their own personal or communal reasons why their children must use it. Only if it is treasured and nurtured by everyone, is it worth sustaining and the PB will be preserved in its unadulterated form. According to Daigneault (2014), the best way to protect a language is to respect and protect its people. The language preservation and revitalization movement growing around the world is a way towards this respect and recognition.

## RECOMMENDATIONS

The study recommends the following: (1) to use another linguistic tool (i.e. speech analyzer) in future studies involving variations in other Philippine languages; (2) to investigate other varieties of Tagalog (Batangas Tagalog, Quezon Tagalog, and Marinduque Tagalog) for phonological variations; (3) to implement a program with the Department of Education about the promotion of the PB in conjunction with the use of the Mother Tongue in the K-12 Curriculum.

## ACKNOWLEDGMENT

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## SOCIAL SCIENCES & HUMANITIES

# Appraisal System in Bandung, the City of Pigs: A Case of ATTITUDE

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## ABSTRACT

This study seeks to investigate how Bandung city, one of the foremost tourist destinations in Indonesia, and its elements (the citizens, the Mayor, and specific things or places) are evaluated by the author of a blog post entitled *Bandung, The City of Pigs* to ascertain the author's attitude polarity (negative or positive). The Appraisal theory was utilized in this study to analyze an array of appraisal resources contained in the text. It is found that in general the author's evaluation of Bandung and its elements is negative, which is linguistically realized in the three subsystems of ATTITUDE system namely APPRECIATION, JUDGEMENT, and AFFECT. In addition, it is presumed this negativity also contributes to the virality of the text as it evokes the high-arousal negative emotion of the readers i.e., anger. In our analysis, the blog post entitled *Bandung, The City of Pigs* went viral as it has evoked the readers' negative emotions—namely anger–because of a high number of negative appraisal items employed in the evaluation. Implicationally, these findings are expected to raise people's awareness of the significance of making careful judgments in evaluating to avoid potential conflicts and other disadvantages.

*Keywords:* Appraisal theory, attitude, Bandung's tourism, blog, opinion, polarity

## INTRODUCTION

Bandung's development in tourism is flourishing in the last decade and makes a significant contribution to the regional economy (Windarti, 2016). It is recorded in statistics that 5,000,625 tourists (4,827,589 domestic and 173,036 foreign tourists) have visited Bandung in 2016 (Badan Pusat Statistik Kota Bandung, 2016). Predictably,

the number will continue to spike owing to the increased number of new tourist attractions recently built in Bandung. The new tourist attractions include public spaces and parks such as Super Hero Park, Pet Park, Photography Park, Fitness Park, and Film Park. In addition, in 2015 the UNESCO proclaimed that Bandung is one of the 42 creative cities in the world. For that reason, nowadays Bandung city has more potential to attract more domestic and foreign tourists than in previous days. Bandung's advancement in infrastructure and tourism may contribute to the city's popularity. It is likely that more people will try to find out any related information about the city to validate or make sure that Bandung is a place worth a visit. The information gathering can be done in many ways, such as by asking a friend, reading a book or a tourism brochure, or seeing a travel consultant. However, due to the advancement of technology and the increased number of smartphone use, nowadays it is possible to get the information without even stepping outside the house, i.e. by merely browsing the internet. This activity seems to be today people's favorite since it tends to be more effortless and less time-consuming.

Information about Bandung is available in various kinds of texts such as mass media, official tourism website, and personal blogs. With the increasing use of online reviews on a touristic place that prospective visitors may read, blogs are often utilized as a strategic outlet, due to their resemblance to online diaries (McNeill, 2005) whose writing style tends to be personal or subjective. In this digital era, the use of a blog as a medium to express opinions is becoming increasingly popular. Therefore, nowadays it is fairly easy to find other people's opinion by merely reading their blogs. People's opinions become critical when it comes to planning a holiday as a tourist may require some reviews from others about the destination he or she is going to visit. People's opinion, or "what other people think," has always been an essential piece of information for most people during the decision-making process (Pang & Lee, 2008).

A blog post entitled *Bandung, The City of Pigs* is an example of personal opinions about Bandung that has the potential to influence the potential tourists' decision. The blog post was written in English by Inna Savova (2014), a female Bulgarian who had lived in Bandung for about 3.5 years. In her post, Savova conveyed her criticism about Bandung's hygiene and its citizens' behavior towards cleanliness.

Savova's criticisms about Bandung's hygiene contain some truth. Garbage disposal, for instance, has been a lingering issue in the city. Some people cope with their domestic garbage by burning it, potentially causing air pollution. Some others throw away solid waste into the rivers, leading to flooding in some areas of Bandung (Bandung City Environmental Management Board, 2014). This municipal waste problem, according to Windarti (2016), contributed to a declining number of visitors to Bandung in 2006 and 2008. To sum up, in Windarti's (2016) analysis,

economic progress triggered by tourism has adversely impacted environmental issues in Bandung.

Of particular interest is that Sovova's blog post went viral in 2014 for many people considered the language used offensive. According to Ericssen (2014), the content had been read by more than 25,000 people in a short period of time which was a quite high number for a blog post. Various responses emerged once the blog post was widely shared on Twitter, blown up by the local mass media, and responded by Ridwan Kamil, the then Mayor of Bandung. Blog commenters who agreed with Savova's evaluation about Bandung cleanness were relatively as many as those who disagreed. However, there is one thing that they have in common: most of them lament the 'voice' of the writing that is considered racist, vulgar, and offensive. In recent systemic linguistic theorizing, 'voice' refers to distinctive configurations of appraisal choices, and the voice theory has evolved within the framework of APPRAISAL (Martin, 1997 as cited in Coffin, 2002), a system network of semantic options for evaluating people, things, and phenomena. Therefore, with regard to this study, the Appraisal theory (Martin & White, 2005) is considered as a proper tool to investigate the author's evaluative language in *Bandung, The City of Pigs*.

The Appraisal Theory transpired from a project called "Write it Right" led by linguist James R. Martin in the 1990s along with other scholars such as Peter White, Rick Iedema and Joan Rothery in Sydney (Wang, 2011 as cited in Wei et al., 2015). The theory lies under the umbrella of Systemic Functional Linguistics (SFL) (Halliday, 1994). SFL holds that language involves three types of communicative functionality, i.e. ideational (experiential), interpersonal, and textual meanings or metafunctions (Halliday, 1994). In SFL, Appraisal Theory is located as an interpersonal system at the level of discourse semantics (Martin & White, 2005). Emilia (2014) explained that the interpersonal metafunction was to do with negotiating and maintaining a relationship with others. In other words, the Appraisal framework is a development of work in SFL and is concerned with interpersonal meaning in the text—the negotiation of social relationships by communicating emotion, judgment, and appreciation (Read et al., 2007). The theory describes how authors use language to communicate their engagement with others (Read, 2010 as cited in Alamsyah et al., 2015).

Martin and White's (2005) appraisal theory is, according to Asher et al. (2009), is among the analytical tools in analysing opinions, emotions, and affect in cognitive theories. In genre analysis, the appraisal theory was utilised to analyse grant proposals, a study conducted by Pascual and Unger (2010). This theory has even been adopted in quantitative inquiries, as in Fuoli's (2012)'s investigation of social responsibility of world-class companies, i.e. BP and IKEA. All these evidences appear to suggest that the theory has proven valid to dissect people's assessment of things in texts.

There are three main components of APPRAISAL namely ATTITUDE, ENGAGEMENT, and GRADUATION. Martin and White (2005) explained the three components as follow,

> ATTITUDE is concerned with our feelings, including emotional reactions, judgments of behavior and evaluation of things (e.g. *My dad is a hero* [value judgment]). ENGAGEMENT deals with sourcing attitudes and the play of voices around opinions in discourse (e.g. *I think* [probability] *that your statement is truthful.*. GRADUATION attends to grading phenomena whereby feelings are amplified and categories blurred (e.g. *This effectively* [focus] *proves him wrong.*) (p. 35).

Each component has sub-components that comprise its appraisal resources. For a better understanding of appraisal resources, Figure 1 is presented.

ATTITUDE has three subsystems namely AFFECT, JUDGEMENT, and APPRECIATION. As explained by Coffin (2002), AFFECT is a resource for construing emotional responses (e.g. *I feel sad*), JUDGEMENT is a resource for judging behavior in 'ethical' terms (e.g. *a dirty city*), and APPRECIATION is a resource for valuing texts and processes (e.g. *a beautiful woman*). GRADUATION deals with values which scale meanings along two possible parameters—either by raising or lowering intensity (FORCE, e.g. *the fuel price skyrocketed*) or by sharpening and softening the focus (FOCUS, e.g. *a true friend*). Lastly, ENGAGEMENT comprises resources for engaging with and negotiating heteroglossic diversity—
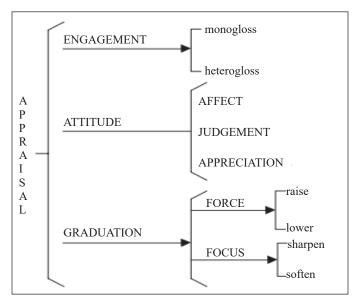


*Figure 1.* An overview of appraisal resources as adapted from Martin and White (2005)

the various convergent, alternative and counter socio-semiotic realities or positions activated and referenced by every utterance (White, 1998). This includes such linguistic features as modals of probability (e.g. *probably*), reality phrase (e.g. *it appears*) and attribution (e.g. *Research has shown*).

ATTITUDE is further broken down into types and sub-types, as illustrated in Figure 2.

As aforementioned, AFFECT is associated with personal emotion, which, according to the above appraisal system, falls into three subtypes: HAPPINESS (internal mood, e.g. *happy vs. sad*), SECURITY (environmental and social well-being, e.g.
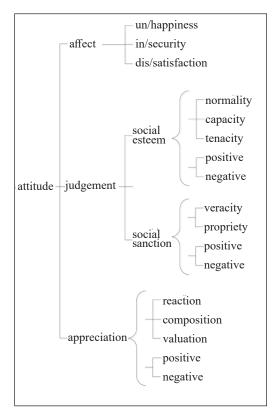


*Figure 2.* A detail look at ATTITUDE as part of Martin & White's (2005) appraisal resources

*confident vs. uneasy*), and SATISFACTION (attainment of one's goals, e.g. *thrilled vs. angry*). JUDGEMENT is divided into two: ESTEEM and SANCTION. ESTEEM consists of three sub-types: NORMALITY (what is culturally deemed as normal, e.g. *normal vs. odd*), CAPACITY (individual capability, e.g. *successful vs. unsuccessful*), and TENACITY (individual dependability, e.g. *reliable vs. unreliable*). Meanwhile, SANCTION is split into VERACITY (honesty, e.g. *truthful vs. dishonest*) and PROPRIETY (a person ethics relative to cultural norms, e.g. *polite vs. rude*). The last type APPRECIATION is further classified as REACTION (instinctive), COMPOSITION (perceptive), and VALUATION (cognitive). While REACTION can be IMPACT (*engaging vs. dull*) or QUALITY (*lovely vs. nasty*), COMPOSITION is to do with BALANCE (*unified vs. uneven*), COMPLEXITY (*simple vs. simplistic*), and VALUATION (worth, e.g. *profound, shallow*).

How APPRAISAL system is realized in texts has received much attention from many linguists or discourse analysts. Recently, there have been many publications relating to the topic. For instance, by utilizing the APPRAISAL theory, Tallapessy (2015) investigated how the journalists of *The Jakarta Post* demonstrated their attitudes in terms of AFFECT, JUDGEMENT, and APPRECIATION to show their feelings towards the case of corruption. He found that the use of strong judgment, as indicated by the absence of modality, indicated that the appraisers (journalists) tried to get public

support. Another work on APPRAISAL system analysis was done by Arunsirot (2012) who examined attitudes expressed in 32 Thai online newspaper commentaries. The findings revealed that the commentators made use of both positive and negative emotional responses through either adjectives, noun phrases or verb phrases in terms of AFFECT, which dealt with the expression of emotion (Arunsirot, 2012).

It can be seen that most of the previous works have only focused on types of texts that are expected to be faceless or objective such as news items. This study, however, focuses on a type of text that typically has a subjective voice namely a blog post. The term 'blog' itself can be defined as "a website that contains an online personal journal with reflections, comments, and often with hyperlinks provided by the writer" (Merriam – Webster, 2005). Although people write in their blogs for various purposes, the vast majority of blogs can be viewed as personal diaries, where bloggers write about their experiences, opinions, and emotions (Leshed & Kaye, 2006). Accordingly, unlike academic texts that are expected to be faceless (Biber & Finegan, 1988 as cited in Coffin, 2002) and formal in tone (Kurniawan et al., 2019), blog texts/posts are typically written in voices that are more subjective (see Melville et al., 2009).

Numerous studies have concentrated on blogs. Among others, Melville et al. (2009) performed a sentiment analysis on weblogs, specifically identifying whether a blog expressed a positive or a negative about certain brands and products. In a similar vein, Godbole et al. (2007) conducted the same analytical tool, i.e. a sentiment analysis on online newspapers and blogs. Using a large amount of corpora, they attempted to pinpoint people's opinions—favorable or adverse—to a number of entities including famous figures.

To the author's best knowledge, a blog post analysis using the APPRAISAL theory in Indonesian context has never been conducted. Therefore, this study is expected to fill that gap. This study seeks to analyze how Bandung city and its elements (such as the citizens, the Mayor, and specific things or places) are evaluated by the author of *Bandung, the City of Pigs* to ascertain the extent of the author's attitude polarity (the extent of negativity as the title implies and positivity if any). The blog post is chosen for its virality on the internet and its potential to change the tourist's decision-making. Accordingly, this study proposes a research question as follows: how is the appraisal system realized in *Bandung, the City of Pigs?*

Generally, the findings of this study are expected to raise people's awareness about the significance of making careful judgments in evaluating things to avoid potential conflicts and other disadvantages. In addition, this study is also expected to make contributions to Bandung tourism marketing since this study is also part of sentiment analysis. Opinions, in a marketing sentiment analysis, are critical because they are key influencers of consumers' behavior (Liu, 2011 as cited in Alamsyah et al., 2015). Therefore, this study functions to inform Bandung tourism marketers about

their "customer's satisfaction." As a result, they are expected to be able to counter any consumers' negative opinions by proving that Bandung is a tourist destination that is worth a visit. For Savova's case, they can start with improving the hygiene or cleanliness of Bandung by working together with the local government.

The remainder of the paper is organized into three sections namely method, findings and discussion, and conclusion. Method section outlines the research design, data collection, and data analysis of this study. Findings and discussion section revolves around the discoveries of investigation of appraisal resources in the text and provides the explanations of the findings. Finally, the conclusion section summarizes the results of this work and suggests possible future studies.

## METHODS

The data used in this study was a blog post that belonged to Inna Savova, a female Bulgarian who had lived in Bandung for 3.5 years. The content described Savova's criticism of Bandung's hygiene and its citizen's behavior towards cleanliness. The data was taken from https://venusgotgonorrhea.wordpress.com/2014/01/16/bandung-the-city-of-pigs/. The author of the article has now removed the blog partly due to the sensitive nature of the article posted therein and the external pressures that emerged. However, the readers can visit http://internetanmulu.blogspot.com/2014/02/bandung-dijuluki-city-of-pigs.html to access the original article.

The blog post was selected since it once became the internet sensation and many people deemed the language used by the writer offensive. In addition, since the content was an opinion written in English and by a non-native citizen, it might have a vast influence over Bandung city's tourism marketing globally in the future. In this case, Savova's evaluation of the city could change the potential tourists' assessment and behavior as well.

The analysis was conducted within the framework of Martin's Appraisal theory (Martin & White, 2005), focusing on one appraisal system only: ATTITUDE (AFFECT, JUDGMENT, APPRECIATION), following Arunsirot (2012) and Tallapessy (2015), since it was the only system within the appraisal theory that could tell the polarity (negative-positive) of the text. This system was adequate to answer the research question proposed in this study.

The first step of the analysis was manually marking up the appraisal resources/categories contained in the text. To facilitate the analysis and to avoid personal bias, Martin and White (2005) had established the so-called "regions of meanings", i.e. "semantic resources for construing emotions" (Oteíza, 2017) that offered a typology of words that denoted feelings or emotions. To mark up the appraisal resources automatically and effectively, the text was imported into text annotation software called UAM Corpus Tool that was created by O'Donnel (2012), tailored for semiautomatic annotation of texts. The software was used since a

conventional approach (by using a pen and paper) often led to difficulties when the analyst found an error in the coding and intended to change them (O'Donnel, 2012).

After the types of appraisal resources were marked up, the next step was classifying the appraisal resources in the text through a set of features the software offers. It included a feature for creating a table to specify the appraising items, their subtypes (AFFECT, JUDGMENT, APPRECIATION), and the appraised items; getting the descriptive and comparative statistics of the appraisal resources found in the text, all with the help of the software. Finally, the findings were elaborated in accordance with the proposed research question and based on the framework of Appraisal (Martin & White, 2005).

## RESULTS AND DISCUSSIONS

Based on the analysis in this study, it is found that there are 79 instances of appraising items in the text. The appraising items refer to at least four appraised items that include citizens of Bandung, Bandung city, Ridwan Kamil, and specific items or places that are considered as the elements of Bandung city. However, to avoid wordiness, this paper does not display a detailed analysis in this section. Instead, Figure 3 is presented to show the overall statistical results of the analysis.
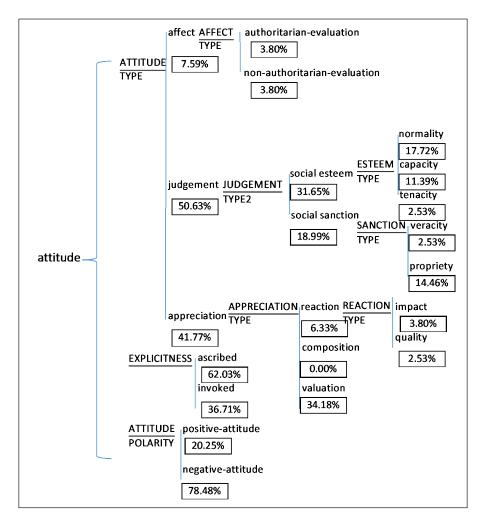
As seen in Figure 3, it is found that the writer draws on all ATTITUDE's subsystems namely AFFECT (7.59%), JUDGEMENT (50.63%), and APPRECIATION (41.77%) in evaluating Bandung and its elements.

## JUDGEMENT

JUDGMENT is to do with evaluating people and the way they behave – their characters (how they measure up) (Martin & White, 2005). From the aforementioned statistics, it can be seen that JUDGEMENT is the most frequent system of the author's evaluation (50.63%). From 40 instances of appraising items found in the text, 25 of them are in the social-esteem category, and 15 of them are in the social-sanction category: normality and propriety. In the text, the writer predominantly made judgments to Bandung citizens in terms of how normal (normality: 17.72%) and ethical (propriety: 16.46%) they were based on her perspective.

Concerning normality subsumed under Judgment-Social Esteem, most of the appraising items reveal that the writer evaluated Bandung citizens as slovenly people. In the first place, the author chose the word 'pigs' in the title: *Bandung, the City of Pigs*. The word functions to capitalize her evaluation that Bandung citizens' behavior can be compared (and equated) to pigs, the animals that have reputation as filthy animals (Nicholls, 2015). This comparison is unacceptable and offensive to Bandung citizens as most of them are Muslims (*"Jumlah Penduduk"* [The population number], 2014) and in Islamic religion, pigs are *haram* or strictly prohibited to be eaten or touched.

To further elaborate the slovenliness and other unusual behaviours of Bandung citizens, the writer also made negative judgments on specific behaviors—whether or not one's act was socially acceptable,

*Figure 3.* Statistical result of ATTITUDE in *Bandung, The City of Pigs* as captured from the UAM Corpus Tool

laudable, or normal. The following details her judgments on specific behaviors:

- the way the citizens took a shower that she evaluated as *unenjoyable.* What she was observing here was something cultural, where some Bandung citizens (or Indonesians in general) did not have access to showers. Instead, they had an open water container where a mug-like plastic container was used as a tool to scoop water and throw water on the body. This cultural practice, in her judgmental view, was unenjoyable;
- store water in large containers *where all kinds of bugs drown (and sometimes mice).* Here, she was observing how some Bandung inhabitants stored water in some 'open' containers where some undesired objects might fall

into. She was exaggerating what potentially occured with 'nominals" "all kinds of bugs", "mice";

– dry their clothes (…*you don't hang them to dry. You just toss them over your gate, half on the street, half in your yard, on the dirty door and you wait until the passing cars and motorcycles dust them dry*). Her observation was the way people in Bandung dry their clothes was unacceptable by placing them on dirty places such as a door, a gate or a street. Her judgment on this act was most apparent in the phrasing "you wait ... dust them, dry", which was an exaggeration;

– dispose garbage (*or burns it in the best case possible. Oh, didn't I mention that's the only way they know how to dispose of trash?*). Garbage disposal was a long-standing problem in Bandung and she claimed the only way the people know was burning, which was a mere personal claim; and

– work out (*And by work out understand eat, eat, eat*). Here, she was witnessing a number of people in Bandung who loved to enjoy eating since Bandung was well-known as a culinary haven. While it was true that some people enjoyed such a routine, of course it was not a substitute for physical exercise.

Relating to appraising items of propriety, the writer dominantly made a negative judgement on the behaviors that she considered unethical such as stealing and breaking the trash cans/plastic bags, ruining the city parks, and throwing garbage.

Concerning the polarity of JUDGEMENT, Table 1 is presented.

Table 1
*The comparison of negative and positive JUDGEMENT*

|  | Negative (N=34 out of 62) | Positive (N=6 out of 16) |
|---|---|---|
| Social esteem | 32.26 % (N=20) | 31.25 % (N=5) |
| Social sanction | 22.58 % (N=14) | 6.23 % (N=1) |

Table 1 illustrates that of 62 appraising items employed to evaluate Bandung citizens' behaviour and disposition, 34 of them were negative. However, although the negative judgement towards the appraised items was dominant, it was of interest to see that the writer seemed to make an exception for Ridwan Kamil, the then Mayor of Bandung. It could be seen from the six instances of positive appraising items found in the text, all of them referred to Ridwan Kamil. In contrast to his people, Ridwan Kamil was presented as a more civilized person compared to the rest of the Bandung citizens. He was mainly appraised for the capability he had such as in the following appraising items: *got a foreign (USA) education, can make a change,* and *Bandung and Indonesia, in general, need more people like that*. The writer then summed up her evaluation by saying that Ridwan Kamil was *good*. However, at the end of the writing, the writer seemed to take back her own

previous positive judgment by expressing her hesitation such as in *I don't know if he is that good or he just got me hooked up on another lie* (judgment of veracity). It is noteworthy that this statement contradicts her earlier positive assessments to Ridwan Kamil, and this appears to suggest that her view is precariously unreliable.

## APPRECIATION

APPRECIATION is the second most frequent system of the writer's evaluation (41.77%). This system is to do with resources for construing the value of things, including natural phenomena and semiosis (as either product or process) (Martin & White, 2005). APPRECIATION system is specialized to disclose the writers' evaluation of Bandung as a place where people live. Specifically, the appraising items of APPRECIATION are employed to appraise specific places and specific inanimate objects in Bandung; and Bandung as one of the cities in Indonesia. Based on the analysis as exhibited in Table 2 below, it was found that there were 32 instances of APPRECIATION. Similar to the other two systems, this system could also reveal the writer's negative and positive evaluation.

Table 2
*The comparison of negative and positive APPRECIATION*

|  | Negative (N=24 out of 62) | Positive (N=8 out of 16) |
|---|---|---|
| Reaction | 4.84 % (N=3) | 12.50 % (N=2) |
| Composition | 0.00 % (N=0) | 0.00 % (N=0) |
| Valuation | 33.87 % (N=21) | 37.50 % (N=6) |

Table 2 clearly shows that in 32 instances, 24 of them exhibit negative appreciation and 8 of them positive appreciation. What is apparent here is the amount of valuation—evaluation of an object, product, and process based on some social convention—is much higher than that of reaction—emotional impact of an entity on the reader—and composition—evaluation based on the composition of a product or a process, which implies that the author predominantly stresses on the social valuation of Bandung.

The appraising items found in the text indicate that the writer evaluated Bandung as an improper place for humans to live. It could be seen from the explicit appraising value-laden expressions such as *dirty, stinky, filthy, disgusting, toxic,* and *hazardous* [valuation]. In addition, earlier, in the title of the blog post, Bandung was appraised as if it is a natural environment for pigs to live: *Bandung, the City of Pigs.*

From how the APPRECIATION system is realized, it could also be seen that the writer's voice seemed very strong in terms of how she positioned the readers to believe that Bandung was not a clean place to live. In specific, the writer used various negative adjectives (as mentioned in the previous paragraph) and presuppositions to describe the hygiene of Bandung. For instance, the phrase could be found in the lines where she described a specific house with a rat lives inside it, *A rat, longer than 20cm, running free in the house, eating whatever he can get (sometimes the cat) is a daily routine.* The phrase did not contain explicit adjectives that presuppose the place was dirty. Instead,

the author told her experience of seeing a rat *running free* in a house. However, by reading the phrase, the readers could imply that the place was not hygienic as rats were often culturally associated with disease and filth (see Seegert, 2014; Texas A&M University, 2008).

With regard to the polarity of APPRECIATION, Table 2 presents the comparison of negative and positive APPRECIATION.

## AFFECT

AFFECT is concerned with registering positive and negative feelings, it tells whether the speaker/writer feels happy or sad, confident or anxious, interested or bored (Martin & White, 2005). AFFECT was the least dominant system in the text, i.e. only 7.59%. In the text, AFFECT was realized through both authorian-evaluation and non-authorian-evaluation. It was found that there were only six instances of AFFECT namely *shocked, likes, screamed, in amazement, ashamed,* and *feel sad*.

Based on the findings, it could be seen that the feelings construed in the text were mostly unhappy ones. For example, the writer expressed how she felt when she encountered that the citizens were careless about the city's cleanliness, such as in the following phrase, *When I first came to the city I was shocked from all the dirt*. In another instance of the appraisal items, the writer felt sad as she found that the Bandung citizens got her wrong and thought of her

as mentally deranged when seeing her picking up and collecting garbage along the street, *They just see me as some crazy white woman, which makes me **feel sad***.

The AFFECT system was not dominant in the text. However, it still contributed to the polarity of the entire evaluation. Table 3 illustrates the polarity of AFFECT.

Table 3
*The comparison of negative and positive AFFECT*

|  | Negative (N=4 out of 62) | Positive (N=2 out of 16) |
|---|---|---|
| Authorian evaluation | 3.23 % (N=2) | 6.25 % (N=1) |
| Nonauthorian evaluation | 3.23 % (N=2) | 6.25 % (N=1) |

## EXPLICITNESS

Implicit expressions are often linked to sarcasm. Sarcasm is an indirect form of speech intentionally used to produce a particularly dramatic effect on the listener (McDonald, 1999 as cited in Dauphin, 2002). Sarcasm is usually accompanied by specific negative attitudes, such as disapproval, contempt, scorn, and ridicule (Dauphin, 2002). This study found that there were several implicit or indirect realizations of the author's evaluation in the text. The general statistical analysis revealed that 29 out of 79 appraisals items were categorized as *invoked*. It meant that the evaluation was not explicit in a word or phrase but rather implied by information given (O'Donnel, 2012). Table 4 presents the statistics and some examples of indirect realizations.

Table 4
*Invoked evaluation of AFFECT, JUDGEMENT, and APPRECIATION*

| ATTITUDE-TYPE | N=29 out of 79 |
| --- | --- |
| AFFECT | 0.00 %   (N=0) |
| JUDGEMENT | 79.31 %  (N=23) |
| APPRECIATION | 20.69 %  (N=6) |

Table 4 above illustrates that invoked evaluation mostly appears in JUDGEMENT. In spite of the absence of explicit words or phrases in the text, the readers can still infer the author's negative judgement through the information she gives such as in the following passage.

> Let me explain in here, that there is a very strange phenomena occurring in this city. There are a lot of perfectly good, lonely sandals out there just sitting in awkward places. My first thought was that someone dropped it. Yet I can't figure out how someone would lose a perfectly good shoe and not notice it, walking away with on barefoot. Or maybe it's some kind of movement? Like "Flip Flops for Peace"? What kind of sorcery is this?

The passage above is labelled as invoking evaluation of JUDGEMENT as it is considered as one of the appraisal items that is employed to evaluate the citizens' unusual behavior in an indirect way. The author assessed that the citizens liked to litter their second-hand, unused sandals in random places or simply by laying them in the yard. Culturally, the act of littering is considered as a negative behavior that can be labelled as the realization of social sanction. Martin and White (2005) mentioned that JUDGEMENT of sanction had to do with 'veracity' (how truthful someone is) and 'propriety' (how ethical someone is). In line with that, the act of littering, therefore, can be tagged under 'propriety' label as the doer violates the 'regulations about how to behave as surveilled by the state' (Martin & White, 2005).

Another example of indirect realization can be found in the system of APPRECIATION. As discussed earlier in the APPRECIATION section, there was a phrase where the author expressed her abhorrence through implicit wordings. She described a specific house with a rat living inside, *A rat, longer than 20cm, running free in the house, eating whatever he can get (sometimes the cat) is a daily routine.* The phrase did not contain explicit adjectives that indicated the place was dirty. However, rats are often culturally associated with disease and filth (Texas A&M University, 2008) and seen as "emblems of decay and contamination" (Seegert, 2014). As a result, the reader then could infer that the author tried to make a negative evaluation through her experience telling.

## ATTITUDE POLARITY

Polarity classification is just a few of the tasks under the umbrella of sentiment analysis (SA), itself only a tiny portion of the field of computational linguistics (Hart, 2013). SA–also referred to as subjectivity analysis, review mining, or appraisal extraction (Pang

& Lee, 2008)—is the act of detecting and classifying the sentiment expressed by an opinion holder (Gonzalez-Rodriguez et al., 2014). It has been mentioned earlier that this study is also part of sentiment analyses (SA) whose goal is to ascertain the polarity –negative or positive—of a text.

As Figure 2 illustrates, the negative evaluation far outnumbers (78.48%) the positive ones (20.25%). Hence, it can be inferred that the author's complete evaluation of Bandung and its elements is negative.

## CONCLUSION

This study has analyzed how Bandung and its elements (the citizens, the Mayor, and specific things or places) are evaluated by the author of a blogpost *Bandung, The City of Pigs* to ascertain the author's attitude polarity (negative or positive) about the city. In specific, this study investigated the writer's evaluation by analyzing the appraisal resources embodied in the text within the Appraisal framework (Martin & White, 2005). The findings indicate that the author's evaluation of Bandung and its elements is dominantly negative. This negativity is realized in the ATTITUDE system that includes JUDGEMENT, APPRECIATION, and AFFECT.

In addition, it is presumed that this negativity also contributes to the virality of the text as it evokes the high-arousal negative emotion of the readers i.e., anger. In line with that, Berger and Milkman (2012, 2013), in their article entitled *What makes online content viral?* discovered that virality

was partially driven by physiological arousal. Content that evokes high-arousal positive (awe) or negative (anger or anxiety) emotions is more viral. In other words, only information or online contents with certain characteristics can be more viral than others. It is assumed that the blog post entitled *Bandung, The city of pigs* went viral as it had evoked the readers' negative emotions— namely anger–because of a high number of negative appraisal items employed in the evaluation. Therefore, investigating the correlation between the polarity of attitude and virality would be an interesting study to be conducted in the future.

## ACKNOWLEDGEMENT

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## SOCIAL SCIENCES & HUMANITIES

# Corpus-Based Analysis of Cohesive Devices in Academic Essays Written by Indonesian Students: Across-Gender Analysis

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## ABSTRACT

Appropriate use of cohesive devices is vital in determining the quality of a writing product. The present study is aimed to find possible differences between male and female students in employing cohesive devices in writing as a tool to maintain coherence in the composition they made and the students' familiarity to the cohesive devices mentioned in Halliday and Hasan's Conjunction Device Taxonomy. Data were collected from 145 essays produced by the freshmen of Indonesian university students and students' responses to *Likert scale* questionnaires. The findings show the varieties of cohesive devices and the students' familiarity to them. It was identified that there were only limited numbers of cohesive devices that were used by the students and they were familiar with. In addition, the statistical analysis figured out that gender did not show significant difference in the use of the cohesive devices and the students' familiarity to them. Based on the limitations of the present study, recommendations are offered at the end of the paper.

*Keywords:* Academic essay, cohesive devices, corpus based analysis, gender

## INTRODUCTION

In Indonesia, writing in English has recently been extensively paid attention due to university students' and/or lecturer's immediate needs to write abstracts, conference paper, theses, dissertations or journal articles. As a result, the issue of effective English academic writing appears

to be an important subject to study (Emilia & Hamied, 2015; Hasan & Marzuki, 2017; Khoiri & Widiati, 2017). There have been many researchers who investigate the elements of a good and effective English writing. One of the elements to produce good writing is the use of the taxonomy of appropriate cohesive devices suggested by Halliday and Hasan (1976). They reiterated that cohesive devices would link disconnected sequence of sentences in the text so that they as textual elements would form texture from any separated strings of sentences connected by cohesive tie (Ersanli, 2015; Khalil, 1989; Liu & Braine, 2005; Yang & Sun, 2012).

Various studies on the usage of cohesive devices are mushrooming even until today (Chiang, 2003; Leo, 2012; McCulley, 1985; Yin, 2015; Zarei et al., 2017). One of the recent studies explores the use of cohesive devices in ESP context. Yin (2015), for example, had investigated two different texts namely broadcast and written news by means of corpus linguistic analysis. The study figured out how linking adverbials were employed in both texts and how students perceived such linking adverbials. Yin's study aimed at understanding the usage patterns of the linking adverbials (i.e. one of the types of cohesive devices) and it is relevant to the ESP contexts. Hence, Yin's study confirmed and strengthened the findings of other studies (i.e. Halliday & Hasan, 1976; D. S. McNamara, 2010; T. McNamara, 2001) that demonstrated that it was mandatorily important for students to cope with kinds of cohesive devices,

especially to help them make explicit the meaning relationship between sentences in paragraphs which facilitated comprehension through appropriate cohesive markers.

Other studies using corpus data analysis to figure out how cohesive devices are employed to maintain textual ties yielded from different text types were conducted by Biber and Reppen (2002), and Carter and McCarthy (2006). Then, in their investigations on how cohesive devices were employed in argumentative essay writing produced by university students in China, Liu and Braine (2005) had stated the usage of varieties of cohesive devices as they were employed by Chinese students. It was further said that they employed common types, such as, 'and', 'but,' 'or', and 'so' more often than others. This is consistent with Khalil (1989) and Connor (1984). Khalil (1989), for instance, revealed that EFL students in Arab College students used less varied conjunctions in producing expository essay writing, while this also happened to students of ESL setting, the students tended to repeat the same variations or choices of conjunctions in their compositions. According to Connor (1984), this is different from their ability to use cohesive devices in their native languages.

Unlike these researchers, Ningsih (2016) in her thesis showed that Indonesian students were capable to use variety of cohesive devices in their composition; however, the variations depend very much on the proficiency of the students. Higher proficient students, referring to higher semester students, employ different types

of cohesive devices from those chosen by students from the semesters below. This researcher found out that the seventh semester students frequently used reference, the fifth semester students used repetition in lexical cohesion, and the students from semester three used conjunction. There are some other similar researches that claim that proficiency become one of the factors influencing the use of cohesive devices in writing essay (Basturkmen & von Randow, 2014; Crossley et al., 2016; Liu & Braine, 2005; Yang & Sun, 2012).

The present study aims to see how Indonesian students employ cohesive devices when composing an academic essay. By making use of students' corpora, the study figures out the variations of cohesive devices as they are used by students of different genders. Corpus based analysis is employed to build better understanding as well as maintaining the authenticity of the language used by the students (Ma, 2015).

The existing studies on language and gender have well documented the different use of linguistic aspects by male and female speakers. Women ask more questions than men (Fishman, 1983; Lakoff, 1975). Lakoff (1975) proposed that women tended to ask more tag questions which showed uncertainty than men; however, Holmes (1990) found out that men also employed more tag questions which showed uncertainty, while women used more tag questions to facilitate conversation, such as generating small talk. Lakoff (1975) also stated that women often used hedges, whilst Holmes (1990) reported that women

used the 'you know' with primary positive function more frequently than men did. Related to interruptions, it is concluded that more interruptions occur in cross-sex conversation than in same sex conversations, the interruptions are likely to be equally distributed between the participants in same-sex conversations, but unequally distributed in cross-sex conversation (West & Zimmerman, 1983; Zimmerman & West, 1975)

According to most of the earlier studies, genders are found to affect variations in language use and usage (Adams & Simmons, 2019; Ersanli, 2015; Holmes, 1990; Lakoff, 1975; West & Zimmerman, 1983; Zimmerman & West, 1975). However, it is still open chances to quantitatively signify the use of cohesive devises as employed by students in Indonesia particularly when they have to maintain the ties of the sentences in their essay. As genders are assumed to be important factors affecting variations in both language-uses and usages, the present study is interested to outlook how this factor has made variations across genders.

Among the studies on the usage of cohesive devices, none puts the concerns to see how genders affect the variations on the usage of cohesive devices. Language proficiency seems to be viewed as the basic factor affecting the use of cohesive devices in writing (Chiang, 2003; Connor, 1984; Khalil, 1989; McCulley, 1985; Yang & Sun, 2012; Zarei et al., 2017). There are less data concerning variations used by students of different genders. It was argued by Francis et al. (2001) that

genders did not affect students' academic writing styles. On the contrary, Adams and Simmons (2019) claimed that genders led to significant unique variance, independently of cognitive skills in writing development. The latter study provides ample evidence on how gender may affect the quality of writing. There is a possibility that gender may affect the usage of cohesive devices, too. In this study the researchers would like to see whether this possibility appears in the students' essay writing.

Ersanli (2015) had reiterated the variance in language use between male and female. From the excerpts in the corpora, it is revealed that there are a few similarities between male and female in viewing about life, while the difference seems remarkable as females usually think using their emotions, males tend to use their logic. Then, in certain cases related to career ambition, it signifies more manly than womanly. In short, the study successfully demonstrates that men and women are generally different from each other. This different perspective may affect male and female students in employing conjunctions in their writing. Unfortunately, there is not enough data showing how genders make significant differences or similarities in employing cohesive devices.

To respond to the scarcity of such data, the present study is aimed to investigate whether gender affects the use of cohesive devices among students in university level. It describes and analyzes students' writing tasks that have been completed by the first semester university students in Indonesia before they receive any training for developing English academic essay. The task is given to students, from non- English Departments, in their first day of English class.

Pertinent to this, two questions were addressed: (1) how students across genders demonstrate variations in their use of cohesive devices in their essay, (2) how is the degree of the students' familiarity towards the cohesive devices or conjunctions. The findings of the present study contribute data inventory concerning to the ability to use varied cohesive devices in writing and show differences in cohesive devices variations used by two different genders. Therefore, this study is important as it particularly serves data needed by English teachers to develop materials for English Academic Essay Writing.

## METHODS

### Study Design

This was a descriptive survey research and counted on a primarily quantitative framework to display Indonesian university students' use of cohesive devices in academic essays. Thus, this study was aimed to figure out differences as well as variations of cohesive devices as they were identified from corpora of the compositions yielded by students of different genders. The students joining this study were freshmen of undergraduate school who were starting to take General English Course focusing on academic writing. During the course the students were trained to write argumentative essays where knowledge on cohesive

devices were crucial in developing cohesive and coherent essays. Among the forty-four classes consisting of forty freshmen each, five English classes were taken as the data source. However, there were only 145 essays that meet the minimum required word counts which was 300 words.

In addition to writing an essay, the students were also asked to fill in a Likert scale questionnaire to measure their degree of familiarity to the cohesive devices among the male and female students. In this study, the researchers mainly focused on the differences in the use of the cohesive devices among different gender without looking at different proficiency, since the previous research by Ningsih (2016) had uncovered that students with different level of proficiency would employ different types of cohesive devices.

## Corpus of the Students' Essays

As one of the instruments used in this study, students' essays were required to portray how cohesive devices were employed. Data were collected by compiling all the students' essays into one folder and converting into corpus using Python Linguistics Programming to identify kinds of cohesive devices used by students in their essay. The program performed the forms of variations of students' cohesive devices and listed the use of cohesive devices based on the percentage.

From Python Linguistic Programming, it was accounted that the corpus of students' essays was derived from 48.829 words comprised of 145 essays. The collection of essays was divided into two groups based on the gender of the students. One collection was derived from 66 essays (21.676 words) produced by female students and another collection was comprised of 79 essays (27.153 words) made by male students. The students were instructed to write an argumentative essay consisting of 300 words within thirty minutes. The prompt shown using a slide show was in Figure 1.



### Writing Test

**Directions:**
Read the question below. Give yourself 30 minutes to plan, write, and revise your argumentative essay. Typically, an effective response will contain a minimum of 300 words.

Do you agree or disagree with the following statement?

**Smoking in campus area must be banned for all ITS civitas academia.**

Use specific reasons and examples to support your answer

*Figure 1.* Sample of writing prompt

To collect data from students' essays, the researchers let the students write an essay in a computer room but not allowed to use any referencing tools such as googling or online dictionary. This condition was created to elicit students' writing ability under timely writing task with no internet assistance, and this condition was expected to enable students perform their *true* capacity in developing an argumentative essay. Figure 2 below is an example of the students' essays.

After the essays were collected, they were inputted into Python Linguistic Programming to generate the cohesive devises used by male and female students in the essays. The program then identified the variability of the cohesive devices used by the different gender of the students by following Halliday and Hasan's (1976) taxonomy framework of cohesive devices and the percentage of their usages. To see the difference between male and female students in using the cohesive devices, *boxplot* was used to display the data distribution, and *t Test* and *the Wilcoxon test* were used to see whether the use of the cohesive devices is significantly different between male and female students.

**A Likert Scale Questionnaire**

Another instrument, 5-point Likert Scale type questionnaire, was designed to serve data concerning the degree of familiarity to cohesive devices. The questionnaire was developed to elicit information about students' familiarity toward 64 English

One of the most common problems that are killing so many people around the world are smoking. They smoke because they want to release from stress, and they keep up with a lifestyles. Today ,the price of ciggarette becomes more affordable, and this has made teenagers start early to smoke. Smoking gives teenagers a different feeling as they become more confident and look cool. Therefore, there are many students of ITS who like smoking and they smoke around the campus area. They might not be aware of the effects of the smoke to the surroundings. The effects of ciggarrete smokes are not good for the non smokers and the campus environment.

Firstly, the ciggarette smoke can harm people around the smokers. The smoke can cause non smokers around the smokers as they inhale the smoke that can cause diseases like problems with respiratory. They even can suffer from cancer because they frequently inhale the ciggarette smokes. They never smoke but living around the smokers have made them suffer fom the same diseases like smokers.

Secondly the smoke can pollute the environment. Many smokers like littering the ciggarette bud; therefore, smoking can cause the environment dirty. In addition, the smoke outhaled by smokers can increase air pollution. The smoke contains some poisoinous substances that are not good if inhaled by others. The ashes are also not good as they make dust.

All and all, smoking is all means bad; therefore, this should not become a habit especially for students of ITS. The bad effects from smoking are inevitable so ITS must make a reguation to ban smoking from academic life of the academia. There should not be given a space for smokers to smoke in campus area. If this is carried out, there will be less number of students or other academia who smoke in campus. Thus, campus will be free from polluting ciggarette smokes.

*Figure 2.* Sample of student's essay

conjunctions as listed in Conjunction Device Taxonomy introduced by Halliday and Hasan (1976). The instruction in the questionnaires was written in Indonesian language to avoid misinterpretation. The responses were arranged using 5-point scales comprised by the lowest scaled 1 representing the lowest familiarity as students did not recognize and even not realize that a specific device was one of the kinds of conjunctions, and, at the other pole, the highest was scaled 5 representing the highest level of familiarity as students could not only recognize the device but they could apply it as well. *An Independent Sample t Test* was performed by using SPSS software estimating the significant difference between male and female students in term of their familiarity to the cohesive devices.

**Validity and Reliability of the Questionnaire**

To serve good quality of instrument, the validity and reliability of the questionnaire items were measured using *Pearson Correlation and Cronbach's Alpha*. The former was used to indicate the validity of each item in the familiarity questionnaire.

Result of validity testing indicated that each item showed significance value of *Pearson Correlation* (Sig.) smaller than 5%; therefore, it was said that the result of testing the familiarity to each cohesive devices was valid and could be used for further analysis.

Result of reliability testing in Table 1 indicated that the questionnaire represented high *Cronbach's Alpha* coefficient (i.e. higher than 0.60) and thus the reliability testing showed that the questionnaire items were reliable and data collected using this instrument could serve reliable data that could be further analyzed for the purpose of this present research.

Thus, the questionnaire was found to be valid and reliable and could be used to collect the intended data concerning the familiarity of the students towards cohesive devices.

**RESULTS AND DISCUSSION**

**Variations in the Use of Cohesive Devices in Students' Essay**

Using corpus based analysis, students' corpora show the use of four types of cohesive devices as proposed in the cohesive taxonomy in Halliday and Hasan (1976), namely additive, adversative, causal, and temporal conjunctions. Then those four types are comprised of 64 kinds of conjunctions; from which 38 kinds of conjunctions were found to be used in students 'compositions. Figure 3 below illustrates students 'use of cohesive devices taken from both corpora, from males and females.

The graphs in Figure 3 describe that 'and' is one of the conjunctions that is scaled 5 and refer to the most often used conjunctions by both male and female students. The

Table 1
*Result of reliability testing for familiarity questionnaire items*

| Variable | Cronbach's Alpha | Critical value | Decision |
|---|---|---|---|
| Familiarity towards the use of conjunctions | 0.968 | ≥ 0.60 | Reliable |
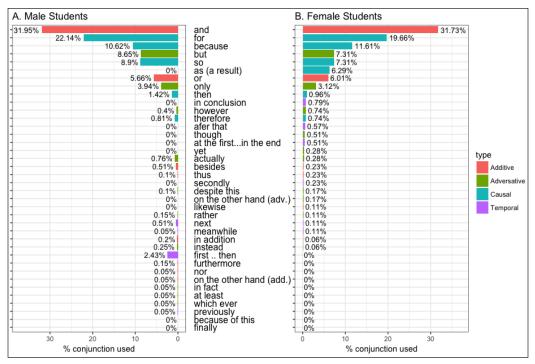
*Figure 3.* Graphs of the illustration for the students' use of conjunctions

percentage in female respondents was 31.7%, while male respondents were 32%. The 'and' conjunction was significantly high in its occurrence in both male and female students' corpora. Despite this similarity, both male and female students' corpora revealed a discrepancy in the use of 'as a result'. It was better known and more used by female students than male students. The percentage was remarkably different, from which it was shown that in female corpora, the percentage was 6.3% while in the corpora of male students, there was 0%. Then, some conjunctions such as 'First... then', 'furthermore', 'nor', 'on the other hand', 'in fact', 'at least', 'which ever' and 'previously' were used more often by male students than females. Female students did not use these types of conjunctions.

Other information shows discrepancy in the use of some conjunctions such as 'in conclusion', 'after that', 'though', 'at the first ... in the end', 'yet', 'secondly', 'on the other hand' and 'likewise' which were better known and used more by female respondents. The percentage of male respondents who use this type of conjunctions was 0%. Then other conjunctions, namely, 'because of this' and 'finally' conjunctions, were found to have no occurrence. Neither male nor female respondents did not use these conjunctions. This is depicted from the percentage (*viz*. 0%) between female and male respondents who use this type of conjunction.

Although the differences between male and female students were identified through different percentages displayed in Figure 3, speaking statistically, such representation

would not be able to display the data distribution in detail way. Therefore, the researchers represent data again using *boxplot* (please refer to Figure 4), a statistical representation for organizing and displaying data that are relatively easy to create with a five-number summary. Then, to make sense of the data, the interpretations of the significant differences toward normal distribution are performed using *t Test and the Wilcoxon test.*

To make sense of boxplot depicted in Figure 4, *t Test* was performed. Prior to t-test estimation, some assumptions needed to be checked:

1.  whether the samples are paired. Pertinent to this assumption, as seen in Figure 3, the sample is paired.
2.  whether the samples are large enough. In respond to this assumption, it is displayed in Figure 3 that there are 38 paired conjunctions, which can be categorized large enough.
3.  In terms of data normality, despite the size of the data being adequately large, the researchers still need to check data normality using the Shapiro-Wilk normality test for differences. And the result is presented below,

Results of the Shapiro-Wilk normality test:

```
Shapiro-Wilk normality test
data:  d
W = 0.63762, p-value = 1.879e-08
```

The analysis shows that the p-value is much smaller than significance level 0.05, i.e. the data is significantly different from normal distribution. Ergo, normality of data CANNOT be assumed. Therefore, it is recommended to use the t-Test and non-parametric paired two-samples Wilcoxon test.
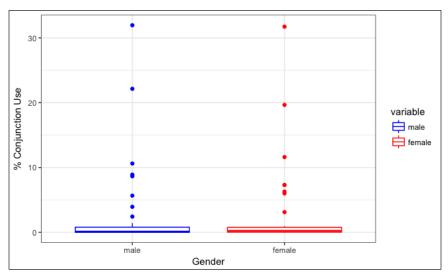


*Figure 4*. Boxplot of the distribution of conjunction use of male and female students

## t Test

```
Paired t Test
data:  value by variable
t = -0.0012704, df = 37, p-value
= 0.999
alternative hypothesis: true
difference in means is not equal
to 0
95 percent confidence interval:
-0.4199752  0.4194489
sample estimates:
mean of the differences -0.0002631579
```

As the p-value (0.99) is much greater than the significance level used in the test (0.05), we can conclude that the difference in conjunction use between male and female students is insignificant. This can be seen on the following illustration (see Figure 5). The grey lines connect the conjunction pairs, and as we can see, almost all of these lines have very small slopes, indicating a high level of similarity in values.
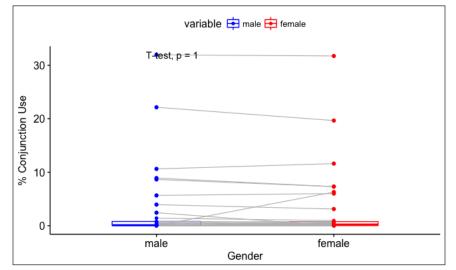


*Figure 5*. Result of t test for significant difference in the use of cohesive devises from male and female students' essays

## Wilcoxon Test

The following is the result of the Wilcoxon test performed to the data in Figure 3.

```
Wilcoxon signed rank test with
continuity correction
data:  value by variable
V = 353.5, p-value = 0.7532
alternative hypothesis: true
location shift is not equal to 0
```

Again, as in the t-test result, the p-value from the Wilcoxon test shows that the difference is insignificant. This can also be

seen on the following illustration (Figure 6). The grey lines connect the conjunction pairs, and as we can see, almost all of these lines have very small slopes, indicating a high level of similarity in values.

In short, the statistical analysis using the *t Test* and non-parametric paired two-samples *Wilcoxon test* results in the same conclusion that there was no significant difference in the use of cohesive devices between male and female students.
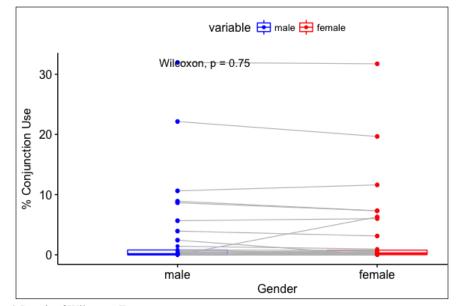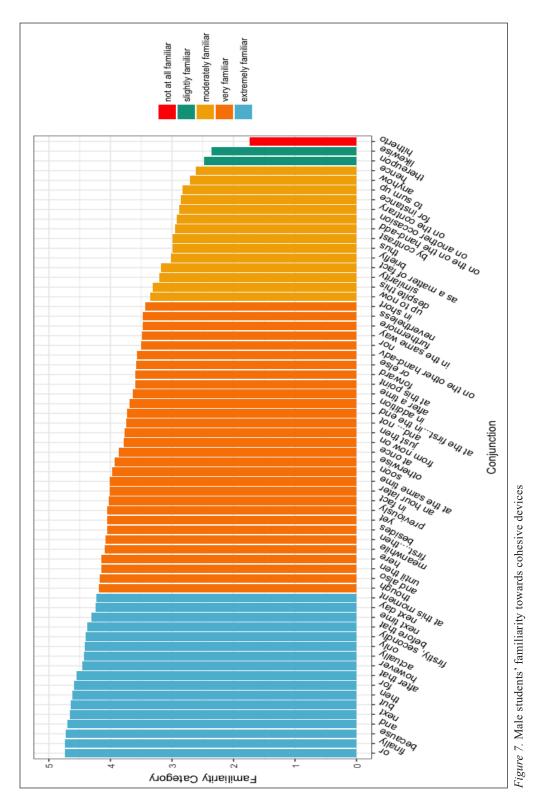
*Figure 6.* Result of Wilcoxon Test

### Degree of Familiarity towards Use of Cohesive Devices (viz. Conjunction)
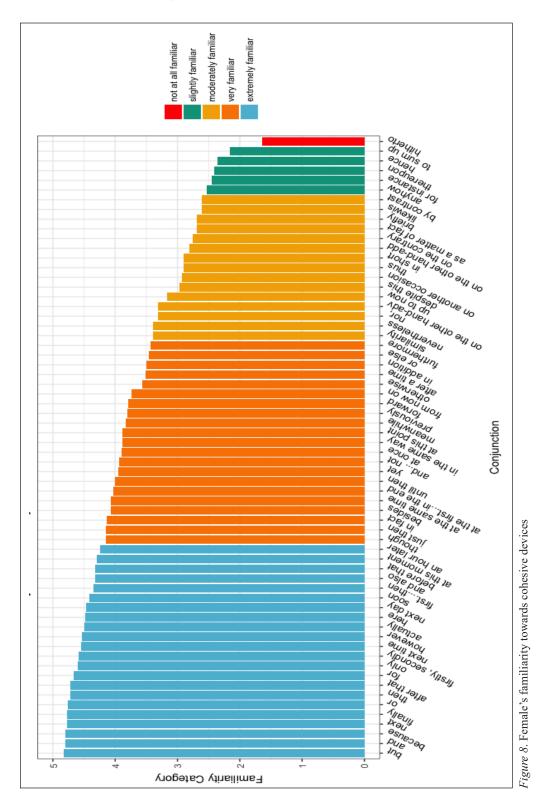
The questionnaires distributed to see respondents' familiarity toward each conjunction revealed a possible reason why some conjunctions were used more often than others, or more preferred than others. The survey results are depicted in the following figures.

Figure 7 and Figure 8 describe subsequently the familiarity of male and female students based on the result of questionnaire. Each scale is described in different color. Cohesive device is marked as the least familiar when given red color and scale 1 in the graph. Other color, tosca green represents a group of cohesive devices almost not known and given point or scale 2. While in the middle position, the group of cohesive markers that are somewhat familiar for the students. This kind of cohesive devices are given 3 scale and yellow in color. Next group of cohesive devices is denoted by scale 4 and orange in color. This group represents a group of familiar kinds of cohesive devices. Finally, the most familiar group of cohesive devices are made in blue color and given scale 5.

Then, to see how different the degree of familiarity to cohesive devices between male and female students, *comparative analysis* was employed to perform. The result of this analysis would make senses and determine whether there was any statistical evidence that the degree of familiarity between male and female students in using conjunctions was significantly different or not, and this study used *Independent Sample t Test* to measure the difference. Then, the comparative analysis in this present study was performed by the help of SPPS software.

*Figure 7.* Male students' familiarity towards cohesive devices

*Figure 8.* Female's familiarity towards cohesive devices

Prior to *Independent Sample t Test* estimation, the testing of normality was obtained in order to draw accurate and reliable conclusions about the reality. SPPS software was performed to present normality data in Table 2 below:

The result of Normality Testing of the data using Kolmogorov Smirnov statistic shows that both male and female students provided significance value (Sig.) greater than 5%, it is assumed that the data for degree of familiarity to use conjunctions between male and female students were normal, as a consequence the *Independent Sample t Test* is valid to be employed.

Testing the *Independent Sample t Test* by the help of SPSS software, the result displays the degree of familiarity to cohesive devices that are mostly not significantly different, as depicted in Table 3 as follows:

As the above mentioned, the result of testing the *Independent Sample t* Test for familiarity towards the use of conjunctions shows that levels of familiarity between male and female students were relatively similar as signified by the averages that were respectively the same between male and female students: 3.76287 and 3.75417. The estimation for *Independent Sample t Test* indicated the significance value (Sig.) of 0.934 (greater than 5%); therefore, statistically speaking, there was no significant difference in the degree of familiarity towards the use of conjunctions between male and female students.

The result of testing using *Independent Sample t Test* for familiarity to cohesive devices for both groups of students, male and female is tabulated in the following Table 4.

The *Independent Sample t Test* results of the students' familiarity in each conjunction show that there were 12 conjunctions that produced a significance value (Sig.) smaller than 5%. This is statistically significant difference in the familiarity of male and female students towards the 12 Cohesive Devices.

Among those 12 cohesive devices, there were 6 markers that had higher familiarity in male students, namely: *for instance, by contrast, as a matter of fact, otherwise, to*

Table 2
*Result of normality testing*

| Variable | Gender | Kolmogorov-Smirnov Z | Sig. | Decision |
|---|---|---|---|---|
| Familiarity towards the use of conjunctions | Male | 0.593 | 0.873 | Normal |
| | Female | 0.549 | 0.924 | Normal |

Table 3
*Result of independent sample t test familiarity data*

| Variable | Mean | | Independent Samples Test | | |
|---|---|---|---|---|---|
| | Male | Female | t | Sig. | Decision |
| Total familiarity towards the use of conjunctions | 3.76287 | 3.75417 | 0.083 | 0.934 | not significantly different |

Table 4
*The result of testing t test independent sample for familiarity to cohesive device*

| Familiarity towards the use of conjunctions | Mean | | Independent Samples Test | | |
|---|---|---|---|---|---|
| | Male | Female | t | Sig. | Decision |
| 1) and | 4.69 | 4.79 | -1.146 | 0.254 | not significantly different |
| 2) and also | 4.18 | 4.33 | -1.012 | 0.314 | not significantly different |
| 3) nor, | 3.50 | 3.31 | 1.039 | 0.301 | not significantly different |
| 4) and... not | 3.74 | 3.93 | -1.188 | 0.237 | not significantly different |
| 5) or | 4.73 | 4.78 | -0.558 | 0.578 | not significantly different |
| 6) or else | 3.58 | 3.47 | 0.553 | 0.582 | not significantly different |
| 7) Furthermore | 3.47 | 3.43 | 0.177 | 0.860 | not significantly different |
| 8) In addition | 3.69 | 3.50 | 1.011 | 0.314 | not significantly different |
| 9) Besides | 4.03 | 4.09 | -0.320 | 0.750 | not significantly different |
| 10) For instance | 2.92 | 2.38 | 2.379 | 0.019 | significantly different |
| 11) Thus | 2.98 | 2.90 | 0.396 | 0.693 | not significantly different |
| 12) Likewise | 2.35 | 2.60 | -1.183 | 0.239 | not significantly different |
| 13) Similarity | 3.21 | 3.40 | -0.919 | 0.360 | not significantly different |
| 14) In the same way | 3.48 | 3.86 | -2.017 | 0.046 | significantly different |
| 15) by contrast | 3.08 | 2.50 | 2.687 | 0.008 | significantly different |
| 16) yet | 4.05 | 3.95 | 0.549 | 0.584 | not significantly different |
| 17) though | 4.19 | 4.16 | 0.236 | 0.814 | not significantly different |
| 18) only | 4.42 | 4.60 | -1.450 | 0.150 | not significantly different |
| 19) but | 4.56 | 4.91 | -3.572 | 0.001 | significantly different |
| 20) However | 4.45 | 4.53 | -0.648 | 0.518 | not significantly different |
| 21) Nevertheless | 3.47 | 3.40 | 0.354 | 0.724 | not significantly different |
| 22) Despite this | 3.31 | 2.97 | 1.506 | 0.135 | not significantly different |
| 23) in fact | 4.03 | 4.14 | -0.659 | 0.511 | not significantly different |
| 24) actually | 4.44 | 4.50 | -0.488 | 0.626 | not significantly different |
| 25) as a matter of fact | 3.18 | 2.69 | 2.130 | 0.035 | significantly different |
| 26) on the other hand | 3.56 | 3.31 | 1.075 | 0.285 | not significantly different |
| 27) at the same time | 3.98 | 3.98 | 0.006 | 0.995 | not significantly different |
| 28) on the contrary | 2.89 | 2.76 | 0.562 | 0.575 | not significantly different |
| 29) Anyhow | 2.71 | 2.53 | 0.783 | 0.435 | not significantly different |
| 30) for | 4.60 | 4.67 | -0.680 | 0.498 | not significantly different |
| 31) because | 4.73 | 4.79 | -0.709 | 0.480 | not significantly different |
| 32) then | 4.61 | 4.72 | -1.017 | 0.311 | not significantly different |
| 33) otherwise | 4.06 | 3.43 | 3.356 | 0.001 | significantly different |
| 34) next | 4.66 | 4.78 | -1.136 | 0.258 | not significantly different |
| 35) after that | 4.55 | 4.72 | -1.525 | 0.130 | not significantly different |
| 36) just then | 3.77 | 4.16 | -2.082 | 0.040 | significantly different |
| 37) at the same time | 4.03 | 4.16 | -0.669 | 0.505 | not significantly different |
| 38) previously | 4.05 | 3.81 | 1.351 | 0.179 | not significantly different |

Table 4 *(continue)*

| Familiarity towards the use of conjunctions | Mean | | Independent Samples Test | | |
|---|---|---|---|---|---|
| | Male | Female | t | Sig. | Decision |
| 39) before that | 4.37 | 4.33 | 0.315 | 0.754 | not significantly different |
| 40) first....then | 4.08 | 4.34 | -1.558 | 0.122 | not significantly different |
| 41) at the first...in the end | 3.73 | 4.03 | -1.518 | 0.132 | not significantly different |
| 42) at once | 3.87 | 3.90 | -0.134 | 0.893 | not significantly different |
| 43) thereupon | 2.48 | 2.41 | 0.332 | 0.740 | not significantly different |
| 44) soon | 3.97 | 4.41 | -2.765 | 0.007 | significantly different |
| 45) after a time | 3.63 | 3.52 | 0.518 | 0.606 | not significantly different |
| 46) next time | 4.24 | 4.62 | -2.672 | 0.009 | significantly different |
| 47) on another occasion | 2.92 | 2.93 | -0.052 | 0.959 | not significantly different |
| 48) next day | 4.27 | 4.47 | -1.221 | 0.224 | not significantly different |
| 49) an hour later | 4.02 | 4.24 | -1.257 | 0.211 | not significantly different |
| 50) meanwhile | 4.10 | 3.83 | 1.439 | 0.153 | not significantly different |
| 51) until then | 4.15 | 4.00 | 0.848 | 0.398 | not significantly different |
| 52) at this moment | 4.23 | 4.29 | -0.440 | 0.661 | not significantly different |
| 53) firstly, secondly | 4.40 | 4,59 | -1.329 | 0.186 | not significantly different |
| 54) finally | 4.74 | 4.78 | -0.396 | 0.693 | not significantly different |
| 55) up to now | 3.35 | 3.17 | 0.862 | 0.391 | not significantly different |
| 56) hitherto | 1.74 | 1.64 | 0.586 | 0.559 | not significantly different |
| 57) at this point | 3.60 | 3.88 | -1.358 | 0.177 | not significantly different |
| 58) here | 4.15 | 4.48 | -2.091 | 0.039 | significantly different |
| 59) from now on | 3.79 | 3.74 | 0.231 | 0.818 | not significantly different |
| 60) hence | 2.61 | 2.36 | 1.015 | 0.312 | not significantly different |
| 61) forward | 3.60 | 3.79 | -1.014 | 0.312 | not significantly different |
| 62) to sum up | 2.82 | 2.16 | 2.696 | 0.008 | significantly different |
| 63) in short | 3.44 | 2.90 | 2.333 | 0.021 | significantly different |
| 64) briefly | 3.02 | 2.69 | 1.389 | 0.168 | not significantly different |

*sum up,* and *in short.* Then, there were 6 other markers that had a higher familiarity in female students, they were: *namely, in the same way, but, just then, soon, next time*, and *here.*

## DISCUSSION

Studies on genders as one of the factors in language learning, uses and usages have begun since the last three decades (Holmes, 1990; Lakoff, 1975; West & Zimmerman, 1983; Zimmerman & West, 1975) and they still continue until today (Adams & Simmons, 2019; Ersanli, 2015; Francis et al., 2001). This means that it is pivotal to keep investigating how genders might affect the results of language learning. Although results are not always the same, in some cases gender becomes a determinant factor affecting learning, but there are also researches to show that it does not make any significant difference. Among those studies,

none attempts to see how genders have affected the use of cohesive devices. Along with the growing importance of coping with ability to write good academic writing, it is mandatory to consider the knowledge of cohesiveness and sentence ties that can only be attained by having knowledge about how to use cohesive devices in writing.

The result of this study could provide data concerning the use of cohesive devices in students 'writing and specifically reveal if gender make the choices similar or different. Through 66 argumentative essays with total 21.676 words produced by female freshmen students, and 79 essays with 27.153 words made by male freshmen students, the study could demonstrate variations in their use of cohesive devices in their essays. From 64 kinds of cohesive device enlisted in the Taxonomy proposed by Halliday and Hasan (1976), 38 markers were found to be employed in the essays of students from all genders. This research showed common types of markers including '*and*', and '*or*' and they were found to be most frequently used cohesive devices by students of different genders. Other common types like *for*, *because*, and *so*; and then, *but* and *only* were found to be markers that were used in moderately high frequency. This finding enriched the previous research finding of Liu and Braine (2005) which stated only four common types namely *and*, *but*, *so*, and *or* that were commonly used by students. Although this study gave some additional types, it was still limited to specific variations like what had been mentioned in some other studies like Khalil (1989) and

Connor (1984). Then, it was inferred that after more than two decades, there was no progress made to make students use more variations in using cohesive devices in their writing. This fact was in contradictory to the fact that knowledge about sentence ties that were brought by the use of varied and proper cohesive devices is important  (Crossley et al., 2016; McCulley, 1985).

Comparing male and female in using cohesive devices, this study figured out that gender could not be categorized as one of the determinant factors affecting the use of cohesive devices in writing. The result of t Test and Wilcoxon test performed by researchers did not show a significant difference in utilizing cohesive devices between male and female students. Thus, teachers or other education practitioners do not need to be worried about genders in making them learned by the students. The treatments and exercises can be given equally the same for students either for male or female student groups. This finding is in line with what had been cited by Francis et al. (2001).

Related to the familiarity of students towards cohesive devices valid and reliable questionnaire employed by the researchers has uncovered that out of 64 types of cohesive devices enlisted by Halliday and Hasan's taxonomy, there was 38 markers known by both male and female students. The degree of familiarity between male and female students were found not significantly different. However, among those 38 markers that were identified familiar to male and female students, there were *twelve* types

of markers that were known better by one group than another group. Six markers including *for instance, by contrast, as a matter of fact, otherwise, to sum up,* and *in short* were identified to be the most known by the male students; meanwhile, the other six *namely in the same way, but, just then, soon, next time*, and *here* were found to be the most known by female students. Compared to varieties used by students in their writing, among those twelve familiar conjunctions, it is only *but* that can be identified from students' writing.

Among the previous studies concerning the use of cohesive devices in writing, there is none dealing with students' familiarity to the types of cohesive devices. This study can show its novelty by figuring out the list of known cohesive devices. Moreover, this study also uncovers the students are familiar with the varieties of cohesive devices. Finally, this study is able to reveal both evidences concerning the variations used in students' essays and the varieties familiar to the students. Therefore, this finding can give contribution for pedagogical implication particularly when helping students to improve their knowledge about sentence ties or cohesiveness in developing a good essay (McCulley, 1985).

## CONCLUSION

This study has some limitations. Firstly, this study was conducted among a specific group of Indonesian students; therefore, its findings do not represent the whole Indonesian students. Secondly, this study did not check how familiarity towards cohesive devices can affect the students in performing them in their essay. Last, another limitation of the present study is rather than giving attention to all kinds of cohesive devices proposed in the Halliday and Hasan's Taxonomy, conjunctions are the only focus in the present study.

This study reports that cohesive devices which are required to produce good academic essay writing employed by students, both male and female, in relatively limited number of variations. Unfortunately, the findings approve that after about three decades this issue has been studied by researchers, there is almost no progress made to make students have better knowledge about cohesive devices. The finding is paradox to the fact that writing good academic essay is now becoming mandatory for students in university levels as they are demanded to write academic articles, thesis, dissertations, and the like. In line with the importance of coping with the knowledge about cohesive devices, further researches need to be conducted. For further researches, the researchers make some recommendations. Firstly, the subjects of the study should be made larger so that the generalizability of the findings can be served. Secondly, a correlation between the usage or choices of cohesive devices with degree of familiarity towards cohesive devices needs to be calculated. The following research should not limit to the use of one variety of cohesive devices, namely conjunctions, since sentence ties can be developed through several other varieties of devices. Finally, to test degree

of familiarity, further researches can develop a test to provide more valid and reliable instrument to elicit the data.

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# Exploring Medical Terminology in Miyatake's Malay-Japanese Dictionary (1942)

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## ABSTRACT

On January 31, 1942, a combined Japanese force launched a two-pronged attack on the island of Ambon. Within four days, the Japanese controlled the island, city and airfield. Nellie Jansen, the Dutch resident's daughter, provided us an eye-witness account of the early days of the occupation. As a volunteer and trained nurse's assistant, her observations center on medical resources and organization, including the presence of Japanese doctors and pharmacists from the first week of the occupation. She also observed the use of Malay dictionaries by Japanese authorities; for example, she wrote of her chat with a wounded officer: "*Dat feit scheen hem erg te vermaken, want hij greep schuddend van het lachen zijn maleise woordenboekje en zei, na er in te hebben gebladerd: "***Doeloe besar, sekarang ketjil***....". This article explored what bilingual Malay-Japanese dictionaries were available to Japanese military and civilians who occupied Indonesia. The focus was on the 1942 edition of Masamichi Miyatake's *Kamoes Baroe Bahasa Indonesia-Nippon*, first published in 1938. The semantic field studied in this article was medical terminology. Some of these medical terms were selected for comparison with Malay-English dictionaries available at the time, in particular Wilkinson, Winstedt and Wilkinson. This paper is part of a project to examine and evaluate lexicographic resources developed by early twentieth century Japanese scholars and to situate that seldom-studied Japanese scholarship in the global tradition of Malay lexicography.

*Keywords:* Dictionary, Japanese, lexicography, Malay, medical, Miyatake, lexicography, terminology

## INTRODUCTION

On 31 January 1942, a combined Japanese force launched a two-pronged attack on the island of Ambon in eastern Indonesia (Military History Section Headquarters, 1953). Within four days, the Japanese had achieved total control over the island, its city and airfield. A young woman, Nellie Jansen (2004), daughter of H. J. Jansen, the Dutch resident at the time of the invasion, provided us with an eye-witness account of the early days of the occupation of Ambon. As a volunteer and trained nurse's assistant, many of her observations initially centred on medical resources and organization, including the presence of numerous Japanese doctors and pharmacists, even from the first week of the occupation. She also observed the use of Malay dictionaries by the Japanese authorities. For example, she wrote of her chat with a wounded officer in a hospital (Jansen, 2004). She had introduced herself as the daughter of the captured resident; then she noted his response:

> "*Dat feit scheen hem erg te vermaken, want hij greep schuddend van het lachen zijn maleise woordenboekje en zei, na er in te hebben gebladerd: "***Doeloe besar, sekarang ketjil***"...."*

> "That fact seemed to amuse him very much. Shaking with laughter, he grabbed his Malay pocket dictionary and, after having paged through it, he said: "*Dulu besar, sekarang kecil* "...."

When we stumbled on this account a few years ago, the initial response was: What dictionary was that? Of course, Wilkinson's (1932) Malay-English dictionary had been reprinted in a facsimile and smaller version (without the author's permission) in Tokyo in 1941 and, indeed, had been supplied to Japanese officers occupying the Malay peninsula. Was this the *woordenboekje* that the amused Japanese officer had paged through? Were there, in fact, bilingual dictionaries of Malay and Japanese in early 1942?

That story is a complicated one, but the brief essay presented here only explores one bilingual Japanese dictionary available to the Japanese military and civilians who occupied Indonesia (1942-1945).[1] This brief exploration is limited to Masamichi Miyatake's (1942) *Kamoes Baroe Bahasa Indonesia-Nippon,* first published in 1938. This lexicographic foray examines only a selected, focussed semantic field: Medical terminology.[2] Nonetheless perhaps through

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[1] This article was written as part of a larger project that examined and evaluated the work of the Japanese lexicographic scholar, Masamichi Miyatake, and other Japanese scholars of the early twentieth century. The research was partially supported by Grant SK-2016-012 from the Sumitomo Foundation under the direction of Dr Karim Harun (National University of Malaysia) with the collaboration of Dr Ueda Toru (Setsunan University, Osaka).

[2] This essay was first presented on 26 June 2016 at the meetings of the Association of Asian Studies in Asia (Kyoto 2016) in the panel, "Medicine Talks: Perceiving Society and Individuals in Japanese Occupied Singapore and Indonesia" organized by Dr Bradley

this limited examination of Malay-Japanese materials, we can answer more general questions such as:

1. To what extent and how accurately did those dictionaries provide information to the Japanese speakers about Malay (Indonesian) vocabulary, and;
2. Is Miyatake's dictionary linked to the global tradition of Malay lexicography of that era.

In this essay, a brief discussion of the research methodology and the unexpected "resistance" we encountered, embedded in the text itself, is laid out. In the second part, some aspects of the project and a few examples are presented. Then, possible future directions are considered. There are, then, three sections to this brief essay:

1. Methodology: Troubling symptoms.
2. Results: Towards a diagnosis, and;
3. Discussion: Prognosis

In the conclusion, some suggestions about further research will be set forth.

## METHODS: TROUBLING SYMPTOMS

To conduct this research the first step was to locate the Miyatake dictionaries. We had planned on focusing on the 1943 dictionary,

*Kamoes Bahasa Melajoe-Nippon jang lengkap,* that Teeuw had mentioned in his bibliography. As he wrote (Teeuw, 1961):

> … Miyatake (1941, 1943) … seems to excel all European Malay dictionaries, at any rate quantitatively, judging by the nature and number of Malay keywords.

However, in the early stages of research, we were unable to examine this 1774-page dictionary.[3] However, with B. Horton's generous help and hard work, in early 2016 we acquired a scanned copy of Miyatake (1942), *Kamoes Baroe Indonesia-Nippon*, held at the Waseda University library in Tokyo. This 1942 dictionary is a concise dictionary[4]--nonetheless of considerable length with its 334 pages. But even with the 1942 book on our screens, we encountered numerous problems that we had not even considered when we submitted our research proposal.

By focussing on medical terminology, there was no effort to devise a statistically based data file, for examples words on every tenth page and so forth. Instead, the semantics of the medical field circumscribed the data collection procedure. Similarly, with no ability to read Japanese (written in any orthography), there were other

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Horton. We express our deepest thanks to him. The following year, Dr. Karim Harun organized a subsequent seminar (28 February 2017) at the National University of Malaysia, "Kamus Masamichi Miyatake dan Perkamusan Melayu", where Collins presented a revised version of the Kyoto paper. Both of the other team members also presented papers.

[3] In June 2016 we were able to purchase a copy of the comprehensive ('lengkap') dictionary in Tokyo.

[4] This is clear in the Japanese title of the dictionary, Konsaisu Maraigo shinjiten, in which konsaisu means 'concise'; Teeuw (1961, p. 130) noted that by 1943 there had five editions of this pocket book dictionary.

obvious boundaries as well.[5] The plan for this initial foray into Miyatake (1942) was to start with the Indonesian words. Two modest approaches were implemented: text comparison and lexical comparison.

First, we read through a medical book of roughly the same era as the 1942 dictionary. In 1939, *Malaria* was published in Malay/Indonesian by Balai Poestaka the colonial government's publishing unit. Significantly, this 32-page book was not a technical book for medical practitioners, but rather a small book for the general public (*Volkslectuur*) published in the late colonial era. Moreover, we know that, during his travels in Southeast Asia and later through his contacts in the region, Miyatake collected books and other print materials from precisely this era.[6] From this 1939 book we extracted a handful of terms that were related to medicine and

illness, for example, *malaria* 'malaria'*, cel darah* 'blood cell'*, tablet* 'tablet'*, waba*[h] 'epidemic' and *zat* 'mineral , chemical element'. Then we looked for these words in Miyatake (1942).

In addition, we examined some other print materials from roughly the same era. See for example, the advertisement of the Tanabe Gohei & Company, Ltd. published in early 1943. Note, the occurrence of words such as **disenteri** 'dysentery', **kinine** 'quinine', **hormone** 'hormone', **tablet** 'tablet' and **tuberculose** 'tuberculosis' as well as **malaria** 'malaria'.

Second, based on Collins's personal experiences in Indonesia and his readings in health and medical issues, using Indonesian print and electronic sources, he drew up a list of approximately ninety additional Indonesian words within this specific semantic field (health, medicine, disease, psychological disorders). These terms were then compared to the entries in the Miyatake dictionary. Some, indeed many, of these terms derived both from this idiosyncratic list, as well as from the 1939 book, were not found in the 1942 dictionary.

After drawing up lists of medical terms, we began to seek out research assistants who could translate the Japanese language definitions in the 1942 dictionary for the Indonesian words we hoped to examine. Collins met with a Japanese M.A. student, an excellent speaker of English and a recent graduate of a well-known university in Tokyo. He asked him if he could look at a few of the definitions in those selected

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[5] The Japanese language is written with three different writing systems—often used in the same text. The kanji system is based on Chinese characters (logograms). Two other systems, hiragana and katakana ultimately derive from abbreviated forms of Chinese characters used to represent syllables and, thus, yield a syllabary for Japanese. Seeley's (2000) book describes the differences and histories of these writing systems which complement each other in contemporary Japanese texts. As Honda (1997, p. 263) explained, "knowledge of at least 2,000 Chinese characters [kanji] in addition to two 50-character alphabets [hiragana and katakana] is required for functional literacy in the Japanese language."

[6] See Goes (2015) about Miyatake's prewar visit to Java and elsewhere in Southeast Asia as well as Soedjono (1942) and Kuroiwa (2012) about his text collections.

entries. Unexpectedly, this university graduate and first-language speaker of Japanese could seldom understand the *kanji* definitions of the medical terms in the 1942 dictionary, for example the entry for *demam* 'fever'. Whereas in those sporadic entries for which a *kana* definition was available, he provided credible translations in English. This difficulty was observed with other younger Japanese speakers that we contacted. When confronting the 1942 text, seemingly few young Japanese could read many of the *kanji* definitions specifically for medical terms in Miyatake (1942). So we assumed there had been an orthography reform.

That assumption was supported by consulting Seeley (2000), especially Chapter 9 regarding reforms in modern Japanese script after 1945. But, the more we read the more we realized the complexity of the orthographic problem. On the one hand, is the history of Japanese writing systems and, on the other hand, is the history of medicine in Japan. As is well known, by 1940 Japan had achieved universal literacy (Honda, 1997), but changes in the use of the writing systems and their proportional distribution in a given text occurred frequently. Often these changes were made in specific settings. Seeley (2000) noted that after the invasion of Manchuria in 1931, "... the military ... favored a written style which featured heavy use of Sino-Japanese and difficult characters". But Kratoska (1997), writing about Japanese policies in the occupied Malay Peninsula, wrote:

"In conformance with a set of guidelines laid down by the Headquarters of the Southern Expeditionary Forces in January 1942, basic instruction given to school children included no *kanji...* and was confined to renderings of the language in the *katakana* syllabary."

Thus, details of the practice of writing Japanese may have varied in different regions and during different stages during the period of military dominance before 1945.

However, as noted above, another issue inserted itself. One must wonder specifically about the provenance of the medical terms themselves. What is the tradition of writing medical terms? The tenth century compilation of Japanese medical knowledge, **Ishinpō**, drew chiefly on Chinese medical texts; so, one assumes a significant use of perhaps archaic or at least specialist characters; see Kornicki (2001). Moreover, in the seventeenth and even more so the eighteenth centuries, another medical tradition from the west was impacting traditional Japanese medical practices. The influence of Dutch-mediated medical knowledge (*Rangaku*) perhaps reached its height in 1774 with the publication of *Kaitai shinsho* (A New Book of Anatomy), a Japanese translation of Dicten's Dutch version of a basic study of anatomy. Despite the importance of this publication, well into the nineteenth century neo-Confucian medicine remained a powerful force among Japan's practicing doctors (de Bary et al.,

1967). For that matter, the orthography of *Kaitai shinso* may need to be examined. Indeed, Kornicki (2001) noted that "… the Medical Academy … published two Song dynasty medical texts and in 1860 the Ishinpō…" Yet, these thousand-year old texts were published and distributed in the midst of the dramatic cultural and political shifts of the 1850s and 1860s (Totman, 1995).

So we, Sumitomo project members, were faced with problems we had not considered when this lexicographic research was proposed. Perhaps we should have expected opacity in medical terminology. After all, the internet is chock full of sites, blogs and references to doctors' jargon and doctors' language among speakers of English, for example. So, focussing on medical terminology should have been approached more cautiously.  However, the issue of medical jargon in Japanese is somewhat different because of the complex, composite orthography of Japanese that combines three different writing systems. Perhaps too it is complicated by a lexicographer's perspective that in a bilingual dictionary a definition should present a phrasal explanation of the meaning and then match it up with a one or two word gloss? In any case, thanks to the efforts of B. Horton and his colleagues, Takumi Nakamura, Tomoko Fujita and Shiori Yamamoto (personal communication, June 2, 2016), who produced a corpus of about 52 entries, based on a list of words we had found in the Miyatake dictionary of 1942 that apparently are connected broadly with medicine and well-being.

## RESULTS: TOWARDS A DIAGNOSIS

In this "medical examination", the symptoms present themselves: a small corpus of about 50 dictionary entries that have been partially translated despite the problems raised by sometimes obsolete *kanji* characters. Above, in the first section, we briefly described the two collection procedures and the unexpected problems involved. Here, in the second section, a procedure to begin to identify or, at least, to describe what these materials suggest about Miyatake's approach to Malay/ Indonesian lexicography is set forth. First, a simple system of classifying the 52 medical terms is laid out. Next, three medical entries in that limited corpus of Miyatake (1942) are compared with the same headwords and entries in other Malay language dictionaries.

### Classifying The "Medical"

We decided to divide the list of words words into four basic semantic categories, partly based on terms used in Balai Poestaka's (1939) book on malaria:

- − Medical staff and structures
- − Names of medicines
- − "Medical" conditions
- − Names of diseases and illnesses

Surprisingly, these categories proved uneven in terms of coverage in Miyatake (1942).

### Medical Staff and Structures

While we found **apteker** 'pharmacist', **bidan** 'midwife', **dokter** 'doctor' and **roemah sakit** 'hospital', we did not find

other words that we might expect, such as health officer, hospital admission, laboratory, nurse, ward, x-ray. Based on our limited exploration of the text, the human and physical infrastructures for medical treatment are not well covered in the dictionary. We might expect that terms, perhaps such as **djoeroerawat** 'nurse', **opname** 'hospital admission' or **ronsen/ rontgen** 'x-ray', would be found in the dictionary. However, though these words apparently were in use in Indonesia during the 1930's, they did not find their way into the Miyatake dictionary.

### Names of Medicines

Even more sparse are the names of medicines. Indeed we have not yet found any terms for names of medicines, except for the generic **obat** 'medicine' and some of its compounds, for example, **obat bidji** 'pill', **obat minoem** ('liquid medication, medicated elixir' and a few others), as well as possibly **apioem** 'opium'—if used medicinally? This contrasts with data from publications of the same period. Specific medicines were mentioned in publications of that era; for example in Illustration 3 above, we notice **kinine** 'quinine', and less specific terms, like **tablet** 'tablet',[7] but these are not included in the dictionary.

### "Medical" Conditions

The category, "Medical" conditions, however, is well-represented in the

dictionary. Within it, are many words related in a general way to health conditions and normal bodily functions. Terms, such as **penyakit** 'disease'**, sakit** 'ill'**, semboeh** 'cured'**, sehat** 'healthy' and **poelih** 'recovered' for example, are found. Similarly a few terms specifically related to childbearing are also found, such as **bersalin** 'give birth' and **datang boelan** 'menstrual cycle, menstruation'.

### Names of Diseases and Illnesses

This is another category that is represented by relatively many entries. For example, there are numerous entries for everyday tropical bacterial and fungal infections of the skin, such as **bisoel** 'boil', **koedis** 'scabies', **koerap** 'ringworm' and **panau** 'fungal infection of the skin, white spots' as well as a serious bacterial disease **koesta** 'leprosy, Hansen's disease'. Intestinal and stomach illnesses are also well represented; note the following entries: **moeal** 'nausea', **sembelit** 'constipation', **boesoeng**, 'distension of the stomach' and even **koléra** 'cholera'. Not surprisingly, that emblematic, if vague, Indonesian illness: **masoek angin** 'experience physical discomfort including fever, aches and flatulence', can be found in this dictionary! Still it is striking not to find: **diare** 'diarrhoea'**, disenteri** 'dysentery', **maag/mag** 'stomach ulcer', **malaria** 'malaria' or **sipilis** 'syphilis'—all used in popular print media in the 1930's.[8]

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[7] Obviously, the compound obat bidji in Illustration 3 shares the same semantics as tablet.

[8] Note disenteri and malaria in Illustration 3. Nonetheless, under the entri penyakit, the phrase penyakit perempoean 'venereal disease' is included.

**"Medical Examinations"**

In this section, three entries in Miyatake (1942) were examined more closely, first, by comparing them to the same entries in Wilkinson (1932), using the Tokyo photograph facsimile edition of 1941. We started with Wilkinson (1932) because, above all, it was deemed by Teeuw (1961) as the "the most reliable Malay dictionary". Moreover, this dictionary, printed in a format of reduced size on onion skin paper to be used by the occupation forces, presumably was deemed important by the Japanese as well.[9]

Of course, Miyatake's 1942 dictionary is a concise dictionary and Wilkinson (1932) is a rather encyclopedic compendium; so, we might expect these two dictionaries to differ in scope. The initial purpose of this comparative examination was not to measure the quantity of information but simply to try to ascertain the accuracy of Miyatake's entries compared to other sources in so far as we had deciphered Miyatake's definitions. Perhaps the examination would shed some light on Miyatake's lexicographic process and the place of his endeavour in the history of Malay lexicography. The three words selected for this comparison were **batoek, bengkak** and **demam**—all belonging to the Names of diseases and illnesses category above.

If we compare only the Malay/Indonesian data in these two entries (**batoek/batok**), it is remarkable that all five phrases

or compound nouns defined in Miyatake were found among the fourteen Malay phrases in Wilkinson. If Wilkinson was the source for these materials, we noted a typographical or printer's error; Miyatake's **batoek baran angin** should be **barah,** not **baran**. However, there were also some other differences. Miyatake included an affixed form **membatoek**; this verbal form followed predictable morphological rules but, in fact, this affixed form (*membatuk*) is not found in today's Malay and Indonesian dictionaries. Nonetheless, this affixed form is sometimes used in today's online blogs. Another difference was found in the definitions. There were two phrases defined as 'whooping cough', namely **batoek lelah** and **batoek sisik**, but these were distinguished between terms for adults (大人) and children (子供) diseases. This is a semantic detail not found in Wilkinson (1932). However, it is precisely this distinction that is found in Winstedt's *English-Malay dictionary* first published in 1913 and two later editions 1922 and 1939. Obviously, lexicographers rely on any available earlier sources, but in this case Miyatake may have been drawing not on Wilkinson (1932) or Winstedt (1913) but rather on Wilkinson (1901), where the distinction between the terms for adult and child pertussis is first made. Moreover, Wilkinson (1901) was the source for much of Winstedt's (1913) dictionary according to Teeuw (1961). Indeed, all of Miyatake's **batoek** phrases can be found in Wilkinson (1901).[10]

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[9] Referring to this Tokyo edition, Gullick (2001, p. 38) wrote: "…the dictionary was one of the few works reprinted by a Japanese publisher in a pirated edition."

[10] As Gullick (2001) pointed out many of the errors and shortcomings of the 1901 dictionary

In the respective entries for **bengkak** the differences between the Miyatake (1942) and Wilkinson (1932) were more striking. In these entries, there were very few similarities between Miyatake (1942) and Wilkinson (1932). None of Wilkinson's phrase examples formed with **bengkak** were included in Miyatake. According to Horton et al. (personal communication, June 2, 2016), we could translate Miyatake's terms 腫れる and 炎症, respectively as 'swell' and 'inflammation'; these match Wilkinson's 'swollen' and inflamed'. But if we examined Winstedt (1913), we found *inflammation* **bengkaknya**, *tumour* **bengkak**. These seemed to be connected to Miyatake's 炎症 and 腫物, if we recalled that tumor simply meant 'swollen part' or 'protuberance'. Miyatake's second definition, 癌 'cancer', was problematic and might have been intended as a more general meaning such as 'any disease characterized by tumours'. The only noun phrase that Miyatake offered was **bengkak paru-baru**, a term not found in Wilkinson (1901, 1932), Winstedt (1913) or, for that matter, Poerwadarminta (1952). Miyatake's definition of **bengkak paru-baru** was 肺炎 apparently 'pneumonia'. But again, in contemporary Indonesian, as demonstrated in online blogs and health-related websites (e.g. Dharmakesuma, 2012), **bengkak (pada) paru-paru** was

were corrected and improved upon by Wilkinson himself in the 1932 dictionary. The discussion below concerning demam kepialu is an example of the careful revisions Wilkinson undertook. Certainly, the 1932 dictionary marks a significant improvement over all earlier Malay dictionaries, including Wilkinson's own 1901 dictionary.

a symptom associated with many lung diseases including pneumonia and *interst*itial lung disease (ILD). We are informed both by Kuroiwa (2012) and Soedjono (1942) that Miyatake made use of an extensive collection of contemporary newspapers and journals. Perhaps he found this usage in those primary sources.

Our exploration of **batoek** and **bengkak** suggests that Miyatake's chief dictionary resource may have been Winstedt (1913). There were three editions of Winstedt available and, thus, it may have been easier to access than Wilkinson's earlier (1901) dictionary. But we also note that Miyatake apparently had other resources, whether they were Indonesian assistants who worked with him, such as Sudjono (Soebagijo, 1983), or simply the many text materials he had collected since he had first studied Malay at Tenri School of Foreign Language (Kuroiwa, 2012).

Similarly, in the entries for **demam** a comparison of Miyatake and Wilkinson was complex. First, of the twenty-one types of fever set forth in Wilkinson (1932), Miyatake included only three. However, if we examined Wilkinson (1901), there were only ten kinds of fevers listed and Miyatake's three defined types of fever were among the first four types of fever in Wilkinson 1901.

Moreover, Wilkinson's definition of the phrase **demam kĕpiyalu** 'malarial fever generally', was an erroneous definition that he then revised in his 1932 dictionary because definition **demam kepialu** refered to typhoid, not malaria. But in Miyatake's

(1942) dictionary, the matching phrase *demam* **kepialoe** was defined as マラリヤ 'malaria'. The retention of this mistaken 1901 definition suggested that, at least in the case of **demam,** Miyatake's chief resource was Wilkinson (1901). He seemed to have selected from phrases from among the first few types of **demam**, choosing perhaps the one that was the most frequently encountered and most dangerous fever, namely malaria. Again we noted that Miyatake included an affixed form, **berdemam**, that did not occur in any Malay or Indonesian dictionary of Miyatake's era, nor in today's standard dictionaries. However, today **berdemam** occured online in blogs, facebook chats and tweets, often followed by a noun (**berdemam Euro** 'suffering from Euro fever') or by a qualifying adjective (**berdemam tinggi** 'suffering from high fever'). It is interesting to note that in the oldest Malay dictionary in English, Bowrey (1701) included the phrase **berdemam sedikit** with a sentence example **Ako sooda berdemam sedekit 'I** am feverish.'

## DISCUSSION: PROGNOSIS

What conclusions can we draw from this brief discussion about the future path of Malay lexicographic research? What directions should further research about this and other Japanese-Malay dictionaries of the early 1940's take?

In Masamichi Miyatake's short life (1912-1944), he studied and wrote about many languages (Kuroiwa, 2012). But surely his work on Malay/Indonesian must stand out as his most significant contribution. In 1932, at the age of 20, he travelled to Semarang and Batavia (Goes, 2015); within four years he was already publishing essays about Malay sentence structures and dialects. In 1938 he produced a Japanese-Malay dictionary, in 1942 the concise Malay (Indonesian)-Japanese dictionary and in 1943 a comprehensive dictionary of Malay (Indonesian). (See Kuroiwa, 2012 and Teeuw, 1961).

As is often the case in the work of lexicographers, especially those working on well-documented world languages like Malay, he worked with colleagues who spoke the target language, collected contemporary print materials and, based on some of the comparisons presented here, used earlier published dictionaries—in particular the works of both Wilkinson and Winstedt. When Miyatake's entries diverge from these two chief sources, we assume he was incorporating materials that he had collected or the information and judgements of his Indonesian colleagues. Thus, it is important to see the concise dictionary we looked at briefly here as a dictionary that is part of the larger Malay lexicographic tradition. Unfortunately, much of the research conducted by Japanese scholars in the 1930's and 1940's about Austronesian languages, in general, and about Malay, in particular, has not been fully incorporated into the existing academic discourse.

The 1942 dictionary is a concise dictionary so, even at its considerable length of 334 pages, the compiler of the dictionary had to make choices about what to include and how much to say about the

materials included. On the other hand, precisely because the dictionary was short and concise, there were many in use. For example, one of his wartime correspondents in northern Sumatra wrote that: "There are many of your "*New Concise Malay Dictionary*"" in use in the region (Kuroiwa, 2012). Moreover, Miyatake's dictionary is not a wordlist or a glossary. Although there are no sentence- length illustrative examples except in the short precis of Malay morphology and syntax at the end of the book (pages 325-334), the reader will find alternative pronunciations and spellings, etymological identifications, numerous compound nouns and two-to-three- word phrases as well as morphologically complex forms (affixed words). We must always remember that Miyatake did not have an opportunity to publish revisions (like Wilkinson) or subsequent, improved editions (like Winstedt). His life was too short.

Frankly, although this essay has suggested how Miyatake set about his lexicographic task, the relevance of this dictionary and the medical terms in the broader filed of Malay lexicography probably needs to be judged by relevant scholars, especially in Southeast Asia and Japan. Perhaps this brief essay has shed some light on the lingering archaism of medical terminology in an era when Japan had already become an advanced industrial country. But then again we have already noted the existence of medical jargon, both old and new, in English-speaking medical circles, as well. Another issue of some interest is the absence of many

medical terms that we know were in use publications in Indonesia in the 1930's. Many of these terms were loanwords from Dutch. Some have speculated that Dutch words were avoided as remnants of European oppression.

Of course, we cannot completely dismiss the possible impact of the spirit of the times. Kuroiwa (2012) provided a glimpse of this perspective when he published a letter of the occupation era from Kazuo Azumi, with the Java Expeditionary Force:

> "I wanted to ask a favour of a local nurse at a hospital the other day, but I was not sure what I should call her. The use of the word *zuster* (nurse) is outdated in view of the current situation."

In the end, he chose to call her *kangofu-san*—an ersatz loanword from Japanese that was short-lived.

However, we cannot attribute omission of some Dutch loanwords as an indication of wartime militarism! Presumably like many loan words from Dutch, many medical terms borrowed from Dutch were not included in Dutch-Malay (Indonesian) dictionaries in use in the 1930's, and some even were not included in Indonesian monolingual dictionaries up until the 1990's. Often such words were considered slang or the language of the streets and excluded from the formal entries of a national dictionary.

Given the complexities and the opacity of the orthography in Miyatke's 1942 dictionary—for example, the entry for **bengkak**, our larger project sought a new

approach to studying the definitions, one that differed procedurally from the one implemented here. Preparing this brief article simply focused on a semantic subset of the dictionary and even that has proven both a challenge and an indication of what hurdles lay ahead for future research.

## CONCLUSION

When the proposal for a small project about Miyatake's Malay dictionaries was submitted to the Sumitomo Foundation, we had hoped to deepen our knowledge about the contribution of Japanese scholars to the study of the Malay language. At some Malaysian universities, courses about the history of Malay as well as Malay lexicography usually take note of the role of Japanese scholars and officials in the development of the Malay language in the twentieth century, but all too often that topic is treated only in a perfunctory manner. We had hoped that by studying, even in a limited way, Masamichi Miyatake's contributions to Malay lexicography the project would mark a starting point for deepening our understanding of the history of the Japanese role in Malay studies and also provide resources for the teaching of courses about the historical development of the Malay language and Malay dictionaries.

By studying Miyatake's concise dictionary (1942), we uncovered a perspective and a procedure rooted in the global traditions of Malay lexicography, but, at the same time, reflecting an individual scholar's unique understanding of the Malay

language.[11] We can trace the dictionary sources upon which Miyatake drew, especially Wilkinson (1901), but we also observe his personal input, especially with respect to affixed forms, and of course the inclusion of many Indonesian terms neither widely used in the former British colonies in the region at that time nor found in the standard Malay dictionaries of that era.

Dictionary compilers always consult earlier dictionaries[12]; see, for example, Svensén (2009). This is a practitioner's standard operating procedure. A good lexicographer aims to improve on earlier dictionaries by enhancing the quality of the entries and expanding their number. In a concise dictionary, the complier must make decisions about essential words and priority definitions. With the advent of computer technology and online data sources, much has changed in the practice of dictionary compiling and editing, but the empirical, data–driven basis of lexicography remains its underlying strength. By examining

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[11] Miyatake's 1942 dictionary contrasts with the much larger dictionary also attributed to him and published in 1943. The 1943 dictionary follows Wilkinson (1932) very closely and appears to be the work of a committee. Miyatake's personal input, additional affixed forms and his unique genius so obvious in the 1942 dictionary are not evident in the 1943 "lengkap" (comprehensive) dictionary.

[12] This a procedure implemented when those resources are available. Scores of minority languages in the Southeast Asia have not been documented and no dictionaries exist. This is not the case for Malay, a language studied by western scholars for 500 years.

*Konsaisu Marai-go shinjiten. Kamoes baroe Bahasa Indonesia-Nippon,* published more than seventy–five years ago, even in this cursory essay, perhaps we can appreciate both the global tradition of Malay lexicography and the methods and practices of lexicography in general, as well as the genius and dedication of Masamichi Miyatake.

## ACKNOWLEDGEMENT

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# Academic Staff Perceptions of the Need for Proofreading for UK Postgraduate Students

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## ABSTRACT

When university students in UK have difficulties with writing, their lecturers encourage them to have someone proofread it. Research on proofreading has focused mostly on how proof-readers should proofread and edit the students' writing. Much less research has been done to ascertain the extent to which lecturers and academic supervisors should encourage their students to proofread their writing professionally or otherwise. This study seeks to explore lecturers' beliefs with regards proofreading and the extent to which they encourage their students to consult professional or non-professional proof-readers for help. Data were gathered from three sources: surveys administered to 42 lecturers, interviews with 8 of the lecturers, and content analysis on lecturers' feedback on students' writing; all of which were analysed in order to find out the extent to which they ask their students to get their work proofread. The analysis of the data indicates that most academic staff did not ask their postgraduate students to get services from professional proof-readers before they submitted their work because it was unnecessary and costly. They also argued that students should proofread their work to develop proofreading skills. In contrast, academic staff who usually asked their students to refer to professional proof-readers agreed that the reason behind this was that students' written work often include grammatical and structural errors which made their ideas and arguments unclear, and consequently the student's intended meaning was lost.

*Keywords:* Academic staff, academic writing, perceptions, proofreading

## INTRODUCTION

University students, especially in the UK, tend to submit their writing to proof-readers in order to improve the quality of their work. Proofreading has been defined in various ways, depending on the context. The Institute of Professional Editors Limited (2017) identified proofreading as the final prepress stage of a three-level process, preceded by the copy-editing stage. Similarly, Rebuck (2014) explained that academic supervisors considered proofreading as the "last stage" of a piece of writing that has gone through several drafts. As can be seen, these definitions seem to indicate that proofreading is the final stage of the work that is done by a third-party and which results in changes to the text at the language level. For the purpose of the current study, Harwood et al.'s (2012) definition of proofreading is used: "… third-party interventions that entail some level of written alteration on assessed work in progress".

In a recent study, Alkhatib (2019) found that many postgraduate students in UK universities resorted to their friends or family members to help them proofread their work. Alfehaid (2017) also concluded that doctoral students sought help from proof-readers to help improve the quality of their writing. The fact that universities in UK have different guidelines regarding the appropriateness of consulting proof-readers makes it more confusing for academic staff (i.e. lecturers, supervisors, tutors etc.). While some UK universities, in the writing guidelines do not make any direct reference to the acceptability of consulting professional or other proof-readers, other universities warn their students against this action. The University of Sheffield (2019), for example, stated in its web page:

There are a large number of companies offering paid proofreading services to students. Please be aware that the University of Sheffield does not endorse any of these services and, if you use them, you do so at your own risk. All writing submitted for assessment must be your own work, so any external input into your writing carries with it a risk of plagiarism. Proofreading your own work, on the other hand, is free, carries no risk of plagiarism, and will teach you a new transferrable skill.

Similarly, students in the University of Reading (2019) "are warned that any use of third party proof-reading or editing services must not compromise the authorship of the work submitted". Conversely, other universities (e.g. University of Essex, 2005) encourage such action especially for NNSs, stating, "Students whose first language is not English may want to have Masters level projects and dissertations proofread. There are no University regulations forbidding the use of proof-readers for other types of work."

Likewise, lecturers, supervisors, and language tutors demonstrated different practices. While some of them routinely proofread their students' writing, others are very strict as to the appropriateness of any intervention (Harwood et al., 2009). However, recent research on proofreading focused mostly on proof-reader's perceptions

and practices (Harwood et al., 2009, Harwood, 2018), and how proof-readers help non-native writers in their publications (e.g. Bisaillon, 2007; Burrough-Boenisch, 2003; Lillis & Curry, 2006; Mauranen, 1997). Much attention should be directed on how lecturers, language teachers, and/or academic supervisors deal with those students and their NSs counterparts. The present study, therefore, seeks to explore these issues through the following research questions:

RQ1: To what extent do academic staff in UK universities ask their students to consult professional or other proof-readers?

RQ2: To what extent are there differences in lecturers' approach towards proofreading when dealing with NS and NNS students?

## Literature Review

Researchers (e.g. Harwood et al., 2012; Smith & Sutton, 1994) discussed the role of proof-readers, indicating that 'proofreading' involved verifying accuracy in the areas of sentence structure, grammar, punctuation, spelling and usage, and capitalization. Harwood et al. (2012) identified three types of proof-readers students resorted to for assistance with their writing text: (1) professional proof-readers, for whom proofreading is a business rather than a hobby; (2) part-time/ temporary freelancer proof-readers, for whom proofreading is short-term (e.g. graduate students who use proofreading jobs to help fund their studies); and (3) non-professional/ volunteer proof-readers (family members, and friends). For the purpose of the present study, the term

professional proof-readers refer to any private third-party intervention (i.e. whether private institutions, agencies, or freelancers). Non-professional proof-readers, on the other hand, refer to volunteers (e.g. family members and friends or colleagues).

Many reasons have been provided in previous research for reasons as to why students turn to proof-readers for assistance. Gardner and Barefoot (2017) pointed out that student writers committed both performance-based and competence-based errors and, therefore, needed to rely on consulting strategies. Harwood (2018) declared that one of the main reasons students seeked assistance from a third party was their inadequate language performance. It is advisable, therefore, that students should understand the "purpose of proofreading" and "at what stage it should occur". Harwood provided three main purposes of proofreading; to improve essay structure and argumentation, to enrich the content of essays, and to rectify errors in the language. From the viewpoint of students, turning to proof-readers for help is necessary because, most often, finding one's own mistakes is difficult. West (1983), Harris (1987), Gardner and Barefoot (2017) highlighted the fact that even experienced writers and editors had trouble detecting errors in text. It was found that students failed to detect their own errors because they "see what they meant to write rather than what they have actually written, i.e. they read their text instead of proofreading it". This implies that not only non-native students but also native students may seek

proofreading assistance. In addition, one obvious reason students (especially those of low-proficiency) justify their action in resorting to proof-readers is that they often find it difficult to address and maintain the core theme of their assigned work and therefore they go off-topic (Gardner & Barefoot, 2017). Harwood (2018) believed that since students needed to get the text "up to an acceptable standard", they conceived it justifiable to have recourse to a third party for help in order to gain a higher grade in their final work, or gain approval from their supervisors.

Academic staff (lecturers, readers, and professors), on the other hand, stated several reasons why a good number of their students were often advised to refer to a third party for proofreading. McNally and Kooyman (2017) explained that one of the reasons was that many students were "ill-prepared" and came from low-level English language backgrounds. It is also proclaimed that mediating proof-readers tend to bridge the "often unrealistic gap between the writing skills of students and expectations of faculty" and provide a "scaffolding" to help novice writers acquire the necessary composition skills (McNally & Kooyman, 2017). Harwood et al. (2009) cautioned that proofreading the work of student writers might require the advisor to "make such significant corrections" the consequence of which would be awarding "a grade that does not accurately reflect the student writer's real discussions".

For many postgraduate students, proofreading has become a mechanically-practiced pre-submission act to the extent that it is now performed without even the least of hesitation on the part of students (McNally & Kooyman, 2017). In their endeavour to put an end to their students' attempts to seek third-party assistance in their written work and encourage them to do proofreading by themselves, many Academic Language & Learning (ALL) institutions have made it clear to their students that proofreading services are not offered by them (McNally & Kooyman, 2017). They explicitly state to their students that they are "unable to provide an editing, proofreading or grammar-checking service". This "no proofreading" mandate has now become part of the rhetoric of ALL support centres and institutions (McNally & Kooyman, 2017). The University of Essex (2005) stated that "there is no obligation for any student to engage the assistance of a paid proof-reader at any stage of study." However, the University also acknowledges that such assistance is recommended by teachers. The University of Oxford (2018) encouraged students to proofread their own work and asserted that "the use of third-party proof-readers is not permitted for work where the word limit is fewer than 10,000 words". Moreover, in certain cases where the purpose of the assessment is to determine students' abilities in linguistic areas such as grammar or syntax, students are not allowed to any proofreading assistance. Similarly, the University of Warwick (2018) announced that "proofreading should initially be undertaken by students themselves, and third-party proof-readers are not expected

to actively amend existing, or create new content in draft work." Universities in UK expect that any submitted piece of writing to be students' own work. To help students develop the skills of writing, they offer training on effective writing and referencing. Students are also allowed to access further support offered to them via writing seminars, library resources, and services of specialist staff.

Many researchers attempted to investigate proof-readers' beliefs and/or experiences. Harwood et al. (2012) and Mason (2017) researched on whether informant proof-readers tried to make writers aware of how they could become better proof-readers of their own work. Turner (2011) also examined how different stakeholders, with an interest in student writing, conceptualized the practice of proofreading. It was revealed that the concerns and standpoints of the three different informant groups involved in the study were consistent: 1) the professors highlighted the need for conventionally correct well-written academic prose and conceived proofreading as "broadly supportive of the learning process"; 2) the students expressed anxieties about getting their written work right, and about communicating their ideas effectively to their intended audience; and 3) the writing specialists raised concerns that students do not learn from having their work proofread, and emphasized "differentiating and distancing their professional role from that of proofreading, which is seen as non-pedagogic". Moreover, in an interview-

based study of proof-readers' beliefs and practices, Harwood (2018) put the different proofreading interventions under four headings (copyediting, stylistic editing, structural editing, and content editing). The study showed that proofreading interventions mainly aim to correct "bibliographical information for accuracy, correcting to ensure that all references in the text appear in the bibliography, deleting irrelevant or unnecessary content, correcting to ensure the consistency of content, and enhancing the sense of confidence". This suggests that the main task of proof-readers is to correct errors in the text and its presentation.

Proofreading can be conceived as one of the three sides of a triangle, the other two sides being students and their professors (or the institution they are studying at). The three are so closely interrelated to the point that, whenever approached for study or investigation, they have to be studied all together, equally and within the context of an integrated plan. It follows that the study of one of them, would necessarily involve the study of the other two. By digging into contextually relevant literature, it can be concluded that a plethora of research has been devoted to one side of the triangle (proof-readers) at the cost of the other two. A noticeable lack of research does actually exist in relation to students and their professors (the other two sides of the triangle). Studies abound on proof-readers: how they conceptualize the practice of proofreading, what are their incentives to mediate between students and their professors, what type of proofreading

services they may afford, and when is the appropriate time for them to step in (Turner, 2011). On the other hand, questions such as why and when academic supervisors, university professors and lecturers would request their university students to have their theses and other course assignments proofread are still un-scrutinized areas of study and hence need ample effort by way of research. Therefore, the present study aims to fill this gap in the literature by answering these related questions.

## METHODS

This study was mainly qualitative using three procedures; semi-structured interviews, open-ended questionnaire and document analysis of lecturers' feedback on theses. The questionnaire was successfully administered to 42 academic staff. It was divided into two main sections. The first part consisted of demographic information about their gender, department, university, and nationality. The second part investigated if lecturers asked their students to proofread their text professionally (i.e. by giving it to an external proof-reader), and it also asked them to give reasons for their answers. The questions in the open-ended questionnaire were developed by the researcher. Then, the researcher asked two experts in the field to go through these questions and to comment on the design of the questionnaire and its appropriateness for the purpose of the study. Valuable feedback was obtained on both wording and format. Then, the questionnaire was piloted and modified as a result. The

interview questions aimed at eliciting more information from the academic staff regarding the purpose of consulting or not consulting a professional proof-reader. The interview schedule was also piloted and modified. Out of the 42 participants who responded to the questionnaire, 8 of them had follow-up interviews. Twenty five feedback sheets were collected from the academic staff interviewees. The lecturers' feedback was analysed in order to find out their actual practices, that is, if the lecturers actually ask their students' to use professional editing services.

### Data Analysis

Data from the surveys were analysed to show the number of academic staffs who asked their students to use professional proof-readers and those who did not encourage them to do so. The interview data was transcribed, and then analysed using NVivo software. The initial codes were developed by assigning a category label under each theme. The codes were given names close to the meaning they described. For example, the reasons teachers gave for not asking their students to use professional proofreading services was called [REASONS FOR NOT GETTING STUDENTS TO CONSULT A PROOFREADER]. As for the feedback analysis, I collected the feedback sheets written by the lecturers (all 8 interviewees). I looked at the sheets, trying to find evidence where these lecturers ask students to proofread their work or get it proofread by professionals.

## The Study Sample and Participants

The target population of this study comprised academic staff in UK universities. The sample was duly chosen through purposive random sampling, which 'involves taking a random sample of a small number of units from a much larger target population' (Teddlie & Yu, 2007). In total, 42 British academic staff (lecturers, readers, professors) from five different UK universities participated in this study. The participants comprised people from different gender (male and female) and they taught MA students in five different disciplines (English language, Education, Computer Science, Marketing, and Law). They all had more than 7 years of experience in the evaluation of academic writing as they all supervised post-graduate students.

## RESULTS AND DISCUSSION

This section presents and discusses the findings drawn from the survey, interviews and feedback sheets.

## The Survey Questionnaire

The analysis of the survey indicates that most lecturers (83%) did not ask their students (Native Speakers, (NS) or Non-Native Speakers (NNS) to get professional or non-professional proof-reading services. This is because, according to them, "it costs money" and "proof-reading is an essential part of the writing process - it is an essential part of the training and they should learn to do this themselves". Turner (2011) asserted that "having texts proofread meant the loss of a learning opportunity". The suggestion

is that proofreading may lead to preventing students from improving their academic writing skills. It seems that students are required to take responsibility for their own learning. Some academic staff also expressed the fear that the work could end up being somebody else's.

On the other hand, 17% of the lecturers noted that they asked their NS as well as NNS to proofread their text for several reasons. This means that proofreading is not confined to NNSs. A lecturer in the school of Law wrote, "regardless of whether a student is a native speaker, I approach proofreading on a case-by-case basis". This finding indicates that the issue of being native speaker did not play an important factor according to the lecturers. Many lecturers considered such behaviour a "discrimination against non-native students", expressing that NNS demonstrated high language proficiency and that it was very difficult to distinguish them from NS. According to the survey, the majority of academic staff agreed with the notion that the degree of proofreading intervention in student's written work normally varied depending on each students' English language abilities. One professor of Business stated, "It depends on the case. There are students that need help with their written English but there are cases where the students perform well as writers".

This clearly indicates that the requirements for proofreading are often inconsistent. That is, proofreading is not always necessary since many students need high IELTS (International English Language Testing System) scores to be accepted onto

their programmes. They are expected to be able to write sufficiently well in English. However, this is not always the case, as stated by Hennebry et al. (2012), "research evidence suggests language proficiency tests may not be good indicators of students' actual ability". Academic staff in the survey also considered proofreading as an important step before assessing their students'' written works. The following response of a History professor is an example:

> "I will correct grammar in the first 6 months but it is very time consuming. Having a proof-reader means that I can focus on the academic content of the writing, rather than the way it is written. If it is not written well it is hard to know what the student is trying to say."

The suggestion here is that academic staff as assessors expect correct and well-written academic texts, which is usually not possible given the fact that the majority of students may not be able to produce error-free texts in the early stages of their academic studies. However, some academic staff were concerned with the meaning of the text regardless of the errors in students' writing. One professor in Computer Science illustrated this:

> "I only ask them to proof read their work professionally when their meaning is at risk due to grammatical and structural problems"

This clearly again indicated that the content and subject matter of the text is more important than the language of the

text provided that this language does not obstruct meaning within the content. In line with this, Turner (2011) asserted that "it is the scientific discoveries that are important: language becomes important only in as much as these discoveries have to be communicated as clearly and correctly as possible".

## The Interviews

The interviews helped provide greater illustration to the responses provided by the lecturers in the survey questionnaire. On the issue of who needs proof-reading more, Native (NS) or Non Native Speakers (NNS), the survey results show that 83% of lecturers did not ask their students (NS) or (NNS) to get assistance from proof-readers. However, it was obvious from the interviews that language proficiency was not an issue. The problem was with composing in Academic Writing, which was a problem to Native Speakers as well.

> In the interview, one lecturer explained:

> "Non-natives can often speak and write sufficiently well that they do not require a proof reader… on the other hand, there are issues for native speaker students as well as they often do not write English to the expected standard, and their writing is often not comprehensible".

This finding does not go in line with Jenkins et al. (1993) who found that teachers at six universities spent much more time and energy evaluating NNS students' texts than NS's and that those teachers felt unhappy with this demand on time and resources. It

also disagrees with Harwood (2018) who argued that NNS were more advised by their teachers to get professional help from proof-readers than their NS peers.

Having adequate writing skills is one reason why most lecturers do not ask their students to proofread their text professionally. Forty three (43)% of the lecturers expressed the belief that the students exhibited high levels of English language competencies. One of the lecturers in the interview expressed that "being accepted on the programme shows that the students have already demonstrated high capability in English language writing". One reason for this finding might be attributed to the fact that the English language entry requirements in the universities vary between 6.5 and 7.5 score on the IELTS. This is confirmed by one of the lecturers who stated that "NNS are supposed to have adequate English language skills for academic writing in English as they have already scored 6.5 or more in the IELTS". Also, the pre-sessional EAP courses in the UK help students improve their academic language and literacy skills and prepare them to cope with the postgraduate academic requirements (Seviour, 2015).

More than half of the lecturers did not want their students to be faced with paying for the high costs for professional proofreading. Those lecturers stated that since the tuition fees the students paid were already high, they did not want to add more financial burden on them. Interestingly, students found the high cost of employing proof-readers as the most important reason

for not consulting them (Alkhatib, 2019).

Instead, many lecturers believed students should use the non-paid options such as in consulting a friend or in seeking peer feedback. As noted by one of the lecturers in the interview:

"We recommend students make the most of the English for Academic Purposes (EAP) support services, workshops and resources offered at the University. We do not encourage students to incur financial costs such as in paying money for proof reading. We advise engaging a fellow student or for them to exchange work and proof read in a reciprocal arrangement."

This finding corresponds with Turner (2011) who revealed that teachers could send their students to see their learning advisors or tutors to get some proofreading advice. This finding also indicates that lecturers also considered students' financial issues. As a result, some of them preferred to identify very early the students who had language problems and gave them possible money-saving solutions (rather than demanding that they seeked professional proof-readers):

"I always wait to see written work because assumptions about written standard based on native/non-native speaker experience are often wrong. If students seem to need such intervention I will meet them, perhaps try to partner them with a reading buddy in the group, or discuss with them options for improving the quality of their work"

As a result, some lecturers taught their students the techniques for proofreading instead of asking them to pay for an external proof-reader. One of those teachers stated that, "It is better to teach the students how to proofread instead of getting them to pay money to a proof-reader. I train them on the techniques for proofreading."

According to 49% of the lecturers, proof-readers might intervene at the levels of factual accuracy and content which was "dangerous as the work might end up being somebody else's". This finding supports Harwood et al. (2009) who warned that the advisor then, would have to "make such significant corrections" the consequence of which would be awarding a grade that did not actually reflected students' real academic achievements. Other lecturers were concerned that the students might deal with unprofessional proof-readers who might change the meaning of the text. This finding agrees with the finding of Salter-Dvorak (2019) whose student participants in UK described professional proofreading as being "dodgy". This was also agreed upon by teachers. One teacher said: "I do not ask students to commit to proofreading as I am concerned that an unknowledgeable proof-reader may wrongly change the meaning of text by mistake".

There were 18% of the lecturers who stated that they required their students, both NSs and NNSs to proofread their text. Those lecturers and professors agreed with Turner's (2011) findings which highlighted the need for consulting third-party services

(proof-readers) as it supports the learning process. The finding also supports McNally and Kooyman (2017) who stated that proof-readers provided a "scaffolding" to help the novice writer acquire the necessary composition skills. According to the present study, lecturers think that the submitted work needs to be complete in terms of the language accuracy and that both native and non-native students need to proofread their written work if they feel their writing is not meeting the academic standards required of by their respective institutions. For these lecturers, proofreading was important as it would save them time when evaluating students' work. One lecturer noted in the interview:

> "I tell them that they need to use the services of a proof-reader, and that if they know their writing has linguistic problems, they should do this. It is an opportunity for them to improve the linguistic level of their writing. The aim is to make their text comprehensible and to remove linguistic errors"

This also goes in line with the feedback given by some other lecturers. One lecturer, for example, commented on her student, and verbalized a typical response she would give her, "You must ask someone to proofread your work for you as there are too many grammatical errors for me to correct (e.g. missing words, misplaced commas and some sentences don't make sense)."

A few lecturers expressed that proofreading was "an appropriate strategy" for some students as they will try to imitate

the style of the proof-reader and eventually improve, but "it is not effective for all students". This issue might be attributed to the diversity of international students in UK universities. Such growing diversity probably suggests having differences within students' abilities and needs, and it indicates that they should take these needs into considerations. Some students may have had their undergraduate studies in countries where writing conventions differ from that in UK universities. Harwood and Petrić (2016) referred to this issue stating, "Most international students come to the UK after completing their first degree in their home or another country where the requirements and expectations may differ markedly from the UK system."

This of course complicates the issue. Students have to unlearn conventions which may be acceptable elsewhere but not in the UK.

**The Feedback Sheets**

Triangulation of data was possible from the content analysis carried out on the feedback sheets. These were the comments from supervisors to their supervisees. There was evidence of supervisors directing their students towards services offered by proof-readers. There was also evidence, as in this case that the university itself endorsed this practice and the Department had a panel of proof-readers available for students, "I suggest you get your work proofread carefully. If you think you cannot do it yourself, you may need to choose a professional proof-reader from the list

provided by the department."

Alkhatib (2019) found that some students complained that the academic department support centre was not as effective as it only guided the students towards a list of proof-readers but did not help them with regards selection. Similarly, Starfield (2016) explained how students' academic support centres provided students with only a list of freelance proof-readers students could approach. They rarely advised students regarding the specializations and quality of services of these proof readers. In another feedback sheet, a Professor of Education wrote the following comment for her student:

> "You must ask someone to proof read your work for you as there are too many grammatical errors for me to correct (e.g. missing words, misplaced commas and some sentences don't make sense)."

After two months, the revised draft revealed that the student still had language problems. The problems were mostly in grammar, organisation of ideas, and word choice. The professor wrote the following comment for the student:

> "There are still a lot of grammatical errors in your work, with missing words affecting the flow of your writing. You need to ask someone to proofread your work before it is submitted"

It appeared that the student did not take the professor's instructions seriously. This means that although academic staff insisted that their students should proofread their

work to make their text comprehensible and to remove linguistic errors, some students were not usually aware of the importance of proofreading before submitting their written work.

## CONCLUSIONS

The findings of the surveys and interviews were consistent, indicating that while some lecturers tend to ask their students to consult professional proof-readers, most lecturers stated that they never asked their students to consult professional proof-readers for several reasons: high cost of proof-reading services, the risk of content distortion, and the desire to produce students who are able to proofread their own work and to bring about awareness in them that proof-reading is the responsibility of writers. However, only a few lecturers stated that they train their students to proofread their writing and/or implement peer feedback routines among them.

It seems that proofreading whether done by students themselves or by their tutors or other parties remains a complex issue in UK higher education. The complexity of proofreading stems from the absence of clear policies and guidelines for the practice of proofreading in UK universities (Harwood et al., 2009)

The study recognizes a number of limitations common to perception studies. First, the data collected is based on lecturers and students' self-report. The demand for proofreading is a complex issue because it depends on individualized experience. It should be investigated using in-depth methods such as ethnography. Second, the feedback sheets were analysed without consulting the students about their viewpoints regarding their lecturers' guidance on proofreading. It might be that some students misunderstood what their lecturers meant when they ask them to proofread their work. Moreover, the data collected came from a mixture of different disciplines where the demands and the reasons for proofreading might vary across these disciplines (e.g. Humanities versus Science).

## ACKNOWLEDGEMENT

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# Values as Drivers of Luxury Brand Consumption for Young MAC Consumers

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## ABSTRACT

As middle and affluent class consumers continue to demonstrate an affinity for luxury brands, luxury brand owners need to understand common factors that drive these consumers to a purchase decision. This paper examines the relationship between consumer values (such as functional, symbolic, and experiential value) and affective attitudes, purchase intention and willingness to pay a premium price, especially in Indonesia. Using a survey, data was collected from 401 respondents online and analyzed using AMOS. The findings revealed that functional value had a significant positive relationship with affective attitude and purchase intention, but not with willingness to pay. Symbolic value was found to drive affective attitude, purchase intention, and willingness pay. Experiential value was confirmed only to have positive relationship with affective attitude; whereas affective attitude was revealed to be a driver to purchase intention, but not to willingness to pay.

*Keywords:* MAC consumers, luxury brands, values

## INTRODUCTION

In 2015, international analysts stated their optimistic prediction on the growth of the Indonesian luxury goods sector. In 2017, luxury goods in Indonesia had gained stronger growth, with larger consumer base in Indonesia, allowing luxury brands to continue rising consistently. In the past few years, the number of middle-class and

affluent consumers (MAC) in Indonesia has risen significantly. According to The Jakarta Post (2016) in 2014, Indonesia had about 88 million of people labeled as MACs. MACs have been an interesting segment to pursue for marketers of luxury brands. Boston Consulting Group (BCG) predicted that, in Indonesia, the segment would continue growing around by 8-9 million people each year until 2020 and would reach approximately 141 million in 2020 (Rastogi et al., 2013). The growth of the MAC population continues to occur throughout the country. From 25 locations with MAC populations exceeding 500,000 people, the number of locations is expected to reach 52 in 2020. At the same time, the consumer spending accrues 7.7% per year; thus, providing opportunities for companies that serve consumer goods, especially luxury goods.

About 50% of the population in Indonesia is made up by people below 30 years old (Guharoy & Morgan, 2010). This indicates that Indonesia population composition is made up of younger segment. What is interesting is that this age category has already established personal opinions and attitudes towards luxury brands. Most of them believe that luxury brand is a symbol of wealth and prosperity; in fact, they see luxury brands as proof of achievements, even had some numerous brands that considered as a symbol of prosperity (Chan, 2006). This younger generation consumer group has strong potential purchasing power with slightly different preferences compared to their older counterparts.

While they may spend on luxury goods and brands, it is important to note, however, that these young consumers will turn into more reasonable, conscious consumers in the future (Kowalska, 2012). The growing affluent market in Indonesia reflects that more consumers have the capacity to purchase and consume luxury goods. Age-wise, the segment has become younger - with as young as 21 years old starting to buy luxury goods. In China, for example, the major consumers of luxury products are becoming younger - the minimum age of China's luxury consumers has dropped to 25 in 2010 from 35 in 2007 (WLA Report, 2011). In Asia, 62% of online luxury goods transaction (topping brands such as Balenciaga, Fendi, and Longchamp) was made up by Indonesian consumers. This makes Indonesia one of the top priority countries in the luxury brand market due to the growing numbers of consumers who can afford the high-end goods (Chu, 2012).

Considering this recent phenomenon, there is a big opportunity for marketers to explore the behavior of these young, middle affluent consumers. Eddy and Pratignyo (2012) stated that 88% of young MAC were at the stage of exploring brands, which would lead to the use of branded products. Therefore, marketers need to understand common factors that attract young MAC to purchase luxury brands. Our study examines factors that influence the young MACs to purchase luxury brands. More specifically, we examine whether functional, symbolic, and experiential values have relationships with consumers' purchase intentions and

willingness to pay more, as well as their affective attitude toward the brand itself, especially in the case of young MACs in Indonesia.

## LITERATURE REVIEW

### Luxury Brands

The word 'luxury' originates from the Latin word 'luxus', which describes the softness or a lavish lifestyle (Brun & Castelli, 2013). The word is similar to 'luxuria', which means excessive or self-indulgent, but with a more negative connotation (Dubois et al., 2005). The shift of the negative connotation to a more positive tone occurred after the industrial revolution, more precisely at the end of the 19th century. Moreover, since then, luxuries have been interpreted as something fun that provides comfort above just the necessities of life (Brun & Castelli, 2013). Symbolization of status, personal gratification, and time to relax also emerged as other interpretations of luxury (Okonkwo, 2007).

A luxury brand is a branded product or service that consumers perceive to: 1) be high quality; 2) offer authentic value via desired benefits, whether functional or emotional; 3) have a prestigious image within the market built on qualities such as artisanship, craftsmanship, or service quality; 4) be worthy of commanding a premium price; and 5) be capable of inspiring a deep connection, or resonance, with the consumer (Ko et al., 2017). Luxury brands have three facets: the impressive-functional, impressive-emotional, and expressive consisting of many attributes

(Hudders et al., 2013). Wetlaufer (2001) stated that "a luxury brand is timeless, modern, fast-growing and highly profitable". Another important attribute of luxury brands is the prestige of being associated with those brands and the uniqueness or exclusivity (O'Cass & Frost, 2002).

**Luxury Category.** Levels of luxury brands are interpreted differently by different researchers or authors. Alleres (1990), and Silverstein and Fiske (2003) used the Social Economic Status (SES) dimension in defining the three levels of luxury. In 2008, Silverstein et al. (2008) redeveloped the division of luxury brand based on the dimension of time, dividing luxury into old and new luxury. From a production point of view, Kapferer (2004) separated luxury brands into three different categories: (1) griffe, (2) middle luxury, and (3) upper range brands. The last categorization of the luxury brands is based on prestige. D'Arpizio (2007) classified luxury brands into three different levels as well: (1) absolute luxury, (2) aspirational luxury, and (3) accessible luxury.

### Values

Values held by consumers act as drivers for the rise in the level of willingness to pay a premium (Li et al., 2013). Several views related to value grouping exist. These views include instrumental and terminal (Peter & Olson, 2010), internal and external (Amatulli & Guido, 2012; Kapferer & Bastein, 2009), as well as functional, experiential, and symbolic. The third category will help provide insights

related to any values that will be associated with the use of a luxury brand.

According to Berthon et al. (2009), the luxury brand component is divided into three parts, namely functional, experiential and symbolic. Functional dimensions include the physical attributes of the products offered by the brand, which is objective in nature. Contrary to the functional dimension is experiential dimension. This dimension is more of a subjective nature, in that it is the embodiment of the value of individual subjectivity (Choo et al., 2012), judging from how the brand is meaningful to a particular consumer. Symbolic dimension is a manifestation of how the brand is viewed by others (Choo et al., 2012); thus, making it have a social aspect in its nature. Conclusions of three dimensions of the luxury brand by Berthon et al. (2009) was the result of quoting and adapting an understanding of the 'Three Worlds' concept by Karl Popper in 1979 and the view of Keller (1993) on the benefits of a brand a brand to consumers. This study used the view of Berthon et al. (2009) with regards to the values that would trigger positive consumer attitude towards the brand, purchase intention, as well as willingness to pay more.

**Functional Value.** Keller (2001) stated functional brand value as one of the three values that affected purchase intention and that had a relationship with a brand's ability to satisfy the functional needs of consumers. This was disclosed by Chitturi et al. (2007), who defined the utilitarian/functional value as something related to the instrumental and

functional advantages compared to luxury. This is in line with Sweeney and Sountar (2001) with regards to the utility value of the brand. Consumers often emphasize aspects such as quality, skills, and performance (Atsmon et al., 2011), though some associate it with quality, skill, design, and aesthetics (Amatulli & Guido, 2011).

**Symbolic Value.** Luxury brands are identical with conspicuousness and the amount of costs incurred to acquire the brand (Hung et al., 2011). The measurement of symbolic value includes achievement of finance, sophistication, social status, and feelings of being respected, which have a relationship with the brand to become a symbol of the self-identity that plays a role in the dimension value (Wiedmann et al., 2009). This value exists as result of the purpose of using luxury brands, that is, not only for personal gratification, but also for social status (Vigneron & Johnson, 2004). A brand whose symbolic value is consistent with a consumer's self-concept provides symbolic benefits that leads to social acceptance and increases self-esteem of the user (Liang & Wen-Hung, 2004).

**Experiential Value.** Businesses not only focus on the functional value of the goods they sell, but also the experiential value, which is better known as the hedonic value (Choo et al., 2012; Schmitt & Zarantonello, 2013). Experiential value reflects an assessment of consumer experience with a certain brand that can produce an entirely different experience from another brand (Seligman et al., 2005). Aspects of experiential value

include hedonism, beauty, and experience (Choo et al., 2012; Tynan et al., 2010). These values are classified as subjective values (Choo et al., 2012; Hirschman & Holbrook, 1982; Reyneke et al., 2011), which means that every individual would feel differently toward one entity, in this case, a certain luxury brand.

## Affective Attitude

In general, people will form an attitude as their first response when they are doing something. Attitude, whether something is positive or negative, will be reflected in psychological reactions (Maio & Haddock, 2010). Kotler and Armstrong (1996) mentioned that the attitude towards a brand could be interpreted as an expression of an individual or a feeling of like or dislike towards a brand. An attitude is also based on a belief or automatic response, which is an affective reaction, that occurs unconsciously. Birgelen et al. (2003) stated that the attitude was a great encouragement expressed through such a process and results in a feeling of like or dislike.

## Purchase Intentions

Contingencies that can affect real behavior are the best measurements of where purchase intention was portrayed by past-purchase consumers (Solomon, 2013). In this regard, the purchase intention can have great influence in consuming. Purchase intention illustrates the measurement of a long-term bond with the brand through additional or repetitive purchases, which represents one of the results of consumer behavior based on a set of beliefs (Li et al., 2013). Consumers

use this as a rationale to possess a product in the future and to make repeat purchases toward it (Fandos & Flavian, 2006). Thus, the intention to purchase is significant enough to be connected in the context of brand consumption (Yoo & Lee, 2009).

## Willingness to Pay

Willingness to pay refers to the nominal amount of money consumers are willing to pay for a product, service, or other offers (Homburg et al., 2005). When the willingness to pay is higher than the price offered (Breidert, 2007), it shows an indication of a real purchase. Willingness to pay is one of the key drivers of their buying behavior because it refers to the behavior of a real purchase (Li et al., 2012). In this case, it can also be known how much the consumer appreciates the value of the luxury brands' products (Keller, 1993). Thus, we can infer that there is a relationship between the creation of value with a willingness to pay, in which positive values toward the brand would encourage consumers' willingness to pay more.

## Hypotheses

Research conducted by Li et al. (2013) revealed an association between the functional, social, and symbolic values with attitudes, intention to buy, and willingness to pay. On the other hand, Hung et al. (2011) argued that the values embraced by consumers in driving a purchase intention towards a luxury brand were functional value, experiential, and symbolic. In their study, social value associated with the influence of social views against oneself is

treated as part of a symbolic value. Then, the experiential value in this case refers to the views on the importance of the consumer experience because of its role in predicting the behavior of a real purchase (Brakus et al., 2009). In this study, consumer values used to influence affective attitude, purchase intention, and the willingness to pay are functional, experiential, and symbolic.

### Functional Value towards Willingness to Pay and Purchase Intention, and Affective Attitude

Li et al. (2008) showed a relationship between functional value of a brand and the willingness to pay. The research explained that customer satisfaction for the quality of a brand in the future would encourage the willingness to pay a higher cost depending on the brand concerned. Therefore, the following hypothesis is presented as follows:

H1. Functional values of luxury brands have a significant positive relationship with a consumer's willingness to pay premium prices.

Based on research conducted by Hung et al. (2011), Shukla (2012), and Shukla and Purani (2012), there was a relationship between the functional value and purchase intentions. They found their functional abilities of a person's value as a driving force for future repurchases. Okazaki et al. (2010), Samuelsen and Olsen (2010), and Zarantonello and Schmitt (2013) also stated the same findings in their research. The usability factor or functionality of the product will affect the attitudes, preferences, and buying intentions of consumers. The following hypothesis is presented.

H2. Functional values of luxury brands have a significant positive relationship with consumers' purchase intention.

The relationship between the functional value offered by a brand with an attitude of consumers was conducted by Li et al. (2013). They found that there was a positive influence of the brand's quality on the affective attitude. Therefore, the following hypothesis is as follows.

H3. Functional values of luxury brands have a significant positive relationship with consumers' affective attitude.

### Symbolic Value Towards Willingness to Pay, Purchase Intention, and Affective Attitude

Symbolic value holds a significant proportion of encouragement for consumers to pay a premium price (van Kempen & Wissink, 2014) and is influenced by the market of luxury goods and consumer elite. In addition, a higher willingness to pay is also a result of the role of status (O'Cass & Choy, 2008). The big picture within the scope of luxury fashion is that the status obtained from the glitz and messages from the brand is proof of success, which then positively encourages consumers to pay more compared to similar competitor products. Therefore, the following hypothesis is presented.

H4. Symbolic values of luxury brands have a significant positive relationship with consumers' willingness to pay premium prices.

The significant relationship between the symbolic value and consumer purchase intention has been examined and approved by Tsai (2005). This is in line with Zhang

and Kim (2013), who stated that, in the world of luxury fashion, the role of social encouragement and comparison as well as views of the reference group can provide a strong influence on purchase intention, especially in the world of luxury fashion (Lascu & Zinkhan, 1999).

H5. Symbolic values of luxury brands have a significant positive relationship with consumers' purchase intention.

Research by Netemeyer et al. (2004) showed a significant relationship between the application of symbolic value with a positive impact on future consumer behavior. This was also corroborated by the appearance of an affective attitude of their positive associations on consumer self-expressions that consists of images and self-presentation. Therefore, the following hypothesis is as follows:

H6. Symbolic values of luxury brands have a significant positive relationship with consumers' affective attitude.

### Experiential Value towards Willingness to Pay, Purchase Intention, and Affective Attitude

Experiential value is a consumer's consent about the definition of perfection, aesthetic, and pleasure for a service perceived by consumers (Wu & Liang, 2009). Perceived experience will enter the mind of the consumer and settle as values held as a backrest. When the real experience can be easily forgotten, experiential value will be difficult to forget (Schroeder, 2012). Moreover, Holbrook (2000) stated that the consumption experience had a major role in consumer decision making. Based on

this, it can be deduced that the experiential value has a relationship that encourages consumers to have a willingness to pay.

H7. Experiential values of luxury brands have a significant positive relationship with a consumer's willingness to pay.

Kim et al. (2012) confirmed the relationship of experiential value with attitude and found that any real evidence regarding the hedonic/experiential benefit would affect consumers' attitudes, preferences, and intention to buy (Okazaki et al., 2010; Samuelsen & Olsen; 2010; Zarantonello & Schmitt, 2013).

H8. Experiential values of luxury brands have a significant positive relationship with consumers' affective attitude.

The role of experiential value in the formation of consumers' positive attitude can lead to purchase intention (Kim et al., 2012). When experiential value meets the needs of consumers, it will have an impact on the incidence of individual enjoyment. The pleasure is important because it can be a precursor to a positive brand attitude. Therefore:

H9. Experiential values of luxury brands have a significant positive relationship with consumers' purchase intention.

### Affective Attitudes towards Purchase Intention and Willingness to Pay

Positive relationship between attitude and purchase intention was confirmed in Li et al. (2013). Further, in the researches of Bian and Forsythe (2012), and Zhan and He (2012), they also showed the importance of a positive emotional bond that gave consumers reason to encourage themselves

in the future and to repurchase from a brand.

H10. Affective attitude towards luxury brands has a significant positive relationship with consumers' purchase intention.

O'Cass and Choy (2008) stated that the result of the attitudes held by consumers and the associations of the status from a product not only form purchase intention but also willingness to pay.

H11. Affective attitude towards luxury brands has a significant positive relationship with consumers' willingness to pay premium prices.

In summary, the relationships among concepts and variables stated in the hypotheses are described by the following conceptual model in Figure 1.

**METHOD**

Our respondents were recruited mainly from Jakarta and other major cities in Indonesia. The decision to concentrate on major cities was based on the nature of the research scope that focused on the young MACs. Data was collected using an online survey to accommodate ease of collection process

from multiple major cities in Indonesia. A screening procedure was done to ensure that the recruited respondents had at least three shopping experiences of luxury brand (Choo et al., 2012). Respondents were also asked whether they had previously purchased certain products of a luxury brand (at least 1 within the past 1 year) (see Table 1).

Subjects of this study were limited to young MACs within the age bracket of 19-28 years old. This age group was chosen as representative because of the adaptation from the interpretations of young consumers, namely those within the age range of 17-28 years (Kowalska, 2012). Another reason to define the respondents to this age group was because of similarity in educational level: graduated from high school and/or in early years of college (above 19 years old). Therefore, additional screening question was added by asking their monthly household expenditures (i.e. food, utilities, communication, regular household supplies, excluding entertainment, restaurant dining, and similar categories), to ensure they were considered as young MACs (those



*Figure 1.* Research model
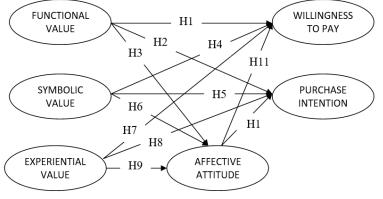
with monthly expenditures between IDR 2-7.5 million). To ensure a fit between the respondents' and middle-class to affluent consumers' characteristics, this research used judgment sampling technique, utilizing our personal networks and social circles.

This research used brands that had a variety of products, similar to Okonkwo's research (2007). This research uses aspirational luxury as the category for luxury brands. Accessible luxury was not used because prices are too affordable and there is a great ease for acquiring these products and brands. The luxury brands used in this research included Dior (Paris), Givenchy (Paris), Yves Saint Laurent (Paris), Giorgio Armani (Italia), and other brands. This is because these brands have met the requirements needed for this research, aside from having been used in other researches. The list of brands is presented in Table 1. All variables in this research were measured using 7-point Likert scale and were adapted from previous research. The variables are operationalized as described in Table 2.

## RESULTS

From 430 responses, 29 cases were excluded due to incomplete answers, resulting in only 401 subjects were used for further data analysis. Among 401 subjects, 74% were females (vs. 26% males), 93% single,

Table 1

*List of brands*

| Researched Brands |
| --- |
| 1.  Burberry |
| 2.  Chanel |
| 3.  Gucci |
| 4.  Dior |
| 5.  Givenchy |
| 6.  Yves Saint Laurent |
| 7.  Giorgio Armani |

Table 2

*Variable operationalization*

| Variable | Conceptual Definition | Item |
| --- | --- | --- |
| ***Functional Value*** (Alimen & Cerit, 2010; Choo et al., 2012) | Consumer's assessment towards a brand based on usefulness and superior quality owned by the product of the brand | 1.  The products offered by this brand are excellent<br>2.  The products of this brand are sophisticatedly made<br>3.  This luxury brand performs as expected |

Table 2 *(Continued)*

| Variable | Conceptual Definition | Item |
|---|---|---|
| ***Experiential Value*** (Choo et al., 2012) | Consumer's assessment based on what is perceived through his experience when using a products and services, where also deals with product-related attributes. | 1. The products of this brand are aesthetically superior<br>2. The products of this brand are well designed<br>3. The products of this brand are special<br>4. The products offered by this brand have strong sensory appeal<br>5. This brand competes mainly by offering a desired experience to their customers |
| ***Symbolic Value*** (Choo et al., 2012) | Consumer's assessment towards symbolic benefits which deals with social acceptance and improving self-esteem of its user (Keller, 1993). | 1. The products of this brand have strong personal meaning to me<br>2. The products of this brand help me to express myself<br>3. A main benefit of the products of this brand is the ability for customers to express their own beliefs, values, or personalities<br>4. This brand is considered by many as a symbol of success<br>5. The brand name of this brand is considered by many to be reflective of social status (\*\**reversed*)<br>6. This brand is considered as a symbol of the prestige<br>7. The products of this brand are for the selected few |
| **Affective Attitude** | Individual reaction based on the evaluation of attributes that overcome a positive or negative expression. | 1. This luxury brand makes me feel better<br>2. This luxury brand makes me feel good<br>3. This luxury brand makes me want to use it |

Table 2 *(Continued)*

| Variable | Conceptual Definition | Item |
|---|---|---|
| **Purchase Intention** (Bian & Forsythe, 2012) | Consumer's tendency to buy a brand or take action that related to the purchase (Assael, 1998) | 1. If I was going to purchase a luxury product within the next 12 months, I would consider buying this luxury brand<br>2. If I was shopping for a luxury brand within the next 12 months, the likelihood I would purchase<br>3. My willingness within the next 12 months to buy this luxury brand is high<br>4. The probability that I would buy this luxury brand within the next 12 months is high |
| **Willingness to Pay** (Netemeyer et al., 2004) | Consumer willingness to pay higher prices over a value of goods more than other similar alternatives. (Li et al., 2013) | 1. The price of this luxury brand would have to increase significantly before I would switch to competitors' brands<br>2. I am willing to pay a higher price for this luxury brand compared with substitute brands<br>3. I am willing to pay a lot more for this luxury brand than competitor brands |

and mostly were between age 19-22 (78%). All respondents have luxury goods that reflect their level of wealth; however, not all of them have a similar background. Screening questions were asked to ensure representativeness for this research. The questions included possession of luxury brands and luxury goods. Results from the data collection showed that Chanel was the favorite brand for young consumers (22%), followed by YSL and Gucci (19% and 18%, respectively). In terms of type of possessions, leather goods, such as bags, shoes, or wallets, were the top product category owned by young consumers (32%), followed by perfume and cosmetics (25%

and 19%, respectively). Pricewise, leather goods and perfumes purchased and owned by the young consumers cost around $2,000 and $250, respectively. This shows that young consumers do have an interest in purchasing and using luxury goods.

**Model Fit Analysis**

Model fit analysis was done to see if the proposed research model had established unity. Model fit was done by looking at Goodness of Fit and Badness of Fit from Absolute Fit and Incremental Fit. An acceptable level for the Goodness of Fit (GFI) index and Adjusted Goodness of Fit Index (AGFI) were set to be between 0.800-

0.900 (Ghozali, 2005). A perfect fit should be between 0-1 (Malhotra, 2010). These indexes are used to measure how well the model is. Badness of Fit is measured using Root Mean Square Error of Approximation (RMSEA), which indicates the difference in every degree of freedom. Browne and Cudeck (1993) stated standards used for RMSEA are 0.05-0.08 (*acceptable*), 0.08-0.10 (*mediocre*), and >0.10 (*poor fit*). Furthermore, the Chi-Square Statistic (CIMN/DF) is considered good if it is less than 2, 3, 4, and 5.

Table 3 exhibits that a model is a good model as all measures meet the standards. The GFI and AGFI score were above 0.800, which means that it is lenient toward perfect fit, while RMSEA was found to be 0.067 (acceptable). The Comparative Fit Index (CFI) was found to be 0.884 (considered as perfect fit). This means that the development of the model is almost 90% as compared to the null model. The CMIN/df score also indicates a good result, as the standard should be greater than 3.000.

**Hypotheses Analysis.** The SEM analysis shows that out of 11 hypotheses, seven were supported while four were rejected. The four rejected hypotheses were relationships between functional value to willingness to pay (H1); experiential value to willingness to pay (H7); experiential value to purchase intention (H8); and affective attitude to willingness to pay (H11). Table 4 and Table 5 exhibit the majority of the hypotheses that have shown their significance. Structural equation modeling (SEM) was used to test our hypotheses. Results of our SEM path analysis are depicted in Figure 2.

## DISCUSSION

We rejected our hypothesis on the relationship between functional value and willingness to pay. Apparently, young consumers are not willing to pay higher prices for a luxury brand, despite its functional value. One of the drivers that limits their willingness to pay higher prices is that their purchase decision still depends on their family (i.e., parents). There is a likelihood that the young

Table 3
*Result from model fit analysis*

| MODEL FIT | STANDARD | SKOR |
|---|---|---|
| GFI | 0.800 – 0.900 | 0.866 |
| AGFI | ≥ 0.800 | 0.833 |
| CFI | 0-1 | 0.884 |
| RMSEA | 0.05 – 0.08 → ACCEPTABLE<br>0.08 – 0.10 → MEDIOCRE<br>> 0.10 → POOR FIT | 0.067 |
| CMIN/df | ≤ 3.000 | 2.794 |

Table 4

*Result from regression weight*

|  | | Estimate | S.E. | C.R | P |
|---|---|---|---|---|---|
| Functional | **WTP** | 0.229 | 0.152 | 1.512 | 0.130 |
| Functional | →**Purchase Intention** | 0.377 | 0.109 | 3.455 | *** |
| Functional | →**Attitude** | -0.252 | 0.107 | -2.350 | 0.019 |
| Symbolic | →**WTP** | 0.796 | 0.132 | 6.048 | *** |
| Symbolic | →**Purchase Intention** | 0.418 | 0.087 | 4.832 | *** |
| Symbolic | →**Attitude** | 0.602 | 0.077 | 7.851 | *** |
| Experiential | →**Attitude** | 0.481 | 0.132 | 3.642 | *** |
| Experiential | →**WTP** | -0.297 | 0.190 | -1.564 | 0.118 |
| Experiential | →**Purchase Intention** | -0.195 | 0.133 | -1.458 | 0.145 |
| Attitude | →**WTP** | 0.126 | 0.106 | 1.195 | 0.232 |
| Attitude | →**Purchase Intention** | 0.340 | 0.074 | 4.568 | *** |

Table 5

*Result from hypothesis analysis*

| Hypothesis | | Result |
|---|---|---|
| H1 | (Functional → WTP) | REJECTED |
| H2 | (Functional → Purchase Intention) | ACCEPTED |
| H3 | (Functional →Affective Attitude) | ACCEPTED |
| H4 | (Symbolic → WTP) | ACCEPTED |
| H5 | (Symbolic →Purchase Intention) | ACCEPTED |
| H6 | (Symbolic →Affective Attitude) | ACCEPTED |
| H7 | (Experiential → WTP) | REJECTED |
| H8 | (Experiential →Purchase Intention) | REJECTED |
| H9 | (Experiential →Affective Attitude) | ACCEPTED |
| H10 | (Affective Attitude → WTP) | REJECTED |
| H11 | (Affective Attitude → Purchase Intention) | ACCEPTED |

consumers would shift to another brand when the luxury brand in consideration drastically raises prices.

Functional value was found to have a significant effect on consumers' affective attitudes toward their luxury brand spending. The knowledge of good quality, sophisticated production process, and satisfying performance from the luxury brand will lead to personal enjoyment or pleasure. Although functional value is not the main selling proposition of luxury brands, this value cannot be ignored, especially if the brand is targeting the young consumer.

Functional values also lead directly to purchase intention without having to go through certain personal feelings. The nature
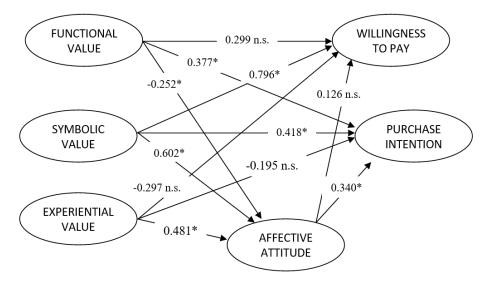
*Figure 2*. SEM results

of the functional value is objective, so that when the products of luxury brands have good functions such as excellent quality, consumers do not have to spend too much time on thinking or cognitive processing in order to feel a desire to acquire the product, even the urge to repurchase (Hung et al., 2011; Shukla & Purani, 2012).

It should be stressed that the aspirations of young consumers are very significant not only regarding material goods, but also their lifestyle. Such perspectives are able to provide a specific symbolic meaning. The symbolic value holds a significant proportion to encourage consumers to pay premium prices. In contrast to the functional value, symbolic value is a very important aspect of luxury brands due to the environmental opinion capable of influencing their purchasing decisions. Therefore, if a luxury brand can provide a personal meaning, it helps consumers to express themselves to have a high

social status in the society. Consequently, consumers would be willing to pay a higher price to have all these advantages.

Similarly, the symbolic value has a significant positive relationship with purchase intention. Consumers who possess many luxury brands will continue to satisfy their desire to make a purchase simply due to human material desires and psychological satisfaction. In addition, the prestige and desire to be viewed as someone who is prosperous in encouraging the emergence of a desire to buy luxury brands where costs need to be incurred is not insignificant. When a consumer finds a brand that is congruent with his or her self-image and is also congruent with the public's evaluation toward the brand image, this consumer would develop a sense of absolute liking with the brand.

In contrast to the two previous values that have a significant positive relationship with purchase intention, experiential value

has a significant relationship only with affective attitudes. Our hypothesis on the significant positive relationship between experiential value and purchase intention was therefore rejected. Consumers may not have an intention to purchase simply just because the product is considered by the public to be beautiful. What is considered beautiful by the public may not necessarily be so in the eyes of these young consumers, because it is the experience that they value. Similar to purchase intention, experiential value has no significant effect on consumers' willingness to pay a higher price. The main cause is simply due to financial limitations. On the contrary, experiential value has a significant positive relationship with affective attitude. This is evident from the emergence of feelings of pleasure or love of a good value attributed to beauty and enjoyment of the goods (Kim et al., 2012).

Through this study, we have confirmed that affective attitude is proven to be an evaluation toward values of the luxury brand, which gives rise to the feelings of pleasure (Li et al., 2012). This sense of pleasure shapes an attitude and behavior in the form of consumers' willingness to make luxury purchases. As we found no support for a hypothesized relationship between affective attitude and willingness to pay a higher price. Perhaps this is simply due to the age factor. Any decision about luxury brands is still influenced by many things, one of which is family, which would make young consumers consider many things in their purchase decision.

## LIMITATIONS AND FUTURE RESEARCH

There are some limitations of this research. The fact that the luxury products presented in this study were highly varied in terms of product form and price points provides the possibility that each luxury product category may be driven by certain values that are different among product categories. The same is true for the brand. We suspect that the proportion of each value offered by different brands within the same luxury product category may be different. Second, this research did not examine the possibility of affective attitude as a moderating or mediating variable. The affective attitude in this research was treated as an independent variable to purchase intention and willingness to pay for higher price. These research limitations provide further research opportunities to expand the knowledge of purchase intention in the domain of luxury brand consumption.

Limitations of this research provide several future research opportunities. First, investigating the absorption of consumer value to each product will be an interesting research venue to pursue. By knowing more specific types of consumer values absorbed in apparel, perfume, cosmetics, leather goods, and accessories products, marketers will get the benefit of designing the right strategy to reach out to young MACs. Second, further research exploring affective attitude as moderating or mediating variables in the relationship between values and purchase intention and willingness to pay is another research venue worth pursuing.

Third, with regards to the significant effects of symbolic value found in this study, it would be interesting to examine whether certain drivers, such as sales promotion, would boost sales more than price. Lastly, future research should explore and examine how influential the parents are on young consumers' decision-making process in the context of luxury brand purchase and consumption.

## ACKNOWLEDGEMENT

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# The Role of Local Community Enterprise towards Economic Recovery of Disaster-Affected Community in Indonesia

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## ABSTRACT

This research helps to understand how local entrepreneurship drives economic recovery in a post-disaster community. The Kampung Sablon Association is an entrepreneurial association working to empower small traditional clothes printing entrepreneurs which was formed in Pandes Wedi Village (the Klaten Regency) in Indonesia after an earthquake disaster. This study aimed to examine the association's effort in recovering their business and re-establishing economic conditions and analyze the enabling factors. We used a qualitative approach with data collection, namely, literature and document studies, observations, in-depth interviews, and focus group discussions. Government or NGO entrepreneurship programs were often ineffective in recovering communities' economic conditions, whereas entrepreneurial efforts made by local community often succeeded quickly due to its strong social capital which generated bonding and bridging within the community. Local entrepreneurial efforts were supported not only by strong social capital but also by the implementation of community organizing and people-centered development. This study presented that the role of community members in local entrepreneurial associations, along with the power of social capital, community organizing, and people-centered development, was effective in recovering socio-economic conditions of the community after catastrophic damage from a natural disaster.

*Keywords:* Community organizing, disaster, entrepreneurship, local institution

## INTRODUCTION

Klaten District, Central Java Province, was one of the areas affected by the 5.9 magnitude (on the Richter Scale) earthquake on May 27, 2006 in Yogyakarta. The disaster caused a death toll of more than 5,700 people in Yogyakarta and about 1,000

people in the Klaten District (Geomagz Magazine, 2016). Consequently, many houses and buildings were destroyed. Property damage was catastrophic. The collapsed buildings included 12,073 houses, 1,950 severely damaged houses, and 4,768 slightly damaged houses. Regarding government buildings, one collapsed, 22 were severely damaged and 111 were lightly damaged (Burhani, 2006).

The earthquake had a huge impacts on the community's economic conditions. One of the impacts was on the traditional clothes printing industry business in Krangkungan, Pandes Wedi Village, Klaten Regency. The damages on the capital and business assets of the traditional clothes printing entrepreneurs made them to take an initiative to establish the Kampung Sablon Association. The Kampung Sablon Association was based on the urgency of the community's social needs. The adverse conditions required them to find a place for people to come together to help each other and work together to recover the local economy and bring people's life back to normal. In Krangkungan and the Pandes Wedi Village in Klaten, the majority of people owned and worked in the small traditional clothes printing home industry. As so many homes and business structures were totally destroyed, they suffered considerable losses of capital and business resources. However, in the face of such a devastating obstacle, the small traditional clothes printing entrepreneurs did not despair after the earthquake, but rather began to re-build the traditional clothes printing business that supported

their livelihoods and homes. A total of eight traditional clothes printing entrepreneurs in Krangkungan and the Pandes Wedi Village established the Kampung Sablon Association. The entrepreneurs started to restore the traditional clothes printing business after being affected by the disaster, so that their businesses could be initially restored using the remaining resources and to encourage the members of the association to work hand-in-hand. Up to today, the Kampung Sablon Association is still running. Its members size enlarged after the severe damage caused by the disaster.

In previous studies, discussions on entrepreneurship directly established by community initiatives were few, especially in disaster-affected areas. Besar et al. (2014) discussed the efforts of the Sidoarjo government to empower the victims of the Lapindo Mudflow through a skill training program. The program aimed to ensure that they could sustain their life because many had lost their jobs as a result of the disaster. This study found that these government efforts were barely fruitful because few people used the new skills after being trained. This occured because of the top-down characteristic of this empowerment program. Programs from outside of a community usually were less capable of truly comprehending the importance of the cultural context than that from within.

Another study of economic empowerment through entrepreneurship after a disaster was conducted by Sukmaniar (2007). This study showed that in general, community empowerment through

post-tsunami programs established by government in the Lhoknga Sub-district were relatively ineffective in improving community empowerment. The main reason was the government tended not to consider the characteristics of the community. Another research by Sukmaniar (2007) showed that community empowerment in Mon Ikeun Village (a coastal village) was ineffective because the settlements had not yet recovered physically so that it caused limitations in the activities of people to manage redevelopment. In addition, in the aftermath, the community still lacked social spirits for enhancing the motivation. People needed more support to accelerate the restoration of their settlements. They also needed village leaders and organizers to foster the spirit of cooperation in the community. Another example of community empowerment from outside resources was from the Lambaro Seubun (inland villages), which also experienced ineffective restoration after a disaster (Sukmaniar, 2007). This occured because the settlement facilities had not been restored in a timely manner. Thus, as indicated in the previous studies, village organizers and the village PPK management team experienced a lack of community capability to pursue their own goals. The lack of access to information contributed to the lack of provision for the restoration of public service facilities. The local institutions needed improvement in terms of capability, as well as knowledge, information, and skills training for community members to help people to return to their normal life.

In contrast, in Meunasah Karieng (lowland village), the intervention was effective, mostly because of leadership quality of the village head and decent roles filled by the program coordinator, as well as strong social bonds and the willingness of the community to engage in the program management for sustainable development. However, community self-sufficiency in rural development needed to be improved by village allocation funds and the establishment and development of the media.

All the studies above showed how entrepreneurship programs initiated by governments were implemented in post-tsunami recovery. They were ineffective in improving the economic conditions of two communities, but quite successful in one community, mainly because of the strong social bonds there. Meanwhile, Lismana (2015) found important evidence. This study discussed various factors that affected socio-economic empowerment programs. First was the coordination factor; coordination was needed in the formulation of social economic empowerment programs after a disaster. The formulation used a top-down approach, starting from the top level; and the decisions were mainly made by the central government. Consequently, the program could not fully meet the needs of all victims of the flood in Pasir Village, except for one farmer group. The second was the socialization factor. Especifically, the lack of socializing with the community had caused the community not to understand the purpose of the program. The third problem was the

demand from the community regarding the implementation of this program; it expected that the benefits should be provided in the form of cash distributing to each head of household.

This research showed that the coordination and socialization factors of the empowerment program greatly affected community participation in the program. Programs that do not have high community participation will not be able to effectively encourage community members to join in; additionally, the lack of understanding about the purpose of the program made the community members to be money-oriented. Therefore, in this study the authors argued that although entrepreneurship programs established by governments were mostly ineffective in improving the economic conditions of a community, the grass root entrepreneurial community organizations were likely to be more successful in improving community economic conditions and self-reliance. The following research questions arise from the above observations: (1) what is the role of local entrepreneurial organizations initiated by local community members in restoring the economic conditions of the community after a disaster? (2) what are the enabling factors to improve community economic conditions after a disaster?

## MATERIALS AND METHODS

This study used a qualitative approach to describe the existing conditions. In an area suffering from catastrophic loss, what roles have local entrepreneurial organizations played to improve the local economic conditions? How have community members promoted the success of local entrepreneurial organizations and individuals in improving the local economic conditions and generally increased the self-reliance of the affected community? This research was based on literature and document studies, observations, in-depth interviews, and focus group discussions to gather comprehensive data. It was conducted mainly with the traditional clothes printing home entrepreneurs in the Kampung Sablon Association in Pandes Wedi Village, located in Klaten Regency, Central Java. It is an interesting site because it was established by the association after the 2006 earthquake solely on an initiative of the local community in Pandes Wedi Village without assistance from the government; and the association founding members were entrepreneurs badly affected by the disaster and lived with little resources or capital.

Interviewees in this study were selected using the purposive sampling technique from three designated categories: primary, key, and additional interviewees. Primary interviewees were those directly involved in the social interaction with the Kampung Sablon Association; they were members of the Association. Key interviewees were those having basic information relevant to the research objectives, such as employees in the Regional Disaster Management Agency of Klaten Regency and the Klaten District Government. Additional interviewees were people living in the village, but not members of the Association. In-depth interviews were

conducted with members of the Association, the government of Pandes Wedi Village, the Klaten District Government, Regional Disaster Management Agency of the Klaten District, and members of the Pandes Wedi Village community.

Document studies included photographs, pictures, and data about entrepreneurial activities undertaken by members of the Kampung Sablon Association. Literature review included books, journals, and academic research work, such as theses and dissertations. Photographs were taken in the study area to show the current stage of development and conditions. In accordance with the research objectives, the researcher conducted non-participant observation for instance taking a passive role by sitting-in activities related to the investigation. In-depth interviews were held to understand the meaning of themes based on group perception. In this study, focus group discussions were conducted with the villagers of the Pandes Wedi Village and members of the Kampung Sablon Association.

## RESULTS AND DISCUSSIONS

**The Role of Local Entrepreneurial Organizations Initiated by Local Community Members in Restoring the Economic Conditions of the Community after the Disaster**

**Facilitating the Adaptability of Programs to Variations in the Physical Environment and Diverse Social Services.** The Paguyuban Kampung Sablon began informal activities in August 2006 and was officially established on October 7, 2006 at a meeting of five traditional clothes printing entrepreneurs who were committed to restore their business holdings using their remaining capital and resources. Below is a quotation from an informant:

"So, right after the disaster, we immediately discussed about what we could do in the near future. Then, it sparked the idea of establishing Kampung Sablon Association. Its aim was to unite traditional clothes printing entrepreneurs here whose business capital only had little remains so that we could help each other. For example, Mr. A had a sewing machine; he would get the sewing part. Mr. B had a silk-screening tool; he would get the screening part. Later, there was a marketing section. Right after the disaster, we didn't really feel down, because we felt we had friends and helped each other" (FX, member of Kampung Sablon Association, personal communication, August 28, 2017).

Since its establishment, this association had a goal to unite small traditional clothes printing entrepreneurs who were victims of the 2006 earthquake. There was a desire to strengthen the relationship of these entrepreneurs and to promote harmony and integrity; therefore, the Kampung Sablon Association was founded, as expressed by an informant as follows:

"We did not want us to be divided. There was harmony; there was integrity. There was an icon in Krangkungan; therefore, the Kampung Sablon Association was founded. At first, only those who had the traditional clothes printing joined" (NRO, member of Kampung Sablon Association, personal communication, August 28, 2017).

An interview with WH, a member of the Kampung Sablon Association reported that the interviewees stated their needs, namely for food, water, and shelter and assessment of damages to their houses. The community members requested help from NGOs for this type of relief. They developed basic budgets for households sharing cyberspace and found that some means of entertainment were still available, such as Jogja TV, magazines, and tabloids. Many of those discussed how to recover after the earthquake disaster. Luckily, many parties helped them and their surroundings. However, most aids were aimed to fulfill their basic needs only. Therefore, they had to struggle alone to restore their business.

Kampung Sablon Association, as a local organization, clearly had helped its members, who were all disaster survivors, to cope with the changes of the physical environment caused by the big disaster in 2006. Long before its establishment, the traditional clothes printing entrepreneurs in Pandes Wedi Village had their own businesses without joining in any association. They worked for themselves.

However, since the earthquake disaster had destroyed most of their assets, they had to use the remaining assets and found the Kampung Sablon Association to restore their businesses. The Association helped the entrepreneurs to gather remaining assets and to share with each other. Furthermore, the Association also offered social services to its members and the community. The changes in the physical environment in Pandes Wedi Village, which became a destroyed area, successfully made the local entrepreneurs to create an association aimed to cope with the disaster's negative impacts and to survive from the disaster. Disasters can help promote social bonding among small traditional clothes printing entrepreneurs; thus they managed to come back given all the obstacles.

**Improving Program Efficiency through Resources Management and People Cooperation.** Kampung Sablon Association received quite a lot of orders because the members did marketing their products diligently on social media, such as YouTube and Facebook, as well as at the markets around Central Java. There was a member assigned to focus on posting the Association's activities and products on the social media. Besides, other members also promoted their products by introducing to their clients. When a member obtained an order and could not produce the products alone, he would share this order with other members. In addition, when a member had inadequate assets to produce the products, he or she could borrow from other members.

Their cooperation went well all the time. One of the Association's principles was resource sharing, which made their cooperation run very well.

However, the government assistance was almost absent. This community only received very little governmental support; and never received help from any other outside parties. Compared to other comunities' programs, this was little. They restored their businesses by themselves with the Association's help. They collected money from mutual projects and looked for financial support from Banks; they rebuilt their businesses step by step. It is described by an informant below:

> "At the beginning, we did not receive any fund or empowerment grants from either governments or NGOs. Later, we received a little assistance from the government, because we had friends working at the government office. We used it to make this base camp. But after that we never received funds from the government or any outside party. So, we really restored the business by ourselves" (WH, member of Kampung Sablon Association, personal communication, August 28, 2017).

Although not receiving aids in cash (because it was often not in accordance with the transparency principle of the community), this community was often offered empowerment programs. However, the community rejected them because the members assumed that the offers were only for the donors' reputation. The informant gave an explanation as follows:

> "Most of them were claimed as community empowerment, economic empowerment, and village empowerment programs. And I always rejected it. What do you want actually? What do you want to do, huh? If you want to empower, that's okay. For example, the Department of Industry and Commerce wants the programs to develop this village; that's okay. Once, the Department's officer came here. What did we ask actually? It was so simple. If they were the local government, it was impossible that they did not need a uniform to put an order. The amount of money would not be small. They must have known that Pandes Wedi Village was the center of shirt-printing traditional clothes printing s. The government may just give 10% or 20% of the order(s) for screen-printing to this Village without losing anything. If those people put the orders, then the empowerment continued. This was significantly meaningful for the sustainability of the community empowerment. But it never worked" (FX, member of Kampung Sablon Association, personal communication, August 28, 2017).

WH also talked about many parties which offered assistance but the offers were often incompatible with the principles of the Kampung Sablon Association; therefore, the aids was refused. One of the principles of this community was transparency. These views were acknowledged in this following interview with the former Chairman of the Kampung Sablon Association:

> "Actually, from the central government to the local, many programs were required to be transparent. That means, we receive exactly how much they offer, that's it. So, in the SBY period, actually there were one billion of funds to be disbursed to Pandes Wedi. At that time, we were told to gather 50 people. In Kampung Sablon itself, there were already nine to ten, and we could also search for additional ones. Each person would be given five million. Five million!! So, it went like this.., it's actually additional capital for business. That was an assumption, for soft loans. Later on, if you could not return it, that would be okay. I did the math: five million times 50 were 250 million. I knew the agreement stating that this fund was two billion at most and one billion at least. Then, I asked, "where was the rest of the fund? How was it managed? If there were only 250 million given to us, then please sign the paper stating only 250 million." There was not a deal. Eventually, while

the meeting was still in progress, I went home (walked out)" (FX, former Chairman of Kampung Sablon Association and member of Kampung Sablon Association, personal communication, August 28, 2017).

Kampung Sablon Association had proved itself as a successful local organization. Its members had not much support from the government or outside parties, but their business still survived with the remaining assets. They rebuilt their business by strengthening cooperation within the Association and sharing resources with other members. They even rejected aids, funds, and empowerment programs from outside parties which would only use their association to get high reputation. Strong principles had made them independent. However, this scenario could also make Kampung Sablon Association stagnant because they did not have good cooperation and coordination with outside parties, especially the government.

**Developing Participation and Cooperation in Implementing Programs involving Changes in Social, Economic, and Technology Aspects.** Kampung Sablon Association members began to return to their business by using the savings from their previous work and some additional capital from the bank because at that time they received KURs (Small Business Loan/ Kredit Usaha Rakyat) from the government during the SBY period. Besides, Kampung Sablon Association had ever accepted

any fund from the government to build their basecamp. So far the government's small assistance was provided only twice. Fortunately, after a decade the Kampung Sablon Association still exists and its members have re-established their businesses. Moreover, through their efforts, the young people of the Pandes Wedi Village are inspired to work there. They are willing to invest in the young people to make more entrepreneurs in the Village, hoping this village will be more well-known as a traditional clothes printing village. Up to today, there are two small traditional clothes printing businesses owned by young people who worked previously with one of the Association members.

Even though they did not get any capital assistance or coaching programs, Kampung Sablon Association began to expand its businesses by establishing basecamp as workshops for its members, marketing in various social media (e.g., Facebook and YouTube), as well as making connections with clients who previously used the services provided by the community members. Although it was run professionally, Kampung Sablon Association still adopted the principle of family and deliberation in carrying out its entrepreneurship. Therefore, many young people and other traditional clothes printing entrepreneurs outside this association wanted to collaborate with them. Kampung Sablon Association did not only recover its members' businesses, but also created a new work environment in the Pandes Wedi Village.

## The Enabling Factors of Local Entrepreneurial Organizations to Improve Community Economic Conditions after the Disaster

**Social Capital (Bonding and Bridging).** Empowerment and participation of local entrepreneurs to restore their economic conditions were supported by the presence of strong social capitals among the community members, including members of the Kampung Sablon Association. The Kampung Sablon Association attributed its success to not only their individual efforts but also the basic principles of social capitals that emphasized the importance of maintaining good relations and trust between its members and between fellow traditional clothes printing entrepreneurs in the Pandes Wedi Village that existed before the disaster. These were factors that supported personal initiatives to join in the business organization. This expressed an attitude of mutual help between its members and reflected a high level of trust among them.

As Putnam stated in Lawang (2004), social capitals referred to elements of social organizations, such as, trust, norms, and networks, which could improve community efficiency by facilitating coordinated actions. In disaster management context, social capitals have significant roles in providing financial support in the form of loans and property repairs, as well as providing non-financial support such as helping in search and rescue, giving shelter, child care during recovery, emotional

support, and providing information. These roles are played because there are adequate social networks and associations as the fundamental social units to respond to disasters.

In this research, there were two kinds of critical social capitals: bonding and bridging. Bonding is a kind of social capital that tends to strengthen exclusive identity and homogeneity in groups. In contrast, bridging is a kind of social capital that occurs when networks are established between groups, when social relations are formed between communities of different backgrounds such as ethnicity, age, and nationality. These relations connect people to different social circles and information, as well as knowledge sources (Lawang, 2004).

As stated in Sanyal and Jayant (2016), bonding is the most often found social capital in any disaster-affected areas. Bonding helps community members to gain security and assistance from others in their network which are seen in this study. Sanyal and Jayant (2016) stated that bonding and trust among members of the community led some members to give shelters and share their resources with others in need. This type of social support was generated by bonding in the community and its experience of living in difficulties. This type of social capital was developed well in Kampung Sablon Association as the members experienced the disaster together and obtained social support from each other. This happened to RHJ, a member of the Kampung Sablon Association. He did not have any printing tools or sewing machine, but received printed shirt orders from customers:

"I don't have sewing machine, or printing tools, but I always accept the orders. I will make printed shirts in the traditional clothes printing s of Mas Ali or Mas Kandar or Mas Narno. I first ask them, "who does not have many orders recently?" If any of them can accept a few orders, I will give away the printing job to them. Later, I will sew the shirts and go to Mas Ali. If we produce the products together with members of the Association, we can pay them later after customers have paid us. If we give orders to other traditional clothes printing s, right after they finish our job, we have to pay. That's the difficulty. Therefore, we give jobs to the members; even though I don't have much money, my orders can be shared and finished well by working together" (RHJ, a member of Kampung Sablon, personal communication, August 28, 2017).

In addition to strong bonding among the members, there was also strong bridging with other traditional clothes printings. The members of the Association often asked for help from other traditional clothes printings. They also shared information to other traditional clothes printings, which means that they did not keep information to their members only but share with other traditional clothes printing too:

"We often asked for help from other traditional clothes printings. If we

members can't handle the orders by ourselves, we give jobs to other traditional clothes printing s in order to finish it soon. Furthermore, we often share information with other traditional clothes printings. For example, we know that there are shops that offer cheaper prices. We give the information to others such as "where to buy roto," "where to buy sakura," and others" (NRO, member of Kampung Sablon Association, personal communication, August 28, 2017).

**Implementation of Community Organizing Principles and Local Independence.** Community organizing is mainly building power. The basic principle of community organizing is for the people to decide their community's problems that they expect to address, the solutions they wish to pursue, and the methods they will use to accomplish their goals. The organization identifies the people and structures required to be part of the solutions by either persuasion or confrontation, achieving the community's goals through negotiation. During the process, the organization builds a democratic community institution (Beckwith & Lopez, 1998).

As stated in the community organizing concept, the most appropriate description of the community, especially local community in managing independent development, is a genuine local institution built by local people. This means that the local institution

grows and develops naturally from within. There are several advantages of local institutions. First, it grows and develops through everyday life; thus, this institution is deeply rooted in the community. Its existence is also powerful, well established and having wide support from the community. Second, this institution has been well examined because it is established through a long learning process in responding to the natural and social environments. Third, due to its powerful presence, this institution further guarantees the sustainability of joint activities (Soetomo, 2013).

Esman and Norman as cited in Pramono (2011) described that efficiency would be achieved by utilizing the role of local institutions; through local institutions, community participation and cooperation in the implementation of programs could include social, economic and technological changes. The efficiency was evident in the practice of members of the Kampung Sablon Association and Pandes Wedi villagers. The presence of the community increased community cooperation, participation and social services. The small traditional clothes printing entrepreneurs, conducting businesses under socio-economic changes in the community, turned out to be successful, as well as the development of the Pandes Wedi Village as a whole. IND, a member of the Kampung Sablon Association, explained this:

"There are so many advantages. There are no unemployed young people here. If they don't work at other places outside Pandes

Wedi village, they can work at our traditional clothes printing s. When they are independent enough and have resources, they can build their small businesses by themselves. Before the Association was established in Pandes Wedi, there were a lot of unemployed young people here. So, there are many advantages from the establishment of the Kampung Sablon Association" (IND, member of Kampung Sablon Association, personal communication, August 28, 2017).

In addition to empowering young people in Pandes Wedi Village, Kampung Sablon Association was also involved in every event held by the villagers. NRO, one of the members, admitted that the members of Kampung Sablon Association always participated in every event held by Pandes Wedi Village such as Ied Mobarak celebration and General Election (Pemilu):

> "Yes, we are engaged in every event. For example, there was a sport event in Pandes Wedi; we joined in and gave our printed shirts to the villagers as door prizes. For another example, when villagers held the Agustusan (Independence Day celeberation), we also donated our products" (NRO, member of Kampung Sablon Association, personal communication, August 28, 2017).

From the perspective of local independence, the organization was mainly performing its specific mission, as well as media maintenance ensuring the member size. The organization served as a driver and organizer to the members to improve their independence in articulating their respective interests. In this organizational model, members of the organization felt comfortable to interact with other members. That is because the members had freedom to actualize their existence and at the same time build the organization together with other members. It means that they built their own organization (Amien, 2005). This Kampung Sablon Association performed its specific mission aimed to survive and re-empower itself after the disaster. The members were comfortable to rebuild their businesses because this association was born from their ideas and they also were interested in this association. Therefore, its members kept developing this association.

The success of the Kampung Sablon Association entrepreneurial initiative to restore local economic conditions and self-reliance of its members and the community was mainly due to the organization type and the implementation of community organizing principles (Beckwith & Lopes, 1998). The principles of community organizing included partisanship, holistic approach, empowerment, independence, sustainability, participatory, transparency, praxis, and equality. However, the most important principles employed in Kampung Sablon Association were empowerment, independence, participation,

and transparency. As a local institution, Kampung Sablon Association was an instrument of empowerment, building internal and external relations. Internally, the local institution helped the community with self-management as a means of decision-making and resources management. This can be seen from the process of cooperation and deliberation that was applied by members of the Association. When representing the community to establish relationships with various stakeholders, this can be seen from the media covering Kampung Sablon Association and the establishment of relationships with stakeholders such as the village government, district government, and local people.

However, according to Esman and Norman (1984), several things can cause local institutions not to develop, such as resistance, sub-ordination, ineffectiveness, and internal divisions. Sub-ordination and resistance were the main factors that prevented Kampung Sablon Association from developing. Therefore, there should be internal management rearrangement soon to avoid stagnacy. Kampung Sablon Association needed refreshment strategies such as co-creation. Co-creation refers to activities that emphasize the creation of sustainable organizational values. Each party should place other parties in sharing activities for value creation (Nugroho et al., 2017). However, the members had to implement and develop their businesses by enriching themselves with a lot of knowledge.

However, the business players, especially the local community members, mostly lack the knowledge about the production standard, product quality, quality management and the correct marketing strategies. They worked based on experiences only; therefore, there had no innovation and value creation in the production, management and marketing (Nugroho et al., 2017). In Kampung Sablon Association, co-creation activities consisted of the following: collaboration among its members, collaboration between the members and others small businesses, collaboration between the members and the local government, and collaboration between the members and private businesses. These collaborations to develop Pandes Wedi Village and their businesses did not run perfectly. Therefore, Kampung Sablon Association as a local institution should be promoted by through trainings on group dynamics, institutional process, cooperation, strategic management, entrepreneurship and marketing.

**People-Oriented Development (Social Development).** Midgley (1995) defined social development as "A process of planned social change designed to promote the well-being of the population as a whole in conjunction with a dynamic process of economic development." Based on three social development strategies stated by Midgley (1995), social development strategies in Pandes Wedi village were individual and social development conducted by the community. These were obviously

entrepreneurial activities undertaken by the disaster-affected community incorporated with the Kampung Sablon Association. Therefore, it can be concluded that there are two social development strategies implemented, namely social development through individuals (because each member of the Kampung Sablon Association is a traditional clothes printing entrepreneur) and social development through the community (the entrepreneurs empower the community of Pandes Wedi Village like young people, to join their businesses and teach them how to produce and market the traditional clothes printing products, creating jobs for the unemployed villagers). In this research, social development, including both social and economic development, was mainly represented by people oriented development. The economic development was conducted in a parallel way with social development; they both emphasized people oriented development.

From the perspective of social development, this Kampung Sablon Association was true evidence of successful people oriented development which sought to raise public awareness to challenge their management through bottom-up approaches. Similarly, the organization was considered most effective when it fulfilled concrete needs of the community, such as, needs related to health, employment and basic services (Ife & Tesoriero, 2006). Note that the organization can also fulfill the strategic needs of the community in a particular socio-political context. Furthermore, the organization set up the strategies to develop

the community based on local conditions, wisdom, and social capital. Finally, it helped people to live better by providing social services to meet their social needs. As explained by WYD, a member of Kampung Sablon Association:

> "There is a printing course here held by our association. This creates job opportunities. It is also an empowerment program for our community. We want to the restoration ability" (WYD, member of Kampung Sablon Association, personal communication, October 4, 2017).

The people oriented development through local entrepreneurial organizations could improve the social resilience of Pandes Wedi community as well. Social resilience of a community is a capability within the community to deal with risks due to threats of social, economic, and political changes (Bahransyaf & Bambang, 2005). Based on the analysis, it can be seen that Pandes Wedi Village had quite adequate social resilience because the entrepreneurial organization was directly built by the local people. The Head of Rehabilitation and Reconstruction Division of BPBD, Klaten also agreed with this statement:

> "Yes, empowering the economy is important, isn't it? It is better not to expect assistance from others; it is more important to learn to survive from the disaster. Don't wait for help from others. When will we start to

rise if we wait for others' help? We have to establish social resilience by ourselves. I would suggest the example of the Kampung Sablon Association. Finally they now stand independently based on their own ability. Although their capital is limited, their orders always follow" (SG, Head of Rehabilitation and Reconstruction Division of BPBD Klaten, personal communication, October 4, 2017)

## CONCLUSIONS

Kampung Sablon Association showed that a local organization initiated by the local community members were strong and independent to recover after disasters. The members strengthened themselves by using remaining capitals, helping each other, sharing resources, and promoting their businesses. Up to today, they run professionally and nurture young entrepreneurs in Pandes Wedi Village. This conclusion complied with the argument that grassroot entrepreneurial community organizations are likely to be more successful in improving a community's economic conditions and self-reliance given successful implementation of community organizing principles. To conclude all discussions above, the conclusions are divided based on the research questions:

1. **The role of local entrepreneurial organizations initiated by local community members in restoring the economic conditions of the community after a disaster**

Based on the results, it can be concluded that a local entrepreneurial institution can drive business initiatives to restore economic stability of a disaster-affected community. Social capital plays an important role, as well as principles of kinship and cooperation. Kampung Sablon Association, as a local institution, facilitated the adaptability of programs to physical environment changes, especially after the disaster. This local institution developed participation and cooperation in program implementation, which brought in social, economic and technological changes. Furthermore, this local institution helped to improve the program efficiency through resources allocation and cooperation activities.

2. **The enabling factors of local entrepreneurial organizations to improve a community's economic conditions after a disaster**

The factors that enabled the success of entrepreneurial endeavors to restore economic conditions and community self-reliance included social capital, implementation of community organizing principles and local independence, and people oriented development. Furthermore, the effect of strong social capital (bonding and bridging) within communities helped to strengthen the local entrepreneurial institution.

In the end, the dynamic process of development in Pandes Wedi Village stimulated social development which helped them gain welfare after the disaster.

Finally, local institutions initiated by local communities can develop the community, empower disaster-affected people and strengthen the community bonding. Importantly, future research should use quantitative data before and after a disaster, so that the comparison of a community's welfare level before and after the disaster would be apparent.

## ACKNOWLEDGEMENTS

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# Nutritional Menu of Eatery Make Consumer Able to Select Healthy Food

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## ABSTRACT

The present study has investigated consumers' intention towards the selection of healthy food with nutritional information menu. Traffic lights symbols and health claims were used to inform consumer regarding nutritional information. With these two variables consumer attitude was taken as mediator to develop relation with consumer intention for healthy food selection. Big five personality traits were involved because likes and dislikes of food most often reflect individual's personality characteristics. The sample size was 948. For analysis structural equation modeling was used. Result revealed that health claims better impact on the respondent to consult nutritional menu at the time of placing an order in restaurants. Whereas traffic lights symbols though have a positive and significant effect but less than the influence of health claims. There were only two personality traits which were moderated, conscientiousness and agreeableness. The outcome of the study indicated that full-service restaurants should focus on designing precise, effective and informative nutritional menu for nutritional awareness of consumers.

*Keywords:* Attitude towards nutritional menu, health claims, personality traits and intention, traffic lights label

## INTRODUCTION

The restaurant nutrition labeling has globally received extensive legislative, industry and media attention (Roseman et al., 2013). In contrary to that there is a lack of proper enactment of Act in Pakistan for nutritional awareness of consumers (Saleem et al., 2013). Moreover, in Pakistan, while purchasing packaged food items a consumer ignores consulting nutritional

information except for expiry date, price and manufacturing date (Qasmi et al., 2014). The unhealthy diet in Pakistan is increasing the chronic diseases such as hypertension, cardiovascular issues and cancer (Bhanji et al., 2011). The statistics of one province of Pakistan disclosed that due to avoidance of nutritional food consumption the registered complaints pertaining to chronic diseases have increased (Fazal et al., 2013). Individuals' behavior towards imbalance food consumption should modify with informed food purchase decisions (Ludwig, 2011). Aforementioned studies suggested that there was a need to develop various symbols for the demonstration of technical food label information (Swahn et al., 2012) which could be easily interpreted by consumers at the time of healthy food selection. Past literature witnessed that researchers also examined the effect of regional and geographical food labels on consumers' purchase decisions (Chryssochoidis et al., 2007; Fotopoulos et al., 2009; Lockie et al., 2002).

The objective of nutrition labeling menu is to guide consumers in making healthier dining decisions in restaurants (Auchincloss et al., 2013). Studies have witnessed that New York City Board of Health has implemented the regulations mandating that restaurants include the information pertaining to calories in their menus (Farley et al., 2009). Aforementioned studies had indicated that a widespread support was observed towards the nutritional labeling on restaurant menus (Swartz et al., 2011). Moreover, mixed or uncertain results for the efficacy of nutritional labeling menu

for full-service restaurants have also been reported in past studies (Dumanovsky et al., 2011; Elbel et al., 2009). Previous studies suggest that sometimes consumers overstate their use of information printed on restaurant nutritional menu (Grunert & Wills, 2007) whereas some consumer behavior studies reported that no difference was observed before and after implementing the nutrition labeling menu (Elbel et al., 2011; Finkelstein et al., 2011). On the other hand, a few studies witnessed the reduction of calories between pre- and post-treatment phases (Chu et al., 2009; Harnack et al., 2008; Vadiveloo et al., 2011). Worldwide huge consumption of unhealthy food outside the home is encumbering diet-related diseases cost which is around $ 1.4 Trillion.

Previous studies suggested some factors which positively affected consumers' food choices in restaurants such as nutritional knowledge (Dickson-Spillmann & Siegrist, 2011), availability of healthful food menu (Longacre et al., 2012), prices of healthful menu items (Wall et al., 2006) and eating habits of consumers (de Bruijna, 2013). Moreover, food eaten outside the home is linked to higher calories and fat intake as well as excess weight gain (Ludwig, 2011; Nguyen & Powell, 2014; Pereira et al., 2005). Likewise, the food served in a restaurant setting the primary challenge is that consumer is not well aware of the nutritional quality of menu items (Block & Roberto, 2014; Scourboutakos, & L'Abbe, 2012) because even for similar items nutritional quality varies across different establishment. There is no standard pattern for the presentation of nutritional

information on restaurant's menu except to make amendments in existing food menus. Numerous researchers have supported that food label is an essential component to display relevant information for the convenience of consumers (Kobayashi & Benassi, 2015; Labbe et al., 2013; Spence, 2016) and a cradle of promoting healthy food selection (Werle et al., 2013). Hartmann et al. (2008) had indicated that the correctness and truthfulness of health claims directed the economic benefits because it increased the purchasing efficiency of individual consumers. An extensive study conducted in four European countries implied that traffic lights symbols were very effective for healthy food choices (Feunekes et al., 2008).

Sutin et al. (2015) had reported that the role of personality traits was very powerful in designing individuals' dietary habit either increasing poor dietary intake or increasing quality of diet. Gohary and Heidarzadeh (2014) had noted that human personality played a vital role in his/her decision-making. Kakizaki et al. (2008) had indicated that extraversion personality trait was associated with overweight; however, neuroticism had positive significant relation with underweight. Furthermore, researchers have established the positive and significant relation between personality traits and healthy behaviors (Brummett et al., 2008; Rhodes, 2006; Terracciano & Costa, 2004; Yasunaga & Yaguchi, 2014).

The objective of the current study was to investigate the direct and indirect effect of traffic lights symbols and health claims on consumers' intention towards

nutritional food selection in a restaurant setting. In the indirect effect attitude towards restaurant menu was the mediator. Ajzen (1991) demonstrated in the theory of planned behavior that attitude was a significant predictor of behavioral intention. Owing to the association of individuals' liking and disliking in food selection big five personality traits were involved as a moderator. Furthermore, it was also suggested by some studies to involve self-concept for the investigation of individuals' healthy behavior (Jun et al., 2014) therefore personality traits were taken in replace of self-concept in the current study. Personality traits have helped researchers to identify the effect of each personality traits on intention to consume nutritional food selection in full-service restaurants.

## METHODS

### Respondents and Sample Size

There is no full-service restaurant in Pakistan that is following the nutritional label menu. It was difficult to motivate any commercial restaurant to permit researchers for the accomplishment of the intended task. Therefore, researchers had selected a cafeteria of Mayo Hospital which is located in Punjab province. This is the biggest government hospital of Pakistan which deals with patients from all corner of Pakistan. The sample of Mayo Hospital cafeteria covers maximum population of Pakistan and results can be generalized. A convenience sampling technique was used for data collection. In addition to, the sample of the study was 384 which were selected by using

Uma Sekaran table method. Furthermore, Mayo Hospital was a government hospital therefore a formal permission was taken from the hospital management for data collection. While taking permission it was also mentioned that authors would make amendments in their menu. After permission, nutritional information was added to the existing menu for the convenience of the customers. No specific font size or color was used for nutritional information on the regular menu. A similar method was adopted in the past studies because it was considered that specific font size or color make things prominent which led towards over or underutilization of menu information (Roseman et al., 2013). For the validation of both menus, 30 random respondents were selected out of main respondents. Few amendments were made before the final distribution of menu and questionnaire.

## Piloting of Questionnaires

For content validity purposes, piloting a study is very important; a pilot study is a small-scale trial that determines the degree of clarity of survey and interview questions (Borg & Gall 1979; Neuman, 1997). Various researchers have suggested different criteria for a pilot study, including having a 'small set of respondents' (Neuman, 1997) and more specifically 20 respondents (Monette et al., 2002). Therefore, the researchers of the present study selected 10 medical doctors and 10 hospital administration staff for pilot purposes. After the analysis of the pilot study results, a questionnaire was formally distributed.

## Instruments and Data Collection

Cross-sectional data were collected with adapted questionnaires. All the questionnaires were self-administered for the convenience of respondents. To measure each construct aforementioned studies' scale was used such as six items on five point Likert scale for traffic lights symbols (Sonnenberg et al., 2013), seven items on five point Likert scale for health claims (Cavaliere et al., 2015), eight items on five point Likert scale for attitude towards restaurant nutritional men (Van der Merwe et al., 2014), thirty-five items on five point Likert scale for five personality traits (Goldberg et al., 1992).

## Data Analysis

Frequencies were calculated for demographics explanation and to assess the measurement reliability Cronbach alpha was conducted. A two steps approach was suggested to explore the research hypotheses (Anderson & Gerbing, 1988). First, to ensure the validity of the measurement model confirmatory factor analysis was used. Second, to examine the hypothesized relationship among variables structural equation modeling analysis was used. For these two steps, AMOS 21 was used.

## THEORETICAL FRAMEWORK

Figure 1 presents the graphical relationship among all the variables taken in the intended study. There was a total of nine variables with the status of independent, mediator, moderator and as a dependent variable.
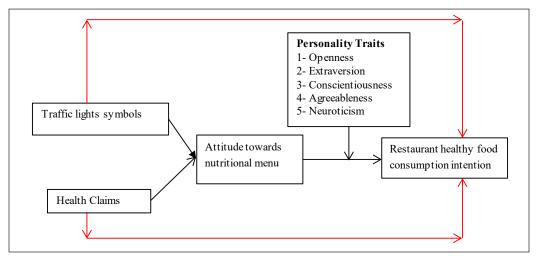
*Figure 1.* Nutritional food selection in full-service restaurant

## HYPOTHESIS

H1 : Traffic lights symbols have a positive effect in making consumer's attitude towards nutritional menu

H2 : Health claims have a positive effect in making consumer's attitude towards nutritional menu

H3 : The attitude towards nutritional menu has a positive effect on consumer's intention towards restaurant healthy food selection

H4 : Traffic lights symbols have a positive effect on consumer's intention towards the restaurant healthy food selection

H5 : Health claims have a positive effect on consumer's intention towards restaurant healthy food selection

H6a : The attitude towards nutritional menu mediates in establishing a relationship between traffic lights symbols and consumer's intention towards restaurant healthy food selection

H6b : The attitude towards nutritional menu mediates in establishing a relationship of between health claims and consumer's intention towards restaurant healthy food selection

H7a : Openness to experience moderate between the attitude towards nutritional menu and consumer's intention towards restaurant healthy food selection

H7b : Extraversion moderate between the attitude towards nutritional menu and consumer's intention towards restaurant healthy food selection

H7c : Conscientiousness moderate between the attitude towards nutritional menu and consumer's intention towards restaurant healthy food selection

H7d : Agreeableness moderate between the attitude towards nutritional menu and consumer's intention towards restaurant healthy food selection

H7e : Neuroticism moderate between the attitude towards nutritional menu and consumer's intention towards restaurant healthy food selection

## RESULTS

### Sample Profile

A total of 948 questionnaires was distributed to achieve the required sample size. Authors received 889 questionnaires, out of which 256 questionnaires were excluded being incomplete and incorrect while the remaining 692 were used for analysis. The response rate was 72%. It was observed in past study that paper-based questionnaire response rate was almost 75% (Dommeyer et al., 2002). Therefore, authors collected data with paper base questionnaire. No extensive demographical data was required for present study, therefore, basic data pertaining to gender, age and income were collected. The age bracket of participants was 24 to 52 and income was between Rupees 45000/- to Rupees 100000/-   Moreover, the females' participation were 47% (325) and that of males were 53% (367). The average age of male was 31 and female was 29.

### Measurement Model

A preliminary test was conducted to detect the outlier. For outlier detection, Mahalanobies (Hair et al., 2006) test was used. Mahalanobies test has identified 156 outliers. These outliers were deleted and the data of 536 respondents were used for measurement and structural model.

Confirmatory factor analysis was utilized for the identification of items not representing the constructs. The standardized regression weighted values ranged from 0.023 to 0.923 was suggested as cutoff minimum and maximum values. The items having factor loading less than 0.60 were deleted (Hair et al., 2006). The measurement properties are shown in Table 1. The inter-item reliability and composite reliability indicated that data is at an acceptable level. The cutoff value for reliability is 0.70 (Hair et al., 2006) which suggests that for measuring each construct the items are reliable. The convergent and discriminant validity was used to estimate whether the measurement items are appropriately representing the latent construct (Hair et al., 2006). Standardized factor loading and average variance extracted was conducted for the evaluation of convergent validity. The factor loading results were satisfactory at 0.01 level (Anderson & Gerbing, 1988) and average variance extracted values have met the cutoff value which is 0.50 (Hair et la., 2009). According to the rule of thumb to evaluate the discriminant validity of a construct the AVE value should be higher than the squared correlation between each pair of the construct (Fornell & Larcker, 1981). The data of the current study fulfills the discriminant validity requirement. The results of convergent validity and discriminant validity demonstrated acceptable construct validity. The overall model fit was acceptable.

Table 1

*Cronbach alpha, composite reliability, average variance extracted and discriminant validity*

| Variables | Cronbach Alpha | Composite Reliability | AVE | TLS | HC | ICHRF | ATNM | EXT | AGB | CONS | NET | OTE |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| TLS | 0.77 | 0.765 | 0.521 | **0.721** | | | | | | | | |
| HC | 0.81 | 0.755 | 0.510 | 0.184 | **0.714** | | | | | | | |
| ICHRF | 0.88 | 0.813 | 0.525 | 0.125 | 0.348 | **0.724** | | | | | | |
| ATNM | 0.83 | 0.831 | 0.621 | 0.263 | 0.552 | 0.346 | **0.788** | | | | | |
| EXT | 0.72 | 0.766 | 0.525 | 0.172 | 0.230 | 0.328 | 0.553 | **0.724** | | | | |
| AGB | 0.75 | 0.763 | 0.518 | 0.296 | 0.180 | 0.279 | 0.623 | 0.702 | **0.719** | | | |
| CONS | 0.76 | 0.744 | 0.592 | 0.654 | 0.211 | 0.243 | 0.505 | 0.518 | 0.609 | **0.769** | | |
| NET | 0.71 | 0.818 | 0.600 | 0.534 | 0.169 | 0.436 | 0.271 | 0.204 | 0.232 | 0.236 | **0.774** | |
| OTE | 0.84 | 0.714 | 0.556 | 0.699 | 0.440 | 0.503 | 0.206 | 0.174 | 0.176 | 0.192 | 0.713 | **0.745** |

*Note*: Traffic lights symbols (TLS), Health Claim (HL), Intention to consumer healthy restaurant food (ICHRF), attitude towards nutritional menu (ATNM), Extraversion (EXT), Agreeableness (AGB), Conscientiousness (CONS), Neuroticism (NET), openness to experience (OTE)

## Structural Model

To explore the relationship among constructs and to assure the validity of proposed hypotheses structural equation modeling was conducted. The results of structural equation modeling validated the proposed model; $\chi^2 = 30.55$ (df = 29), RFI = 0.942, NFI = 0.958, TLI = 0.995, CFI = 0.997 and RMSEA = 0.012. The standard path model was used to check the relationship between the constructs. The empirical test of SEM showed that the impact of traffic lights symbols on attitude towards nutritional menu is significant but weak ($\beta = 0.12$, p = 0.009) whereas the influence of health claims on attitude towards nutritional menu is significant and strong ($\beta = 0.34$, p = 0.001). In a direct relationship, the impact of traffic lights symbols and health claims on restaurants' healthy food intention were insignificant. The result indicated that traffic lights symbols were less effective towards the consultation of restaurant's nutritional menu for the selection of healthy food whereas health claims positively, strongly and significantly effect on developing consumers' attitude to reading the nutritional menu and leads towards the selection of healthy food in a restaurant. In an indirect relationship full mediation was found with the attitude towards nutritional menu by both constructs. The results of the moderating effect of personality traits indicated that two personality traits positively and significantly effect on restaurants healthy food selection intention, conscientiousness, and agreeableness. Rest of the three personality traits were insignificant in their moderating effect. Table 2 shows the direct, indirect and moderation results.

Table 2
*Hypotheses standardized results (direct, mediation, and moderation)*

| Endo | | Exogenous | Estimate | S.E. | C.R. | P | Status |
|---|---|---|---|---|---|---|---|
| Attitude | <--- | HC | 0.338 | 0.057 | 5.883 | 0.001 | Significant |
| Attitude | <--- | TLS | 0.121 | 0.047 | 2.600 | 0.009 | Significant |
| Intention | <--- | ATFL | 0.58 | 0.113 | 5.117 | 0.002 | Significant |
| Intention | <--- | TLS | 0.136 | 0.076 | 1.788 | 0.074 | Insignificant |
| Intention | <--- | HC | 0.156 | 0.096 | 1.621 | 0.105 | Insignificant |
| **Endo** | **Mediator** | **Exogenous** | **Estimate** | **S.E.** | **C.R.** | **P** | **Status** |
| Intention | Attitude | HC | 0.131 | 0.046 | 2.822 | 0.005 | Full Mediation |
| Intention | Attitude | TLS | 0.347 | 0.057 | 6.065 | *** | Full Mediation |
| **Endo** | **Moderator** | **Predictor** | **Estimate** | **S.E.** | **C.R.** | **P** | **Status** |
| Inti | <--- | Attitude | 0.397 | 0.152 | 3.586 | *** | Significant |
| Inti | Extraversion | Attitude | 0.045 | 0.019 | 0.399 | 0.69 | No Moderation |
| Inti | Agreeableness | Attitude | 0.104 | 0.014 | 1.982 | 0.048 | Moderation |
| Inti | Conscientiousness | Attitude | 0.137 | 0.015 | 2.406 | 0.016 | Moderation |
| Inti | Neuroticism | Attitude | 0.003 | 0.015 | 0.052 | 0.959 | No Moderation |
| Inti | Openness | Attitude | 0.084 | 0.017 | 1.379 | 0.168 | No Moderation |

## DISCUSSION

The results unveiled that traffic lights symbols and health claims positively and significantly affected consumers' attitude towards nutritional menu of restaurants. The presentation of nutritional information such as saturated fat, fat, fiber, sodium and salt with traffic lights symbols and health claims made it easy to identify the nutritional level of food items available at the hospital cafeteria. Past studies examined the efficacy of traffic lights symbols (TLS) to display nutritional information at a packaged food label and found effective. Aforementioned studies indicated that the effectiveness of TLS method was accepted in several countries and observed that sign post colors such as traffic lights symbols at food labels were very effective in understanding nutritional information (Olstad et al., 2015). Studies witnessed that introduction of calories at restaurants menu using traffic lights system increased the noticing and use of nutritional information (Hammond et al., 2015). The interpretation of red, yellow and green colors in traffic control system bring similar effects when red color presents the high (saturated fat, fat, sodium and salt), yellow presents medium level of nutrients in food items and green represents the low (saturated fat, fat, sodium and salt) food items. The analysis of the present study demonstrated that the display of nutritional information with traffic lights symbols (TLS) did influence Pakistani consumers' intention towards the selection of healthy food at full-service hospital cafeteria. The empirical results of the current study explained that

although traffic lights symbols significantly influenced the consumer's attitude to consult nutritional menu before placing an order in the hospital cafeteria the effect was very weak. The reason was the familiarity, understanding, and association of traffic lights colors for nutritional information on the nutritional menu. Likewise, the weak effect is better than no effect because the further investigation of traffic lights symbols' efficacy in proper full service restaurants can better explain individuals' opinion towards the usefulness of this method for the representation of nutritional information at traditional restaurants' menu.

The decisiveness of health claim for the presentation of nutritional information at the hospital cafeteria menu was more than traffic lights symbols. The reason behind the strong effect of health claim was that the information about nutrients was clearer because of the proper words used like "low fat food", "high saturated fat food", "low/high/medium fiber food" and "low/high/medium salt/sodium food". The health claims format for the display of nutritional information was also rendered from packaged food labeling. Studies have witnessed that nutritional benefits statements have the ability to convert credence of individuals into search attributes to read food labels for healthy food choices (Muth et al., 2013). Health claims are beneficial for all kind of nutrients such as fat, saturated fat, salt and sodium (Kim et al., 2000). Similar results are found in the present study. But the current study added in existing literature that health claims had capacity and strength to

utilize in displaying nutritional information at restaurants' menu for the selection of healthy food at full-service restaurants.

Furthermore, it has also been observed that authors involved "Health Check" technique to investigate the consumers' opinions about the restaurants, that used nutritional menu and those that didn't (Moschis et al., 2003). But it was found that very few participants noticed "Health Check" for the selection of restaurants. Consumers frequently visit full service restaurants for dining lunch and dinners but most of the time taste of food is the priority while selecting a restaurant. The nutritional information at food label menu can be a competitive edge for restaurants.

The results of the current study have unveiled that by designing of restaurants' menu with the presentation of nutritional information enables a consumer to order balanced food. The nutritional information at food menu will play the role of corporate social responsibility because consumers most often do not notice about the nutritional quality of food while placing an order in full service restaurants and when the restaurant will provide food menu with nutritional information consumer can be well aware of food nutrients. The nutritional information menu should be dealt with strategically because over crowded menu also irritates consumers. The restaurant management should design a precise, colorful and informative menu with nutritional information which can motivate consumers to read it.

In the light of a common notion pertaining to food selection, the likes and dislikes of food are based on individuals' belief. People's personality traits are linked with various health outcomes such as inflammation, diabetic and cardiovascular diseases (Deary et al., 2010; Goodwin & Friedman, 2006; Sutin et al., 2010). To figure out individuals' differences with respect to food selection present study has employed all personality traits. The moderating effect of personality traits between attitude towards nutritional menu and intention to consume healthy restaurants food was analyzed. Results have indicated that only two personality traits have positive significant moderation affect namely agreeableness and conscientiousness. In past studies, it was observed that conscientiousness and agreeableness have positive significant, direct or indirect effect while examining individuals' behavior towards healthy food selection (Chapman et al., 2009; Friedman, 2008; Goodwin & Friedman, 2006). Likewise, studies indicated that conscientiousness personality trait is associated with wellbeing behavior of individual whereas agreeableness is related with better exercise habits, self-care and healthy behavior (Booth-Kewley & Vickers, 1994; Conway et al., 1992; Leiker & Hailey, 1988). Personality traits are correlated with numerous health outcomes and personality factors influenced people's food choices (Mottus et al., 2013; Tiainen et al., 2013). The moderating personality traits have weakened the relationship between attitude

and intention. This outcome reveals that although external factors are very effective for developing consumers' intention to consume healthy restaurants food but overwhelming characteristics of some personality traits indices individuals to shun imbalanced restaurant food.

## Limitation and Future Direction

Furthermore, consumers' intention towards healthy restaurant food was the prime objective of the current study. It is better to involve actual behavior in future studies. Although strong intention directs towards actual behavior empirical evidence is necessary. Cross sectional study disclose an individual's existing opinion about any object but longitudinal method uncover the consistency of respondent's response and it is advised to adopt in future researches. The present study was conducted in renowned hospital cafeteria but it is suggested for future study to involve full service restaurants by making a mock nutritional menu with the permission of hotel management and investigate the opinion of respondents towards the usefulness of nutrients menu for healthy food selection in restaurants. Moreover, this study will be helpful to create awareness among individual pertaining to healthy food selection while placing order in full service restaurants. In addition to nutritional information at restaurants' menu will be a competitive edge for restaurants and restaurants can market such kind of menu as corporate social responsibility.

## CONCLUSION

Notwithstanding, the current study was one of its kind in Pakistani environment where the regular cooked food of a hospital cafeteria was presented with a nutritional menu by using the format of packaged food labeling. The food served in full service restaurants has more saturated fat, fat, sodium, and salt instead of packaged food, therefore, consumers' awareness towards the selection of healthy food in restaurants is a necessary and nutritional menu of restaurants can play a powerful role in resolving this matter. Restaurants management should figure out the best possible solution to display nutritional information on food menu which is easy to interpret and understand. This menu can be a competitive edge for restaurants and restaurant management can market this strategy under their corporate social responsibility strategies.

## ACKNOWLEDGEMENT

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# Impact of Microcredit on Income Inequality among Rural Women: The Case of Panchagarh District in Bangladesh

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## ABSTRACT

This article aims to examine the role of microcredit programme on measuring income inequality between two groups of rural women in Bangladesh namely 'with credit' and 'without credit'. 'With credit' rural women were members of Grameen Bank's microcredit programme while 'without credit' rural women who were not members of any microcredit programme. This empirical study was based on primary data collected through face to face interview from rural women in Panchagarh District of Bangladesh. By applying Lorenz Curve approach and Gini Coefficient analysis, the study findings revealed that 'with credit' households had less income inequality compared to 'without credit' households with the values of Gini coefficient at 0.354 and 0.429 respectively. It is evidenced that Grameen Bank's microcredit programme provides an opportunity to reduce income inequality which ultimately contributes to improve rural family income and their livelihood. Study findings revealed that microcredit

programme played a key role to alleviate poverty, reduced income inequality and helped the rural women to be economically independent and financially solvent in their society. The policy implication is that more provision of credits or loans by the microfinance institutions like Grameen Bank for the very poor or ultra-poor women in Bangladesh or any other least developed countries would help to get them involved in income generation activities and come out of poverty. Further research can be conducted on measuring income inequality perception i.e. how rural people perceive their income gaps and what are their thoughts for improving rural income inequality.

*Keywords:* Bangladesh, Grameen Bank, income inequality, microcredit, rural women

## INTRODUCTION

Bangladesh is a rural based country and majority of the rural people are poor with meager level of income (Momen & Begum, 2006) and the country achieved remarkable progress in poverty alleviation during the last few decades. In Bangladesh, poverty rate dropped from 82% in 1972 to 18.5% in 2010, 13.8% in 2016, and 8.5% in 2018 according to the percentage of people living below extreme poverty line (World Bank, 2018a). About 35% of its rural population and 21% of urban population live below the poverty line (International Fund for Agricultural Development [IFAD], 2016). Unemployment rate in Bangladesh followed a rising trend during the last decade. It

was reported that unemployment rate in the country increased from 3.38% in 2010 to 4.37% in 2017. However, it dropped to 4.31% in 2018 (World Bank, 2018b). Half of the population in Bangladesh is women and their participation in economic activities and labor force has increased rapidly. The number of working women augmented from 16.2 million in 2010 to 18.6 million in 2016-17 (Asian Development Bank [ADB], 2018). However, majority of the women (85% of total female work force) are employed in low-income jobs in informal sector.

In the past few decades, Bangladesh gained exemplary achievement in many sides for example in reducing infant and child mortality, poverty alleviation, increase in women entrepreneurship, education, and health. Women in Bangladesh have made progress in various aspects of health, education, and work, but still facing sizable gender gaps (ADB, 2018). Over the years, education policies in Bangladesh have been improved while access of girl's education especially girls' enrolment in primary school has increased rapidly. However, female literacy rate is still lower (55.1%) than that of males (62.5%) (UNICEF, 2016). However, rural women in Bangladesh are still facing inadequate access in economic and social activities even though over the last few decades, women participation in economic activities have increased. Women especially in rural areas or agricultural sectors are getting some discriminations at work place for instance, less payment than men, losing social dignity, lack of respect,

limited opportunities to participate in income generating activities and limited allowance in trades such as buy or sell goods in the rural markets. Although women participation in any kind of income generation do not only contribute to their family income, it also serves to increase their household status and earn the respect of their husbands and family (Jennifer, 2003). In this circumstance, microcredit becomes an attractive tool for producing better outcomes in terms of income and assets and is more effective for relatively wealthier borrowers compared to non-wealthy borrowers (Rahman et al., 2009). Similarly, when women receive credit, they become economic actors with power, they help to improve not only their own lives but also contribute to a larger impact of their families, communities and nations (Bakhtiari, 2006). Over the last three decades, microfinancing institutions have gained popularity as an effective tool for reducing poverty in developing countries by which the needy and poor people (usually who denied accessing institutional credit from other sources) can get financial assistance without any security (Nanayakkara, 2012).

The concept of microcredit has emerged in Bangladesh by Professor Muhammad Yunus who promoted a microcredit program under the name of 'Grameen Bank' in 1976. The Grameen Bank project was transformed to operate as an independent and formal bank by government legislation in October 1983. It provides small loans (known as micro credit or "grameen credit") to the poor, women, illiterate, and unemployed people without any collateral. Microcredit programmes in Bangladesh mainly operated by government and non-government organisations which aimed to enhance income-earning potentials of female members of rural families and empower them socially and economically (Afrin et al., 2008). However, Grameen Bank is the biggest microcredit institution in Bangladesh which targets the poorest of the poor, with a particular emphasis on women, who receive 95% of the bank's loans. As of 2017, nearly 2,600 branches of the Bank have been active in 97% of the villages of Bangladesh (Grameen Bank Annual Report, 2017). Therefore, this study motivates to conduct research on how Grameen Bank's microcredit programme operates to improve socio-economic status of women especially in rural and comparatively underdeveloped areas in Bangladesh. The microcredit programme basically disperses small collateral free loans to groups of jointly liable borrowers in order to foster income generation and poverty reduction through enhancing self-employment (Chowdhury et al., 2005). Rural women are involved in various income generation activities including livestock and poultry rearing, fish culture, operating small and profitable businesses such as grocery shops, bamboo works and tailoring that contribute to the rural development in Bangladesh. Thus, this article attempts to examine the role of microcredit programme on measuring income inequality of rural women by applying Lorenz Curve and Gini Coefficient analysis. The comparison between 'with

credit' and 'without credit' rural women was also made.

## LITERATURE REVIEW

According to the World Bank (2007), microcredit refers to financial services that target low-income clients, particularly rural customers. In other words, microcredit is the provision of financial services to the very poor and low-income people who has a lack of access to traditional banking services (Bakhtiari, 2006). Commercial banks usually do not serve the needs of poor people because of perceived high risk and high transaction costs associated with small loans and savings deposits (Coleman, 2006). Generally, the people who are unemployed, poor or living in poverty, and marginalized are not considered bankable as they have a lack of collateral, steady employment and a verifiable credit history and therefore unable to meet minimal qualifications to gain access to traditional credits offered by the commercial banks. Therefore, microfinance is an alternative avenue of financing the people for self-employment to generate income for facilitating them and their families (Ngehnevu & Nembo, 2010). A microcredit institution or organization provides very small or small amount of loans to poor and low-income populations. This kind of institution can be NGOs, credit unions, cooperatives, private commercial banks and non-bank financial institutions and parts of state-owned banks.

Microcredit enables extremely impoverished people to engage in productive activities that allow them to generate income and depart from poverty in many countries around the world. Microcredit has launched a challenge to the formal financial system which virtually denies the scope of economic participation of the poor (Alam & Molla, 2012). In fact, microcredit has opened a scope for promoting poverty alleviation and reducing income inequality in the society. Consequently, microcredit has received substantial attention from economists and politicians as a tool to alleviate poverty and stimulate economic growth by providing small loans to under privileged and poor people, groups and organizations (Naphatrada & Wanno, 2014). Because, the poorest, especially the women, when receive credit, they become economic actors with power, thus, they can improve not only their own lives, but also their families, communities and ultimately their nations (Bakhtiari, 2006). The provision of microcredit becomes vital for the poor people particularly in rural areas of the developing countries to create and run a tiny business called micro enterprise. Furthermore, microcredit programme and activities can help the country through solving unemployment problems, empowering the women and maintaining a balance between men and women (Ali, 2008).

A study by Basher (2009) investigated the role of Grameen Bank's microcredit program in enhancing household income of the borrower. Another study by Zeller and Meyer (2002) in Bangladesh found a positive impact of microcredit on household expenditure where monthly total

expenditure of borrower households was found to be increasing as compared to non-borrower households. This gives a picture that participation in microcredit programs benefits poor people and improves their expenditure patterns. Islam and Maitra (2008) demonstrated that microcredit program contributed to increase household income and consequently consumption of the family members and also found that households with access to microcredit coped better against health shocks. Therefore, the results suggest that microcredit program plays like insurance for poor households. More recently, Islam (2014) examined the impacts of microcredit program of Grameen Bank (GB) on living standard of rural women in Bangladesh. The findings showed that Grameen Bank had significant positive effect on generating income and increasing consumption of borrowers. It contributed greatly to improve the quality and sources of drinking water, nature of medical treatment, housing and lighting conditions of the borrower families. However, microcredit program of GB has a little impact in changing the educational qualification of borrowers. Hence, the review of literatures shows a lack of research on assessing the role of microcredit programme on income inequality of 'with credit' and 'without credit' rural women. Therefore, application of Lorenz Curve and Gini Coefficient analysis is crucial to measure the income inequality.

## METHOD

### Survey Design and Data Collection

The data for this study was obtained to reflect its aim where primary data was collected through 'face to face' survey experiment followed by interviewed with the two groups of rural women namely 'with credit' and 'without credit' in Panchagarh district of Bangladesh. The Panchagarh district and its villages were selected as the study area of this research because: they are located in the extreme northern part of the country; rural remote areas; comparatively underdeveloped areas and far away from the capital city; literacy rate is very low as compared to other parts of the country; majority of the people in these villages are poor that is why Grameen Bank's microcredit programme is working; and no research conducted with the rural women in these areas particularly assessing their income and inequality. Purposive random sampling method was used for survey design. Firstly, the samples/respondents of two groups were purposively selected. 'With credit' respondents were members of Grameen Bank's microcredit programme from the villages of Pokhi Laga, Vetor Gor, Chand para, and Madhuban Guchchho gram while 'without credit' respondents who were not members of any microcredit programme from the villages of Goual para and Jamader para. Study areas for two groups' respondents had similar characteristics in terms of topography such as soil and climate conditions, demography, economic and cultural conditions. Secondly,

200 respondents for 'with credit' group were randomly chosen from 700 listed members of Grameen Bank in the study area.

As of January 2008, total number of Grameen Bank members in these villages were 700 in which 156 from Pokhi Laga, 212 from Vitor Gor, 184 from Chand Para and 148 from Madhuban Guchchho Gram. The sample size of this group was 30% of the total population size. On the other hand, 100 respondents for 'without credit' group were randomly chosen from a total of 900 rural women. This group was the control group for the study. The sample size (100) of the control group was 50% of the sample size of experiment group i.e. 'with credit' group (200). The selected samples were reasonably representative of the rural women in the study areas. It can be noted that this study did not consider the entire district of Panchagarh which might be a limitation of this study. However, a pre-test was applied by the draft questionnaire by interviewing four respondents from each group to test the reliability of the survey questionnaire. The questionnaire was finalised after making necessary correction, modification and adjustments based on the pretest results. The final survey and data collection were conducted from 2008, April 1 to June 30.

## Data Analysis

Based on the collected primary data, descriptive statistics and cross-tabulation analysis were performed to show the variation of different socio-economic variables among the respondents. Furthermore, Lorenz curve approach and Gini coefficient analysis were employed for measuring income inequality of the two groups of rural women described below. Statistical Package for Social Science (SPSS) was used as data analytical tool.

## Construction of Lorenz Curve Approach

The Lorenz Curve is an approach or tool used to represent inequality in income distribution of a given population. It measures the cumulative proportion of income to the cumulative proportion of individuals to show income inequality distributions. The present study employed Lorenz curve analysis to examine the inequality in income distributions between 'with credit' and 'without credit' households. The technique of Lorenz curve analysis has been widely used in inequality measurement of income distribution. Constructing the Lorenz Curve involves several steps to build a Lorenz curve as proposed by Bellu and Liberati (2005). Figure 1 illustrates the step by step procedures to construct the Lorenz curve of this study. Basically, it shows how to construct the Lorenz curve which is represented by Figure 2.

Figure 2 shows a constructed Lorenz curve where diagonal line of 45° represents the perfect equality of the income distribution. It is also known as equidistributional line which can be defined on the basis of the most equalitarian income distribution that means each individual owns the same income. Hence, income is perfectly distributed among a given population. However, for the usual income distribution, all incomes are not equal, in
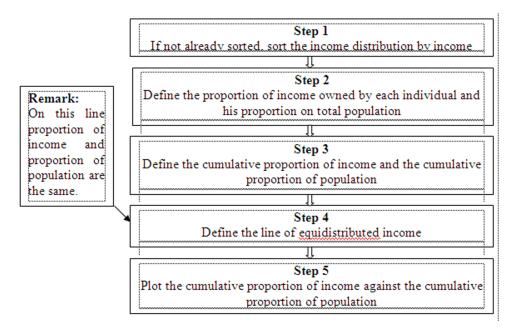
*Figure 1.* A step-by–step method to construct Lorenz Curve
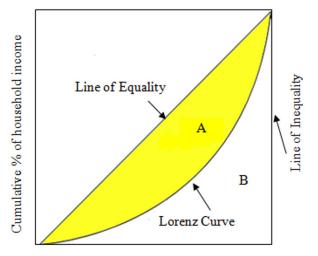


*Figure 2.* Graphical representation of the Lorenz Curve and Gini Coefficient

that case, the Lorenz Curve supposed to be lain below the equidistributional line. As the Lorenz curve approaches to $45^0$ line, the distribution of income approaches to perfect equality. On the other hand, as the Lorenz curve approaches to the axes, the distribution of income approaches to perfect inequality. This indicates that the

greater is the curvature of Lorenz curve, the greater is the degree of inequality as shown in Figure 2.

**Gini Coefficient Analysis**

This study also employed Gini coefficient to measure the inequality in income distribution between 'with credit' and 'without credit' households. Usually, Gini coefficient denotes quantification and a summary measure of the Lorenz curve. The Gini coefficient defined as a ratio of the area between equality line and the Lorenz curve, and the total area under equality line. Graphically, it is the area 'A' expressed as a proportion of the area 'A+B' as shown in Figure 2.

The formula for calculating Gini coefficient was based on Zheng et al. (2008). If the area between equality line and the Lorenz curve is 'A', and the area under the Lorenz curve is 'B', then the Gini coefficient (G) can be expressed as follows:

$$G = A / (A+B)$$

The value of Gini coefficient ranges from 0 to 1, where '0' denotes to perfect equality i.e. everyone has same income distribution and '1' denotes to perfect inequality i.e. no pattern of income distribution that means one person owns all the income whereas others has zero income. Nevertheless, large Gini coefficients imply greater degrees of income inequality.

**RESULTS AND DISCUSSION**

**Socio-economic features**

Respondents' socio-economic features consist of information related to the demographic for instance age group, marital status, level of education and their occupational background. Table 1 summarises respondents' socio-economic features**.** The dominant ages of 'with credit' respondents were between 26 to 35 years old and 36 to 45 years old, representing 47% and 30% of the total respondents respectively. Instead, for 'without credit' group, the dominant ages were between 18-25 years, 26 to 35 years and 36 to 45 years old, representing 33%, 31% and 28% of the total respondents respectively. Most of the respondents for 'with credit' (95%) and 'without credit' (88%) were married where divorced and widow respondents found to be more in 'with credit' compared to the 'without credit' group.

In addition, majority of the 'with credit' rural women (35%) only went to primary school whereas majority of the 'without credit' women (59%) had no schooling at all. About 27% of 'with credit' women had secondary school certificate that was double of 'without credit' respondents. For 'with credit' respondents, 9.5% of them had a higher secondary certificate/ HSC whereas none from 'without credit' respondents. It can be noticed that a larger number of 'with credit' rural women had performed school education. This might be possible because of the governmental and non-governmental intervention including Grameen Bank. Nevertheless, as an institutional requirement, the members of GB should able to write their names or be able to put signature. Sometimes, GB staffs

also help their members to gain this kind of educational quality. Similarly, Panda (2009) found that the credit receiver households had 12.16% higher literate members compared to that of the non-credit households. Other studies also showed that credit programmes contribute to increase girl's schooling (Kabeer, 2001; Pitt & Khandoker, 1996). As a result, microcredit programme also contributed in improving educational status of the rural woman. However, none of the respondents from both groups had graduate and postgraduate degree.

The main occupations of the 'with credit' respondents were farmers (67%) and small businessmen (27%) such as grocery shop, tea stall, tailoring shop, door to door selling items e.g. bread, biscuit, chocolate, clothes and cheap ornaments (curi, feta, dul), while main occupation of the 'without credit' respondents was farmer (46%) and housewife (31%). Housewife was considered as an occupation although they did not work on any job for income generation, but they played an important role of managing family and took care their

Table 1

*Respondents' socio-economic features*

| Variable | With Credit | Without Credit |
|---|---|---|
| | Percentage (%) | Percentage (%) |
| *Age Group* | | |
| 18-25 | 16 | 33.0 |
| 26-35 | 46.5 | 31.0 |
| 36-45 | 29.5 | 28.0 |
| 46-55 | 7.5 | 8.0 |
| >=56 | 0.5 | 0 |
| *Marital Status* | | |
| Married | 94.5 | 88.0 |
| Divorced | - | 4.0 |
| Widow | 5.5 | 8.0 |
| *Highest Completed level of* | | |
| *Education* | 29.5 | 59.0 |
| No schooling | 34.5 | 28.0 |
| Primary school | 26.5 | 13.0 |
| Secondary school certificate | 9.5 | - |
| Higher secondary certificate | - | - |
| Graduate/university | - | - |
| Post graduate/masters | | |
| *Occupation* | | |
| Private servant | 2.0 | 1.0 |
| Farmer | 67.0 | 46.0 |
| Housewife | 2.0 | 31.0 |
| Small business | 27.0 | 7.0 |
| Daily labourer | 2.0 | 15.0 |

children and other family members of their husbands.

However, Table 2 shows the income status between two groups of respondents which contributed to the total family income generation. This is considered active income including wages, active participation in business or self-employment income (retail shop). Average monthly family income for 'with credit' and 'without credit' respondents was Taka 9851.75 and Taka 5278.00 respectively. The detailed family income and sources of income generation activities can be found author's previous article in Ahmed et al. (2011). Noteworthy that 'with credit' rural women contributed larger proportion (19%) to their family income than the 'without credit' (10%). One can be assumed that rural women who joined Grameen Bank's microcredit programme were guided and inspired to

be involved in various income generation activities and sources. This also provides an important fact on the monetary benefits and outcome of rural women who were involved or received loan from microcredit programme like Grameen Bank.

## Findings of Gini Ratio and Lorenz Curve Analysis

This study examines the income inequality scenario of rural women by the analysis of Gini coefficient and Lorenz curve. It shows the income inequality comparison between two groups of respondents such as 'with credit' and 'without credit'. The estimated values of the Gini coefficient are presented in Table 3 and Figures 3, 4 and 5. The concentration ratio is estimated 'with credit' households at 0.354 and 'without credit' households at 0.429. So, 'without credit' household's income inequality is

Table 2

*Monthly average income of 'with credit' and 'without credit' households (Average Taka)*

| Respondents | Self/Own | Husband | Others (son, daughter, father, mother etc) | Total family income |
|---|---|---|---|---|
| 'with credit' | 1870.00 | 6387.50 | 1594.25 | 9851.75 |
| 'without credit' | 540.00 | 3988.00 | 750.00 | 5278.00 |

Table 3

*Gini ratio for 'with credit' and 'without credit' households*

| Group | Gini ratio |
|---|---|
| 'with credit' households | 0.354 |
| 'without credit' households | 0.429 |

slightly bigger compared to 'with credit' households. Likewise, the Gini coefficient of 'with credit' and 'without credit' households were 0.354 and 0.429 respectively, however, both of these were higher than the 2000 national Gini coefficient of 0.318 (World Bank, 2004). This means that inequality in income is higher for 'without credit' households. The findings are in line with studies by Chowdhury (2006) and Khandker (2002) where they found that after joining Grameen Bank, the borrowers' income, education and employment increased greatly. Another study by Bernasek (2003) found participation in Grameen Bank microcredit programme contributed to increase women's income which ultimately enhanced their family income. Similarly, Akita and Szeto (2000) also found Indonesia's antipoverty programme, Inpres Desa Terttingal (IDT) had been successful for improving poorer households' economic conditions and

decreasing the overall inequality level. In regard to a study in Malaysia, Noor et al. (2013) assessed the impact of microcredit on income distribution amongst the 'Sahabat Amanah Ikhtiar' in Kedah and Kelantan. They found an increase in income share from microcredit activities, leading to decrease in total household income inequality which supports our study findings. Moreover, our study findings also supported by the other microcredit and poverty reduction programmes (Akita & Szeto, 2000; Jariah et al., 2001; Rokhim et al., 2016). Rokhim et al. (2016) evidenced in Indonesia that microcredit had a positive impact on the clients' welfare although it was not linear.

On the other hand, Lorenz curve presents a graphical presentation of the pattern of income inequality among the 'with credit' and 'without credit' households. The results found that income inequality for 'with credit' households was lower compared to
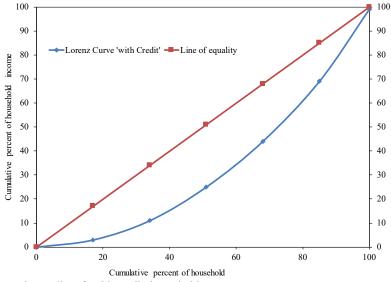


*Figure 3.* Income inequality of 'with credit' households
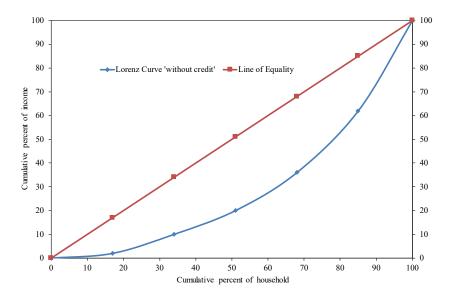
*Figure 4.* Income inequality of 'without credit' households
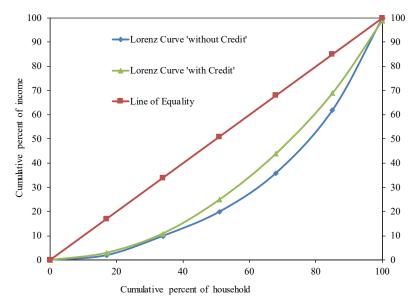


*Figure 5.* Income inequality comparison of both groups ('with credit' and 'without credit')

the 'without credit' as shown in Figure 4. The reasons which led to the inequality of income distribution between the two groups might be non or less involvement of income generation activities of 'without credit'

women or might be not included in the microcredit programme as the borrowers of Grameen Bank were required to participate in weekly and monthly group meetings in which they shared and discussed their

family matters and other social issues. Moreover, Grameen Bank organised various training programmes and workshops on skill development, nutrition, health, sanitation and other issues for its members. These initiatives help to increase the awareness level of the women borrower about their rights, freedom and choices as well as their duties and responsibilities to the family and society.

## CONCLUSION

After joining Grameen Bank's microcredit programme, it can be concluded that 'with credit' rural women have been able to engage themselves with various income generation activities and subsequently contribute to improve their family income and reduce significantly their income inequality situation. The differences of socio-economic features including education, occupation and income between 'with credit' (GB/Grameen Bank members) and 'without credit' (non-members of GB/microcredit programme) rural women have also been presented. It is noteworthy that total family income from 'without credit' respondents was almost half compared to the 'with credit' respondents. This provides an indication that Grameen Bank's microcredit programme has a significant impact on income generation and improve livelihoods of rural women. Thus, the microcredit helps to increase the income of rural poor women which also empowers them in decision making for the family matters and development.

The findings of the analyses indicate that 'with credit' households have lower inequality in their income levels (value of Gini coefficient is 0.354) as compared to 'without credit' households (value of Gini coefficient is 0.429). This can be evidenced that Grameen Bank's microcredit programme provides an opportunity to reduce income inequality which ultimately contributes to improve rural family income and their livelihood. Thus, based on the study findings, it is imperative that microcredit programme plays a key role to alleviate poverty, reduce income inequality and help the rural women to be economically independent and financially solvent in their society. Finally, this study shows that rural women with microcredit programme contribute to improve income inequality which is essential of survival for rural poor families. The policy implication is that more provision of credits or loans by the microfinance institutions like Grameen Bank for the very poor or ultra-poor women in Bangladesh or any other least developed countries would help to get them involved in income generation activities so that they could contribute their families to come out of poverty. Although the findings can be justified by the selected samples which were reasonably representative of rural women in the study areas. However, it needs to be cautious about the generalisation of the country as a whole. Further research can be conducted on measuring income inequality perception i.e. how rural people perceive their income gaps and what are their thoughts for improving rural income inequality.

## ACKNOWLEDGEMENT

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# Does Religiosity Really Matter in Purchase Intention of Halal Certified Packaged Food Products? A Survey of Indian Muslims Consumers

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## ABSTRACT

The primary aim of this research was to measure the influence of religiosity on the intention of Indian Muslim to purchase halal food products. An extended version of the theory of planned behaviour was used as a framework. Apart from Religiosity, the influence of subjective knowledge of halal was also tested. Data was collected from the Muslim consumers of six districts of Uttar Pradesh, India. The result of structural equation modelling (SEM) showed that religiosity had an indirect influence on purchase intention and subjective knowledge had neither direct nor indirect influence on the purchase intention of Indian Muslims. Except for self-efficacy, all other antecedents of TPB (Theory of Planned Behaviour) had a positive influence on the purchase intention. This is the first study conducted so far on Muslim consumers of India related to halal certified packaged food products. Policy implications have been discussed.

## INTRODUCTION

Halal certification has become an essential criterion for selecting packaged food products for Muslim consumers. There is a huge demand for halal certified food products in Muslim majority countries like Malaysia and Indonesia. Some companies

offer Halal certified food products in Muslim minority countries as well. Halal certification offers a huge opportunity for markets all over the world for both domestic niche markets and for exporting to Muslim majority countries. A recent study commissioned by the government of UAE and conducted by Thomson Reuter estimates that food sector will grow at the rate of 10.8 percent annually from the US $ 795 billion in 2014 to US$ 2.5 trillion in 2019 and will constitute the 21.2 percent of global food expenditure.

There can also be a great demand for halal products in the domestic market in India as well, mainly due to its huge Muslim population, which presently stood at 172 million (Census, 2011). Despite such a huge potential, there is a lack of popular halal certified food products in India. Many companies are getting halal certification for exporting to Muslim countries but seem to be reluctant in offering halal certified products in the domestic market. Halal certification is seemingly a missed opportunity in India.

Researchers investigating the halal food purchase behaviour have focused mostly on halal meat (Bonne et al., 2007). However, there are studies, which have also investigated halal food purchase behaviour for other than meat products (Abu-Hussin et al., 2017; Rahman et al., 2015; Sahlan et al., 2019). Previous researchers have applied two main approaches. Some authors have tested a proposed model based on independent constructs identified through literature review but without applying a priori theory or Model (Aziz & Chok, 2013; Shaari &

Arifin, 2010). While many other authors have tested existing theoretical model (like TRA and TPB) by adding some additional variables (Bonne et al., 2007; Khan & Azam, 2016; Mukhtar & Butt, 2012) or sometimes only using original models without adding new variables (Alam & Sayuti, 2011; Lada et al., 2009). Even though such studies have also been conducted in Muslim countries like Malaysia, Indonesia, Saudi Arabia, Pakistan we need further evidence from countries like India where Muslims enjoy a unique position (Ahmad et al., 2019; Ali et al., 2018; Bashir et al., 2019; Elseidi, 2018; Ismail et.al. 2018). In India, Muslims are regarded as a minority. However, Muslims constitute a significant number in India amounting to 170 million. There is a vast potential for halal certified products.

Existing literature indicates that religiosity has inconsistent results in influencing the purchase intention of halal products. Although many studies have found a significant influence of religiosity on attitude and intention, there are studies in contrast as well. While many studies concluded that religiosity is important in halal purchase behaviour (Mukhtar & Butt, 2012), many others have reported that religiosity is not a significant predictor in purchase behaviour of halal certified food behaviour (Khan & Azam, 2016). Adding to this, Mukhtar and Butt (2012) had also concluded that only intrinsic religiosity was significant while extrinsic religiosity was not significant, in influencing halal food purchase behaviour. Therefore, the present study tests the direct and indirect influence

of religiosity and subjective knowledge of halal on TPB variables.

## LITERATURE REVIEW

### Theory of Reasoned Action (TRA), Theory of Planned Behaviour (TPB)

Theory of reasoned action (TRA) proposes that subjective norm and attitude can predict behavioural intention, while behavioural intention can predict behaviour. Ajzen (1985, 1991) extended TRA by adding the variable of "perceived behavioural control". Theory of planned behaviour (TPB) postulates that all three components, attitude, subjective norms and perceived behaviour control predicts behavioural intention, and in turn, behavioural intention predicts the actual behaviour. Thus, the theory of planned behaviour is essentially an extension of the theory of reasoned action. Ajzen (1991) suggested that many background factors might also influence behavioural intention and behaviour. In line with his suggestions, many researchers have added contextual variables, depending upon the specific research requirement and country of research. Similarly, in the case of halal purchase behaviour, researchers have also incorporated many other relevant variables dependent upon the need of the study.

The TPB model has been widely employed in food purchase intention studies and has produced decent prediction ability (McDermott et al., 2015; Riebl et al., 2015). TPB has been applied to range food products, which include organic food purchase behaviour (Yadav & Pathak, 2016),

green food purchase behaviour (Yadav & Pathak, 2017), sustainable food purchase behaviour (Vassallo et al., 2016), genetically modified food products purchase behaviour (Wunderlich et al., 2017). In context of halal TPB has been used by previous researchers in many countries like Malaysia (Ismail et al., 2018), Pakistan (Ahmad et al., 2019), South Africa (Bashir et al., 2019), China (Ali et al., 2018), Indonesia, UK (Elseidi, 2018). Figure 1 shows the hypotheses proposed in this study. Following section, provide the development of the hypotheses.

### Attitude

Attitude towards behaviour is the consumers' evaluation of the behaviour. Fishbein and Ajzen (1975) defined Attitude as "*a learned predisposition to respond consistently in a favourable or unfavourable manner with respect to a given object*". In context of TPB based studies on halal food purchase, attitude has emerged as the best predictor of purchase intention (Alam & Sayuti, 2011; Ali et al., 2017; Al-Otoum & Nimri, 2015; Hussain et al., 2016; Khan & Azam, 2016; Öztürk et al., 2015). However, there are some pieces of evidence in contrast also, for instance, Omar et al. (2012) found that attitude was not significant in predicting halal purchase intention. On the other hand, Afendi et al. (2014), Hall and Sevim (2016), and Khalek and Ismail (2015) had found attitude as a significant antecedent of halal purchase intention. However, the relative importance of attitude among TPB variables was varied. Attitude was the second-best predictor in case of Khalek and Ismail
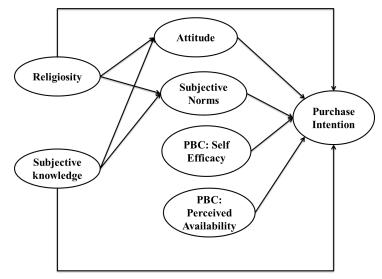
*Figure 1.* Proposed model

(2015), Lada et al. (2009), Mukhtar and Butt (2012), and Hall and Sevim (2016). However, in case of Afendi et al. (2014), it was third in relative importance. Hence, following hypothesis is presented.

### H1: Attitude has a positive influence on purchase intention

### Subjective Norms

Ajzen (1991) defined subjective norms as *"the perceived social pressure to perform or not to perform the behaviour"*. It is evident from the literature that subjective norms play a significant role in influencing the intention of consumers. Some notable studies in case of halal food products purchase intention are of Alam and Sayuti (2011), Lada et al (2009), Khan and Azam (2016), and Aziz and Chok (2013), and some other important examples from other food purchase studies are Johe and Bhullar (2016), Fang and Levy (2015), Rodríguez (2012), and Kim

(2014). Earlier studies have established that engaging in religious groups can create powerful bonds with society (Regnerus & Elder, 2003). Families are given more value than individuality in Islamic societies (Hameed and Al-Sheikh, 1978; cited in Al Jahwari, 2015). Further, in countries like India, which are called collectivist societies, subjective norms should be considered as an important socio-psychological parameter. Hence, following hypothesis is presented.

### H2: Subjective norm has a positive influence on purchase intention

### Perceived Behavioural Control

Perceived behavioural control (PBC) refers to the amount of easiness or difficulty that individuals recognise in performing a given behaviour. The probability of performance of the behaviour is high when individuals believe that they have sufficient resources needed to perform that behaviour. These

resources can be internal or external. Internal resources pertain to the individuals' self while external resources pertain to the environment. Thus, one kind of PBC refers to individuals' judgments of how easily (or with difficulty) they can perform a behaviour. We may refer to this as PBC-Self efficacy (PBC-SE) And, another kind of PBC is the amount of control from external elements (such as availability). Controls beliefs may depend on past background with the behaviour, however, sometimes also get influenced by secondary information about the behaviour, from experiences of others which may include, friends, family and colleagues. This study has operationalized the concept of PBC following Ali et al. (2017) and Bonne et al. (2007, 2009), where PBC has been considered as a two-dimensional construct.

PBC has been a significant predictor of halal purchase intention (Alam & Sayuti, 2011; Ali et al., 2017; Khan & Azam, 2016). However, it has been the weakest predictor in many halal food-related studies based on the TPB model. For example, in cases of Ali et al. (2017), Hall and Sevim (2016), and Khalek and Ismail (2015) found PBC as the third best predictor of halal food purchase intention. Alam and Sayuti (2011), and Khan and Azam (2016) found PBC as the second-best predictor of halal food after attitude. Afendi et al. (2014) and Omar et al. (2012) also found as second best in the prediction of halal food but after subjective norms. Thus, following hypotheses are proposed

*H3: PBC (Self-efficacy) has a positive influence on purchase intention*

*H4: PBC (Availability) has a positive influence on purchase intention*

**Religiosity**

Religiosity is an important constituent of subculture and has been defined as the degree of commitment towards one's religion, which can also be understood as the level of confidence in the religion (Gallagher & Tierney, 2013). *Religiosity is the chief source, which nurtures personal values (Fry et al., 2011, cited in Graafland, 2017), and values are amongst the most critical factors in the formation of attitudes (Fishbein & Ajzen, 1975; Graafland, 2017).* It is a fundamental and underlying factor which shapes individual decision-making and can affect individuals' attitude and behaviour (Delener, 1990; Islam, & Chandrasekaran, 2015; Wilkes et al., 1986). In the context of halal purchase studies, several studies have investigated the role of religion and religiosity. Mokhlis (2009) contrasted shopping behaviour among various religious groups. Bonne et al. (2006, 2007), and Bonne et al. (2008) had studied the role of religion about halal food products. Bonne et al. (2007) investigated the halal purchase intention of French Muslims and found interesting insights into how religious identity might produce differential effects in antecedents of purchase intention. Based on above discussion, following hypotheses are proposed

*H5: Religiosity has a positive influence on purchase intention*

*H6: Religiosity has a positive influence on attitude*

*H7: Religiosity has a positive influence on subjective norms*

**Subjective Knowledge**

Our knowledge helps in developing competence for taking or not taking action (Stehr, 1994). Knowledge refers to the understanding of a specific subject and its possible implication (CheAhmat et al., 2011). Knowledge is commonly referred to as "awareness, consciousness, or familiarity gained by experience or learning". Knowledge plays a vital role in human behaviour specifically in the area of consumer behaviour. Only a few studies (e.g. Aziz & Chok, 2013; Hamdan et al., 2013; Salehudin & Luthfi, 2013) have investigated the influence of subjective knowledge of halal on purchase intention. However, there are many studies related to other food purchase behaviour, which have investigated such a relationship. Specifically, studies concerning organic food purchase behaviour have investigated this relationship. Aertsens et al. (2009) in a review of organic purchase intention reported subjective knowledge as an essential factor in determining organic food purchase. Further, Aertsens et al. (2011) in an empirical study found a significant and positive relationship between subjective knowledge and attitude toward organic food products. Therefore, following hypotheses are proposed.

*H8: Subjective knowledge of halal has a positive influence on purchase intention*

*H9: Subjective knowledge has a positive influence on attitude*

*H10: Subjective knowledge has a positive influence on subjective norm*

**MATERIALS AND METHOD**

A structured questionnaire consisting of 22 items were used to measure seven latent constructs; adapted from the existing literature. All items were measured using a seven point Likert scale ranging from strongly agree (7) to strongly disagree (1). Please refer to the Table 1 for the measurement Scales and their sources.

The data were analysed in three steps. First, data cleaning was done by removing missing values and unengaged responses (Sekaran & Bougie, 2016). In the second step, the measurement model is tested applying confirmatory factor analysis (CFA). Then finally, a multilevel structural model (SEM) is examined using the hypotheses testing. AMOS 21 software was used for conducting CFA and SEM. To meet the assumption of SEM, we checked for linear relationship using curve estimation, multicollinearity using variance inflation factor (VIF), and deviation from normality using Skewness and kurtosis. Through curve estimation in SPSS, it was inferred that all relations were linear as the value of F statistics was highest and value of R-squared is sufficiently high and significant in the linear models (Hair et al., 1998). This step was repeated several times to check all paths specified in the structural model. For checking multicollinearity, it was assured that all values of VIF were less than 10

Table 1

*Measurement scales and their sources*

| Coding Scale and Items (statements) | | **Supporting Literature** |
|---|---|---|
| **Purchase Intention** | | Ajzen (1991, 2002), Kim (2014), Lada et al. (2009) and Venkatesh and Davis (2000) |
| PI1 | If these products were available in the shops, I would buy them. | |
| PI2 | I will make an effort to buy these products. | |
| PI3 | I will buy these products even if they are slightly expensive. | |
| **Attitude** | | Ajzen (1991, 2002), Chung et al. (2012), Taylor and Todd (1995), and Yadav and Pathak (2016, 2017) |
| ATT1 | Halal certification is a practical idea. | |
| ATT2 | Halal certification a beneficial for consumers like me | |
| ATT3 | Halal certification is necessary for consumers like me | |
| ATT4 | Halal certification is helpful for consumers like me | |
| **Subjective Knowledge** | | Flynn and Goldsmith (1999) and Salehudin and Luthfi (2013) |
| KNW1 | I am confident in my knowledge of halal and haram | |
| KNW2 | I believe that my knowledge about halal and haram is above average. | |
| KNW3 | I know a lot about of halal slaughtering (zahbiah). | |
| **Subjective Norms ( 3 items)** | | Ajzen (1991, 2002), Cook et al. (2002), Lada et al. (2009), Shakona (2013), and Venkatesh and Davis (2000) |
| SN1 | My family members will approve if I buy certified halal Products | |
| SN2 | Friends who are important to me would ……… certified halal Products | |
| SN3 | Overall most people who are important to me would certified halal Products | |
| **Perceived Availability** | | Ajzen (1991, 2002), Alam and Sayuti (2011), and Hansen et al. (2004) |
| AVLB1 | Halal certified products are available in most of the shops | |
| AVLB2 | Many options are available in halal certified food items | |
| AVLB3 | Information on halal certified products is clear | |

Table 1 *(Continued)*

| Coding Scale and Items (statements) | | **Supporting Literature** |
|---|---|---|
| **Self-Efficacy** | | Ajzen (1991, 2002), Hansen et al. (2004), and Taylor and Todd (1995) |
| PBC1 | I have enough time to choose the best option for purchasing halal packaged food items | |
| PBC2 | I have enough knowledge of ingredients labels for purchasing halal packaged food items. | |
| PBC3 | I have enough money to choose the best option for purchasing halal packaged food items | |
| **Religiosity** | | Alam et al. (2011) and Rehman and Shabbir (2010) |
| RELG1 | I regularly offer prayers five times a day | |
| RELG2 | I regularly fast in the month of Ramadan. | |
| RELG3 | I pay (will pay) Zakat every year If I meet the prescribed criterion. | |

(Hair et al., 1998). Criteria of Skewness ($\pm2$) and kurtosis ($\pm3$) were utilised to assess the deviation from normality (Kline, 2011).

## RESULTS

### Demographic Profile

We targeted Muslim consumers who were above 18 years of age and had some experience of using packaged food products. Data were collected from the six districts of the state of Uttar Pradesh. The data were collected by self-administering the questionnaire. Total 350 questionnaires were found useful after removing missing values and unengaged responses from a set of 600 questionnaires distributed to the respondents. The sample consisted of slightly higher proportion (n=182, 52%) of male respondents. About one third of the respondents were between 18 to 24 years of age (n=120). About 17 percent (n=60) were between 25 and 34. Moreover, roughly 39 % were between 35 to 54 years of age. Majority of the respondents (67%) were either graduate or above. Only 4 percent are high school or below while 29 % are intermediate. Please refer to the Table 2 for the demographic profile of the respondents.

### Confirmatory Factor Analysis (CFA)

The measurement model was tested conducting first order confirmatory factor analysis (CFA) by employing the maximum likelihood estimation method in AMOS 21 software. The model exhibited sufficient level of model fit: CMIN=376.817, DF=188, CMIN/DF=2.01, CFI=0.942, SRMR=0.046, RMSEA=0.054, PClose=0.217 (Gaskin & Lim, 2016). The composite reliability (C.R.) indices were above 0.70 thus, fulfilling the recommended criterion (Hair et al., 1998). The value of C.R. ranged from 0.754 (for PBC-SE) to 0.873 (for attitude). To confirm the validity of measurement constructs both convergent validity and discriminant validity were assessed. All regression loading in

CFA ranged from 0.584 to 0.912 (> 0.50) and all values of average variance extracted ranged from 0.510 to 0.634 (> 0.50) thus, establishing convergent validity (Fornell & Larcker, 1981). Further, the discriminant validity was assessed using the Fornell and Larcker (1981) criterion, i.e. values of the square root of AVE's should be greater than the corresponding pair of squared correlation between the constructs. In all cases, the value of AVE was greater than the value of squared correlation, exhibiting that each construct is distinct. Please refer to the Table 3 for regression coefficients for CFA and Table 4 for discriminant validity, AVE, and CR.

Table 2

*Demographic profile of respondents*

| Variable | | Frequency | Percent |
|---|---|---|---|
| **Gender** | Male | 182 | 52 |
| | Female | 168 | 48 |
| Age | 18-24 | 120 | 35 |
| | 25-34 | 60 | 17 |
| | 35-44 | 82 | 24 |
| | 45-54 | 52 | 15 |
| | 55-65 | 16 | 5 |
| | 65+ | 14 | 4 |
| Educational | High School | 13 | 4 |
| | Intermediate | 101 | 29 |
| | Graduation | 94 | 27 |
| | Post-graduation | 122 | 35 |
| | Ph.D. | 19 | 5 |
| Employment | Govt. Job | 61 | 17 |
| | Own Business | 76 | 22 |
| | Not Working | 69 | 20 |
| | Private Job | 78 | 22 |
| | Students | 66 | 19 |
| Income | less than 2 lakh | 128 | 37 |
| | 2-4lakh | 83 | 24 |
| | 4-6 lakh | 63 | 18 |
| | 6-10 lakh | 59 | 17 |
| | 10 above lakh | 9 | 3 |
| **City** | Lucknow | 60 | 17 |
| | Bahraich | 53 | 15 |
| | Aligarh | 71 | 20 |
| | Moradabad | 67 | 19 |
| | Rampur | 45 | 13 |
| | Bijnor | 54 | 15 |

Table 3

*Measurement model. CFA factor loadings*

| Construct | Item | Regression Estimates for CFA | | |
| --- | --- | --- | --- | --- |
| | | Standardized | Unstandardized | S.E. |
| Attitude | ATT5 | 0.821 | 1.000 (constrained) | |
| | ATT6 | 0.870 | 0.870 | 0.046 |
| | ATT4 | 0.824 | 0.863 | 0.051 |
| | ATT3 | 0.653 | 0.853 | 0.067 |
| Knowledge | KNW4 | 0.820 | 1.000 (constrained) | |
| | KNW5 | 0.912 | 1.112 | 0.065 |
| | KNW6 | 0.611 | 0.847 | 0.072 |
| Perceived behavioural Control | PBC3 | 0.825 | 1.000 (constrained) | |
| | PBC1 | 0.584 | 0.724 | 0.076 |
| | PBC4 | 0.714 | 0.769 | 0.075 |
| Availability | AVLB2 | 0.683 | 1.000 (constrained) | |
| | AVLB3 | 0.794 | 1.409 | 0.126 |
| | AVLB4 | 0.743 | 1.361 | 0.128 |
| Religiosity | RELG2 | 0.746 | 1.000 (constrained) | |
| | RELG3 | 0.709 | 1.001 | 0.083 |
| | RELG4 | 0.797 | 1.000 | 0.081 |
| Purchase Intention | PI5 | 0.769 | 1.000 (constrained) | |
| | PI4 | 0.737 | 0.874 | 0.073 |
| | PI7 | 0.725 | 1.140 | 0.094 |
| Subjective Norms | SN3 | 0.762 | 1.000 (constrained) | |
| | SN2 | 0.711 | 0.734 | 0.063 |
| | SN5 | 0.699 | 0.899 | 0.078 |

Table 4

*Discriminant validity*

| | CR | AVE | MSV | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. Purchase Intention | 0.788 | 0.553 | 0.366 | **0.744** | | | | | | |
| 2. Attitude | 0.873 | 0.634 | 0.381 | 0.605 | **0.796** | | | | | |
| 3. Subjective Knowledge | 0.830 | 0.626 | 0.362 | 0.234 | 0.350 | **0.791** | | | | |
| 4. PBC (self-efficacy) | 0.754 | 0.510 | 0.172 | 0.305 | 0.285 | 0.349 | **0.714** | | | |
| 5. PBC (Control) | 0.785 | 0.550 | 0.151 | 0.377 | 0.368 | 0.289 | 0.304 | **0.741** | | |
| 6. Religiosity | 0.795 | 0.565 | 0.362 | 0.346 | 0.365 | 0.602 | 0.357 | 0.388 | **0.752** | |
| 7. Subjective Norms | 0.768 | 0.525 | 0.381 | 0.524 | 0.617 | 0.494 | 0.415 | 0.338 | 0.495 | **0.725** |

Table 5

*Indirect effect of religiosity and Subjective knowledge on Purchase intention*

| | Indirect | Direct | Total |
|---|---|---|---|
| Subjective knowledge | 0.14 | -0.134 | 0.006 |
| Religiosity | 0.239 | 0.033 | 0.272 |

## Structural Model and Results of Hypotheses Testing

Earlier, the structural model exhibited average fit, but the indices were not up to the mark. After taking cues from the modification indices, the error terms of attitude and subjective norms were covaried. After this arrangement, the model exhibited a reasonably well fit: CMIN=398.066, DF=192, CMIN/DF=2.073, CFI=0.937, SRMR=0.063, RMSEA=0.055, PClose=0.119 (Gaskin & Lim, 2016).

Among the first four hypotheses (H1: H4), which were based on the core model of the theory of planned behaviour, three hypotheses H1 and H2, H4 were accepted. Hypotheses H1: H4 postulated that purchase intention of halal certified products would be influenced by attitudes, subjective norms, self-efficacy and perceived availability. Thus, the results of the analysis confirmed that attitude (H1: beta=0.438, p<0.05) towards halal certified products, subjective norms (beta=0.258, p<0.05) and perceived availability (beta=0.132, p<0.05) would influence the purchase intention of halal certified products. As the relation self-efficacy → purchase intention (H3) was not supported, the study contends that there is no relationship between self-efficacy and purchase intention of halal certified products.

Among six hypotheses based on religiosity (H5a, H5b and H5c) and subjective knowledge (H6a, H6b and H6c) four hypotheses (H5b, H5c, H6b and H6c) were supported. Both the hypotheses, based on direct relationships, of religiosity with

purchase intention (H5a) and subjective knowledge with purchase intention (H6a) were not supported. The relationship, religiosity→ attitude (H5a: beta=0.268, p<0.05) and religiosity→ subjective norms (H5b: beta=0.472, p<0.05) were supported. Further, the relationship, subjective knowledge→ attitude (H5a: beta=0.195, p<0.05) and subjective knowledge→ subjective norms, (H5b: beta=0.212, p<0.05) were also supported. Figure 2 presents the results of hypotheses testing. We also checked the indirect effect of religiosity and subjective knowledge on purchase intention (see Table 5). We found that religiosity had significant indirect and total effect on purchase intention while subjective knowledge had no indirect effect on purchase intention. Thus, we can conclude that religiosity has the only indirect effect on purchase intention while subjective knowledge has neither direct nor indirect effect on purchase intention.

## DISCUSSION

### Implications

Understanding halal perceptions of consumers can be a principal tool for companies to gain a competitive advantage in the market (Hussain et al., 2016; Wilson & Liu, 2011). These findings have several compelling contributions for marketers and theory building in the area of religiosity and consumer behaviour. First as mentioned above we found that religiosity affects attitude, companies should advertise their products showing religious people as a user of these products and they should highlight
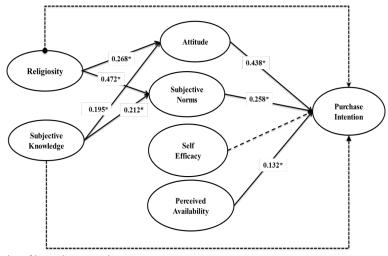
*Figure 2.* Results of hypotheses testing

Halal attribute of the product. Second, there is a positive relationship between attitude and purchase intention of halal food products. In order to promote the purchase for halal products, marketers should, therefore, try to enforce attitude towards halal products. For example, firms should give more emphasis on the benefits of using halal products. They should use the halal logo, labelling highlighting certification of the product as halal. Third, finding showed subjective norm influences the decision to purchase halal food products. The possible implication for this study is that a firm should promote their halal products as socially desirable and can be achieved by showing the use of these products by high profile people, Ulama (religious scholar and preachers), Head of Muslim organisations and celebrities. For example, India has some Muslim socially respectable celebrities, like Zaheer Khan, Irfan Habib, Irfan Pathan and Yusuf Pathan, advertisement by these celebrities can be useful to make the halal products more socially desirable.

Future researchers should further investigate how different sect of Muslim, namely Shia, and Sunni respond to halal products. This will provide a better understanding. Moreover, this should be confirmed in different settings. Since in European countries Non-Muslim have also shown an inclination towards halal products. Hence, Indian Non-Muslim should also be studied in order to increase the opportunity for the halal market. We also support the call of Mukhtar and Butt (2012) for the study of halal products of specific categories, like cosmetics (Rahman et al., 2015), chocolates, meat, and cookies.

**Limitations**

The findings of this research cannot be generalised due to the small size of the sample. We have used only the sample of six Muslim populated districts in the

state of Uttar Pradesh, which cannot be representative of the whole country. Only limited market players are selling halal products in India; hence respondents may not be aware of the products. We have not specified the product category, which might have suffered from the lack of specification of the object. More specific category of the product would have provided better results (Ajzen, 1991). Religiosity scale used for this study is uni-dimensional, whereas most of the previous studies are based on multi-dimensional, like intrinsic, social extrinsic and personal extrinsic religiosity (Baazeem et al., 2016), intrapersonal, interpersonal religiosity (Mukhtar & Butt, 2012).

## CONCLUSION

The current study aimed to contribute the understanding of the Muslim consumers' halal food purchase intention with emphasis on the roles of religiosity and subjective knowledge or subjective knowledge. The findings of this study offer several implications for policymakers and marketers to condition the Muslim consumers purchase intention. Of course, the current study is not free from the limitations of operationalisation the constructs, as this study uses a uni-dimensional construct of religiosity and subjective knowledge. The current study did not measure the influence of regional differences. Future researchers should also investigate how Non-Muslim perceives halal products.

## ACKNOWLEDGEMENT

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# Coping Styles and Satisfaction with Classroom Management Techniques among Oman Public School EFL Teachers

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## ABSTRACT

The study examined the relationship between English as a Foreign Language (EFL) instructors' preferred coping styles and their levels of satisfaction with classroom management techniques. One hundred and sixteen (116) participants teaching in Omani public schools were administered a three-part questionnaire. Descriptive and inferential analysis, including Pearson correlation coefficients and independent samples t-tests, were used to determine preferred coping styles and relationships between styles and satisfaction with classroom management. Results indicate participants were more likely to use the active coping styles of Relaxation and Social Problem Solving than Passive-Avoidance. This preference was not impacted upon by gender or grade taught (Cycle 1 or Cycle 2). Only a weak relationship was found between the use of Relaxation and satisfaction with classroom management, although no other statistically significant correlations existed. These findings can inform teacher training about the use of strategies associated with more positive coping styles, and for classroom management approaches in both Omani public schools and similar education contexts worldwide.

*Keywords:* Basic education, classroom management, coping styles, EFL, Oman

## INTRODUCTION

Teaching necessarily involves a large amount of affect as teachers are prone to experience a myriad of feelings during the school day (Brophy, 1986). Many of these emotional responses "arise from management and disciplinary classroom interaction" (Sutton et al., 2009). Yelling, loss of temper, and displays of verbal and physical aggression can damage the teacher-

student relationship and discourage students from learning subject matter. Consequently, Sutton et al. (2009) stated that, to achieve set instructional objectives, teachers must regulate their emotions through the use of various coping strategies. The range of emotion regulation and coping strategies available to teachers is quite large (Hoots, 2014; Lewis et al., 2011). Teachers employ a selection of these strategies because "overriding the immediate subjective emotion experience assists their longer-term goals, thus making them much more effective" (Sutton et al., 2009, p. 132).

Coping strategies are defined by Lazarus (1993) as "ongoing cognitive and behavioural efforts to manage specific external and/or internal demands that are appraised as taxing or exceeding the resources of the person" (p. 237). While this definition focuses on cognitive and behavioural reactions to everyday events, Romi et al. (2013) reminded readers of the importance of affective responses and how coping, as a dynamic process that changed over time, was dependent on contexts and actors. A teacher's use of coping strategies may directly impact on their levels of stress, attrition, job satisfaction, and quality of work. These strategies are especially important for teachers, according to Kebbi and Al-Hroub (2018), as they are prone to experience high levels of stress that can negatively impact their decision-making ability and classroom actions. As a result, coping strategy preference can be considered an important factor associated with teaching effectiveness and the overall quality of instruction students receive.

Individual personality traits, including resilience, extraversion, and openness to experience, may be related to preferred coping strategies and how well people, including teachers, handle stress (Afshar et al., 2015; Romi et al., 2013). Afshar et al. (2015) noted that certain personality traits were associated with the use of more active coping strategies which generally contributed to more positive outcomes. Active coping strategies, including problem engagement and seeking support, are often linked in the literature with more effective teacher instruction.

Active coping strategies used by teachers, according to Sharplin et al. (2011), include seeking support and advice from others and being proactive in dealing with stress and problems. The use of these strategies may be an effective mitigator of teacher stress (Asmaa et al., 2018). On the other hand, avoidance strategies involve teachers' attempts to avoid the sources of stress. The use of these strategies has been associated with a lack of professional accomplishment, emotional exhaustion, and the depersonalisation of students. The tendency to use avoidance strategies, moreover, may be related to increased stress levels and the emergence of more or stronger negative symptoms. As a result, these strategies are less beneficial than directly confronting stressors and using active coping strategies to deal with them.

While teachers encounter any number of stressors in their professional lives, classroom management often presents one of the biggest challenges. This is especially

true of novice teachers (Dicke et al., 2015). Classroom management, or teacher actions to create a supportive, safe, and effective learning environment, (Brophy, 2006; Evertson & Weinstein, 2006), is often linked in the literature to teacher stress (Dicke et al., 2015). Teachers with ineffective classroom management techniques are more likely to experience higher levels of classroom stress. According to Sharplin et al. (2011), teachers who experience higher levels of stress may be more likely to engage in avoidance coping strategies. Salkovsky et al.'s (2015) model highlights the relationship between the stress caused by the disparity between teachers' preferred and actual classroom management techniques and their use of coping styles. This model forms one of the theoretical bases for the current study.

Despite the importance of coping styles for teacher personal and professional well-being, this is an area that has received little direct investigative attention in the Omani context. An exploration of Omani English teachers' classroom management techniques and coping styles was considered important due to the potential impact of these factors on the quality of instruction taking place in the country's public school classrooms. In particular, the literature reports that Omani school students generally graduate with limited English language skills to an extent that is detrimental to their future studies and careers (Al-Mahrooqi & Tuzlukova, 2014). Numerous factors associated with this issue have been examined, with teachers and the quality of teaching being offered as amongst the most influential (Al-Mahrooqi & Denman, 2016).

Due to the potential influence that teacher coping styles and classroom management have on the quality of teaching, this research examined the link between teacher satisfaction with classroom management techniques and coping style preference among Cycle 1 (grades 1-4) and Cycle 2 (grades 5-10) EFL instructors in Oman's public schools. It did this by examining the following research questions:

1. What are the preferred coping styles (Social Problem Solving, Passive-Avoidance, Relaxation) of Cycle 1 and Cycle 2 EFL teachers in Oman's public schools?

2. Is coping style preference impacted upon by the variables of teacher gender and grades taught (Cycle 1 or Cycle 2)? If yes, how?

3. What relationship, if any, is there between teachers' satisfaction with their classroom management techniques and coping style preference?

## LITERATURE REVIEW

### Coping Styles

Hoots (2014), citing Lazarus and Folkman (1984), stated that there were two primary coping styles: emotion-focused and problem-focused. The former involves efforts made to regulate emotional responses by increasing emotional balance and tolerance of a stressful situation. Problem-focused coping styles, on the other hand, encompass efforts to deal with stress by taking some form of action to minimise or alter its source. The use of problem-focused coping styles has

been associated in the literature with the effective mediation of the link between stressors and emotional exhaustion among teachers (Pogerea et al., 2019). Hoots (2014) continued that people usually combined these coping styles, although emotion-focused coping styles were generally used when an individual believed that they could not change or avoid the source of the stress, while problem-focused styles were employed when the person believed taking action would help to minimise it.

Lewis et al. (2011) expanded upon this dichotomy by offering three main coping styles. The first is Social Problem Solving, which is a process whereby a person identifies and discovers effective ways of coping with stressful situations in their daily lives (D'Zurilla et al., 2004). Social Problem Solving encompasses such strategies as attempting to solve the problem, putting effort into one's work, asking a professional for help, talking to colleagues and giving each other support, going to meetings that focus on the problem, and improving relationships with others.

The next main coping style offered by Lewis et al. (2011) was Passive-Avoidance. Passive Avoidance entails efforts to minimise or ignore the stressor (Afshar et al., 2015). It is associated with the strategies of consciously blocking out the problem, not letting others know how one is feeling, not worrying about how things will turn out, daydreaming that things will turn out well, blaming oneself, and getting sick. The final coping style offered by Lewis et al. is

Relaxation. Relaxation includes making time for leisure activities, playing sports, trying to be funny and so on.

**Classroom Management**

Classroom management encompasses the actions instructors take to create a learning environment that is conductive to their students' academic and socio-emotional development (Brophy, 2006; Evertson & Weinstein, 2006). It is an essential aspect of successful teaching and learning environments, though one that many teachers, especially during the early years of their careers, can find particularly challenging (Dicke et al., 2015). Effective classroom management approaches are associated, according to Lyons et al. (2014), with successful, satisfied teachers and students who share a sense of belonging in a safe and happy learning environment. However, Romi et al. (2013) maintained that classroom management issues, alongside student misbehaviour, were among the major sources of teacher stress.

Lewis et al. (2011) reported that teachers who used more socially-oriented problem solving, here defined as a tendency to employ Social Problem Solving coping styles, generally used more inclusive classroom management techniques. These include recognising appropriate behaviour, hinting, discussion, ensuring student involvement and so on. On the other hand, instructors who use more Passive-Avoidance coping styles are prone to use aggressive classroom management

techniques, including yelling angrily, embarrassing/humiliating misbehaving learners, group punishment and so on.

The use of Passive-Avoidance coping styles may actually cause higher levels of stress in the classroom, thereby contributing to teacher burnout, staff turnover, and teacher depersonalisation of learners (Romi et al., 2013). Feeding further into this cycle, Austin et al. (2005) claimed that teachers who experienced higher levels of stress might be more likely to employ negative coping strategies, such as those associated with Passive-Avoidance coping styles. It is due to this relationship that teachers' use of more positive coping styles may be one of the most important factors associated with effective classroom management.

## Relationship between Coping Styles and Classroom Management

Romi et al. (2013) examined the relationship between coping styles and classroom management in Australia, China, and Israel. The authors reported variations in the nature of these relationships across the three research contexts. For example, instructors in China generally used wishing and praying as coping strategies more than their non-Chinese counterparts, while worrying in Israel was associated with the active seeking of professional help and input (Social Problem Solving). These cultural differences between the three featured nations suggest that many of the understandings of teacher coping styles posited in the literature may be highly culturally-bound.

The model offered by Salkovsky et al. (2015) hypothesised the relationships between teacher stress, coping styles, and classroom management inhibitors by focusing on how teacher stress caused by the gap between preferred and actual classroom management techniques contributes to the use of a particular coping style. Classroom management inhibitors in this model, including students, classrooms, parents, the school and so on, contribute to this stress while also sharing a two-way relationship with teachers' use of coping styles. As a result, Salkovsky et al. (2015) maintained that particular classroom management inhibitors "may result in greater use of a particular coping style".

While Romi et al. (2013), Lewis et al. (2011) and Salkovsky et al. (2015) explored, among other variables, various aspects of the relationship between teacher coping styles and classroom management techniques, very little direct attention had been paid in the literature to the potential link between teacher satisfaction with their classroom management techniques and use of coping styles. This was considered a potentially interesting area following from Salkovsky et al.'s (2015) study of the stress caused by the disparity between actual and preferred classroom management techniques, here conceived of in terms of levels of satisfaction with classroom management, and coping style use. Directly referencing Romi et al.'s (2013) cross-cultural work, the study was conducted in a research context that has, to date, received very little topic-related

investigative attention and where the quality of instruction taking place had been the focus of increasing amounts of investigative concern – Cycle 1 and Cycle 2 EFL classes in Omani public schools.

## METHODS

### Sample

After receiving relevant ethics approvals and administrative permissions, the research team recruited English teachers from a number of government Basic Education schools across Oman. The research team, after securing the permission of school administrators, approached English teachers at their schools with information about the study, including its purpose, voluntary and confidential nature, and participant rights. The only criteria for selection was that participants were currently teaching English in either Cycle 1 (grades 1-4) or Cycle 2 (grades 5-10) in Omani public Basic Education schools.

Participants were asked to complete a pen-and-paper version of the questionnaire and to return it to the researchers during the same day as administration. A total of 116 English teachers from schools across 11 governorates were recruited. Of these, 75 (64.7%) were female and 41 (35.3%) were male. Thirty-two participants (27.6%) taught in Cycle 1 schools, 78 (67.2%) in Cycle 2, while the remaining participants did not indicate the grade they were currently teaching.

### Instrument

In order to explore the potential relationship between Oman public school EFL teachers' satisfaction with classroom management techniques and their preferred coping styles, a questionnaire, largely based on the instrument developed by Akin-Little et al. (2007) and the work of Lewis et al. (2011), was developed by the researchers. After the instrument was adapted by the research team, it was submitted to a panel of five professors and instructors at an Omani public university for validation. Panel feedback focused on issues of validity, content coverage, item wording and so on. The panel feedback guided the further modification of the instrument into its final form.

Due to time constraints associated with the data collection window, including the need to approach public schools during a relatively quiet period of the school semester, a pilot study was not conducted. However, Cronbach alpha analysis was performed to determine the internal consistency of relevant questionnaire categories (see Data Analysis). As the current study was part of a larger, nation-wide investigation, this paper focuses on data collected on three parts of the larger questionnaire.

The first part elicited participant background information. The second featured 15 coping strategies associated with Social Problem Solving, Passive-Avoidance Coping, and Relaxation coping styles that were adapted from Lewis et al. (2011). Participants were asked to indicate

how often they employ each strategy on a 5-point Likert-type response scale with the response options of: Never (1); Rarely (2); Sometimes (3); Often (4); and Always (5). The strategies associated with each coping style are featured in Table 1.

The final part of the questionnaire was concerned with participant satisfaction with their classroom management. Satisfaction was measured by three questionnaire items: I am pleased with my classroom management techniques; I feel my classroom management techniques are adequate; and I would like to learn more about being an effective classroom manager. Participants were asked to respond to these items on a 5-point Likert-type response scale with response options ranging from Strongly Disagree (1) to Strongly Agree (5).

**Data Analysis**

As stated above, a Cronbach alpha coefficient was calculated to determine the internal consistency of the second part of the questionnaire (teacher coping styles). Descriptive analysis, including frequency counts and medians, was performed on the ordinal data collected from this questionnaire part. Aggregate scores for each of the three coping styles were next calculated and resultant values treated as interval data. A series of independent samples t-tests was used to explore whether the variables of gender and grade taught impacted upon preference for the three coping styles. The acceptable probability level for the t-tests was set at $p \leq 0.05$.

Means and standard deviations were used to analyse the interval data collected through the three items from the third part of the questionnaire (teacher satisfaction with classroom management techniques). Independent samples t-tests were calculated for the independent variables of gender and grades taught and each of these items. Next, Pearson's correlation coefficients were used to examine the strength and statistical significance of relationships between the three questionnaire coping styles and participants' satisfaction with their classroom management techniques. Assumptions of normality for each variable were examined through the use of histograms and by examining skewness and kurtosis values. These values all fell within the -2 to +2 range (George & Mallery, 2010); thus, normal distribution was assumed. Acceptable probability levels for the independent samples t-tests and the correlation coefficients were again set at $p \leq 0.05$.

**RESULTS**

The Cronbach alpha reliability coefficient for the second questionnaire part was 0.74, thereby indicating an acceptable level of internal consistency. Table 1 features coping strategies in descending order from the most frequently-employed to the least based on both median and percent of participants who always use each strategy. Eight of the 15 coping strategies received medians of 4, which indicates that participants often use them. These include, "Daydreaming about

Table 1
*Teacher use of coping strategies*

| Style | Coping Strategy | Never | Rarely | Sometimes | Often | Always | No response | Median |
|---|---|---|---|---|---|---|---|---|
| PA | Daydreaming about a successful solution to the misbehaviour | 3.4 | 6.9 | 21.6 | 20.7 | 43.1 | 4.3 | 4.00 |
| SPS | Attempting to understand the cause of the misbehaviour | 0.0 | 1.7 | 19.0 | 38.8 | 39.7 | 0.9 | 4.00 |
| R | Accepting my students' best efforts without demanding much from them | 1.7 | 3.4 | 26.7 | 37.9 | 27.6 | 2.6 | 4.00 |
| SPS | Improving my relationship with others to help overcome any negative feelings I have | 4.3 | 7.8 | 27.6 | 34.5 | 23.3 | 2.6 | 4.00 |
| R | Using humour either inside or outside the classroom | 0.9 | 15.5 | 32.8 | 30.2 | 19.8 | 0.9 | 4.00 |
| PA | Worrying about whether the misbehaviour will continue | 12.9 | 9.5 | 24.1 | 33.6 | 16.4 | 3.4 | 4.00 |
| R | Finding a way to reduce my stress | 1.7 | 11.2 | 26.7 | 41.4 | 16.4 | 2.6 | 4.00 |
| R | Making time for leisure activities | 0.9 | 6.0 | 36.2 | 37.9 | 16.4 | 2.6 | 4.00 |
| SPS | Talking to other teachers to gain their support | 9.5 | 19.0 | 31.9 | 25.0 | 12.9 | 1.7 | 3.00 |
| SPS | Putting effort into my work so I can forget the misbehaviour | 6.9 | 11.2 | 34.5 | 36.2 | 10.3 | 0.9 | 3.00 |
| SPS | Asking a colleague or other expert for help in dealing with the misbehaviour | 8.6 | 15.5 | 38.8 | 26.7 | 9.5 | 0.9 | 3.00 |
| PA | Not letting others know how I feel | 12.9 | 20.7 | 33.6 | 21.6 | 8.6 | 2.6 | 3.00 |
| PA | Refusing to think about the misbehaviour | 23.3 | 19.8 | 28.4 | 19.0 | 7.8 | 1.7 | 3.00 |
| PA | Blaming myself for the misbehaviour | 23.3 | 18.1 | 30.2 | 15.5 | 6.9 | 6.0 | 3.00 |
| SPS | Going to meetings where the misbehaviour is discussed | 7.8 | 28.4 | 33.6 | 23.3 | 5.2 | 1.7 | 3.00 |

*SPS = Social Problem Solving; PA = Passive-Avoidance; R = Relaxation / **Rounding error means row totals may sum to 0.1% higher or lower than 100%

a successful solution to the misbehaviour" (PA) with 43.1% of participants always using this strategy, "Attempting to understand the cause of the misbehaviour" (SPS) (39.7% always), "Accepting my students' best efforts without demanding much from them" (R) (27.6% always), and, "Improving my relationship with others to help overcome any negative feelings I have" (SPS) (23.3% always). Other items that recorded a median of 4 are: "Using humour either inside or outside the classroom" (R) (19.8% always), "Worrying about whether the misbehaviour will continue" (PA) (16.4% always), "Finding a way to reduce my stress" (R) (16.4% always), and, "Making time for leisure activities" (R) (16.4% always).

The remaining coping strategies all recorded medians of 3, indicating that participants generally use them sometimes. These include, "Talking to other teachers to gain their support" (SPS) (12.9% always), "Putting effort into my work so I can forget the misbehaviour" (SPS) (10.3% always), "Asking a colleague or other expert for help in dealing with the misbehaviour" (SPS) (9.5% always), and, "Not letting others know how I feel" (PA) (8.6% always). The items that received the lowest percentages in the always response column are, "Refusing to think about the misbehaviour" (PA) (7.8% always), "Blaming myself for the misbehaviour" (PA) (6.9% always), and, "Going to meetings where the misbehaviour is discussed" (SPS) (5.2% always).

Aggregate scores for the three coping strategies were calculated. The mean for Social Problem Solving was 20.35 ($SD$ = 3.63), with 6 representing the lowest possible score and 30 the highest, 14.63 ($SD$ = 2.39) for Relaxation, where 4 is the lowest possible score and 20 the highest, and 15.36 ($SD$ = 3.61) for Passive-Avoidance where 5 is the lowest possible score and 25 the highest. Independent samples t-tests were calculated to explore whether coping style aggregate scores were impacted upon by the independent variables of gender and grade taught (Cycle 1 or Cycle 2). No statistically significant differences for either variable were found at the $p \leq 0.05$ level.

Participant responses to the three items dealing with participants' level of satisfaction with their classroom management techniques are featured in Table 2. Respondents agreed that they were pleased with their classroom management techniques ($M$ = 4.05, $SD$ = 0.94) and felt their classroom management techniques were adequate ($M$ = 3.82, $SD$ = 0.90). Despite this apparent level of satisfaction, teachers also agreed that they would like to learn more about being effective classroom managers ($M$ = 4.04, $SD$ = 1.17).

Table 2
*Satisfaction with classroom management techniques*

| Item | Mean | SD |
| --- | --- | --- |
| I am pleased with my classroom management techniques. | 4.05 | 0.94 |
| I feel my classroom management techniques are adequate. | 3.82 | 0.90 |
| I would like to learn more about being an effective classroom manager. | 4.04 | 1.17 |

Independent samples t-tests were conducted for the variables of gender and grade taught for these items. Gender was found to have a statistically significant difference at the $p \leq 0.05$ level with the first two items. Female participants ($M = 4.22$, $SD = 0.87$) agreed more strongly that they were pleased with their classroom management techniques than their male counterparts ($M = 3.73$, $SD = 0.99$) ($t(104) = 2.62$; $p = 0.01$). Similarly, female participants ($M = 3.97$, $SD = 0.87$) also agreed more strongly than male respondents ($M = 3.53$, $SD = 0.88$) that their classroom management techniques were adequate ($t(103) = 2.46$; $p = 0.02$). No statistically significant differences were found for these items based on the variable of grade taught.

Pearson correlation coefficients were calculated to determine if statistically significant relationships existed between teachers' reported satisfaction with their classroom management techniques and their use of coping styles. Table 3 indicates that teachers' use of Social Problem Solving did not have a significant correlation with any of the three items. The use of coping strategies related to Relaxation displayed a weak positive, though statistically significant, correlation with the first item, "I am pleased with my classroom management techniques" ($r = 0.22$, $p = 0.03$), though not with remaining items. Finally, there did not appear to be a linear relationship between Passive-Avoidance coping styles and each of the three items.

## DISCUSSION

### Preferred Coping Styles

The first research question explored the preferred coping styles and associated strategies used by EFL teachers in Cycle 1 and 2 Omani Basic Education public schools. Overall, participants were most likely to use coping strategies related to the coping style of Relaxation ($M = 14.63$ from a highest possible aggregate score of 20), followed by Social Problem Solving ($M = 20.35$ from 30), and then Passive-Avoidance ($M = 15.36$ from 25). Participants indicated that they often used eight of the 15 coping strategies featured in the questionnaire, with these being drawn from all three of Lewis et al.'s (2011) main coping styles.

Table 3
*Correlations between coping styles and classroom management satisfaction*

| Item | Social Problem Solving | Relaxation | Passive-Avoidance |
|---|---|---|---|
| I am pleased with my classroom management techniques. | 0.19 | 0.22* | -0.01 |
| I feel my classroom management techniques are adequate. | 0.05 | 0.15 | 0.06 |
| I would like to learn more about being an effective classroom manager. | 0.11 | 0.15 | 0.02 |

*Significant at the $p \leq 0.05$ level

The Relaxation strategies teachers reported using included finding ways to reduce stress, engaging in leisure activities, using humour, and accepting their learners' best efforts without making too many demands. Social Problem Solving strategies often used by respondents included trying to improve relationships with others and attempting to understand the cause of the misbehaviour. The two strategies that respondents sometimes engaged in were also both from the Social Problem Solving coping style – talking to other teachers for support and asking them for help in dealing with the misbehaviour. In terms of Passive-Avoidance, respondents reported often engaging in daydreaming about achieving a successful solution to the issue, and worrying that the misbehaviour will continue.

One of the three least commonly used coping strategies was related to Social Problem Solving – discussing the misbehaviour at meetings – while the remaining two were drawn from Lewis et al.'s (2011) Passive-Avoidance coping style. These were the Passive-Avoidance strategies of refusing to think about the misbehaviour and teachers blaming themselves for the problem. The fact that EFL teachers in Omani public schools appear more likely to employ strategies associated with Social Problem Solving and Relaxation coping styles than Passive-Avoidance is a positive sign. It indicates that, overall, participants tend to take more problem-focused, positive approaches to coping that are more likely to successfully mitigate classroom stress (Asmaa et al., 2018; Austin et al., 2005; Hoots, 2014).

Despite this, the relative frequency of use of the Passive-Avoidance coping strategies of daydreaming and worrying about the continuance of the misbehaviour may represent a potential cause for concern, especially if engaging in such strategies contributes to higher stress levels. However, this result should be interpreted in light of Romi et al.'s (2013) finding that the use of worrying in Israel was associated with teachers actively seeking professional help and guidance. In this context, worrying about misbehaviour is more closely linked with Social Problem Solving than Passive-Avoidance coping styles. While an exploration of the specific behaviours associated with each of the coping strategies and styles featured in the current study was beyond the purview of the current research, an examination of these, and other culturally-bound, teacher actions associated with different coping styles may be a promising area of future research. Similarly, as the teacher variables of gender, contrary to Salkovsky et al.'s (2015) findings, and grade taught did not have a statistically significant impact on preferred use of coping styles, the examination of other teacher variables in the Omani context, including stress levels and attitudes towards learners and learner behaviour (Alhija, 2015), may also be informative.

## Satisfaction with Classroom Management Techniques

In response to the third part of the questionnaire, participants indicated that they were largely satisfied with their classroom management techniques. However, despite this reported level of satisfaction, they also agreed that they would like to learn more about being effective classroom managers.

The challenges associated with the current professional development system for public school teachers in Oman have been noted previously. Authors such as Al Jabri et al. (2018) detailed the introduction of the Ministry of Education's Specialised Centre for Professional Training of Teachers in 2014 as an important step in offering systematic, monitored training opportunities for teachers. Under the aegis of this centre, professional development opportunities that focused on both coping styles and classroom management techniques could be offered.

As no statistically significant differences in level of satisfaction or desire for future training opportunities in this area were identified based on grade taught, any training offered could be made available for both Cycle 1 and Cycle 2 teachers. The gender difference of female teachers being more satisfied with their classroom management techniques than their male colleagues could also be viewed as a potential asset in the training process, in that mixed training groups can learn from each other's perceptions and experiences, in addition to the unique experiences associated with Cycle 2 student and teacher gender-segregated schools.

## Relationship between Coping Styles and Classroom Management

Based on the literature and their own professional experiences in the research context, the authors expected to find positive correlations between teacher level of satisfaction with classroom management techniques and use of Social Problem Solving and Relaxation on the one hand, and a negative correlation between satisfaction and Passive Avoidance coping styles on the other (Austin et al., 2005; Dicke et al., 2015). This expectation was also founded on the hypothesised relationship between stress caused by the disparity between actual and preferred classroom management techniques and coping styles as offered in Salkovsky et al.'s (2015) model. These expectations, however, were only partially met.

Pearson correlation coefficients between the first classroom management item, "I am pleased with my classroom management techniques" and the coping style of Relaxation ($r = 0.22$, $p \leq 0.05$), were positive but weak, while this item did not share a significant correlation with either Social Problem Solving or Passive Avoidance coping styles. Moreover, no statistically significant linear associations between all three coping styles and the items, "I feel my classroom management techniques are adequate", and, "I would like to learn more about being an effective classroom manager," were found.

This finding suggests that, while a positive relationship between being pleased with classroom management techniques and the use of coping techniques associated

with Relaxation, such as engaging in leisure activities, playing sport and so on, might exist among Omani teachers, in general no relationship exists between their overall satisfaction with classroom management techniques and preferred coping styles, at least as far as these variables were measured in the current research. Future research, however, could adopt a more systematic approach to determine teachers' level of satisfaction with classroom management techniques, and could also explore whether a relationship between coping strategies and actual classroom practice exists (see Conclusion).

## CONCLUSION

The current study's findings suggest that, overall, Cycle 1 and 2 public school EFL teachers in Oman generally engage in positive, active coping strategies associated with Relaxation and Social Problem Solving coping styles, with this preference largely not influenced by teachers' gender or the grade in which they teach. These teachers are also largely satisfied with their classroom management techniques, although they indicate a desire for continued professional development in this area. While the frequent use of worrying about misbehaviour and daydreaming about a successful resolution to the issue may indicate a potential cause for concern, future research exploring associated teacher actions within the Omani socio-cultural context could provide greater detail about whether these strategies were related to the use of more active or passive coping styles. Finally, there does not appear

to be significant relationship between preferred coping styles and satisfaction with classroom management, although a preference for Relaxation did share a weak, positive relationship with teacher satisfaction.

A number of limitations must be acknowledged when seeking to interpret these findings and when applying them to similar education contexts both within the Arab world and beyond. First, only three items were employed to gauge teachers' level of satisfaction with their classroom management techniques. Although the brevity of this questionnaire part was intended to help avoid respondent fatigue in response to the larger instrument used in the full-scale study, future research could either expand this scale or use an adapted version of a classroom management instrument that focuses on teacher practice, such as the Questionnaire on Classroom Management in Early Childhood Education (Nault, 1994, adapted by Pozo, 2003). This approach would allow researchers to develop a more accurate picture of participants' actual classroom management techniques, thereby providing a more nuanced understanding of the relationship between these techniques and coping styles.

In addition, the current study only focused on EFL teachers from Cycles 1 and 2 (grades 1-10) of Omani public schools. Future research could explore coping styles and/or satisfaction with classroom management techniques among teachers from across subject areas in both cycles, and could compare these with teachers

in Post Basic education (grades 11-12). Finally, although the adapted questionnaire used in the current study underwent a validation process and Cronbach alpha coefficients were calculated to determine its internal validity, further exploration of its psychometric qualities is necessary to ensure that it accurately measures teachers' preferred coping styles.

The current study's status as exploratory research means that future investigations will be necessary to more fully examine the potential relationship between teachers' coping styles and satisfaction with their classroom management techniques, in addition to links between coping styles and actual classroom practice, even if only minimal evidence of these relationships is reported here. Gaining a clearer understanding of this area may contribute to the quality of English language instruction taking place, not just in Omani schools, but also in similar education contexts around the world.

## ACKNOWLEDGEMENTS

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# Motivation to Graduate on Time: A Case Study in Malaysia

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## ABSTRACT

Today, postgraduate students' ability to graduate on time (GOT) has become a much-debated issue. In most cases, failure to GOT involves an array of factors. Nevertheless, identifying and having a good understanding of these factors that affect students' motivation towards GOT is of critical importance so that the necessary measures can be taken to address GOT. Hence, this study aimed to investigate factors affecting students' motivation towards GOT. This study employed a case study research design which involved 191 postgraduate students and 13 supervisors. Data were collected using both quantitative and qualitative research instruments. The findings revealed that first-year students' level of motivation towards GOT level is comparatively higher than their seniors. Secondly, both the first-year students' intrinsic and extrinsic motivation towards GOT level was significantly higher than students in subsequent semesters. Thirdly, the student and institutional factors predicted the motivation towards GOT level. Lastly, both the supervisors and students perceived that it was important for supervisors to be competent in conducting research besides monitoring students' progress, so that students were motivated to GOT. This study has also proposed a tracking online system called Hybrid Supervision to assist supervisors in monitoring and providing motivation to their postgraduate students to GOT.

*Keywords*: Motivation towards GOT, postgraduate students, supervision

## INTRODUCTION

In today's keen competitive global environment, there has been an increasing demand for postgraduate study. While universities are promoting their postgraduate programmes, sparking an increase in postgraduate enrollment, the same cannot be said of the rate of completion. In most cases, the low completion rates or failure of graduate on time (GOT) is connected to a complex link of factors. Throughout their postgraduate (PG, hereafter) journey, these students need to be facilitated with different types of support (Hoon et al., 2019). Hence, putting in observation that may arise at the beginning period of their studies is crucial. There is no denying that many students embark on PG study with high motivational levels but once they are confronted with challenges, these motivational levels may slide down to an all-time low, resulting in failure to GOT or complete withdrawal from the programme.

Postgraduate study involves a number of stages. The initial stage of preparation involves the preparation of a research proposal, structuring of the research framework followed by a research proposal defense. The next stage is the data collection and data analysis stages which result in the writing of the Final Report / Thesis. The final stage is the Viva Voce where PG students are required to demonstrate sufficient knowledge of the subject in order to obtain their PG degree. Since all these stages are challenging in nature, motivational factors are important for ensuring success. Nevertheless, motivation level change at different stages of the study and in different situations. For this reason, PG departments at both the faculty and university levels and supervisors must put in effort to ensure motivation to GOT is provided at all stages of PG study. Cognitively, the postgraduate students should primarily focus on the acquisition of research skills and content knowledge which are related to their studies. Independently, the students need to make decisions on their focus and content. Psychologically, the students need more support in terms of enhancing their research skills and guidance from related parties namely supervisors and institutions. Research has indicated that competency in the related field and motivation are associated to each other (Tu & Zhou, 2015). As such, factors that contribute to GOT are becoming crucial for achieving universities' key performance index upon graduation on time. It is envisaged that their adaptation to the environment is highly related to motivation to carry out their studies. To date, PG students' level of motivation has taken a backseat compared to other factors such as supervision, institutional and student factors. Although there have been some attempts to address this aspect (Lynch et al., 2018; Meng et al., 2017; Teowkul et al., 2009), more description of the related variables for the motivational factors are desired, leaving a gap to find comprehensible factors for motivation towards GOT. Hence, this study aimed to investigate postgraduate students' perceptions on the factors (student, supervisor and institutional factors) that had an impact on motivation towards GOT as

well as both supervisors' and supervisees' views on the motivation.

## LITERATURE REVIEW

As mentioned above there are an array of factors that can affect PG students to GOT. The following section addresses a few of these factors and their influence on PG study.

**Challenges towards Graduate on Time**

It is a common scenario among universities in the world where many students are facing difficulties during their thesis writing process. According to Miller (1995), students' attitudes in terms of student persistence highly contributed to the attrition rate. Students usually start the dissertation phase with a strong steady pace, but their progress becomes slower after the research proposal stage if the research proposal needs a lot of correction. Their persistence is hindered by the challenges in the stages of postgraduate study from various aspects such as student, supervisor and institution (Manchishi et al., 2015). Among these aspects, it is crucial for them to stay persistent so that they are ready to accept any quality of supervision (Girves & Wemmerus, 1988). Only students who interpreted their difficulties as challenges are aware of the needs of facing the difficulties. These students display good habits of mind that promote perseverance and subsequently putting in effort for improvement (Costa & Kallick, 2005). The challenges of improvement are related to many different skills of writing thesis or research.

Studies have been conducted to identify challenges encountered during the process of completion (Baharudin et al., 2013; Costa & Kallick, 2005) as well as strategies to complete a research dissertation and thesis (Majid et al., 2010). It is commonly reported that student's challenges in completion of thesis could be affected by students' factors (Ho et al., 2010), including the skill of time management (Nzewi et al., 2016), supervisor factors (Lategan, 2008; Van der Linde, 2012). As such, there is a research gap in addressing the challenges from the perspective of prominent factors (student, supervisor and institution) which influence the students' motivation towards GOT and then affect the time taken to complete the study.

**Student Factors towards Graduate on Time**

On the students' engagement, their individual practices and experiences also influence their study. Sidhu et al. (2017) succinctly pointed out students as key players in the successful completion of postgraduate study needed to keep in mind a number of aspects. First and foremost, they must be aware of their roles and responsibilities as a postgraduate student. Besides that, they need to learn to work towards developing an engaging, meaningful and positive working relation with their supervisors. Finally, they need to ensure their readiness and competencies required in undertaking a postgraduate degree as emphasized by Jeyaraj (2018). Their study also revealed whilst students perceived themselves as

possessing moderate readiness in terms of their critical reading, writing, research and conceptual skills, their supervisors felt otherwise. The supervisors highlighted that majority of postgraduate students possessed limited readiness and competencies required to handle a postgraduate study. In this context, it is more important to define the students' readiness to carry out research work which in turn motivates them throughout the process. The students may be in different states of emotion when they register as postgraduate students. Students with high awareness on perception of challenges may develop more skills (Picken, 2015). So, their emotional states need to be taken care of. Putting too high expectation in the challenges may become worse in developing their required skills in writing. Students' willingness and commission in research also depends on attitudes. Their attitudes must be built among postgraduate students at the beginning of their study (Papanastasiou, 2005; Siamian et al., 2016). Similarly, sharing and caring on emotions, beliefs, behaviors and their interaction will determine the positive attitudes in doing research work (Zan & Martino, 2007). In short, postgraduate students need to work within a communicative society. The role of the society aims to promote the useful of conducting research in terms of contribution to life and relevancy besides reducing the anxiety to face difficulties of conducting research. The most important is to experience emotional freedom within the study environment (Varvogli & Darviri, 2011). Thus, the students need more communication and support among each other as well as with institution.

## Institutional Support

Institutional support plays a very important role to enhance university research goals (Department for Business, Innovation & Skills, 2015). An institution has direct connection with its' community. The community comes from staff and student. Henceforth, the flow of information has to be good in terms of latest rules, procedures and grants. Besides that, since both supervisors (staff) and postgraduate students are directly involved in conducting research, it becomes a culture in most educational institutions that both universities and supervisors bring in research grants to further develop their respective fields of interest. They are often encouraged to conduct their research pursuits with the help of postgraduate students. Sidhu et al. (2015) however, highlighted that more transparency was desired from institutions of higher learning in terms of research grants and fellowship applications. Such aid and support are important as supervisors who possess research grants often offer certain aspects of their research as students' research topics. On the other hand, both institutions and supervisors may play a role to assist support for any current research with funds from postgraduate programmes. with the existence of postgraduate programmes, the university in responsible to support the development of research. Effort of developing research culture can come from many different sources such as

intellectual community, research funding, and collaborative research (Cheetham, 2014). Lecturers in any university have their responsibility to apply for any grant to contribute knowledge in research, but institutions also look forward for any opportunity to allocate funds for research as well as adequate resource (Amran et al., 2014). Universities are heavily reliant on knowledge development and knowledge sharing in the society. The main aim of producing research work is also seen in terms of transforming existing knowledge (Laal, 2011). While emphasising on GOT, institutions put in a lot of effort to achieve the target number of GOT. Among the efforts, training courses related to research are popular actions taken. Their effort on GOT has increased the students' completion rate.

Within the institutions too, support and guidance should be provided to postgraduate students (Abiddin, & Ismail, 2011; Manchishi et al., 2018; Polonsky & Waller, 2018; Raffing et al., 2017; Sidhu et al., 2015; Singh, 2018). A study conducted by Sidhu et al (2015) involving 121 PG supervisors and 209 PG students from two institutions revealed that both parties were only moderately satisfied with information provided by their respective institutions. Both PG departments and supervisors are important parties to help institutions to assist students in terms of clarifying and providing the latest information about their studies. Institutions need to always remind supervisors to play a role as academic advisors. Therefore, institutions need

more advanced system too in monitoring supervision tasks. On the other hand, universities need to provide quality education to produce quality individuals with the highest individual potential developed. Proper guidance and effective education are always referred as main factors in determining individual success (Tinto, 2007). Among the criteria rated for effective education is the institutions' effort to promote students' learning in multiple ways.

The role of the environment, particularly the student's institution has been recognised as a crucial factor in completion of study (Tinto, 2007). Students need a good environment in their participation. Library services are one of the required services to complete postgraduate studies. In addition, accessing to library is an important element in conducting research, producing research paper and completing postgraduate studies. Since library resource is part of their success factor in completing research, investigation on the library services are crucial for the institution to refer as a guideline to provide an up to grade service. It was revealed that the role of library in facilitating research is always acknowledged among postgraduate students (Rasul & Singh, 2010). To this Sidhu et al. (2015) added that findings revealed that institutional support was not only lacking in terms of facilities but also in terms of professional development and opportunities for setting up learning communities. This was also reiterated by supervisors who expressed the need for better postgraduate facilities and

professional development for supervisors to enhance their supervisory practices.

## Supervisors' Support

According to Abiddin (2007) postgraduate students not only require good facilities to support their study but they also look for high quality supervisors. The importance of good supervision is corroborated in a survey conducted at an institution of higher learning in 1997. Other findings also indicated that students viewed time spent and input from supervisors as the most important factors that contribute to successful studentship (Atzinger et al., 2014; Cryer & Merten, 2003). This suggests that for successful completion of graduate study, it is essential to balance the interests of both supervisor and student.

The global diversity in terms of applying technology in any working environment certainly makes a different guidance in supervision. Nevertheless, building positive supports, expectation in multicultural environment avoid the presence of resentment (Bennett, 1995). The most important is the cooperation between supervisors and supervisees. They need to gain an understanding of each other to support a learning environment culture. The difference between supervisors' tasks and supervisees' tasks is to provide different supports from supervisors' and to show willingness with full perseverance from supervisees. Sidhu et al. (2013) highlighted that PG students were moderately satisfied with their supervisors' supervisory practices, but a majority indicated a preference

for a 'people' oriented supervisor. They felt an effective supervisor was one who was not only an expert in his area, but one would motivate and respect them as fellow-researchers and be willing to transfer his/ her knowledge in a flexible and non-threating learning environment. Therefore, supervisors' role in providing support is important since giving different forms of support may lead to academic independency and enhance intellectual maturity (Osborne, 1998). Studies have shown that the supervision process which involves both parties namely supervisors and supervisees needs to be designed practically to achieve GOT. A significant and recognized design should be introduced with an effective significant concept.

## Motivation towards Graduate on Time

Motivation is the most important factor for any success of learning. It has been witnessed that students' needs and desires are complex in this new era $21^{st}$ century of learning environment. Williams and Williams (2011) had suggested five key ingredients that impacted student motivation. They were student, teacher, content, method/process, and environment factors (Williams & Williams, 2011). Postgraduate students are also having the same feeling. They need motivation to be successful in getting their research done (Van Rensburg et al., 2016). In their learning environment also involves teachers who are known as supervisors, content and process which are seen as the knowledge and skills gain with process of completing their thesis (Mellard et al.,

2013), and environment which involves support from institution, supervisors and family members (Abiddin, & Ismail, 2011; Manchishi et al., 2018; Polonsky, & Waller, 2018; Raffing et al., 2017; Singh, 2018). Hence, investigation of postgraduate students' motivation towards GOT should take the considerations of the key factors. The key factors are the main source of providing supports to postgraduate students. The students need the support since the educational contexts of postgraduate studies are challenging. The Self-Determination Theory (Deci & Ryan, 1985) is the major provision for the justification of defining the domain in this study. The theory supports the view that basic psychological needs such as supervisors' supports are determinative among postgraduate students. The supports provide good experience of learning and hence motivate the students to progress.

The description of the completion on time is doubted to evaluate during the study time. This is when motivation takes place to predict the possibilities of completion. How motivation plays significant roles and these determinant factors affect the students' progress in their different stages becomes important aspects to be investigated to achieve GOT. So, this study was conducted among 191 postgraduate students to examine their motivation level. It also aimed to determine factors of motivation towards GOT.

## Graduate on Time and Employment

The demand of postgraduate studies is increasing globally. It was believed that the increase in number has a relationship with employability. Internationally, about 86% of companies hire workers with a postgraduate degree (Meikeng, 2017). The wider opportunities to get a job by undertaking postgraduate studies has encouraged more students to enroll into postgraduate programmes. Nevertheless, owning a postgraduate degree is not enough in employment since it is just a paper qualification (FindAMaster, 2016). More skills and abilities are needed in employment to meet career development. In brief, earning any post-graduate studies does not necessarily equate to employment prospect. But there is a prospect for them to have a better salary than those who own a basic degree. It was reported that those with a master's degree earn an average entry level salary higher compared to the bachelor's degree holders (Meikeng, 2017). A person's salary is determined by the requirements of the position which can be fulfilled with ones' abilities. How a student in postgraduate program manage themselves and solve problems as well as going through the process of study carries more points than obtaining the certificate. Their process of learning can be observed in the on-time completion of their studies since their abilities of going through the endeavor in their studies bring valuable experiences. If a student successfully achieves GOT, it indirectly indicates the student has proficiency to address all challenges of life as well. A postgraduate programme thoroughly provides opportunity for students to become strong and showing their

capability in their employment since they would have gone through experiences in solving difficulties of learning in a stipulated time which carries the means of GOT. Ryan and Zuber-Skerritt (2017) who reviewed factor of low completion rate, found that students' difficulties and their experiences of handling studies needed a lot of attention before supervisors could properly supervise them. It indicates that students' factor (challenges and experience) plays a major part in GOT and this influences students' prospect in their future employment. The impressive experiences gained during their studies was also claimed in a study done by Grebennikov and Shah (2017).

## METHODS

### Research Design

This research employed the case study design with mixed method approach involving both quantitative and qualitative research methods.

### Sampling

Quantitatively, a group of students was randomly selected to answer the questionnaires. The samples were selected from postgraduate students and thesis supervisors from two universities in the Klang Valley. A total of 191 students participated and answered the questionnaire. In addition, a total of 11 students and 13 supervisors were selected purposively to participate in an interview.

### Instrumentation

A questionnaire survey for postgraduate students was used to obtain responses from the respondents and was divided into seven sections. Section A explored the demographic profile of the respondents and examined aspects such gender, age, marital status, mode of current study, current year of enrolment and research focus, Section B comprised 19 items (18 quantitative and 1 qualitative) representing the contribution of supervisory factors towards the timely completion of PhD, Section C consisted of 33 items (32 quantitative and 1 qualitative) representing student factor for thesis completion. Section D containing 14 items (13 quantitative and 1 qualitative) investigated the institutional factor whilst Section E comprising 9 items (8 quantitative, 1 qualitative) explored motivational factors. Finally, both Section F which consisted of 27 items (26 quantitative, 1 qualitative) and Section G explored overall comments.

Besides the quantitative approach, this study also employed the qualitative approach as qualitative studies allow researchers to interpret a phenomenon in its natural settings (Denzin & Lincoln, 2011). More importantly, qualitative research is based on human experiences and in this case the exploration was done on real live experiences of postgraduate students' experiences and observations on postgraduate supervision which is often neglected in quantitative studies (Patton, 1991). For the qualitative approach, the data was collected via semi-structured interviews which combines a pre-determined set of

open-ended questions and at the same time it provided the researchers the flexibility to prompt and further explore particular responses and themes highlighted by the respondents (Cohen & Crabtree, 2006). The data collected was transcribed and analyzed thematically to identify patterns and themes using both inductive and deductive analysis. Nowell et al. (2017) cautioned that a lack of rigour in qualitative analysis could have implications in terms of credibility of the process and analysis. To enhance the internal validity of the qualitative data collected, two main steps were taken. First a member check was conducted to confirm that data presented was what the respondents actually said and meant. Secondly, a reliability test was carried out to ensure consistency in the process of data analysis (Lombard et al., 2010). Besides, in this stage, factor analyses were conducted to validate the construct validity too. Table 1 displays the results of factor analysis for instrument questionnaire for postgraduate students.

The analysis presented in the table above shows the results of percentage cumulative for rotation sums of squared loading (PCRSSL). The PCRSSL for factors motivation towards GOT, students' factor, supervisors' factor and institutional factor are 63.786%, 74.984% and 76.845% respectively. This indicates that the instrument was a reliable instrument.

Table 1

*Results of factor analysis (construct validity)*

| Factor | Construct | Number of items before factor analysis | Number of items after factor analysis | Rotation Sums of Squared Loadings (% of Variance) | Rotation Sums of Squared Loadings (cumulative %) |
|---|---|---|---|---|---|
| Motivation towards GOT | Intrinsic | 3 | 4 | 32.797 | 32.797 |
| | Extrinsic | 5 | 4 | 30.989 | 63.786 |
| Students' Factor | Research Skills | 7 | 7 | 17.865 | 17.865 |
| | Personal Skills | 8 | 8 | 17.721 | 35.586 |
| | Writing Skills | 6 | 6 | 16.109 | 51.695 |
| | Critical Reading Skills | 5 | 5 | 12.610 | 64.304 |

Table 1 *(Continued)*

| Factor | Construct | Number of items before factor analysis | Number of items after factor analysis | Rotation Sums of Squared Loadings (% of Variance) | Rotation Sums of Squared Loadings (cumulative %) |
|---|---|---|---|---|---|
| | Conceptual skills | 6 | 6 | 10.680 | 74.984 |
| Supervisors' Factor | Supervisory Practices | 9 | 6 | 28.008 | 28.008 |
| | Supervisors' Role & Responsibilities | 4 | 7 | 25.660 | 53.668 |
| | Supervisors' Competency | 5 | 5 | 23.177 | 76.845 |
| Institutional Factor | Institutional support | 5 | 8 | 38.298 | 38.298 |
| | Institutional facilities | 6 | 3 | 28.365 | 66.662 |

## RESULTS AND DISCUSSION

The main analysis is presented below to answer the research questions.

**Research Question One:** What are the postgraduates' levels of 'motivation towards graduate on time' (MGOT)?

**Research Question Two:** Is there any difference in MGOT between students in 1st semester and other semester students?

This study aimed to construct models on GOT, focusing on motivation towards GOT. The motivation towards GOT was the main variable in this study. Table 2 shows that the first semester students rated their intrinsic motivation level (mean=4.2922, standard deviation=0.57412) higher than their seniors (mean=4.0504, standard deviation=0.75050). Similarly, their (1st semester) extrinsic motivation was rated higher (mean=3.8019, standard deviation=0.85006) than their senior (mean=3.6162, standard deviation=0.86742) too. As overall, the 1st semester students' motivation level towards GOT (mean=4.0471, standard deviation=0.62271) was higher than their senior (mean=3.8333, standard deviation=0.73202). This study found that higher semester students had less motivation towards GOT. It indicated that the students faced more challenges when they entered a higher semester. They had more challenges in writing when it came to a higher stage, especially they started preparing more to complete their writing. These challenges are always highlighted among educators. When Jeyaraj (2018)

shared on her research findings, she also underscored that students' research writing was challenging and it acted as a barrier to timely completion. It was observed that the barrier increased when they entered to a higher semester with more writing skills needed, causing their motivation level to be lower. Academically, Mellard et al. (2013) also highlighted that self-perceptions of competency such as skill of writing was also a barrier to promote motivation.

Based on the analysis (Table 3), there is a significant difference of motivational levels between the different years of students. The results also show that in their first semester, students' motivational level is significantly higher than the motivational levels in the subsequent semesters (i.e. Semesters Two to Semester Six).

**Research Question Three**: Do the independent variables (student, supervisor and institutional factors) predict MGOT?

In the regression analysis, a few determinant factors were included as independent variables. It was found that student and institutional factors contributed to MGOT. Table 4 describes the descriptive statistics for the dependent variable (motivation) and the independent variables (supervisor factor, student factor and institutional factor). It shows that the level of dependent variable (namely motivation) is at mean 3.9195 with standard deviation 0.69631. The level of independent variables namely supervisor, student and institutional factors are 4.0991, 3.6626, 3.5459 with standard deviations 0.77562, 0.60807, 0.70723 respectively. The students rated supervisor factor higher than other factors. Nevertheless, it was revealed in the regression analysis that the supervisor factor is not a significant factor as shown in Table 7.

Table 2

*Group statistics for motivation as perceived by the students*

|  | Registered Year & Other | N | Mean | Std. Deviation | Std. Error Mean |
|---|---|---|---|---|---|
| Intrinsic Motivation | 1st semester | 77 | 4.2922 | 0.57412 | 0.06543 |
|  | Subsequent Semesters | 114 | 4.0504 | 0.75050 | 0.07029 |
| Extrinsic Motivation | 1st Semester | 77 | 3.8019 | 0.85006 | 0.09687 |
|  | Subsequent Semester | 114 | 3.6162 | 0.86742 | 0.08124 |
| Motivational Factor | 1st Semester | 77 | 4.0471 | .62.271 | 0.07096 |
|  | Subsequent Semester | 114 | 3.8333 | 0.73202 | 0.06856 |

Table 3

*Independent samples t test for motivational level*

| | | Levene's Test for Equality of Variances | | t-test for Equality of Means | | | | | 95% Confidence Interval of the Difference | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | F | Sig. | T | Df | Sig. (2-tailed) | Mean Difference | Std. Error Difference | Lower | Upper |
| Intrinsic Motivation | Equal variances assumed | 3.609 | 0.059 | 2.393 | 189 | 0.018 | 0.24177 | 0.10105 | 0.04243 | 0.44110 |
| | Equal variances not assumed | | | 2.518 | 186.017 | 0.013 | 0.24177 | 0.09603 | 0.05232 | 0.43121 |
| Extrinsic Motivation | Equal variances assumed | 0.688 | 0.408 | 1.463 | 189 | 0.145 | 0.18572 | 0.12693 | -0.06466 | 0.43610 |
| | Equal variances not assumed | | | 1.469 | 165.453 | 0.144 | 0.18572 | 0.12643 | -0.06390 | 0.43534 |
| Motivational Factor | Equal variances assumed | 3.321 | 0.070 | 2.100 | 189 | 0.037 | 0.21374 | 0.10180 | 0.01293 | 0.41456 |
| | Equal variances not assumed | | | 2.166 | 179.128 | 0.032 | 0.21374 | 0.09867 | 0.01903 | 0.40846 |

Table 4

*Descriptive statistics for the variables*

|  | Mean | Std. Deviation | N |
|---|---|---|---|
| Motivational Factor | 3.9195 | 0.69631 | 191 |
| Supervisor Factor | 4.0991 | 0.77562 | 191 |
| Student Factor | 3.6626 | 0.60807 | 191 |
| Institutional Factor | 3.5459 | 0.70723 | 191 |

In the regression analysis, the ANOVA (Table 5) analysis (F=20.843, p< 0.05) shows that the model (MGOT as a dependent variable and the other variables are assigned as independent variables) is significant. Regression analyses were conducted separately to 1st semester and subsequent semester students, the results were the same as in the overall group. Hence, the discussion below aims to highlight some reasonable reasons.

Table 5

*ANOVA*

| Model | | Sum of Squares | df | Mean Square | F | Sig. |
|---|---|---|---|---|---|---|
| | Regression | 23.085 | 3 | 7.695 | 20.843 | 0.000[b] |
| 1 | Residual | 69.037 | 187 | 0.369 | | |
| | Total | 92.122 | 190 | | | |

*Note:*

a.  Dependent Variable: Motivational Factor/

b.  Predictors: (Constant), Institutional Factor, Supervisor Factor, Student Factor

Table 6 shows that the percentage of variance explained is 25.1% with RSquare =0.251.

The analysis in Table 7 also shows that student and institutional factor contribute to the regression model.

Table 6

*Model summary*

| Model | R | R Square | Adjusted R Square | Std. Error of the Estimate | Change Statistics | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | R Square Change | F Change | df1 | df2 | Sig. F Change |
| 1 | 0.501[a] | 0.251 | 0.239 | 0.60760 | 0.251 | 20.843 | 3 | 187 | 0.000 |

*Note:* a. Predictors: (Constant), Institutional Factor, Supervisor Factor, Student Factor

Table 7

*Coefficients in the regression*

| Model | | Unstandardized Coefficients | | Standardized Coefficients | t | Sig. |
|---|---|---|---|---|---|---|
| | | B | Std. Error | Beta | | |
| 1 | (Constant) | 1.509 | 0.336 | | 4.489 | 0.000 |
| | Supervisor Factor | 0.055 | 0.059 | 0.062 | 0.930 | 0.353 |
| | Student Factor | 0.318 | 0.080 | 0.278 | 3.967 | 0.000 |
| | Institutional Factor | 0.287 | 0.070 | 0.292 | 4.092 | 0.000 |
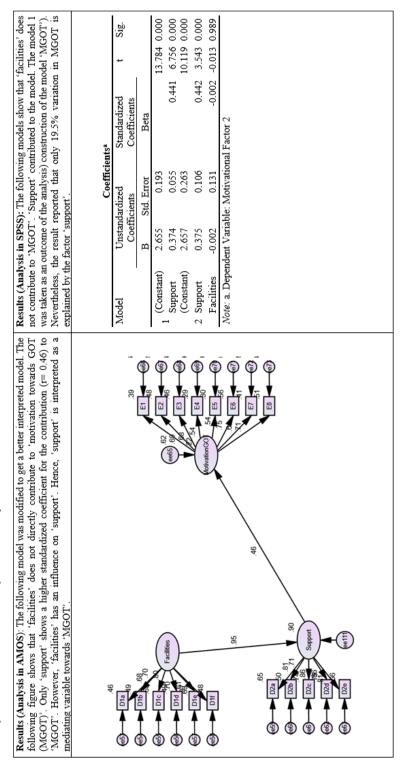
*Note:* a. Dependent Variable: Motivational Factor

More specific models have been analysed for more interpretation of the findings. Table 8 and Table 9 show results of analysis based on two main software namely AMOS and SPSS. The result in Table 8 illustrates that institutional factor plays a role in promoting students' motivation towards GOT by providing support while facilities in institution contribute indirectly to the motivation level. It is understood that even though facilities are important to create a conducive environment and preparing research tool, but more support is needed as agreed by previous researchers that institutions have responsible to provide support in terms of guidance such as applying a grant for research, workshops, financial services and library services (Abiddin, & Ismail, 2011; Manchishi et al., 2018; Polonsky, & Waller, 2018; Raffing et al., 2017; Singh, 2018). This study also revealed that research skills and personal skills such as self-management are crucial for the students to complete their study.

The intrinsic motivation drives them to the direction of completion of their study provided that they possess personal skills on managing themselves to be persistent in facing all the challenges (Girves & Wemmerus, 1988). Only students who interpreted their difficulties as challenges are aware of the needs of facing the difficulties. Thus, with the personal skills, they can challenge themselves with all the research skills. Later, supervisors' role may play an important part when the students are ready to challenge themselves.

(a) Model for institutional factors (Table 8): Both results show that institutional factors in terms of support significantly and directly contributed to model on motivation towards GOT.

(b) Model for student factor (Table 9): Both results show that student factor in terms of Research Skills and Personal Skills significantly and directly contributed to model.

Table 8

*A model for MGOT with Institutional factors as independent variable*

| | |
|---|---|
| **Results (Analysis in AMOS)**: The following model was modified to get a better interpreted model. The following figure shows that 'facilities' does not directly contribute to 'motivation towards GOT (MGOT)'. Only 'support' shows a higher standardized coefficient for the contribution (r= 0.46) to 'MGOT'. However, facilities' has an influence on 'support'. Hence, 'support' is interpreted as a mediating variable towards 'MGOT'. | **Results (Analysis in SPSS)**: The following models show that 'facilities' does not contribute to 'MGOT'. 'Support' contributed to the model. The model 1 was taken as an outcome of the analysis) construction of the model 'MGOT'). Nevertheless, the result reported that only 19.5% variation in MGOT is explained by the factor 'support'. |



**Coefficients**[a]

| Model | | Unstandardized Coefficients | | Standardized Coefficients | t | Sig. |
|---|---|---|---|---|---|---|
| | | B | Std. Error | Beta | | |
| 1 | (Constant) | 2.655 | 0.193 | | 13.784 | 0.000 |
| | Support | 0.374 | 0.055 | 0.441 | 6.756 | 0.000 |
| 2 | (Constant) | 2.657 | 0.263 | | 10.119 | 0.000 |
| | Support | 0.375 | 0.106 | 0.442 | 3.543 | 0.000 |
| | Facilities | -0.002 | 0.131 | -0.002 | -0.013 | 0.989 |

*Note*: a. Dependent Variable: Motivational Factor 2

Table 9

*A model for MGOT with student factors as independent variable*

**Results (Analysis in AMOS):** The following analysis on construction model shows that these two factors namely 'research' and 'personal' skills have contributed meaningfully towards MGOT. However, these two factors show lower coefficients compared to other models, namely r=0.22 (for 'research' factor) and r=0.26 (for 'personal' factor).

**Results (Analysis in SPSS):** The following model show that 'Research' skills and 'Personal' skills contributed to the model. The result reported that 21.2% variation in MGOT is explained by 'Research' skills and 'Personal' skills.



**Coefficients[a]**

| Model | Unstandardized Coefficients | | Standardized Coefficients | | |
| --- | --- | --- | --- | --- | --- |
| | B | Std. Error | Beta | t | Sig. |
| 1 (Constant) | 2.080 | 0.266 | | 7.834 | 0.000 |
| Research | 0.279 | 0.092 | 0.278 | 3.046 | 0.003 |
| Personal | 0.224 | 0.093 | 0.219 | 2.399 | 0.017 |

*Note*: a. Dependent Variable: Motivational Factor 2

**Research Question Four:** What are the supervisors and postgraduate students' perspective on supervision towards GOT?

In the quantitative analysis, supervisors are not perceived as an important factor in MGOT. Nevertheless, the process of supervision may influence students' factors namely their personal factor and research skills. The qualitative results have highlighted that the postgraduate students need supervisors' helps not only for the skills required (competent) but also their motivation. The following report as in Table 10 shows that the supervisors and postgraduate students articulated the need of motivation in terms of feedback and supports.

This finding indicates that supervisors need to upgrade their knowledge since supervisor is not only an expert in specific research areas, active in knowledge transfers but one who will motivate and being responsive to students' needs, so that the students work and progress in a flexible and non-threating learning environment (Sidhu et al., 2013; Van Rensburg et al., 2016). It is suggested that other than focus to competence, students' determination needs to gain more attention.

Table 10

*Qualitative results*

|  | Supervisors' perspectives | Students' perspective |
|---|---|---|
| Competency | The supervisors emphasized that it was important for supervisors to be skillful in conducting research yet their competency in discipline of study was always seen as an important factor in supervision. It was reflected from a statement provided by R5 and R2 as below.<br><br>R5: '…*students must come with a topic they are passionate and related to supervisor's field. Supervisors are more skillful in their own field thus they must be given students who work on the same field. This also reflects that supervisors must be competent in their field so that they can further develop their expertise …*' | All respondents highlighted the fact that a postgraduate supervisor must be a competent researcher and authority in his/her respective field. Student B1 further added that a '*supervisor must have a PhD or equivalent . . . so that the students can have respect for him or her. . . I feel a good supervisor need to be a practicing researcher.. I mean he must practice what he preaches.*' |

Table 10 *(Continued)*

|  | Supervisors' perspectives | Students' perspective |
|---|---|---|
| Competency | R2: '*Supervisors need to provide brainstorming of ideas, some research area as well as direction, some setback or bottleneck of current research methods.*' | Student B1 shared that her intrinsic motivation to GOT came from her supervisor (the 3rd supervisor). She appreciated her "*good communication skills and I find her very approachable as she always motivates me and gives me the confidence needed to succeed. . .she is also willing to share information with me.*" |
| Motivation | Most of the supervisors were willing to do something such as providing encouragement and keeping track on their students' work because they perceived that this skill was required in supervision. Their words about motivation skill are illustrated below. R1' *I think it is important to motivate them. I think supervisor themselves like me, I always show my passionate, I like to and I love to guide them. Because it's something like try to get the student graduate on time...well again is GOT is not that simple as GOT.…. Sacrifice one thing, you have to take. We as supervisors always keep track on their work*'<br><br>R4: '*Supervisors should provide encouragement and motivation to their students about these passions, convince PG students, and also build PG students' confidence into their area of study. Encourage PG students to have constant communications and update on research with supervisors, this is crucial, make it periodical. With constant meet up or updates, only will move the research.*' |  |

## CONCLUSION

In this study, it was observed and identified that the postgraduate students started their study being moderate highly motivated. Nevertheless, to ensure their level of motivation maintains and hence regains motivation during their study, they need to enhance their research skills as well as personal skills. This study revealed that research skills and personal skills such as self-management and communication were important components to maintain the level of motivation. These results are supported by Igun (2010) with positive statements that postgraduate students must be committed to good study habits and stay motivated. They need to possess good and motivated personal skills during the journey of their study.

It is crucial since a postgraduate course takes a long journey and commitment, at the same time their emotional and social activities continue. They need to be motivated from their immediate connection such as their main supervisors. Feedback on their progress of studies may be felt as rewards to them. Supervisors also need to have a good supervision skill. Stoltenberg et al. (1998) described that supervisors really needed to be more concerned on supervisees' personal skills since at entry-level, supervisees were generally high in motivation, yet high in anxiety and fearful of evaluation. This will give more burden on supervisors' task in supervision. While in the middle stage, supervisees may experience instable confidence and motivation, the level of confidence and motivation are often linked to their own mood to success. If they have successfully gone through this stage, they may come to the final stage which is in good motivational level. It is believed that supervisors need to utilize skills and approaches with the mixed awareness on their supervisees' attitudes as well as their current stage of development in research (Falender, 2018). Aligned with this reality, this study also revealed that supervisors must be aware on the importance of competence in research so that they are knowledgeable in assisting and guiding students' research ideas and showing the ability to provide quality feedback. With the feedback, the students are motivated to go ahead with their studies. Since, providing feedback and keeping track as well as monitoring are important as an element of motivation to the postgraduate students, it is suggested that a monitoring and motivated system is required for the development of the process of supervision. Hence, based on the findings of this study the researchers have suggested a tracking system called Hybrid Supervision (copyright @ LY2018003304).

## ACKNOWLEDGMENTS

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# Students' Academic Stress, Stress Response and Academic Burnout: Mediating Role of Self-Efficacy

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## ABSTRACT

Academic burnout has many consequences and can have adverse effects on the educational system of the country. The purpose of this study was to investigate the relationship between the students' academic stress, stress response and academic burnout with the mediating role of self-efficacy. To this end, a total of 361 students (177 females and 184 males) was selected through multi-stage cluster sampling method and responded to Maslach Academic Burnout Questionnaire, Sherer General Self-Efficacy Questionnaire and Gadzella Student-Life Stress Inventory. The proposed model was evaluated through the structural model algorithm, using Imus Software. Mediating relationships were tested in the proposed model using the bootstrap method. Findings showed that the proposed model was well fitted with the data. Academic stress and stress response had a positive and significant effect on the academic burnout. The findings also showed that self-efficacy had a negative and significant effect on academic burnout. The results of indirect relationships showed that academic stress and stress response had a significant indirect effect on the academic burnout via self-efficacy. Overall, the results indicated that self-efficacy had a mediating role in the relationship between the academic stress, stress response and academic burnout.

*Keywords:* Academic burnout, academic stress, self-efficacy, stress response

## INTRODUCTION

One of the implications for educational and academic environments that have been taken into consideration by psychologists and educators in recent decades is the concept of academic burnout, which is a feeling of inadequacy and mental fatigue that students face with chronic stress due to the lack of resources to do assigned tasks and assigning

tasks (Gadzella & Baloglu, 2001). Studies show that university students are also at risk of academic burnout (Cecil et al., 2014; Fares et al., 2016; Rudman & Gustavsson, 2012). In recent years, research has shown that students' academic burnout has increased (Moneta, 2011). Students' academic burnout is one of the important issues of higher education research for various reasons. The first reason is that academic burnout can be the key to understanding the students' different behaviors. The second reason is that academic burnout affects the students' commitment to the college and their degree of participation in scientific affairs. Third, academic burnout can affect students' enthusiasm for continuing their education (Neumann et al., 1990).

Burnout is a state of emotional exhaustion that results from chronic stress syndrome, such as expensive role, pressure and time constraints, and the lack of required resources for fulfilling the tasks (Demerouti et al., 2001; Iacovides et al., 2003; Maslach et al., 2001; Toppinen-Tanner et al., 2005). Academic burnout in students is indicated by the study's longevity, pessimistic attitudes toward study, and feelings of incompetence as a student (Zhang et al., 2007).

Therefore, academic burnout is a multidimensional construct consisting of emotional exhaustion, pessimism, and the lack of efficiency. These dimensions are not separate processes of each other, and there are internal and dynamic relationships between them (Schaufeli et al., 2002).

Basically, burnout is a tension-related disorder and can be the result of exposure to chronic stresses for a long time and without recovery. This leads to problems such as emotional exhaustion, irritability, physical symptoms such as stomach contractions, headaches and cognitive problems such as memory and concentration problems (Asberg et al., 2010). Therefore, academic stress is one of those variables that are related to academic burnout. Since students make up the critical stratum of the society, entering the university creates a major change in their individual and social life. College students face a new environment and new social relationships and being in such an environment and confronting new expectations and roles are often accompanied with stress and stress.

Academic stress refers to the increasing need for knowledge and simultaneously the individual's perception of not having enough time to achieve that knowledge. Studies show the abundance of stress, anxiety and depression among the students. University students experience a variety of tensions; finding new friends, confronting new responsibilities, and adapting to new situations and heavy workloads. Students are constantly subject to the differences between the academic and social demands (Pluut et al., 2015) which can cause mental illness such as academic burnout and the loss of educational performance. In addition to the stress and stressors, stress response is also associated with burnout. Mogg et al. (1990) focuses on five stress factors (failures, conflicts, pressures, changes and self-imposed stress) and four-way reactions

to these factors (physiological, behavioral, cognitive and emotional). Stress response refers to a physiological or emotional arousal which results from the perception of tension or demand (Thoits, 1995). Lazarus (2006) emphasized the role of individual differences in how to differentiate in response to stressful experiences. The human brain's cerebral cortex examines and interprets the same situation differently and creates different responses. Human beings can modulate and regulate their emotions and conquer them in confronting the various situations they encounter (Gross, 2007).

In other words, according to Lazarus (2006), the main source of variability in the reaction to the stressful experiences and how these experiences affect the activation of individuals in different dimensions depends on the individual's subjective assessment of the importance of what has happened. The activation of the body is important in the face of a stressful event and protects the individual against risks through the preparation of the reaction. However, when the body tension system is often activated for excessive periods, it leads to mental health problems associated with stress such as emotional exhaustion (Asberg et al., 2010). Misra and Castillo (2004) described the role of stress in the formation of students' experiences as highly important along with six variables of age, gender, motivation to continue education, general self-esteem and the concept of self-education.

In this regard, a number of researchers interested in the field of studying stressful learning experiences emphasized the role of supportive effects of some of the psychological qualities, such as self-efficacy in differentiating the individuals' vulnerability model in the face of stressful events. If students experiencing stressful educational experiences lack psychological supportive effects, they will have a more intense reaction and less ability to moderate long-term stressful experiences and thus show signs of burnout (Misra & Castillo, 2004). Therefore, one of the other factors affecting the academic burnout is self-efficacy. Self-efficacy is an important and effective concept in Bandura's cognitive-social theory which has a special position in the educational system.

Self-efficacy refers to perceived capabilities for learning or performing behaviors at designated levels (Bandura, 1997). Highly self-efficacious students have less academic burnout than those who have lower self-efficacy. In the study of Iranian-Turkish teachers and students, it was found out that burnout was associated with self-efficacy. Also, the ineffective beliefs of the individual towards oneself place the person at greater risk of psychological well-being problems such as emotional exhaustion or academic burnout because they get more vulnerable (Khezerlou, 2017). What is clear in terms of self-efficacy is the two-way relationship between the personal knowledge and the ability to cope with and use the personal knowledge in the face of difficulties (Kalat, 2016). Basically, self-efficacious people have specific plans for their lives, and have the ability to apply appropriate strategies in dealing with

issues and living conditions. From this perspective, the mutual relationship between the environment as the cause of events, the circumstances and events, and the internal system of the individual as an analyst of the situation and the application of the abilities and motives in different fields can be considered into account.

Research has shown that people with low self-efficacy are disturbed by evaluations. These people are skeptical of their abilities and skills and predict failure before they try to solve problems. These negative beliefs increase the stress and decrease the effective use of meta-cognitive strategies and ultimately result in academic burnout (Coutinho & Neuman, 2008). Accordingly, the present study intends to study the role of self-efficacy in the relationship between the academic stressors and the response model to academic stressors and the students' academic burnout in line with some empirical evidence. To this end, the relationships between the variables of academic stress, stress response and academic burnout considering self-efficacy as a mediator variable has been developed in the form of Model No. 1. In this model,

the educational stress and stress response were considered as the antecedents of academic burnout. Following that, self-efficacy affects the academic burnout. Therefore, in this template, we choose self-efficacy as a mediator. Some differences in students such as expectations, judgments about the capabilities in achieving specific functions affect various aspects of life (Nes & Segerstrom, 2006). Hence, we also intend to study the effect of this mediator on the stressful learning experiences and the response to these experiences. Earlier it was noted that a number of researchers have examined the concept of self-efficacy in the educational context. The results of Krypel and Henderson-King (2010) showed that the relationship between high self-efficacy and the perceived stress at university was negative and meaningful.

Therefore, the purpose of this research was to test the fitness of the proposed model (Figure 1) and to answer the question whether self-efficacy mediates the relationship between academic stressors and the response to these stressors with academic burnout among students?
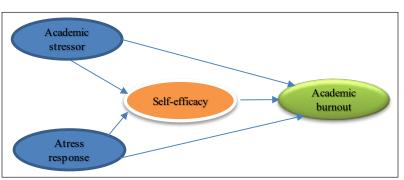


*Figure1.* The proposed model for the relationship between academic stress, stress response, academic burnout with the mediator of self-efficacy

## METHOD

The method of this research is correlation design through structural equation modeling (SEM), which is a multivariate correlation method. Structural equation modeling is in fact a general linear pattern extension (GLM) that enables the researcher to simultaneously test a set of regression equations.

### Sample and Sampling Method

The statistical population of this study included all the undergraduate students of Yasouj University in the academic year of 2015-2016. Students were selected in several stages using multiple college sampling units, educational groups, field of study, class and class list using multistage cluster sampling method. To this end, four colleges were randomly selected from 6 faculties of Yasouj University. Then, two educational groups were selected from among the educational groups of selected faculties. After referring to the selected educational groups, two classes were randomly selected from different classes, and 361 students were randomly selected from the student list. From the original sample, 380 questionnaires were collected. 19 out of 380 questionnaires were set aside due to the incomplete responses. Finally, 361 questionnaires were selected to examine the appropriateness of the proposed model.

### Maslach Academic Burnout Questionnaire

A questionnaire developed by Maslach et al. (2001) was used in order to measure the academic burnout. This questionnaire consists of 15 items that include emotional exhaustion subscales (items 1, 4, 7, 10 and 13), pessimism (unwillingness) (items 2, 5, 11 and 14) and academic inefficacy (items 3, 6, 8, 9, 12 and 15). Individuals report their opinion about each subject on a seven-degree Likert scale from 1 (never) to 7 (always). An example of each subscale's item is: emotional exhaustion (I feel that I have got empty because of my study activities), lack of interest (I am skeptical of the importance of my lessons), academic inactivity (I'm sure I can work effectively in class activities). It should be kept in mind that the positive statements related to the self-efficacy subscale should be scored inversely. Simancas-Pallares et al. (2017) used coefficient to test the reliability of this tool which equaled 0.81. Furthermore, Cronbach's alpha was equal to 0.88 for emotional exhaustion; 0.80 for pessimism and 0.82 for educational inefficacy. Cano-Garcia et al. (2005) used a confirmatory factor analysis to assess the validity of the academic burnout subscales. The obtained fitness indexes were (CFI = 0.947; RMSEA = 0.06; TLI = 0.934; df = 85; $X_2$ = 1.776). The confirmatory factor analysis suggests adequate fitness of the model with the data in research (Simancas-Pallares et al., 2017).

### Sherer's General Self-Efficacy Inventory

In order to measure the self-efficacy, a questionnaire developed by Sherer et al. (1982) was used. This questionnaire consists of 17 items, including subscales

of behavioral initiation tendencies (items 1, 4, 14 and 15), willingness to complete the behavior (items 3, 5, 8, 9 and 13) and insistence on doing assignments in the face of failure (items 2, 6, 7, 10, 11, 12, 16 and 17). The individuals report their opinion on each subject on a five-point Likert scale from 1 (I totally disagree) to 5 (I fully agree). An example of the items of each sub-scale is: the tendency to initiate a behavior (when I plan, I'm sure I can do it), willingness to complete the behavior (if I cannot do a task for the first time, I will try to continue to do that), insistence on doing assignments in the face of failure (I avoid dealing with problems. It should be noted that items 2, 4, 5, 7, 11, 12, 14, 16 should be scored inversely.

The developers of the self-efficacy questionnaire, Sherer et al. (1982) used factor analysis and internal consistency to determine the validity of this questionnaire. The results of factor analysis confirmed the presence of three factors in the questionnaire which totally explained 72% of the total variance. To determine the reliability, Cronbach's alpha coefficients for the whole questionnaire were reported to be 0.86, which indicated the desirable reliability of this questionnaire (Sherer et al., 1982).

**Student-Life Stress Inventory (SLSI)**

Student-Life Stress Inventory (SLSI) by Gadzella (1994) is based on Morris's theoretical model of the academic stressors and responses to them among the students in the academic contexts. This scale has 51 items to which students respond on a five-point Likert scale from 1 "never" to 5 "always". This scale includes five dimensions of failures (for example, I have experienced the failures in reaching the goals I set out), conflicts (for example, selecting my goals has positive and negative aspects), pressures (For example, I have experienced the pressures as a result of competition for grades, work, relationships with my spouse or friends), changes (for example, I have experienced a change that disturbs my life or my goals) and self-imposed stress (For example, as a person I like to compete and win).

Items 1, 2, 3, 4, 5, 6, 7 belong to failures, items 8, 9, 10 belong to conflicts, items 11, 12, 13 and 14 belong to pressures, items 15, 16 and 17 are subject to changes, and items 18, 19, 20, 21, 22, 23 and 24 belong to self-imposed stress. Stress responses section includes four dimensions of physical responses (for example, I have experienced stammering in stressful situations), emotional (for example, I have experienced worry, fear and anxiety in stressful situations) (behavioral) (for example, I have experienced mistreatment with others in stressful situations (verbally or physically)) and cognitive (for example, I have experienced difficulty in thinking and analyzing stressful situations). Items 24, 25, 26, 27, 28, 29, 30, 31, 32, 33, 34, 35, 36, 37 belong to the physical responses. Items 38, 39, 40, 41 belong to emotional responses and items 42, 43, 44, 45, 46, 47, 48 and 49 belong to behavioral responses. Items 50 and 51 belong to cognitive responses.

Misra and Castillo (2004) assessed the reliability of the academic stress scale by Cronbach's alpha, and their coefficients for their failures, conflicts, pressures, changes, and self-imposed stress were 0.65, 0.63, 0.71, 0.75 and 0.63, respectively. In the stress response section, Cronbach's alpha for four types of reactions to psychological stressors including physiological, emotional, behavioral, and cognitive stressors was 0.87, 0.81, 0.68, and 0.85, respectively. Then, to investigate the validity of this scale, exploratory factor analysis with varimax rotation was performed on the data that showed the desirable validity of this scale.

In a study by Shokri et al. (2008), the Cronbach's alpha coefficients for the subscales of failures, conflicts, pressures, changes, and stress were 0.74, 0.79, 0.70, 0.75, and 0.77, respectively. The Cronbach's alpha coefficients for the subscales of physiological, emotional, behavioral and cognitive responses and the total score of stress were 0.84, 0.80, 0.88, 0.74, and 0.80 respectively. It indicates the acceptable reliability of the subscales.

## RESULTS

Table 1 depicts the normality test of structures by kurtosis and skewness in the current study.

The contents of Table 2 show that all the relationships are significant at P <.01 level. This correlation analysis provides insight into the two-variable relationships between the research variables. In order to simultaneously examine the research hypotheses, the Structural Equation Modeling Method (SEM) has been applied.

The proposed model of the present study consists of four variables including academic stress, response to academic stress, self-efficacy and academic burnout. The main fitness model was studied before

Table 1
*Normality test of structures by Kurtosis and skewness*

| Kurtosis Standard Error | Kurtosis Coefficient | Kurtosis Standard Error | Skewness Standard Error | N. | Variables |
|---|---|---|---|---|---|
| 0.256 | 3.129 | 0.128 | 0.602 | 361 | Stressful factors |
| 0.256 | -0.291 | 0.128 | 0.230 | 361 | Stress responses |
| 0.256 | -0.254 | 0.128 | -0.071 | 361 | Self-efficacy |
| 0.256 | -0.409 | 0.128 | -0.032 | 361 | Academic burnout |

Table 2
*Matrix of correlation coefficients between the research variables*

|  | Variables | 1 | 2 | 3 | 4 |
|---|---|---|---|---|---|
| 1 | Academic stress | - | | | |
| 2 | Stress responses | 0.47** | - | | |
| 3 | Self-efficacy | -0.28** | -0.41** | - | |
| 4 | Academic burnout | 0.22** | 0.36** | -0.55** | - |

*Note:* **P<0.01; *P<0.05

examining the structural coefficients. The fitness of the proposed model with data based on fitness indices is shown in Table 3.

Although the values of some fitness indices in Table 3 indicate a fairly good fit of the proposed model with the data, some of the fitness indices have shown that the model needs to be improved. In this regard, promoting the fitness of the proposed model was done by eliminating the questions with the factor load of below 0.5 and the creation of covariance between the errors based on software suggestions and the research literature which resulted in the fitting indices of the final model reaching a desirable level. The fitting of the final model with the data based on fitness indices is shown in Table 4.

As shown in Table 4, the proposed model has a relatively good fit. After deleting the questions with factor load

less than 0.5 and correlating the errors associated with each structure according to AMOS software, the final model reached the desirable level.

Table 5 also shows the paths and their standard coefficients in the final model based on the output of the AMOS software.

As Table 5 shows, all the path coefficients to academic burnout are significant. Figure 2 shows the final model of the present study along with its path coefficients.

Table 6 shows the results of bootstrap in relation to indirect paths of academic stress to academic burnout with self-efficacy mediation.

The confidence interval for the path shown in Table 6 indicates that zero is not located at this distance. Therefore, the indirect path of the academic stress was significantly related to the academic burnout

Table 3
*Fitness of the proposed model with data based on fitness indices*

| Fitness index model | X2 | Df | X2/df | GFI | AGFI | IFI | CFI | NFI | RMSEA |
|---|---|---|---|---|---|---|---|---|---|
| **Proposed model** | 16.71 | 2 | 8.36 | 0.98 | 0.84 | 0.97 | 0.98 | 0.97 | 0.11 |

Table 4
*Fitness of the final model with data based on fitness indices*

| Fitness index model | X2 | Df | X2/df | GFI | AGFI | IFI | CFI | NFI | RMSEA |
|---|---|---|---|---|---|---|---|---|---|
| **Final model** | 16.73 | 3 | 5.58 | 0.99 | 0.90 | 0.98 | 0.98 | 0.97 | 0.05 |

Table 5
*The structural model of the paths and their standard coefficients in the research model*

| Paths | | β | L |
|---|---|---|---|
| **Academic stress** | **Academic burnout** | 0.33 | 0.04 |
| **Reaction to academic stress** | **Academic burnout** | 0.16 | 0.001 |
| **Academic stress** | **Self-efficacy** | -0.11 | 0.04 |
| **Reaction to academic stress** | **Self-efficacy** | -0.36 | 0.001 |
| **Self-efficacy** | **Academic burnout** | -0.48 | 0.001 |
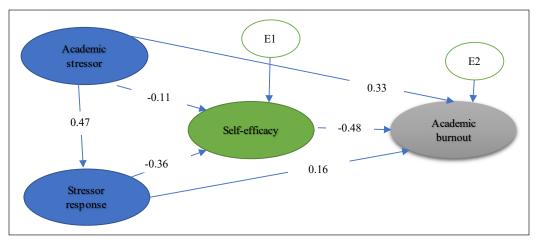
*Figure 2.* Final model of the present research along with standard path coefficients

Table 6
*Bootstrap results for the indirect path of academic stress and academic stress response to academic burnout through self-efficacy mediation*

| Path | Data | Boot | Bias | Standard error | Min | Max |
|---|---|---|---|---|---|---|
| Academic stress response → Self-efficacy → Academic burnout | 0.1650 | 0.1650 | 0.0001 | 0.0279 | 0.1166 | 0.2270 |
| Academic stress → Self-efficacy → Academic burnout | 0.1616 | 0.1630 | 0.0014 | 0.0358 | 0.0971 | 0.2387 |

with self-efficacy mediation. Therefore, self-efficacy plays a mediating role in the relationship between the academic stress and academic burnout. The confidence level for this interval is 95 and the number of re-sampling for bootstrap is 1000.

Table 6 shows the results of bootstrap in relation to the indirect path of academic stress response to academic burnout through self-efficacy mediation.

The confidence interval for the path shown in Table 6 indicates that there is no zero at this distance. Therefore, the indirect path of academic stress response to academic

burnout was significant through self-efficacy mediation. Therefore, self-efficacy plays a mediating role in the relationship between the academic stress response and academic burnout. The confidence level for this interval is 95 and the number of re-sampling for bootstrap is 1000.

## DISCUSSION AND CONCLUSION

In the present study, the relationship between the academic stress and stress response and academic burnout was investigated through the self-efficacy. The values of fitness indices indicate a relatively good fit of

the proposed model with the data. Results showed that there is a positive and significant relationship between the perceived academic stress and stress response. Moreover, there is a negative and significant relationship between the perceived academic stress and self-efficacy and also between the self-efficacy and academic burnout. Furthermore, the statistical significance of the indirect effect of self-efficacy in the relationship between the perceived academic stress and stress response with academic burnout was empirically supported by the partial mediating effect of self-efficacy. According to the research findings, academic stress has a positive and significant predictive power of academic burnout. Therefore, students with perceived academic stress have high academic burnout. This finding is consistent with the results of Fares et al. (2016), Hakami and Shokri (2015), and Jung et al. (2015). Students in the learning process due to their academic stress show a state of emotional exhaustion, a tendency toward depersonalization and feeling little progress (Maslach et al., 2001).

Therefore, in accordance with the Demands-Resources Model, it can be said that two processes occur in academic burnout: on the one hand, in the new curriculum, demands for study and effort and requests of professors from students are increased, and on the other hand, students who are aware of individual differences in their abilities do not have sufficient motivational resources to meet these academic demands; therefore, students are frustrated by the increasing demand,

academic requirements and relationships with their professors and classmates. The continuity of these two processes over time cause long-term stress, and ultimately burnout. This finding is in line with the results of research by Backovic et al. (2012), Choi and Lim (2016), Shin and Yu (2014), and Watson et al. (2008). As the degree of perceived academic stress among students increases, students experience higher levels academic burnout.

Based on the findings of this study, the response to stress had a significant predictive power of academic burnout. Thus, students who perceived academic stress show a wide range of psychological responses in the face of stressors. This finding is in line with the results of Gadzella and Baloglu, (2001), and Helbig and Backhaus (2017). Stress manifestations include physical injury, chronic energy shortages, lack of motivation, headache, digestive problems and sleep problems (Murray-Harvey et al., 2000). Considering the individual differences in the response to stress, it is important to adopt coping strategies against stressful learning experiences (Misra & Castillo, 2004).

In addition, in a study on the relationship between the stress and academic burnout among the nursing students in Hong Kong, Watson et al. (2008) concluded that students who experienced a lot of stress and used emotional coping style experienced higher levels of psychological illness and academic burnout. In other words, there was a positive and direct correlation between the stress response and academic burnout. What's

more, students with more severe stress response are less tolerant of failures due to their maladaptive emotions and the feeling of inability to manage the stress.

These emotions and academic experiences can affect the individual's well-being of by confronting the life or education environment and surrounding issues. Accordingly, the weakness in adapting to the stressful conditions and the more emotional and disturbed reactions will provide the basis for the occurrence and realization of academic burnout. Watson and Clark (1992) considered the coping strategies as important in relation to the stress response, pointing out that those who had avoidant coping styles find less compatibility with stressful conditions and could not quickly return to their primary condition. These characteristics make it difficult to tolerate the university environment and the students perceive more academic burnout.

Based on the research findings, self-efficacy mediates well the relationship between the academic stress and academic burnout. This finding is consistent with the results of Choi and Lee (2014), Jung et al. (2015), and Labrague (2014). Stressors disturb people who are unsure of their ability to solve their own problems. A strong performance empowerment allows one to continue to concentrate on the task, even in the face of situational stress and problem-solving bottlenecks. In contrast, low self-efficacy deviates the decision makers from thinking of the assignment, so that their attention focuses on the insufficiencies. Individuals with high self-efficacy tend to concentrate on analyzing and solving problems, while people with low levels of self-efficacy are drowned in evaluation concerns such as skepticism about their skills and abilities and forecasting their failure before they try to solve the problem. These negative beliefs increase the psychological stress, reduce the use of cognitive strategies and, consequently, lead to academic burnout.

At the university, feedbacks of academic performance (presentation of a seminar and essay, student life, mid-term and end-of-year exams, student competitions for superior ranking, interpersonal relationships, or mistakes and inaccuracies or real problems on specific topics) are at large scale. In general, student life has potentially threatening events and perceiving personal performance or self-efficacy plays an important role in determining how much these events bring about stresses and anxieties. If one knows that their coping abilities cannot cope with the necessities of an event, this awareness will cause frustration, emotional arousal, distress and anxiety and the continuation of these negative emotions will lead to academic burnout among students.

Based on the findings of this research, self-efficacy mediates well the relationship between the stress response and academic burnout. This finding is consistent with the findings of the studies by Busari (2012), Mogg et al. (1990), Robbins and Judge (2013), and Thoits (1995). The stress response refers to a physiological or emotional arousal state that result from the perception of the tension or demand. This

situation is explained among people with high perceived levels of stress through a negative cognitive assessment - which exacerbates the next negative emotions. Reduced self-efficacy refers to feelings of inadequacy and the individual's negative assessment of oneself. Characteristics of people who suffer from reduced personal success include: failure and total dissatisfaction with self and their professional ability, and efficacy. Empirically, some evidence has shown that only those stressors that are mentally unsatisfactory are likely to exacerbate the symptoms of the disease and the disorder, and the positive life events have minor effects on the psychological symptoms. Academic stress has positive and negative effects, and if students are not able to cope with stressors, positive outcomes may be limited as they are more likely to experience negative stress. Ultimately, stress whether emotional or physical, natural, or created by man, public or private impacts the students' lives.

It is clear that any research is accompanied by limitations and barriers. One of the limitations of this research is its implementation on a sample of students at Yasouj University, and its generalization to other universities and other educational levels should be carried out with caution. Regarding the theoretical scope of the present findings and limitations, it can be suggested that due to the importance of its variables in students, the moderating variable of gender should also be considered in the study of academic burnout. Also, due to the fact that the self-efficacy mediates the effects of academic stress and stress response on academic burnout, it is recommended to pay attention to the effect of this mediator variable and to promote this psychological variable in students in order to reduce academic burnout in educational centers.

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PERTANIKA
JOURNALS

# The Intermediary Effect of Nationalism on the Relationship of Religion, Values, and Culture with Unity among Pre-Service Teachers in Malaysia

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## ABSTRACT

This study aims to determine the mediating effect of nationalism on the relationship of religion, value, and culture with unity among pre-service teachers in the higher learning institutions of Malaysia. A total of 230 teachers with different racial backgrounds were recruited, among whom 133 were Malays and 97 were non-Malays. The data were analyzed using SPSS 23 and AMOS 18. Nationalism has a significant yet partial mediating effect on the relationship of religion, value, and culture with unity among pre-service teachers. The MANOVA analysis revealed a significant difference in such relationship between Malay and non-Malay students. The AMOS analysis showed that culture and religion had the highest and lowest effects on nationalism and unity, respectively. These findings imply that the Ministry of Higher Learning, universities, and lecturers in Malaysia must focus on the aspects of culture, religion, values, and nationalism to enhance the unity among pre-service teachers in the country.

*Keyword:* Culture, national identity, nationalism, religion, unity, values

## INTRODUCTION

Developing a nation state is a major concern of many countries, including Germany (Luchtenennajierg, 2010), Ukraine (Korostelina, 2013), China (Wang & He, 2014), Taiwan (Zhong, 2016), Australia (McAllister, 2018), post-Soviet nations (Letnyakov, 2016), and Scotland (Bond, 2017). These countries are inhomogeneous in terms of their traditions and cultures.

However, an inhomogeneous and multiracial country must create and sustain a shared national identity among its people with different ethnics, languages, and religions.

As a multiracial country, Malaysia is facing significant challenges in its pursuit of a nation state. Malaysia has a complex multi-ethnic population that comprises three main ethnic groups, namely, Malays, Chinese, and Indians. Malaysia's pursuit of a nation state has been manifested in its "one nation, one identity" concept, which envisions a sovereign state where people are living in unity without segregation based on ethnic, ethnicity, religion, language, culture, territory, and other factors.

After the British decolonization, social acceptance, diversity, compromising attitudes, and social adaptation have proliferated steadily and consistently in Malaysia since the 1950s along with the increasing awareness of ethnic leaders about the importance of unity. Historically, Malaysia was formed as a result of an agreement signed on 16 September 1963, which marked the starting point of its struggle to build a nation state. The concept of nation state is rooted in the spirit of unity, which Malaysia aims to realize by the year 2020. The "Vision 2020" of Malaysia greatly depends on its struggle for unity. The strength of a country depends not only on its administration structure but also on the moral strength of its citizens. The 1Malaysia concept, which aligns with the articles in the Federal Constitution and the principles of Rukunegara, reflects the ambition of the country to strengthen the mutual respect, sincerity, and mutual trust among its people.

## Problem Statement

The racial polarization in schools and higher learning institutions cannot be underestimated or ignored because such phenomenon can lead to negative implications for the people and the country in the future. These two institutions must not be viewed separately because they are the sub-systems of a society (Tan, 1982). Therefore, education has been used as a major tool to inculcate and sustain solidarity among the people. Specifically, solidarity and unity can be promoted through the curricula, sports, and extracurricular activities in schools. Education is also the main promoter of patriotism among the people. Therefore, the Ministry of Education (MOE) must produce "true" Malaysians with individual characteristics (Thay, 2008).

Ideal Malaysians are envisioned as individuals and communities who have high confidence and self-esteem, strongly adhere to their religion and morality, and can live as members of a caring, democratic, liberal, understanding, cultured, scientific, and united society. The MOE must inculcate these values in the minds of all Malaysians as early as their primary school years (Ministry of Education Malaysia, 2013). The nation-building process of Malaysia mainly focuses on strengthening the solidarity and integration among its citizens, fostering their love for the arts, culture, and heritage, and integrating Islam Hadhari into their lives and ways of thinking. The Malaysian education system acts as the main platform for producing people who can defend the sovereignty of the country in the future.

Although previous studies have examined the elements of unity in Malaysia, most of these studies have focused on schools and the society, while only few have focused on students and pre-service teachers at the universities. Moreover, most of these studies have focused on social issues instead of issues on unity. For instance, Jalani et al. (2005) examined the interests of the Bumiputra youths in entrepreneurship, and Khairunesa and Azrul (2011) studied the involvement of youths in the Gerakan 4B movement. Unfortunately, these studies had ignored the effects of the environment on the attitudes of the youth toward issues related to unity, patriotism, and racial tolerance. Racial relation cannot be strengthened without the understanding and willingness of individuals to commit themselves to interracial interaction or accept racial differences. Such unwillingness may even lead to further racial segregation and polarization. Disunity may also result from the lack of patriotic values among the people who stubbornly uphold their ethnic pride and in turn jeopardize the solidarity and unity in the nation state. In other words, Malaysians still lean toward ethnocentrism instead of national identity.

Issues related to national identity require immediate attention. A special unit of *Utusan Malaysia* studied the general knowledge of the public in Malaysian history (*Utusan Malaysia*, 28 October 2010), and found that teenagers were oblivious about the country's history and did not even care about nationalism and other matters pertaining to the state. Therefore, how the Malaysian education system can inculcate a single national identity among pre-service teachers needs to be examined. Formal education is the best avenue for studying and practicing national identity (Collet, 2007). In this case, educators have major roles in promoting nationalism and building a national identity among their students. Accordingly, this study aims to determine the level of national identity among pre-service teachers at the higher learning institutions in Malaysia. This study also addresses those issues related to identity and nationalism as mediators of national integration.

## National Identity

Desai (2006) found a significant connection between a nation or country and its national identity. Given that identity is closely related to a reference model of developing a ethnic, nation, culture, or country, Letnyakov (2016) investigated the new nation building policies implemented in the post-Soviet era, including those policies for creating a historical narrative, establishing cultural traditions and particularist politics, actively holding post-colonial discourse, and promoting the ethnic nationalism ideology. Bond (2017) found that the national identity of Scotland was highly inclusive in several aspects of ethnic minorities and religious communities. However, very few studies have examined the national identity in Malaysia. Gabriel (2011) defined the Malaysian concept as the national culture and identity in consideration of social practices, social experiences, imagination, and expressions of the people.

Globalization has brought various challenges to the pursuit of national identity. To address these challenges, one must scientifically define the related theories. According to Wang and He (2014), national identity involves the combination of four identities, namely, institutional identity, interest identity, identity of a non-national society, and formative mechanism, which is characterized as the unity of the origin country. National identity is expressive and characterized by unity in awareness and actions, political and cultural identities, and maintenance mechanism, which in turn is characterized by emotional unity and self-indulgence. National identity has also been defined as any cultural characteristic of a society that can be shared by everybody despite their differences (Desai, 2006). Mendelsohn (2002) argued that identity could pertain to the shared quality and characteristics of a community or the self-definition of an individual. Therefore, national identity can be perceived from several aspects, including the culture, customs, morals and attitudes, religious norms and values, and economic and social activities of the society. Ramlah (2005) found that the university students in Malaysia were generally unwilling to sacrifice their lives for their country. This finding raises the question, what will happen to the future generation of teachers in Malaysia?

**Religion**

Religion is an important component of national identity (Dingley, 2011). This factor is also essential in developing the identity of people in America and Europe (Kurth, 2007). Theriault and Peter (2005) and Zambeta (2000) emphasized the importance of religion in developing the identity of people from European countries. Religion played an important part in the national identity development of Greece as reflected in the country's education policies and knowledge control in the context of its education system (Zambeta, 2000). Religion is also considered a basic element of the national identity of Poland (Marody & Mandes, 2005). Although its roles have changed, religion remains crucial in the formation of national identity (Dingley, 2011). Miedema (2009) argued that religious identity was part of an individual's identity. According to the provisions in the Federal Constitution, Islam is essential in developing the Malaysian national identity (Rijal, 2010). Islam in Malaysia presents a way of inculcating healthy life, arts, and cultural values without clashing with the principles and spiritual values of Islam (Ibrahim, 2010).

**National Culture**

As the basis of a society's identity, culture comprises several components, including traditions, customs, beliefs, values, knowledge, and norms as practiced by a group of individuals in a society (Ennaji, 2005). Culture also refers to a set of beliefs, values, norms, customs, traditions, rituals, and ways of life that differentiate one group from another (Lee, 2003). Culture can be seen as a set of shared worldviews that

require the adjustment of one's attitudes with those of certain groups from various contexts, such as ecological (rural, urban, and sub-urban) and religious contexts (Cathy, 2008). Therefore, several developed countries, including Russia (Ennaji, 2005), Germany (Luchtenennajierg, 2010), Australia (Moran, 2011), and the United States, as well as developing countries, including Nigeria (Ikpe, 2004) and Malaysia (The National Department for Culture and Arts, 2016), are using their national culture to unite people of different ethnics.

In Malaysia, the National Cultural Congress in 1971 stated that the National Cultural Policy should be based on the Malay culture, on those necessary and appropriate elements in other cultures that can be accepted as part of the national culture, and on Islam. This policy guides the development of a united Malaysian nation and the promotion of its national identity at the international level (The National Department of Culture and Arts, 2016). Therefore, national culture in this study refers to pre-service teachers who take pride in their existing culture, appreciate and practice the traditions and cultures of the nation, and abide by the principle of living in unity and harmony. These teachers also tolerate living with others in the society, believe in the importance of living in understanding and cooperation, uphold moral and virtuous attitudes, and show pride in their heritage.

## Values

Taylor (1985) considered people as social animals who could define, see, and find themselves through accepted values that were rooted in their culture. Each individual can also define himself/herself by interacting with his/her society. Values are expressed from emotions, which in turn enable individuals to understand the motive and actions of others and evaluate their morals and ethics. Malaysia has dedicated itself to promoting unity among its people, sustaining its democracy, creating a fair society where the wealth of the country is equally shared by the people, encouraging liberal attitudes toward various cultural traditions, and developing a progressive society with the orientation of science and modern technology (Othman et al., 2006). To achieve these ambitions, the Malaysian government inculcated 18 moral values in the moral education curriculum of schools to be practiced by students in their daily lives. These values include belief in God, responsible, independent, self-esteem, diligence, grateful, patriotic, freedom, courageous, honesty, rationality, good hearted, humble, respectful, love, cooperative, moderation, and tolerance (Document for the Standard Curriculum and Assessment for Moral Education Form 1 KSSM, 2015). In this study, values refer to those moral values that are inculcated through education and are used to promote national unity among pre-service teachers.

## Nationalism

Before discussing nationalism, we should define what nation is. Ernest Renan (1823–1892) known for the statements that a nation is "a daily referendum", and that nations are based as much on what the people jointly forget, as what they remember. Renan wrote *What is a Nation* (1882) in order to symbolize the nationalism which was born in France. Gellner (2000) defined nationalism as primarily a political principle that holds that the political and the national unit should be congruent. Gellner analyzed nationalism by a historical perspective. He saw the history of humanity culminating in the discovery of modernity, nationalism being a key functional element. Modernity, by changes in political and economic system, is tied to the popularization of education, which, in turn, is tied to the unification of language (Kenneth, 2001).

Benedict Anderson (2006) defined the nation as an imagined political community - and imagined as both inherently limited and sovereign. Regardless of the actual inequality and exploitation that may prevail in each, the nation is always conceived as a deep, horizontal comradeship. The beginnings of an answer lie in the cultural roots of nationalism. Blank and Schmidt (2003) described nationalism and patriotism as highly specific expressions of the general concept of national identity. From this perspective, nationalism is characterized by the idealization of a nation, a feeling of national superiority, and an uncritical acceptance of national, state, and political authorities.

According to Davidov (2009), previous studies have suggested many alternatives for measuring national identity, nationalism, and constructive patriotism and for comparing these constructs across different countries using various sources of data. As shown in Figure 1, this study uses nationalism as a mediator for the effects of religion, culture, and values on achieving unity in efforts to form a national identity. Pre-service teachers in higher learning institutions were chosen as respondents because they are considered
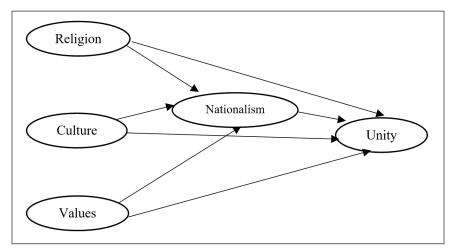


*Figure 1.* Conceptual framework

the future leaders of the country. Therefore, this population must have a high level of national identity to uphold the sovereignty and prosperity of the country. This study serves as a new source of information to develop highly effective programs for developing national identity, improving the national curriculum, improving the existing policies, and enacting new policies.

Based on the above discussion, the objectives of this study are as follows:

1. To determine significant differences in the religion, culture, values, nationalism, and unity among pre-service teachers in Malaysia based on their ethnic backgrounds.
2. To determine the mediating effects of nationalism on the relationship of religion, culture, and values with unity among pre-service teachers in Malaysia.

## MATERIALS AND METHODS

### Sample

The respondents were chosen from a population of undergraduate students from the Faculty of Education, University of Malaya using the simple random sampling technique. Undergraduate students in Faculty Education was chosen because they are future educators who play important role in educating the nation. A total of 230 respondents were selected based on their program (Islamic Education, Counseling, Teaching English as Second Language, Early Childhood Education, Science Education and Chinese Language Education) in the real study. In this regard, Patton (1990) stated

that there were no rules in determining the sample size but preferred a big sample for research surveys using a questionnaire. Sudman (1976) asserted that a minimum of 100 elements were required for each major group or subgroup in a sample.

### Instrument of Study

Questionnaires constructs of religion, culture, values, nationalism, and unity were used to check the personal identities of the respondents. The questionnaire was developed by researchers and divided into five parts (religion, culture, values, nationalism and unity). The researchers constructed the instruments used to measure these variables and consulted experts to verify the instrument items. Questionnaire validity test was conducted to strengthen language use and improve clarity and item content. The experts facilitated instrument development and the reliability test of each item (Gay & Airasian, 2003). Questionnaire reliability was evaluated through a pilot study involving 150 undergraduate students in Faculty of Education, University of Malaya.

**Religion Scale.** After getting the approval from four experts and improved the questionnaire based on the recommendations of experts, total of 29 items was determined to measure the religion. A 10-point Likert scale ranging from 1 ('strongly disagree') to 10 ('strongly agree') was employed to measure the religion scale. The reliability value of religion scales exceeded the 0.70 desirable standard (0.73).

**Culture Scale.** The culture scale involved 30 items. A 10-point Likert scale ranging from 1 ('strongly disagree') to 10 ('strongly agree') was employed to measure the culture scale. The reliability value of culture scales is 0.85.

**Values Scale**. The values scale involved 38 items. A 10-point Likert scale ranging from 1 ('strongly disagree') to 10 ('strongly agree') was employed to measure the values scale. The reliability value of value scales is 0.81.

**Nationalism Scale.** The nationalism scale involved 36 items. A 10-point Likert scale ranging from 1 ('strongly disagree') to 10 ('strongly agree') was employed to measure the nationalism scale. The reliability value of nationalism scales is 0.86.

**Unity Scale.** The unity scale involved 36 items. A 10-point Likert scale ranging from 1 ('strongly disagree') to 10 ('strongly agree') was employed to measure the unity scale. The reliability value of unity scales is 0.75.

**Data Analysis**

Structural equation modeling (SEM), confirmation factor analysis (CFA), and exploratory factor analysis (EFA) were employed to determine the latent variables. The validity and reliability of the items in measuring the latent variables, namely, religion, culture, values, nationalism, and unity, were also tested. Descriptive statistics, MANOVA, and reliability analysis were

also applied in addition to CFA and EFA. The data were divided into two equal groups. EFA with Varimax rotation was used in the first group, and the analysis results showed an interrelationship among the factors. Given that a large number of factors is needed to explain the types and interrelationship among the existing factors, CFA was then applied in the second group. The structural factors were determined by EFA and approved by CFA (Sencan, 2005). The reliability of the instrument was evaluated based on the Cronbach's alpha values of its items.

For the first objective, MANOVA was applied to examine whether the Malay and non-Malay students differed in terms of religion, culture, values, nationalism, and unity. SEM analysis was then performed to determine whether nationalism mediated the relationship of religion, culture, and values with the unity of these pre-service teachers. The equation of the coefficient in SEM was estimated using AMOS 18. A chi-square test was performed to test some measures, including comparative fit index (CFI), goodness-of-fit index (GFI), and root mean square error of approximation (RMSEA), were used to assess the suitability of the models. Zainuddin Awang (2012) suggested that at least one type of index equivalence test from the absolute fit index (Chisq, GFI, and RMSEA), incremental fit index (AGFI, CFI, and TLI), and parsimonious fit (Chisq/df) should be used.

According to Zainuddin Awang (2012), RMSEA determines the likelihood for the chi-square test to reject a model with a large

number of samples and tests the equivalence of the model with the population within the CFA. The RMSEA value of the model was less than 0.08, which was within the acceptable range of <1.00. GFI was used to assess the compatibility of a model with an independent model when the parameter was set to 0. The set value in this study exceeded 0.90. CFI was used to compare the existing model with an independent model. The CFI value in this study was greater than 0.90, which indicated that the latent variables in the model were not correlated. The normed chi-square test showed the ratio of chi-square with degrees of freedom, which is also known as the relative chi-square. The proposed value was less than 5, and a lower chi-square value indicates an improved compatibility. The model was checked to ensure that the hypothesized model matched the obtained data. Hair et al. (2010) stated that the value of the loading factor should exceed 0.60. This study followed the statement of Wang and Holcome (2010), who suggested that the loading factor should exceed 0.35.

A Sobel test was performed to test for the direct or indirect effect of the independent variables on the mediator or on the dependent variables *b* or *ab* (Preacher et al., 2007). The importance of indirect effect *ab* was tested based on the ratio between coefficient *ab* and the standard errors. The test yielded a z-value. The standard error coefficient *ab* (*sab*) was calculated based on the Aroian version of the Sobel test as recommended by Baron and Kenny (1986).

If the *z*-value in the absolute value is >1.96 or at the level of statistics *z* (*p*-value) <0.05, then the indirect effect of the independent variable on the dependent variables through a mediator is significant at 0.05 (Preacher & Hayes, 2004).

## RESULTS

### EFA

EFA was employed to confirm the index scale for the identity of the respondents. However, researchers should conduct two important tests, namely, the Keiser–Meyer–Olkin (KMO) and Bartlett's tests, beforehand. The KMO value was equal to 0.88, which exceeded the threshold value of 0.50, thereby indicating that the sample size was sufficiently large. However, the Bartlett's test returned a significant value ($\chi^2(406)=7016.13$), $p<0.05$), which indicated that several sub-scales were related and that the data were compatible enough for the EFA. The EFA results produced five factors with eigenvalues of more than 1 (1.04, 1.34, 2.46, 2.65, and 5.06) and explained 44% of the variance. These eigenvalues were computed as the total of all variances that explained each factor. Therefore, only those factors with variances of more than 1 were accepted. The dimensions in the scale for identity demonstrated strong and positive relationships, with values ranging between 0.73 and 0.76. The factorial equation was obtained from the EFA results. However, the CFA should be used instead of EFA when determining the value or goodness of the data.

## CFA

Analysis factor authentication has an important role in confirming and evaluating the reliability of a measurement in many social science studies (Harrington, 2009). The traditional acceptance criteria of the chi-square are shown by a significant result. The relative chi-square value should range between 1 and 5 while the TLI, CFI, and GFI values should range between 0 and 1 to achieve a compatibility model. However, the RMSEA value should not exceed 0.08 in order to be accepted by the data (Schumacker & Lomax, 2004). According to Awang (2012), an RMSEA value ranging between 0 and 1 is still acceptable. Four items were excluded from the instrument for testing the involvement of students because their loading factors were below 0.4 (Hashim & Sani, 2008). The CFA with the fit index and the chi-square test that showed the significant chi-square of the model both produced favorable and significant results (Kline, 2005), where chi-square/df=4.54, CFI=0.91, GFI=0.93, and RMSEA=0.07. These results also indicate the favorable fitness of the model. The CFA results reveal that all items have loading factors exceeding 0.5. These items were retained to determine the intermediary effects of nationalism on the relationship of religion, culture, and value with unity among pre-service teachers in Malaysia.

### Differences among Religion, Values, Nationalism, and Unity based on Ethnic

A MANOVA analysis was performed to identify the differences in the religion, values, nationalism, and unity of the respondents based on their ethnic. The researchers divided the ethnic into two categories, namely Malay and non-Malay due to shortage number of Chinese and Indian students to participant in this research and could not proceed by using parametric Inference statistical analysis.

The similarity of variance was determined by the homogeneity of the variance–covariance matrix, which was tested by conducting Box's M test. A significant difference was observed between the dependent and independent variables in terms of their variance–covariance with F=8.32 and $p<0.001$, which indicates that the dependent variables of variance–covariance are inhomogeneous across the independent variables. However, a MANOVA test was still conducted to test for the differences among the very large number of respondents in this study (Pallant, 2011). Wilks' Lambda test showed a significant difference among these students in terms of their religion, culture, values, nationalism, and unity [Wilks' $\lambda$ =0.74, F(1, 228)=16.18, $p<0.05$]. Table 1 shows these differences in detail.

Table 1 shows significant differences in the religion [$F$=78.80, $p<0.05$], culture [$F$=14.57, $p<0.05$], values [$F$=45.24, $p<0.05$], nationalism [$F$=25.21, $p<0.05$], and unity [F=29.28, $p<0.05$] of the respondents. The Malay respondents received higher mean scores for religion, culture, values, nationalism, and unity than the non-Malays.

**Intermediary Effect of Nationalism on the Relationship of Religion, Culture and Values with Unity.** Figure 2 shows

Table 1
*Differences in the religion, culture, values, nationalism, and unity of respondents with different ethnic backgrounds*

| Teachers Perception | Ethnic backgrounds | N | Mean | SD | Type III Sum of Squares | df | Mean Square | F | p |
|---|---|---|---|---|---|---|---|---|---|
| Religion | Malay | 133 | 9.47 | 0.67 | 71.54 | 1 | 71.54 | 78.80 | 0.00 |
| | Not Malay | 97 | 8.34 | 1.24 | | | | | |
| Culture | Malay | 133 | 9.21 | 0.87 | 13.84 | 1 | 13.84 | 14.57 | 0.00 |
| | Not Malay | 97 | 8.71 | 1.11 | | | | | |
| Values | Malay | 133 | 9.56 | 0.58 | 26.59 | 1 | 26.59 | 45.24 | 0.00 |
| | Not Malay | 97 | 8.87 | 0.97 | | | | | |
| Nationalism | Malay | 133 | 9.22 | 0.83 | 26.46 | 1 | 26.46 | 25.21 | 0.00 |
| | Not Malay | 97 | 8.54 | 1.25 | | | | | |
| Unity | Malay | 133 | 9.31 | 0.80 | 30.30 | 1 | 30.30 | 29.28 | 0.00 |
| | Not Malay | 97 | 8.57 | 1.26 | | | | | |



*Figure 2.* Contribution of religion, culture, and values on nationalism and unity

the contributions of religion, culture, and values on nationalism and unity. The SEM analysis results show that the model and the data of the sample have compatible index values with chi-square/df=0.00, RMSEA=0.06, $p<0.05$, GFI=0.99, and CFI=0.99. The evaluation value generally shows the compatibility of the model with the data of the sample as well as the evaluation on each coefficient, while the coefficient path shows the significant relationship between the specified variables. Among the three elements, culture has the greatest direct influence on nationalism ($\beta$=0.56, $p<0.05$), followed by religion ($\beta$=0.19, $p<0.05$) and values ($\beta$=0.18, $p<0.05$). Culture ($\beta$=0.22, $p<0.05$), values ($\beta$=0.14, $p<0.05$), and religion ($\beta$=0.09, $p<0.05$) also have direct effects on unity. The analysis results show that culture, moral values, and religion indirectly and positively affect unity through nationalism,

which suggests that these factors have significant roles in enhancing nationalism. In turn, nationalism has an intermediary effect on the relationship of culture, values, and religion with unity ($\beta$=0.54, $p$<0.05). Culture has an indirect insignificant effect on unity (Ed=0.22, $p$<0.05), but has an indirect significant effect on unity through nationalism (Ei=0.31, $p$<0.05). Value and religion have direct significant (Ed=0.14, $p$<0.05; Ed=0.09, $p$<0.05 respectively)

and indirect insignificant effects through nationalism (Ei=0.10, $p$<0.05; Ei=0.11, $p$<0.00 respectively) on unity.

A Sobel test was performed to see the mediating effect of nationalism on the relationship of culture, values, and religion with unity. Table 2 shows that nationalism significantly mediates the relationship of culture ($z$=7.73, $p$<0.05), religion ($z$=3.45, $p$<0.05), and values ($z$=2.74, $p$<0.05) with unity.

Table 2

*Sobel test results on the mediating effect of nationalism on the relationship of culture, values, and religion with unity*

|  |  | Mediator |  | $z$ | $p$ |
|---|---|---|---|---|---|
| Religion | → | Nationalism → | Unity | 3.45 | 0.00 |
| Culture | → | Nationalism → | Unity | 7.73 | 0.00 |
| Value | → | Nationalism → | Unity | 2.74 | 0.00 |

## DISCUSSION

The Malay and non-Malay pre-service teachers in the study have entirely different religions, cultures, and values. Given that all Malays respondents are Muslims based on the Federal Constitution Act 3, they are homogeneous in terms of their culture and values. By contrast, the non-Malay sample includes Chinese, Indians, and bumiputra from Sabah and Sarawak with different religions, including Buddhism, Hinduism, Christianity, Sikhism, and Atheism (The Ministry of Culture, Arts, and Heritage, Malaysia, 2006). Therefore, the pre-service teachers in this group are heterogeneous and have different cultures that influence their values in life. The MANOVA analysis shows that the Malays scored higher than

the non-Malays in all aspects of religion, culture, values, nationalism, and unity. Article 11 of the Malaysian Constitution states that Islam is the official religion of the country. Accordingly, Islam is the pillar of the nationalism and national culture of Malaysia. However, the non-Malays in the country are free to practice their own religions and cultures.

National identity, nationhood, and citizenship are closely intertwined with the notions of values, ethics, and traditions, which are all based on the interactions between the past and the present (Malik, 2006). 1Malaysia aims to enhance the concept of unity in diversity, which has always been considered the best hope for the future generations of Malaysians

(Ibrahim, 2010). Accordingly, studies from western countries, such as Russia, find that restructuring the policies and approaches of various institutions can strengthen ethnocultural diversity and build a new concept of national community. These aspects are interrelated in terms of their goals to realize multicultural constitutional patriotism (Codagnone & Filippov, 2000).

The AMOS analysis results show that religion, culture, and values have direct and indirect effects on nationalism and unity. Culture is the most important factor that significantly affects nationalism and unity either directly or indirectly. Such effect may be attributed to three factors. First, multiculturalism is widely accepted and preferred by people of various ethnics in Malaysia. All of these ethnics are allowed to maintain, embrace, and inherit their own cultures. Therefore, they are very happy and comfortable in embracing and taking pride in their own cultural heritage. These results echo those of studies from other countries, such as Russia (Ennaji, 2005), Germany (Luchtenennajierg, 2010), Australia (Moran, 2011), the United States, and Nigeria (Ikpe, 2004), which all use national culture as a means to unite their people.

Second, by guiding the lives of people from all communities, religion motivates individuals to get along with one another regardless of their ethnics. By respecting and tolerating other religions, people attempt to create a society where they can all live in harmony and peace. People in Malaysia are free to embrace unique ways of life according to their religions. Malaysians have high tolerance for people with different religious backgrounds by allowing them to build their places of worship, celebrate their religious festivals, and hold religious ceremonies as long as they do not disturb the people outside of their religion (Talib et al., 2010). Therefore, nationalism can be achieved by understanding and respecting the religions of others.

Third, values are formed by the religious beliefs and daily positive practices of individuals in their workplace, homes, and public places. Values encourage people from different communities to get along well with others in a friendly, accommodating, and collaborative manner. Othman et al. (2006) found that religious beliefs affect the daily lives of people. They also found that students in Malaysia generally had medium to high levels of values and had high levels of appreciation for gratitude, patriotism, and respect, with the other values receiving only a moderate level of appreciation.

However, the values used in this study only pertained to those factors with stronger direct effects on national unity compared with religion because these values must be universal and applicable across all ethnics. Moral values are instilled to all Malaysians through the moral education subject being taught since primary schools. Students are encouraged to emulate and practice good values as an appreciation of their personality and demonstrate qualities of good citizenship by focusing on issues related to life and identity construction (Rahim, 2001). In other words, a united Malaysia can be achieved by inculcating moral values among the students in the country.

Religion does not have a direct effect on unity because each religion has unique beliefs and practices. For instance, Islam and Christianity believe in one God, but Buddhists and Hindus believe in many gods, goddesses, or deities. Given these significant differences, people from different religions cannot easily arrive to a common understanding, thereby weakening their relationships. Certain religious practices in Malaysia can cause conflicts, but the positive values being emphasized in all religions, including respect, tolerance, and cooperation, can forge strong relationships among people regardless of their ethnic. According to Rahim et al. (2011), these conflicts can be solved by holding dialogues among people from different religions. The parties involved in these dialogues must observe a set of ethics to help Malaysia build a nation state.

The results of this study echo the situation in Pakistan. The Pakistani government uses school curriculum and academic experiences to understand their Pakistani identity. The complex relationship among education, religion, and national identity can lead to conflicts between "essentialist" collective identity and single collective identity as a characteristic of a collective citizenship (Durrani, 2010). Similar studies conducted abroad, such as in the United States (Dingley, 2013; Kurth, 2007), Europe (Theriault & Peter, 2005; Zambeta, 2000), Canada (Collet, 2007) and United States (Ikpe, 2004), highlight the importance of religion in establishing the identity of the people.

Nationalism has been proven as an effective tool for achieving national unity and uniting the people in Malaysia. Nationalism also acts as an effective mediator in measuring the sense of belonging of individuals from the emotional aspect as recommended by Fossum (2011). This finding supports the suggestion of Davidov (2009) to use the constructs of national identity, nationalism, and constructive patriotism in many countries, including Canada, Great Britain, and Spain (Guibernau, 2006). These findings can be used as reference for a comparative study on national identity. Pre-service teachers greatly contribute to the achievement of the 1Malaysia concept by inculcating nationalism among their students. Multiculturalism must be integrated into the academic curricula to help these teachers promote nationalism and unity. These teachers must also develop positive attitudes toward multicultural education because they are responsible for promoting the ideas of coexistence, peace, mutual respect, and mutual acceptance of the identity and heritage of others to prevent the disintegration of the country (Yilmaz, 2016).

Contribution of the study in Malaysian context is to fill in the gap of previous studies on the elements of unity in Malaysia that rarely have focused on pre-service teachers at the universities. Finding showed that the Malay pre-service teachers have higher degree of religion, culture, values, nationalism, and unity than the non-Malays. Therefore, awareness of the importance needs to be enhanced among the non-Malays

by conducting more workshops or training regarding the above topic.

This study underscores the importance of education in developing and producing the nation state of Malaysia based on its national culture, religion, and values as well as through its National Education Policy (Rodzi, 2009). By interacting with individuals from varying sociocultural, religious, and ethnic backgrounds, people learn to understand, accept, and embrace their differences. In this way, Malaysia creates a shared set of experiences and goals for building its future. These shared experiences and aspirations reflect the country's goal to establish a common national identity and foster unity among its people.

On the other hand, the findings also showed culture has the greatest direct influence on nationalism, followed by religion and values. Culture, values and religion also have direct and indirect effects on unity. In turn, nationalism has an intermediary effect on the relationship of culture, values, and religion with unity. Hence this add new findings to the field and the Ministry of Higher Education may focus on the above elements in the effort to inculcate the unity among the pre-service teachers.

The Malaysian education system must produce youths who all dream of a brighter future for Malaysia (Ministry of Education Malaysia, 2013). Therefore, the Ministry of Higher Education, universities, and faculties in Malaysia must promote the unity among the pre-service teachers in the country. These teachers must hold positive attitudes and goodwill toward other ethnics for them to promote national unity in schools. Students must also proactively practice the religions, cultures, and values of Malaysia when interacting with people of other ethnics.

## CONCLUSION

Education is the best medium for students to learn, practice, and establish the identity of their countries. In this study, pre-service teachers act as the main agents who inculcate the concept of national identity among their students. They positively view religion, culture, and values as key elements in building a united Malaysian nation. Nationalism is an important mediator that catalyzes the process of national solidarity. Therefore, higher learning institutions must adopt proactive measures to ensure that these three aspects are emphasized in the national education curriculum and to help the nation building process as shown in the Malaysia Education Blueprint 2013–2015 (2013) run smoothly and achieve its goals.

There are a number of gaps on unity from our findings and would benefit from further research, including evaluation to extend the model we have developed here. In-depth exploration of how pre-service teachers committed to embrace ethnic tolerance and unity and, nationalism is an important mediator to inculcate integration. Further research might develop, for example, training module with strategies in inculcating unity. Other variables can be explored to robustly capture the

impact and outcomes of language, religion and knowledge in molding the national integration. It would also be helpful to capture qualitatively the experiences and perspectives of the pre-service teachers who have had mixed or negative experiences in the topic of our research.

## ACKNOWLEDGEMENT

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# An Integrative Framework of Environmental Education for Environmental Crisis Transformation

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## ABSTRACT

Though there are currently many perspectives on environmental education, they generally fail to address large gaps in linking education between natural sciences, social sciences and the humanities. As a result, recently developed environmental education management practices are inconsistent in sociocultural contexts, especially in Thailand where there are many environmental agencies and indigenous groups with their own unique worldviews. To address this issue, this mixed methodology study developed an integrative framework of environmental education based on the integral theory and worldviews of various stakeholders in Thailand. Results showed that the proposed integrative framework thoroughly addressed three holistic measures as well as five components of environmental literacy. The holistic measures consisted of *behavioral change*, *social change*, and *personal change*, whereas, the five components of environmental literacy included *competencies* (knowledge and skills in scientific and sociocultural aspects), *spiritual growth* (knowledge and skills in humanities), *participation* (norms of action), *attitudes* (proper character traits), and *awareness* (value awareness). This study not only fills gaps between various perspectives of environmental education, but also provides a shift from the reductionistic approach to a more holistic one when addressing the world's complex environmental crises, especially on personalized and localized contexts.

*Keywords*: Environmental education, environmental literacy, environmental worldview, integrative framework

## INTRODUCTION

Current environmental crises including pollution, natural resource degradation, loss of biodiversity and climate change are obvious physical and biological issues. Crucially, their root causes are complicated and associated with behavioral, social

and personal problems which spark the need for a transformation away from the current dualistic view. This means a change from mechanistic, egocentric and reductionistic thought to a holistic view that is system thinking, ecocentric and more understanding of the interconnectedness of the world and the self (Canty, 2014; Naess, 2001). Environmental education [EE] that is applied to an educational process for environmental problem solving and management should develop its paradigm as well as shift from a separatist view to a more holistic view. It should also integrate natural science, social science and the humanities into an EE framework for insight in order to solve the complexities of various environmental crises.

Environmental education was developed by Western scholars in the late 1960s to apply problem solving strategies to environmental issues. At first, EE was thought of as using the environment to develop environmentally responsible behavior and literacy through awareness, attitudes, knowledge, skills, and participation (Hungerford & Volk, 1990; Lucus, 1972; United Nations Environment Program [UNEP], 1978). Two decades later, it further incorporated ideas on sustainable development. This change was inspired by Mapin and Johnson (2005) who believed that EE should evolve from empirical science and conservation to more ecopolitical and ecophilosophical focuses. As a result, during the last two decades, the conceptual framework of EE has broadened to include social, political, cultural, economic, aesthetic and spiritual

dimensions of environments (Hart et al., 1999; Palmer, 1998; Sauvé, 2005). Mapin and Johnson (2005) summarized the movement of EE into three dominant theoretical perspectives: behavioral change, social change, and personal change. Firstly, when analyzing EE from the perspective of behavioral changes, the focus is on developing scientific thinking in order to promote environmentally responsible behavior. Secondly, if viewing EE in terms of social change, the focus is on developing critical thinking for changing social values and structure in environmental justice and sustainability. Lastly, if considering personal change, this view emphasizes developing ecological consciousness and human-nature connections, and draws more from the humanities, including philosophy, aesthetics, religion, deep ecology, and bioregionalism. In considering these conceptual frameworks, researchers should work to understand and integrate these diverse EE theoretical perspectives. Furthermore, this work is important because studies focused on EE framework development are often constrained by a single purpose, rather than integrating the different perspectives for concretely holistic purposes and environmental literacy.

The framework for environmental education in Thailand has been mostly influenced by the first and more traditional framework developed from the Western worldview. However, over the past four decades, there are increasing concerns that utilizing this framework may not successfully promote conservation behavior

because it overlooks the diversity of local socio-cultural norms and various worldviews held by many communities in Thailand (Rerkpornpipat, 2010). For instance, natural science and ecology reject critical unmeasurable variables such as those perceived through the mind or which are formed by cultural values, important because these are obvious realities of one's relationship with nature in the indigenous worldview of Mekong communities living in Thailand (Jaitiang & Srisatit, 2016; Kouy, 2013; Mungthanee, 2013). To solve this problem, one scholar has proposed that ecological science should be pushed to integrate oriental wisdom (Jaitiang, 2017). Alternatively, others have suggested that three dominate perspectives (scientific, critical, and philosophical thinking) should be combined into a more holistic EE purpose (Srisupan, 1996). However, these are just ideas which lack proper empirical support.

In this study, we have combined different perspectives based on the environmental worldview within Thailand's sociocultural context with integral theory to propose a more integrated framework of EE in order to help educators, practitioners, and researchers. This offers a pathway for those interested in these practices to shift toward an integration paradigm to establish a holistic and systemic EE approach that includes experiential, behavioral, cultural, and system development in order to transform the environmental crisis. In order to develop an integrated and holistic approach to environmental education, it is necessary to first elaborate the definitions of an environmental worldview base on Thai sociocultural context, environmental literacy, and what we mean by an integral theory.

## Definition of Environmental Worldviews

An environmental worldview is a frame of reference or perceptions and concepts regarding the meaning of nature and human-nature relationships. In the philosophical view, there are critical components of this worldview including ontology, epistemology, and axiology. Therefore, the worldview that we define here attempts to support five different aspects: (1) meaning and meaning-making of the nature of reality and human position in the natural world, (2) patterns of knowing and how to gain additional knowledge of nature, (3) definitions of environmental values, (4) what proper attitudes exist towards nature and environmental crisis, and (5) norms of decision-making towards nature and environmental problems (Budin, 2012; Witt, 2012). In Thai sociocultural contexts, the environmental worldview has been influenced by the eight discipline aspects: animist, dharma, aesthetic, scientific, ecological, economic, cultural and social (Sangkpanthanon, 2013; Sattayanurak, 2002). Firstly, *the animistic view* postulates a spirit-filled earth, also known as animism or "phi" - the spirit of nature in Thai culture. Secondly, *the dharma view* is a Buddhism perspective on nature as the ultimate realization of truth and the true meaning for living. Thirdly, *the aesthetic view* is

a perspective that considers the aesthetic value of nature. Fourth, *the ecological view* is a perspective on the complex systems, diversity, and intrinsic values of nature. Fifth, *the cultural view* is a perspective on nature as a life supporting-system and an important part of the value system of many communities. Sixth, *the economic view* is a perspective on nature as a resource with extrinsic value. Next, *the scientific view* is a perspective on nature as an empirical object used in order to discover rules of nature. Lastly, *the social view* is a perspective on nature as a participatory space and resource that is able to be shared.

This study explores insights into the environmental worldview in the Thai sociocultural context and defines components of environmental education via a structured interview that explored eight different aspects of individual worldviews.

## Environmental Education and the Definition of Environmental Literacy

In early attempts, environmental education was defined as the educational process to promote citizen's environmentally responsible behavior via developing environmental literacy through awareness, attitudes, knowledge, and skills, as well as participation in conservation, protection, and environmental problem-solving (UNEP, 1978). During the past four decades, environmental education has undergone rapid changes, not only in terms of purpose but also in its environmental literacy aims. Mappin and Johnson (2005) had classified EE framework by purpose, content, and

practice of environmental literacy into three different perspectives: behavioral change (environmentally responsible behavior), social change (emancipation) and personal change (enlightenment). In this study, environmental literacy was redefined as: (1) *Awareness* referring to one's ability to acknowledging the value of nature and human-nature connection. (2) *Attitudes*, which are proper character traits towards nature and environmental issues. (3) *Knowledge* refers to one's understanding of the concepts of nature, human-nature relationships and environmental problems. (4) *Skills* mean the ability to understand and solve environmental issues. (5) *Participation* refers to the norms of decision-making used to address environmental problems. We classified these factors by behavioral changes, social changes, and personal changes based on Wilber's integral theory.

## Integral Theory

Environmental education can be classified based on Ken Weber's integral theory. According to this theory, there are at least four irreducible perspectives (subjective, intersubjective, objective, and interobjective) that must be considered when attempting to fully understand any issue (Esbörn-Hargens, 2009). Firstly, *subjective realities* are a result of individual perspectives, such as aesthetic experiences, feelings, or those made utilizing the senses. This can be used to explore components of personal change. Secondly, *intersubjective realities* refer to the cultural or second-person perspectives such as group values,

ethics, and culture. This perspective can be used to exam the components of both social and personal change. Third, *objective realities* refer to individual behaviors which can be studied from a third-person perspective. Lastly, *interobjective realities* refer to whole eco, social or economic systems that are considered via a systemic analysis from a third-person perspective. Both behavioral and system perspectives are used to explore components of behavioral and social change. In this way, we place environmental education in an integrative framework which is relevant in individual, cultural and social contexts. Even though, there are many researches to develop the environmental education framework, this research to fill the integrative framework of environmental education in Thailand. Moreover, at the theoretical level this sheds light on environmental education in the holistic and systematic perspective.

## METHODS

An exploratory sequential mixed-method research design was chosen to study an integrative framework of environmental education. Our qualitative data was first collected and analyzed, which then informed subsequent quantitative data collection (Creswell, 2012; Fetters et al., 2013). This study involved three phases. Phase one used a structured interview to understand the EE components, uncovering themes that were then used to build a survey instrument. Phase two utilized a questionnaire to test the phase one data and do a Principle Component Analysis [PCA] to identify the items

describing EE components. Phase three was an integration that happened within multiple levels of the study. This occurred first while linking data at the design level when using a sequential design, where the results from the first phase of the research were used to build the second stage of the research design. Next, an interpretation-level integration occurred connecting the qualitative and quantitative results to fully address the phenomenon for establishing the EE integrative framework.

## Participants

In Phase 1, we conducted structured interviews with key informants selected through purposeful sampling, namely, on the basis of their connection to environmental work in Thailand (north, east, middle and southern regions; Hungerford & Volk, 1990; Larson et al., 2015; Stern, 2000). The number of interviews was determined based on the saturation of information (Prasithrathsint, 2002). We conducted a total of 63 interviews: scholars (n=10) and university students (n=7) both in related fields of environment/environmental education, EE high school educators (n=14), leaders of environmental clubs (n= 9), leaders of environmental NGOs (n=8), leaders of eco-communities (n=6), environmental activists (n=4) and environmental monks (n=4).

In Phase 2, to verify the EE components in the larger sample via PCA, the target population included environmental citizens in organizations, eco-communities or educational institutions involved in taking action to maintain or enhance the quality

of the natural environment (e.g. university scholars and students, EE high school educators, environmental clubs, eco-communities, and environmental NGOs). These groups were chosen because they critically influence environmental leadership and sustainability in Thailand. Therefore, we used multi-stage cluster sampling techniques (Teddlie & Yu, 2017) to define the samples. Moreover, the sample size was defined by Roscoe's formula at the 95% confidence level, and the minimum sample size required was 384 (Ngamyan, 2011). In this study we used surveys to collect data for 449 samples.

Phase 3 was used to connect the qualitative and quantitative data for developing the integrative EE framework, which was done by the researcher. Moreover, the EE framework was examined the validity with testing Index of Item-Objective Congruence: IOC (Pasunon, 2015) by five experts. The group of experts consisted of doctoral degree recipients in the fields of philosophy, cultural study, and educational evaluation; two of the doctoral degree recipients were from the field of environmental education.

**Data Collection and Research Instruments**

In Phase 1, qualitative data was collected from multiple resources to uncover the depth of the various components of EE. The primary qualitative data came from structured interviews covering five aspects of environmental literacy (awareness, attitudes, knowledge, skills and participation) based on interviewing individuals in respect to eight different worldviews: animistic (X1), dharma (X2), aesthetic (X3), scientific (X4), ecological (X5), economic (X6), cultural (X7) and social (X8) (Sangkpanthanon, 2013; Sattayanurak, 2002). Interviews were designed to cover a range of topics through X1-X8 aspects; therefore, participants were asked to respond keeping in mind their previous knowledge, values, understanding and experience with the prompt:

Awareness - what parts of nature you acknowledge from an animistic (X1) perspective and what influence this has on human-nature relationship?

Attitudes - how should you behave toward nature and environmental problem solving from an animistic (X1) perspective?

Knowledge - what is the knowledge you use to understand the nature and environmental problems from the animistic (X1) perspective? where is the source of knowledge from?

Skills - how do you gain an understanding of nature from an animistic (X1) perspective, and how do you address environmental issues?

Participation - what action are you taking to maintain or enhance the quality of the natural environment, and what norms or criterion drive your decision-making or actions from an animist (X1) perspective?

During the qualitative data collection phase, we conducted 63 individual interviews. These interview data were

analyzed and defined the list of variables and themes to describe the variables of awareness, attitudes, knowledge, skills participation awareness, attitudes, knowledge, skills participation and the three EE purposes (behavioral change, social change and personal change) based on the concept of environmental education, as well as integral theory. However, to triangulate the data from the interviews, two other types of qualitative data were collected and analyzed: document collection, and non-participant observation in specific environment and context (Creswell, 2012; Heale & Forbes, 2013).

In Phase 2, the data from the qualitative phase was used to develop a survey instrument. A brief 30-item, 5-point Likert scale was created based on the list of variables that emerged during phase one interviews. It included 30-items covering five dimensions: awareness, attitudes, knowledge, skills and participation. It was designed to ask respondents to report their "Agreement level" on a scale from 1 to 5 from 1 = Strongly Disagree to 5 = Strongly Agree. In addition, the survey instrument was tested for reliability. There are different reports about the acceptable values of alpha, ranging from 0.70 to 0.95, where some recommend a threshold of 0.9 (Prasithrathsint, 2002; Tavakol & Dennick, 2011). In this study, the Cronbach's Alpha was presented at 0.92. Moreover, it was also evaluated for content validity by testing IOC on five experts, where it presented an IOC of 0.99 (see survey questions in Appendix A). To gather the data, we did a hybrid data collection approach involving both personal contact and survey distributed via mail.

The idea of triangulation had already introduced one purpose for mixed method - to integrate multiple database to understand the research problem (Creswell, 2012). In this study, triangulation was undertaken to integrate the qualitative and quantitative data for establishing the EE framework based on the environmental worldview within Thailand's sociocultural context, integral theory, and the EE concept.

**Data Analysis**

In Phase 1, we used the content analysis approach to sketch EE components of environmental literacy: awareness, attitudes, knowledge, skills, and participation. The qualitative data was analyzed through a multi-step process: organization of data, data immersion, construction of themes, data coding, creation of analytic memos, and interpretation of the findings (Creswell, 2012) We did content analysis and defined themes of environmental literacy into three different EE purposes: behavioral change, social change, and personal change (Table 1). In Phase 2, we used Principle Component Analysis (PCA) to test the dimensional components, choosing an oblique rotation (Promax) because the components might be related to each other. Prior to this, we made a Bartlett Sphericity test (chi-squared = 7511.858 and $\rho = 0.000$) and obtained the measure of sampling adequacy via Kaiser-Myer-Olkin (KMO = 0.951), which implied that the strength of the relationship among the variables was strong. This analysis

generated five different components with eigenvalues greater than one (Table 2).

The integration phase happened at multiple levels of the study – the design level, method level, and interpretation level. It also happened in a variety of different ways - connecting, building, merging, or embedding (Berman, 2017; Fetter et al., 2013; Guetterman et al., 2015). In this study, integration occurred first while linking data at the design level when using a sequential design, where the results from the first phase of research were used to build the second stage of the research design. In order to more fully address the research question to develop the integrative EE framework, we integrated the qualitative data and quantitative data based integral theory, and the concept of environmental education (Mapin & Johnson, 2005; Rawang, 2009).

Lastly, the framework was done IOC testing by five experts, which showed the content and construct validity were presented respectively at 0.81 and 0.92.

## RESULTS

### Phase 1: Finding Environmental Literacy with Three Different Purposes

The content analysis revealed the EE components described in general environmental literacy and three purposes based on the environmental worldview of Thai sociocultural context (Table 1).

Additionally, it was found that environmental literacy could be described in five general themes: awareness, attitudes, knowledge, skills, and participation. Moreover, we found that environmental literacy for behavioral change mainly concerned scientific variables, while

Table 1

*The components of environmental literacy with three different purposes*

| Environmental literacy | Behavioral change | Social change | Personal change |
|---|---|---|---|
| **1. Awareness**: | - usage values<br>- ecological values | - cultural values | - aesthetic values<br>- sacred values<br>- spiritual values |
| **2. Attitudes**: | - utilization<br>- stewardship | - respect culture | - love nature<br>- respect nature<br>- compassion |
| **3. Knowledge**: | -scientific<br> knowledge | - systemic knowledge<br>- local knowledge | - aesthetic knowledge<br>- personal knowledge from<br> deep experience*<br>- personal knowledge from<br> spiritual practice |
| **4. Skills**: | - scientific skills<br>- systemic thinking | - critical thinking<br>- participation skills | - aesthetic skills<br>- spiritual practicing skills |
| **5. Participation**: | - efficiency<br>- consequence | -community rule /<br> ritual<br>- multicultural | - harmony<br>- fairness |

*Note*: *deep experience is a spontaneous experience that might occur during a period of independent retreat in the wild.

environmental literacy for social change focused on the sociocultural variables, and environmental literacy for personal change emphasized psychological and spiritual variables as seen in Table 1.

**Category 1: Behavioral change.** In Table 1, "awareness of ecological values" is a variable we defined as being a part of behavioral change. It was described by an interviewee from the ecological perspective as below:

> "From [sic] ecological point of view, value of all nature [sic] things and humans are being as a small mechanical part of the nature system, and our action is not the end process, but it creates consequence to ourselves, community, region, nation and global" - university scholar

In addition, interviewees also explained the root causes of the corncob burning and smog problem in the north of Thailand by using the systemic thinking skill. It was an essential skill to insight the root causes of environmental crisis within the behavioral and social context.

> "In order to understand the corncob burning and smog problem in Northern Thailand, first, we should know that corn grows as maize, which is the raw material grown to directly support animal food companies. Corn has been transformed into animal food to be used by various livestock farms (e.g. chicken or pig farms). Subsequently, these animals become meat and are delivered to us, the customers, who buy that meat at the supermarket or eat a chicken hamburger from a fast-food restaurant. When we think systematically about this system of consumption, we see that if we consume meat, we are also the root cause of the corncob burning and smog problem in Thailand." - EE scholar

**Category 2: Social Change.** Interviewees also reflected on the "awareness of cultural values" of nature, which we define as a part of social change:

> "Nature is served as a cultural-supported system; water, soil, air, and mineral, these are our basic consumption for foods, cloth, house, and medicine. When we perceive the natural resource is [sic] as our living culture, we will create local knowledge and ritual to utilize resources with respect" - university scholar

Moreover, when asked, "What actions are you taking to maintain or enhance the quality of the natural environment?" interviewees who were in charge of sustainable development reflected on "participation," which was concerned with social change for social and ecological sustainability.

"Nowadays, we have developed a participatory management style which is a collaborative environmental management system between local communities, local governments, and civil society in order to develop an environmental norm that integrates local knowledge, rituals, community rules, national law, policies, good governance concepts, community rights, and scientific knowledge."
– leader of environmental organization

**Category 3: Personal change.** Other talked specifically about "awareness of spiritual values" which was included in theme of personal change. This is because interviewees described nature as a place to discover the meaning of life, and awareness of spiritual values influences personal change in living harmoniously and compassionately to all being.

"At the point of dharma perspective, human's goal is to realize the reality of nature and meaning of life [sic]. Nature is served as a place to discovery the truth of life which is freedom. Freedom is human dignity which lead individual [sic] be self-reliance and living harmony with the nature."- leader of environmental organization

In addition, environmental monks described the "awareness of spiritual values" in terms of the beauty of a natural place and articulated how the beauty of nature acts as a conduit for nature appreciation and self-realization from the aesthetic perspective. This awareness was linked with the monks' Buddhist background.

"The beauty of nature presents dharma and the three characteristics of all existence. Beauty reveals the truth, and to appreciate beauty we should also develop our minds to be free from delusion and attachment."- environmental monk

Moreover, interviewees mentioned a way to gain deep insight into the nature and human-nature relationship (knowledge) which was associated with a personal change from separation to integration:

"A holistic perception is to think like nature and to feel like nature."
- leader of an EE organization

**Phase 2: Finding New Environmental Literacy with an Integrative Purpose**

In the first phase of this study, it was revealed that the EE framework had in fact five environmental literacies, each with a single purpose: behavioral change, social change or personal change. However, in the past, EE framework often only considered a single purpose, thus causing failure in promoting environmentally responsible citizens and long-term sustainability. In phase 2, therefore, aimed to tackle these issues and integrate all purposes and environmental literacy that were identified in Phase 1 via Principal Component Analysis to study

the relationships of the variables which were defined in phase one. The eigenvalue before rotation ranges from 12.58 to 1.11. PCA defined five components where the eigenvalues were greater than one, and these factors were able to explain 62.45% of the total variance, almost half of which (41.93%) were explained by the first factor.

In this study, the five components were labeled respectively as *competencies, spiritual growth, participation, attitudes,* and *awareness*. To be more specific, PCA regrouped the knowledge and skills variables into two new components that are called competencies and spiritual growth (otherwise there were no changes, Table 2).

Table 2
*The new five components of environmental literacy from PCA*

| | Component | | | | |
|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 |
| **1. COMPETENCIES** | | | | | |
| Scientific knowledge. | **0.784** | -0.012 | 0.021 | -0.053 | 0.072 |
| Systemic knowledge. | **0.731** | -0.096 | 0.075 | 0.030 | 0.012 |
| Local knowledge | **0.777** | -0.003 | -0.062 | -0.075 | 0.144 |
| Scientific skills | **0.694** | 0.013 | 0.206 | -0.005 | -0.091 |
| Systemic thinking skill. | **0.707** | 0.089 | 0.264 | -0.066 | -0.215 |
| Critical thinking skills. | **0.431** | 0.219 | 0.323 | -0.062 | -0.124 |
| **2. SPIRITUAL GROWTH** | | | | | |
| Aesthetic knowledge | **0.523** | **0.465** | -0.172 | -0.012 | 0.080 |
| Personal knowledge from deep experience | **0.556** | **0.317** | -0.160 | 0.115 | -0.005 |
| Personal knowledge from spiritual experience | 0.296 | **0.689** | -0.208 | 0.081 | 0.040 |
| Aesthetic skills | 0.064 | **0.597** | 0.159 | 0.160 | -0.143 |
| Spiritual practice skills | 0.053 | **0.379** | 0.204 | 0.052 | 0.006 |
| Participation skills | 0.266 | **0.379** | 0.153 | 0.052 | 0.006 |
| **3. PARTICIPATION** | | | | | |
| Efficiency | 0.248 | -0.055 | **0.660** | -0.114 | 0.012 |
| Consequence | 0.113 | -0.146 | **0.718** | 0.079 | 0.057 |
| Community rules/rituals | -0.084 | **0.361** | **0.628** | -0.153 | 0.065 |
| Multicultural | -0.057 | -0.032 | **0.601** | 0.302 | 0.124 |
| Harmony | -0.023 | 0.082 | **0.773** | 0.023 | 0.030 |
| Fairness | -0.038 | 0.036 | **0.725** | 0.093 | 0.059 |
| **4. ATTITUDES** | | | | | |
| Utilization | 0.257 | -0.164 | 0.159 | **0.545** | -0.040 |
| Stewardship | 0.249 | 0.020 | -0.056 | **0.678** | -0.068 |
| Respect nature | -0.269 | 0.225 | 0.001 | **0.893** | -0.149 |
| Respect culture | 0.275 | 0.001 | 0.001 | **0.532** | 0.007 |
| Love nature | 0.089 | -0.018 | -0.027 | **0.812** | -0.010 |
| Compassion | -0.129 | 0.092 | 0.070 | **0.812** | -0.010 |

Table 2 *(continue)*

| | Component | | | | |
|---|---|---|---|---|---|
| | **1** | **2** | **3** | **4** | **5** |
| **5. AWARENESS** | | | | | |
| Usage values | -0.163 | 0.200 | 0.072 | -0.282 | **0.749** |
| Ecological values | **0.352** | -0.166 | 0.024 | 0.124 | **0.534** |
| Cultural values | **0.301** | -0.533 | 0.129 | 0.056 | **0.565** |
| Aesthetic values | 0.104 | 0.125 | 0.016 | 0.145 | **0.610** |
| Sacred values | -0.311 | **0.739** | 0.006 | 0.063 | 0.246 |
| Spiritual values | -0.016 | **0.549** | -0.020 | 0.077 | **0.425** |

*Note:* Extraction method: Principal Component Analysis. Rotation method: Promax with Kaiser Normalization
Entries on bold indicate a loading of more than 0.30 on the appropriate component.

Moreover, the component correlation matrix (Table 3) shows that five components (competencies, spiritual growth, participation, attitudes and awareness) tended to correlate with each other, exhibiting a positive correlation.

Table 3
*Component correlation matrix*

| | | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|---|
| 1. | **Competency** | 1.00 | 0.62 | 0.41 | 0.68 | 0.41 |
| 2. | **Spiritual Growth** | | 1.00 | 0.40 | 0.57 | 0.29 |
| 3. | **Participation** | | | 1.00 | 0.47 | 0.27 |
| 4. | **Attitudes** | | | | 1.00 | 0.47 |
| 5. | **Awareness** | | | | | 1.00 |

*Note:* Extraction method: Principal Component Analysis. Rotation method: Promax with Kaiser Normalization

## Phase 3: The Integrative Framework of Environmental Education

The integrative framework labels these three inseparable purposes as follows: behavioral change, social change, and personal change. It also defines five components of environmental literacy, required as a learning objective of environmental education, seen in Figure 1.

Figure 1 shows the integrative purpose of environmental education involving three perspectives – behavioral, social and personal change. *Behavioral change* can be defined as the ability to use scientific and sociocultural understanding, thinking and decision-making in order to display environmentally responsible behavior. *Social change* is expressed as the ability to use the understanding of social structures (including social, cultural, political and economic factors), systemic thinking, critical thinking, and decision-making in order to participate in ecological and social justice. *Personal change* can be described
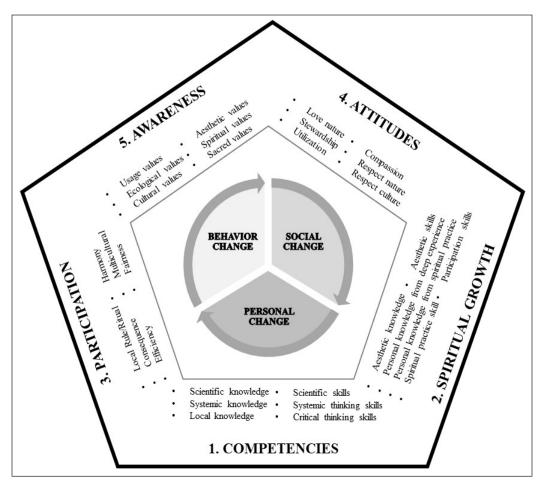
*Figure 1.* The integrative framework of environmental education

as the ability to develop the sense of connectedness that extends self-awareness beyond ego boundaries, instead replaced by feelings of human-nature connection, harmoniously holding a consideration of one's action with respect to nature. For this, we introduce *New Environmental Literacy* to empower people to develop the competencies and spiritual growth to participate in and shift attitudes and values towards an awareness for the proper, environmentally conscious decision-making and action.

The factors and items emerging from this analysis describe the multi-dimensional nature of environmental literacy (Figure 1). Firstly, *competencies* refer to the knowledge and skills in the scientific and sociocultural aspects that are involved in developing the ability to explore and understand nature and environmental issues based on facts and the scientific method. In this, it is also important to understand natural and environmental issues, and how these interact with social structure. Secondly, *spiritual growth* involves the

knowledge and skills in psychological and spiritual aspects that develop the human-nature relationship, self-realization, and environmental consciousness. Thirdly, *participation* refers to the ability to understand and criticize cultural norms of action when making decisions about environmental management. Fourthly, *attitudes* are the proper dispositions or character traits that people should promote in their relationships as they interact with nature and environmental issues. Lastly, *awareness* refers to acknowledging and appreciating the value of nature from a personal and cultural perspective, along with the ability to connect these values with knowledge, attitudes and participation for environmental decision-making and action.

Additionally, these findings show the simple sequence of the components - both interrelated and highly coherent. It reveals explicitly the idea that *competencies* are the priority subject, followed by *spiritual growth* to teach learners to explore and understand holistic knowledge about nature, human-nature relationships, and environmental issues. The last three components, *participation*, *attitudes*, and *awareness* involve values, norms, and affective dimensions for exploring and promoting ethical aspect of learners. Lastly, this new framework can be used to establish EE curriculum for environmental literacy and problem-solving either informally or in formal educational settings. For example, to organize environmental education in the community, educators can integrate the traditional disciplines such as local knowledge, storytelling, ritual or spiritual experience with scientific knowledge to expand ecological understanding, human-nature relationships, and ultimately conservation.

## DISCUSSION

In this study, we sought to advance the development of an integrative framework of environmental education and literacy via an integral theory that considers the sociocultural context of worldviews in Thailand. The integration of three different EE purposes together not only improves current conceptual frameworks, but also helps to ensure that environmental education is in proper alignment with the natural and sociocultural context of each region where it is taught. Moreover, it is also essential for those addressing the environmental crisis to shift from the fragmented Western worldview to an integrative paradigm.

First of all, this conceptual framework proposes the integrative purposes of (1) *behavioral change*, which emphasizes scientific thinking for promoting environmentally responsible behavior, (2) *social change*, which focuses on critical thinking for evaluating norms of decision-making and action, and (3) *personal change*, which incorporates the psychological and spiritual aspects of developing self-realization and a sense of connectedness with nature. This integration, therefore, has delivered the holistic framework of environmental education in order to develop learner's ability to explore complex environmental problems

and promote human-nature connection across disciplines. For example, one should use scientific knowledge to investigate a physical environmental issue while applying systemic and critical thinking to understand its root cause in the social context. Or, to then use policy implementation to encourage environmentally responsible behavior and new environmental action norms. This can also be applied in terms of human-nature separation, which learners can develop through considering aesthetic experience or through spiritual practices such as mindfulness training. This integrative framework is consistent with the concepts of Bonnett (2007), who suggested that environmental education should draw on two educational implications: a short-term pragmatic agenda which would focus on the cautions and scientific knowledge to monitor and help ameliorate undesirable outcomes of the impact of human behavior on nature, and a long-term agenda which should develop a sense of personal development that furthers a oneness with nature.

Additionally, the integrative framework allows for environmental education management in proper coherence with the sociocultural contexts of different regions, since it includes knowledge and values from scientific and cross-culture perspectives (including local knowledge, traditional ecological knowledge and personal knowledge) for EE curricular development. This is consistent with research which expands the field of environmental education into place-based education that aims to integrate indigenous and Western

knowledge in order to better understand communities and their land through holism, rooted in the experience of nature (Kapyrka & Dockstator, 2012; McKeon, 2012). In addition, the United Nations Educational, Scientific and Cultural Organization [UNESCO] (2017) has recently echoed the sentiment that scientific knowledge is not enough to solve the modern-day environmental crisis, but that this area study will need integrate science with local knowledge to create a strong foundation of education for sustainable development.

Environmental literacy, with its five components, can now reflect both content and value-based decisions. In term of content, competencies and spiritual growth respectively reflect the framework content of environmental education. Competency factors offer the knowledge and skills based on interpretations of nature and environmental issues through both scientific and sociocultural lenses. This finding is in alignment with early research which showed that cognitive skills, ecological knowledge, critical thinking, and understanding sociocultural contexts are essential for behavioral and social change (McKeown-Ice & Densinger, 2000; McBride et al, 2013; Nation American Association for Environmental Education [NAAEE], 2011). Spiritual growth, meanwhile, reflects the knowledge and skills based on an interpretation of nature and environment issues through self-realization and human-nature relationships in the psychological and spiritual aspects of the humanities. For example, one may use deep experience

to promote self-realization and a sense of connectedness with oneself, others and nature. Naess (2001) described this experience as a spontaneous moment in which one was allowed to realize the ecological self, which helped us to better understand the world. The spiritual growth factor, therefore, involves EE research that also utilizes the humanities, including deep ecology (Naess & Jickling, 2000), aesthetics that used to apply aesthetic experience for promoting environmental consciousness (Wang & Yu, 2018), and religion including Buddhist disciplines such as mindfulness training, or meditation for self-realization and a focus on oneness with nature (Bai & Scutt, 2009; Thathong, 2012).

In term of value-based decisions, although the first two components are specific to content, they are also interrelated with the last three components of environmental literacy: participation (norms of action), attitudes (proper character traits) and awareness (value awareness). Crucially, these also rely on how people give meaning and value to nature. For example, because nature is a complex system, individuals need to consider ecological value. This might include the intrinsic value of natural products and the holistic diversity needed to protect its intricate balances. From an ecological perspective, this is considered a norm of action in conservation. Meanwhile through a humanities lens (i.e. Buddhism), nature is dharma, the place to discover truth, the meaning of life and spiritual values. Therefore, this implies we should care for all beings in the same manner as we care

for ourselves, considering consequences of our mind, speech, and actions. In sum, environmental literacy involves both content and value-based decisions, and we need to connect them to promote environmentally responsible decision-making and action through environmental education. This conclusion is reminiscent of integrating environmental education and environmental advocacy, where environmental education needs to be connected with values and incorporation into political and ethical dialogue for changing social values and structures (Cairns, 2002; Niblett, 2012).

Lastly, the finding value from this study also offers environmental crisis transformation through EE management that help educators, practitioners and researcher to shift from fragmentation toward the integration. That is to view the environmental crisis root causes in a holistic perspective, and include experience, behavioral, cultural, and system development to the EE integrative framework for environmental problem solving. This confirms that integration is a key essential element for environmental problem solution todays, and it is consistent with the report of Bierbaum et al. (2018) which noted that lack of integration was a major of detriment to achieve sustainability, and integration approach was required to solve complex environmental problem.

## CONCLUSION AND RECOMMENDATIONS

In this study, we sought to advance the development of the integrative framework of environmental education. Firstly, we

addressed the integrated purposes: behavioral change, social change and personal change. Secondly, the five components of environmental literacy: competencies, spiritual growth, participation (norms of action), attitudes (proper character traits), and awareness (value awareness). This framework has potential to systematically and holistically promoted environmental literacy, and as such has provided significant development in the understanding of nature, human-nature relationships, and decision-making to environmental sustainability and other issues. Moreover, it has also helped bridge the gap between natural science, social science and the humanities. At the same time, this integrative framework functions as a domain that links many areas of knowledge, such as local knowledge, traditional ecological knowledge, scientific knowledge, and personal knowledge from aesthetic or spiritual experiences to further the end goal of conservation, problem solving and sustainability. Moreover, the most important conclusion that can be drawn from this study is the importance of a shift from the reductionistic approach to a more holistic one when addressing the world's complex environmental crises, especially on individualized and localized contexts. Therefore, a significant application of this framework is in environmental education management, in accordance with the sociocultural contexts of each region. Lastly, the integrative framework of environmental education provides holistic purposes and environmental literacy to support sustainability in individual, local and global spheres. Therefore, this is a useful framework for developing environmental education curriculum or programs, in both formal and informal educational settings for schools, local communities, and organizations.

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# Beyond Paul Auster's Postmodernity: Dialogical Dimensions of the Self in Auster's *Oracle Night* (2003)

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## ABSTRACT

The present research looks into Paul Auster's intriguing novel *Oracle Night* and initiates a metaphorical journey deep inside the architectural world of the postmodern self of his protagonist, Sidney Orr. Employing the "Virtual Fictional/ Factual Positioning" (VFP) theoretical framework, this article relates the experience of uncertainty as a central mode in the postmodern self and aims to establish whether Orr develops a dialogical self which, according to Hubert Hermans' Dialogical Self Theory (DST), functions as a more developed self in the present era of globalization and cross-cultural movements. The findings indicate that Orr's dialogical attempt is having positive affects which, in the end, are beneficial for the psychological health of his whole self-system.

*Keywords:* Bakhtin, dialogical self, fictional positioning, literary theory, Paul Auster, postmodern self

## INTRODUCTION

A careful examination of Auster's fictional characters indicates that his protagonists take part in a process to reinvent a true image of their own selves. What happens is that they give voice to their heroes/heroines in the fictional world, and by blending art and life they try to come to terms with their own selves. As Auster's protagonists share their author's experiences, his readers attempt to ascertain where fact ends and fiction begins, and some of them have been unable to distinguish between factual and fictional Austers.

The present study goes beyond the actual experiences of Auster as an author and instead relates the experience of his protagonist to his own invented hero in the story within a story. The experience of uncertainty is at the centre of the discussion in relation to the author figure in the present examination of Auster's *Oracle Night* (2003).

This article scrutinises the interrelationships between the protagonist, Sidney Orr, and his hero's, Nick Bowen's, self-system in the main narrative and the story within a story where the hero is created and developed. Based on the "Virtual Fictional/ Factual Positioning" (VFP) framework, primarily, I identify the various I-positions in the author and hero's self-system and present the overall formation of a dialogical space among these positions, both fictional and factual. The inclusive relationship between the author and his hero is discussed.

The intricate system of valuations in the narratives of the author and the dialogical counter-relationship with his hero-counterpart are deciphered. The possibility of development of new positions in the protagonist/ author's self is laid out in the final resolution. Mainly, the present literary analysis establishes whether Orr develops a dialogical self which is much more effective compared to his generally perceived postmodern self.

Thereby, I intend to move beyond postmodernist elements and the postmodern self, mostly discussed in relation to Auster's novels and characters, and present a new dialogical dimension to the study of his novels. A new model of the self, which is dialogical according to Hubert Hermans' (1999) contribution to a psychological study of the self, is introduced in this literary analysis.

## MATERIALS AND METHODS

### Uncertainty: Central Experience of The Postmodern Self

Postmodern knowledge has an unpredictable and inexplicable impact upon human consciousness and yet does not follow a unified hierarchy: "Postmodern knowledge is not simply a tool of the authorities; it refines our sensitivity to differences and reinforces our ability to tolerate the incommensurable" (Lyotard, 1979). Reflecting the collective mind set in postmodernism, all universal certainties are replaced by continuous doubt and anxiety.

Ihab Hassan (1987), among others, adhered to the idea that the postmodern self was anchored in uncertainty, chaos and a sense of dislocation. As a result of such belief, authority in any form denies the intrusion of the unpredictable in the postmodern self. Postmodernism, in this kind of interpretation, is opposed to the structures imposed by the controlling elite; instead, it paves the way for the inclusion of discerning, decentred and multiple voices. Consequently, traditional conservative notions are rejected in favour of diversity and radicalism: "The Counter Cultures, political and otherwise … Rebellion and Reaction!" (p. 43).

Theories of the self describe it as being extended in time and space. On the historical development of the self, three models have been defined: traditional, modern and postmodern. Within such a spirit, the postmodern self characterizes a lack of certainty and suffers from a collective crisis of belief. Hubert Hermans (1999) proposed

a dialogical model of the self as a model that better fitted the present era of globalization and cross-cultural movements.[1]

According to Hermans and Hermans-Konopka (2010), the postmodern self is characterized by its strong scepticism and emphasizes the importance of variety, multiplicity and fragmentation. The postmodern self is involved in various and multiple relationships, as a result of which this model seeks to adopt a variety of roles. In the context of this miscellaneous communicational milieu, the self finds itself strongly decentralized, and at times it seems to lose its inner coherence and stability. Populated by a plurality of voices, the postmodern self often cannot speak with one single voice that is recognized as the "proper" one (p. 92).

In order to adapt to the changes and flux of the postmodern era, the postmodern self is also in a state of constant change. In this context, the self sometimes experiences incoherent internal patterns. In fact, in postmodern times, one cannot distinguish a "real me" that is identifiable throughout time. Identity is "created by outside forces … Life is like a story or text that is being written and rewritten constantly" (Hermans & Hermans-Konopka, 2010, p. 93).

Hermans and Hermans-Konopka (2010) proposed that the processes of globalization and localization were reflected in the "mini-society" of the self in terms of global and local "I-positions" (or simply "positions") that could lead to "identity confusion" and experiences of uncertainty. Central to the present postmodern era, on the one hand, this experience can contribute to Dialogical Self Theory (DST) by opening up a broad range of unexpected possibilities in the self; but on the other hand, this can also be a disadvantage, because at high levels of intensity it can also lead to anxiety and insecurity. DST assumes that:

> ...the experience of uncertainty reflects a global situation of multi-voicedness (complexity) that does not allow a fixation of meaning (ambiguity), that has no super-ordinate voice for resolving contradictions and conflicting information (deficit knowledge), and that is to a large extend unpredictable. (Hermans & Hermans-Konopka, 2010, p. 28).

Uncertainty in this sense not only describes the self as being in a positive or negative state, but also illuminates an experiential quality of the self in action.

The dialogical self, according to Hermans (1999; 2001a), assumes no central or pre-dominant core but considers the self to be a composite of various narrative voices. In this scheme, partly inspired by Bakhtin's (1981) theory of dialogism, a variety of voices narrate their own life story and try to establish their own ideology in a continuous dialogue.

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[1] For more information regarding the three models of the self in collective history – traditional, modern and postmodern – refer to *Dialogical self theory: Positioning and counter-positioning in a globalizing society* by Hermans & Hermans-Konopka (2010).

Within such a framework and considering new literary developments of the dialogical aspect of the self in "Virtual Fictional and Factual Positioning" (VFP) (Barani & Wan Yahya, 2017; Barani et al., 2014), this article presents an original reading of Auster's novels. As intra-textual qualitative research, VFP evaluates the dialogical mutual workings of the author's positioning with regard to his/her hero/ heroine counterpart (Barani et al., 2014). VFP is much indebted to Bakhtin's (1990) ideology, in his significant essay, "Author and hero in aesthetic activity."

I identify and elaborate on the workings of the various I-positions in the author and hero's self-system and show how the dialogical space is mainly created in the inclusive relationship between the author and his hero in the chosen text. Valuations, as units of meaning and their affective connotations, are derived from the narratives of the author and his hero. According to VFP, the author places him/herself within his/her fictional relations (fictional positioning) and creates a bond with his/her hero/ heroine; afterwards, he/she places him/herself in his/her actual life (factual positioning) and extends fresh valuations.[2]

## Paul Auster's Postmodernity

In the Austerian world, the reader is confronted with a non-linear series of unusual events and a life narrative that is in constant evolution and growth. Auster

presents the reality of the postmodern self, in a time of uncertainty, in an endless endeavour to explore his own ambiguities. His narrative is replete with stories within stories, no one is what he/she seems, and everything is unstable and in constant flux (Varvogli, 2001).

Mark Brown (2007) focused on Auster's character's relationship with "postmodern societies" and reveals some remarkable "correlations between location, language and identity". Peacock (2010) similarly called attention to Auster's concern with the individual's problematic relationship with language. Peacock believed that Auster's view on language was essentially ethical and communal. In order to use language creatively, one needs to be absorbed in the plurality of experience and to listen to the voices of others.

Of particular significance for my dialogical analysis of the postmodern self is an examination of Auster's theme of identity quest, which is also a recurrent pattern in postmodern fiction. In Auster's novels, the idea of an autonomous subject gives way to an understanding of subject and identity characterized by instability and complexity. Berge (2005), specifically, mentioned that Auster's main characters underwent identity problems in the postmodern age, and on different levels they struggled to find meaning in their confrontations with the world. In their quest for their lost selves, the narratives of the characters played a crucial role. In postmodern literature, characters' self-perceptions rely heavily on their concepts of narratives. The fragmented and often unfinished stories within stories

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[2] For comprehensive information about the "Virtual Fictional and Factual Positioning" (VFP) theoretical framework refer to Barani et al., (2014).

narrated by the protagonists shape the characters' personas in the mind of the reader.

Auster's characters, in their struggles with conflicting identities, open up the possibility of multiple worlds through their narratives (Rankenburg, 2005). The identity issue makes Paul Auster's characters a "subject", whereby their first concern is to find their place in an unpredictable world (Docherty, 1993). "The question of who is who and whether or not we are who we think we are" (Auster, 1993, p. 264) is what interests Auster the most. Docherty (1993) affirmed that, in this manner, the "subject" was concerned with establishing his own "rational processes", yet the author provided him/her with no prior knowledge. The "solitude of the postmodern self", who is denied the "solace of an identity" (Docherty, 1993) in an uncertain world, is the particular case of Auster's characters.

Within such a fruitful framework, I intend to demonstrate how the Austerian protagonist/ author in *Oracle Night* attempts to reinvent his own self through storytelling. I aim to express the ways in which he builds a world inside his own mind, populating it with numerous characters and then participating in this society of people. This artistic world is the representational world of fiction, as opposed to the real world of the protagonist/ author himself. Sidney Orr's quest for a lost sense of his self is shown in his effort to establish a dialogical healthy endeavour to discover a significant part – I-position – in his self-repertoire that can offer psychological well-being.

## RESULTS AND DISCUSSION

### VFP in the Dialogical Relation of the Author and Hero's Self-Realm

Sidney Orr, who has partially recovered from a fatal illness, contemplates a fictional character, Nick Bowen. In a near-death experience, and realizing that the universe is governed merely by chance, Bowen sees his survival in a brand-new birth, and hence decides to leave his wife and takes the first flight to Kansas City where, in an unfortunate incident, he locks himself in an underground room. Here, Orr's muse in the ongoing Bowen's story is silenced.

Orr's mind is preoccupied due to his wife's, Grace's, recent suspicious behaviour. He attributes this to her love life, before their marriage with an old friend, and now a mentor, John Trause. Orr wonders whether the romance has been rekindled during his stay in the hospital and, worse, if it may even have resulted in her becoming pregnant. Under these circumstances, and in his quest for truth, he starts writing about what he calls the "soap opera" of Grace's affair with John.

Only a few days after Orr's discharge from hospital, one morning, which is repeatedly and significantly referred to by him as "the morning of the day in question" (p. 2, 8, 44, 155, 185, 189),[3] he buys a blue Portuguese notebook from an exotic stationery store called "Paper Palace". His venture into the enchanting world of the "Paper Palace" proves to be the beginning

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[3] Subsequent references are to the 2011 edition of *Oracle Night* and will be cited parenthetically by page numbers in the text.

of a series of significant events in his life, a journey into the realm of storytelling and fictional relations;

> ...the stillness was so pronounced that I could hear the scratching of the man's pencil behind me. Whenever I think about that morning now, the sound of that pencil is always the first thing that comes back to me. To the degree that the story I am about to tell makes any sense, I believe this was where it began – in the space of those few seconds, when the sound of that pencil was the only sound left in the world. (p. 4).

He feels like an "unfortunate traveller" coming back from a long journey to his "rightful place" in the world, at his desk (p. 9); he mysteriously finds an urge to write. The "Paper Palace" functions as a grand motivator. "I-as-happy" and "I-as-joyful" are relevant positions that accompany Orr's storyteller position. Using the Personal Position Repertoire (PPR) method (Hermans, 2001b), Table 1 lists a complete record of Orr's internal and external positions in relation to his fictional and factual realms. Relevant explanations with regard to each specific position are provided in the following parts of the analysis.

Near the end of the novel, we are briefly told about Orr's catastrophic fall down a flight of stairs in a subway station that caused his fatal injury, so we are in

Table 1

*List of Orr's internal and external positions (adapted from Hermans, 2001b)*

| Internal positions | | External positions | |
|---|---|---|---|
| Factual positioning | Fictional positioning | Factual positioning | Fictional positioning |
| I as husband | I as storyteller | The morning in question | Nick Bowen |
| I as history teacher | I as artist/novelist | Oracle night | Eva |
| I as editor | I as independent | Paper Palace | Ed Victory |
| I as friend | I as joyful | The blue notebook | Sylvia Maxwell |
| I as ignorantly happy | I as healthy | My story | Rosa Leightman |
| I as timid | | The desk | |
| I as fool | | The room | |
| I as loyal | | Mr. Chang | |
| I as devoted | | Grace | |
| I as obedient | | John Trause | |
| I as caring | | Jacob | |
| I as uncertain | | Baby stories | |
| I as shameful | | Art | |
| I as fearful | | Warsaw phone directory | |
| I as weak | | African princess | |
| I as dreaming | | | |
| I as lost | | | |
| I as pessimist | | | |
| I as freedom-seeker | | | |
| I as accepting | | | |
| I as enlightened happy | | | |

no doubt that his survival is far beyond reasonable expectations. In telling the story about Bowen, Orr is most likely connecting to and contemplating his own dreadful experience and the sequence of events that could have preceded the accident. What if he walks away from his life and start his life anew? Instead, Orr decides to see himself as Bowen, his hero, and to observe his possible response to the same circumstances. Orr adds, "we have all imagined letting go of our lives … at one moment or another we have all wanted to be someone else" (p. 12). He even fools himself by expressing his impartial involvement in Bowen's situation.

During the long journey over these nine days and his contemplation of and confrontations with his hero and his significant others, Orr has to decide "how" he is going to start again. Is he too going to leave everything behind, like Bowen? Or, in spite of the issues in his marriage and his doubts about Grace, is he willing to work through it all? In his challenge to "fleshing out the story" of Bowen, he has to confront himself.

Orr makes Bowen the opposite of himself in every bodily quality, on purpose, "I expressly made him someone I was not, an inversion of myself" (p. 15). Bowen's marriage to Eva has failed, especially after visiting Rosa Leighman. Bowen is determined; he wants a "change" and he creates this "change". He has the courage to put himself in an unknown and even unpromising future. Seeking freedom from his previous self and life sets Bowen moving in the opposite direction to his creator,

who pursues one straight direction in sheer devotion to everything he has, including "Grace", his wife. Bowen fails in his "I-as-husband" position in favour of a "freedom seeker", with no feelings of guilt or remorse.

Table 2 lists the internal and external positions in Bowen's self-repertoire. The encounters between various opposing positions in Bowen and Orr's self-space facilitate the process of meaning formation in the dialogical confrontations of "opposites". In a counter value, of Orr as the "timid", we have Bowen the "daring". Likewise, "I-as-indifferent", "I as disloyal" and "I-as-disobedient" in Bowen's repertoire bear opposite values from Orr's "I-as-caring" "I-as-loyal" and "I-as-obedient", respectively.

Table 2
*List of Bowen's internal and external positions (adapted from Hermans, 2001b)*

| Internal positions | External positions |
| --- | --- |
| I as husband | My wife/Eva |
| I as editor | Ed Victory |
| I as freedom-seeker | Warsaw phone directory |
| I as lightning man | Rosa Leighman |
| I as daring | Sylvia Maxwell |
| I as indifferent | My room |
| I as disloyal | |
| I as disobedient | |
| I as hopeful | |

VFP in the dialogical relation between the author and hero's self-realm is depicted in Figure 1. Bowen's self-system develops inside his author's, as a "man in man" (Bakhtin, 1990) and as one of his self-positions. The outer circle and the larger one in the middle show the external and internal self-space of the author, respectively. The

internal dotted circles, in the same way, demonstrate the hero's self-space. In fact, the two self-domains are inclusive and permeable. The shadows behind Bowen's self-system reveal the "field of vision" and the extent to which this self-space strives for dependency and autonomy – as it also moving to the edges, to the right. Positions located at the top of these two interconnected systems are associated with fictional positioning and are highlighted in bold.

"I-as-freedom-seeker", which is a mutual position between the author and his created hero, functions as a "meta-position" that generates a dynamic dialogical relation between various other positions, particularly in Orr's (p. 2, 130, 207) and his hero's (p. 22, 51, 56, 58, 89) self-repertoire. A meta-position functions as a directing figure in the self-repertoire, boosting the correlation and workings of a range of I-positions (Hermans & Hermans-Konopka, 2010).
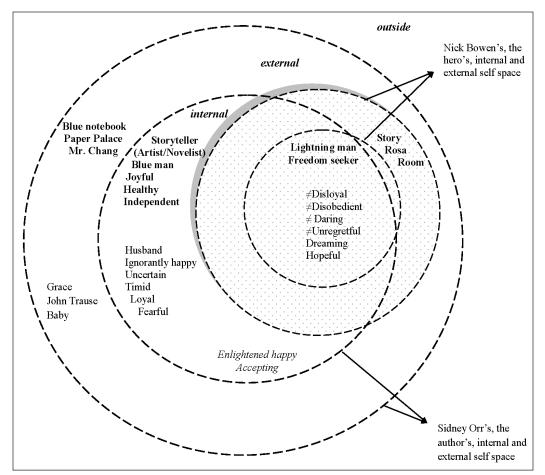


*Figure 1*. Interrelation of the main positions in Orr (outer circles) and his hero's self-repertoire (inside dotted circles). In Bowen's internal self-space, ≠ indicates the counter-positions to Orr. (Adapted from Hubert Hermans'(2001a) Model of Positions in a Multivoiced Self)

In addition, the "storyteller", or "artist/ novelist" position as a "promoter position" steering the workings of positive positions, acts like an "innovative" and "integrative force" (Hermans & Hermans-Konopka, 2010), helping to maintain order and stability in the author/ protagonist's self. The figure, furthermore, shows two newly developed positions of "I-as-enlightened happy" and "I-as-accepting" – a complementary explanation is provided in subsequent sections.

Orr confirms that the fate of Bowen's wife, Eva, is as important to him as that of his hero, Bowen. Orr creates a contrast between the calmness and indifference of Bowen and the despair and passion of Eva (p. 52). After Bowen's disappearance, Eva searches for him and believes him to be a "miserable, half-mad soul wandering around a strange city without a penny in his pocket" (p. 72). The fictional couple stand in opposition to the author's actual life position with his wife. Grace is an introspect, who resembles Bowen, in that she too can start a new life at any time; Grace abandoned her marriage for one night (p. 149) – that is, in another sense, an "oracle night" for her – and tries to come to terms with herself and her marriage. Yet, unlike Bowen, she returns.

Orr's most significant other, Grace, is for him an "enchanted being", an "implacable love" (p. 51) and a "model of kindness and patience" (p. 185). He describes his love for Grace very delicately, in terms of "eternal flames of being" and "fires of quidity" (p. 17). Bowen's love for Rosa is a fictional embodiment of the same desire in Orr for Grace.

In spite of all the love and devotion, Orr is in doubt about everything in relation to Grace, and in all his internal dialogues he conveys this worry. Orr knows nothing about Grace's past, but "just keeps on loving her, blindly" (p. 161). Many of Orr's internal factual positions, such as "I-as-devoted", "I-as-obedient", "I as loyal" and "I as timid", are in close coalition with Grace. This shows the degree of prominence and her influence as a significant other – the loved one – in Orr's self-repertoire.

As Orr faces difficulties in establishing reasonable communication with his loved one, Grace, Bowen is also unable to make any contact with Rosa; Bowen calls Rosa repeatedly but she fails to reply (p. 58, 74). Both the hero and his author are in desperate need to make contact with and be in union with their significant others. In the next section, I examine the valuations and meaning units of the protagonist/ author in his confrontation with his hero and himself. I evaluate the probability of Orr's rightful positioning towards himself and Grace.

## Self-Investigation: Matrix of Valuations and Affects

In addressing valuations in relation to the "temporal dimensions" of the main positions under discussion, I utilize open questions based on Hermans' (2001b) model. Three general questions address the main events and influence of significant people in the protagonist/ author's self-narrative of the past, present and future.

The answers to these questions lead me to construct some statements to indicate meaning units that have great value in Orr's life. Moreover, Orr's narratives reveal two internal factual I-positions manifested in his actual life narratives, "I-as-husband", which is evaluated in close contact with his loved one, Grace, and "I-as-storyteller", which is dramatized in his fictional conversation with Bowen and is intently interrelated to his venture in the "Paper Palace" and the world of the "blue notebook".

In the previous discussion on Grace as a significant other in Orr's self-space, I referred to Orr's love and affection towards his wife; what now needs to be further clarified is how Orr manages his position as a "husband". In nearly all the encounters between "husband" and "wife" positions, the significant role of John Trause is seen. He is a trusted old friend who is now accepted as a family member, a "favorite uncle" or a "godfather-without-portfolio" (p. 24). As a close friend of Orr, he is also a mentor in his writing career. There is, however, another story behind the casual uncle figure that makes John significant as an external position in Orr's self-system.

Early in the novel, Orr mentions that John has kindly "sacrificed much of his time and energy to helping Grace" in a time of "crisis" when Orr was in hospital (p. 24). Ironically, Orr as "ignorantly happy" is not aware that they had an affair while he was in hospital.

Auster's protagonist wears the mask of an ex-cuckolded "fool husband" (p. 25, 67, 185, 194), and he narrates the real story of his own life; he stands aside and watches what is happening between Grace and John. Taking this intentional internal position helps him to distinguish his own position in his married life that gives way to the workings of "I-as-ignorantly happy" as a central position that bears dysfunctional valuations.

Assessing Orr's functional and dysfunctional valuations (Hermans, 1999) reveals that he feels considerable powerlessness in his prolonged longing for Grace's love. In addition, his strict devotion and "contact and union" with his loved one demonstrate his over-dependency. Believing himself to be a "half-destroyed cripple" (p. 144-145), Orr's postmodern self at this stage displays a devastating low level of self-confidence.

Closely related to the writing and storyteller parts are the external positions of "Paper Palace", "the blue notebook" and Mr. Chang. Paper Palace, a significant promoter place, appears to be a pretentious name with qualities of both grandeur and fragility. By stepping inside the stationery store, Orr crosses the line between reality and fiction. Walking into the "Paper Palace", followed by the sight of the blue Portuguese notebook, completes the whole scenario of the author on the threshold of fictional relations.

The blue notebook as a significant other in Orr's factual external realm bonds with two other internal fictional positions: "I-as-joyful" and "I-as-healthy", "I held the notebook in my hands for the first time, I felt something akin to physical pleasure, a rush

of sudden, incomprehensible well-being" (p. 4-5). Orr, the "storyteller", appreciates the valuable effect of "writing", comparable to that of medicine, doubtless necessary for his recovery after the incident (p. 90).

After two days of writing steadily in the notebook about the account of Nick Bowen, Orr is astonished to see that the voice of the "storyteller" is silenced inside him. He is wondering whether he is using the notebook or the notebook is using him (p. 141). "I-as-lost" is mostly affiliated with the blue notebook and Bowen's story. This position is active in a sense of mental, and even at times physical, disappearance in the act of writing.

Mr. Chang, the Chinese owner of "Paper Palace", does him an unintentional favour and stimulates Orr's confrontation with his daring more functional/ dialogical self. The name "Chang" puns on the idea of "change" and possible transformation. Orr's three visits to Chang equate to three calls on "magician dude", who grants him an opportunity to experience the impossible.

After their first encounter in the "Paper Palace", the next time Orr accompanies Mr. Chang to Chinatown, and to a hidden sex club. The enterprise in the club is an escape from loyalty and obedience in Orr's marriage. Orr steps outside of his self-space, his secure zone, and lets himself go; he experiences the freedom his hero also experiences (p. 125). He needs to get away from his "Grace" for a while and observe from a distance what is happening in his marriage. He gives way to "male weakness" (p. 130) in a little sexual fondling; then,

broken by this exhibition of sheer weakness, he leaves the place without bothering to look for Chang or saying goodbye.

In their third visit at the new location of "Paper Palace", Orr notices "a tiny doll-sized statue of a man" with a typewriter in the window of the shop:

> ...you could read the words that had been typed on the page: It was the best of times, it was the worst of times, it was the age of wisdom, it was the age of foolishness, it was the epoch of belief, it was the epoch of incredulity, it was the season of Light, it was the season of Darkness, it was the spring of hope, it was the winter of despair, we had everything before us, we had nothing before up…(p. 173)

The note speaks of all the contradictions that preoccupy the postmodern mind of the protagonist/ author. Though Orr's crusade in the "Paper Palace" provokes him in many ways, he is belittled like a doll in Chang's hands.

## Transcendence of the Postmodern Self to Dialogical Self

The colour blue and its emotional and moral connotations in the life of the author/ protagonist are exemplary. Orr notes that the colour blue stands for feelings of "sadness", "loyalty" and, at the same time, "hope" (p. 42-43). These moral qualities definitely portray Orr's postmodern personality traits. Orr describes Grace's amazing blue eyes with passion, and we know that the "blue"

notebook was a source of inspiration for him. Orr, the "blue man", is uncertain, as what his name, Or(r), indicating alternatives and ambiguity, also conveys. He is continually doubtful and thinking of alternatives, about both his factual life with Grace and his fictional relations, how to finish Bowen's story. Orr is a man of "or", with various options/ choices.

On the other hand, Bowen is called the "New York lightning man" (p. 62), because he was stricken by lightning on his "oracle night" and yet has mysteriously survived. The "lightning man" has two connotations, one literal, being definitive and certain, and the other figurative, an enlightened man with new knowledge and a legacy/ prophecy for the future. Bowen demonstrates his own perspective, though it might be contrary to the one held by his creator. The whole subjectivity of Bowen stands as a unique and independent identity, and his growth and development can be beneficial to the maturation of his creator/ author's self. In this light, I identify the "core act of coalition" between the author and his hero in the oppositions of "I-as-blue man" and "I-as-lightning man".

Table 3 demonstrates the author's valuations through the eyes of the "blue man" on the left side, and his hero counter-position's valuations from the perspective of the "lightning man" on the right. Meanwhile, narrating Bowen's story, Orr constantly relates things to his actual life-positioning. The "blue man" cannot detach himself totally from his factual positioning into his fictional one. This could explain why a number of valuations from the perspective of "I-as-blue man" that are related to Orr's factual positioning with Grace are shared by his overall and central position of "I-as-ignorantly happy", which will be examined in detail in later parts of the discussion. "I-as-lost" and "I-as-doubtful", or uncertain, are close internal factual positions that are in an active relationship with "I-as-blue man".

In an active dialogical coalition, the "I-as blue man" interacts with the "I" of the hero, the "lightning man". This dialogue is continually problematized throughout the novel. By assuming the discourse of another, the author looks upon himself through the eyes of his hero.

Table 4 describes the affective indices that indicate the psychological stance of these two positions with regard to S-motive, self-enhancement, O-motive, contact and union with others, and the positive (P) and negative (N) feelings associated with them. The meaning units from the perspective of the blue man demonstrate that the feelings of S-motive prevail over the O-motive, which ultimately displays a general affect with high positive feelings and low negative feelings. On the contrary, the "lightning man" seeks interaction with his loved one, Rosa; and when he finds himself locked in the room, he does not lose hope, which reveals high levels of O-motive. He is not regretful about his course of actions, which represents high levels of S-motive. Generally, Bowen demonstrates a high level of positive feelings.

Table 3
*VFP in the dialogical confrontation between the "Blue Man" and the "Lightning Man" (Adapted from Hermans, 2002b)*

| Valuations from the Perspective of the "Blue Man" | Valuations from the Perspective of the "Lightning Man" |
|---|---|
| Past (memories of the past) | Past (memories of the past) |
| 1. I experienced a near fatal accident, and since a year ago I haven't been able to write anything. | 1. I was the editor of a famous publishing house in New York. I grew bored with my job. |
| | 2. I have been married to my wife, Eva, for five years. My marriage has come to a "standstill". |
| Present (experiences in the present) | Present (experiences in the present) |
| 1. I am frantically in love with my wife. | 1. I have madly fallen in love with Rosa Leighman, who delivered the manuscript of a long-lost novel called *Oracle Night*. |
| 2. A blue notebook became the source of my inspiration. I am sometimes lost in the notebook, writing the story of a man called Nick Bowen. | 2. I have experienced a near-death accident. Lightning struck me and could easily have taken my life. |
| 3. I witness how he stepped out of his life after a near-fatal accident, which is contrary to what I would do under any circumstances. | 3. I found the courage to step out of my life and begin a new one. I flew to Kansas City. |
| 4. After a few pages of writing steadily, I have lost my muse after putting my hero in a hole-like room underground. | 4. I am courageous and determined to face any kinds of problems and obstacles along the way. I have no intention of returning. |
| 5. I feel responsible for my hero and want to continue writing and to rescue him. Yet, my thoughts are busy with my own problems in my life. Though I think Grace has betrayed me, with our close family friend, John Trause, I feel I am still loyal to her. | 5. I met an old taxi-driver who is fascinated by collecting old phonebooks in a warehouse underground. I intend to work for him. |
| 6. I have a certain kind of sadness and a personal problem that I cannot resolve. | 6. He is in hospital and I am locked in a room with the lights turned off. |
| Future (desires and anxieties for future) | Future (desires and anxieties for future) |
| 1. I am trying to provide at least some light for my hero in that dark room that can symbolize hope, or maybe send Rosa down with him so he can be with his loved one. | 1. I am thinking, dreaming and planning for the future. I am trying to forget the past. |
| 2. I am caught between various possibilities in my actual life and I can't figure out my relationship with my wife, Grace. I am seeking freedom. | 2. I think of what happened as God's test and I am hopeful that someone will come and rescue me. I am seeking freedom. |

Table 4
*Affective connotations in the "Blue Man" and the "Lightning Man" (Adapted from Hermans, 2001b)*

|              | S    | O    | P    | N   |
|--------------|------|------|------|-----|
| Blue Man     | High | Low  | High | Low |
| Lightning Man | High | High | High | Low |

Note. S: affect describes the level of self-enhancement; O: affect describes the level of craving contact with the other; P: describes the level of positive feelings; N affect describes the level of negative feelings. The general feelings of each position in relation to the affective indices are indicated by an ordinal scale of low/ medium/ high.

Orr learns, from his hero, to act spontaneously, live a free life and face the reality of the boredom in his marriage, either break up or fix it in a logical/ dialogical manner. To come to terms with himself and his marriage is Orr's main challenge and story theme. Orr, the author, grants the freedom and courage he lacks to his hero; he stands aside and observes what is happening to him; accordingly, the author experiences the freedom to be other. The horizontal and vertical movements of the author within his own self space enable him to enter into a continuous dialogical relationship with his own self and the external world, and thus develop an effective dialogical self.

In this dialogical world view, the author pictures the world through the eyes of his hero, and he creates a "field of vision" that is the arena for a competition between various viewpoints. After a while, the "blue man" becomes so preoccupied with his factual positioning that he abandons any efforts to rescue his hero (p. 179). Orr has to reconcile his own uncertainties and overcome his own difficulty in writing his own factual life story; then, after that, he might turn back to rescue Bowen from his fallout shelter.

In order to decipher the ambiguities of his postmodern self, Orr locks himself into his own self-domain and initiates an internal dialogue that leads to a true story. Art and life in this sense become one in Orr's dialogical relations between various parts of his internal and external fictional/ factual positions and the unique reply and reaction he ultimately gives to the circumstances in his life. Orr relates his own self to his hero's and experiences the world and the story of his hero. Though each of them occupies a unique position in the context of the postmodern situation, that may at times contrast, the virtual dialogical relationship between the fictional realm and the factual one helps to develop new promising positions in the meantime.

Orr analyses himself frankly and gives a description of his own reaction to major circumstances in his life. "Like somebody trapped inside a cloud" (p. 189) he needs a lightning strike to start over again. Exactly like his hero he is searching for freedom. "I was the lost man", confesses Orr the "blue man". Twenty years later, he evaluates and discloses his own self in the past, especially those significant nine days in a revealing passage:

*I was a lost man*, an ill man, a man struggling to regain his footing, but underneath all the missteps and follies I committed that week, I knew something I wasn't aware of knowing. At certain moments during those days, I felt as if my body had become transparent, a porous membrane through which all the invisible forces of the world could pass – *a nexus of airborne electrical charges transmitted by the thoughts and feelings of others*. (p. 189-190, italics added)

He has experienced lightning, as he says it was "a nexus of airborne electrical charges" that was transmitted through him by the dialogical interaction with others – Grace, John, Bowen etc.

In order to come to terms with his own self, Orr looks at Grace's old photo album and thereafter initiates a journey into the past to "Grace before [he] met her", a "visual history" of Grace's life until the age of twenty-seven, and before Orr had met her. He seeks new communicational possibilities with Grace in a story that depicts her as the heroine. He writes this imaginary story with a truth-shade, backwards, in the blue notebook.

After his fictional venture into his fictional positioning, he now puts himself into a real, but at the same time imaginary, story that no facts can support. Grace and John, in spite of a great difference in age, let their romantic relationship grow before Orr comes onto the scene. Grace decides to

marry Orr, which is also recommended to her by John. Yet the story does not finish here; after Orr's accident, when there is no hope of survival, Grace pays a visit to John, who is now just a family friend. She bursts out crying; and then, the climax of the story, according to Orr, is when:

> Their bodies remember the past … they can't stop themselves. The past conquers the present, and for the time being the future no longer exists. Grace lets herself go, and Trause doesn't have the strength not to go with her. (p. 184)

And then the pregnancy happens; Grace is not sure who the father of the baby is. Orr finds truth in the courageous act of Grace, who decides ultimately that the baby is Orr's and stays married to him.

The moment Orr steps into the fictional wonderland of his story and follows his muse, he finds the courage to see himself in a new light, just like his own hero, the "lightning man". He reads his actual life story in a more realistic light. While narrating this imaginal story, we can observe that a new courageous Orr is born. He rightfully comes to terms with and accepts Grace for whom she really is. Consequently, he develops an "accepting" position and pushes the "blue man" into the background of his self-system to give space to the conditions for healthier positions.

Noticeably, the idea of time is very central in Orr's fictional and factual story. Admittedly, Orr looks to the past and finds

"the future" inside him, and with this enlightenment he cherishes the present moment.

Orr goes beyond his fictional positioning as an author and looks at his own actual life. He tries to mend the current circumstances in his life in the confrontation of his central positions, "I-as-ignorantly happy" with the one that he develops through this process, "I-as-enlightened happy". The valuations developed through the eyes of these two internal factual positions are sketched out in Table 5. Meaning units from the perspective of "I-as-ignorantly-happy" are listed in the left side of the table and are mostly associated with negative feelings. In addition, meaning units from the perspective of the newly developed position of "I-as-enlightened happy" are displayed on the right side of the table and are apparently associated with positive perceptions.

The process of dialogical meaning formation provides a departure of the self from postmodern qualities to dialogical ones. This development boosts Orr's psychological and mental well-being. As the "ignorantly happy" narrates its own story, despite all of his internal conflicts, Orr (re)constructs new meaning units. "I-as-enlightened happy" is developed due to the live interaction of internal positions that implies brightness in both the physical sense and the spiritual one.

The affective indices of S-motive and O-motive, and the positive (P) and negative (N) feelings associated with them, are presented in Table 6. The meaning units from the perspective of "ignorantly happy" express the feelings of O-motive prevail over S-motive, and as a result a general affect with high negative feelings and low positive feelings is displayed. In contrast, "enlightened happy" seeks contact with others and therefore represents a high degree of O-motive. "Strong" and "confident", "enlightened happy" demonstrates a clear standpoint for the future, and so indicates high levels of S-motive. Undoubtedly, this position represents a high level of positive feelings.

The communicational give and take between the author and his hero forms the basis of the VFP; the author on the threshold of the actual and fictional world visits the "man in man" within himself and fulfils the process of becoming. Both the author and his hero benefit from their dialogical exchange. This creative influence in the construction of subjecthood causes Orr to settle his ambiguities over Grace's past and to live "happily" and satisfied.

Orr appreciates the present moment and accepts the fact that the "past is past" (p. 34), he thus develops an "I-as-accepting position". An "accepting" position helps to redefine existing positions and reorganize the repertoire into a healthier one. He is accepting the truth. Therefore, he is now free and enlightened and cherishes his new chance to live again in a better and happier life.

Table 5

*VFP in the dialogical confrontation between "Ignorantly Happy" and "Enlightened Happy" (Adapted from Hermans, 2002b)*

| Valuations from the Perspective of "Ignorantly Happy" | Valuations from the Perspective of "Enlightened Happy" |
|---|---|
| **Past (memories of the past)** | **Past (memories of the past)** |
| 1. I had a near-fatal accident a year ago. | ----- |
| 2. I fell in love with Grace at first sight. | |
| **Present (experiences in the present)** | **Present (experiences in the present)** |
| 1. In one of my walks near the house, I bought a blue notebook from an exotic stationery store, "Paper Palace". | 1. I am in my room, where I am typing the manuscript of my novel. |
| 1. I am recovering and have started writing again. | 2. I visit an old album of photos of Grace. I contemplate my wife's past life, trying to know her, and therefore myself, better, in a new light. |
| 2. I am very thoughtful about my own position in my actual life, as I am narrating the life story of Bowen after the lightning incident. | 3. I write an imaginary account of my wife's romantic affair with John. |
| 3. I feel lonely, though I have a lovely wife whom I worship. I feel love and affection towards my wife. | 4. I am ready to confront the reality of my life. |
| 4. I feel at times I don't know anything about my wife, as she is not willing to share her secrets and emotions with me. | 5. I believe now that there is a close relation between imagination and reality, fact and fiction. The future is inside me. |
| 5. I narrate a story about how my wife and our family friend, John, may have had an affair. I feel like a "fool, an ex-cuckolded husband". | 6. I understand that although Grace and John loved each other before my marriage to Grace, and also there was a one-time mistake when I was in hospital, Grace wants to stay married to me and relies on my trust in her and our marriage. |
| 6. I let myself go one night in the hands of an African girl in a sex club. | |
| **Future (desires and anxieties for future)** | **Future (desires and anxieties for future)** |
| 1. I intend to follow Grace's simple instruction and keep on loving her. | 1. Writing is for me better than any other treatment. I go on writing. |
| | 2. I go to visit my wife at the hospital. I feel happy after all these sad incidents. |
| | 3. I am certain and confident about myself and my love for Grace. I know I will never let my "Grace" go. |

Table 6
*Affective connotations in the "Ignorantly Happy" and the "Enlightened Happy" (Adapted from Hermans, 2001b)*

|  | S | O | P | N |
|---|---|---|---|---|
| Ignorantly Happy | Low | High | Low | High |
| Enlightened Happy | High | High | High | Low |

*Note.* S: affect describes the level of self-enhancement; O: affect describes the level of craving contact with others; P: describes the level of positive feelings; N affect describes the level of negative feelings. The general feelings of each position in relation to the affective indices are indicated by an ordinal scale of low/ medium/ high.

## CONCLUSION

Sidney Orr, whose name also puns on uncertainty and ambivalence, is a shattered man on a quest to find truth and overcome his life uncertainties in a world that illustrates the discomforting anxiety of the postmodern era. The postmodern "blue man" encounters two great dilemmas in his life, one fictional, the other factual; the former deals with the hero's fate and the latter with his marriage, the issues of "love" and "contact and union" with loved ones. Contrary to Bowen, who seeks this "unity" and "love" outside of his marriage domain, Orr chooses to stay loyal to his wife and to restore their relationship of trust.

The freedom-seeker side – freedom from his actual life and freedom to be the "other" – of Orr, that acts as a meta-position, facilitates the integration and unity of the repertoire by generating an influential dialogical relation between the positions affected by the postmodern self. The confrontation of the author with his hero from the viewpoint of "I-as-blue man" and "I-as lightning man" is identified as the "core act of coalition". The "ignorantly happy" and the "blue man" that seem to

be the prevailing positions progressively give way to other positions that fit more positively into Orr's self-space. Positive personal valuations, from the perspective of an "accepting position" and "enlightened happy", surface effectively.

Orr is now ready to move on from the past and to develop new infinite possibilities in his marriage to Grace in the future. Under the impression of a dynamic course of positioning and repositioning, Orr's postmodern self as "I-as-artist/ novelist" transcends into a dialogical self. Orr responds to his postmodern situation in quite a dialogical way by letting go of the past, dealing with the present and generating a positive perspective for the future.

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# Ireland as a Mother Figure in *Cathleen ni Houlihan:* Mother Figure as a Symbol for Nationalism

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## ABSTRACT

This study aims at shedding light on the Mother figure as a symbol in Yeats' *Cathleen ni Houlihan.* While most of the writers favour to present the female figure as a young and beautiful, Yeats contradicts this attitude by identifying Ireland with an old and dignified lady. The study aims at justifying Yeats' choice of the old female figure as opposed to the young. The study proved that Yeats aimed to create double cultural function: the first was for a national purpose; where the young men decide to help the old lady only for her own sake without having any personal benefit. The second function had a cultural depth that aimed at reviving Irish culture by reintroducing Celtic figures adopted from the Irish culture as major characters in his plays. Therefore; the study proved that Yeats' choice of the old female figure was a very influential way to foster national awareness and to revive the Celtic heritage as well.

*Keywords:* Colonial and post-colonial literature, female figure as a symbol, Irish culture, Irish drama, W. B. Yeats

## INTRODUCTION

*Cathleen ni Houlihan* (1902) is one of Yeats' best plays which embodies Yeats' cultural awareness and his sense of nationalism. Like many of Yeats' works, *Cathleen ni Houlihan* aims at strengthening the national awareness of his audience and reviving the Celtic heritage. This goal is achieved by drawing on Irish material as a source of his plays and presenting heroes and heroines adopted from the Irish Culture. The figure Cathleen ni Houlihan is a Celtic figure adopted from Irish mythologies. By doing so, Yeats succeeded in fostering the main principles of the Irish identity.

In *Cathleen ni Houlihan,* Yeats focused on the charismatic qualities that *Cathleen* had, she enjoyed such an un resistible charm; not due to her youth or beauty, but for her strong presence and her ability to influence others. She was old; however,

she was not weak. Rather she was strong with a queen –like dignity. By drawing on Irish material as a source of the play, Yeats presented Ireland and its struggle for independence in a symbolic context. In this light, the importance of the study is in its investigation of the presentation of Ireland in a female figure, the old lady Cathleen ni Houlihan. The study aims to prove that the use of the "old" female figure as the main image enriches the play and it indicates the possibility of generating other images from the Irish culture.

The play is related to a period of Ireland history when Ireland was a colonial country under the English Rule. The play is an implicit representation of Ireland in its struggle to have its independence from colonization. The play introduces the female figure Cathleen ni Houlihan who is a symbol of Mother Ireland and "has the goal of convincing men to fight for Ireland. While this play was written about the rising of 1798, it was meant to inspire people for the 1916 Rising" (Irish Studies, 2019).

The study shows that the female figure is used twice: the first as a sheltered helpless old woman who sought the help of people, and the second as a young woman. The study proved that the image of women played a great role in arousing the national feelings of the audience to participate in their country liberation from occupation.

## METHODS

The aim of the study is to determine the cultural and historical significance of Yeats' great play *Cathleen ni Houlihan*. The method

adopted in studying the play is related to multiculturalism since the play celebrates the Irish sense of nationalism and draws on heroes and heroines adopted from the ancient Celtic culture.

To trace the cultural perspective, the researcher investigated and analysed the symbolical significance of the major character (Cathleen) as an allegory of Ireland itself who urged people to sacrifice their souls for her sake to help her restore her "four Green Fields" from the "strangers" (Yeats, 1997, p. 215).

Also, this study refers to historicism since the play tackles an era of colonial Ireland and portrays symbolically the Irish people attempts to have their freedom.

Besides, the study adopted colonialism as a method of criticism and analysis of the play major events. The researcher adopted this method because the play referred to a real historical event which was the occupation of Ireland. To sum up, the study tries to explain the intersection between historicism, multiculturalism, and colonialism as methods that are interrelated to clarify the main theme of the play which is Ireland in its quest for independence.

Having the Irish identity placed at the top of Yeats' agenda, he allotted a great role for the theatre in increasing the national feelings and forming a cultural identity as well. For this, he wrote *Cathleen ni Houlihan* for the Abbey theatre to be the first play to be acted on its stage. Though this play is simple in its form, it is great in its theme which focussed on the theme of sacrifice for one's country, as represented

in the figure of Cathleen ni Houlihan. Therefore, discussion of its importance from a cultural, historical and national background is imperative.

## RESULTS AND DISCUSSION

Taking the historical and cultural context into consideration, this play was written when Ireland was struggling for its freedom. The play's theme is Ireland and its struggle for independence put in a symbolic context.

By using the Irish theatre, Yeats was seeking the formation of the Irish identity through arousing the cultural and national awareness among the Irish people. Thus, as the study discusses, the play was situated within the Irish context. *Cathleen ni Houlihan* is considered the embodiment of Yeats' national efforts through the medium of drama and his role in the revival of Irish culture by presenting myths, legends, and folktales which Yeats believed them to be a medium of portraying heritage and forms of national identity realization.

The importance of the play is in its presentation of Ireland personified as an old lady who had a majestic appearance. Kitishat (2014) for example highlighted the cultural role of the personification of Ireland as an old woman, she even added that such reintroduction of the Irish culture was seen as one reason for the great success of the play, she says that the "cultural depth proves to be existent as a background for the play", which became "a firm source of a national identity" (Kitishat, 2014, p. 7).

Moreover, "the world of Ireland" is embodied in a single figure drawn from the Irish Celtic mythologies, the old lady, Cathleen ni Houlihan. This cultural depth "enriches the play"; the study explains the significance of this representation of Ireland not only as an old lady, but also draws the attention to the possibility of generating other images from the Irish culture and this conveys the "richness of the Irish culture, in its capacity for self-reference and for significant unity" (Welch, 1987, p. 212-213).

Having Ireland's political struggles to have independence in mind, Yeats drew on this reality as a source of the material of his plays. In this play, Yeats presented Ireland as a helpless old lady who urged young men to help her. The heroine of the play, as perceived by Yeats, had become a metaphorical figure of Ireland seeking independence. In *Cathleen ni Houlihan,* Cathleen says:

> [M]any that have gathered money will not stay to spend it, many child will be born and there will be no father at its Christening to give it a name they that have red cheeks will have pale cheeks for my sake, and for that, they think they are well-paid. (Yeats, 1997, p. 219).

Symbolically speaking, the play can be read as a clear reference for the men who died while fighting for Ireland. Yeats declared that they were considered heroes. This explains "why memory and martyrdom were such important themes that are incorporated into works about revolution" (Irish Studies, 2019). Yeats celebrated the sacrifice of the young men who would

be registered in the records of mortality, Cathleen Ni Houlihan said:

> They shall be remembered for ever,
> They shall be alive for ever,
> They shall be speaking for ever,
> The people shall hear them for ever.
> (Yeats, 1997, p. 219).

Thus, through the metaphorical figure of Cathleen, Yeats' sense of nationalism was made very clear. This "romantic devotion" enabled us to see "in the soul of Ireland everything he [Yeats] idealized" (Stock, 1964, p. 66).

Perhaps in this context, it is worth mentioning that Yeats idealized the mother figure due to its dignified presence and respect. The word "mother" is worked on in various ways in terms of symbolism and from a semiotic angel. This image reminds us of the inseparable link between the mother and her sons. It also drags to our mind the notion of loyalty and obedience any person has to his/her mother. Therefore, it is not strange, the researcher argues, to use the mother figure as a personification of Ireland.

From a semiotic angel, the representation of the mother is connected in its meaning and use in language and its usage in culture. Thus, the image of the mother has socio-political messages According to semiotic analysis, there are different kinds of messages which words can advocate. About this point, Sarah Ahmed Adham comments on such images saying that socio-political messages "are images where viewers are invited to take a particular stance. They may be invited to embrace concepts such as 'Freedom', or 'Revolution'. Such images tend to have a high degree of youth." (Adham, 2012, p. 8) Taking this analysis in mind, the old lady who is weak and helpless is pathetic and her insistence on the need of her sons to help her is explicitly introduced. In Yeats' *Cathleen ni Houlihan*, the mother has an emotional meaning. The mother, especially in old age, needs help and it is expected that her sons should help her. Yeats linked the national cause with personal cause. This explains why Cathleen refused any material help when Peter offered her money and food: "Bridget [to the Old Woman]. Will you have a drink of milk? Old Woman. It is not food or drink that I want." (Yeats, 1997, p. 217).

Also, "the word mother is a significant concept that can be seen in mythology, art, sociology, and psychology at the same time" (Koçak & Gürçay, 2017, p. 1). To explain this meaning, when we say "mother" for instance, many meanings come to our mind, these significances denote many symbolic meanings, especially that meaning which is related to "existence (origination from the birth) also feeding and protecting" (Koçak & Gürçay, 2017, p. 1). In other words, Cathleen's figure represents "Mother Ireland", who offer The Irish people protection and the hope of a better life as symbolically presented by independence. As Mother Ireland, Cathleen relates the revival of her youth to the sacrifice presented by her sons. Here the independence of Ireland represented as a mother, could never be done without the help of her young strong sons

who willingly join her to restore her land back from the strangers.

However, there is a sharp, defined conflict between the biological mother "Bridget", and "Mother Ireland" Cathleen (Stock, 1964, p. 66), this "opposition", is presented by two female figures, "one mortal and one supernatural, to set up an opposition between the world of the glorious ideal and the world of limiting domesticity" (Harris, 1996, p. 479-80). It can be hinted that "Bridget" symbolizes "England" who refuses the separation of the Irish people from her to join Ireland, on the other hand, Ireland is represented in the figure of Cathleen ni Houlihan. This play belongs to an era in Irish history, in which rebellion against England, the biological mother as implicitly mentioned in the play, and Mother Ireland represented by the old lady Cathleen. This takes us back to an era when the political conflict between the two countries "was in its utmost form" (Doyle, 1998, p. 9). By writing this play, Yeats was encouraging the Irish people to resist English colonization. So, Yeats hoped that "his generation should live up to their ancestors' tradition of heroic rebellion" (Stock, 1964, p. 160).

By linking Ireland to the female figure, the study highlights the role of the female identity and nationhood to demonstrate how Yeats "repeatedly attempts to transcend nationalism gendered symbolic economy" (Stock, 1964, p. 160). This interrelated metaphor presented Ireland as a "politically disempowered domestic" old lady who is a "spiritual guardian of the community"

(Stock, 1964, p. 160). Therefore, this play symbolically presents Ireland's transition from a colony to a partially independent nation.

Allegorically, the image of Ireland as a mother is of great significance to the play deep meaning. With regard to this point, Kim discussed the function of symbolism as a main literary tool which enabled Yeats to relate the political situation to the Irish cultural background. Also, Yeats aimed to represent an original dramatic form which depended on symbolism. In Yeats's plays, "imagery, symbols, style and plot are well organized and unified as an organic whole. Therefore, the characters usually have symbolic meanings […] Cathleen ni Houlihan, a personification of Ireland" (Kim, 2000, p. 121).

No doubt, the revelation of the allegorical nature of the old lady is presented throughout the whole play. The old lady was embodied in a dignified way of a majestic look. This image stimulates the hero to join her in her struggle with the strangers. The moment the metaphorical figure "Cathleen" realized that the young man will help her, though she is weak and old, another gendered image was presented, the old lady was transformed into a young beautiful woman. This allegorical image of Ireland is strengthened when Cathleen boasts that many men from different parts from Ireland died for her sake, she says that, "the O'Donnell's from the North" and also "O'Dallivan's from the South, […] and there were a great many in the west, some that died hundred, of years ago, and there

are some that will die tomorrow" (Yeats, 1997, p. 216).

However, regarding the significance of Cathleen's character as a metaphorical figure, Yeats' dramatization of the Irish issue has a universal meaning since it can be applied for any nation that is looking for its freedom and so, *Cathleen ni Houlihan* can be understood as a form of universal "racial and cultural" humanism (Taylor, 1984, p. 34).

By introducing the old lady's character, Yeats symbolized Ireland itself seeking help from the youth of Ireland, Cathleen stated "I have travelled far, very far; there are few have travelled so far as myself, and there's many a one that doesn't make me welcome" (Yeats, 1997, p. 8). Having in mind Yeats' personification of Ireland as an old, dignified lady, effective influence is expected of such an image on the audience. Without doubt, Yeats' allegorical image of Cathleen **"**inspired several imitations in the National Theatre and even more counter-responses over the following decades, thus, the tradition of the Ireland figure was effectively transposed by Yeats to drama" (Novakovic, 1996, p. 4787).

In fact, this allegorical representation of Ireland is enhanced when Cathleen refused to have any "material" help and insisted on spiritual help embodied in self-sacrifice for her sake. In her conversation with both Peter and Bridget, Cathleen said that she did not ask any material help; her allegorical significance was asserted when she said, "anyone would give me help, he must give me himself, he must give me all" (Yeats,

1997, p. 217). Consequently, Cathleen becomes a clear personification of Ireland when she declares that anyone who wants to help her must do that task entirely for her alone. Hearing Cathleen's words, Michael sympathizes with her cause and promises to help her to dismiss the strangers out of her house. Again, clearly enough, the symbolic significance of the "strangers" and the "house" attracts the attention particularly if taken in their political context. In fact, the strangers are a symbol that stands for the English occupation and her house stands for Ireland.

As far as postcolonial literature is concerned, this play can be conceived to strengthen the quest of Yeats for a national Irish identity. Kitishat (2012) for instance drew the attention to the national depth of Yeats' plays, she argued that:

> This Irish touch in Yeats' works incited other Irish writers to assert Irish identity in their writings by advocating awareness of their national identity. Yeats celebrated having Irish identity and tradition in many of his works. In fact, Yeats not only emphasized the 'instinctive' nature of tradition, but he also believed that it was impossible to understand the traditions of others if one was not aware of his/ her culture and identity. (Kitishat, 2012, p. 85).

The presentation of Ireland as an old lady links the metaphorical meaning of Mother Ireland. Where the love of her

requires that sacrifice should be done to help her; this meaning is represented in Michael's final decision to help the old woman against the strangers who took her land. This theme confirms the assumption of post-colonial criticism for it is believed that "cultural representations were central first to the process of colonizing other lands, and then again to the process of obtaining independence from the colonizer" (Boehmer, 1995, p. 5).

This reading of the play refutes the suspicions concerning Yeats' Irishness, an attitude which questions "whether [Yeats] can really be thought of as an Irish writer, coming, as he did, from Anglo-Irish stock" or not (Welch, 1985, p. 226). Here Yeats established himself as a nationalist who had a vision which "led him into a reading of the old codes inherent in Gaelic literature; and his version of these, though politicized by nationalism, and affected by the nineteenth century revulsion against materialism and modernism, is very accurate indeed" (Welch, 1985, p. 226). In *Cathleen ni Houlihan*, Yeats invites the young Irish men to fight sincerely for Ireland and it is also a clear invitation for self-sacrifice to obtain independence by dismissing "the strangers": from Cathleen's house, and when asked about "What was it put the trouble on you?" She answered, "My land that was taken from me" (Yeats, 1997, p. 215).

It is not a coincidence that Yeats used the word strangers to indicate the English. The choice of words fits significantly enough in this context. Clearly, Yeats, as well as other Irish people, felt different from the English

in everything: in religion, language and culture. Regarding the religious differences, most of the Irish people are Catholics; while the English majorities are Protestants. The language is also another difference in which the Gaelic language is the real language of old Ireland, which witnessed many attempts of reviving and bringing it back to life. It is also known that the old Irish language is still used in many parts of Ireland, especially the Western region which is famous for the pure Irish dialect. Clearly, the Irish people have worked endlessly to revive their language and culture to bring them back to life again. Even more, this culture is different since the Irish people consider their culture spiritual if compared with the influence of the English material culture.

Moreover, the action of the play concentrates on the relationship between Michael and the old woman. Actually, the revelation of the allegorical nature of the old woman is presented "gradually" with the final decision of Michael Gillane to leave his bride to help the old lady. Most of all, the climax of the play once again reinforces the national message that Yeats wanted to convey, it is clarified when Michael finally decides to postpone his marriage refusing the physical joy and follows Cathleen's voice and left Delia, his bride, though she was begging him to stay (Taylor, 1984, p. 19).

At this moment a supernatural event takes place: the old lady is transformed into a majestic- looking young girl. This fact was reported by Patrick, Michael's brother, when he was asked if he has seen an old woman

walking down the path he said, "I did not, but I saw a young girl, and she had the walk of a queen" (Yeats, 1997, p. 220).

In other words, Michael must choose between his physical pleasures, represented in his new marriage, or the national cause of the independence of the country. This struggle stresses the character's quest for having an identity on the one hand and the refusal of the stereotype that the English colonizer has already presented of the Irish people. Indeed, Cathleen's speech represents the "well-known image of the oppressed speaking out of silence" (Boehmer, 1995, p. 6).

Finally, Yeats' message is embodied clearly at the end of the play when Michael leaves his bride and joins the rising of 1798. This incident is magnificently expressed in "Red Hanrahan's Song about Ireland", Yeats boasted "Our courage breaks like an old tree in a black wind and dies. But we have hidden in our hearts the flame out of the eyes of Cathleen, the daughter of Houlihan" (Wu, 2002, p. 198).

Therefore, reading the previous lines, Yeats aimed at "kindling Irish patriotism into a blaze of hatred for everything despicable in the modern world" (Stock, 1964, p. 168). The researcher stresses that Yeats' method was "visionary", by this method, the researcher argues, that Yeats "deploys a dream figure to mobilize inspirational text for nationalists … creating the spirit of the 1916 rebellion and, indeed, in creating recruits" (Murray, 1997, p. 70-71).

In fact, Michael's behavior could be justified in the light of the postcolonial criticism because he was "preoccupied with interpretations of identity – of the need to achieve an independent sense of being in the world-and concerned to high light this question of decolonization over others" (Boehmer, 1995, p. 8).

## CONCLUSION

To conclude, having in mind Yeats' personification of Ireland as an old dignified lady, the study proved the effectiveness of such image in restoring the Irish culture and in arousing the sense of nationalism. By drawing on the Irish culture through the allegorical figure of the old woman, the study emphasizes the idea that Yeats was able to assimilate the Irish culture and the national identity into one another. By reviving Irish myths, legends and folktales, Yeats achieved two goals: first, strengthening the Irish awareness of their present by linking it with its cultural origins and this can best be described as the "cultural" awareness, the second is to increase the national feelings among the audience. The study adopts postcolonial criticism to trace the intersection between literature and political reality. Another method adopted in studying the play is multiculturalism since the play celebrates the Irish sense of nationalism and draws on heroes and heroines adopted from the ancient Gaelic culture. Therefore, the study proved that by the personification of Ireland as an old, dignified woman, who has been referred to as "Cathleen ni Houlihan", Yeats uncovers an eager quest for restoring the ancient Irish culture as a source for stressing

a national Irish identity, and implicitly, Yeats hints that sacrifice should be done so that independence could be obtained. In *Cathleen ni Houlihan*, Yeats represented this fact with Michael's final decision to help the old woman against the strangers who took her land. This theme confirms the assumption of post-colonial criticism for it is asserted that cultural representations play a great role in the process of decolonization. The study proves that Yeats was aware of the effectiveness of Irish material, and thus; he succeeded in making his characters fulfill their quest for the independent Irish identity which was achieved by the arousal of national feeling among the Irish people by the personification of Ireland as an old, dignified lady.

## ACKNOWLEDGMENT

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# The Realistic Inquiry of Selected Romantic Poetry by Blake, Wordsworth, Shelley and Keats

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## ABSTRACT

English romantic poetry has been traditionally conceived as a principal part of the idealism orthodoxy, an imitation of unrealistic ideal realms. This research aims to deconstruct this prevalent convention through isolating particular realistic aspects in English romantic poetry for examination. It argues that the real world has never been absent from the works of the English romantics. It tackles for this sake selected poems by William Blake, William Wordsworth, Percy Bysshe Shelley and John Keats, aiming to highlight their passionate concern with realistic aspects of man and the city and to examine their poetic interaction with significant real incidents and situations. The study investigates their presentation of England by comparing it with several non-poetic records produced by certain contemporary historians. It also tackles their treatment of human suffering which their writings give a voice to be objectively expressed. The concept of the romantic escape is treated as well where the romantics' imagination often carries them to ideal realms; the study argues however that they never eternally reside there or enjoy escaping reality due to their existential needs that tie them to reality. The research concludes with the postulate that reality exerts a significant impact on the composition of English romantic poetry.

*Keywords:* Blake, Keats, realism, Romanticism, Shelley, Wordsworth

## INTRODUCTION

The question of the ideal and the real has occupied the thoughts of poets and philosophers over ages. Ancient Greek literature expresses dissatisfaction with the aspects of the real world through creating fabulous worlds and deities. Although those fictitious aspects are manifestations of the poets' quest to access ideal fantastic realms, they have occasionally been employed to develop recognition of reality insofar as they are utilized to understand the phenomena of the tangible realm. The Greek philosopher Plato seeks perfection in the ideal world which he regards as unattainable and only exclusive for philosophers, and claims that the real world is more convenient for man.[1] Aristotle's *Poetics* credits poets for owning potential powers and great capabilities to create ideal worlds out of reality. Neither the ideal world, nor the real, has succeeded in eliminating the other. The perception, adoption and presentation of both have varied among the different literary ages. The literary movements afterwards have been often distinguished as either idealistic or realistic depending on the degree of emphasis the writers place on these trends; there is certainly however no literary age or movement that can be identified as purely idealistic or realistic.

Old English literature shows interest in the real aspects of the Anglo-Saxon world. War and the ideals of heroism are daily concerns of the old English

warrior. Anglo-Saxon literature nonetheless introduces warriors fighting supernatural creatures of the type of Grendel aiming to eliminate evil and make life ideally safe. Blending the supernatural and the real to help idealizing reality in *Beowulf* signifies a tension between realism and idealism in old English poetry. The Anglo-Saxon poet Caedmon represents a similar blend through expressing dissatisfaction with earthly thoughts of his real world, claiming that his hymns are heavenly inspired. English Middle Ages present romance characters as Sir Gawain who sets off on a quest to confirm his worthiness as an ideal knight, only to discover that he is tied to the real world of inescapable evil. Chaucer's heroes of *The book of the Duchess* and *The house of fame* hearken in their dreams back to the ideal past of the temple of Venus and the Trojan War respectively; different in-text and external evidence however demonstrate that Chaucer is basically concerned with tackling urgent themes of death and vanity. English Renaissance in a similar fashion has been occupied with heroes like Faustus who bears the tragic burden of the impossibility of escaping the real world to ideal realms. Some thoughts reflected in the writings of eighteenth-century poets and critics as Alexander Pope emphasize the imperfection of man's perception of reality opposed to the idealism of God's perfect creation. English literature consequently has often reflected amalgamated realistic and idealistic trends over time; the English Romantic Movement is no exception.

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1    His "Allegory of the Cave" in the Republic illustrates the convenience of the cave, paralleled to the real world of man, for the life of the average people.

English romantic poetry has been traditionally conceived as a principal part of the idealism orthodoxy, an imitation of unrealistic ideal realms. The English romantic poets are commonly treated as dreamy writers whose poetic activity aims to create romantic fanciful worlds detached from reality. Fairer (2014) associated the term romantic with "youthful love, daydreaming, mood-soaked landscapes (especially those inviting meditation or adventure), fabulous fictions, melancholy contemplation, imagined historic or exotic scenes, the trappings of chivalry and enchantment" (p. 102). Fairer's interpretation limits the poetic activity of the romantics to the production of escapism writings sought to avoid reality and to wander in the realm of the ideal. His postulate could be tolerated as far as English romantic poetry did merely embody aspects of fantasy, adventure, exoticism and dreamlike scenes. Nevertheless, the real imperfect world has proven clear presence in major English romantic works.

## METHODS

The research placed emphasis on three major concerns that highlight the realistic aspects present in selected poetry by Blake, Wordsworth, Shelley and Keats. It dealt first with the poets' passionate concern with man and the city through comparing their presentation in certain poems with relevant historical accounts. It then reconsidered the poets' temporal journeys to the ideal world where their existential needs were examined as a major power drawing them always back to reality; the poems depicting these journeys relied on imagination as the main source of experience needed to compose poetry. The study finally investigated extra-poetic evidence, beside that given in poetry, of real personal experiences and situations that had exerted significant impact on the poets to create certain works.

## RESULTS AND DISCUSSION

### Versified Records of England and its Metropolis

The English romantic poets' presentation of England oftentimes provided a realistic account of the country. Their descriptions sounded more realistic than some non-poetic records by contemporary historians. The romantic rhymes that described the life of England or London particularly showed no inclination to the hypocritical discourse sought to satisfy the corrupted taste of the authorities as certain contemporary historic texts did. A demonstration of supposedly untrustworthy historical record of London can be illustrated in a letter written to King George IV in 1827 by the contemporary historian J. Elmes:

> The splendid and useful improvements that have been effected in the Metropolis, under your Majesty's auspices, and which it is the business of this work to describe, will render the name of George The Fourth, as illustrious in the British annals, as that of Augustus in those of Rome. (In Elmes & Shepherd, 1833, p. iv).

Elmes's flattering words about London and King George IV were contrasted by other arguably reliable contemporary

historical accounts and romantic poetic works as well. These works demonstrated a more realistic treatment of the scenes and aspects of the London of the time. They corresponded to R. Williams' (2009) concept of "structures of feeling" which he viewed as:

> A way of defining forms and conventions in art and literature as inalienable elements of a social process: not by derivation from other social forms and pre-forms, but as social formation of a specific kind which may in turn be seen as the articulation (often the only fully available articulation) of structures of feeling which as living processes are much more widely experienced. (p. 133).

Williams' view re-establishes literature as an authentic source of social reality. The major romantic poets whose work reflected adherence to the "articulation of structures of feeling" of England and its realistic aspects in this context are William Blake, William Wordsworth and Percy Bysshe Shelley.

The exaggerated view of King George IV as a reformer comparable to Augustus of Rome was plainly disproved in P.B. Shelley's "England in 1819." Shelley presented King George III, father of George IV, in the opening line of the poem as "old, mad, blind, despised, and dying." Then he described his sons including his successor King George IV as:

> Princes, the dregs of their dull race, who flow

Through public scorn, – mud from a muddy spring;
Rulers who neither see nor feel nor know,
But leechlike to their fainting country cling
Till they drop, blind in blood, without a blow. (In Greenblatt et al., 2006, p. 771).

George III was king of England till his death 1820 when his son George IV ascended the throne. Shelley in the poem attacked the king and his successors, presenting them as "mud from a muddy spring." He scorned their negligence of the interests of the citizens and the state. The later couple of lines presented them as parasites that "to their fainting country cling" till they brought destruction and demise.

Shelley's account of England during the reign of King George III and his sons sounded more realistic than Elmes's record. The language of Elmes is obviously panegyrical maintained to please the court. The language of Shelley however expresses sufferance that is presumably sincere expression of human feelings and experiences, thus inseparable from reality. Adorno (2002) regarded art as a world of unchangeable reality where suffering was only thoroughly and objectively expressed.

> The abundance of real suffering tolerates no forgetting… Yet this suffering, what Hegel called consciousness of adversity, also demands the continued existence of art while it prohibits it; it is now virtually in art alone that suffering can still find its own voice, consolation, without immediately being betrayed by it. (p. 188).

Art shows compassion to human suffering; romantic poetry is sympathetic with man and his pains. The aesthetic level of the poet's consciousness stores the purist reality insofar as the creation of poetry is centred on the revelation of aestheticism and purism that transcend appearances to essences.

William Wordsworth's "London, 1802" is comparable to Shelley's "England in 1819." It bears witness to the wretchedness and suffering of the English people, and to the deterioration of the metropolitan and social life. The poem reemphasizes the authentic recognition of social reality represented in romantic poetry. It foreshadows the gloomy perspective portrayed in Shelley's work. The poem's speaker described England as:

> A fen
> Of stagnant waters: altar, sword, and pen,
> Fireside, the heroic wealth of hall and
> bower,
> Have forfeited their ancient English dower
> Of inward happiness... (In Greenblatt et
> al., 2006, p. 319)

All aspects of the city were gone to decay. Religion, military, literature, domesticity and economy were urgent concerns that troubled the speaker, signified in the lines by the "altar," "sword," "pen," "fireside" and "the heroic wealth of hall and bower."

The contemporary historian Johnston (1851) provided extra non-poetic evidence that fostered Shelley's and Wordsworth's views of England. He confirmed the ill situations of the country at the time of the romantics. He depicted the troubling financial conditions caused by imposing high taxation by the authorities between the years 1795-1815. He also highlighted the oppressiveness the English Government practiced over people during the reign of King William IV, the third son of George III; thus, verifying Shelley's record. Besides, Johnston (1851) quoted Sir Walter Scott's comment on the terrible situations of 1826 England:

> Breakfasted at Manchester; pressed on, and by dint of exertion reached Kendal to sleep; thus getting out of the region of the stern, sullen, unwashed artificers, whom you see lounging sulkily along the streets in Lancashire. God's justice is requiting, and will yet farther requite, those who have blown up this country into a state of unsubstantial opulence, at the expense of the health and morals of the lower classes. (p. 90).

William Blake's "London," "The chimney sweeper," "Holy Thursday" and *Jerusalem* furnish additional evidence of the murky view of London provided by other romantic poets. His poem "London" is "a prophetic cry in which Blake turns upon Pitt's City of oppression"[2] (Bloom, 1965, p. 150). The poem describes the streets of London as "chartered," and the faces of its people as carrying "marks of weakness, [and] marks of woe." Its men and infants "cry," and its "hapless" soldiers "sigh." Its church is "blackening;" its streets are filled

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2     William Pitt the Younger (1759-1806). He became Prime Minister of England from 1783-1801 and from 1804-6. He raised the rate of taxation in Britain in the late eighteenth century.

with "blood;" the institution of marriage is blighted with "plagues." This dark view of London is echoed in "The chimney sweeper" and "Holy Thursday" from *Songs of experience*, and in *Jerusalem* where illness plagues the whole country. In "The chimney sweeper" the "Priest and King… /make up a heaven of our [children's] misery." "Holy Thursday" eliminates all joy and introduces "babes reduced to misery," and "so many children [who are] poor." The dejection of England is particularly highlighted in *Jerusalem*:

> The banks of the Thames are clouded! the ancient porches of Albion are
> Darken'd! they are drawn thro' unbounded space, scatter'd upon
> The Void in incoherent despair! Cambridge & Oxford & London,
> Are driven among the starry Wheels, rent away and dissipated,
> In Chasms & Abysses of sorrow, enlarg'd without dimension, terrible.
> Albions mountains run with blood, the cries of war & of tumult
> Resound into the unbounded night, every Human perfection
> Of mountain & river & city, are small & wither'd & darken'd
> Cam is a little stream! Ely is almost swallowd up!
> Lincoln & Norwich stand trembling on the brink of Udan-Adan!
> Wales and Scotland shrink themselves to the west and to the north! (Blake, 2008, p. 147).

Michael (2006) assumed that Blake's "London" was "hardly a realistic description, although it contained elements of the real

city: chimney sweeps, soldiers, blackening churches, and youthful harlots" (p. 26). The conflicting views of England and its metropolis trigger logical claims of ascertaining the credibility of representation of their reality in English romantic poetry. A consideration of Wordsworth's definition of poetry would bring Michael's argument into dispute. In the preface to his *Lyrical ballads*, Wordsworth placed emphasis on the selection of the subject of romantic poetry. He pointed out that the primary objective of poetry was "to choose incidents and situations from common life, and to relate or describe them, throughout, as far as was possible in a selection of language really used by men" (In Greenblatt et al., 2006, p. 264). Wordsworth's argument was based on his poetic composition that was arguably a representation of the English romantic poetic inclination.

Williams (2001) regarded art and literature as vessels of "structures of feeling" that enfold great sense of experienced social reality. He noted that "art reflects its society and works a social character through to its reality in experience" (p. 86). The scenes described in Blake's "London," Wordsworth's "London, 1802" and Shelley's "England in 1819" in this context, and in light of Wordsworth's postulate of the subject of poetry, are enough poetic manifestations of the reality of England and London at that time. There are elements in Blake's "London" however, like the "blackning Church" and bloodstained "Palace walls," that are basically symbolic but point at reality. They form part of the

romantic praxis of utilizing imagination in poetry to enhance the effect of reality. They fall within Wordsworth's convention of adding to the common situations of life "a certain colouring of imagination, whereby ordinary things should be presented to the mind in an unusual way" (In Greenblatt et al., 2006, p. 264).

Damon (2013) supported this viewpoint in his interpretation of the poem pointing out

> The blackening of the churches was literal: all visitors noticed it; but the real blot on the Church was its complacence at the misery of those most unfortunate children, the chimneysweeps. The bloodstain on the palace is only symbolic: the State was guilty of the slaughter of its soldiers. (p. 244).

The symbolic depiction of the blood stain that Damon (2013) highlighted was also part of the romantic reliance on imagination in portraying reality. The use of imagination in this regard is pursued to draw more attention to the representation of reality that results in intensifying the reader's appreciation of its aspects. The romantic poetic utilization of imagination is consequently "essential due to its re-presentational powers that grant a special privilege to the work of art and render the ordinary incidents and situations of life more enticing and captivating of the reader's mind and appreciation" (Alsyouf, 2018, p. 190).

Blake's poetry does not intend to imitate reality as it is. Blake is rather involved in a process of creating new worlds out of the reality of his world. Stevens (2009) in this respect commented on the representation of reality in Blake's poetry arguing that

For Blake whether any artifact (poem or cosmology) represents the nature of things is a meaningless question since it was never intended to do so – it was intended to structure reality rather than represent its essence apart from human involvement. (p. viii).

Stevens (2009) also speculated about the relationship between imagination and reality in Blake's poetry stating that "the imagination is only content when it's imagination, engaged in the reshaping of reality" (p. 221). It is against this background that Blake's poetry, though rich with imagination, heavily draws on reality. He employed imagination in constructing his poems aiming to reflect the genius of his creation rather than to be separated from reality.

Reality can hardly be autonomous. In his commentary on John Dewey's thoughts Stevens (2009) stressed that "reality doesn't have independent existence" (p. 139). Treating reality to exist independently apart from thought is a fallacy; reality cannot exist away from being thought of or reconstructed by imagination. This postulate helps to give birth to ultimately beautiful constructions in which reality and imagination interplay aesthetically. The resultant poetic works would then appear highly imaginative, seemingly detached from reality, since "by approaching reality from the vantage point of creativity, truth is conceived as the imaginable" (Stevens, 2009, p. 20). As a consequence, the distinction between realism and idealism in romantic poetry is intricate; reality is therefore misleading

to realize though it is part of the romantic poetic construction.

The language Blake employed for poetry composition was highly figurative. Its recognition required particular knowledge of mythology, theology, astronomy and other disciplines. It often created complex fantastic constructions. This certainly was not intended to alienate the reader from the world of reality; on the contrary Blake evidently stimulated the reader's mind to perceive it. Lieshout (1994) argued that Blake's poetry "uses language as a tool to comprehend reality, to realize reality as a self-similar structure in a process that invigorates meaning" (p. 179). The reader of Blake's poems and of English romantic poetry generally should therefore avoid complete indulgence in the enticing realm of imagination which the poet creates. Although detachment from imagination's magical ideals is inconvenient, the appeal of imagination should not deny the reader the engagement in reality. Stevens (2009) emphasized this notion once again noting "Blake's poetry… isn't about coming to knowledge of truth, determining which figure is the truer representation of reality. What matters is that we learn through his poetry how to engage reality" (p. 203).

Wordsworth's poetry is uncommonly rooted in reality. The "colouring of imagination" which he added to poetry was a technique approached to avoid imprisonment in cages of lifeless language used by former poets who tended to employ "mechanical" words so as to present "feelings and ideas with which they had no natural connection whatsoever" (Wordsworth in Mason, 2010, p. 44). In a fashion similar to Blake, Wordsworth's imagination was the result of a great sense of reality. Dowden supported this claim stating that his imagination had "rested on reality, brooded upon reality, coalesced with it, interpreted it" (in Marson, 2009, p. 89). The critical views featuring realistic tendencies in romantic poetry are inexhaustible. Symons (2009) placed emphasis on the influence reality exerts on Wordsworth's poetry declaring that "to Wordsworth nothing is what we call 'poetry,' that was, a fanciful thing, apart from reality" (p. 141).

Symons' argument demonstrated the integration of the ideal and the real in Wordsworth's work. The "fanciful" is reconciled with the realistic. The outcome is a combination of imagination and reality utilized to introduce the poetic subject.

Wordsworth's third fragment from his "Alfoxden notebook"[3] preceded all later critique in illustrating the combinatory relationship between idealism and realism in romantic poetry.

> Of unknown modes of being which on earth,
> Or in the heavens, or in the heavens and earth
> Exist by mighty combinations, bound
> Together by a link, and with a soul

3    The Alfoxden notebook "is bound in brown leather. It originally contained 36 leaves, many of which have been cut out, but has been restored and now has 49 leaves… It was used mainly in early 1798, but also in 1802." Retrieved January 2, 2019, from http://collections.wordsworth.org.uk/wtweb/home.asp?page=linked%20item&objectidentity=DCMS%2014

Which makes all one. (In Mortensen, 1998, p. 44)

Wordsworth's critique of poetry was articulated in this poem where he tracked the process of poetry creation initiated outside the work, in the world of real objects; the poem was born connected to an experience essentially related to the poet's interaction with reality. An external beautiful reality prompts an internal journey to the ideal realm of imagination. New images then relevant to the very experience emerge. Wordsworth wrote in expressing this activity:

> To gaze
> On that green hill and on those scattered trees
> And feel a pleasant consciousness of life
> In the impression of that loveliness
> Until the sweet sensation called the mind
> Into itself, by image from without
> Unvisited, and all her reflex powers
> Wrapped in a still dream [of] forgetfulness.
> (In Mortensen, 1998, p. 47)

Wordsworth's *The Prelude* is a "philosophical poem, containing views of Man, Nature, and Society" (Wordsworth in Gill, 1991, p. 7). Wordsworth highlighted the impact of these important world aspects on him explicitly in the poem. It obviously revealed his attempts to emphasize:

> The absolute presence of reality
> Expressing, as in mirror, sea and land,
> And what earth is, and what she hath to show.
> I do not here allude to subtlest craft,
> By means refined attaining purest ends,
> But imitations, fondly made in plain

Confession of man's weakness and his loves. (Wordsworth, 1871, p. 390).

*The Prelude* within this framework is a poetic treatment of reality. Although reality is available for all poets to behold, the romantics have developed a unique way to interact with it. Abercrombie (1962) credited the "inner life" of the poet as a featured power that could interact with reality outside. He argued that "only by concentrating belief inward can that reality be felt" (p. 67). Reality in romantic poetry is hence connected to the poet's imagination insofar as imagination is an internal power able to combine the elements of external reality. Reality thus becomes the poet's gate to idealism where an ideal reality evolves. The writings of Blake, Keats and Shelley also involve unique treatment of imagination and reality as Wordsworth's poetry does. Bowra (1950) stated that "the imagination creates reality" in Blake's poetry (p. 14), and that the "ultimate reality is to be found only in imagination" in the work of Keats (p. 15). Shelley's *Adonais* in a similar way "is capable of containing life itself… [though] it employs the myth of the [imaginary] classical god Adonis for the presentation of its subject" (Alsyouf, 2013, p. 16).

Shelley's *Adonais* relies intensively on the use of mythology. It is essentially an elegiac work in which Shelley laments the death of his late friend Keats who died young. In spite that the subject of the poem is highly realistic, the reader's first encounter with its lines would steer him away from the realm of reality for the imaginary qualities the

poem possesses. The poem is characterized by a utilization of the supernatural as a way to make the presentation of reality distinctive. Keats's death is presented through employing the myth of the death and resurrection of the fantastic classical deity Adonis, whose annual rebirth brings vegetation to the universe, seeking to grace Keats with the gift of spiritual immortality. Shelley's *Adonais* is accordingly a poetic treatment of the realistic occasion of the death of Keats whose fate is treated through recalling fantastic imagery and archetypes derived from the classical myth of Adonis. It furnishes another instance of a romantic poem based on imagination manipulated to deal with realistic aspects of the world.

## Temporal Journeys to the Realm of the Ideal

The romantics' concern with the real world has never deprived them from exciting journeys to the realm of the ideal, an activity created in imagination which occasionally functions as the major source of experience the romantic poets use for poetic composition. These journeys however have never produced a permanent escape from reality. The romantic poets' travels to the territories of the ideal world are round-trips always ending up with a return to the real one. These visits uplift their spirits and provide them with a clearer view of real life. Their detachment from reality serves in two ways; it allows them looking from a distance at their world, hence developing a more comprehensive perspective of it. Besides, it makes them

more sensitive to the predicaments and shortcomings of life because the experience of pleasure intensifies the individual's apprehension of painful conditions. Under these circumstances, the ideal worlds to which the romantic poets transcend have positive powers that help them to better understand real world occurrences, and to come to terms of solution with its imperfections.

Solving the problems of reality can only be conducted in its realm as far as romanticism is a movement greatly sympathetic with man and devoted to the betterment of his world. All the romantic poets' attempts to escape reality are therefore fleeting; their return is compulsory and urgent. They cannot stay for long away from man and earth. Blake in this respect "has the mystic's tormented sense of the doubleness of life between reality and the ideal. But he tries to resolve it on earth, in the living person of man" (Kazin, 1977, p. 10). Wordsworth's, Keats's and Shelley's poetry proves the same concerning their interaction with the ideal and the real. The imaginary ideal worlds they construct have never provided solutions for the crisis of existence they face. Their existential needs force them to search for worlds of ideal perfection to which they take temporary trips. They always however return to reality, to the realm that grants them a more solid ground that enables them to deal with their problems and concerns.

The ideal worlds of the "Nightingale" and "Grecian urn" Keats invents should not be interpreted as an escape from reality

though they show relevant inclinations. Quite contrary to that, they affirm the impossibility of escaping reality. Stillinger (2008) wrote commenting on "Ode to a nightingale"

> We have the curious circumstance that in *Ode to a Nightingale*, the real world that the speaker wishes to escape in stanza 3—the world of weariness, fever, fret, and so on—has an entirely different set of references from the real world that, after he imaginatively succeeds in escaping, he longs to return to in stanza 5. (p. 12).

The primary motivator for the romantic attempts to escape reality is an inner conflict concerned with the search for perfection and artistic existence that grow inside the poet. Bush (1969) stated that "from first to last Keats's important poems are related to, or grow directly out of, these inner conflicts…" (p. 82).

Keats's "Ode on a Grecian urn" is an outstanding expression of the romantic poet's inner conflict linked to a desire to unchain his imagination and thought and elevate them to the ideal realm of the "overwrought" urn. This notion is articulated in the following lines from the poem in which the speaker confesses his uncertainty about his powers of poetic creativity compared to those of the urn. He is even jealous of its artistic superiority over him and desires to travel to its ideal realms to disclose their mysteries.

> O Attic shape! Fair attitude! With brede
> Of marble men and maidens overwrought,
> With forest branches and the trodden weed;

Thou, silent form, dost tease us out of thought
As doth eternity: Cold Pastoral! (In Greenblatt et al., 2006, p. 906).

The lines directly following the above close the poem with a defeat of the poet's eagerness for eternal transcendence and snatch him back again to reality, to the world of "waste" and "woe" to which the existence of his mortal corporeal frame belongs.

> When old age shall this generation waste,
> Thou shalt remain, in midst of other woe
> Than ours, a friend to man, to whom thou say'st,
> "Beauty is truth, truth beauty,—that is all
> Ye know on earth, and all ye need to know."
> (In Greenblatt et al., 2006, p. 906).

Keats's attempts to seek freedom from the transient imperfect world– either through the identification with the nightingale's world of nature, the retire to the urn's world of art, or in different instances by transferring into the fantastic world of dreams as in "Ode to psyche" and "Ode on melancholy" – always culminate in a return to reality at the very end of the poem. Baker (2007) meditated on Keats's return from the ideal to the real writing

> In a poet as sharply intelligent as Keats, the attempt to limit consciousness cannot succeed, even partially, for very long. … The attempt to make a world out of fragments of fancy therefore quickly founders, and the dull brain, which deals with reality, soon reassumes command. (p. 47).

The invented ideal worlds with which the romantic poetic mind communicates whatsoever vanish very quickly, and the poet's preferable world of reality ultimately resumes dominating his poetic mind.

Wordsworth's "I wandered lonely as a cloud" similarly signifies the impossibility of the eternal escape from reality. The first three stanzas represent the ideal world of perfect natural views and enjoyable scenes to which the speaker seeks to escape.

> I wandered lonely as a cloud
> That floats on high o'er vales and hills,
> When all at once I saw a crowd,
> A host, of golden daffodils;
> Beside the lake, beneath the trees,
> Fluttering and dancing in the breeze.
> Continuous as the stars that shine
> And twinkle on the milky way,
> They stretched in never-ending line
> Along the margin of a bay:
> Ten thousand saw I at a glance,
> Tossing their heads in sprightly dance. (In Greenblatt et al., 2006, p. 305-306).

The imaginary float in air the poet describes reveals the escape nature has permitted him to enjoy seeking to discover the ultimate natural beauty which the romantic eye can behold. The fourth and last stanza thereafter represents the return the poet needs to reality so as to enjoy a state of tranquillity he needs to compose a poem that communicates his experience. The below dance with the daffodils signifies the poet's joy of composing a poem describing the ideal realm he has experienced.

> For oft, when on my couch I lie
> In vacant or in pensive mood,
> They flash upon that inward eye
> Which is the bliss of solitude;
> And then my heart with pleasure fills,
> And dances with the daffodils. (In Greenblatt et al., 2006, p. 306).

In writing "Tintern Abbey" however Wordsworth escaped a particular reality to another truer version of reality. He escaped the harshness of the city's daily life to the pleasant reality of nature to which all his senses were adjusted.

> These beauteous forms, [of nature]
> Through a long absence, have not been to me
> As is a landscape to a blind man's eye:
> But oft, in lonely rooms, and 'mid the din
> Of towns and cities, I have owed to them,
> In hours of weariness, sensations sweet,
> Felt in the blood, and felt along the heart;
> And passing even into my purer mind
> With tranquil restoration: (In Greenblatt et al., 2006, p. 259).

Foca (1998) commented on Wordsworth's experience of city and nature in "Tintern Abbey" stating:

> By remembering places of exquisite beauty, or experiences which enlarged his sense of life and showed an interconnection unimaginable to an inhabitant of the fretfully stirring city, the poet is able to arrest his frantic spirit into an awed stillness. A refocusing of consciousness testifies to the fact that somewhere in the world there is a sense of order, though one is not currently

in its physical presence, that transcends even the constant mundanity forced on people by their own constructions: there exists a reality even more real, as it were, than the oppressive, inescapable city with its constant demands for activity. (p. 35).

Foca's argument was precursorly designed in line 50 of the poem where Wordsworth described the interaction between man and nature as a prompter of a harmony that enabled man to "see into the life of things." It is that moment when man becomes capable of recognizing the most important part of life – that is to see reality.

## Extra and Intra-Poetic Evidence of Personal Experiences' Impact on Romantic Poets' Works

The pathetic romantic hero of Wordsworth's pastoral lyric *Michael* is given several traits of the romantic poet. His rejection to escape reality, represented by nature in the poem, has a pleasant effect on the reader. In a fashion similar to "Tintern Abbey," *Michael* is an escape, not from reality to imagination but from reality to a truer reality. After his son abandons him to the city, Michael finds a console in the objects of the real world of nature – in the "storms," the "sun," the "cloud," "the wind" and "the land."

> Up to the heights, and in among the storms,
> Will I without thee go again, and do
> All works which I was wont to do alone,
> Before I knew thy face.
> . . . . . . . . . . . . . . . . . .
> Among the rocks

He went, and still looked up to sun and cloud,
And listened to the wind; and, as before,
Performed all kinds of labour for his sheep,
And for the land, his small inheritance. (In Greenblatt et al., 2006, p. 300-301).

Pirie (1982) introduced an appealing sentimental interpretation of the preceding lines where he argued that they asserted

> The grandeur of Michael's surviving sense of reality. The sun, the clouds, the winds, the hills along with the 'dumb animals' they support, are felt presences to Michael. They are visible to his 'blind love', and in the strength of that unfaded vision he takes comfort. (p. 102).

Nature is the ultimate reality Michael has ever known. It is his hope of life and survival. He refuses to escape it to find new refugee though his body is chained with age. His experience with nature is reminiscent of Shelley's speaker of "Ode to the west wind" who challenges the harshness of his existential crisis associated with his mortality, toils to overcome the obstacles of life and finally finds a sweet resort in nature.

Different internal and external evidence emphasize the impact of reality on the composition of *Michael*. The poem reflects the collective experience of the society where Michael belongs. This experience contributes to the notions and motives that build up the poem. It essentially narrates an account of the story of Michael who sends his son Luke to work in the city, so that he can make money to pay off the debt

and save his father's land. After leaving the village, Luke prospers financially at first, but later his life critically changes; he becomes a criminal, and finally has to flee to some unknown place. Michael afterwards continues to mourn the loss of his son in the sheepfold where he spends most of his day recalling memories of him till he finally dies. Michael's story which the poem dramatizes is certainly realistic and well known by particular people as Wordsworth tells. He stated that "The story alluded to here is well known in the country. The chapel is called Ings Chapel; and is on the right-hand side of the road leading from Kendal to Ambleside" (Brett & Jones, 2005, p. 305). Wordsworth added more realistic details to his description in another note:

It may be proper to inform some readers, that a sheepfold in these mountains is an unroofed building of stone walls, with different divisions. It is generally placed by the side of a brook, for the convenience of washing the sheep; but it is also useful as a shelter for them, and as a place to drive them into, to enable the shepherds conveniently to single out one or more for any particular purpose. (In Brett & Jones, 2005, p. 305).

Reading *Michael* with knowledge of Wordsworth's notes on the poem should develop a distinguished sense of reality and sympathy towards the places and characters in the work, and particularly the figure of Michael.

Wordsworth's "To M. H."[4] is similarly based on a real walk with his wife two

years before their marriage. Wordsworth provides external evidence where he tells that the pool mentioned in the poem "is in Rydal Upper Park" (Brett & Jones, 2005, p. 302). Identifying the place of the walk asserts Wordsworth's poetic concern with the realistic level of apprehension of the world. A similar incident of real walk also contributes to the composition of Shelley's *Julian and Maddalo*. It is Shelley this time walking with his wife by the Arno. Mrs. Shelley commented on this situation saying:

Once I went down with him [P. B. Shelley] to the mouth of the Arno, where the stream, then high and swift, met the tideless sea, and disturbed its sluggish waters. It was a waste and dreary scene; the desert sand stretched into a point surrounded by waves that broke idly though perpetually around; it was a scene very similar to Lido, of which he had said,–

"I love all waste
And solitary places; where we taste
The pleasure of believing what we see
Is boundless, as we wish our souls to be:
And such was this wide ocean, and this shore
More barren than its billows." (In Rossetti, 1870, p. 279).

Particular names of real places associated with realistic incidents are used by both Wordsworth and Shelley to title some poems. The long title of Wordsworth's most memorable poem "Lines composed a few miles above Tintern Abbey, on revisiting the banks of the Wye during a tour, July 13, 1798" employs a series of names and a date that belong to real experiences of place and

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4    The M. H. letters refer to his wife Mary Hutchinson.

time. The title initiates an early identification between the reader and the poem's realistic representations. Shelley's "Lines written among the Euganean Hills, October 1818" produces a similar effect. His note on the poem places it among autobiographical poetry as it reveals influence of a real experience of the Euganean Hills on composing the poem; Shelley stated the poem "was written after a day's excursion among those lovely mountains which surround what was once the retreat…" (Wu, 2012, p. 1110). The dates and names of places in both poems, supported by the notes of the poets, create a high sense of credible reality.

The poet's experience of the place is also significant in other poems by Wordsworth. His poem *Michael* opens with persona's attempt to travel with the reader to "Green-head Ghyll" and "Grasmere Vale" with their ideal past. Times and names of real places as well appear in the sub-titles of the various books of *The Prelude*, functioning essentially to structure the poem and introduce its parts. In a note by Wordsworth recalling his motive for composing "The thorn," he gives an account of a personal realistic experience:

> Arose out of my observing, on the ridge of Quantock Hill, on a Stormy day, a thorn which I had often passed in calm and bright weather without noticing it. I said to myself, "Cannot I by some invention do as much to make this Thorn permanently an impressive object as the storm has made it to my eyes at this moment?" I began the

poem accordingly, and composed it with great rapidity. (Brett & Jones, 2005, p. 279).

It is true according to the note that Wordsworth's experience with the thorn is re-introduced in a way different from reality through employing poetical tools; the experience itself however begins in the real world of senses in the first place before the intervention of poeticity. The poem would have never existed apart from Wordsworth's real experience of the thorn.

## CONCLUSION

Realism has proven to exert a great impact on English romantic poetry. The connection between the English romantic poet and the realistic world where he exists has evidently been a major source of influence that determines the nature of the poetry he composes. Other poetical works beside the ones already investigated in this research can probably be examined to isolate their realistic features. This research has hopefully contributed to the scholarly efforts of identifying particular approaches the researchers can effectively adopt to tackle the concept of reality in a literary work. It is recommended thence that more romantic works be visited to examine their representation of reality. Readers and scholars may draw on the methods utilized in this research to prove the significance of reality in composing poetry.

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and all those who feel the delight of tasting English romantic poetry.

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PERTANIKA JOURNALS

# Narrative Strategies and Interpretations of Emotions in the Works of Post-Islamic Generation Child Writers: An Analysis of Three *Kecil Kecil Punya Karya* Series

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## ABSTRACT

Studies of emotions within the framework of the seminal work History of Emotion are rapidly developing, and this realm involves interdisciplinary studies from different sciences, including literature studies, since literature often contains emotion as its most important aspect. This research was inspired by a Max Planck Institute Berlin's (n.d.) project that investigated the socialization of emotion in works of European children's literature published from 1870 to 1970. This research focused on narrative strategies and interpretations of emotions used by the child writers in the *Kecil Kecil Punya Karya* (KKPK) [Children's Literature] series, published by Dar!Mizan. Using narrative studies and the sociology of literature while considering the child writers as members of the Post-Islamic generation, this research aimed to examine narrative strategies and interpretations of emotions within three KKPK series. The result of this research finds narrative strategies similar to fairy tales, and this can be interpreted as a sort of sharing session. Using Asef Bayat's concept of Post-Islamism, which is elaborated by Ariel Heryanto, this analysis shows a unique gender perspective and religious motivation within the narrative interpretations of Muslim middle-class child writers' emotions.

*Keywords:* Children's literature, emotion, gender, *Kecil-Kecil Punya Karya* (KKPK), post-islamism

## INTRODUCTION

Emotion is an important dimension of human life, and this aspect has long been the object of studies in different disciplines. This understanding spurred the development of History of Emotion, a study on the history of human emotions examined through various disciplines. In November 2008, a study

center named The Queen Mary Centre for the History of the Emotion was established with the aim of conducting various interdisciplinary researches on the history of human emotions. Max Planck Institute Berlin also conducted a major project attempting to trace the history of emotion with the involvement of experts in history, psychology, education, anthropology, sociology, music, literature, and art, with a focus on Europe, North America, and India.

This research refers to one of Max Planck Institute's sub-projects, the study on the history of emotion within children's literature. One finding on the sub-project was published as a book titled *Learning How to Feel: Children's Literature and Emotional Socialization*, 1870-1970. The book argued that there had been subject-object interactional shifts in the process of children's emotional acquisition during the studied hundred-year period. If socialization of emotions was at first passed from adult characters to children, socialization of emotions was done among children characters themselves during the 1970s. Nevertheless, the study still depends on the works of adult writers who use children characters in order to explore aspects of emotion. This research aims to explore child writers' emotional narratives, which have not been further investigated by Max Planck Institute. The text that this research analyzes is a book series written by child writers, the *Kecil Kecil Punya Karya* (KKPK) [Children's Literature] series.

There have been numerous researches on KKPK. A research on gender was conducted in Soelistyarini's (2013) writing titled "Representasi Peran Jender dalam Cerita-Cerita Karya Penulis Anak Indonesia Seri Kecil-Kecil Punya Karya (KKPK) [Representation of Gender Roles in Writers of Indonesian Children in Children's Literature Serial]". This research found that traditional gender division and patriarchy was still strongly entrenched within the works written by millennial writers. This argument was evidenced with gender stereotype associations in male and female characterizations, and this was furthered by the strict boundaries between public and domestic spaces attributed to the series' male and female adult characters. Another study by Rosman (2017) highlighted the aspect of consumerism within the stories of KKPK. Titled "Consumerism in Fourteen Series of Kecil-Kecil Punya Karya," this research examined the symptoms of consumerism through Bourdieu's social criticism and found that these young writers, who generally came from middle-class families, often displayed signs of a bourgeois consumeristic lifestyle. This trait becomes particularly conspicuous through the depicted food consumption, appearance, and ownerships of upper middle-class goods supported by economic, social, cultural, and symbolic capitals of the characters. Nevertheless, there has not to this point been a single study of the aspect of emotions within KKPK, and this research is an attempt to fill that niche. This research's primary question revolved on how narrative strategies and emotional interpretation were conducted by Post-Islamic generational child writers.

## MATERIALS AND METHODS

KKPK is published by Dar!Mizan, and the series was released for the first time in 2003. This series pioneers the publication of books written by children ages 7 to 12. Up to this moment, there have been 540 titles published with more than 600 child writers involved (Rumah KKPK, 2017). These child writers were born into Muslim middle-class families during the rise of Post-Islamism. Post-Islamism is Asef Bayat's concept that explains Muslims' efforts to redefine Islamic expressions. This concept is futher elaborated by Ariel Heryanto in the context of cultural Post-Islamism, defining it as a Muslim's effort to be simultaneously religiously devoted while actively consuming and taking pleasure in the cultural products of global modernity (Heryanto, 2015). Post-Islamism also gives room for a more open gender interpretation since its emphasis focuses on religiosity and rights as opposed to religiosity and responsibilities (Bayat, 2005). Growing up in this kind of environment heavily influences the worldview of KKPK child writers. Hence, this aspect will be taken into consideration in the process of examining their works.

Theoretical approaches from the sociology of literature, narrative review, and concepts of Post-Islamism (particularly on religiosity and gender) were used to answer the research question. The three-book series that had been selected as corpuses were *Teman Tapi Musuh* [Friend but Enemy] by Safina Fatiha, *London I'm Coming* by Nala Alysa Faradisa, and *Keep Smile for the World* by Nisrina Kamila Sekar. Both *Teman Tapi Musuh* and *London I'm Coming* presented a female protagonist, and the two works were selected for their achievement of becoming Gold Edition bestsellers. Meanwhile, *Keep Smile for The World* was chosen for presenting a male protagonist, resulting in a condition in which this work might become a comparative text to the other two corpuses, especially in the aspect of gender.

## RESULTS AND DISCUSSIONS

### The Position of Child Writers within Children's Literature

The existence of KKPK brings forth a fresh atmosphere to Indonesian children's literature. However, considering the definitionof children's literature as a form of literature read by children under the supervisions and directions from a particular society's representative member while the writer must be an adult (Sarumpaet, 2010), the definition of KKPK (which is written by children) as a form of children's literature is eliminated. However, in Irina's (2014) writing titled *Children's Literature: A Cinderella Story*, there is an indication that child writers can be accepted as the writers of children's literature. This indication comes into clarity when Irina questions the validity of the term "children's literature," as the majority of its writers are adults. Very few works of children's literature are written by children and adolescents (Irina, 2014).

Discussions of the nature of children's literature have heretofore been deeply rooted in literary traditions. One of Marah

Gubah's articles titled "On Not Defining Children's Literature" argued that the debate on the definition of children's literature should not be excessively perpetuated as it endangered the world of children's literature itself. Children's literature is most often recognized as literary works exploring the world of children and involving children characters within its narratives. Thus far, there has been sharp polarization between definers and antidefiners. Definers believe that it is possible to seek the essence of children's literature in order to formulate it. On the contrary, antidefiners believe that it is impossible to precisely define children's literature as each criterion proposed will be dismissed by extant writing samples (Gubah, 2011 ). In spite of the debate on the definition of children's literature, both definers and antidefiners concur that a major issue in children's literature is children's relations to adults. Nobelmann et al. (as cited in Irina, 2014) analogized the issue with colonization, in which writers viewed children readers as beings with little understandings, making necessary their education into complete human beings. Jown Rowe Townsend (as cited in Gubah, 2011) argued that children's ownership within the terminology of children's literature was a mistake as such term indicated a condition in which children owned and controlled texts that were generally written, published, edited, bought, and occasionally read by adults. This problem similarly occurs in the world of children's literature in Indonesia. In her writing titled "Sastra dan Anak: Penjajah dan Takhlukannya [Literature and Children: Colonialists and Their Colonies]", Sarumpaet (2010) argued that in the writing process of children's literature, adults imposed and forced their will upon children. This action is done in order to take the children into a version of civilization ruled and defined by adults.

Considering this aspect, the existence of KKPK is a pleasant development. One should appreciate the writers' honesty in telling the stories of their own world to readers as young as the writers themselves are. They exist completely as children, as children's writings, and furthermore as children's literature. This condition opens up opportunities of not merely reading and studying what critics have described as a "falsified" children's world constructed by adults through their memories and retrospective idealism of childhood (Irina, 2014). In all honesty, it is necessary to admit that there are literary elements that are neither neatly nor logically organized within the KKPK series. This aspect can nonetheless be forgiven, considering the children authors' limited understanding of literary elements. A different perspective, however, can view this dimension as strengthening the image of the "real" world constructed according to their images and their comprehension of their own world. The following analysis will explore the strategies of emotional narratives within the KKPK series. In order to highlight the issue of the "ownership" of children's literature as described above, the following section will compare children's literature written by adults.

## Strategies of Emotional Narratives within Three KKPK Series: Fairy Tale-Patterned Sharing Sessions

In various definitions of literature, there is one important aspect that is constantly emphasized as it differentiates literary from non-literary works. This aspect is literature's inseparability from the factor of emotions within its narratives. The factor of emotions within a literary work is constructed through different aspects that constitute a literary text. Before discussing the strategies of emotional narratives within the KKPK series, there needs to be clarity on the definition of emotion itself.

In his book titled *History of Emotion: An Introduction,* Jan Plamper (2015) defined emotion as something very complex that involved the elements of who, when, and where in which the referred emotion was defined. Overall, it can be inferred that in interpreting emotions, there is a dichotomy that results in two extremes. Universalists believe that there are essential and universal aspects of emotions while social constructivists argue that emotion is a socio-cultural construction (Plamper, 2015). Both definitions can be discovered in various literary works as some of them present similar and universal aspects of emotions while some others imply that political, social, and cultural changes may result in different interpretations of emotions. Defining the context of who, when, and where of emotions in KKPK demands a further examination of the profiles of the child writers, who are mainly ages seven to 12 (the age range of

elementary school students). Within this age range, there are several keywords pertaining to emotional development, namely sense of self, sense of competence, gender identity, anxiety, bullying, peer pressure, and conformity (Thompson, 2012). The main conflicts underlying the three studied KKPK stories concern themselves with the previously mentioned concepts, particularly conflicts with their peers (bullying, peer pressure, conformity) and dreams that they wish to fulfill (sense of self and sense of competence).

Generally, narrative strategies used within the three KKPK stories remind us of fairy tale narratives. The depiction of characters is rather crudely black and white. The character who goes through conflicts that explore their emotions might be an evil but later repenting antagonist or a good protagonist who is under peer pressure. The narrative development also follows the format of a fairy tale: evil characters will get a punishment while good characters will get rewards. Furthermore, a heroic friendly character often appears and saves the day. In addition to this, there appears to be an isolation period in which the protagonist is ostracized before finally gaining their happiness. Through this fairy-tale-like narration, the story often ends up in a resolution in which the good characters achieve their dreams and goals. However, despite generally following the patterns of a fairy tale, these works do not entirely follow its conventions. Narrative developments and character transformation from evil to good becomes a possibility, and the aspect

of "repentance" often appears in the stories (as a religious motive). Moreover, another differentiating factor between these stories and fairy tales is the non-existence of magic, arguably the most important aspect of fairy-tales. In the three KKPK stories, the characters attempt to find a way out from the problems they face through help from their friends. Narrators are also depicted to be omniscient, and they often side with the protagonist. The narrator's voice explains the world's story through the children's rationalization.

In the book *Keep Smile for the World,* the conflict began when Andri, the main protagonist with albinism, was not happy going to a Special School when a rival replaced him as class captain. Competition and the feeling of being threatened by the presence of other students created anger and sadness, which led to Andri's asking to be transferred to a normal school. The portrayal of the Special School was interesting as the students had neither physical nor cognitive disabilities, and Andri's character was merely an albino. The character Tiara also had a minor speech impairment. This indicates the child writer's perspective that these special needs are serious enough to place the characters in a Special School. Andri's parent's anxiety about bullying that their kids would experience in a normal school was actually the child writer's own anxiety about bullying of kids who were viewed to be different.

This story also hinted at conflict with adults. Upon learning that he would go to a Special School, Andri accepted the decision without any arguments. When Andri later convinced his father that he was capable of achieving there, he was transferred into a normal school. Unfortunately, what the mother had been anxious about materializes when Andri was bullied. There was a caste system implemented by the school's students, and with his physical difference, Andri was relegated to the lowest caste. Andri then became ill, and he stopped going to school for a week, resulting in a fairy-tale-like isolation period. With help from his friends Shane and Hen, Andri finally succeeded in going through this dark time, emerging as a winner who overcame his bullies and befriended everyone.

On the other hand, the story *Teman Tapi Musuh* did not strongly display the pattern of a fairy tale narrative since the theme focused on a peer conflict with rather a circular plot (not a linear plot that progresses from a beginning to an end). This tale told a story of friendship between a female gang in "Sekolah Islam Full Day" [Full Day Islamic School]. Their daily activities were filled with different conflicts and problems that tested the strength of their friendships. Each conflict always ends up being resolved well.

A narrative similar to the pattern of a fairy tale recurred in the book *London I'm Coming*, which told the struggle of a dyslexic little girl, Shara, to get a scholarship to London. Shara also fought against bullying she faced in both Indonesia and England. Her success in getting a scholarship to London was based on her strong will to devote herself to Indonesia and a wish that her name be remembered

for good reasons after her death. The writer granted her wishes as Shara was given an opportunity to accomplish many things, struggled, and made friends in London before finally passing away in the city. Her journey of achieving her dreams and the many problems she encountered during her struggles resulted in the protagonist's various emotions. In the story, dyslexia was a vehicle to portray the difficult battles the protagonist had to face and how patient she really was in achieving her dreams. Nonetheless, there occurred a plot jump in which a sufferer of dyslexia who had never got an opportunity to attend school was suddenly and easily admitted to a prestigious boarding school before being offered a scholarship to the U.K. through an IQ test and an interview. Another improbable plot hole was apparent in that the departure date to the U.K. took place only a day after the scholarship award announcement.

This plot jump affected the interpretations of emotions, making absent any "nuance" within the emotional narrative. Narratives of emotions tended to be flat when there were broken sequences of conflict and hasty jumps in events. Emotion was only present in simple emotional words (sad, happy, and anger), without any further emotional evocations. Consequentially, literature readers who are accustomed to stories with emotional evocations would encounter difficulties in getting an impression or empathizing with the characters' emotions. While this would certainly be a problem to adult readers, the opposite would occur

to child readers. To them, expression and emotional processes are plain and simple. There is no need for in-depth evocation and elaboration on many emotions of sadness, happiness, anger, or anxiety. An example of such is shown through the child writer's way of writing emotional expressions using direct uses of emotive words without subtly presenting the emotional atmosphere that would more strongly evoke a "feeling" of an emotion. In a way, this is a form of children's literature's originality:

> "It is time for Andri to go. Of course, Triani and Satya are sad. They already think of Andri as their best friend" (Sekar, 2016, p. 17).

Simple depictions of emotion are also obvious in the scene where Andri needs to conceal his emotion when being laughed at in an introduction session in class:

> "I thought you were a European", someone comments while his other friends laugh. Andri can only lower his head. He has to conceal his emotions (Sekar, 2016, p. 20).

Readers can find a totally different situation in the elaboration of children's emotions written by adult writers. Amelia's character in the novel titled, *Amalia, serial Anak-Anak Mamak* [Amalia, Mamak Children series] showed signs of emotional maturity. This notion was strengthened through emotional depiction built up through the surrounding atmosphere and expressions:

"My sentences suddenly stopped. I really didn't realize that since this morning, my anger has made me lose control of my words. Once I saw father's changing face upon hearing the last sentence I made, his fading expression on his face, I've just realized it. I bite my lip. I gulp. Silence reigns for several minutes. My God, what have I said?" (Liye, 2014, p. 25).

Regardless of Amelia's status as an elementary school student, her emotional maturity was guided by justification and rationalization that the writer built. Amelia's character was portrayed as the strongest person from the Syahdan family. Her strength did not lie in physical prowess but rather in her sincerity and strong willingness to empathize with others. Such rationalization would crumble without a strong narrative style. If one viewed Amelia's character through the eyes of a child (as the KKPK universe would do), she was absolutely not emotionally childlike. The most significant example would be Amelia's burst of emotion when she was upset with Chuck Norris for ruining the world map, their school's only valuable good (Liye, 2014). It could be inferred that the narrator was voiced by grown-up Amelia who was telling her story when she was a child. Therefore, in this work, a child's emotion was portrayed via an adult's images and memories. In spite of the oddity of Amelia's emotional maturity, the presented elaborations of emotion had the power to persuade the reader into the intended feelings and emotions.

Differences in the emotional elaborations between a child and adult writer are strongly related to their writing style. A tale written by a child is very effective in giving deep impressions for younger readers, which can be contrary to stories written by adults. An adult-written tale is frequently intended to be advice literature. Through this advice literature model, adults are guiding children to react to a particular event (Frevert et al., 2014). Similar cases can also be found in child writers' works, in which they are trying to give a "guideline" on how one should act. However, age similarity and the depiction of a world understandable to the minds of children make the conveyed story become a form of a sharing session. Didactically, a sharing session has more potential to be effective and comprehensible in influencing children. It is easier for children to identify themselves through a medium that they know well. Therefore, the use of the fairy tale narrative is parallel to this process, considering that the fairy tale is a form of literature generally closest and most well-known to children. Fairy tale narrative strategies and sharing sessions results in a union capable of delivering strong messages for child readers, which could possibly explain the growing number of KKPK sales.

## KKPK Writers as Members of the Post-Islamic Generation: Religiosity and Gender within Intrepretations of Emotions

Considering that emotion is a result of social construction, the socio-cultural factors of KKPK child writers need to be discussed as well. Generally, these child writers

share common socio-cultural factors of a Muslim middle-class family. This becomes more logical if one takes into account Dar!Mizan's identity as a publisher of mainly Islamic books. Both of these factors influence the worldview of the stories.

As mentioned in the introduction to this research, these child writers grow up in an environment that celebrates religious practices. Asef Bayat's concept of Post-Islamism can be a good explanation for this phenomenon. Post-Islamism can be viewed as both a condition and a project. As a condition, Post-Islamism explains the condition of the Islamic government in Iran in which it regresses, wavers, and loses support. Meanwhile, as a project, post-Islamism refers to the consciousness to redefine the meaning of Islamness in various aspects of life. If previously Islamism linked Islam to responsibilities, Post-Islamism links Islam to rights (Bayat, 2005). This concept was further elaborated by Ariel Heryanto in his book *Identitas dan Kenikmatan: Politik Budaya Layar Indonesia* [Identity and Pleasure: The Politics of Indonesian Screen Culture]. Emphasizing cultural aspects (of cultural Post-Islamism), this book argued that expressions of religiosity and Western consumerism were woven into one new Muslim middle-class lifestyle (Heryanto, 2015).

In line with Post-Islamism's emphasis on a strong relation between religiosity and the glamour of Western consumerism, the same idea is clearly asserted by the KKPK series. Sides of religiosity articulated through both emotion and religious practices

are presented within a modern world centering on global cultures, particularly the use of Western-like names, overseas-oriented locations, a considerable amount of English usage within the text, and the consumption culture of music, movies, or food from abroad. All these traits can be found in the three examined KKPK stories in different gradients, ranging from feeble to strong articulations. The consumption of foreign music and film can also be compared with religiosity-related motivations within the depicted emotions.

Religious emotion and motivation are detected within different parts of the story *London I'm Coming*. One of the examples took place when the character Shara encountered Akarin, a leukimia sufferer who kept herself motivated by believing that God was just. The conversation between Shara and Akarin transformed Shara's fear and anger into sincere acceptance [of fate] that triggered a fighting spirit (Faradisa, 2016, p. 79).

In the story *Keep Smile for the World,* religious motivations reappeared. The character Andri expressed his dislike of Triani, who insisted on being his friend. Andri thought that Triani made him jinxed. Hen and Shane reminded him that no single creation of God could be used as jinx-maker. Andri admitted this, and his hatred changed into guilt (Sekar, 2016, p. 45).

Interestingly, emotional religious motivation was not found in the book *Teman Tapi Musuh* despite a clearly religious setting taking place in Sekolah Dasar Islam Full Day (Full Day Islamic Elementary

School). The writer most probably felt that expressing religiosity in the work was enough by setting a religious background. The uses of an Islamic school, Mosque, and the theme of *Anak Pintar di Masjid* (PITAJID) [Brilliant Kid of the Mosque] as one conflict putting the story into motion also did not present emotional religious motivations. Alternatively, what occurred was the theme of being diligent and effective, as described by Fika when she was chosen as PITAJID (Fatiha, 2016, p. 81).

Aside from the aspects of religiosity, facets of gender also appear in the interpretation of the KKPK child writers' emotions. In the context of Post-Islamism, which advances rights as opposed to responsibilities, there is a broader exploration of gender equality. This dimension can more or less be identified within the KKPK series. As depicted in the cover illustrations and brief descriptions of the writers, the majority of the writers and the illustrated protagonists are female. Both *London I'm Coming* and *Teman Tapi Musuh*, for instance, presented a female main protagonist. These female protagonists were depicted with a myriad of emotions expressively conveyed. What they felt and thought were expressed straightforwardly. Furthermore, both series presented male supporting characters whose emotions differ from their female counterparts.

*London I am Coming* presented the character Leo, a senior portrayed as a silent, cool, and intelligent person. Like Shara, Leo also was successfully awarded a scholarship to London. Unfortunately, Leo felt ill in London and was diagnosed with stage IIB blood cancer. Throughout the story, Leo's muteness was depicted almost without emotion as opposed to Shara, who easily expressed what she felt (Faradisa, 2016, pp. 45-46).

*Teman Tapi Musuh* focused on a female gang and strongly conveyed each character's emotional expressions. In this story, there was also a male supporting character named Fiki. The characteres in the story were shown to be aware of gender differences. When one of the group members named Fika felt that they needed a male friend to learn about boys, the other members initially disagreed. However, they finally realized that understanding the world boys was important. Unlike Leo, who did not have sufficient room for emotions, Fiki's emotion is articulated more, although this is hidden within his mind. (Fatiha, 2016, pp. 46-47)

*Keep Smile for the World* by Nisrina, on the other hand, was distinctive in that it had a male protagonist, Andri. His emotional depiction in the story did not follow gender stereotypes in which boys might not cry or express emotions boldly. In the text, Andri was depicted as someone who acutely felt. He often cried as he wished to be a little angel for his mother and therefore made his mother happy. This depiction was interesting as the choice of the phrases "becoming a little angel" and "little doll" were often linked to femininity. More interestingly, although the mother no longer called him a "little angel" in several scenes (calling Andri "little hotshot" instead), Andri still identified himself as a little angel (Sekar, 2016, pp. 46-47).

In the end of the story, Andri's parents confirmed Andri's identification as his parent's little angel by giving Andri a birthday gift of a little tiny-winged angel statue. Nisrina, the story's female child author could be seen as reflecting her emotion and soul in Andri's character. Nisrina's honesty in the emotions the male character appeared to challenge the common perspective on gender. This finding is intriguing when compared to preceding research by Titien Diah Soelistyarini titled "Representasi Peran Jender dalam Cerita-Cerita Karya Penulis Anak Indonesia Seri Kecil-Kecil Punya Karya [Representation of Gender Roles in Writers of Indonesian Children in Children Literature Serial]", which argued that gender stereotypes were still strongly entrenched in the KKPK series. However, this research proves that influences from Post-Islamism make more space for exploring gender equality. It would be very interesting for future researches to study how male child writers depict the role and gender expressions of female child characters.

## CONCLUSIONS

Examinations of narrative strategies and interpretations of emotions in the three child writers' works of *Kecil Kecil Punya Karya* published by Dar!Mizan revealed that the child writers used narratives similar to fairy tales in conveying the story and its emotional meaning, and this writing style could be seen as a sharing session. The depiction of emotion written in units of simple emotive words without involving a narrative with evocative emotional elaboration became the main characteristic of these child writers' narration of emotion. Growing up in the project of Post-Islamism, these KKPK child writers portray their world in defining Islamness with particular emphasis on rights but not responsibilities. This is particularly evoked through the portrayal of religious practices followed by the consumption of global culture and an understanding of gender equality. All three texts make more room for the varied dimensions of gender perspectives and emotions.

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# Burnout of Academic Professionals and its Impact on Work Performance

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## ABSTRACT

The quantitative research examined how academic professionals in the Abu Dhabi-UAE internalized the phenomenon of burnout in their teaching profession. At present, the episodes of teachers' burnout is high due to the insecure job environment in line with the ongoing industry challenges. Copenhagen Burnout Inventory (CBI) was used to measure the levels of burnout among academicians. The data were analyzed using statistical techniques such as, Chi-square analysis. Results provide an understanding about how burnout impacts academicians in their work performance, and therefore, help to develop and devise techniques to control and alleviate burnout. It is essential to identify, develop and retain educators who are healthy, energized, self-motivated, mentally-stable and can creatively contribute to building the future citizens of any country.

*Keywords:* Burnout, client burnout, personal burnout, productivity, stress, work burnout, work performance

## INTRODUCTION

The role played by academicians is paramount in the growth and development of any nation. As per COR (Conservation of Resources) theory, the academicians' commitment would be better when provided with necessary resources and having the appropriate work environment to utilize employee skills and abilities. Likewise, in the academic world, academicians are considered the 'life-line' to shape the youth

mind. At present, life of academicians is quite challenging due to various forms of work pressures, both - internal and external. Academic institutions have been analyzing the factors that affect the productivity and work performance of their work force. These factors include lack of motivation, stress, work environment, nature of work, emotional intelligence, to name a few. Exhaustion at work, also known as burnout, is one such factor that significantly affects the productivity of professionals (Wright & Bonett, 1997).

To develop a perspective of the current local scenario of Abu Dhabi, United Arab Emirates (the UAE), located in the Persian Gulf, is a land of opportunities, offering a multi-cultural work environment that has become a hallmark of the present day global economy ("United Arab Emirates", 2019). Expatriates from various parts of the world are attracted to this land with high hopes, dreams and ambitions. Majority of the companies based here, attract and retain top talents by providing them with a very attractive package that includes various perquisites. If the institutional leadership is able to nourish a healthy culture and work environment within the organization, results in having a highly productive work environment resulting in the optimized productivity of each employee and the organization in its entirety. However, if the institutional leadership is unable to keep the work related stress in academicians through proper work environment within reasonable levels, academicians are faced with various work related challenges and

if this pattern continues, their performance deteriorates with time, ultimately resulting in adverse impact on productivity. Institutional leadership, through its teacher centric policies, can be one-step in keeping work related stress under control. It should be kept in mind that majority of academicians fulfill their dreams by sacrificing their personal time and health. Situation is further aggravated if institutions do not focus on actively helping individuals shine in their roles by providing adequate professional training and development, personal development and growth opportunities to academicians. In stark contrast to this, if the institutional leadership feels that the academicians' performance is not satisfactory, they usually fire such employees by ignoring to understand and resolve the real cause of their underperformance. This approach is a reflection of tendency to treat the symptoms. In this way, ignoring the main issue of controlling burnout and its causes remains neglected, which further aggravates the situation. This is substantiated by a study conducted on male higher education professionals based in Thailand by Kaewanuchit in 2015 on the causal relationship of occupational stress and concluded that job security had the most direct impact on the occupational stress levels (Kaewanuchit, 2015).

While burnout appears as a probable factor resulting in the decline of work performance, there is a dearth of literature on this topic in the context of the UAE. From the few studies that have been conducted, an emerging scope indicates the need

for a longitudinal study on the topic that conclusively establishes the relationship and impact of burnout and work performance of academicians specifically with respect to the UAE.

In the 1970s, Dr. H. J. Fruedenberger, an American psychologist, discovered that prolonged stress on the human body resulted in emotional and physical exhaustion, ultimately leading to burnout (Canter, 2001; Urich, 2006). According to Canter (2001), Dr. Fruedenberger was the first to use the term "burnout" to describe extreme emotional and physical exhaustion associated with the phenomenon that would later be defined as burnout. In the 1980s, 1990s, and 2000s, psychologist Dr. Christina Maslach took Fruedenberger's work to an innovative level and applied their respective and collective theories to occupational burnout (Kalliath et al., 2000). Maslach and Schaufeli (2001) examined how complicated working conditions, failing working systems, disorganized institutions, and negative interactions with co-workers affected the motivation of employees in a variety of settings that included schools, colleges, and universities.

The researches that exist on the topic of burnout have limited the scope of their study to the verification of existence of burnout and measurement of the level of burnout (Brenninkmeijer & VanYperen, 2003; Melo & Oliver, 2012; Montero-Marin et al., 2011; Shanley & Jordan, 1999). The lack of any credible evidence of any study exploring the association between burnout and work performance of academic professionals in the UAE gave the research project an added

reason for exploring the relation between burnout and work performance in the UAE with a focus on academicians.

Locally, an environment of job insecurity is a continuous threat for all professionals that increases their already high stress levels. It is well known that stress at work, teachers' turnover, absenteeism, increased accidents, etc. are all results of burnout. Burnout also results in lower staff morale which gets further aggravated because of line manager's apathy. Academicians going through burnout are frequently tired, burdened with work load, fatigued and suffer from frequent health problems.

It is, therefore, imperative for organizational leaders to look for any sign of academicians' burnout and make a conscious effort to nip it in the bud before it is too late as burnout erodes the organizational productivity. Experts unanimously agree that the onus of ensuring the mental well-being of academicians lies at the top management / leadership level.

Numerous literature exists to support the existence of burnout in professionals and concerted efforts have been made to precisely measure the level of burnout in this field. However, most researches have either focused on the existence of burnout or its impact on various factors. There is a dearth of empirical study on the impact of burnout on academicians in the UAE context. A summary of existing literature is given below.

A research on educators showed interesting results related to age, gender, work accomplishment and burnout (Dillon

& Tanner, 1995). It concluded that gender and age of faculty members had no impact on their burnout levels. Also, more senior faculty were able to cope up with burnout in a constructive way by putting in longer working hours and the negative inkling being the low sense of job accomplishments.

Evers et al. (2005) from their study of impact of burnout on teachers suggested that secondary school teachers' thinking processes prevented them from rational thinking during their work, which significantly contributed to burnout. Ali and Hamdy (2005) in their study on burnout and work outcomes from an Arabic cultural perspective concluded that burnout was negatively related to job satisfaction, whereas organizational commitment and burnout were positively related to intention to leave, and supervisory support moderated the relationships between experienced burnout and work outcomes.

Whitaker (1996) studied the impact of burnout on school principals and found that in spite of intrinsic rewards associated with the position, burnout resulted in early stepping down from the position.

Bauer et al. (2006), through their study on German High School teachers identified the aggressive and destructive behavior of students as a major contributor of teachers' burnout. Milfont et al. (2008) conducted a study on New Zealand based secondary teachers to study the impact of three sub-dimensions of burnout: personal, work-related, and client-related burnout on their work performance using the Copenhagen Burnout Inventory (CBI) by

Hobfoll (1989). The study found a negative correlation between burnout and wellbeing measures such as wellbeing index, school connection, and perceived general health which had a significant impact on their work performance.

A study conducted to explore the frequency of fully developed burnout and burnout risk on personnel at a university hospital did not find any significant association between the demographic factors of age, gender, training, work experience and marital status (Lederer et al., 2008). This was contrasted by a study on religious belief and burnout (Kovács & Kézdy, 2008). This study established negative association with religiosity and burnout. Connell et al. (2009) conducted a study to identify the level of burnout caused in physicians due to lack of control over the pace of work and duration of patients' visit. The study revealed a significant correlation between the levels of burnout and factors related duration of patients' visit and pace of work. Papastylianou et al. (2009) studied the association between burnout, role ambiguity and depression among teachers and concluded the existence of positive correlation between burnout and role ambiguity and between burnout and depression.

Unterbrink et al. (2012), studied burnout levels due to effort reward imbalance on two Germany based schools and concluded that burnouts levels could be significantly reduced through short psychological interventions in the form of support and guidance focused at developing appropriate stress controlling skills.

Sahu and Gupta (2013) observed from their study on effect of burnout on married and unmarried teachers that unmarried teachers were more vulnerable to burnout due to lack of emotional support. However, in contrast to Pines et al. (2011), this study proved that both married and unmarried teachers experienced below than average level of burnout at work. This interesting contribution in the findings of these studies can majorly be attributed to the cultural difference.

McCormack (2014) in her study on library professionals concluded that keeping stress levels low and burnout at bay in the workplace benefited both employees and the organization by enhancing the work performance. Wang et al. (2015), through their research established that higher emotional exhaustion was associated with higher job/professional efforts. Another major finding of this research was that it proved the association of low level of professional efficacy of schoolteachers with low coworker support.

Gluschkoff et al. (2016), studied the professional work life balance of primary school teachers in Finland and established that the poor recovery levels signified by low relaxation during leisure time resulted in their reduced professional effectiveness.

Thus, we see that all the above studies done with academic professionals have proved the potential impact of burnout and its dependence on various demographic variables such as marital status, age, gender, etc. This makes the current study very relevant in terms of exploring the association between burnout and work performance of academic professionals in Abu Dhabi. Based on the previously discussed researches done in the area of burnout among teachers, the following hypotheses guided the study:

H1: The burnout levels are significantly high among academicians in Abu Dhabi (AD).

H2: Work burnout is significantly higher than personal and student burnout.

H3: There is significant association between burnout levels and work performance of AD university teachers.

H4: There is significant association between burnout levels and work performance of AD school teachers.

H5: Personal, work-related, and student-related burnout are negatively associated with the work performance of school teachers.

H6: Personal, work-related, and student-related burnout are negatively associated with the work performance of university teachers.

## METHODS

The major variables in this study are burn out and work performance. Data for these variables were collected from school teachers and university teachers in Abu Dhabi. This data was analyzed using the chi-squire test. A quantitative method was adopted to explore the phenomenon of burnout among academic professionals.

## Sample and Participants

The population for this study consisted of university professors and secondary school teachers in the emirate of Abu Dhabi. There are 128 Schools and 16 universities in Abu Dhabi (United Arab Emirates - Education, n.d.) and out of these, 10 schools and 10 universities were randomly selected for this study from the 2 Zones (Zone-1 & Zone -2) in the city of Abu Dhabi. The participants in this study were chosen randomly. Data from both schools and universities were used for the purpose of this study. A total of 100 schoolteachers and 100 university teachers (from both private and public institutions) were included in this study. The researchers received 578 responses, and out of that, only 200 were fully completed. Many participants were reluctant to fill their annual appraisal rating and those incomplete data were excluded from the study, only 200 completed responses were used for analysis. The researchers applied non-parametric test to establish the association between variables. The sample for this study contained an equitable mix of (N=107) 53.5% males and (N=93) 46.5% females with a substantial sample portion of (N=75) 37.5% belonging to the age group in between 40-49 and (N-49) 24.5% in the 50 -59 years' age group – overall (N=124), 62% belonging to the 40 – 59 age group. Only (N=5) 2.5% were 60 and older. (N=108) 54% of the participants were postgraduates in this study. Majority (N=71) 35.5%, of the participant's performance was "Good" or 'Very good' in their annual appraisal and (N=54) 27% were 'excellent in their performance. Only (N=4) 2% were in 'need improvement' category in their workplace. (N=140) 70% of the sample had more than 5 years of experience in their current organization and (N=60) 30% of the participants had less than 5 years of experience.

The demographic distribution of the sample can be seen in Table 1 above. The data for this study was collected at the end of Fall 2017-2018 semester. Participants took approximately 15 minutes to complete the questionnaire.

Table 1
*Percentage distribution of the sample*

| Gender | Count | Percent |
|---|---|---|
| Male | 107 | 53.5 |
| Female | 93 | 46.5 |
| **Age** | Count | Percent |
| 30 – 39 | 71 | 35.5 |
| 40 – 49 | 75 | 37.5 |
| 50 – 59 | 49 | 24.5 |
| 60 or older | 5 | 2.5 |
| **Highest level of Education** | Count | Percent |
| Degree | 43 | 21.5 |
| Post graduate degree | 108 | 54.0 |
| PhD | 43 | 21.5 |
| Post-Doctoral | 6 | 3.0 |
| **Annual appraisal rating** | Count | Percent |
| Needs improvement | 4 | 2.0 |
| Good | 71 | 35.5 |
| Very good | 71 | 35.5 |
| Excellent | 54 | 27.0 |
| **Year of service in current organization** | Count | Percent |
| Less than 5 | 60 | 30.0 |
| More than 5 years to 10 years | 87 | 43.5 |
| More than 10 years to 15 years | 37 | 18.5 |
| More than 15 years | 16 | 8.0 |

## Materials and Procedures

To study the above objectives, standardized tool which was a modified version of Copenhagen Burnout Inventory (CBI) (Kristensen et al., 2005) was adapted and used to measure the burnout levels of teachers on a five point scale of 'To a very high degree', To a high degree', 'Somewhat', 'Somewhat', 'To a low degree', and 'To a very low degree'. The researchers administered this tool to "accurately measure" the variables intended to assess the burnout levels of teachers. CBI consists of three subscales, which can effectively measure the three dimensions of Personal burnout, Work-related burnout, and student related burnout. All the three scales were found to have very high reliability. The entire research was completed in two phases, the first phase included the selection of universities and schools, standardization of the tool and the pilot study, and the second phase included sampling and data analysis. The tool consisted of three parts:

- Personal burnout: Personal burnout is the degree of physical and psychological tiredness and fatigue experienced by an individual. An attempt was made to distinguish between physical and psychological fatigue. Some examples of the questions were "How tired or exhausted are you"? It was our intention to create a scale that is sensitive at ''the negative end'', e.g. among persons with a relatively high level of fatigue or exhaustion.

- Work-related burnout. The definition of work-related burnout as, the degree of physical and psychological exhaustion and tiredness, that was perceived by an individual as related to his/her work.

- Student-related burnout is defined as follows: The degree of physical and psychological fatigue and exhaustion that is generally perceived by the teachers as related to his/her work with students. Again: people can attribute their fatigue to factors other than their work with students (Kristensen et al., 2005).

## Validity and Reliability

Standardizing the questionnaire including the validation and evaluation was a long process, which included statistical analyses and discussions with the experts and based on their input, modifications were made.

The CBI scales have concurrent validity. Copenhagen Burnout Inventory (CBI) (Kristensen et al., 2005) was given to the same sample of 25 teachers and then the modified test was administered to the same sample of 25 teachers. The coefficient of correlation between the scores of two tests was found using product moment correlation. Correlations between job average burnout levels at time 1 and 2 were 0.71 for personal burnout, 0.48 for work-related burnout, and 0.71 for student-related burnout.

## Reliability

The test-retest reliability of the scale is reported to be +0.92, on a sample of 75 teachers, with a time interval of one month. The odd even reliability was found to be +0.95 after correlation for alternation, calculation on a scale of 60 students. From a strictly theoretical point of view the personal burnout scale measure the "same" phenomenon, which is supported by the experts in discussion panel.

## Analysis and Interpretation

According to Table 2, 39% of the University teachers in Abu Dhabi (AD) have high burnout and 10% have Very High Burnout.

Table 2
*Percentage distribution of the sample according to total burn out of university teachers*

| Total burn out | Count | Percent |
|---|---|---|
| Low | 18 | 18.0 |
| Moderate | 33 | 33.0 |
| High | 39 | 39.0 |
| Very high | 10 | 10.0 |
| Mean ± SD | 52.2 ± 15.7 | |

Table 3
*Percentage distribution of the sample according to total burn out of school teachers*

| Total burn out | Count | Percent |
|---|---|---|
| Low | 3 | 3.0 |
| Moderate | 14 | 14.0 |
| High | 58 | 58.0 |
| Very high | 25 | 25.0 |
| Mean ± SD | 62.3 ± 11.5 | |

As shown in Table 3, 58% of the school teachers in Abu Dhabi (AD) have high burnout and 25% have Very High Burnout.

Table 4
*Association between work burnout, personal and student burnout- university teachers*

| Personal burnout | Count | Percent |
|---|---|---|
| Low | 3 | 3.0 |
| Moderate | 32 | 32.0 |
| High | 48 | 48.0 |
| Very high | 17 | 17.0 |
| Mean ± SD | 19.3 ± 4.5 | |
| **Work burnout** | Count | Percent |
| Low | 2 | 2.0 |
| Moderate | 6 | 6.0 |
| High | 37 | 37.0 |
| Very high | 55 | 55.0 |
| Mean ± SD | 23.7 ± 4.8 | |
| **Student burnout** | Count | Percent |
| Low | 6 | 6.0 |
| Moderate | 27 | 27.0 |
| High | 50 | 50.0 |
| Very high | 17 | 17.0 |
| Mean ± SD | 19.4 ± 4.2 | |

Table 5
*Association between work burnout, personal and student burnout- school teachers*

| Personal burnout | Count | Percent |
|---|---|---|
| Low | 21 | 21.0 |
| Moderate | 42 | 42.0 |
| High | 30 | 30.0 |
| Very high | 7 | 7.0 |
| Mean ± SD | 16.2 ± 5 | |
| Work burnout | Count | Percent |
| Low | 11 | 11.0 |
| Moderate | 33 | 33.0 |
| High | 21 | 21.0 |
| Very high | 35 | 35.0 |
| Mean ± SD | 20.2 ± .7 | |
| Student burnout | Count | Percent |
| Low | 26 | 26.0 |
| Moderate | 33 | 33.0 |
| High | 36 | 36.0 |
| Very high | 5 | 5.0 |
| Mean ± SD | 15.9 ± 5.4 | |

Table 4 shows an alarming level of work burnout was observed; 37% of the teachers have high work burnout and 55% have very high levels of work-related burnout. It is also observed that Work burnout is significantly higher than personal and student burnout.

Comparing with school teachers, high work burnout was observed with 21% of the University teachers and 35% have very high levels of work related burnout as evidenced in Table 5.

Table 6
*Association between burnout levels and work performance of AD university teachers*

| Total burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 1 | 4.0 | 0 | 0.0 | 2 | 5.9 | | |
| Moderate | 2 | 8.0 | 8 | 19.5 | 4 | 11.8 | 6.94 | 0.327 |
| High | 18 | 72.0 | 20 | 48.8 | 20 | 58.8 | | |
| Very high | 4 | 16.0 | 13 | 31.7 | 8 | 23.5 | | |

Table 7
*Association between burnout levels and work performance of AD school teachers*

| Total burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 9 | 18.0 | 3 | 10.0 | 6 | 30.0 | | |
| Moderate | 20 | 40.0 | 11 | 36.7 | 2 | 10.0 | 13.33* | 0.038 |
| High | 20 | 40.0 | 11 | 36.7 | 8 | 40.0 | | |
| Very high | 1 | 2.0 | 5 | 16.7 | 4 | 20.0 | | |

*: - Significant at 0.05 level

As seen in Table 6, the study did not observe any significant association between the burnout level and work performance of university teachers.

However, the current study observed a significant association between the burnout level and work performance of schoolteachers as evidenced in Table 7.

Table 8 shows that personal burnout and work burnout have a significant impact on their work performance whereas student's burnout is not affecting the work performance of school teachers.

According to Table 9 the three components of the compared burnout levels with the schoolteachers, we did not observe any significant association between the variables - personal, work-related, and student-related burnout and the work performance of university teachers.

Table 8
*Comparison of personal, work and students burnout levels based on annual appraisal rating (Work performance) of school teachers*

| Personal burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
|---|---|---|---|---|---|---|---|---|
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 11 | 22.0 | 6 | 20.0 | 4 | 20.0 | 15.29* | 0.018 |
| Moderate | 25 | 50.0 | 13 | 43.3 | 4 | 20.0 | | |
| High | 13 | 26.0 | 10 | 33.3 | 7 | 35.0 | | |
| Very high | 1 | 2.0 | 1 | 3.3 | 5 | 25.0 | | |
| Work burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 4 | 8.0 | 2 | 6.7 | 5 | 25.0 | 15.04* | 0.020 |
| Moderate | 20 | 40.0 | 10 | 33.3 | 3 | 15.0 | | |
| High | 14 | 28.0 | 6 | 20.0 | 1 | 5.0 | | |
| Very high | 12 | 24.0 | 12 | 40.0 | 11 | 55.0 | | |
| Student burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 14 | 28.0 | 4 | 13.3 | 8 | 40.0 | 12.53 | 0.051 |
| Moderate | 20 | 40.0 | 12 | 40.0 | 1 | 5.0 | | |
| High | 15 | 30.0 | 12 | 40.0 | 9 | 45.0 | | |
| Very high | 1 | 2.0 | 2 | 6.7 | 2 | 10.0 | | |

Table 9
*Comparison of personal, students and work burnout levels based on annual appraisal rating for college teachers*

| Personal burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
|---|---|---|---|---|---|---|---|---|
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 0 | 0.0 | 0 | 0.0 | 3 | 8.8 | 6.8 | 0.339 |
| Moderate | 7 | 28.0 | 13 | 31.7 | 12 | 35.3 | | |
| High | 13 | 52.0 | 21 | 51.2 | 14 | 41.2 | | |
| Very high | 5 | 20.0 | 7 | 17.1 | 5 | 14.7 | | |
| Work burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 0 | 0.0 | 0 | 0.0 | 2 | 5.9 | 6.83 | 0.337 |
| Moderate | 2 | 8.0 | 2 | 4.9 | 2 | 5.9 | | |
| High | 6 | 24.0 | 17 | 41.5 | 14 | 41.2 | | |
| Very high | 17 | 68.0 | 22 | 53.7 | 16 | 47.1 | | |
| Student burnout | Needs improvement/ Good | | Very good | | Excellent | | $\chi^2$ | p |
| | Count | Percent | Count | Percent | Count | Percent | | |
| Low | 3 | 12.0 | 2 | 4.9 | 1 | 2.9 | 9.3 | 0.158 |
| Moderate | 4 | 16.0 | 13 | 31.7 | 10 | 29.4 | | |
| High | 17 | 68.0 | 18 | 43.9 | 15 | 44.1 | | |
| Very high | 1 | 4.0 | 8 | 19.5 | 8 | 23.5 | | |

## DISCUSSION

The present results provide a strong empirical support for the variables burnout and work performance of academicians in Abu Dhabi Emirate. Overall, the current study revealed that the burnout level was high among academicians in Abu Dhabi Emirate. The study concluded that school teachers were more vulnerable to burnout than university teachers. Apparently, work burnout was significantly higher than personal and student burnout. Academicians are faced with numerous challenges including meeting the key objectives of modern education, exceeding stakeholders' expectations, optimizing the integration of technology in pedagogy and keeping the content and delivery of lessons relevant to the exceptionally higher expectations of students, also demanded by the inclusion of twenty-first century skills in the curriculum. As suspected by the researchers that association among student burnout, work performance and personal burnout were not very evident in this study. Interestingly, one of the major associations observed were work burnout and performance. Work pressure (having lots of tasks to complete), lack of motivation due to less pay, lack of appreciation from the supervisor, all these are the contributors to work burnout.

The objective of this study was to build a strong case for school and university leadership to envisage and put in place systems that keep burnout levels of academicians within reasonable levels resulting in their enhanced productivity and also to alleviate their burnout.

Analysis of sample data from demographic perspective shows a higher proportion of male academic professionals in the age range of 40 to 59 years which is a clear indication of cultural preference of students in this region as the students prefer to be taught by elderly male teachers. Another vital inference drawn is majority of academicians scoring annual evaluation rating of Good, Very Good and Excellent have five or more years of experience which suggests that experienced teachers' ability in effectively managing burnout (or the institutions needed only high achievers).

The outcome of this study revealed the association between university teachers' work performance and burnout levels was not significant, however, very significant association between the two was observed in school teachers. This difference can be attributed to parity in remuneration of school and university teachers as getting a fair day's pay for fair day's work helps massively with feelings of self-worth. It is important to note at this point that university teachers' remuneration package is aligned to the guidelines of various international accreditation bodies and the Ministry of Higher Education and Scientific Research of the UAE whereas remuneration package of school teachers lacks standardization and varies on the basis of multiple factors and this results in their higher burnout levels especially among private school teachers. This suggests that special attention is warranted from school authorities to identify the major contributors to teachers' burnout and initiate remedial action to bring down the burnout levels.

Another interesting outcome observed was that burnout levels were higher among teachers having very good annual evaluation and that among excellent performers being relatively lower. According to Nair et al. (2016), academic leaders having higher levels of emotional intelligence are excellent performer in their roles, an inference can be drawn here that excellent performers are able to perform exceptionally well because of their higher emotional intelligence that plays a key role in having a relatively lower burnout that ultimately results in their increased productivity.

## CONCLUSIONS

Thus, it can be concluded that the impact of burnout is more profound as it has a direct bearing on the learning, development and advancement of students which symbolizes future of nations, cultures and civilizations.

The outcome of this research has opened up opportunities for educationalist and HR practitioners to develop effective teachers' training programs to prevent burnout so as to cultivate emotionally stable balanced and progressive teaching community that is the most crucial factor in education, development and transformation of our future generations.

It has also been observed that in many cases the real reason for the employees' underperformance is the disparity in their work life balance and burnout. This study has established that it is equally applicable to school and university teachers in the UAE as Burnout also results in their lower morale, fatigue, frequent health problems,

increased absenteeism and reduced concern for the clients (i.e. students in this case) which further gets aggravated if ignored by organizational leadership. The findings of this study strongly suggest the organizational leadership to adopt a policy framework that results in having an environment which reduces the employees' burnout levels related to work and the nature of their interactions with their clients (students in our case) also tend to be healthier and lasting. Chong et al. (2015) in an attempt to investigate the relationship between teachers' perceptions of the school principal's leadership and their job satisfaction, found a significant positive relationship between the perceived leadership of the school principal and job satisfaction among the teaching staff. The research findings underline the importance of developing the leadership of principals in public schools to enhance the commitment and job satisfaction of the teaching staff thereby resulting in overall improvement in the institutions' performance.

Highlighting the importance of organizational policy-making in the retention and organizational commitment of lecturers, a noteworthy finding from Rathakrishnan et al. (2016) recommended that factors such as compensation satisfaction, job autonomy, KPI achievability, and job satisfaction could be effectively tackled through focused strategies. This highlights the importance of institutional policy framework in achieving a higher commitment of lecturers.

To sum up, findings of Sayadi (2016) aptly highlighted the importance of leadership intervention in effectively

containing burnout in school teachers and resulting in significantly higher job satisfaction, organizational commitment and value commitment in terms of higher work commitment.

Strengths and Weaknesses of the study: The main strength of this study is that it is the first study conducted in the Abu Dhabi with a complete focus on the teaching community. One weakness of this study can be due to the fact that the sample size could have bigger. Also, the results of teachers' burnout could be compared, analyzed and ultimately benchmarked with other industries. To sum up, a longitudinal study encompassing multiple industries can go a long way in validating the findings of this study. The study also suggests the below recommendations to focus on building healthy academic communities across the UAE:

- Introduce a mental health day for teachers. Institutions should take initiative to organize programs to create awareness about different mental health issues to improve their mental health.
- Engage an industrial psychologist either full time or part time as consultant in every institution to avoid any conflict between the employer and employee and help them to solve their personal or professional problems quickly and efficiently.
- Management should ensure that special care is taken to eliminate the toxic work atmosphere and identify

individuals who contribute to this toxic culture and act upon them, since this culture does not promote creativity and ownership among employees.
- Create ethics committee which can be approached in cases of challenges and create a policy where jobs are secured/ guaranteed for performing employees.

The findings of this study strongly suggest the organizational leadership to adopt a policy framework that results in having an environment which reduces the employees' burnout levels related to work, and the nature of their interactions with their clients (students in our case) also tend to be healthier and lasting.

## ACKNOWLEDGEMENTS

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# The Mother's Role in Child Development: The Effect of Maternal Employment on Cognitive Development

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## ABSTRACT

This research discussed the effects of maternal employment on child cognitive development using the IFLS's data on children aged between 7-10 years old. The results indicated the negative effects of maternal employment when children were between 0-3 years old. Yet, maternal employment on children aged between 7-10 years old was positively associated with children's cognition. The accumulated additional hours of the working mother when children were older than 3 years also affected the children's cognition positively. Furthermore, this development was also affected by other factors, such as the child's inputs, the mother's inputs, and the family's inputs.

*Keywords:* Child development, cognitive development, maternal employment

# INTRODUCTION

The mother takes on an important role as the primary caretaker of the family, both for managing household production and for nurturing children so that they can stimulate the children's cognition (Stevens, 1971; Youngberg, 2011). Cognitive skill is one child outcome that can be used as a predictor of children's achievement and wage in the future (Bernal, 2008; Heckman et al., 2006). Therefore, parents pay attention and give their best effort to aid their children's

physical and cognitive development. The mother's presence at home, focusing on the family and children, is one form of family investment aimed at ensuring the children's welfare in the future. That is why traditionally mothers tend to choose to stay at home.

However, there have been more mothers deciding to participate in the labor market. In the Indonesian context, in 2013, 50% of married women aged 17-70 worked outside their homes to build their career. This trend is in contrast to the construct of maternal employment, which is related to the mother's time allocation for children. Less time allocation for children tends to reduce potential interactions between mother and child and has an impact on the children's cognitive development (Blau & Grossberg, 1990; Rapoport & Le Bourdais, 2008; Stewart, 2010). Previous studies have also shown that maternal employment in early childhood lowers children's cognition potentially (Bettinger et al., 2014; Bernal, 2008; Blau & Grossberg, 1990; Gold & Andres, 1978; Künn-Nelen et al., 2015; Ruhm, 2004; Waldfogel et al., 2002). However, maternal employment has the potential to improve child cognition when children get older (Waldfogel et al., 2002).

The increasing number of women participating in the labor market has intensified the potential of the Indonesian economy. Even so, women's role as mothers to create qualified human resources (qualified children) is undeniable also. Therefore, this study was conducted to observe patterns of maternal employment and its effect on

child cognition at ages between 7-10 years old. Furthermore, this study also aimed at analyzing the impact of input changes that children have received at different ages. Moreover, this study can see the possible effect of maternal employment when children are aged 0-3 years and when aged 7-10 years on children's cognitive ability when aged between 7-10 years old, as well as the possibility of other factors that affect the children's cognition.

## Literature Review

Cognitive development is defined as a pattern of change of mental ability for learning, concentration, memory, language, thinking, reasoning, and creativity. Things that can affect cognitive development include the child's condition, the home environment, interaction, parenting style, and social condition.

This study was based on two cognitive theories. The first is Piaget's cognitive development theory that emphasizes cognitive development as a mental process that allows children to become the primary determinant of their own development. Secondly, it is a sociocultural theory that emphasizes cognitive development as a collaborative process, in which the environment and people around children affect child development.

Psychologically, maternal employment affects child cognitive development as it relates to the interaction between mother and child. The interaction between mother and child has a direct impact on a child's cognitive development (Papalia & Martorell, 2014;

Stevens, 1971). This interaction creates bonds and affection to build a sense of self, of others and trust. In early childhood, the trust provides a sense of security for children to learn, explore, and socialize in the future. Therefore, interaction, affection, and trust are essential for children's cognitive development (Brooks-gun et al., 2010).

From an economic point of view, Leibowitz (1974) stated that cognitive outcomes depicted the measurement of human capital stocks just like wages. Becker's (2009) human capital theory explained that wage rates changed when persons got older because of the accumulation of human capital (because of time and resource investment). Alongside this theory, it said that cognitive skill was the stock of human capital at a certain age obtained from the accumulation of capital, goods, and time at a previous age (in the past). Todd and Wolpin (2007) defined cognitive skill also as an accumulation process of current and prior inputs which combined with a genetic ability for achieving cognitive outcomes. In Becker's (2009) family economic theory, the higher the outcomes that parents expect for their children, the investment to allocate will be higher as well. Investments can be time and goods/service inputs.

## MATERIALS AND METHODS

### Data

This study employed the fourth and fifth waves of the Indonesian Family Life Survey (IFLS). The IFLS provides cognitive assessment data of children aged between 7-14 years old. These data were used to assess children's general cognitive intelligence. This study aimed to determine the effect of maternal employment and the impact of input changes received by children, as they got older. The unit of analysis was children aged between 7-10 years on the fifth wave of the IFLS. The final sample for this study was 1,061 children. The estimation method used OLS regression with cross-sectional data.

Data characteristics of this study included children aged between 7-10 years in the IFLS fifth wave so that when children aged between 0-3, the data were recorded on the fourth wave of the IFLS. The children's mothers had to participate in the labor market. The definition of mothers who participate in the labor market is a mother who spends most of her time working or at least working one hour per week, a mother who is on leave, or a mother who is looking for a job. The mother is neither a single mother nor a divorcee because single mothers or divorcees tend to choose to participate in the market labor (Bernal, 2008). The age of 7-10 years was selected from data availability, while the input when the child was 0-3 years was selected because the first three years of life was the peak of the children's rapid growth, both physically and cognitively. At this age stage, the brain is growing in complexity and sensitivity to environmental influences (Papalia & Martorell, 2014). Early child growth interventions can improve the quality of children's development.

**Dependent Variable.** The dependent variable was children's cognitive development, which is reflected by cognitive skill and is measured by the cognitive score. Information about the cognitive score was obtained from the book of fifth wave of the EK1 IFLS, which provides cognitive evaluation information for children aged between 7-15 years. The cognitive score was the result of calculating the correct answers successfully answered by respondents, with scores ranging between 0-100. The total number of questions that had to be answered by the respondents was 17.

**Independent Variables.** The main independent variable of this study was the mother's working hours per week. The mother's working hours when the child age 0-3 years old obtained from the fourth wave of the IFLS. Meanwhile, the mother's working hours when the child age 7-10 years old obtained from the fifth wave of the IFLS. This study used the difference of the mother's working hours for seven years, that is, when the children were in their first three years of life and when the children age 7-10 years. The purpose of this approach is to enable the change of mother's working hours between two waves of data.

**Control Variables.** Children's cognitive development is not influenced by one input at a time, but many inputs. There are three inputs as control variables. First, children's inputs consist of the children's age, sex, school participation, and nutritional status (proxied by Body Mass Indeks - BMI). This input based on Piaget's theory of cognitive development. The second is the

mother's inputs, consisting of the mother's education, birth age, breastfeeding, and pregnancy checkup since mothers have held prominent roles as the basis of children's cognitive development. The final input is the family's input, comprising the father's education, changes in the father's working hours, the number of family members in one household, per capita family expenditure, and living area. The family's inputs show the children's socioeconomic condition. For family income, this study used family expenditure as a proxy for anticipating underestimation or overestimation income data. This study used a cumulative model developed by Leibowitz (1974) where the cognitive score was a function of current and previous received inputs by children as well as genetic ability. Todd and Wolpin (2003) showed the function in the following equation:

$$C_{ija} = X_{ija}\alpha_1 + X_{ija-1}\alpha_2 + \cdots + X_{ij1}\alpha_\alpha + \beta_a\mu_{ija} + e_{ij\alpha} \quad (1)$$

$C_{ija}$ denoted the cognitive score of child $i$ in household $j$ at age $a$ and $X_{ija}$ applied as family's input for child $i$ in household $j$ at age $a$, while $\mu_{ija}$ denoted the inherited intelligence (genetic ability) from parents, which proxied by the parents' education. This model shows children's cognitive score influenced by the family's inputs and inherited intelligence.

However, the use of this model was not the same as the original. Specifically, this study not only analyzed children's cognitive development as influenced by the mother's working hours with control variables such

as the children's inputs, the mothers' inputs, and the family's inputs, but also the effect of accumulated input (change of the mother's working hours per week within seven years). The analysis was done using two different models. The first model (2a) was intended to see how inputs at two different times (present and past) could affect the children's cognitive ability. By using the first model, there was a potential for bias since the data utilised cross-sectional data for observing two different times (Bernal, 2008; Blau & Grossberg, 1990; Künn-Nelen et al., 2015). This study modified the second model. The second model (2b) was intended to see the process of input accumulation and its effect on children's cognitive ability. The model is shown in the following equation:

Model 1

$$C_{7-10} = \beta_0 + \beta_1 X_{0-3} + \beta_2 X_{7-10} + \beta_3 A + \beta_4 I + \beta_5 K + \varepsilon_1$$

(2a)

Model 2

$$C_{7-10} = \alpha_0 + \alpha_1 \Delta X + \alpha_2 A + \alpha_3 I + \alpha_4 K + \varepsilon_2$$

(2b)

where,

$C_{7-10}$ = Cognitive score of children aged between 7-10 years old

$X_{0-3}$ = Mother's working hours per week when children aged between 0-3 years

$X_{7-10}$ = Mother's working hours per week when children aged between 7-10 years

$\Delta X$ = Difference of mother's working hours per week for seven years (2014-2007)

A = Children inputs, such as age, sex, school participation, and nutritional status

I = Mother's inputs, such as education, birth age, breastfeeding, and pregnancy checkup

K = Family's inputs, such as father's education, father's working hours, per capita expenditure, and living area

## RESULTS AND DISCUSSIONS

### Descriptive Analysis

Figure 1 shows working mothers with children aged 0-3 tended to have low working hours. However, when children got older, most of mothers would increase their working hours. Overall, the average of mother working hours per week, when those mothers had children aged 7-10 is about 43.49 hours per week. The average of mother working hours per week when her children aged 0-3 is about 35.74 hours per week.

Based on Table 1, data suggests that the higher the cognitive score, the lower the average mother's working hours. The higher the cognitive score, the longer the parents' educational period, and the higher the family expenditure.

### DISCUSSION

Table 2 provides estimation result of Model 1, which shows the effect of mother's working hours input at two different times (at age 0-3 and 7-10 years old) and children's input on children's cognition at age 7-10
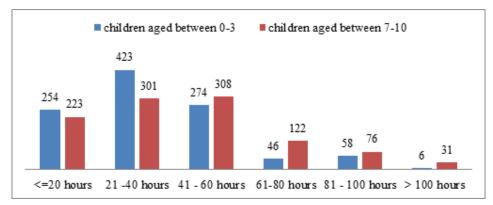
*Figure 1*. Mother's working hours per week

Table 1

*Descriptive statistics based on range of cognitive score*

| Variable | Cognitive score | | | |
|---|---|---|---|---|
| | 0-25 | 26-50 | 51-75 | 76-100 |
| Mother's working hours per week when child was aged between 0-3 | 46.84 | 36.01 | 37.08 | 32.35 |
| Mother's working hours per week when child was aged between 7-10 | 42.98 | 42.22 | 47.79 | 37.92 |
| Delta mother's working hours per week | -3.86 | 6.21 | 1.07 | 5.57 |
| BMI | 15.81 | 15.11 | 15.93 | 16.11 |
| Mother's year of education | 6.41 | 8.10 | 9.67 | 11.09 |
| Father's year of education | 7.98 | 8.30 | 9.52 | 11.27 |
| Delta father's working hours per week | -4.69 | -6.32 | -1.56 | -0.44 |
| Per capita family expenditure when child aged between 0-3 | 391,308.7 | 380,996 | 545,322 | 522,972 |
| Per capita family expenditure when child aged between 7-10 | 546,627.7 | 548,110 | 826,623 | 976,663 |
| Delta per capita family expenditure | 155,319 | 167,114 | 281,301 | 453,691 |

Table 2

*Regression result of model 1*

| Independent & control variables | Dependent variable: Cognitive score | | |
|---|---|---|---|
| | Estimation 1 | Estimation 2 | Estimation 3 |
| Working hours (age 0 - 3 years) | -0.0820**(0.007) | -0.0694**(0.010) | -0.0856**(0.002) |

Table 2 *(Continued)*

| Independent & control variables | Dependent variable: Cognitive score | | |
|---|---|---|---|
| | Estimation 1 | Estimation 2 | Estimation 3 |
| Working hours (age 7 - 10 years) | 0.0251(0.300) | 0.0358(0.100) | 0.0302(0.161) |
| Age | 4.158***(0.000) | 4.563***(0.000) | 5.152***(0.000) |
| Sex (male) | 0.964(0.412) | 1.773(0.114) | 1.781(0.103) |
| School participation | 55.69**(0.003) | 47.60***(0.000) | 44.83***(0.000) |
| BMI | 0.960***(0.000) | 0.403(0.087) | 0.174(0.453) |
| Mother's years of education | | 1.368***(0.000) | 0.625***(0.001) |
| Age of giving birth | | 0.226*(0.032) | 0.197(0.063) |
| Breastfeeding | | 21.41***(0.000) | 21.58***(0.000) |
| Pregnancy checkup 1-4 | | 0.719(0.594) | 0.942(0.473) |
| Delta father's working hours | | | 0.0547*(0.019) |
| Father's years of education | | | 0.896***(0.000) |
| Number of family member | | | 0.373(0.302) |
| Delta per capita family expenditure | | | 3.094***(0.000) |
| Living in urban area | | | 6.254***(0.000) |
| Constant | -46.65*(0.015) | -75.51***(0.000) | -80.78***(0.000) |
| N | 1061 | 1061 | 1061 |
| Prob>F | 0.000 | 0.000 | 0.000 |
| R-squared | 0.097 | 0.195 | 0.251 |

*Note:* Robust standard errors are in parentheses; significant at ***1%, **5%, and *10%

years. The model also extended to include mother's inputs (column 2) and family inputs (column 3).

The first column of the dependent variable (Estimation 1) shows regression results of four inputs that significantly affect children's cognitive development at ages 7-10 without considering mother or other family aspects. These inputs include maternal employment when children aged 0-3 years, children's age, children's school participation, and children's nutritional

status. Based on the regression results, every extra working hour for the mother per week when children aged 0-3 years tended to lower children's cognitive scores when they aged 7-10 years old by about 0.08 point. This may be due to the decreasing potential time mothers had to spend with children at home: this resulted in interactions between mothers and children also tended to decrease (Blau & Grossberg, 1990; Papalia & Martorell, 2014; Rapoport & Le Bourdais, 2008; Stewart, 2010). Mother and child interactions during the first three years are an essential process for children's development because it is the beginning of knowledge for learning and socializing in the future.

Meanwhile, children's age, children's school participation, and children's nutritional status tended to raise child's cognitive score. As children aged each year, their cognitive score managed to rise also by about 4.2 points. It suggests that the accumulation of input occurs in children when they get older so that the cognitive ability of children keeps changing over time. School participation has the most significant effect on child cognition. Children who attend school tend to have cognitive scores that are higher by about 55.7 points than children who do not attend school. Attending school can improve children's mental abilities and filter out the adverse effects of family or social environment (Neisser et al., 1996; Parcel & Dufur, 2001). Improvement in nutritional status increases the children's cognitive score by about 0.96 points.

In column 2 of the dependent variable (Estimation 2), the mother's inputs added to the model as a control variable. These mother's inputs variables include mother's years of education, age of giving birth, breastfeeding and pregnancy check-up. The regression result of maternal employment (measured by working hours) and children's inputs in column 2 do not differ much compared with the result in column 1 of the dependent variable. However, in column 2 the effect of nutritional status (measured by BMI = 0.403) is no longer significant for children's cognitive score. Furthermore, column 2 shows a significant positive impact of the length of the mother's education (1.368) and breastfeeding on children's cognitive score at age 7-10 years old (21.41). The parameter estimate indicates that every additional one year of mother's education tended to increase the child's cognitive score by about 1.37 points. Children who breastfed managed to have cognitive scores that were about 21.4 points higher than children who were not breastfed by their mothers.

In column 3 (Estimation 3), other family's inputs added to the model as control variables along with the mother's inputs. These inputs include differences (delta) in father's working hours between two waves, father's years of education, number of family members, differences (delta) per capita family expenditure between two waves, and whether children live in urban area. The estimation results in column 3 also provide similar results compared with results in column 1 and 2. The coefficient estimated of working hours (aged 0-3

years old) is -0.085 which indicate that every additional hour added to the working mother's hours per week when children aged between 0-3 years old tended to lower children's cognitive score at age 7-10 years by about 0.085 points. The coefficient of children age is 5.152 which indicate that as children aged each year, their cognitive score also managed to rise by about 5.2 points. Children who attended school (see coefficient estimated of variable school participation in column 3) tended to get higher cognitive score by about 44.8 points compared with children who did not participate in school. One additional year to mother's years of education tended to increase the child's cognitive score by about 0.6 points. Children who breastfed managed to get cognitive scores that were higher by about 21.6 points compared with non breastfed children. Data from Estimation 3 also shows the significant positive effects of the alteration of the father's working hours, father's years of education, accumulation per capita of family expenditure and the children's living area on the children's cognitive score at age 7-10 years. Increasing the father's working hours by one hour each week may raise children's cognitive scores

at age 7-10 years by about 0.05 point. Every one year added to father's years of education increased the child's cognitive score by about 0.9 points. Increasing one rupiah differences in per capita family expenditure between year 2007 and 2014, raised the child's cognitive score by about 3.1 points. Children who lived in the urban area tended to have cognitive scores that were higher by about 6.3 points than children who lived in rural areas.

In Model 2 (see Table 3), the accumulation of the mother's working hours-measured by differences (delta) in mother's working hours between year 2007 and 2014 also positively and significantly affected children's cognitive development. It means that, after the first three years of the child's life, the addition of the mother's working hours (or returning to work) had the potential to improve children's cognitive ability. The effect of differences (delta) of mother's working hours only marginally significant when mother's inputs (Estimation 5) and other family aspects (Estimation 6) were included. Therefore, the result would be further explained from column 3 (Estimation 6).

Table 3

*Regression result of model 2*

| Independent & control variable | Dependent variable: Cognitive score | | |
| --- | --- | --- | --- |
| | Estimation 4 | Estimation 5 | Estimation 6 |
| Delta mother's working hours | 0.0427(0.058) | 0.0459*(0.021) | 0.0459*(0.021) |
| Age | 4.219***(0.000) | 4.602***(0.000) | 5.179***(0.000) |

Table 3 *(Continued)*

| Independent & control variable | Dependent variable: Cognitive score | | |
| --- | --- | --- | --- |
| | Estimation 4 | Estimation 5 | Estimation 6 |
| Sex (male) | 1.212(0.300) | 1.912(0.088) | 1.987(0.070) |
| School participation | 55.20**(0.003) | 46.89***(0.000) | 43.86***(0.000) |
| BMI | 0.913***(0.000) | 0.367(0.115) | 0.118(0.605) |
| Lenght mother's education | | 1.386***(0.000) | 0.680***(0.000) |
| Age of giving birth | | 0.211*(0.045) | 0.171(0.105) |
| Breastfeeding | | 21.60***(0.000) | 21.71***(0.000) |
| Pregnancy checkup 1-4 | | 0.685(0.610) | 0.969(0.458) |
| Delta father's working hours | | | 0.862***(0.000) |
| Lenght father's education | | | 0.0587*(0.012) |
| Number of family member | | | 0.317(0.386) |
| Delta per capita family expenditure | | | 3.253***(0.000) |
| Living in urban area | | | 6.039***(0.000) |
| Constant | -48.22*(0.012) | -75.82***(0.000) | -80.54***(0.000) |
| N | 1061 | 1061 | 1061 |
| Prob>F | 0.000 | 0.000 | 0.000 |
| R-squared | 0.093 | 0.194 | 0.248 |

*Note:* Robust standard errors are in parentheses; significant at ***1%, **5%, and *10%

In the third column of the dependent variable (Estimation 6), increasing one hour per week differences of mother's working hours between year 2007 and 2014 could increase the child's cognitive score at age 7-10 years by about 0.05 point. The potential to increase the cognitive ability by adding working hours is due to several factors. First, the addition of the mother's working hours is related to the possibility of additional family income. When the mother works, the family can increase consumption related to stimulating children's cognition, i.e., through nutritious food, education, and so on. Second, the interaction between mother and child will no longer be disturbed by the mother's working hours. This is because, after the first three years of children's life, children begin to follow activities outside the home, such as early childhood education,

a playgroup, or kindergarten. In these situations, when the mother goes to work, their children will go to school.

Moreover, children begin to interact with friends, teachers, or others around them; hence, the mother is no longer the centre of the child's interactions. For control variables, such as the children's inputs, the mother's inputs and the family's inputs, the regression results in Estimation 6 of Table 3 also show similar results with the regression result on Table 2 (Estimation 3).

The goodness of fit for all regression results measured by R-squared shows evidence that the variation of the dependent variable explained by the variation of all independent variables. In model 1, the R-squared is 0.097 or 9.7% of the variation in the dependent variable can be explained by the variation of six independent variables (see Estimation 1). The R-squared rise into 0.195 or 19.5%after analyzing ten independent variables (see Estimation 2). After more control variables added to the analysis, the R-squared is getting higher up until 0.251 or 25.1% of the variation in the dependent variable can be explained by the variation of the independent variables (see Estimation 3). Similarly, the R-squared in model 2 indicates 0.248 or 24.8% of the variation in the dependent variable can be explained by the variation of the independent variables after more control variables added to the analysis (see Estimation 6).

## CONCLUSIONS

Since the adverse effects of maternal employment in early childhood are relatively smaller compared against the other positive inputs, the results of this study consider that the negative impact of maternal employment in early childhood can be compensated for by adding the mother's working hours when children aged between 7-10 years. Furthermore, other inputs can stimulate children's cognitive development, such as formal education and expenditure on nutritious food or health. There are also some policy suggestions from the results of this study including flexible working hours for mothers with children aged 0-3 years old and providing daycare in working areas. These initiatives allow the mother to maintain her interactions with her child, even amid in her work obligations.

## Limitations

This study has several limitations. First, the study considered neither the mother's working sector nor whether the mother or father was the main caretaker of the children in the family. This study also discussed the influence of input partially and did not take children's early cognitive abilities as an input. The research only addresses the relation between cognitive scores and inputs, not its causality. Finally, the results of this study do not compare the cognitive abilities of children from working mothers against children from stay-at-home mothers.

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# Psychological Ownership for Person-Job Fit and Job-based Psychological Ownership

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## ABSTRACT

Purpose of this study was to examine the impact of person-job fit on job-based psychological ownership. Furthermore, this study also observed the mediation effects of routes to psychological ownership i.e. control, investment of self, and intimate knowing between person-job fit and job-based psychological ownership. To achieve this purpose data was collected from 300 respondents belonging to private and public banking sector of Pakistan. PLS-SEM statistical analysis was conducted to test hypotheses. Statistical analysis proved our hypothesized relationships. It was found that person-job fit, and job-based psychological ownership were positively related and routes to psychological ownership mediates the relationship between person-job fit and job-based psychological ownership. Present study contributes in human resource management by discussing employee's behavior related issues i.e. person-job fit, emotions of psychological attachment toward job and how these feelings develop. It is need of the time to explore reasons how employees can perform well in their jobs and at the same time they are loyal and committed to their jobs.

## INTRODUCTION

Psychological ownership refers to a state of mind in which an individual start feeling that targeted object or thing belongs to him/her (Asatryan & Oh, 2008). When

the feelings of psychological ownership develop toward an object, the individual considers him/herself associated with that object (Mayhew, 2007). Psychological ownership develops when an individual has control on the targeted object, knows intimately about that object, and invest his efforts, time energy, and skills into that object (Kirk, 2017; Spears & Yazdanparast, 2014). Routes to psychological ownership control, investment of self and intimate knowing are the ultimate causes of the development of feelings of possession (Huang et al., 2016). Brown et al.'s, (2014) study was the first ever empirical study to observe how feelings of job-based psychological ownership developed along with its three routes. He observed that routes to psychological ownership i.e. control, investment of self and intimate knowing mediate the relationship between job complexity and job-based psychological ownership. Furthermore, studies have examined the relationship of work practice environment and psychological ownership for nursing profession (Lavoie-Tremblay et al., 2016).

Likewise, Bullock (2015) found the mediating effect of routs to psychological ownership between job-autonomy and job-based psychological ownership. To observe employee's positive behavior and attitudes toward their work person fit with the job has remained an important predictor (Guan et al., 2010). Promising studies have been focusing and stressing the need to work on different antecedents of job-based psychological ownership by investigating

different aspects of the work environment, job characteristics and including mediating mechanisms (Brown et al., 2014; Morgeson & Humphrey, 2006; Pierce et al., 2009). Person fit with the job exist when employee abilities, knowledge, and skills match with the job demands and at the same time employees financial, psychological, and physiological needs match with the job supplies e.g. reward, pay, and incentives (Ballout, 2007). Employees who find a perfect fit with the job becomes more satisfied and committed toward job and perform their job in a more efficient way, moreover, it was noted by Guan et al. (2010) person-job fit had been considered as an important predictor of job-related positive attitudes. Person-job fit is a motivating factor which encourages employees to be more committed toward job (Chen, 2017).

Organizations pay special attention while hiring employees and give preference to those candidates who are more suitable for the required job and their abilities, knowledge, and skills can fit with the requirement of hiring organization (Chung & Sackett, 2005). When employees will find their job best suited to their needs they will be satisfied and feel psychological attachment toward the job. This positive behavior of employees will not only be fruitful for an employee but also for the entire working place. According to Brown et al. (2014), several theoretical studies have focused on organization-based outcomes, research on conditions which enables the state of job-based psychological ownership is noticeably lacking. It is highly suggested

by previous studies to focus on antecedents of job-based psychological ownership (Dawkins et al., 2017; Marler et al., 2019). To address mentioned shortcoming, the primary purpose of current study was to extend the literature on job-based psychological ownership by observing the impact of person-job fit on job-based psychological ownership. To elaborate more precisely routes to psychological ownership was used as a mediator between the relationship of person-job fit and job-based psychological ownership.

## LITRATURE REVIEW

Person-job fit consist of two main components; demands-abilities and need supplies. First, demand-abilities refer to match of an individual's knowledge, abilities, and skills with the job demands. The second concept is need-supplies which refer to the congruence of an individual needs with the job supplies (Boon, 2011). When employees are competent enough to fulfill the job requirements a stronger fit with the job exists (Ehrhart, 2006). Poor person-job fit exists when employees' abilities and needs are not met by job supplies, in turn, they put fewer efforts and skills into the job and results in job dissatisfaction decreasing commitment and increased turnover intention (Ambrose et al., 2008; Boon et al., 2011). Poor person-job fit increases turnover intentions while organizational support and cooperative learning are positively related to person-job fit (Tseng, 2016).

The concept of the psychological ownership was first introduced by Pierce et al. (1991) and is being employed in organizational behavior settings (Aga, 2018). Psychological ownership refers to a state of mind in which an individual start feeling that targeted object or a part of it belongs to him/her without legal ownership claims (Olckers & Du Plessis, 2012). Previous research has identified two types of psychological ownership, job-based, and organization based. Organization-based psychological ownership is related to whole organization, while job-based psychological ownership focuses on a specific job or a role (Bernhard & O'Driscoll, 2011; Dawkins et al., 2017). Job-based Psychological ownership promotes positive attitudes in individuals (Jussila et al., 2015) toward job like the sense of responsibility and humanity, organizational commitment, job satisfaction, organization-based self-esteem, employee performance, organizational citizenship (Avey et al., 2009; Mayhew et al., 2007; Van Dyne & Pierce, 2004). While Pierce et al., (2009) in their empirical study witnessed that job characteristics task significance, task identity, skill variety, autonomy, and feedback became the reason for the emergence of job-based psychological ownership. Antecedents of psychological ownership include autonomy, job complexity, leadership, the structure of work environment, and employees' spiritual and emotional intelligence (Dawkins et al., 2017).

Having control over a specific target, investing into the targeted object, and

intimately knowing about that object are the reasons behind the emergence of psychological ownership feelings (Giordano et al., 2016). Investment of self, one of the routes to psychological ownership, refers to an individual investment of his/her personal time energy and other abilities into the job (Baxter, 2015). However, investing oneself into target does not necessarily results positively. By putting ideas, skills, physical, psychological, and intellectual energy into a job means investing oneself into the job and investing into the target of ownership develops feelings of psychological ownership (Wang et al., 2019). Intimate knowing, a reason for development of psychological ownership of the job means knowing the job or a specific target from every aspect (Baxter, 2015). Among the three major reasons of development of psychological state of possession, control has been proved a characteristic and fundamental factor of the cause of the existence of psychological possession (June & Mahmood, 2011). The control means the ability to exercise control over any specific object and exercising control results in the development of psychological ownership (Pan et al., 2014).

## METHOD

The current research employed cross section design of the study. Cross section design of the study is advantageous over other designs in the sense that data is collected at a single point of time without wastage of time and cost (Bryman, 2002). To increase the generalizability of study convenience based non-probability sampling technique was used. This technique is used when a researcher seeks to get responses with low cost and a high number of respondents with the maximum truth (Black, 1999). Unit of analysis was an individual. To get responses from participants self-administered questionnaire method had been used. Self-administered questionnaire method had been used because it was not time taking, least expensive, flexible and data was collected with respondent's ease without any pressure to respond quickly (Neuman, 2003). Targeted population consisted of managerial and non-managerial employees of the banking sector of Pakistan. Participants were informed that their information was voluntary and that their responses would be kept completely confidential and used for research purposes only. The sample consisted of 300 respondents out of which 290 were found usable. Out of 290 respondents, 68 percent of respondents were men and 32 % were women. Respondents indicated their occupational status related to following positions: 43% managerial and 57% were non-managerial.

## Measures

### *Person-job Fit:*

To measure person-job fit on the dimensions of demand-abilities and need-supplies 4 items used by Saks and Ashforth (1997) were used. For the predictor variable, respondents were asked to rate their agreement with each item on a five-point Likert scale using the endpoints *to a very large extent* to *a very little extent.* Based on the data, the coefficient alpha estimate was 0.79.

### *Job-Based Psychological Ownership:*

Six (6) items used by Van Dyne and Pierce

(2004; e.g I sense that this job is MINE) were used to measure Feelings of Psychological Ownership toward the job. Respondents were asked to rate their agreement with each item on a seven-point Likert scale using the endpoints of *strongly disagree* to *strongly agree*. Based on the data, the coefficient alpha estimate was 0.71.

### Controlling the Target of Ownership:

Six (6) items used by Tetrick and Larocco (1987) were used to measure experienced control. Sample items for this six-item instrument are "To what extent do you have influence over the things that affect you on the job?" and "In general, to what extent do you have control over your job?" Respondents were asked to rate their agreement with each item on a seven-point Likert scale using the endpoints of *strongly disagree* to *strongly agree* Based on the pilot data, the coefficient alpha estimate was 0.70.

### Investment of Self:

Investment of self was measured by 5-items developed and used by Brown et al. (2014) e.g. I have invested a major part of "myself" into this job). Respondents were asked to rate their agreement with each item on a seven-point Likert scale using the endpoints of *strongly disagree* to *strongly agree* Based on the data, the coefficient alpha estimate was 0.74.

### Intimate Knowing:

Intimate knowing was measured by 4-items developed and used by Brown et al. (2014) e.g. I am intimately familiar with what is going on with regard to my job). Respondents were asked to rate their agreement with each item on a seven-point Likert scale using the endpoints of *strongly disagree* to *strongly agree* Based on the data, the coefficient alpha estimate was 0.69.

## CONCEPTUAL FRAMEWORK

Figure 1 is the conceptual framework of current study which is designed to investigate the job based psychological ownership.

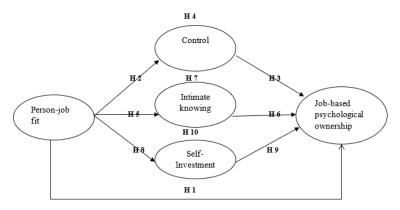

*Figure 1.* Conceptual framework

## HYPOTHESES

It has been proven that different job aspects like autonomy (Bullock, 2015) and job complexity (Brown, 2014) positively affect psychological ownership through routes to psychological ownership. Han et al. (2013) asserted the notion that employees with a job fit started feeling that they were more competent for the job they were performing and felt themselves psychologically tied toward the job. In his study, he found out person-job fit was directly and positively related to psychological ownership. Existences of job fit depend on a match of employee's abilities and needs with supplies and demands required by a job as organization satisfies employees demands which cause employees to start thinking they belong to that organization (Masterson & Stamper, 2003). Person-job fit enables a state of possessiveness in employees toward job which in turn develops feelings of ownership. Hence, it can be said that person-job fit results in stronger and positive feelings of job-based psychological ownership operating through routes to psychological ownership.

*H 1: Person-job fit is positively related to job-based psychological ownership.*

Concepts of person-job fit require employees to accomplish job related task efficiently (Kennedy, 2005). Organizations provide employees with many opportunities to exercise control (Pierce et al., 2001) and jobs providing autonomy gives chances to control the job and job becomes the target of ownership (Liu et al., 2012). People control many little objects in routine life to show attachment with the targeted object (Baxter et al., 2015). To make quite simple, more an individual is involved in every aspect of the job, more likely they can experience control over the job (Wang et al., 2019). Control is a building block of psychological ownership (Liu et al., 2012). The executive should provide power to employees to exercise control in order to increase psychological ownership (Peng & Pierce, 2015). Person-job fit provides employees opportunities to exercise control over the job and thus control becomes the reason for development of feelings of psychological ownership. It can be proposed that person-job fit is associated with control and control is the cause of the emergence of psychological ownership.

*H2:Person-job fit is positively related to control.*

*H3: Control is positively related to job-based psychological ownership.*

*H4: Control mediates the relationship between person-job fit and job-based psychological ownership.*

According to fit conceptualization given by Kristof (1996) employees are required and offered to complete the job-related task (Kennedy, 2005). Time and commitment are demands of the job which should be met for the sake of fit between job demands and employee abilities. When employees give time and remain committed to the job they would be associated with the job. The more employees are associated with the job, the more they will be having

information about the job. Employees believe that they have abilities to meet the job demands if job resources allow employees to use their skills, abilities and are authorized to get required information (Lu et al., 2014). When information is provided to employees regarding their work, they feel that they better know the job compared to others (Huang et al., 2016) and as a result psychological ownership and feelings of association develops. Thus, through association and knowing of job employees start to feel that job or a certain part of it is theirs. More information and greater the knowledge about job employees possess, stronger and deeper relationship with employees and job would lead to psychological ownership (Bullock, 2015). A causal and positive relationship between the extent of information and extent of the feeling of ownership was proposed by Pierce et al. (2001). Thus, going through concepts of person-job fit, it can be hypothesized that intimate knowing of the job is positively related to person-job fit and becomes the cause of development of psychological ownership.

*H5: Person-job fit is positively related to intimate knowing.*

*H6: Intimate knowing is positively related to psychological ownership.*

*H7: Intimate knowing mediates the relationship between person-job fit and job-based psychological ownership.*

Demand-abilities concept of person-job fit requires employees to put their time,

energy and commitment, into the job to create congruence with the job (Kristof et al., 2005). Association of individual abilities with the job characteristics results in stronger person-job fit (Tims et al., 2016). Doing different activities in job means an investment of the self at different levels. Pierce et al. (2001) proposed that employees could invest their selves into the target by creating them and creation included an investment of time, energy, values, and identity. Employees who put more efforts and invest their abilities into the job are more likely to experience stronger feelings of ownership toward job (Singh, 2019). Through our labor, we invest not only our time and physical effort but also our psychic energy into the product of that labor and the individual may begin to feel that the target of ownership flows from the self (Pierce et al., 2001).Hence it can be proposed that operating through the demand-abilities concept of a person-job fit investment of self is associated with the person-job fit and job-based psychological ownership.

*H8: Person-job fit is positively related to the investment of self.*

*H9: Investment of self is positively related to psychological ownership.*

*H10: Investment of self-mediates the relationship between person-job fit and job-based psychological ownership.*

**RESULTS**

PLS (Partial Least Square) was used to observe the effects of the dependent variable. PLS-SEM, a path modeling statistical

method to analyze the relationship between latent and observed variables (Henseler et al., 2009) was used to analyze data which helped to generate a trustworthy factor analysis. PLS-SEM has been used and preferred due to its flexible assumption about the normality of constructs (Henseler et al., 2009) and smaller size of the sample (Marcoulides & Saunders, 2006). Table 2 shows values of factor loading, composite reliability, average variance extracted, and Cronbach's alpha. Factor loading observes the goodness of item loading theoretically. With the intent to examine convergence in the constructs average variance extracted (AVE) was used whose value exceeded the threshold value of 0.50 (Hair et al., 2012). CR was used to determine the measurement model reliability. Resultant values of CR exceeded the advocated value of 0.80 (Hair et al., 2012). Cronbach's alpha was used to check the inter-item consistency and reliability of items (Sekaran & Bougie,

2016) and resultant values are meeting the specified criteria of 0.60.

The data were examined for their descriptive properties. Out of 290 participants 68 percent were male and 32 percent were female. Age of participants were analyzed using three categorize 20-30 years, 31 to 40 years and 41 years and above. Table 1 shows that 23.8 % of respondents belonged to the age category of 20-30, whereas, 48.6 % of respondents belonged to 31-40 and 27.6% belonged to 41 years of age and above respectively. Designation of respondents were categorized into two categories; Managerial and Non-managerial. Table 1 finding reveals that out of 290 respondents 43% comes under managerial designation category and 57% belongs to Non-managerial designation category.

Table 2 also shows results of variables Correlation coefficient and adequate discriminate validity. Bold values in the Table 2 represent acceptable values of the

Table 1

*Demographics characteristics*

| Particulars | Frequency | Percentages |
|---|---|---|
| Gender | | |
| Male | 197 | 67.9 |
| Female | 93 | 32.1 |
| Age | | |
| 20-30 | 69 | 23.8 |
| 31-40 | 141 | 48.6 |
| 41 and above | 80 | 27.6 |
| Designation | | |
| Managerial | 125 | 43.1 |
| Non-managerial | 165 | 56.9 |

Table 2

*Results of factor loading, AVE, composite reliability, Cronbachs alpha and discriminate validity*

| | Factor Loading | AVE | C R | Alpha | | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|---|---|---|---|---|
| C5ON-1 | 0.8215 | | | | PO | **0.71** | | | | |
| CON-3 | 0.7308 | 0.585 | 0.8083 | 0.6547 | CON | 0.490** | **0.76** | | | |
| CON-5 | 0.7398 | | | | IK | 0.492** | 0.649** | **0.74** | | |
| IK-1 | 0.7514 | | | | INV | 0.492** | 0.422** | 0.346** | **0.74** | |
| IK-2 | 0.5798 | 0.5527 | 0.8584 | 0.7973 | PJ | 0.286** | 0.396** | 0.415** | 0.395** | **0.79** |
| IK-3 | 0.7198 | | | | | | | | | |
| IK-4 | 0.7305 | | | | | | | | | |
| INV-1 | 0.714 | | | | | | | | | |
| INV-3 | 0.6888 | 0.5413 | 0.8249 | 0.7178 | | | | | | |
| INV-4 | 0.7808 | | | | | | | | | |
| INV-5 | 0.7559 | | | | | | | | | |
| PJ-1 | 0.8192 | | | | | | | | | |
| PJ-2 | 0.7526 | 0.6203 | 0.8672 | 0.7965 | | | | | | |
| PJ-3 | 0.8008 | | | | | | | | | |
| PJ-4 | 0.7761 | | | | | | | | | |
| PO-3 | 0.7299 | | | | | | | | | |
| PO-4 | 0.6814 | | | | | | | | | |
| PO-5 | 0.7162 | 0.5207 | 0.8127 | 0.6961 | | | | | | |
| PO-6 | 0.7569 | | | | | | | | | |

square root of AVE. The square root of AVE was taken to measure the discriminate validity of constructs. An appropriate discriminate validity of measurement model exists when the Square root of AVE becomes higher than the correlation coefficients of constructs (Hair et al., 2012; Henseler et al., 2009). Figure 2 is describing the PLS-SEM algorithm whereas Figure 3 is depicting the significance of relation with t values. Hypotheses were tested using application of SmartPLS 2.0. Table 2 and Figure 2 and 3 also shows results of hypothesized direct relationships.

The first hypothesis stated that person-job fit had a positive impact on job-based psychological ownership which was supported as can be seen in Table 3 (t-value=4.458, path coefficient =0.221). Hypothesis 2, assumed that person-job was positively related to control, was supported

(t-value=6.622, path coefficients=0.336). According to the resultant table, hypothesis 3 was supported by showing a positive relationship between control to psychological ownership as assumed (t-value=4.232, path coefficient =0.247). Hypothesis 5 shows a significant positive relationship between person-job fit and Intimate knowing (t-value=7.209, path coefficient=0.391). It was hypothesized that intimate knowing positively relates to Job-based psychological ownership and result proved that assumption (t-value=2.451, path coefficient=0.172). Hypotheses 8 and 9 posited that investment of self positively related to person-job fit and job-based psychological ownership and the findings supported both assumptions (t-value=7.907, 0.417), (t-value=3.43, path coefficient =0.206).

To assess the indirect effects of an independent variable on dependent variable
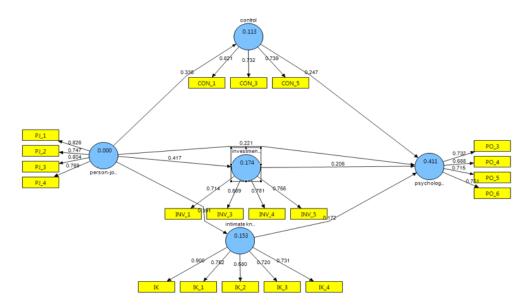


*Figure 2.* PLS-SEM algorithm
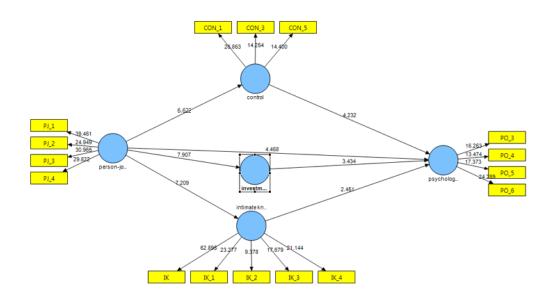
*Figure 3.* PLS-SEM bootstrapping

Table 3

*Hypotheses results*

| I.V | D.V | Path coefficients | SE | t-value | Decision |
|---|---|---|---|---|---|
| H 1 Person-job fit | Psychological Ownership | 0.221 | 0.053108 | 4.458 | Supported |
| H2 Person-job fit | Control | 0.336 | 0.047592 | 6.622 | Supported |
| H3 Control | Psychological Ownership | 0.247 | 0.058617 | 4.232 | Supported |
| H5 Person-job fit | Intimate Knowing | 0.391 | 0.051919 | 7.209 | Supported |
| H6 Intimate Knowing | Psychological Ownership | 0.172 | 0.075603 | 2.451 | Supported |
| H8 Person-job fit | Investment of self | 0.417 | 0.054383 | 7.907 | Supported |

Table 3 *(Continued)*

| I.V | D.V | Path coefficients | SE | t-value | Decision | |
|---|---|---|---|---|---|---|
| H9 Investment of Self | Psychological Ownership | 0.206 | 0.062464 | 3.434 | Supported | |
| **Mediation Results** | | | | | | |
| I.V | Mediator | D.V | Indirect Effect | S.E | T-values | Mediation Effects |
| H4 Person-job fit | Control | Psychological Ownership | 0.0924 | 0.0260 | 3.5441 | Supported |
| H7 Person-job fit | Intimate Knowing | Psychological Ownership | 0.0832 | 0.0360 | 2.3086 | Supported |
| H10 Person-job fit | Investment of self | Psychological Ownership | 0.0111 | 0.0338 | 3.3013 | Supported |

through mediating variable bootstrapping method with smartpls 2 was used. Bootstrapping has remained one of the most recent and preferred methods used to test mediation as it does not involve assumption (Hayes & Preacher, 2010; Preacher & Hayes, 2008) and generates empirical sampling distribution of indirect effects. Hypotheses 4, 7, and 10 assumed that routes to psychological ownership i.e. control, intimate knowing, and investment of self partially mediates the relationship between person-job fit and job-based psychological ownership. Results mentioned in Table 2 proved the mediation among hypothesized relationship.

## DISCUSSION

The main intention of the current study was to observe the impact of person-job fit on job-based psychological ownership in the presence of routes to psychological ownership. To achieve the said aim, an empirical study was conducted. PLS-SEM analysis revealed that when there existed a fit between an employee and his/her job, the employee would have stronger feelings of psychological attachment toward the job. To be consistent with recent findings (Han et al., 2013) person-job fit found positively correlating with psychological ownership, while a current piece of work focused on job-based psychological ownership and found a positive and significant relationship between the aforementioned variables.

Demand-abilities concept of person-job fit sought and offer employees knowledge, skills, abilities, time, commitment, effort, and experience of the job (Kennedy, 2005), demanding and offering these characteristics

will provide employees with the chances to exercise control over the job. Fulfillment of these characteristics would not only urge employees to seek control over the job, but they would have more knowledge about the job as they are investing their self into the job. Controlling the job, having intimate information about the job, and investing oneself into the job by the investment of one's ideas, skills and efforts would generate a state of mind in employees in which they start thinking that this job belongs to him/her. Thus, it was hypothesized that a strong person-job enhanced the chances to exercise control, to know intimately and to invest oneself in the job and ultimately feelings of psychological ownership would develop toward the job. It was assumed that routes/antecedents of psychological ownership, controlling the target of ownership, intimate knowing and investment of self-mediate the relationship between person-job fit and job-based psychological ownership.

Findings supported the assumption that control (Peng & Pierce, 2015), investment of self and intimate knowing was positively associated with the person-job fit and job-based psychological ownership. Previous studies also supported positive relationship of control, investment of self and intimate knowing with the psychological ownership (Brown et al., 2014; Bullock, 2015; Pierce et al., 2001, 2009) whereas, Huang et al. (2016) found that only control positively related to psychological ownership and intimate knowing, investment-of-self had no positive impact on psychological ownership. Thus, the current study asserts the notion

that a person-job fit provides opportunities to individuals to have control over the job, invest their time energy, and efforts into the job, have information about the job and resultantly feel psychologically attached toward the job.

**Implications**

In this rapidly changing era, there is really a need for employees fit with the job so the job can be performed more easily, satisfactorily and resultant psychological attachment will be fruitful for the entire organization. Being acquaint of fit between employee's demand-abilities and needs-supplies of the job not only helps employees but also organization can find required employees without loss of time and money. Research on employee's behavior makes it clear that positive behavior of employees toward job makes them highly loyal and committed regarding a job. When employees will find their job best suited to their needs they will be satisfied and feel psychological attachment toward the job. This positive behavior of employees will not only be fruitful for an employee but also for the entire working place. Organizations pay special attention while hiring employees and give preference to those candidates who are more suitable for required job and their abilities, knowledge and skills can fit with the requirement of hiring organization. This research could be beneficial for human resource to select employees whose abilities match with the requirement of a job as this will increase employee's loyalty and they will work harder. Human resource practices always find ways to improve their employee's

wellbeing. Organization with good HR practices knows that employees who have more control over the job, knows intimately about the job and invest their energy, time, effort, KSA (knowledge, skills and abilities) into the job are likely to feel more attached toward their job. This attachment toward job will result in better performance and commitment. Management of the organization should provide employees with the opportunities to exercise control, have more information about their assigned duties then others, investing themselves into their job and duties. These provision of control, investment of self and intimate knowing can be a basic right of employees and will eventually result in better environment. The present study contributes to organizational behavior by discussing employee's behavior related issues i.e. person-job fit, emotions of psychological attachment toward the job and how these feelings develop.

The literature on person job fit reveals that it plays an important role in recruitment and employee selection. This research could be beneficial for human resource to select employees whose abilities match with the requirement of a job as this will increase employee's loyalty and they will work harder.

## Limitations and Future Research

This study is limited in the sense that data was gathered from just the banking sector of Sargodha, Pakistan. While data collection from manufacturing, trading and service sectors can change results as every sector, organizations have different characteristics.

It can be suggested for future studies to include population from different sectors to generalize results. Convenient sampling technique was used to test responses while probability sampling techniques could be used for more accurate and bias fewer results. Another shortcoming of this study is that data was collected by cross section design which means data was collected at a point of time while adopting the longitudinal design of the study can provide different results as responses may vary at different point of times. There is a possibility of biases as employees' behavior and knowledge may differ although estimated results turned out reliable with the proposed hypothesis. The reason for the variation in respondent's responses may be due to the difference in the level of motivation and understanding of questions. The other factor which may affect respondents understanding of question may be the use of English language in questionnaires. The present study has only focused on routes to psychological ownership while roots/ motives of psychological ownership can be included to observe an association with person-job fit.

## CONCLUSION

The current study intended to observe the psychological situation of the human mind when an individual finds a strong fit with the job. The result showed that when an individual enjoys a strong fit with the job, he/she can exercise control over the job, invest efforts, skills, and abilities into the job, can have intimate knowledge about the

job. By exercising control, investing oneself into the job, intimately knowing about the job a psychological state of mind develops.

This study has contributed to human resource management and strategic management practices by adding in the literature on antecedents of job-based psychological ownership. Person-job fit has been proved another construct which becomes the reason for the development of psychological ownership. This study has enlightened that how person-job fit relates to routes to psychological ownership and resultantly enables the feelings of psychological ownership. Positive feelings of possession toward job encourage the positive behavior of employees. Feelings of being an owner of the job will make employees be more productive and loyal regarding the job. Employees should be given opportunities to exercise control, to invest their efforts and skills, to know about their job more than others. Provision of these opportunities will enhance the output of employees.

## ACKNOWLEDGEMENT

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# At-Risk Muslim Youth in the Three Southern Border Provinces of Thailand: The Roots of Un-Islamic Behavior

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## ABSTRACT

The purpose of this study was to determine the causes of un-Islamic behaviors among at-risk Muslim youth in the three Southern border provinces of Thailand. The key informants of the study consisted of 30 Muslim youth who demonstrated at-risk behaviors, 15 Muslim leaders, and 15 Muslim academicians. Data were collected through in-depth interviews, and a content analysis was performed using logical comparison with related concepts, theories, and research reports. The results of the study revealed that the at-risk, un-Islamic behaviors of the youth in the three Southern border provinces could be attributed to (1) the absence of breastfeeding as an infant; (2) a lack of a close Islamic upbringing (3) little interest in Islamic activities; (4) Muslim leaders' negligence in looking after youth and (5) apathetic and insufficient study of Islam.

*Keywords:* At-risk Muslim youth, causes of misbehavior, Islamic behavior, socialization

## INTRODUCTION

Thai society is continually developing and rapidly changing in part due to advances in technology, information technology and communication. Consequently, youth accept, imitate and apply aspects of foreign cultures to their everyday life without knowing that they are actually doing this. Youth often lack judgment and the ability to distinguish right from wrong and thus indulge in undesirable behaviors that violate social norms and religious principles and lead to social problems (Juajan, 2005; Suramethee, 2007). These problems have been present in Thai society for quite some time but have become more severe and complex as technology continues to develop. Although attempts have been made to address these problems, these attempts have been less than successful and Thai

society is facing a crisis that weakens it and might possibly lead to worse crises in the future (Suramethee, 2007; Wonglakha, 2012). Muslim society is also faced with social problems in this rapidly changing society. Most Muslim youth lead their lives in ways that are not in agreement with expectations of Muslim society and violate Islamic principles. For example, many Muslim youth are not interested in religious activities, do not study the religion, violate Islamic ethics, commit sins and ignore taboos. Some do not perform their religious duties, become drug addicts, gamble, develop vices, and do not adhere to Islamic dress codes (Anmunajid, 2010; Annadwee, 2004; Laeheem & Baka, 2010).

Some Muslim youth become very materialistic and pay no attention to religious principles. They are obsessed with playing online games, watching movies, listening to music, talking on the phone, talking through the Internet, and dressing in form-fitting clothes, many of which violate Islamic codes of behavior. These acts become a matter of habit and these habits often replace the youth's attention to and performance of religious duties (Laeheem, 2012; Laeheem et al., 2015). Some of the problems commonly seen are, for example, Muslim females who wear a head scarf but dress in a way that shows the body line, youth who have a boyfriend, are addicted to drugs, ascribe to a sexual orientation or identity that is different from their biological sex, do not pray, and cannot read the Quran. These are all problems that have grown and have become a circle of problems without

a way out (Anmunajid, 2010; Annadwee, 2004). This corresponds with a study that found that most Muslim youth in the three Southern border provinces do not lead their lives in the manner expected by the Muslim society, but rather in a manner that violates Islamic principles. Youth openly establish and maintain friendships with members of the opposite sex in ways similar to that of Westerners. They hold hands, kiss, and some even have premarital sex. They give more importance to studying secular academic subjects than to religion; spend time uselessly, are involved in an assortment of vices, have no job, dress in a style that imitates movie stars and popular singers, are estranged from their families, relatives, neighbors and community, neglect their religious duties, do not give importance to performing community service, and do not participate in community activities (Laeheem & Baka, 2010).

Adhering to the codes of Islamic behavior is the most important goal. It provides a strong foundation, a rule for the proper management of life among Muslims, and a measurement of the superb value of being perfect Muslims that helps individuals be happy and true winners in this world and the next. A very important influencing factor for ensuring youth adhere to the codes of Islamic behavior is providing a socialization process via the religious institution and the family. This socialization process not only gives youth a deep understanding of acceptable codes of behavior but it also encourages and supports their acceptance of social values and norms. This acceptance,

in turn, positively affects their present life as well as their future one (Grusec, 1992; Laeheem & Baka, 2010; Sears et al., 1957). It is a process that helps youth develop personality traits, habits, morals, ethics and manners that align with the religious principles that reflect life's truths and can lead youth to true happiness based on Islamic morals and ethics (Khagphong, 2004; Laeheem, 2014). The process also promotes and encourages youth to conduct themselves in accordance with Islamic law, teaching them the behavior that is expected by society and in that is in concordance with Islamic principles. In particular, Muslim youth who have been raised in a strict Islamic way, have studied Islam very well, performed religious duties consistently, and have regularly participated in Islamic activities will become youth who adhere to the tenets of Islamic behavior (Laeheem, 2014; Laeheem & Baka, 2010; Mahama, 2009).

One way to promote and support Muslim youth to live in concordance with Islamic behavior is to support youth in knowing about and understanding Islamic principles. Additionally, one needs to ensure that youth perform their religious duties, are brought up the Islamic way, participate in Islamic activities regularly and continuously attend Islamic training (Chaiprasit et al., 2005; Laeheem, 2014; Mahamad et al., 2008).

Thus, the researcher was interested in more closely examining the causes of the un-Islamic behaviors exhibited by at-risk Muslim youth living in the three Southern border provinces. The results of this study could be useful to individuals and organizations struggling with how to best prevent and address the problem of un-Islamic behaviors among Muslim youth.

## METHOD

### Research Design

This qualitative study used a phenomenological research design. It was part of mixed method study using a sequential explanatory design, through which qualitative data was collected to complement the quantitative data.

### Key Informants

There were 60 key informants divided into three groups: 30 youths who exhibited at-risk behaviors, 15 Muslim leaders, and 15 Muslim academicians. The representatives of key informants were recruited with cooperation from the Committee of the Mosque in the sub-district of the target areas.

### Data Collection

Data were collected from in-depth interviews with the three groups of informants during the period December 2015 to February 2016, which lasted for approximately 60 minutes.

### Research Instruments

A structured interview format was mainly used with specified sequences of questions, time, and place of the interviews. However, during the interview, some flexibility was allowed depending on appropriateness and

context given by the respondent (which made the interview partially unstructured). The researcher asked questions in addition to the prearranged questions in order to clarify and ensure understanding on the part of the researcher.

### Protection of Informants' Rights

Before the interviews, the researcher informed the target group about their rights to either participate or not participate in the study. They could refuse not to give information and stop the interview at any time without repercussions, Participants' personal information would not be revealed, data would be presented as overall data or information, and pseudonyms would be used.

### Data Analysis

The analysis placed emphases on causes of un-Islamic behaviors among Muslim youth who exhibited at-risk behaviors in the three Southern border provinces. The information and data gathered from the in-depth interviews were analyzed based on related concepts and theories. The data were coded according to the research objectives and questions. The data collected were classified according to the study issues, analyzed using content analysis and logical comparison with related concepts, theories, and research reports along with the context. Conclusions were then drawn from this analysis. The connections and linkages between the research questions and related concepts and theories were analyzed

according to the analytical methods to obtain specific concepts from concrete data to find new explanations.

## RESULTS AND DISCUSSION

The causes of un-Islamic behaviors among at-risk Muslim youth in the three Southern border provinces of Thailand are as follows.

### Bonds Established between Religiously Faithful Mothers and Infants Through Breastfeeding

Islam is a religion that gives importance to promoting breastfeeding for infants, as it asserts that drinking breast milk from a mother who is faithful and strict in her religious practice can serve as a conduit for transferring the mother's spirit and soul to the her child. It is an important life foundation to instill religious practice in the infant to make him or her a complete person physically, mentally, emotionally, and intelligently. Moreover, the child will be a good person with good character, ethics, manners and good conduct which come from love and attachment between mother and child through breastfeeding. Nevertheless, nowadays, it is found that most mothers do not breastfeed their infants, instead opting to use formula, as it is advertised to be as good as breast milk. This is a factor affecting behavior, especially un-Islamic behaviors as can be seen from information obtained from interviewing Muslim leaders and Muslim academicians who said that

> *"...Breastfeeding provides the best foundation for a child's life*

*because breast milk serves as a love bond which transfers good things--according to Islamic principles-- from a mother to her child. However, a large number of mothers feed their infants cow's milk which negatively affects the child's development, causing stubbornness and rejection of the Islamic way of life…"* (Abdullah; Archem; Rohanee).

*"…Most modern mothers believe in some wrong method of child raising and use formula milk and readymade baby food because they have to work (due to bad economic conditions) and, consequently, have little time to care for their children. This results in providing improper food to their children, which leads to malnutrition in children who are prone to disease. Islam emphasizes the need for children to have two years of breastfeeding to be certain they are healthy and absorbing their mother's Islamic behavior through the mother-child bond established through breast feeding."* (Nureeyah; Sofee; Solihah).

This corresponds with information obtained from interviews with at-risk youth who said,

*"…My relatives told me that my mother fed me with reconstituted milk and readymade food and they said that is the reason why I*

*avoid performing religious duties, especially praying five times a day and fasting during the Ramadan month. They also say that I often misbehave; I am self-centered, disobedient, and aggressive and that I dress strangely and not in accordance with religious principles…"* (Muhammad; Robiyah; Yameelah).

*"…My family members usually blame it on the fact that I was not breastfed when I was an infant. This, they say, has caused me to deviate from Muslim social norms, distance myself from religion, commit sins and break taboos. They say that I do these things habitually and openly without embarrassment. I imitate movie stars and popular singers in dress, use drugs and gamble…"* (Mahmud; Maroning; Usoh).

The above research results show that one important cause of Muslim youth displaying at-risk behaviors that are un-Islamic is a mother's lack of breastfeeding, even though Islam promotes and ascribes great importance to breastfeeding. This is because it is believed that without breastfeeding the bond between mother and child, and the instilling of faith and the Islamic way of life from mother to her child are lost. Moreover, a lack of breastfeeding impedes a child's physical and emotional development as well as his/her development of intelligence, character, manners, ethics, and good behavior.

According to Aschareef (2009), infants who are breastfed in the first two years of their life will be physically and mentally healthy; they will be well developed in their habits, manners, and ethics. Additionally, breastfeeding provides a valuable opportunity for the mother to train her child to have good manners and behaviors while at the same time enhancing the love and attachment between mother and child. Muslim mothers have moderate knowledge and understanding about the superb benefits of breastfeeding; therefore, there is a need to promote breastfeeding in the first two years of life (Salaeh & Doloh, 2014).

Training and teaching must begin when the infant is in the womb and the infant should be breastfed in the first 30 minutes of birth because the moment that the infant drinks breast milk, the infant and the mother can feel the love and bond they have for each other (Hajimayang, 2012). The way the mother treats her child during breastfeeding is most important because the mother will be the role model for her child in the future (Tounchareon, 2007). Hence, it can be said that when a mother neglects to breastfeed to her infant, it can have negative effects on the future behavior of Islamic youth.

## A Lack of Close Islamic Upbringing

Islamic upbringing is defined as teaching, advising, caring, admonishing, and modeling to instill principles concerning faith, practice and ethics in youth as well as promoting the need for fulfilling one's religious duties and strictly avoiding behaviors considered to be taboo. However, at present, parents have no time to train and teach their children as closely as parents in the past did because economic conditions make it necessary for both parents to go out to work to earn income to support their families. Parents have very little time for their children and most of them hire someone else to take care of their child, and this affects the overall development of the children. Some evidence from interviewing Muslim leaders and Muslim academicians is as follows:

*"…Child development begins at home. Whether a child will grow up to be a good or a bad person depends partially on the methods of upbringing the family uses because the family is a model that forms feelings, thinking, the mind, behavior and awareness of being a complete human being. Moreover, the upbringing methods used by the family instills values, love and experience in the child. However, nowadays it is found that parents do not bring up their children by themselves but hire others to do it or send their children to a nursery. Therefore, socialization of the mind and behavior of the children depend on the persons or places that care for them. As a result, it is obvious that more children demonstrate at-risk behaviors…"* (Nureeda; Paosan; Zakariya).

*"…The family institution becomes weaker because parents spend most of their time working and*

*trying to earn more income for the increasingly high cost of living, so they have no time to more closely look after their children. Particularly, they have no time to give knowledge and understanding to their children about religious principles for living and for performing religious duties. Moreover, they have no time to practice the religion for their children to see and use as a model. Consequently, their children exhibit un-Islamic behaviors because they emulate what they see in the media such as not practicing the religion, dressing un-Islamically, and being involved in many vices…"* (Adilah; Ahmad; Nureeyah).

These statements correspond with the following statements that youths made during the interviews.

*"…My parents don't give me advice, train, teach, or tell me what to do. They don't have time to look after me closely because they work from six in the morning until nine at night every day. When I was very young, they had their relatives look after me and when I grew up I began to spend my time with friends. This makes me happier so sometimes I don't go back home. I never pray and never fast. I'm addicted to drugs and gambling…"* (Padiyah; Sofee; Sainab).

*"…My friends in the group usually pay no attention to performing religious duties; they spend their life freely, dress strangely, are addicted to drugs, gamble. They go out at night, too, because their parents are not strict and interested in their children's daily life. Some of my friends (and I) studied a little about the religion but our parents never train or teach us. Instead they send us to the ethical training center at the mosque and we usually escape from it and our parents don't say a word about it…"* (Abdullah; Solihah; Sulaikho).

The results of the study above show that one of the causes of at-risk and un-Islamic behaviors among Muslim youth is that they do not have an Islamic upbringing, an important factor that directly and indirectly influences whether a child behaves according to Islamic behavioral norms. An Islamic upbringing involves socializing the mind, instilling values, forming awareness, learning social norms and social behaviors in accordance with Islamic principles. Studies have found that an Islamic upbringing is a method used to promote Islamic behavior among Muslim youth. It has been used ever since the time of the Prophet Muhammad to socialize the mind, instill values and correct practice, and learn social norms (Al-Malikiy, 2005; Laeheem, 2013, 2014). One of the factors that insure youth behave in the Islamic way, is being raised in a Muslim family that provides a strict Islamic upbringing that teaches and abides by

Islamic religious principles (Khagphong, 2004; Laeheem, 2012). Parents who do not bring up their children the Islamic way may let youth think freely and allow them to behave in their own way. Most youth who have exhibit at-risk behaviors behave in ways that are un-Islamic; they do not want anyone to look after them or change their behaviors (Laeheem & Baka, 2010; Laeheem, 2013). Therefore, it can be said that a lack of Islamic upbringing can result in youth with un-Islamic behaviors, and that providing an Islamic upbringing promotes and supports youth in the development of desirable behaviors and in accordance with social norms.

## A Lack of Apathetic and Sufficient Study of Islam

Studying Islam is crucial for every Muslim to truly know and understand Islamic principles and to practice the religion correctly. However, nowadays a large number of youths do not give importance to studying Islam; they give more importance to general academic subjects and vocational ones for their progress and good future as evidenced in what Muslim leaders and Muslim academicians said in the interviews.

> *"…Most Muslim youth who demonstrate at-risk behaviors focus on studying general academic subjects so much that they neglect studying Islam, which something that is important to the development of the mind, intelligence, morals, soul, and personalities of Muslim youth. As a result, they lack strong morals, abandon daily performance of religious duties, have behaviors that are against religious principles and, in some youth, there is no sign that they are Muslim because they don't study or understand Islamic teachings…"* (Ismael; Kareemah; Nureen).

> *"…Youth who demonstrate at-risk behaviors and do not study Islam don't realize and see importance of performing religious duties and living the Islamic way of life. Most of them display un-Islamic behaviors such as not praying, not fasting, and dressing un-Islamically, having an affair, being involved in drug use and gambling, etc. This is because they have not been inculcated with Islamic principles from the beginning and so they have no faith…"* (Mareeni; Rukayah; Sulaiman).

This is in agreement with what youth who exhibit at-risk behaviors said in the interviews.

> *"…My parents didn't send me to study religion at the ethical training center of the mosque (Tadika) and they didn't send me to a private Islamic school. So I don't have foundation of religious practice or know about how to be a good member of Muslim society…"* (Ameen; Habibah; Mulimah).

*"…My friends in the group don't pay attention to studying Islam at all. They don't read religious books and don't attend sermons, so they don't understand Islamic teachings about what to do and what not to do. As a result, their daily life is un-Islamic…"* (Hamidah; Ruslee; Zakariya).

*"…My friends in the group and I usually escape from religious lessons and reading the Quran because we think they're not important, nonsense and a waste of our play time. We don't know how to perform religious duties and our behaviors violate social norms…"* (Abdulrohim; Lukman; Mustofa).

The study results above indicate that one of the causes of Muslim youth developing at-risk and un-Islamic behaviors is the fact that they do not study Islam. Studying Islam can have direct and indirect effects on Islamic behaviors because studying Islam is a process of transferring knowledge, experiences, skills, habits, and socialization of the mind to have morals and ethics to correctly perform religious duties correctly to Islamic law (Laeheem & Madreh, 2014; Laeheem, et al., 2015; Mahama, 2009). Youth who have not learned and do not understand Islamic principles cannot apply the principles needed to perform religious duties or behave in Islamic ways (Laeheem, 2015; Mahama, 2009; Narongraksakhet,1997). Likewise, youth

who have not had an opportunity to study Islam regularly and continuously are more likely to exhibit un-Islamic behaviors and lack the skills to perform religious duties. Some may neglect doing these duties at all. This can eventually destroy the system that forms and instills Islamic behaviors in Muslim youth (Khagphong, 2004; Laeheem, 2012, 2013; Mahama, 2009). Thus, it can be said that not studying Islam, which is a duty that all Muslims must do to understand and practice in their everyday life, can deter youth from living the Islamic way of life.

## Youth are Not Interested in Islamic Activities; Instead, they Turn to Modern Activities that they Deem as more Exciting and Fun

Islamic activities directly and indirectly influence the promotion of Islamic behaviors among youth. Participating in Islamic activities is a process of exchanging experience in which youth are developed with skills and in seeking knowledge which gives them life skills that are in accordance with Islamic principles. Additionally, participating in Islamic activities results in the formation of good attitudes, provides correct religious teachings and encourages youth to behave according to and corresponding with social norms. However, many youths are not very interested in Islamic activities but in activities presented by different types of media with modern, exciting and fun content. Engaging in these secular activities often result in youth turning away from the correct way of life. They cannot distinguish right from

wrong and they indulge in technological advancements. These are reflected by the following statements made by Muslim leaders and Muslim academicians.

*"...At-risk youth are not interested in participating in activities— cleaning religious places, studying the Quran, learning to perform religious activities, participating in group study for development, attending an ethical camp, and the Tadika—that serve society and are designated by Islam. Instead, most youth are interested in playing computer games, on-line football gambling, dancing and singing songs with un-Islamic lyrics, etc. As a result, many youth imitate behaviors seen in the media such as being involved in drug addiction, and they eventually abandon being Muslims by not practicing the religion..."* (Katini; Natsarun; Roseleena).

*"...Youth in the at-risk group don't participate in Islamic activities in the community because they think that it is not necessary and they don't see importance of it. They do not think it is their duty to do it; and they believe they don't get any benefit from doing it. As a result, they have not been trained, have no knowledge, or understanding of the religion and and cannot practice it correctly. Moreover, their hearts*

*are blind and make them youth who behave un-Islamically..."* (Abbas; Haleemoh; Metta).

These are in agreement with what at-risk youths said.

*"...Friends in my group never participate in Islamic activities that promote and support youth to have morals and ethics, instill in them the value of working for the public, and help them develop Islamic behaviors. So, they have no spirit of devotion or dedication to the public good. Most of them are interested in singing, dancing, enjoying online activities, and going out with their girlfriends or boyfriends, etc...."* (Dawood; Pranee; Rafal).

*"...Even though we know that experiences from participating in Islamic activities are necessary and useful for our Muslim life, my friends and I are not interested in participating in them at all whether it is an activity in studying Islam or an activity that gives us knowledge and understanding of Islamic principles or an ethical camp. Most of my friends in the group enjoy going out at night, spending time with a boyfriend or girlfriend, going to a Karaoke, Turkish massage and gambling..."* (Kangsada; Pantipa; Somsak).

The above research results show that Muslim youth engage in risky and un-Islamic behaviors because they are not interested in Islamic activities which affects their behaviors directly and indirectly. This is because participating Islamic activities is an important component in the socialization of the mind. It provides opportunities for knowledge exchange and practice of religious activities, experience with doing good deeds, developing morals and ethics, and behaving in accordance to Islamic principles. This corresponds with the concept that participation in Islamic activities helps youth to develop themselves, to seek knowledge and understanding, to have good attitudes and correct ideology according to social norms. All of which results in the nurturing of Islamic behavior among youth (Khagphong, 2004; Laeheem, 2013; Mahama, 2009; Narongraksakhet, 1997). Most youth who do not participate in Islamic activities are those who have behavioral problems because their mind has not been socialized and their intelligence, body and mind have not been nurtured to become youth who have good behavior, morals, ethics, and who are well-disciplined, and accepted in society (Laeheem, 2012, 2013).

Participating in Islamic activities is considered a factor that directly and indirectly influences Islamic behaviors among youth. Youth who rarely or participate in Islamic activities will become youth who have undesirable and youth who behave in ways that violate social norms because their minds have not been properly socialized

and they have nothing for which their minds can adhere. They do not do good deeds; they have no morals or ethics. They behave badly and are not embarrassed committing sins or doing wrong. They easily violate principles, morals, ethics and traditions, and they are not committed to performing religious duties (Laeheem, 2012; Laeheem & Madreh, 2014; Thepsitha, 1998). Consequently, it can be said that not participating in Islamic activities is another factor that causes un-Islamic behaviors among Muslim youth because they have no models or patterns to follow to obtain the necessary knowledge and understanding. Moreover, they have not been instilled with awareness, and they have no system of life for their daily practice.

## Muslim Leaders Neglect and Ignore Looking after Muslim Youth who Exhibit Risky Behaviors

Muslim leaders are individuals who are praised, respected, and have a very important role in helping youth with developing their feelings, thinking, and behavior. They teach youth the Muslim way of life by training, suggesting, admonishing, and encouraging them to adhere to Islamic principles. Other duties of Muslim leaders include: surveying Muslims' living conditions; helping to solve social problems; socializing Muslims to adhere to the religion; teaching and demonstrating good deeds, morals, ethics and appropriate behaviors; raising awareness about right and wrong, and encouraging Muslims to follow the Islamic way of life. Nevertheless, nowadays, it is found that

most Muslim leaders do not realize the responsibilities they have for assisting at-risk youth and helping make these youth behave according to the Islamic way. The leaders usually ignore the problems that youth in the at-risk group have; they do not address the behavioral problems, especially un-Islamic behaviors among the youth. The problems are left unsolved and become common. This view can be seen in the following statements gathered from interviews with Muslim leaders and Muslim academicians.

*"...Most Muslims ignore behavioral problems or un-Islamic behaviors among youth who have risky behavior, and are not earnestly interested in solving the problems. Thus, the youth nowadays deviate from the correct way of life, cannot distinguish right from wrong, and indulge in modernity and become slaves of Western values and cultures that flow into Muslim society in such a way that is almost impossible to intercept..."* (Khodeeyah; Nurhakeema; Sapita).

*"...Muslim leaders give more importance to the living conditions of their own families than the way of life of youth who have risky behaviors. Consequently, they have no time to teach, look after, admonish, or control youth nor do they help to solve the problems as they did in the past because of the economic and social changes* *that have affected Muslims and Muslim leaders' living conditions and way of life. Muslims leaders are too busy with earning their living to carry out their duties appropriately in accordance with their role. Therefore, this is an important cause of un-Islamic behaviors among youth who have risky behaviors..."* (Mayutee; Nuttaya; Yumaila).

The statements made by Muslim leaders correspond with those made by youth who have risky behaviors.

*"...Muslim leaders are not interested in problems of youth with risky behaviors. They're not sincere and not serious in solving the problems. There's no cooperation in instilling in youth awareness of the Islamic way of life, and there is no regular and continuous ethical training for youth. Leaders ignore the problematic behaviors found among this at-risk group of youth such as adultery, drug addiction, gambling, night life, alcohol use, and not practicing the religion, etc...."* (Amin; Solihah; Sukree).

*"...Muslim leaders don't give importance to and don't perform their duties, especially in looking after youth to behave in the Islamic way which is their duty in this world and the next world. They lack awareness of their duty to take care*

*of Muslim youth and to help them learn how to behave according to the teachings of Islam. As a result, these youth have no opportunity to learn and understand the Islamic principles of faith, morals and ethics, so as to be able to adhere to and correctly practice these principles in their daily life. They don't employ preventive measures to keep youth away from environmental and social problems. Because of that, Muslim youth in this at-risk group are aggressive, rough, mentally blind, and have an un-Islamic way of life…"* (Areenun; Amree; Khodafee).

The research results above show that Muslim leaders neglect and ignore youth, particularly by not looking after youth in the at-risk group and this has become an important cause of un-Islamic behaviors among these youth. The youth have not been trained, taught, socialized, and instilled with intelligence that would make them complete Muslims as specified by Islamic principles. Moreover, they have never been given the knowledge and understanding of the faith, practice, morals and ethics, and because of this, live lives that do not follow the teachings of Islam, this is evidenced in the study results which reveal that Muslim leaders do not attach importance to the socialization of at-risk youth leaving them without the necessary understanding of religious principles, discipline, morals and ethics to behave according to social norms and in accordance with the teachings

of Islam (Laeheem, 2012; Laeheem & Madreh, 2014; Mahama, 2009). Having not been socialized the Islamic way from very young by Muslim leaders is a factor making Muslim youth live their lives un-Islamically due to the fact that they have no system of life to adhere to which otherwise would have made them live happily in society (Mahama, 2009; Narongraksakhet, 1997). The fact that Muslim leaders do not perform their duties fully has resulted in youth in the risk group having nothing to prevent them from problems making them go astray with the environments and social changes with blinded mind, and so they refuse to practice the religion, and finally lead their lives in conflict with Islamic principles (Laeheem, 2012, 2013; Laeheem & Baka, 2010; Laeheem, et al., 2015). Thus, it can be seen that Muslim leaders cannot look after Muslim youth to make them behave in the Islamic way. As a result, youth pay no attention to the socialization process that instills awareness of good deeds, ability to distinguish right from wrong and to feel embarrassed to commit sins.

## CONCLUSION AND RECOMMENDATIONS

The study results presented above indicate that most of Muslim youth in the at-risk group lead an un-Islamic way of life due to (1) the absence of breastfeeding as an infant; (2) a lack of a close Islamic upbringing (3) little interest in Islamic activities; (4) Muslim leaders' negligence in looking after youth and (5) apathetic and insufficient study of Islam.

All five reasons are the result of social changes caused by rapidly changing technological advancements. They directly and indirectly affect the way of life of Muslim youth who ignore religious activities, abandon religious practice, are involved in many vices and drug use, and have deviated from the correct way of life to indulge in the alluring technological advancements in the age of globalization. Therefore, all concerning individuals and organizations at all levels whether they are in the government or private sectors, parents and guardians, and Muslim leaders must realize importance of the problems and jointly solve the problems finding ways to help this group of youth. In particular, youth in the at-risk group must be taught how to have the correct way of life that is Islamic. Additionally, prevention measures must be implemented for youth who currently adhere to the Islamic way of life but who may be tempted to stray from that life.

The results of this study can help individuals, Islamic religious organizations and government organizations to look after youth in the three Southern border provinces by informing the development of good policy and concrete strategies for solving the problem of Muslim youth who have un-Islamic behaviors. These results point to a need for programs designed to instill awareness of the Islamic way of life in Muslim youth, the creation of regular and ongoing Islamic ethical camps, the establishment of activities in which youth perform religious duties. The results also suggest the need for developing and strengthening the family institution. Additionally, individuals and organizations involved in looking after youth in the three Southern border provinces should promote and support non at-risk to further develop and maintain their Islamic behaviors and religious practices. For example, promoting youth to perform religious duties strictly, providing them with knowledge and understanding of Islamic teachings, promoting Islamic upbringing among Muslim families, promoting youth to participate in Islamic activities and to attend Islamic training, etc.

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# Media Coverage of a Shelter for Abandoned Children in Indonesia: A Feminist Critical Discourse Analysis of the Representation of Female Migrant Workers

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## ABSTRACT

Amidst the research and public discourse on the problems of female migrant workers (especially domestic workers), the phenomenon of unwanted children born as a result of rape or unplanned pregnancies has received little attention. In Indonesia, many such babies have been found abandoned at the Soekarno Hatta International Airport. In response to this need in January 2009, two charitable organizations Yayasan Putri Cikeas and Gerakan Nasional Kepedulian Sosial (GNKS) and a government agency The National Agency for the Placement and Protection of Indonesian Migrant Workers (Badan Nasional Penempatan dan Perlindungan Tenaga Kerja Indonesia, or BNP2TKI) cooperatively established a temporary shelter named Rumah Peduli Anak TKI (RPA TKI) for these newborns. Indonesian television stations have devoted considerable news coverage to this shelter, and some videos on its activities can be found on YouTube, resulting in donations and offers to adopt the abandoned babies. However, its representation of the mothers is problematic. This study aims to understand how RPA TKI is represented in the media to suggest that the representation fails to provide a comprehensive understanding of unwanted children and their migrant mothers. Applying feminist critical discourse analysis, I found that some aspects of the coverage reinforce undesirable stereotypes and even re-victimize the female migrant workers who became the unwilling mothers of these children. Findings indicate that Indonesian media often lacks gender perspective when covering female migration and its uninvited

outcomes. This research will serve as a base for future studies on the representation of female migrant workers in Indonesian media.

*Keywords:* Feminist critical discourse analysis (CDA), female migrant workers, media coverage, RPA TKI, unwanted children

## INTRODUCTION

United Nations (2008):

> Although both men and women migrate, it is not a gender-neutral phenomenon. The position of female migrants is different from that of male migrants in terms of the legal migration channels, sectors in which they migrate, the forms of abuse they suffer, and the consequences thereof. (p. 17).

This quotation aptly describes the distinctive and often harrowing experience of female migrant workers around the world, including many from Indonesia who work in other Asian countries or in the Middle East.

The National Agency for the Placement and Protection of Indonesian Migrant Workers (Badan National Penempatan dan Perlindungan TKI, or BNP2TKI) reported that the total number of female migrant workers from Indonesia as of 30 November 2015 was 152,099-far greater than the 100,985 male migrant workers. Domestic sector is the sector where 90% of these female migrant workers are employed (International Labor Organization, 2013). Working in isolation in a domestic setting with very little if any security protection,

migrant domestic workers are highly vulnerable to sexual abuse, which frequently results in unwanted pregnancies. In some cases, the sexual relationship may be consensual, but often, it is the result of rape or coercion. Once a pregnancy occurs, these women are usually dumped on the streets by their employers, who refuse to give them their passports after discovering that the women are pregnant. The women are then arrested by police and placed in jail. Sometimes they are deported before the child is born (Schliebs, 2009).

Even when the sexual relationship is consensual perhaps with a fellow migrant rather than an employer, an unplanned pregnancies often result from migrants having little sexual knowledge or access to contraceptives. Tang et al. (2011), in their study of unmarried female migrant workers in China, found low levels of sexual knowledge among their 5,534 respondents. Tang et al. (2011) explained:

> Unmarried migrant youths are even more vulnerable to having premarital sexual intercourse. Most of them lack knowledge and skills to avoid risky behaviors, such as unprotected sex, and are unable to access or are restricted from receiving affordable and appropriate reproductive health information and services. Premarital sexual activity is more likely to put the unmarried youth at risk of unwanted pregnancy [and] unsafe abortion. (p. 2).

Ullah (2010) discovered that premarital sex was very common among 336 Filipino, Indonesian, and Thai female migrants

working in Hong Kong who became his respondents. More than a third of them became pregnant, and more than a half of them had 'unwanted' pregnancy. Frequently, the female migrant is abandoned by her sexual partner once he discovers that she is pregnant. Just like rape victims, these women have nowhere to turn, since policies in the countries where they work also tend to victimize them. In labor migration policies and practices, women's sexuality is disciplined and controlled (Lan as cited in Ham, 2017). Female migrant workers are not allowed to get pregnant, and they are deported if found to be pregnant (KavLaOdev as cited in Ham, 2017). Moreover, abortion is illegal in most Asian countries where Indonesian migrants work, as well as in their home country.

These women are left with two options: seeking an unsafe abortion (since medical abortion is unavailable) or carrying the baby to term without any support. In many instances, confused and traumatized by their experience of abuse, abandonment, and pregnancy, they desire to discard their babies, even if they return to Indonesia. As a result, the phenomenon of abandoned babies at Indonesia's Soekarno Hatta International Airport has become common (Sumandoyo & Aprillatu, 2013). The fear of social disapprobation and public humiliation for having a child out of wedlock is the primary reason these migrant workers choose to leave their babies in public places such as the airport.

In response to this tragic situation, two charitable institutions namely Yayasan Putri Cikeas and Gerakan Nasional Kepedulian Sosial (GNKS), in cooperation with BNP2TKI, established the Shelter for Indonesian Migrant Worker Children (Rumah Peduli Anak Tenaga Kerja Indonesia or RPA TKI) in January 2009. RPA TKI functions as a temporary shelter similar to an orphanage. Migrant workers can place their babies at RPA TKI for a certain period of time (between 6 and 12 months) or give them up for adoption.

Leaving their babies at RPA TKI is a way for these troubled women either to forget the sexual abuse they experienced or to hide these babies from their husbands and/or families in their hometown. Unfortunately, due to its limited funds, RPA TKI can operate only one shelter. This was initially located in a small rental house near the Soekarno Hatta Airport in Tangerang but has since moved to a larger building owned by the institution in Cikeas, Bogor, allowing it to care for more children and employ more babysitters and administrative staff.

RPA TKI has received considerable media coverage since its establishment, resulting in donations and offers to adopt the unwanted children. The media coverage has represented the shelter positively. However, it has not explored in-depth the complexities of the problem of unwanted children. Therefore, this study seeks to rigorously analyze the problematic representation of female migrant workers in the coverage.

## MATERIALS AND METHODS

Fairclough and Wodak (as cited in Wodak & Meyer, 2001) stated that in CDA, language

is seen as social practice. Moreover, the context in which the language is used is important, and CDA pays special attention to the relation between language and power (Wodak & Meyer, 2001) and has been widely used to analyze the representation of certain actors by the media. Fairclough (2003) claimed that:

> Just as there are choices in the representation of processes, so also there are choices in the representation of social actors. Social actors are usually Participants in clauses, though they may not be (they may be within Circumstances instead), and not all Participants are social actors - they may be physical objects for instance (compare `the car hit Mary', `the car hit a rock' - both `Mary' and `a rock' are objects of the verb, i.e. Participants, but only `Mary' is a social actor). (p. 145).

In analyzing social actors using Fairclough's CDA, there are variables to be considered such as inclusion/ exclusion, vocabulary, and grammatical metaphors. In a CDA research, according to Lazar (2007), language should be analyzed critically with other semiotic modalities such as visual images, layouts, gestures, and sounds. Feminist CDA can be considered a subcategory of CDA. Its basic principles are the same, but it features the view of gender from a political perspective. Gender, power, and ideology in discourse which are interrelated are investigated. This method, similar to CDA, can be applied in the study of texts and talk. Gender ideology is so hegemonic that it rarely

appears as domination. Instead it is often considered consensual and acceptable in the society. Through discourse, there is a constant recreation and circulation of ideological assumptions as commonsensical and natural (Lazar, 2007). The focus of feminist CDA is on the reproduction, negotiation, and contestation of gender ideology and gendered power relations in social practices' representations, people's social relationships, and the texts and talk which show people's social and personal identities (Lazar, 2007). CDA has been applied by researchers to investigate gender aspects of different issues covered in media. Some researchers do not label their approach feminist CDA, but they include gender perspective when applying CDA. Study by Heywood (2013) on Canadian newspaper articles discussing ethnic identities of young female victims of sexual exploitation and perpetrators found that word choices in the articles revealed the ethnic identity of the victims but made the identity of the perpetrators of exploiters of abuse invisible. She suggested that this supports white privilege concept. Few others directly identify their approach as feminist CDA. Barer (2013) investigated sexual assaults covered in media, police reports, and grassroots poster campaigns to find how social actors accountable for sexual assault prevention were represented. No research applying feminist CDA has been conducted on female migrant workers.

In the discussion of female migrant workers and media, Hennebry et al. (2017) suggested that:

Depictions of women migrant workers are shaped by discourses pertaining to gender, race, nationality and immigration status... [They] are represented by an array of terms and categorizations: care worker; mother; sister; supporter; criminal; sex worker; victim; hero, etc. [In the case of human trafficking, for example, female migrant workers'] representation often relies on the State, NGOs and other actors defining and identifying 'victims', ignoring the[ir] voices and experiences. (p. 4).

In analyzing the representation of Indonesian female migrant workers in media, CDA, although not specifically feminist CDA, has been applied by some researchers. Widyawati (2008) found that although Malaysia and Indonesia share racial and cultural traits, Indonesian migrant workers were represented more negatively than migrant workers from other Asian countries in two of the three Malaysian newspapers studied. Widyawati (2008) also analyzed the news production's ideological context in these three newspapers. Similarly, Razzaq (2012) focused on the representation of migrant workers in one Malaysian newspaper along with its argumentation strategies employed to justify and legitimize that representation. The present study builds on those two works though its focus is on the representation of female migrant workers in Indonesian media.

It appears from the aforementioned investigations that numerous investigations have been conducted on representation of women, including female migrant workers, in media. However, no attempt has been made to investigate the plight of Indonesian female migrant workers with unwanted children represented on TV coverage. Applying feminist CDA, it aims to understand how RPA TKI is represented in the media to suggest that the representation fails to provide a comprehensive understanding of unwanted children and their migrant mothers.

Among the various instances of Indonesian television coverage of RPA TKI were three videos once aired by national TV stations and uploaded to YouTube. Keywords such as RPA TKI and Rumah Peduli Anak TKI [TKI Child Care Home] were used to browse the videos on YouTube. Table 1 below outlines the research data.

Table 1

*Indonesian television coverage of RPA TKI*

| No. | Title | Type of broadcast and TV Station | URL |
| --- | --- | --- | --- |
| 1 | *Bayi-Bayi TKI di Rumah Peduli Anak TKI (RPA TKI)* [TKI babies at Child Care Home] | TVRI (Indonesia's only state-owned station) | https://www.youtube.com/watch?v=16ePO8Eeq0Q |

Table 1 *(Continued)*

| No. | Title | Type of broadcast and TV Station | URL |
|---|---|---|---|
| 2 | *NET12 - Rumah peduli anak TKI berdiri untuk menampung anak anak TKI yang terlantar* [NET12- TKI child care home stands to accommodate neglected children of migrant workers] | A feature of a news program (NET TV, a new private station) | https://www.youtube.com/watch?v=2UCKedYbh30 |
| 3 | *Ummat Trans TV 24 Juni 2016: RPA TKI* [Ummat Trans TV, June 24, 2016: RPA TKI] | An Islamic program (Trans TV, a private station) | The video was uploaded by "Komunitas Video Indonesia" YouTube account, but it can no longer be accessed on YouTube. |

Three videos combine depictions of the children at RPA TKI with narration and interviews; they range in length from 2:57 to 7:37. In this study, content of the three videos were transcribed to be used as primary data source, which were supplemented by a personal interview with the head of RPA TKI.

In CDA, a translated discourse is considered different from the original one. The discourse analyzed in this paper was originally spoken in Bahasa Indonesia. However, English translations are provided to help non-native speakers understand the discourse. According to Fairclough, analysis of textual samples in discourse analysis papers should include the samples in their original language although they might be difficult for readers (Harrington et al., 2008). Quotations from the supplementary interview, which serves as the secondary data source, will be presented only in English since this interview is not part of the primary discourse analyzed in this research.

## RESULTS AND DISCUSSIONS

### Re-victimization of Female Migrant Workers through the Representation of Unwanted Children

Since RPA TKI is a shelter for the unwanted children of migrant workers, its foremost concern is to meet these children's needs. Similarly, the media coverage of the shelter has focused primarily on the children residing there. However, the children's mother generally female migrant domestic workers are also mentioned. In most media coverage, a lack of gender sensitivity in representations of the mothers was found. Metaphors which have connotative meanings are used by the coverage to gain people's sympathy.

Female migrants who return to Indonesia while pregnant or with a young child usually do not feel ready to raise their child alone, having been victims of rape or deserted by their partner during an unplanned pregnancy. No victims-turned-survivors are interviewed in the coverage because a contact with any

of them is difficult to obtain as RPA TKI appreciates their wish to keep their identity a secret. Therefore, their voice is missing from all coverage. However, other actors or narration represent these mothers there. When describing these mothers, the media coverage focuses on their act of leaving the children. For example, the coverage by TVRI contains this narration:

> "*Menurut Suratto, sebagian besar bayi yang di RPA TKI diselamatkan dari ibu kandungnya yang hendak membuang atau menggugurkan bayinya karena tidak sanggup menahan rasa malu memiliki anak dari hubungan gelap atau perkosaan. Tak jarang TKI yang kembali ke Indonesia memilih menelantarkan atau membuang anak mereka di bandara sehingga lebih dikenal sebagai airport babies* [According to Suratto, most of the babies at RPA TKI have been saved from their birth mothers, who want to discard or abort the babies because they cannot bear the shame of having children out of wedlock or of rape. It is not uncommon for these migrant workers who return to Indonesia to choose to abandon or discard their children at the airport, so these babies are known as airport babies]" (Goeritman, 2013).

Although the first clause in the first sentence contains a passive structure, which usually focuses more on the action than on the people involved, it then mentions the object from whom the children have been saved and thereby shifts its focus from the action of *diselamatkan* (saved) to the object *ibu kandung* (birth mothers) who then becomes active subjects who do the action 'discard or abort' in the second and third clauses. Armstrong (2016) suggested that:

> Active voice means that the agent, or "doer" of the action appears in the subject position… Passive voice, in contrast, puts the agent in a later position in the clause… Use of passive voice has the potential to eliminate mention of agency altogether. (p. 44).

However, vocabulary used in these active clauses and sentences does not have positive meaning when the mothers get their agency. The agency here is used only to emphasize the action of abandoning or discarding their children, which society considers bad or immoral behavior. These two active verbs are even repeated in the next sentence to emphasize that these birth mothers do not act like 'ideal' women who are expected to do anything necessary to protect their babies in a patriarchal society; therefore, the babies must be saved from them.

The reason provided to support the action of these women is that they cannot bear the shame. This phrase, as suggested by Fairclough (2003), shows that a usual word-based concept of metaphor is extended to grammar. The fact that they do not want their babies is put in the context of shame. The word 'shame' itself shows a victim-blaming culture: the victims are not supported in their time of great distress but are left to feel ashamed about what they have experienced. Even if they are not victims of rape, they are victims of society's tendency to maintain a

much higher standard of morality for women than for men. When children are born out of wedlock in Indonesia, the women are often if not always, deemed immoral, whereas the fathers usually escape such moral judgment.

There is implication that all these women have had the same experience and are deliberately choosing to discard or abandon their babies, and this is an overgeneralization. The narration does not even consider the possibility of the mothers' painful experience of being sexually abused or going through an unwanted pregnancy to deliver their babies. Trauma or post-traumatic stress disorder (PTSD), which women in this situation, especially rape victims, is not acknowledged in the coverage. In their study, Frank and Stewart (as cited in Herrera et al., 2006) reported more than 50% of rape survivors suffered from depressive symptoms a month after being raped, and around 40% showed major depression. In another study, Kilpatrick et al. (as cited in Herrera et al., 2006) documented that more than 30% rape survivors experienced PTSD, and the chance of experiencing PTSD was 6.2 times higher among rape survivors than among women who were never raped.

In the video prepared by NET TV, the mothers were represented in a slightly more neutral way. The following excerpt comes not from the narrator but from an interview with Soerya Poertranto (personal communication, September 1, 2016), the shelter head/director. In describing the mothers, he explains:

"*Pada dasarnya mereka membawa pulang tidak berani. Waktu dia pergi,* *dia masih gadis atau sudah menikah, tapi kan bukan anaknya. Sesuatu terjadi di tempat kerjanya. Entah dia harus terpaksa hamil atau karena ketidaksengajaan. Anak ini bukan anak siapa-siapa, tetapi anak dia sendiri yang tidak berdosa. Lalu siapa yang mau mengurus?* [Basically, they are afraid to bring their babies home. When she [a female migrant worker] left [her home], she was still a virgin or was married, but the baby is not [her child with her spouse]. Something happened in her workplace, because of either an unwanted pregnancy or an unintentional one. This is nobody's child but her own, and the child does not have a sin. Who will take care of this child?]" (Official NET News, 2014).

Instead of using the term *malu* [shame], Poertranto uses *tidak berani* [afraid]. These women's fear originates from society's tendency to blame the victim. However, Poertranto does not focus on the act of leaving the babies at the shelter. Instead, he highlights the unwanted nature of the pregnancy and the women's confusion. Accordingly, this interview excerpt paints the women in a much more positive light. Unfortunately, the word *rape* does not appear in the excerpt; this omission could belittle the painful experience of women who are pregnant because of rape.

Whereas these two videos mention the mothers of unwanted children explicitly, others use the story of a child at RPA TKI to represent the mothers. Three of the four videos feature Khaleed, a child with a

physical deformity, in this way. NET TV explained that "*ibunya meminum pil KB saat 7 bulan karena tidak menginginkan*" [his mother took contraceptive pills when she was seven months pregnant because she did not want him] (Official NET News, 2014). The video by Trans TV details his story further:

> "*Sejak dalam kandungan, sang bunda, yang TKI, tidak menghendaki kehadirannya dan Khaleed kecil sengaja hendak digugurkan. Berbagai upaya dilakukan sehingga dia terlahir dengan cacat fisik. Belum genap 2 minggu kala itu waktu itu usianya, Khaleed akhirnya dititipkan di sini dan ditinggalkan. Pengaruh obat-obatan sejak dalam kandungan membuatnya sulit berkembang sehingga hingga kini harus menjalani terapi motorik dan verbal* [Ever since he was still in his mother's womb, his mother, a migrant worker, did not want him to exist, and little Khaleed was meant to be aborted. Many things were done, so he was born with physical deformities. He was not even two weeks old when he was put here and left. The influence of the pills since he was in his mother's womb made him unable to develop, so now he still has to participate in physical and speech therapy]" (Komunitas Video Indonesia, 2016).

In these excerpts above, the mother is represented as an irresponsible, heartless woman who caused the deformities. It is true that the pills she consumed severely affected Khaleed, but it was unknown why the mother did not want to give birth. Khaleed's story is different from other children's stories, but his story is frequently chosen for media coverage because of its potential to evoke great sympathy. According to Poertranto, the amount of money donated specifically for Khaleed's care has been enormous, totaling almost 500 million rupiahs, enough to pay for his costly therapies. Using the variable inclusion/ exclusion by Fairclough (2003), it can be concluded that the mothers are put in the background for some reasons. In Khaleed's case, the purpose is to put him at the center of the coverage to gain people's sympathy. This, unfortunately, comes at the expense of the negative representation of the mothers of the unwanted children at RPA TKI.

Interestingly, the four videos contain no discussion of any child conceived through rape. Meanwhile, according to Poertranto, the comparison between the babies born out of rape and those born out of a consensual sex is in fact 50-50. Only one of the reports featuring Khaleed took a more neutral tone in discussing his mother as a representative of the mothers of these unwanted children in general. The coverage by TVRI described Khaleed simply as one of the babies who could be saved by RPA TKI. Although this coverage seems more neutral in that it includes no description of Khaleed's mother, it also passes judgment on the mothers in other portions of the video, as discussed earlier.

The coverage by Trans 7 draws a comparison between the children's birth mothers and their caretakers at RPA TKI.

The narrator states:

> "*Sejumlah perawat yang sepenuh hati merawat juga sangat mencintai bocah-bocah tak berdosa ini. Karena bocah-bocah ini tak punya siapa-siapa. Tak ada juga pelukan hangat dari sang bunda* [A number of caretakers willingly take care of the innocent children and really love them. Because these children do not have anybody. No warm hug from their mothers]" (Komunitas Video Indonesia, 2016).

The mothers and caretakers are compared directly in this excerpt, which sets up a clear good-bad dichotomy. The caretakers are described as having an emotional attachment to the children, which the birth mothers presumably lacked. The narration added, "Ya Allah, sungguh luar biasa ketulusan dari para pengasuh" [God, how amazing is the caretakers' sincerity]. The coverage does not condemn the birth mothers explicitly, but the dichotomy clearly places them in a negative light without considering their painful experience and/or stories.

The media outlets' discussion of these unwanted children also fails to display gender sensitivity. Instead, of emphasizing the need to provide psychological support for the mothers, who have endured an extremely painful and difficult experience, the media coverage re-victimizes these women and sustains a victim-blaming culture. Although the media coverage overlooks the women's psychological needs, Poertranto stated that RPA TKI did provide psychological assessments for the mothers, with the help of a psychology team from Universitas Indonesia and Universitas Al-Azhar Indonesia. However, he did not describe in detail the type of psychological assessments administered or how many of the mothers participate in them.

Even more disturbing in the media coverage is that the fathers are entirely omitted from the discussion, despite the fact that they have abandoned both the female migrant workers, the mothers and their babies. In fact, while the mothers are represented negatively, Trans TV implicitly depicts the fathers in a positive tone as the narrator explains:

> "*Anak-anak RPA TKI juga menonjol. Tercatat ada yang matanya biru seperti bule. Ada pula yang berhidung mancung dari belahan bumi timur tak diketahui asal negaranya. Atau rambut ikal, keriting, serta berkulit putih. Ini karena orang tua atau sang ayah dari bocah-bocah ini tidak diketahui* [The children at RPA TKI stand out. Some have blue eyes like foreigners. Some have pointed noses from the Middle East. Or wavy hair, curly hair, light complexion. This is because the country where the parents or the fathers of these children are from is unknown]" (Komunitas Video Indonesia, 2016).

In this positive regard for the babies' attractive physical features, the fathers are presumed to be the ones responsible for passing these features on to the children. The fact that they have raped or left the mothers is not mentioned at all, let alone the legal advocacy needed by the many

women who would like to seek redress for the sexual abuse they have experienced. No crime should be unpunished. The perpetrators, the fathers of the babies, should be brought to justice. However, those who come home with unresolved problems often have difficulty in finding resolution, and there is no discussion of how these women could file a legal complaint or of what court should take up the case, an Indonesian court or one in the country where the abuse happened. Instead of making any reference to seeking justice for the mothers, the coverage represents the fathers positively.

The video, moreover, participates in endorsing a popular misconception in Indonesia called "*memperbaiki keturunan*" [improve heredity] or the belief that foreigner's genes can make their children have better physical features. As suggested by Nas et al. (2009):

> The image of beauty prevalent in contemporary Indonesia is influenced by these colonial racial distinctions, in which the white dominant class and its associated physiognomic characteristics were valued. Skin, nose, shape of the eyes and tallness constitute the beauty standard: the whiter the skin, the better; the nose should be less at; the eyes should not be slanted; and the body should be taller than average. (p. 95).

When interviewed, Poertranto pointed out that there is a high demand for adoptions of these babies; people from different islands and religions are waiting in line, even for years. Their 'above-average physical features' might have been one of the main

reasons of the adoptions. While highlighting the positive features of these babies, which successfully draws people's attention, the video sacrifices their mothers, Indonesian female migrant workers, who face a painful reality of not wanting the babies.

## CONCLUSIONS

Since the focus of this media coverage is on the shelter and the unwanted children living there, it is understandable that the mothers, female migrant workers, get limited attention. However, this research has shown that the coverage is problematic since it displays victim-blaming and gender bias in the terms chosen. The phenomenon of unwanted children is only the tip of the iceberg in the discussion of Indonesian female migrant domestic workers. In the media coverage reviewed here, the women's complex problems, especially in relation to the limited protection they receive in their workplace and their lack of sexual knowledge, are swept under the rug. What appears in the coverage depicts what happens in the society. Women often do not have agency; they are continuously represented by different parties instead. In the coverage, the mothers do not get to represent themselves in the coverage, and most narrations represent them negatively. When this kind of representation is maintained, meanings of gender that are naturalized and normative are created and reproduced by the media especially scripted entertainment TV programs (Soza, 2014). Although media coverage is intended primarily to promote RPA TKI as a philanthropic institution, it

should still exhibit greater gender sensitivity to help the general public understand the complexities and stresses involved as Indonesian female migrant domestic workers struggle to deal with unwanted pregnancies. The media have the power to control much of the public discourse on this phenomenon. When the available discourse is not gender-sensitive, the voices of female migrant domestic workers are not appropriately considered. This tendency to rule out or ignore the legitimacy of migrant domestic workers' experience is quite common and not limited to female migrants who become pregnant. In the coverage, RPA TKI as an institution, through the interviews conducted with its head, acknowledges unwanted and unplanned pregnancies as the main reason why mothers leave their babies there. However, the coverage has not made any efforts to combat the victim-blaming culture that holds female migrant domestic workers responsible for their plight. Its admirable focus on the babies should also be supported with a gender-sensitive psychological program for their mothers. However, as an independent charitable organization that has not received any funding from the Indonesian government or from institutions concerned for migrant workers' rights, it lacks both human and financial resources to deal with the complexities of the problem of unwanted children. It is hoped that the government and workers' rights organizations will offer a helping hand so that the existence of this shelter will not become a shortcut solution that discourages efforts to achieve a more systemic change. Since this situation calls out for government action, further studies of how the Indonesian government is represented perhaps even in the same set of videos would be a valuable project for future research. Moreover, this research has shown that feminist CDA could be utilized further to unravel gender bias in the media representation of marginalized people or groups in other phenomena.

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## SOCIAL SCIENCES & HUMANITIES

# The Formation of Chinese Identity in Young Chinese Women According to Fathers' Narratives

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## ABSTRACT

Violence against the Chinese in Indonesia is increasing, and much trauma has arisen among the ethnic Chinese because of this fact. In this paper, the authors present the result of interviews with three Chinese women from the current generation who have experienced trauma. The goal of this study is to comprehend how their families' trauma can be told and how that traumatic experience forms their Chinese ethnicity. Chinese ethnicity is often thought to be formed by the narration of the fathers. Fathers play a central role in the formation of generations and the ethnic ideologies in Chinese families, especially with regard to their own children, while the mother's role is often marginalised solely responsible for the children's biological identity. This is a qualitative research study with a feminist approach intended to understand and identify the maturation process of young Chinese women according to their fathers' narratives. This study used Anthias and Davis's theory along with Spivak's work to find the thread between the father's role in ethnic identity formation and self-agency as represented by interviews with three ethnic Chinese women. The end of this paper presents the self-agency and the representation of how these ethnic Chinese were affected by their society and their education. These three subjects each received different types of education and are from different societies; thus, they represent some ethnic Chinese who have had similar experiences. The results show that the trauma continues for these women and that it is passed down by the father;

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furthermore, the women's educational backgrounds influence the subjects' perspectives.

*Keywords:* Chinese women, ethnic, identity, representation, subaltern women

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## INTRODUCTION

Identity is liquid and changeable. It is a personal reflection of how a person presents who he or she is, and a change in it may be caused by internal or external factors. Newman (2006) wrote that personal identity was affected by social identity, which had various components. These components may take the form of physical characteristics or the ideologies of certain groups. Personal identity cannot be separated from one's race and ethnicity. Race is an individual's makeup of biological features showing similarites with others; for example, skin colour, hair colour and texture, or eye, nose, or head shape (Newman, 2006). Thus, racial identity is related to physical features. Many people assume that physical features represent the characteristics of someone's physiological condition, behaviour and personality. However, in sociology, this sameness is referred to more accurately as ethnic, or encompassing characteristics from the same culture, history, language and patterns of behaviour and belief.

Historically, ethnic and racial categories have formed in various ways; such as by conquest, colonisation and immigration. The modern versions of these influences are capitalism, imperialism and liberal democracy as the prominent political forms

(Anthias & Davis, 1989). In some cases, the shaping of ethnicity and race is done with political intention. Whether minority or majority, all ethnic groups form under the assumptions made by surrounding society. According to Anthias and Davis (1989), ethnicity may be constructed from outside the group, in the form of social representation by other groups, or by the states. Identity is also influenced by the collective memory of events. This paper examines how the identity of young Chinese women is shaped by the narratives and collective memories of anti-Chinese violence experienced by their families.

As background information on the violence suffered by the ethnic Chinese, the authors note the history of the rise of anti-Chinese in Indonesia that eventually led to violence against this minority ethnic group. Beginning from the colonial period and continuing up to the present time, the ethnic Chinese have often been the targets of violence. The violence may have had its starting point during Jan Pieterzoen Coen's rule, when a massive Chinese immigration to the island of Java occurred. These Chinese came mainly from Hokkien, a southeastern province. Dutch government came to fear that the Chinese citizens in Batavia would outnumber the locals and that this imbalance would lead to bad results, so in the early 18th century, in-migration of Chinese was limited (Dahana, 2000). Dutch government then ordered Adrian Valckenir, Governor-General of the colony, to commit mass murder of Chinese prisoners and the Chinese living in Batavia. This was an awful

tragedy that took place during a hostile time in the colonial period (Toer, 1998).

The Dutch government then began to provide legal positions to the Indonesia-Dutch citizens using a racist criteria. It placed the ethnic Chinese higher than the indigenous people, calling the Chinese *vreemde-costerlingen* (Eastern) citizens and the indigenous inlanders (Purcell as cited in Dahana, 2000). This was the beginning of widespread anti-Chinese sentiment. The indigenous citizens concluded that the Chinese had been awarded privileges by the Dutch government which made their conditions even worse. Even though the Dutch government was providing advantages to the ethnic Chinese, the anxiety about the Dutch government's actions could not be erased easily.

The Dutch adhered to a European civil code that provided them a higher position than the indigenous people. In addition, European and indigenous people lived very different lives. However, they had the chance to join the plural community and find their home in society by participating in the economic sector (Furnival, 2010).

In 1942, the Japanese came to Indonesia and replaced the Dutch, who had been occupying the territory up until then. Conditions for the ethnic Chinese were no better than under the Dutch government. The arrival of the Japanese worsened the status of the ethnic Chinese in Indonesia. The subsequent violence committed by the Japanese against the Chinese occurred because of the long history of wars between China and Japan (Purdey, 2013).

In May 1946, Indonesian independence mass murder was committed against the Indonesian Chinese people by the racial Moslem group Tangerang. This was the first anti-Chinese violence after the Indonesia's independence. On this occasion, approximately 600 Chinese were killed. This prompted many Chinese people to move away from rural areas to live in larger cities. This led to a speculation on the part of Indonesians that the Chinese were allies of the Dutch, whose influence was prominent in large cities at that time (Purdey, 2013). A New Order then emerged, during which Soeharto's government was brought to power in part through a riot by a coalition of anti-communist groups making up a Golongan Karya ('Golkar'), which formed a single political party. At this time, the military was granted a central function in politics, with dual functional systems (Purdey, 2013).

After 1995, violence against the ethnic Chinese erupted again in various regions of Indonesia. The peak came in 1997-1998, when the Asian economic crisis hit Indonesia. Anti-Chinese sentiments culminated in violence targeted at property belonging to the ethnic Chinese. As part of these violent acts, Chinese women were also targeted for injuring Chinese ethnicity. The mass rape destroyed not only women's bodies but their self-esteem as well (Stinglmayer, 1994).

The 1998 tragedy left behind continuing trauma for its victims. Nineteen years have passed without justice for them. The memory of the event remains alive for many.

The tragedy is a black page in Indonesia's history. The event targeted citizens based on ethnicity and religion, many of them Chinese. The tragedy saw pillage, burning shops and mass rape, which all deeply wounded the victims. The traumatic effects were felt not only by the victims, but also by almost all the Chinese. In the aftermath, many Chinese fled abroad to save themselves. The woman we call Clara in this paper is a member of this group.

Many people do not believe that there was a mass rape in 1998. Even two decades later, there is no justice for the victims. Their voice was silenced by narrative told by those in power. The Chinese women's narrative was swallowed up by their position in the nation as a subaltern community. They were marginalised for their ethnicity, religion and because they were women. Their narrative was nothing next to the major narratives of men. As subalterns, they produced their own agency and represented their life conditions differently.

The trauma experienced by the ethnic Chinese families caused them to reproduce their fears in the form of narration, advice, or even stereotyping, with the objective of saving themselves (Dhani, 2017). The women interviewed in our study were Chinese women with narratives describing the trauma of experiencing anti-Chinese violence. As the heads of families, their fathers and other men had full control in shaping their personalities and their positions as Chinese women. This implies that the mother's narratives were not received properly. The socialisation of ethnic identity was not conducted only by the fathers but also by the mothers. Mothers in Indonesian society are responsible for biologically passing down their ethnicity and they is not allowed to build their children's ideas of ethnicity and norms. In this study, the authors show how men or fathers shape their children ethnically and how the mother's roles disappeared in shaping their children ideologically.

The objective of this study is to illustrate that as a mother, a woman has no great role in shaping the ethnicity of her child. This study proposes a solution to anti-Chinese sentiments and deconstructs stereotypes about the ethnic Chinese by examining young women's experiences. This study also explores young Chinese women's experiences as targets of anti-Chinese sentiments and that relationship to the Chinese patriarchal system.

**Theoretical Review**

The authors used Anthias and Davis's (1989) ideas on women, nation and state to observe the position of women as a generation related to ethnicity and as a group living in a country. First, Anthias and Davis (1989) investigated ethnicity and nationality as they related to gender construction. They noted certain methods that separated people and destroyed ethnicity and nationality. Various studies have found that, in terms of states and national identities, and with the connotation of ethnicity and collective orientation, nationality may be considered a synonym for ethnicity. On the other hand, ethnicity is

also commonly related to minority groups or subordinate groups in a nation.

Anthias and Davis (1989) explained that women often played the role of preserving the identity of ethnic groups in a state. Women also assisted on a national scale such as in the economic sector, politics and sometimes even in military defence. This theory supports the observation of the position of women in a country as part of an ethnic group and their participation in various sectors. According to this theory, the mothers of Chinese women do not have an important position and cannot create a doctrine for their children. Instead, the doctrine is created by the patriarchal system of the Chinese ethnicity itself, within which women are a silent majority.

It is also clear how women function as ethnicity carriers and participants. Interpreted according to Anthias and Davis's (1989) theory, the woman studied here show how they play this particular role. They are minority participants in society with large roles. These Chinese women are defined by their father figures, not their mothers.

Spivak (1994) proposed another relevant theory concerning the subaltern that described the agency in every individual. Spivak noted that there were two types of representation: representation by 'speaking for', as in politics, and representation by 're-presentation', as in art or philosophy. The term *vertrerten* refers to representation in the first sense and *darstellen* to the word in the second sense. These theories are interrelated as representation of the law of subject-prediction.

Spivak found that educated people represented themselves, but they represented the subaltern. This representation destroyed the subalterns' subjectivity. This happened during the colonialist period in the third world. Colonial history plays an important role in the destruction of the subalterns' subjectivity. Spivak (1994) found that in the context of colonial production, subalterns had no history and could not speak, and female subalterns were even more deeply in the shadows.

This theory shows the condition of Chinese women who are silenced. The colonial situation created anti-Chinese sentiment among indigenous people that continued to grow up to the present time. The narratives of identity formation were created and passed down by the father, while the women were the ideological carriers.

## MATERIALS AND METHODS

This study applied a qualitative method with a feminist perspective, as this could disclose the sociological element most deeply. This method would yield more fruitful findings than any other methods, and it was an accurate and efficient way to obtain information (Poerwandari, 2011). Using a feminist perspective, the study researched women's impact on their neighbourhoods. The study's documentation of women's lives and experiences provided a clear illustration of gender stereotypes and bias and produced information from disciplined women, while built on a basic feminist structure (Brooks, 2007).

The feminist perspective was also used to review the relationship between women and men as minority and majority communities. Ramazanoğlu and Holland (2002) said that researchers could use a feminist methodology to study gender relationships, social lives and sexuality and gender concepts and their meanings. Through a considered approach, researchers could examine how people could study their own experiences and how that power affected their knowledge.

The standing of feminist epistemology challenges researchers to review and understand the world by studying the minds of oppressed women and applying their insight and knowledge to social activity and social changes (Brooks, 2007). This can be conducted by studying these women's life experiences, which are often invisible unless one knows where to look. According to Nielsen (as cited in Brooks, 2007), women's culture, history and lives have remained 'underground and invisible', relegated to the 'underside' of men's culture, history and lives.

A qualitative approach from a feminist perspective was used to reinforce the historical findings of research performed to observe women's experiences. In connection with this particular study, the authors traced the lives of young Chinese women who experienced how the memories of anti-Chinese violence were passed down by prior generations. The authors observed their trauma and examine how the current power (controlled by a majority community) was understood.

## Data Collection

The data were collected through library study, in-depth and informal interviews, and by tracing oral histories. The subjects of this study were young Chinese women approximately 25-30 years of age who had familial backgrounds of experiencing anti-Chinese violence. A tape recorder was used in the interviews to allow easier categorisation and analysis. Field notes were also employed to record things that were not spoken but rather implied by gesture facial expression. An interview transcript was produced once the data retrieval process was completed, and the results were categorised thematically.

## Research Subjects

The authors conducted interviews with three Chinese women and produced information based on a long process. First, the authors characterised the research subjects to simplify the choice of appropriate subjects related to the authors' research questions. Initially, four Chinese women were interviewed, and only three were chosen as suitable research subjects. Each research subject represents one group of young Chinese women pursuant to the following criteria:

1. Domicile: The location of the domicile affects personal identity formation
2. Education: Most of the ethnic Chinese attend Catholic school.

These two subjects were chosen in order to focus the research issues and allow more in depth study. The names of the women

given in this research were changed to minimise any possibility of disadvantages to them.

## Data Analysis

The data obtained from the library study and the in-depth interviews were analysed critically according to the identity formation of the young Chinese women using thematic analysis. The use of thematic analysis allowed the authors to identify a pattern that other researchers might not have found (Poerwandari, 2011). Thematic analysis is a process of information coding resulting in themes, models, complex indicators, qualification related to a theme, or any matter related to these or any combination of the above (Poerwandari, 2011). The theme may explain a phenomenon that can only be studied using a qualitative approach. This research applied a feminist perspective to the thematic analysis; this technique focused on women's narratives as the primary source to show social phenomena.

## RESULTS AND DISCUSSIONS

### The stories of Three Chinese Women

First, Bella (29), a pure Chinese was interviewed. Her grandfather experienced anti-Chinese violence in 1946 that traumatised him and her grandmother and caused them to view indigenous people in a negative way. This family experienced another riot in 1998, which made the trauma even worse. Even though Bella did not experience violence herself, her grandparents' story haunted her. Bella's grandmother repeated stereotypes about indigenous people to her and others of her generation. Fortunately, her parents had a different perspective. They gave her freedom to make friends with anybody and to choose a husband of any ethnicity as long as he had the same beliefs. As a Chinese woman, Bella contradicted her grandmother's stereotypes. She believed that violence arose not because those who committed it were indigenous but because of their personalities. This experience was what Spivak referred to as representation in the second sense (Spivak, 1994). Bella possessed the agency to contradict the stereotypes instilled by her grandmother. Bella considered her grandmother closed minded even though it stemmed from the sense of trauma the grandmother had about what happened to her family. But Bella had had various experiences both with fellow Chinese and with indigenous people who made her mind remaining open to an environment of friendship with the natives.

Bella had a Christian education from elementary school to senior high. She studied at Christian schools because her parents thought that public schools were full of indigenous people. She then went to the University of Indonesia, which marked the beginning of her life as a minority Chinese woman in society. She saw diversity, but it did not hold her back. In fact, she learned a lot from those conditions. Now she works at a bank in Jakarta. She also served as a representative of young people in the Chinese community, trying to build bridges between young Chinese and indigenous people.

Attending the University of Indonesia had been a catalyst for her. It had made her more nationalistic. The situation in her neighbourhood did not make her an exclusive person. She was open. Her love of her country was shown in her participation in many social activities. At the university, she met her boyfriend, who is not an ethnic Chinese; this in spite of her extended family and even her brothers being against the relationship. Her father did not insist that she should marry a Chinese man. He was an open-minded person who worked to dampen the effects of her grandparents' trauma on her.

Bella was an open-minded nationalist because she faced various processes of identity formation. She had been able to represent herself as a nationalist woman in various institutions. Identity is a fundamental and an essential issue that is produced by a narrative used to explain and understand one's life (Lawler, 2014). This true even now about Bella's identity as a Chinese woman who wanted to reform herself.

Clara (29) was an employee at a cosmetic company in Jakarta. She had the same background as Bella, a pure Chinese. In 1998, while the riots were happening in Jakarta, Clara's family experienced threats. They received information from an army general in their neighbourhood that there would be a large riot. Prior to the violence, her father sent one of his children to Australia to prepare documentation that would allow them to move there. Once it was clear that many Chinese people were targets, she and her family fled to

Melbourne, Australia, for safety. Before moving out, she had been attending a parish school, which she continued in Melbourne. There, she had many friends from various ethnicities: most of them were white but some of them had different skin colours. She had never been insulted about her ethnicity. She even insulted herself by using the word 'Chinese' in her current work or 'Asian' in Australia.

In Australia, she connected with a globalised society that paid little attention to ethnicity or religion. She never felt discriminated against in Australia. Her father also had a relationship with the globalised society. He hardly ever spoke to her on ethnic matters. Her father also allowed her to have friends and to have a partner from any group, although she knew that her father wanted her to marry a Catholic Indonesian Chinese man. Her father advised her to make friends based on their personalities not their ethnicity or religion. For this reason, she did not overtly show her Chinese identity. She also felt that she was not a real Christian. She believed that every religion was good, except that of a radical racist. In 2016, the issues of ethnicity, religion, race and inter-group relations re-emerged in a peaceful action held on November 4. She wore a Kevlar vest to work to protect herself from the rioting.

Davis stated that the father's role in forming a child's ethnicity could be criticised. In Clara's case, the father emphasised being a devoted Catholic. Her ethnicity was formed by an external factor; as stated by Davis and Anthias (1989),

one's ethnicity might be constructed from outside the group, by the form of the facial and social representation by other groups of the state. Clara's physical appearance showed her to be a Chinese woman. The assumptions made by those outside the group ethnicity about her forced her to realise that she was Chinese. She had a bad experience in connection with the 1998 tragedy and she realised that Chinese people in Indonesia had bigger problems than other ethnicities did. She also felt that anti-Chinese sentiments in Indonesia were powerful and created a real-time bomb.

Diana (25) was an employee in Jakarta. Her identity was different from Clara's, which was constructed by her father. Diana's story was more interesting due to the cultural diversity between her parents. She was born to a Javanese Moslem woman and a Chinese Catholic man. Her mother is the second wife. His first wife is Chinese. She had three children and now they lived in Australia. Her biological mother left her for a man. When Diana told me about her biological mother, her hatred for her was clear. She told me that she fled with a man who had completed the hajj. Then her father married her previous babysitter, and she came to live with them. She was close to her stepmother because she had taken care of her since she was a child. Her father married his second and third wives according to Islamic traditions. She had her mother's Javanese Moslem blood but not the Javanese ideology. Even though her stepmother was also a Javanese Moslem, she could not pass the Javanese norms on to her. Here

the mother's role was only to be an ethnic biological carrier; as noted by Davis and Anthias (1989), women only passed down ethnicity biologically and could not inherit ideologically. This state of affairs is owing to the government's maternal ideology in Indonesia's New Order, in which women only hold the roles of mother and wife.

Diana experienced much violence in her neighbourhood, where many indigenous people lived. In 1998, her father's shop was burned and robbed during the violence, and her family became bankrupt. She and her family moved to the Bintaro area and her father started a new business. She had often had negative encounters with members of the indigenous community. Before moving to Bintaro, she had only lived in Senen, where many indigenous people lived. She had nine dogs and her neighbour poisoned all of them. Now, she raised goats, and she gave them to the mosque on Iedul Adha day. She had heard many stories from her Chinese friends about how indigenous men behaved toward them. As a result, she had a great resentment for the indigenous people.

Her family indoctrinated her on the anti-Chinese violence experienced by her extended family. Her father also fed her stereotypes about indigenous people which formed her current identity. Her father had told her negative things about indigenous people since she was very young. Her father provided a Catholic education for her, from elementary to university. This was because he believed that the public schools were full of indigenous students who were naughty, undisciplined and lazy. She remembered

these stereotypes and she would repeat them to her children and grandchildren in the future. She was a chauvinistic Chinese woman and she was exclusive to other groups.

The dual acculturation of the Javanese and the Chinese still shapes Diana as a Chinese woman. Her father taught her about Chinese culture and its rules. He chose her school to form her identity as a Chinese person. She believed and took for granted the characteristics of the indigenous stereotypes her father told her about. Her father inherited the chauvinistic Chinese ideology. Because fathers and men have more of the responsibility of passing down the ideology and norms to their children (Davis & Anthias, 1989), they are the more powerful determinants in their children's identities. In this study, Diana was found to have a racist and chauvinistic personality because her father constructed it.

From her father, Diana learnt how to be a Chinese woman and she concluded that her mother's ethnicity was bad. She admitted her resentment against ethnic Javanese. She felt that ethnic Chinese were the best, but she wondered why her father married her mother, a Javanese Moslem, when it clearly contravened Chinese ethnic customs. She did not conclude that her identity contained some acculturation of another ethnicity. She saw herself as pure Chinese, and she would not marry a non-Chinese man. However, Chinese men rarely glanced at her due to her acculturation. Her children and grandchildren would inherit her racist attitudes, because she wished to make them pure Chinese. The

overall representation provided by the three subjects in this research represents Spivak's (1994) second stage, which states that the representation in the second stage is a result of the person living in a marginal community him or herself. According to Spivak, such individuals cannot represent themselves fully due to the dominated relationship of the subaltern community by the majority culture.

It is interesting to observe the father's dominant role in the family. Diana was not allowed to marry a non-Chinese man, but her father married a Javanese woman. This issue illustrates Davis and Anthias's (1989) conclusion that women are not allowed to have sexual relations with men of other groups. Here, the patriarchal system is coming into play. This rule is intended to make a woman remain on the inside of the community. The father is allowed to marry a woman from any ethnicity, but a woman must only marry a man of the same ethnicity. Her father married a woman from a different ethnicity, which automatically brought her into his community, the Chinese community; whereas Diana's biological mother has the role of ethnicity carrier.

Women born to Chinese families in communities who choose natives occupy a difficult position. First, their identity as Chinese and Catholic creates alienation by approved community groups. They have many other community groups, such as Arab groups. Second because they were born female, making them a minority within their own groups. They become weak in politics and vulnerable in defence.

Anthias also said that women in the country participated in national politics. From the third subject, we see that they are Chinese women who in fact are a minority group that is easily politically defied and likely to become victims as happened in 1998. Thus, the three are most connected to their Chinese and female identities.

## CONCLUSIONS

The ongoing anti-Chinese violence continues to cause prolonged trauma to the ethnic Chinese. They became scapegoats after the riots. In 1998, during the culmination of anti-Chinese violence in the New Order era, many attacked the property or life of ethnic Chinese, and Chinese women were raped, tortured and abused. This incident was traumatic. Chinese families now keep their wives and daughters away from any possible anti-Chinese sentiments. The father, who is the central figure of the family, must be extra careful to keep his daughters safe. The father and grandparents, who had experienced direct anti-Chinese violence, are very nurturing of the grandchildren. They bring them up to see what it is like to be a Chinese woman in Indonesia. The ethnicity of those three subjects is shaped by their fathers' narratives. Their Chinese identities are perceived differently based on the narratives they were given. Two out of the three subjects have two Chinese parents, and they are open to interactions with indigenous people. Their fathers told their daughters how to be open-minded Chinese women and see people beyond their ethnicity. On the other hand, Diana is a chauvinistic Chinese woman, because her father filled her with stereotypes about indigenous people. The difference in educational background influences the subjects as well. Bella, who went to the University of Indonesia, was a nationalist and did as much as she could for the country to show her love for Indonesia. Clara, who was used to living in a globalised community, chose to do nothing. She had a Western attitude. Diana, who had known many Chinese people since she was very young, had become a Chinese woman exclusively. She was close to indigenous people but maintained the indigenous stereotypes shaped by her father. The government needs to be fair to its citizens to enable them to recover from the trauma they have experienced. Even in the absence of a resurgence of anti-Chinese violence, the trauma will continue to break the narrative chain. Discriminatory policies will only make ethnic Chinese society perpetuate the narrative of violent trauma as a form of self-protection. Both indigenous people and the ethnic Chinese must open themselves to each other.

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# Development of Agropolitan Area in Papua Province, Indonesia (Districts of Muara Tami, Arso, and Skanto)

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## ABSTRACT

The region of Papua is relatively isolated due to the limitation of transportation infrastructure and the high cost of transportation there, either going to or from the area even for within the area of Papua itself and the number of cities there. Besides that, farmers originally from Papua generally are still living in subsistent life culture. This study aims to describe the conditions of agropolitan area development in the city of Jayapura, the one of agropolitan areas in Papua, and its surrounding area after the program has been running since 2002. The result of study showed that there had not been a regulation on agropolitan area development in provincial level while the agropolitan area in the area of study covered various districts in the city and regency. In general, agropolitan area in the city of Jayapura and the surrounding area had not developed significantly, as seen, among others, from the agribusiness link there, which was still short, the downstream agribusiness subsystem infrastructure was still quite limited, farmers' capacity was still low with a level of dependency on the government which was still high.

*Keywords:* Agribusiness system, agropolitan

## INTRODUCTION

The concept of agropolitan as area development strategy in urban area of Jayapura and its surrounding, especially districts of Arso and Skanto in Keerom Regency, has not run adequately, marked by, among others, the decrease in agricultural sector contribution toward Gross Regional Domestic Product (GRDP) of the city of Jayapura and Keerom Regency, within the

the last five years. Theoretically, in the development of an agropolitan area, its ideal result can only be seen after 25 years, with the initial challenge according to the government of changing the agricultural society culture from cultivation into agroindustrial culture, to process agricultural produce to have added value (Department of Public Works, 2007). However, the challenge in Papua is even greater since it has to deal with the culture of the farmers originally from Papua who live with a tendency of being subsistent. Besides that, it has to also be considered that agropolitan areas in Java developed also because of the influence of the developments of cities there which are their market and the number of the cities is quite significant. This condition is not found in Papua. The development of cities there is still low besides the number which is also still small. Besides that, there is a limitation on transportation infrastructure between areas which causes the high cost of transportation in Papua. If the development of positive agriculture alone cannot be reached until now after the concept of agropolitan started to be implemented in 2002, is it possible that the agropolitan area in Papua be able to reach its ideal condition after 25 years? This study aims to describe the conditions of agropolitan area development in the city of Jayapura, the one of agropolitan areas in Papua, and its surrounding area after the program has been running for 14 years.

## MATERIAL AND METHODS

This research describes on 3 aspects : (1) agricultural sector development policy, and (2) development of agricultural area (agribusiness subsystem infrastructure, agribusiness link, and activities of farmers), (3) impact of agricultural sector development.

The research location are the city of Jayapura, especially district of Muara Tami, and its surrounding area, namely districts of Arso and Skanto in Keerom Regency. The city of Jayapura and Keerom Regency have advantages in terms of their geographic condition due to their locations which are next to each other and also each area has been connected by on land road network. Consequently, it is appropriate if these areas are then developed into one of agropolitan areas in the province of Papua.

This study used qualitative and quantitative approaches with descriptive methods in analyzing the result. The data for this study was acquired from the other studies/literatures, Central Bureau of Statistics Indonesia, and the present survey. Information on Keerom was obtained through the present survey while information in the city of Jayapura was getting from the other study. The primary data was obtained by observation and semi-structured interviews. Interviews with several speakers (local authorities) were obtained to get the preliminary information. Then interviews with the farmers were obtained to get the further explanation of the phenomenon that occurred there. The interview was stopped after obtaining the repeated answers from

respondents. The number of respondents was 31 farmers in Arso District, that were sampled, and taken randomly.

## RESULTS AND DISCUSSIONS

### Agricultural Sector Development Policy

The masterplan for the development of an agropolitan area in Indonesia is prepared for long-term (25 years), medium (5 years), and short (1 year) programs. Short-term programs have between 1-3 years of pioneering and stimulant time (Department of Public Works, 2007). Financing the development of agropolitan areas requires large funds and multiyears. Central government support is stimulant and adapted to the level of regional development, which is carried out for three consecutive years, to be further developed independently by the local government and the community (Department of Public Works, 2007, p.4). There are three stages of economic development in agropolitan area, those are (Department of Public Works, 2007): (1). Agriculture supported by upstream industry aimed at food self-sufficiency (short and medium term); (2). Agricultural supported agro-industry aims to increase income (medium and long term); (3).Advanced industrial agriculture aims to improve welfare (long term).Regions developed into agropolitan are national, regional (inter-provincial), and local, depending on the marketing area.

Evaluation on the development of an agropolitan area is not only seen from the growth of agricultural production but the most important is the empowerment of the community. The indicators of farmers empowerment can be seen from the following points (Department of Public Works, 2012):

(a) As many as 80% of farmers' institutions are able to develop market-oriented and environment-oriented businesses.
(b) The business network of farmers / farmer groups is shaped and active.
(c) Each village and district in the agropolitan area develops a participatory and jointly agreed annual program to be implemented.
(d) Long Term Activity Plan and Detail Engineering Design results for physical execution of infrastructure and facilities in agropolitan area are jointly agreed to be implemented and 70% can be implemented in agropolitan area.

As with other areas in Indonesia, development of agricultural area in Papua is also not separated from green revolution program implemented by the central government. However, green revolution with efforts in crop intensification was introduced in Papua initiated with the opening of settlement areas for transmigrants. In 1982, when the city of Jayapura and Keerom Regency were still part of Jayapura Regency, District of Muara Tami (presently in the administrative area of the city of Jayapura), Districts of Arso and Skanto (presently part of administrative area of Keerom Regency), were appointed by the central government as area of Transmigration Settlement Unit in Papua (at the time was known by the name Province of Irian Jaya) which then

received transmigrant residents among others from the island of Java. Besides settler groups in the area, transmigrants who were natives of Papua, among others from Jayawijaya, Paniai, and Arso were also accomodated. However, they were not able to adopt modern agricultural technology thus farmers originally from Jayawijaya and Paniai returned to the old pattern of farming from their place of origin, while farmers originally from Arso returned to their subsistent life pattern, which was to combine forest and hunting produce (Fatem, 2002). In the same year, PTPN II Tanjung Morawa (state-owned enterprise in agribusiness) opened its work area in Keerom and started to plant palm trees followed by growth of Community Core Plantation in Arso and Skanto as well as its processing manufacture in Arso VII (District of Arso). Both district areas then developed first into settlement areas then also as agricultural product central areas in Keerom Regency.

The government of Papua Province appointed irrigation area in the district of Muara Tami, itis known as Koya Irrigation Area. The development planning started to be conducted in the budgeting years of 1992/1993 and 1997/1998,supporting agricultural program with an area of 5000 Ha.

In 2002, the central government (the minister of Public Works and the minister of Agriculture) started to introduce the concept of agropolitan development in Indonesia. Not all rural areas got support in its agropolitan area development, only a certain

number of areas were developed to become model areas. Muara Tami District in the city of Jayapura is one of the areas included in the strategic plan of the Department of Public Works. This department has a role in development of physical infrastructure in supporting agricultural activity such as: roads and irrigation network. Keerom Regency was not appointed as an area to obtain support from the center in its development of agricultural area. However, agropolitan area development policy is only found in the level of the city of Jayapura while policy in provincial level, which regulates agropolitan area in urban area of Jayapura and its surrounding area, has not been explicitly stated.

## Development of Agricultural Area

Spatial area of Arso and Skanto Districts, Keerom Regency, which consists of 25 villages, based on the characteristics of each area, compared to the characteristics of area spatial function distribution according to Agropolitan concept, is divided into several spatial functions as follows:

(a) Area of Order 3 (Center for Agricultural Area Unit) in Muara Tami District covering Village of East Koya and West Koya. Only these two villages which have received the irrigation service thus agricultural activity higher than in the other villages (Sitorus et al., 2015, p.28).

(b) Area of Order 3 in Arso District consists of Village of Yanaman (UPT PIR I), Yamta (UPT PIR II),

Bagia (UPT PIR III), Sanggaria (UPT Arso I), Yuwanain (UPT Arso II), Yamua (UPT Arso I), Warbo (UPT Arso VII), Dukwia (UPT Arso VIII), Yaturaharja (UPT Arso X), and Ifia-Fia (UPT Arso XI). The villages have been appointed as transmigration settlement areas with a relatively higher agricultural activities than in the other villages.

(c) Area of Order 3 in Skanto District covers Village of Jaifuri (UPT Arso III), Arsopura (UPT Arso IV), Wiyantri (UPT Arso V), Intaimilyan (UPT Arso IX), Traimilyan (UPT Arso XII), Naramben (UPT Arso XIII), and Wulukubun (UPT Arso XIV). These villages have been appointed as transmigration settlement area with relatively higher agricultural activities than the other villages.

(d) Area of Order 2 (Main Village/ Agropolitan Center) in Muara Tami Districtis Village of West Koya and in Arso and Skanto Districts is Village of Arso Kota.

(e) Area of Order 1 (Center of Agropolitan Area/Agropolis) is District of Abepura, specifically Youtefa Market. It is a regional scale market whose service area reach does not only cater the people in the city of Jayapura, but also caters for the people from the surrounding regencies (Keerom Regency and Jayapura Regency). The distance of order 1 area to order

3 area in Muara Tami District is quite near, i.e. approximately 18,6 km meanwhile the distance of order 1 area with quite far order 3 area in Arso and Skanto Districts, i.e. approximately 45 km.

Prime agricultural commodities from Muara Tami District are rice, 2nd crops, vegetables, fruit and stock farm produce while from districts of Arso and Skanto are crops, horticulture (spices, vegetables, oranges, bananas, and pineapples), and plantation (cacao, areca nut, and coconut). There have not been many urban areas around the city of Jayapura and this city is the main city in the Province of Papua with the highest number of populations. The city of Jayapura is the main marketing area of agricultural produce from the districts of Muara Tami, Arso and Skanto.

The average agricultural subsystem in the study location does not have complete facilities yet, especially downstream agribusiness subsystem which has very limited facilities. Visually, housing condition in the districts of Muara Tami, Arso and Skanto is still much different if compared to the housing condition in urban area. The level of services of several basic facilities to support the life of the people in Muara Tami, Arso and Skanto, still needs to be increased, among others, road network, clean water network and waste management. The majority of respondents in Arso stated that clean water service there was quite satisfactory (68,6%) even though actually there was no clean water network service

yet. This is made possible due to the existence of a number of rivers or water springs found there.

The existing irrigation network in Koya, Muara Tami District, still functions and there is an irrigation rehabilitation program from related agency. But the area of rice fields there began to decrease. Land of 5000 hectare served by technical irrigation network is only 4000 hectare left due to the presence of the land use change (Papua River Area Office, n.d, p.6). Change in land use of rice fields among others into fishing recreation ponds is to meet the recreation demand of the residents of the city of Jayapura. A fairly close distance between the 1st area which is an urban area with West Koya Village also influences the change of function of agricultural land there (ideally within 35-60 Km). The policy of Jayapura City Government currently prepares the Muara Tami area as a new settlement area due to the rapid development of Jayapura City.

In Keerom regency, technical irrigation network built by the Department of Public Works was only available in UPT Arso V (Skanto District) while traditional irrigation network that utilizes water resource from rivers there could be found in UPT Arso I, VII, VIII, X (Arso), and IV (Skanto). In general, the condition of irrigation network is quite adequate. Development of agropolitan area development supporting infrastructure there is emphasized more on farming business subsystem (such as irrigation network, inspection roads).

Agribusiness Sub Terminal in West Koya Village does not function because generally buyers directly buy from farmers and carry them directly to the city or farmers transport their produce directly to Youtefa Market. Aividjan Terminal in Arso has not functioned optimally because generally wholesalers directly buy to farmers and transport them directly to the city. The condition of road network is relatively adequate but public transportation facility is still limited. More of the local people rely on their own transportation such as motorcycle or going on foot. The majority of respondents in Arso District stated that the level of transportation service there is unsatisfactory (68.57 %). The far distance between order 1 and order 3 areas and the high cost of the transportation cause the difficulty in flow of commodity and people from order 3 to order 1 area thus causing them to rely on wholesalers in the marketing of their harvest.

The prvious study shows that the majority of farmers (46.91%) in Muara Tami District sell their harvest produce to buyers that come to the area, approximately 38.27% of farmers sell their harvest produce themselves to the market, and 14.81% of farmers sell to wholesalers in the market. Approximately 84% of farmers in the district of Muara Tami directly sell their harvest produce without prior special treatment and only 1.45% of farmers process or package first, others are distributed through business units and for own consumption (Sitorus et al., 2015). Survey results show the majority of farmer respondents (81%) in Arso District

sell their harvest to wholesalers who come to their place, approximately 13% of farmers sell their own harvest themselves to the local markets (Arso), and 6% of farmers sell to wholesalers also in the local markets. Almost all farmer respondents in Arso directly sell their harvest without special processing beforehand, except for cacao farmers, who clean the skin of cacao fruit to obtain the seeds then dried to decrease the water content, because the lower the water content, the higher the selling price. As a consequence of lack of further processing business, thus when harvest is abundant, such as oranges and bananas, farmers leave them to go bad.

Besides the potential for crops, Muara Tami District also has fishery potential, especially freshwater fishery. Cultivation ponds of freshwater fish can be found in West Koya and East Koya with the main water source from Tami Dam irrigation channel. Besides being marketed directly, a number of processing business has started to grow in West Koya and East Koya, in the form of ponds for fishing as well as functioning as eating place, some are even equipped with accommodation facilities. These fishing recreation ponds are visited by many tourists from the surrounding area (other districts in the city of Jayapura) on holidays (Sitorus et al., 2015).

Unlike in Muara Tami District, agricultural activity in Keerom Regency, such as the one seen in the districts of Arso and Skanto, has oriented on plants of agro industry with the aim of marketing outside of the area (export), that is among others with the presence of palm tree and cacao plantations. Yields of farms which become prime commodity are cacao, areca nut and coconut. Cacao has market in and out of the country while demand for areca nut and coconut from the surrounding regency area is still high (Turua, 2014). The appeal of palm trees for farmers has decreased as a result of problems in palm tree processing plant there, thus, the markets are also affected. Palm tree farmers experienced a loss due to the inability to accommodate their harvest (Rumbarar, 2016).

Economic activity in Muara Tami District developed more than in the districts of Arso and Skanto. This is caused by closeness in distance of Muara Tami District with main farming city (order 1) or Youtefa Market, also because the people are more creative in creating business of agrotourism (fishing ponds equipped with restaurant facility even accommodation facility) as well as business of harvest processing even though it is still in a small scale. Small shops selling harvest, either raw or processed, for instance boiled corn, cassava crackers, tempe crackers, and yam crackers, can be seen along the main road in Muara Tami District. This sight cannot yet be seen in the districts of Arso and Skanto. This shows that economic activities in agropolitan area of order 3 depends on cash and human flow from area of order 1 but this flow may not take place if there is no interesting activity for them in area of order 3 (Sitorus et al., 2015).

There are many farmers organizations in these districts but the ones that are active are only a few, such as in Arso, there are only 16 farmers groups which are active. These societies are generally established according to ethnic groups or communities that routinely conduct meetings in the form of reciting the Qur'an or monthly social gathering. The understanding that these groups were established for the purpose of cooperation with other parties for instance in terms of getting aid and information from the government or assignment from the management of palm tree plantation, not because of their own intention in increasing their own welfare, causing their capacity to lack growth. Initiative and creativity of farmers still rely on efforts conducted by the government while information providers themselves have limitation due to minimum operational cost provided by the local government (Turua, 2014).

Villagers are already involved in each development plan in village each year, but their participation is generally at tokenism placation level (involving community representatives in the development program but the decision remains in the hands of the government) according to the Arnstein participation ladder (Arnstein, 1969). Due to the limited knowledge shows that the majority of farmer respondents in Arso (51.43%) have an education level of elementary school), their participation rate is not yet optimal (Survey, 2016).

## Impact of Agricultural Sector Development

Farmers are provided with new housing and technical irrigation network so that they can plant the main commodities among others rice in accordance to the central government's guidance at the time. Then the central government also implemented a developmental policy in agricultural sector oriented at industry (agroindustry) by opening up plots of plantation area, such as palm tree, coffee, and cacao plantations. Farmers in mountainous area of Papua are encouraged to cultivate coffee plants while farmers in Keerom and Jayapura Regencies are encouraged to cultivate cacao. The developmental approach is generally *top down* and technocratic. Such developmental program also increases the income of the farmers but still cannot empower them. This can be seen from various stories as follows.

At the beginning of development in Papua, in order to fulfill the primary food of the people, the government brought in or imported rice from outside of the area. Consequently, there has been a change in food consumption pattern on the indigenous people of Papua, which was initially benefited from sago as the main source of carbohydrate, into rice. The other study shows that by the introduction of rice to the people of Sentani, Jayapura Regency, the function of sago as a source of daily staple started to be replaced (Yeny & Alhamid, 2005). This had an impact on the development of population of sago forest there which is a native plant of Papua. The decrease in sago forest while the suitable

land for paddy fields was still limited causing huge dependency of the people of Papua on areas of source of producers outside of their area.

Farmers in Papua become quite dependent on government's policy thus making them unable to adapt easily when there is a problem or when there is a market change. For example, problems in palm tree processing plant in Arso caused palm tree market disturbance causing lost to farmers because of inability to promptly sell their harvest. Many are affected by its impacts for relying their income on the commodity and hoping on government's interference to handle the problems at the plant (Rumbarar, 2016). It is necessary to increase agricultural information especially in terms of plant diversification, innovation in processing harvest and its marketing. Timer (as cited in Adnyana, 2006) stated that it is necessary to have a dynamic agricultural system, depending on commodity diversification which has a market prospect which is more profitable by integrating variety of fruit, variety of vegetables, and livestock. This establishment requires farmers to survive even if there are problems to the market of one of their commodities grown by relying on other commodities.

The potentials of Papua in agricultural sector are quite significant considering the large area that can be used and from that much of it has a status of communally held which means that ownership as well as management is handled by the indigenous people of Papua. However, farmers originally from Papua who are in the districts of Muara Tami, Arso, and Skanto generally have a level of income which is relatively lower than farmers from outside the area even though they have larger plots of land. Turua stated that behavior and culture of the natives of Keerom Regency tended to have subsistent attitude which has made them not be able to develop like other farmers who come from other places. Turua also stated that the farmers originally from Papua but came from farmers originally from Papua from the area because they were more productive in their work (Turua, 2014).

Developmental approach with the characteristics of *top down* and technocratic is also sometimes not to the point as seen among others on the lack of function of terminal facilities built by the government, for examples Agribusiness Sub Terminal in Village of West Koya, Muara Tami District, and Aividjan Terminal in Arso District. This facility should be built on the local market location that had been existed.

## CONCLUSIONS

The agropolitan area in the city of Jayapura and the surrounding area has not developed significantly, as seen, among others, from the agribusiness link there, which is still short, the downstream agribusiness subsystem infrastructure is still quite limited, farmers' capacity is still low with a level of dependency on the government which is still high. Since it was declared an agropolitan area in 2002, after 14 years ago, the city of Jayapura is still at the stage of food self-sufficiency. GRDP growth rate in

the agriculture sector has been positive but has not been able to encourage the growth of agro-industry activity. It is expected that ideal conditions will not be achieved with the remaining program's time (11 years) especially if there is no special attention from the central and regional governments on the limited conditions in Papua.

This pioneering and stimulant development program is less appropriate when applied to relatively isolated areas with few growth centers (urban areas), such as Papua Province. The local government and the community have not been able to independently develop an agropolitan area if inter-regional infrastructure is not yet established and the marketing area is still limited. The development of regional infrastructure facilities, which requires substantial funds in their development, will depend heavily on development programs from the central government.

## ACKNOWLEDGEMENTS

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# A Relook at Visual Privacy: Definition and Factors Influencing Muslim Visual Privacy (MVP)

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## ABSTRACT

Past literature has indicated a lack of visual privacy in the design of terrace housing in Malaysia, especially for Malay Muslim families, owing to specific Islamic regulations and principles governing the modesty of self, family, and house. The main objectives of this paper are to analyse the definition of visual privacy from Islamic perspective or Muslim visual privacy (MVP), and to determine the factors that influence its perception among Malay Muslim communities who are living in terrace housing development in the Klang Valley, Malaysia. The study involved a survey interview of 441 respondents and 10 case studies. Findings indicate that in adapting to the contemporary urban environment of today's terraced housing, Malay Muslim families are shifting away from the traditional Malay as well as previous Islamic concept of visual privacy. Analysis indicated that the Malay Muslim families required a balance between visual exposure and visual access in order to achieve an optimum level of visual privacy to enhance daily comforts, while still being informed by Malay culture and Islam. It is the balance between visual exposure and visual access which influences the four identified factors influencing Muslim visual privacy which are protection of *aurat*, security, community interaction and hospitality to guest.

*Keywords:* Malay Muslim family, Klang Valley, terrace housing, visual privacy, visual exposure, visual access

## INTRODUCTION

Privacy needs in housing are universal across all cultures, however, how they are translated and regulated is a culturally specific process (Altman, 1977). In the case of Western housings, visual privacy is highly influenced by culture (Rapoport, 1969; Shach-Pinsly et al., 2011) while visual privacy for the Muslims is influenced by both cultural and religious requirements (Besim, 1986; Hisham, 2003; Rahim, 2015). Several studies by Islamic scholars defined visual privacy as protection of the family, especially female family members from the view of male strangers (Besim, 1986; Hisham, 2003). Visual privacy is the ability to carry out daily activities free from fear of undue visual intrusion (Alkhazmi & Esin, 2017), and concealing interfamily affairs from the eyes of outsiders (Babangida & Katsina, 2018). This is supported by Besim (1986) who stressed that a context which allowed overlooking was considered harmful and was an offence in Muslim law.

The definition of visual privacy from Islamic perspective, which focuses on the aspect of exposure from outside, has influenced the traditional Muslim house form as discussed by Besim (1986) and Hisham (2003). Figure 1 illustrates how housing in the traditional Arabic-Islamic city ensures adequate visual privacy through its design and planning. On the other hand, there are studies which attempted to define visual privacy from the Western perspectives. A study by Reis and Lay (2004) defined visual privacy as what could be visualized from certain spaces and the control of visual connections. Altman (1977) described privacy as an optimization process of controlling information to the self, while a more recent study by Georgiou (2006) described privacy as regulating the transmission of information to the surrounding environment.

Visual exposure and visual access are both important issues affecting the visual privacy level of the house. Shach-Pinsly et al. (2011) described visual exposure as being a component of visual privacy but not fully representing visual privacy. The same study defined visual exposure as:
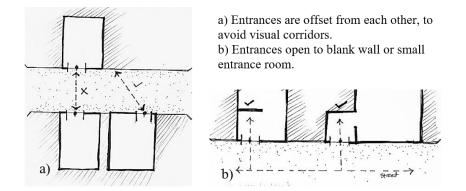


a) Entrances are offset from each other, to avoid visual corridors.
b) Entrances open to blank wall or small entrance room.

*Figure 1.* Positions of openings in traditional Islamic housing

"*the visual penetration of one's privacy as a result of being viewed from the external spaces of other building facades or public spaces at street level*" (Shahch-Pinsley et al., 2011). From Islamic perspective, visual exposure can be defined as a visual corridor generated by the context (ie. house) which leads to privacy intrusion of female family members by male strangers (Besim, 1986). Besim (1986) strongly asserted that based on his study of traditional Arabic-Islamic cities, a context which permitted visual intrusion was considered harmful and punishable by Muslim law.

This paper proposed a definition for visual access as allowing visual connectivity from inside to the outside of the house. Admittedly, visual access should be controlled in order to avoid increased visual exposure, however, it still should be provided for purposes such as allowing views and security. The importance of visual access was highlighted by Besim (1986) in his definition of internal privacy of the house. He emphasised that the main objectives of internal privacy were to ensure adequate visual privacy from outside and between spaces in the house, as well as, to ensure connectivity of the member of the households to nature. His study which was based on the context of traditional Arabic city of Tunis, related 'connectivity to nature' via the use of the internal courtyard. However, due to the strength of the requirement of visual access to outside or nature, it informs this study that even in other types of housing typology, it is still an important variable which should

be considered in the provision of internal visual privacy.

The discussions presented so far suggest that visual privacy is a two-way system; an ability to control and regulate visual exposure and visual access. Even though there is no discussion on visual access as part of the definition of visual privacy by Muslim scholars, there is an indication that visual access was considered in the design of traditional Muslim houses. A good example is the *mashrabiyah* (Figure 2) which is designed to allow ventilation, daylighting and visual access. It is a full height, latticed screen, which wraps around an extruded window. The *mashrabiyah* is designed based on the no harm policy of the Islamic building principle which fulfils an important social function (Sidawi, 2012). It allows the person inside the house to view outside, while protecting them from visual exposure. In addition, the position of the *mashrabiyah* itself is ensured not to directly face an opposite window in order to avoid overlooking into another person's house (Sidawi, 2012). The *mashrabiyah* is evidence in physical form of the need for visual access. Thus, this study is suggesting that the definition of visual privacy should provide a balanced view between the protection from visual exposure and allowance of visual access.

Past studies by Hashim and Rahim (2008), Md Zohri (2010), and Rasdi (2010) emphasized the serious issue of lack of visual privacy experienced by Malay families of terrace housing development in urban areas. Conflicts due to incompatibility

of the home environment and cultural norms have adverse psychological effects and ultimately lead to changes of behavioural norms and abandonment of required religious and cultural values (Hashim and Rahim, 2008; Md Zohri, 2010; Omar et al., 2012). This may also lead to a shift in terms of how Malay families living in terrace housing define and perceive visual privacy in comparison to the Islamic concept or the traditional Malay concept. Besim (1994) and Hisham (2003) asserted the importance of studies needed in the context of local culture within each Muslim community to provide a deeper understanding of the acceptable concept of visual privacy and how it could be adopted by local council, occupants, and owners.

In support with this paper, past studies on housing in Malaysia (Rahim, 2008; Md Zohri, 2010; Hashim and Rahim, 2008) emphasized the lack of privacy experienced by Malay families of terrace housing developments in urban areas in Malaysia. As the level of privacy is measured against the compliance to Islamic teachings, thus it can be inferred that the terrace house is not providing enough privacy, especially visual privacy. Omar et al. (2012, 2016) pointed out that conflicts due to the incompatibility of the home environment and cultural norms might have adverse psychological effects or housing stress on the occupants. This will ultimately lead to changes in behavioural norms and abandonment of required religious and cultural values (Hashim and Rahim, 2008; Md Zohri, 2010).

Rahim (2008, 2015) indicated a lack of understanding of the perception, priorities, and needs of the current urban Malays themselves. A deeper understanding of what the urban Malays need is important in order to provide deeper insight into their perceptions regarding visual privacy. Past literature



(a)                                          (b)

*Figure 2.* (a) Sketch of a traditional *mashrabiyah*, (b) Wikala of Bazaraa in Cairo, Egypt

*Source*: www.cairo.gov.eg

also shows a tendency to benchmark Malays against the traditional Malay culture. However, for Muslims, religious requirements needed to be prioritized before local culture as emphasized by Besim (1986). Changes in living environment, culture and understanding of Islam as a way of life over the years are expected to alter the perception on the visual privacy of the Malay families in the urban areas. It may well be that some aspects of the traditional Malay culture are no longer fully applicable to define the current urban Malay-Muslim families living in the urban areas. Therefore, the definition of Muslim visual privacy to the Malay Muslim community residing in terrace housing, henceforth termed Muslim Visual Privacy or MVP, need to be understood before it can be translated into housing design.

Review of literature indicated a lack of information on visual privacy in the traditional Malay culture. However, past studies agreed that in general, the concept of privacy in the traditional Malay culture is different compared to the Western concept (Hashim et al., 2009; Hashim & Rahim, 2010). It may not be consistent with the Western concept, but it does not mean the traditional Malays are lacking in privacy. Hashim et al. (2009) highlighted in their study on the contrast between the Western perception and Eastern concept of privacy. An example of a Western privacy concept by Hall (1959) as cited in their study is that privacy is about the control of personal space. Westin (1970) noted that the Western concept of privacy was based

on individualism. This highlighted the importance of personal space in fulfilling their privacy needs. The Eastern concept, on the other hand, prioritizes the family as a unit over individual privacy needs (Hashim et al., 2009). Community ties are very strong, and hospitality is an important part of the traditional Malay society.

The unity of the Malay culture and Islamic principles can be seen in the traditional Malay house (Amirhosein et al., 2014; Razali & Talib, 2013), which is designed based on a deep understanding of cultural and religious requirements, daily and yearly routines of occupants and specific privacy needs. Elham et al. (2016) in their study emphasised that the design of the traditional Malay house was based on the beliefs and perception of the traditional Malay community itself. The said beliefs and perceptions influence the form, layout and segmentation of the traditional house thus influencing all functional aspects including privacy (Elham et al., 2016). The need for family privacy, community intimacy, hospitality and social interaction with neighbours were provided in the traditional Malay house and its setting at a different level, both inside and outside the house. Othman et al. (2013) viewed the design of traditional Malay house as being too 'extrovert' compared to the internalised Arab housing. Rahim (2015) and Tahir et al. (2010) both disagreed with this, as their study suggested that it was the unique vernacular design with their raised flooring, windows with fenestrated balustrades and transitional spaces such as the external

*serambi* (greeting area) which permitted community intimacy while maintaining familial privacy (Figure 3).

## Objectives

The aim of this paper is to examine the perception on visual privacy among the Malay families living in terrace housing in urban areas of Malaysia.

Specifically, the objectives are to:

i. analyse the definition of Muslim visual privacy (MVP),

ii. determine the factors that influence its perception among Malay Muslim communities who are living in terrace housing development in Klang Valley, Malaysia.



(a)        (b)

(c)
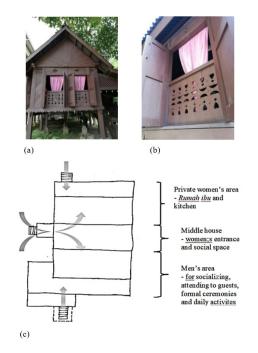
*Figure 3.* Windows (a), balustrade at windows (b), and layout diagram of a traditional house showing visual privacy consideration in the interior spaces (c).

## METHOD

The study uses both quantitative and qualitative methods. Mixed method is more effective and powerful as the weaknesses and biases in one method is balanced by the strength in the other (Creswell, 2009). Furthermore, the qualitative nature complements the quantitative method by providing the answer why, thus adding depth and richness to the explanation (Coolen, 2008). Based on the description by Creswell (2009), the specific method chosen by this study can be termed as a sequential mixed-method approach as "*sequential mixed method procedures are those in which the researcher seeks to elaborate on or expand on the findings of one method with another method...*".

The interview survey involved 441 respondents living in two-storey three-bedroom terrace houses and 10 in-depth interviews of respondents identified during interview survey based on their willingness to participate in the study. This study also utilized the second rule by Lonner and Berry (1986), where one did the best one could under the circumstances to appropriate sample, to allow the best execution of the research. Two housing areas located in Bandar Baru Bangi and Bandar Seri Putra, Selangor were selected for the study. The locations were selected as both have a high percentage of Malay population with a high number of terrace houses. They are also located in the Klang Valley, one of the most developed districts of Selangor, and the most urbanized and populated state in Malaysia. The two housings have a combination of matured and young families.

The first objective strives to define Muslim visual privacy (MVP). The aim of this objective is to investigate whether the Malay family's definition of MVP is in line with either the more traditional definition as per past Islamic scholars or inclined towards more recent findings indicating importance of visual access as part of visual privacy. The two definitions provided in the survey (Definition 1 and Definition 2) are taken from past literatures on the conception of visual privacy of the house. The second objective determines the factors that influence perception on MVP among Malay Muslim communities who are living in terrace housing development in Klang Valley, Malaysia.

## RESULTS AND DISCUSSION

The respondents were inhabitants of terrace houses in the selected housing developments. Male respondents constituted 61% and female respondents constituted 39% of total respondents. The age range of the respondents was between 20 to 70 years old with an average age of 43.6 years. The majority (40.4%) of respondents had resided in their terrace house for more than 10 years, while 31.5% had resided for a period between 3 to 10 years, and 28.1% had resided for period between 1 to 3 years.

## Definition of Muslim Visual Privacy (MVP)

A One-Sample t-test was performed on the mean responses on the two definitions which showed that there was a significant difference in mean response between Definition 1 and 2, $t(434) = -15.855$, $p < 0.05$ ($p = 0.000$). The result for this analysis is presented in Table 1. In general, this indicates that there is a significant difference in perception by respondents between the two proposed definitions. The findings show that 92.2% of the respondents agreed with the definition of visual privacy as the control of visual connections from inside and outside (Definition 1). Definition 1 indicates that both visual exposure and

Table 1

*Result on the definition of visual privacy*

| Definition of visual privacy | Agree | | Disagree | |
|---|---|---|---|---|
| | N | % | N | % |
| **Definition 1:** Visual privacy of the home from Islamic perspective involves a balance between visual restriction and visual access. (N=439) | 405 | 93.9 | 34 | 6.1 |
| **Definition 2:** Visual privacy of the home from Islamic perspective only involves protection of *awrat* as per Islamic requirements, with no need for any visual access. (N=435) | 244 | 56.1 | 191 | 43.9 |

visual access are needed to achieve optimum level of visual privacy. The second definition (Definition 2), which defines visual privacy as primarily protection of visual exposure was agreed by 56.1% of the respondents which was not as strong as Definition 1.The findings also suggested that the definition of visual privacy from Islamic perspective was in line with past studies by Islamic scholars in terms of prioritizing protection from visual intrusion and protecting female family members. However, the findings differ in that it emphasised the importance of visual access for Malay families to ensure security of family through natural surveillance and for general well-being. The results are in line with not only recent study by Rahim (2015) emphasising need for visual access, but also by Besim (1986) who pointed out the need for connection to nature in designing for internal visual privacy.

Findings from in-depth interview explain the need for visual access is important in maintaining visual privacy from outsiders as visual access allows the family to see when someone is at the gate. In other words, visual access viewing out provides security and therefore privacy from unwanted intrusion. Visual access also provides psychological comfort to the occupants within the privacy of the house. The following verbatim responses illustrate some of the perceptions of visual privacy in the house by respondents:

*"As a Muslim that strongly adheres to Islamic requirements and wears the hijab, I want a house that protects the visual privacy of the family and discourage visual intrusion. Visual intrusion may affect our comfort level in the house and we would not feel free in our own house. We might feel that we don't have the freedom and privacy to open the door and windows to our own house."*

*"I still want it to be open because then I can see what is going on outside, in case there is a suspicious character outside. That is important."*

## Factors Influencing the Perception of MVP

There are many factors that influence the perception and satisfaction on visual privacy for terrace housing occupants. The study analysed four factors, derived from literature review and the pilot in-depth interview, which influenced visual privacy from Islamic perspective. Findings showed that all the factors; protection of *aurat* as per Islamic requirement, security of family, hospitality to guest and social interaction with community strongly influenced ($\rho \leq 0.05$) the perception on importance of visual privacy, visual access and house design. This result presented in Table 2, proved that all four factors were main influencers on the perception of 1) importance of Muslim visual Privacy (MVP), 2) importance of visual access and, 3) importance of house design in providing visual privacy to Malay Muslim families. Based on In-depth interview, definition and regulation of visual privacy were also influenced by a few non-visual factors such as need for natural lighting and ventilation.

Analysis was carried out in order to rank the factors (by mean values) to investigate prioritization of respondents in terms of factors affecting MVP. The results indicated that three out of four factors made a significant difference (ρ≤0.05) on perception on the importance of visual privacy of the house for the respondents (Table 3). The factors which ranked last in the list of factors and was the only factor which did not make a significant difference to the mean of importance of MVP, was 'hospitality to guest'. The findings indicated that the protection of *awrat* as per Islamic requirement, although was highly significant (ρ=0.000), was second compared to the physical security of the family which

was the primary concern for majority of respondents. This was followed by social interaction with the community. The results also show that based on respondent's perception, allowance for visual access as part of visual privacy is essential to maintain the security of the family from intrusion.

Importance of the two factors; the physical security of the family and protection of *aurat* as per Islamic requirements, indicated the importance of protection from visual exposure and allowance for visual access as factors affecting visual privacy from Islamic perspective. The need for security overrules the need to be hospitable to guests and having social interaction with the community. This finding explains the

Table 2

*Factors influencing perception on importance of MVP, visual access and house design*

|  | Protection of aurat | Security of family | Hospitality to guests | Social interaction with community |
|---|---|---|---|---|
| Importance of MVP | 0.319** 0.000 | 0.279** 0.000 | 0.172** 0.000 | 0.211** 0.000 |
| Importance of Visual Access | 0.271** 0.000 | 0.260** 0.000 | 0.243** 0.000 | 0.261** 0.000 |
| Importance of House Design to MVP | 0.162** 0.001 | 0.163** 0.001 | 0.184** 0.000 | 0.214** 0.000 |

*Note:* *ρ≤ 0.05, **ρ ≤ 0.001

Table 3

*Factors influencing perception on importance of visual privacy*

| Ranking of Factors | Mean | F-value | ρ |
|---|---|---|---|
| Security of the family | 4.62 | 10.133 | 0.000** |
| Protection of *aurat* as per Islamic requirement | 4.57 | 12.267 | 0.000** |
| Social interaction with surrounding community | 4.33 | 2.782 | 0.041* |
| Hospitality to guests | 4.27 | 2.400 | 0.067 |

*ρ ≤0.05, **ρ ≤0.001

reliance on territorial markers for example closing gate and main door, and need to have visual access for natural surveillance, as well as behavioural norms of requiring guest to inform prior to coming over. Conflicts between protection from visual exposure and need for visual access arise when they need to close up windows and doors due to privacy violations, when in fact they would prefer to open them. Respondents mentioned they require visual access for views, when looking at guest arriving at the front gate, suspicious strangers or vehicles passing by or strangers trespassing neighbouring houses. Tinted glass windows and curtains are used to regulate visual privacy in terrace housing

The Malays are known for their good hospitality, a value consistent with the teaching of Islam. However, finding from the survey indicates that hospitality to guest is last in the list of factors influencing the perception on visual privacy (Table 3), indicating that in the process of protecting the *aurat*, hospitality to guests was compromised due to constraint of terrace house design. Unlike the traditional houses, the hierarchy of space at different levels of spaces in and outside the house which allow hospitality social interaction are not inherent in the terrace houses. Visual privacy is important to the Malay families in the context of terrace housing in Malaysia. The planning of the housing units is seen as an important factor in providing visual privacy to the occupants. A house facing an open area or park is preferred as the occupants feel that visual privacy may be compromised

if a house faces another house. In this case, due to the mirror image planning of units where the entrance doors and windows directly face another housing unit, there is a need to close the doors and windows (with curtains) to avoid visual exposure.

## CONCLUSIONS

Visual privacy from the perspective of the Malay families living in terrace houses in the urban areas in Malaysia involves a second dimension; visual access and not only visual exposure as emphasized by Muslim scholars. This may be due to the fact that their definitions were based on a specific culture within the Muslim society with different cultural values and housing context. This is expected as privacy is culturally specific. A balance between protection of visual exposure and visual access involves the control of visual connections from inside and outside, with priority on protection of modesty of the family is necessary to achieve optimum visual privacy. It is the balance between the two issues of visual exposure and visual access which then affects the four factors affecting visual privacy for Malay Muslim communities namely; security of family, protection of *aurat*, social interaction with surrounding community and hospitality to guests. The definition highlights the need to allow provision for visual access and freedom to regulate openings in the house for Muslim occupants, while still protecting their modesty.

The protection of *aurat* and security are the most important factors affecting

visual privacy among the Malay families living in terrace housing. However, in the process of achieving optimum visual privacy, hospitality to guests and community intimacy; two values integral in Islamic teaching and Malay culture are compromised due to the constraint of the terrace housing environment. The lack of understanding of the importance of religious and cultural values resulted in housing design which is not consistent with the way of life of the occupants, subsequently will have negative implications to future generations living in terrace housings. There is a need for developers and designers to learn from traditional housing and settlement in providing housing designs that support and sustain religious belief and culture, consistent with the need for visual privacy.

## ACKNOWLEDGEMENT

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# *Black Panther*: Identity, Afrofuturism, and Representation of Superheroes

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## ABSTRACT

Representation in the media is a constant source of controversy. It shows in the fact that even though the number of superheroes appearing on network and cable television is growing, leading roles of non-white, particularly black superheroes in mainstream movies remain scanty. Though movies and culture have been postulated to have a powerful influence on how non-white viewers are perceived and how they perceive themselves, non-white characters have been severely under-represented. In the Academy Awards, nominees are often dominated by white actors and cinematographers. The article is to show how black superheroes are depicted in movies. In particular, the significance of this article is that it sheds light on the ways in which Black Panther, an African superhero, and Afrofuturism are represented in the film. It examines issues of underrepresentation and symbolic annihilation and their impacts to viewers. The article eventually argues that the increasingly diverse world is thirsty for non-white superheroes like Black Panther. Viewers deserve a superhero they can relate to from stories from their own past so that they can celebrate their historical progress and achievements and have a feeling of self-respect and dignity.

*Keywords:* Afrofuturism, black panther, representation, superheroes, symbolic annihilation

## INTRODUCTION

In America, where they are scarcely recognized for their remarkable accomplishments, except in sports and music entertainment, Afro-Americans, especially the younger children, often turn to another course to excite their imagination. History has shown that for hundreds of years, Afro-Americans have been subjected to discrimination and inequality. Discrimination is not only a real-life issue. It is also a recurrent issue raised in comics, cartoons, advertisements, television shows, and films. This issue could actually provide immense potentials to weave imaginative narratives, offering various interesting ways to expose the potentials and achievements of Afro-Americans and convey certain social and political messages to the audience. This article is concerned with the representation of minority groups in the media.

The media is one of the most effective means of expanding knowledge and understanding. Through TV shows, radio broadcasts, and films, for example, messages are transmitted, relayed, and repeated to the entire world. McQuail (1987) as cited in Akter (2015) classified the social functions of media: "information, correlations, continuity, entertainment, and mobilization". With these five functions, the media can play their role in managing integration, coordination, control, stability, mobilization, tension, thoughts, values, discipline, and conformity (Moradi et al., 2012). However, despite their ideal function to "[extend] the rights of individuals and groups" (Klaus, 2009), not all mass media

consistently put this into practice. Some information presented in the media tends to drive public opinion, which can eventually spur power relations among the existing social groups (Curran, 2012). Viewing representation and symbolic annihilation as important concepts, this article explores it as the basis for discussing the phenomenon of marginalization of minority groups in the media.

Furthermore, as Rollins (2018) and White et al. (2017) confirmed, intense childhood exposure to superhero characters from comics and films can have certain effects on their development. Children read and see how their favorite characters deal with and overcome problems. Scenes in which superhero characters daringly endeavor to come to the rescue and save the day are a type of exposure that serves as some kind of 'common ground' that prompt children to identify themselves with superhero characters. In real life at home, in the neighborhood, or at school, children see and are faced with real problems which they have to deal with. A number of studies have shown the partial, negative side of superhero films for children (Coyne et al., 2017; Jensen, 2010). However, some others have also proven otherwise—see among others: Johnston (1987), Pena et al. (1987), Rollins (2018), and White (2017). According to Pena et al. (1987), for example, what is more important to consider is the fact that basically humans start to develop their critical personality and attempt to develop their autonomous awareness and self-perception at an early age. For

children to be adequately and harmlessly exposed to superhero characters, they need to be accompanied by a parent or an adult guardian who understands movie ratings/ classification for the duration of the film so that the adult can filter the messages, explain or skip scenes with classified materials in order to minimize aggressive behavior outcomes. And exposure to all that is good would be a bit of a problem if children have hardly any or no access at all to comics, books, and films that feature Afro-American superheroes.

Earlier studies on the representation of and films about superheroes still mostly focus on white superhero characters. Most studies are still heavily inclined to show that 'the great American pop culture' belongs to white scriptwriters, directors, and white superhero actors and actresses (Dyson, 1997; Gordon, 2016; Hutchison, 1996; Klock, 2002; Loeb et al., 1999). Some studies, though, have focused on black superheroes in films that do not use their names as their titles, with *Hancock* (Goldsman et al., 2008), *Black Dynamite* (Steingart et al., 2009) and *Blade* (Frankfurt et al., 1998) as exceptions. Other black superheroes that have been studied are not the main characters but white superheroes' sidekicks.

Black Panther is the name of a black superhero from Africa. He first appeared in a mainstream American comic and he eventually appeared in a Marvel Studios film with his own name as the title. This article chooses the film *Black Panther* (Feige & Coogler, 2018) as its focus not only because

it is the first black superhero film produced by Marvel Studios, but also because the film raises the issue of power and media representation. While other films depict how domination is structured, *Black Panther* does the opposite. It challenges the general view that superheroes must be white males.

To show that the playing field of the article is multi-layered, and the issue is not so 'black and white', the discussion of the article is not merely going to prove that black leading stars have been substantially uncast in the movie industry. Nor is the article going to show symptoms of Hollywood's and Disney's failure when it comes to giving leading roles to actors of color. The article acknowledges that film industries in general create situations in which their non-white audience see some of their best actors in the movies. It should also be noted though that the discussion on Black Panther in this article does not necessarily represent the specifically under-represented Afro-American superheroes. It is generally intended for non-white, and especially black, superheroes so that they can use Black Panther to depict an imagined world through fiction and fantasy.

Overall, this article attempts to underline why *Black Panther* is an important film for minority groups, particularly black audience in America. Beginning the discussion by highlighting some points about the media, which have dominantly promoted negative stereotyping of black people, the article will then explore how symbolic annihilation in the media has resulted in the fact that black people have been underrepresented

in the media. In particular, the article also discusses the concepts of representation and afrofuturism and their significance in *Black Panther*.

## MATERIALS AND METHODS

This article used a qualitative approach on the bases of the above-mentioned research objectives and the fact that the whole analysis tried to explain the nature and context of a phenomenon. The subject of the research comprised the film *Black Panther* itself a text and the explicit and implicit meanings that it conveyed. The object of the research was the issue of representation, racial identity, and afrofuturism in the film. It was impossible to analyze the film without first watching it a number of times. Certain scenes needed to be repeated in order to observe not only the dialogs but also the various visual and non-verbal aspects that might have been overlooked. Data were collected by scrutinizing all the dialogs and deciphering verbal and non-verbal signs in the film. The results of the observation were put into a note.

The research also involved a descriptive method which aimed to describe both its subject and object based on the facts found and findings of previous studies. The discussion was informed by the concept of symbolic annihilation proposed by Gerbner and Gross (1976), Philogène (2004), Atkinson (2009), Derman-Sparks et al. (1980), Fujioka (2005), Brown (2001), and Foster (2005). Mass media articles pertaining to movie industry and its serious race problem by Carroll (2016), Harwell (2016), and Seymour (2016) were also considered. The part discussing about the maintenance of power-related status quo by promoting and perpetuating the cultural practice of whitewashing was informed by Lehti (2016), Smith et al. (2016), and Vogel (2018). The discussion was also based on the concept of representation of Afrofuturism elaborated by Dery (1994), Sowell (1976), and Womack (2013), which was further linked to the concept of black people's representation in the media and ethnic diversity as social issues discussed by Chattoo (2018), Mapp (2008), Holte (1984), "Black Actors" (2005), Staples and Jones (1985), Terry (2018), Bondebjerg's (2012), Gross' (2001), and Kaplan's (2002) views on the lack of media representation of black people and its impacts.

Taking into account the concepts not only help sharpen the analysis, but also balances it because the concepts provide deeper insight to the study of a subculture and give access to the otherwise unheard voices. The concepts also enable better exploration of black superhero characters. It can eventually be argued that a work of art, in this case a film entitled *Black Panther*, can be an endeavor to not only voice previously silenced or unarticulated voices, but also resist the notion and practice of symbolic annihilation and/or white cultural dominance in the media.

## RESULTS AND DISCUSSION

*Black Panther* is a film adapted from a Marvel Comics series of the same name. Created by two comic legends Jack Kirby

and Stan Lee, the superhero first appeared in Marvel's *Fantastic Four* series number 52 in July 1966 (Nama, 2011). Director Ryan Coogler and producer Kevin Feige adapted the *Black Panther* comic series into a cinema movie. Produced by Marvel Studios, *Black Panther* tells the story about T'Challa, son of Wakanda King and Queen T'Chaka and Ramonda. T'Challa is expected to replace his late father, succeeding the throne and continuing the hereditary Black Panther legacy. In the 134-minute movie, Black Panther has to fight against his cousin Erik Killmonger (born N'Jadaka) who intends to lead a worldwide revolution, plans to seize the throne from T'Challa, and control Wakanda's resources of vibranium, the extraterrestrial metallic material used to develop the kingdom's advanced technology and weaponry. *Black Panther* is laden with social and political messages that construct and turn Africa as the most important region in the Marvel's world. With *Black Panther*, afrofuturism is a philosophical concept brought to life by a man like Ryan Coogler. In the following section, the discussion shall focus on the issues of Afrofuturism, symbolic annihilation, and the lack of representation of black people in the media.

**Symbolic Annihilation, Superhero, and Racial Identity**

On the concept of symbolic annihilation, Gerbner and Gross (1976) commented that "Representation in the fictional world signifies social existence; absence means symbolic annihilation." Non-representation in fiction results from symbolic annihilation.

Further elaboration on the concept of symbolic annihilation developed by scholars in the context of representation of racial, ethnic, and women groups is needed to deepen understanding of how a black character is represented cinematographically in America's movie industry. The next section of this article discusses how the concept is used to analyze the impacts of symbolic annihilation. Before that, however, it is interesting to note how symbolic annihilation is reflected in Oscar statistics.

While it is impossible to list every black actor and actress, it should importantly be affirmed first that there have been a number of leading actors of color who are consistently in the limelight as entertaining, intelligent, bold, professionally successful, or witty characters on cinema around the world. To name a few, respected and world-renowned black actors and actresses like Whoopi Goldberg, Oprah Winfrey, Will Smith, Denzel Washington, Jamie Foxx, Eddie Murphy, Martin Lawrence, Queen Latifah, Forest Whitaker, and Samuel L. Jackson have made significant contributions to changing racial attitudes and the use of stereotypes in cinema. It can be seen in all their glory that they set out a new image for black actors and actress and establish their cultural identity, and even some have won the Academy or been Oscar nominated for their roles. Be that as it may, facts and figures related to nominations and awards for black actors and actresses still leave a niggling feeling of dissatisfaction. In the 77-year history of the Academy Awards, blacks were only 3.2% of all nominees for

acting awards ("Black Actors", 2005). In addition, only 35 Oscars were awarded to black artists out of more than 2,900 winners in the Academy's 87-year history. While 95% of nominations went out to white film stars, less than 4% of the acting awards were given to African Americans (Syed, 2016). Concerns resulting from stagnation, if not decline, related to the statistics of black artists receiving awards can be traced back to the following years, when not even a single black star was nominated or awarded in the most prestigious event in the film industry. These concerns may have been rooted in the fact that nearly 94% of Oscar voters were white (Carroll, 2016; Mapp, 2008).

The view that only very few nominations and awards have been given to black artists has stirred up some controversies in the film industry. However, the voting members of the Academy of Motion Picture Arts and Sciences (AMPAS) seem to keep this status quo. Thriving since 1915, such a practice is known as whitewashing: the act of choosing a white actor to play the role of non-white characters (Bachelier, 2018). Today, the term whitewashing can also refer to the practice of favoring white over black actors, directors, and cinematographers in an award-giving event as prestigious as the Academy Awards (Lehti, 2016; Vogel, 2018). This phenomenon is validated in a study by Smith et al. (2016), which confirms that of the total of 4,024 characters that could be evaluated for apparent race/ ethnicity across the 100 top films of 2014, 73.1% were white and 12.5% were black (Smith et al., 2016).

These findings highlight a reality that black actors do not lack talent but opportunity to win Oscars. The practice that has denied and annihilate black actors has given rise to viral public criticism and (social) media coverage under the umbrella hashtags of #OscarSoWhite and #HollywoodSoWhite, causing people to call for Oscar (Chattoo, 2018; Harwell, 2016; Seymour, 2016).

A quick glimpse at the names of superheroes ever created would confirm that lack of representation is there. As an illustration that all can agree, Superman has appeared at least 10 self-titled movies 1948 (Hughes, 2018; Kozlovic, 2016). In comparison, since introduced in 1996, it was only in 2018 that *Black Panther* appeared in a self-titled film. This again indicates that symbolic annihilation is evident and has been practiced for long. Enriching Gerbner and Gross (1976), Merskin (1998) defined symbolic annihilation as "the way cultural production and media representation ignore, exclude, marginalize, or trivialize a particular group." The timeline of superhero appearances in Hollywood movies indicates that symbolic annihilation marginalizes black people's (works, ability, and even existence). In other words, symbolic annihilation of black superhero characters, which can be traced back easily, is deleterious to those who are marginalized.

The lack of black superhero appearances in comics, television series, and films—particularly compared to the much more frequent appearances of white characters—has given rise to a number of important criticisms. Some of these criticisms center

on the issue of racial identity anxiety over the small number of black superheroes, which can have a certain effect on both black and white children. The more frequently white superheroes appear in theaters, the more white people's stories are narrated through the perspective of white cinematographers. Given such a reality groups of young people watch these films and grow up without being able to identify themselves with any superheroes that represent them. For these young people, this imbalance in representation restricts their dreams and ambition, making them doubtful and anxious about their identity. Like young girls, non-white children can hardly imagine becoming superheroes themselves. With the media continuously marginalizing minority characters and thus consistently representing majority characters, children are shaped by the dominant white movie industry. They chase whatever dream they can build from what they see in order to free themselves from doubts and anxieties related to their identity.

Apropos the issue of children and symbolic annihilation in the media, through her study, Philogène (2004) showed that children prefered light-skinned (white or yellow) dolls to dark-colored (black) character dolls. Dark-skinned dolls are associated with negative traits. This kind of racial knowledge and decision cannot possibly develop naturally without exposure or transmission from the media and the people around them. White children who are exposed to such a racial perspective tend to identify themselves based on the

differences they see between them and the people who look different from them. This observation from the reality they see may raise questions of which readily available, yet unbiased answers could most of the time not be found. At this point, they may start to realize both the importance and sensitivity of their questions. This realization is then validated by the media, whose role is strong in representing majority groups, and by the acts and speech acts of adult white people towards people of minority groups, including black people. As for black children, they grow up witnessing that blackness is often associated with negative traits. This can mean two things: first, that they have become an object of negative labelling and second, that they need more positive images of blackness that can overcome their sense of inferiority and self-esteem (Atkinson, 2009; Derman-Sparks et al., 1980; Fujioka, 2005).

Discussions and findings related to the lack of black superheroes imply a strong need for black children and adults to have more black superheroes. In the Hollywood film industry, whose notorious promises of justice and equality in a multiracial society are seldom fulfilled, images of black superheroes are needed amidst the confusion among black people, to whom having a black superhero is a luxury. The issue of racial preference as discussed by Philogène (2004) is also a proof that racial difference and segregation play a significant role in developing the sense of inferiority among black children. The overwhelming number of white superheroes causes people,

particularly black children, to accept the assumption of racial hegemony and white superiority as an accepted truth (Brown, 2001; Foster, 2005). *Black Panther* (Feige & Coogler, 2018) can serve as an antidote to counter against the confusing anxiety and symbolic annihilation, which itself is a reflection of the value/power constructed and promoted by the dominant group.

## Representation, Afrofuturism, and *Wakanda Forever*

During the early days of the Hollywood film industry, black actors played minor roles as servants, and petty criminals. Furthermore, "Even when black characters appeared in serious film roles, the parts were often played by white actors in blackface" ("Black Actors", 2005). The next phase of the industry witnessed black actors playing leading roles as kingpins, drug dealers, pimps, and other roles that helped strengthen the prevailing 'negative stereotypes' of black people in general, causing them to be viewed in condescending ways (Holte, 1984; Staples & Jones, 1985; Terry, 2018). It is apparent from the two illustrations above that the Hollywood film industry has been shaded with symbolic annihilation and that it took very long until black people can finally see a black superhero in theaters around the world. The discussion shall continue with some elaborations on the concepts of representation and afrofuturism and their significance in the film *Black Panther*.

As Gerbner and Gross (1976) argued, "Representation in the world of television gives an idea, a cause, a group its sense of public identity, importance, and relevance", adding that with regard to the relation between television shows and human behavior, the environment that sustained the most distinctive aspects of human existence was the environment of symbols. Humans learn, share, and act upon meanings derived from that environment. As media, television—like newspaper, radio, and theater—is likely to remain for a long time the chief source of repetitive and ritualized symbol systems cultivating the common consciousness of the most far-flung and heterogeneous mass publics in history. Since the media are common means of mass communication, they are often used to promote standard or generally accepted roles and behaviors. Film as a medium of mass communication can be defined as "a powerful medium for the visual representation of the past and for putting historical themes and questions of memory and history on the individual and collective public agenda" (Bondebjerg, 2012).

Bondebjerg's definition above implies that like a social environment, the visual narrative in a film exerts a strong influence because film is an effective vehicle for conveying ideas and emotions related to the historical questions, hopes, expectations, dreams, failures, successes of a group of people. Bondebjerg (2012) argued that "we always react to films by bringing our real experiences and emotions with us… We bring our reality with us to the cinema, so even though we know that this is film and fiction, the 'reality-test' stays important." While fictions cannot be used to validate

reality, they "offer models or simulations of the social world via abstraction, simplification, and compression" (Mar & Oatley, 2008). Thus, positive representation of a social group in films and the cause-and-effect relations portrayed in film narratives can contribute to the construction of identity and a sense of confidence.

There are two important points that should not be overlooked in *Black Panther*. First, when the idea of diversity—in reality or repetitive fiction—is often considered as a threat that needs preventive action rather than as a reality that must be accepted, *Black Panther* challenges the thought and belief that superheroes must be white males. Before *Black Panther*—except Stephen Norrington, who directed *Blade* (Frankfurt et al., 1998)—superhero film makers presented black superheroes only as white superheroes' sidekicks or members of a league of superheroes. Before *Blade,* Peter Berg had directed *Hancock* (Goldsman et al., 2008), a film about a black superhero who, like all white superheroes, also had his own super power. However, Hancock (played by the accomplished black actor Will Smith), is characterized as a reckless alcoholic whose supposedly heroic actions often enrage Los Angeles people and cause material damage and losses, making him an object of public censure and ridicule. If this were not enough, Hancock is also an amnesiac who cannot even remember his own identity. Hancock is not a self-reliant character who uses his super power to save the day just like what a superhero is supposed to do. Rather, he is portrayed as

being too dependent on Ray Embrey (Jason Bateman) a white character who balances Hancock's weaknesses and improves his personality and image. In short, *Hancock* on the one hand features a black actor who plays a leading superhero role. Yet, on the other hand, the superhero is always shadowed by a white character who is not a superhero.

In *Black Panther* the superhero has neither sidekick nor any one on whom he depends a lot. In his first movie appearance (*Captain America: Civil War,* 2016)—T'Chala/ Black Panther fills in a subplot to introduce Wakanda Kingdom and King T'Chaka. But in *Black Panther,* director Ryan Coogler presents a narrative in which T'Challa is given much more details. He is portrayed not only as a respected king, but also as a modern superhero who has a highly skillful mastery of the martial art and wears a superhero suit with a black mask made of an extraterrestrial metal material called vibranium. In addition, the film also reveals the secret behind Black Panther's super power, the heart-shaped super herb that only grows in Wakanda: "Heart-Shaped Herb... a plant that granted him superhuman strength, speed and instincts.... It gives whoever takes it heightened abilities. It's what made T'Challa so strong" (Feige & Coogler, 2018). In Wakanda's tradition, the Heart-Shaped Herb can only be used by the king and his successor. To become a Black Panther, a new king must first ingest the herb, which then enhances his physical power and abilities and enables him to enter a state in which his soul can

transcend and commune with his ancestors. The appearance of Black Panther as a black superhero is not a common thing given the reality that the superheroes appearing in comics, books, television series, and films are always white.

*Black Panther* is not only about a black actor acting the role of a superhero. The film has also become a source of pride for Afro-Americans because most of the cast are black actors from Africa and North and South America. Also importantly, the idea of producing *Black Panther* was initiated by a young black writer-director. Ryan Coogler is an African-American writer and director from Oakland; America; T'Challa/ Black Panther star Chadwick Boseman is a black actor, producer, and writer from South Carolina, America; and Michael B. Jordan, acting as Erik Killmonger, is a black producer and director from Carolina, America (Carter, 2018; Kuruvilla, 2018). A longer list of other important cast members includes actors and actresses from South Africa (T'Chaka/ John Kani), Kenya (Nakia/ Lupita Nyong'o), Zimbabwe (Okoye/ Danai Gurira), Guyana (Shuri/ Letitia Wright), Trinidad, Uganda, and Ivory Coast (Akingbade, 2018; Mbugua, 2018). With this many black artists playing in the film, it is very unlikely that black audiences would fail to notice their representation in *Black Panther*.

When a group of people see a little or no representation of themselves in the media, the message they would likely get would likely be that they belong to an unimportant or invisible group or that

there must be something wrong with them. Such a powerful representation as found in *Black Panther* can repudiate erroneous assumptions or messages about self.

On representation, Gross (2001) argued that "when previously ignored groups or perspectives do gain visibility, the manner of their representation will reflect the biases and interest of those powerful people who define the public agenda." It is therefore important for Afro-American actors to play the roles as lawyers, doctors, superheroes, gods, and even God, like Morgan Freeman in *Bruce Almighty* (Shadyac, 2003). Black actors may play the role of a character with a positive image in a film. Certainly, this would not guarantee that in reality people would also accept them positively as a person. However, at least, the level of ability, skill, and acumen shown by the characters they play, though imaginative and speculative yet proportionally reasonable at the same time, especially when it is validated by an Oscar award, for example, would help prevent the actors' right to be treated equally in the real life as a citizen from being ignored or violated. In this context, characters like Black Panther and the binding situations presented in the plot becomes important because the more often viewers—regardless their skin color—are exposed to them, the more accumulated will be the effect of what they see, and the more they would perceive what they see as something normal, accepted, familiar, and thus not absurd.

Concerning the representation "of people, of cultures, of events, and ultimately

of history and of memory" (Kaplan, 2002), what people have seen becomes part of their memory, and this memory becomes part of their knowledge and life experience. Representation and memory are two important sources of power that can be practiced immediately or negotiated. The narrative of a film can affect how people live their life, how they see other people, and how they see themselves. A white child who has watched *Black Panther*, for example, may want to wear a Black Panther costume because he/she thinks that there is no difference between Black Panther and Captain America.

Another point that should not be ignored in *Black Panther* is that the conflict does not arise from the issue of misery, poverty, poor education, famine, unemployment, or other social problems often associated with the life of black people. *Black Panther* offers a narrative about rich natural resources, order, and the super power of a kingdom nation called Wakanda. The fictional Wakanda kingdom lies in Sub-Sahara Africa. It is a very advanced country rich in vibranium. The material contained in the meteorite had been deposited before it was finally discovered. The Wakanda people have developed advanced technology, but, in order to protect their vibranium resources, they have to conceal their scientific and technical achievements from the world. Its location at the center of the surrounding mountains and dense forests makes it easier for the country to remain concealed from the world. From the outside world, Wakanda looks like a poor, third-world country. Feige

and Coogler (2018) described Wakanda as 'one of the poorest countries in the world, fortified by mountain ranges and an impenetrable rainforest. Wakanda does not engage in international trade or accept aid.'

Wakanda is not like what the outside world knows and what is told in American history books on slavery. As commonly written in history books, the dark history of black people in America began centuries ago when trans-Atlantic slave trade began from Africa to European countries (Morgan, 2000). During the long history of slave trade, African people were captured and sold as slaves. They suffered from mental and physical oppression of ruthless white slave owners and traders. *Black Panther* takes African-American viewers on a journey to Wakanda, a place in Africa where black people are the center of their own narrative. In Wakanda the people live a sovereign, independent, and happy life. They are not slaves and do not have to serve white people. By watching *Black Panther,* black people can imagine themselves as people who are free from racial profiling, negative stereotyping, and racial prejudices. It does not need any license or permit from anyone or any institution to celebrate Wakanda because no other people can understand oppression better than those who have been and are always oppressed.

Wakanda is also a depiction of afrofuturism, a concept of future life which is artistically rich, scientifically and technologically progressive, imagined and brought to reality by black artists in their work. Dery (1994) described afrofuturism

as follows: "speculative fiction that treats African-American themes and addresses African-American concerns in the context of 20th century technoculture-and, more generally, African-American signification that appropriates images of technology and a prosthetically enhanced future." Based on this definition, what makes Afrofuturism different from science fiction is that it is not just about any group. It has to be about the tradition and identity of African people and African diaspora across the globe. It is not enough for a narrative about black people to be called afrofuturistic. To pass for an afrofuturistic work, a narrative must present culturally rooted characters, characters who would not hesitate to celebrate anything that is uniquely in which the black culture is reinvented. In *Black Panther*, T'Challa is not just an ordinary black character. T'Challa is a king who can defend his honor in his conflict with N'Jadaka, and a leader of a rich nation that needs no international aids and that would not lose anything were it to develop the world—which is also inhabited by white people—with vibranium which makes Wakanda a self-determining country. The exploration of Afrofuturism in *Black Panther* is the creation of Wakanda, a utopian world in which white people are not excluded and are treated equally, a feature frequently absent in sci-fi movies by white producers/directors.

Departing from Dery's (1994) concept of afrofuturism, Womack (2013) explained further that "Afrofuturists redefine culture and notions of blackness for today and the future. Both an artistic esthetic and a framework for critical theory, Afrofuturism combines elements of science fiction, historical fiction, speculative fiction, fantasy, Afrocentricity, and magic realism with non-Western beliefs." Based on Womack's definition, afrofuturism refers to the cultural aesthetic that combines science fiction, history, and fantasy with the aim of exploring African-American experiences and creating among African-American people a sense that they are connected to their distant relatives all over the world and to the long forgotten African origin, from which they had been uprooted. Considering black people's history and what they are experiencing today, it is not surprising that afrofuturistic works not only present an imagined world through fiction and fantasy, but also challenge and resist the injustice of the world in which they live. T'Challa inspires black audiences to look into themselves as a narrative center, a source of a great power to navigate through all possibilities, to support one another as a community, and to foster a culture and world in a just and balanced manner. As an Afrofuturistic place, Wakanda goes beyond the imagination and expectation of white people. Wakanda is not only about black people still existing in the future. It is also about an imagination that with the technology they have mastered, they will win the future. Wakanda is a dream nation where black people can really feel how it feels like to be living in their own home. Wakanda is an ideal place that their ancestors had dreamed of in the days when they were still chained and manacled.

Since its release, *Black Panther,* viewers all around the world have created, done, and popularize the 'Wakanda Forever Salute', a gesture of respect shown by making an 'X' with both arms across the chess. This salute is performed to celebrate the *Black Panther*'s victory, spread the eminence of the black superhero, and recognition of 'black excellence' (Frederickson, 1987; Sowell, 1976) in various contexts and situations.

## CONCLUSION

With the media continuing to bombardier public opinion and perpetuate the notion of white supremacy and black inferiority, Black Panther appears not as a black sidekick, but as a black character who challenges the long-standing status quo that all superheroes must be male and white. Black Panther represents forgotten black superheroes like the often forgotten Blade – the black vampire hunters, or the rarely mentioned Lieutenant Nyota Uhura, a Starfleet communications officer from the television series *Star Trek.* Representing scores of colored actress and actresses, Black Panther is a proof a dynamic progress. It symbolizes an evolvement in the roles of black characters in fiction. It ends the status quo which has for long portrayed black people as servants or as lower-class characters. Black Panther's appearance in a self-titled superhero film sends a message that non-white citizens are also an important social group. *Black Panther* is not a story about physical and mental oppression, material poverty, poor education, hunger,

and unemployment. *Black Panther* portrays Wakanda as a utopian place that black people had been dreaming of since the days when they were still traded as slaves.

## ACKNOWLEDGEMENT

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## SOCIAL SCIENCES & HUMANITIES

*Case Study*

# Policy Frameworks for the Protection of Cross Border Traditional Song-Baul: A Case Study

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## ABSTRACT

Cross-border policy on Traditional Cultural Expressions (TCEs) particularly traditional songs is a complex issue to implement. The spirit to cooperate between states of cultural similarity is raised by United Nations Educational, Scientific and Cultural Organization (UNESCO) but in fact, the utilization of such song denies the economic rights of its custodian. Until now, less attention has been paid to questions concerning normative issues of protection of Baul song. This paper addresses two important questions on the normative level: a) How to protect Baul song as Traditional Cultural Expressions (TCEs) using existing suitable Intellectual Property Rights (IPR) tool? b) How to draw any alternate protection mechanisms in cross-border Baul song? From a methodological standpoint, this paper used both a legal approach and snowball sampling strategy in data collection. To conclude, firstly, it is potential to protect Baul song as Traditional Cultural Expressions (TCEs) using existing suitable Intellectual Property Rights (IPR) tool, particularly using Copyrights as long as *sui generis* system has not been established. Secondly, as an alternative protection mechanism in cross-border Baul song, in the establishment of legal instruments must include political, historical, and economic issues. Those are some recommendations on how to deal with these normative aspects in well laid policy making processes: it is proposed that there is a need to give a boost to cross-border collaboration program such as inscription and documentation; creating more specific incentives for cross-border

cooperation; strengthening a protection policy framework for copyright and related right landscape.

*Keywords:* Baul song, cross-border, cultural preservation, intellectual property rights (IPR), traditional cultural expressions (TCEs)

## INTRODUCTION

India is certainly one of the most significant countries in the world in respect of the so-called Traditional Cultural Expressions (TCEs) India is a citadel of rich and diverse cultures and religions. It is a country of great contrasts where big cities, atomic power plants, sky scrapers, super computers, and hi-tech cities serve as a window to the tremendous potential for modern technology and co-exist peacefully with small village settlements and tribal communities (Kutty, 2002). Tribal culture is one of India's proudest symbols of heritage. The tribal communities in India are the primary source of folk culture and folk tradition. Rich folk such as literature and handicrafts, handlooms, and folk painting, contributed by these communities are significant components of the folklore of India. In the majority of cases, the works performed have very ancient origins, and their authors are either unknown or of questioning identity or have been living at a time when copyright protection did not exist. Principally, most of the traditional songs are orally transmitted which is why they disappear due to lack of protection and preservation policies. Hence, this tradition by developed countries has been classified as part of the so-called "public domain",

where these songs are freely utilized by everyone (Banerjee, 2018). On the contrary, developing countries categorized Traditional Cultural Expressions (TCEs) apart from the public domain. This different point of view builds a different policy framework at national and international level.

There is no provision to protect expressions of folklore in the intellectual property laws or in any other legislation in India. As such, exploitation of Baul folklore expressions without taking the permission of the communities and compensating the communities concerned is not illegal. The general outlook of those business interests which extensively borrow from the collection of the Baul folklore of the communities or settlements is that of exploitation of material available in public domain.

The protection of traditional songs is indeed essential for tradition which lies in two or more countries. As an example, Baul song lives in West Bengal-India and Bangladesh. The community of West Bengali and Bangladeshi often perform, represent, and co-modify this traditional Baul song. A new creation of Baul song is developing a cultural genre from both countries but on the other side**,** misappropriation, misuse, and commercial exploitation is the most talked issues.

## LITERATURE REVIEW

There are two categories of studies on this topic: 1) The type of legal provisions concerning cultural rights; 2) alternate protection mechanism in cross-border

traditional music with special reference to Baul song. This study has focused on policy frameworks for the protection of Baul songs through different case studies.

Baul song was inscribed in United Nations Educational, Scientific and Cultural Organization (UNESCO) in 2008 in the Representative List of Humanity of Bangladesh. It was a preliminary step to preserve Baul song by the inscription of UNESCO (United Nations Educational, Scientific and Cultural Organization [UNESCO], 2008). Since Baul song was inscribed in the name of Bangladesh, India, notably West Bengali community was reluctant to accept this even though India was mentioned in the inscription with the declaration that "Bauls are mystic musicians living in rural Bangladesh and West Bengal, India" (S. Das, 2019). In traditional culture subject matters, moral rights, identity, and proprietary are important because the impact is the utilization and economic right of traditional music.

Otherwise, before 2008, Baul song is a living culture in Bangladesh. There were issues of infringing copyright, but the Copyright Act of Bangladesh was not suitable to traditional song. An example had came from a famous mystic poet-performer of Bangladesh, Baul Jalaluddin Tuntun Shah. His unrecorded songs are popular in Kushtia and other places of Bangladesh. He did not agree when Some Dhaka-based cassette producer proposed him to bring out cassettes of his songs. That producer has recorded his songs as the Baul songs by a truck driver without mentioning Tuntun

Shah as the real performer. Unfortunately, Tuntun Shah could do nothing against this Intellectual Property Rights (IPR) violation, though existing Copyright Act 2000 protects such violation (World Intellectual Property Organization [WIPO], 2006).

There is a lack of regulation on how to manage Traditional Cultural Expressions (TCEs) in the perspectives of intellectual property protection in India. The developments in United Nations Educational, Scientific and Cultural Organization (UNESCO) and World Intellectual Property Organization (WIPO) that followed in the subsequent years resulted in the setting up of a Working Group, in 1980 to study a draft of Model Provisions intended for national legislations as well as international measures for the protection of works of folklore. The working groups deliberated on the relevant basic documents prepared by WIPO and UNESCO and came to some broad understanding on the following points: (i) It is desirable to offer adequate legal protection to folklore; (ii) Model provisions should be framed for promoting such legal protection at national levels; (iii) Such model provisions should be so elaborated as to be applicable for adoption in countries having no existing legislation for protection, as well as those where there is scope for development of existing laws; (iv) Such model provisions should allow for protection under copyright and neighboring rights wherever possible; (v) Model provisions for national laws, should lead to sub-regional, regional and, ultimately, international protection

of creations of folklore. Following the recommendations of the Working Group more elaborate discussions were arranged by United Nations Educational, Scientific and Cultural Organization (UNESCO) and World Intellectual Property Organization (WIPO) through Expert Committees enabling threadbare discussion on a clause by clause basis of the Model Provisions. Although United Nations Educational, Scientific and Cultural Organization (UNESCO) has achieved a success with the inscription, the protection of its custodian from utilization such as creating a new derivative work then commercialize it by the third parties have still become legal issues. Moreover, the draft of IP and Traditional Cultural Expressions (TCEs) protection in the World Intellectual Property Organization has not been established as an international instrument as well.

At present, cross-border cultural collaboration represents an open casement for a new path to share development by building new relations based on common interest and requirements. It can be noted that all levels of Government have benefited through the protection policy of the Traditional Cultural Expressions (TCEs). National regulations that ensure of proper handling of Traditional Cultural Expressions (TCEs) would likely be the most effective move toward the addressing these issues. Nevertheless, such types of systems have not yet been implemented (Palar, 2010).

Based on the previous background, this current study has followed a set of objectives: to identify the rationale and challenge regarding Protection issues; to protect cross-border traditional Baul song; to generate a policy framework in respect of protection of TCEs in the cross-border region; and finally to propose some alternate protection mechanisms in cross-border traditional music.

## METHODS

### Study Area

The study area (Figure 1) was a Baul cultural community encompassing the selected District and surrounds the rural town of West Bengal and Bangladesh where traditional Baul community exists.

### Sampling Strategy

The study used non-probability sampling techniques, which are common in qualitative and cultural research, to study in greater depth a smaller number of cases that are particularly relevant to our study questions We used a multistage, non-probability sampling design to choose interviewees. Ethnographic techniques were used to gain entrance into our community of study, and informal conversations about our research were initiated with rural stakeholders during visits to local gathering places, e.g., local festival like Melas, Baul workshop, Ashram and Akhras.

The map (Figure 1) shows distribution area of Baul traditional culture in West Bengal and Bangladesh. Those areas are traditionally the principal centers of Baul Culture.We used purposive sampling to choose the initial participants for in-depth interviews (Spradley, 1979).

*Figure 1.* Our study site is a rural Baul Community situated in the selected district of West Bengal and Bangladesh

Snowball sampling strategies were used where participants recommended other Baul folk custodians for participation (Pickard, 2007). This method is the best fitted for our research studies because it completed within a short duration of time and able to locate the appropriate study sample which is otherwise hidden.

There are two different types of data collection methodology used in this research, namely, Observation method and Interview method. The basic objects are that the requirement of the community and expectation as well as their standpoint regarding protection and preservation of Baul song as Traditional Cultural Expressions (TCEs).

## QUALITATIVE DATA ANALYSIS AND RESULT

Interviews were recorded through Panasonic HC V160handycam tool and transcribed. Interviews lasted an average of 45 minutes and generally took place in participants'

homes or ashram. The 23 active Baul practitioners that were interviewed averaged 50 years old, ranging in age from 23 to 64. Maximum cases of household income were from farming activities. A hundred and twenty (120) interviewees were raised in rural areas and only 10 were from urban areas.

Figure 2 taken from questionnaire issues of Baul song on recognition, preservation, protection and commercialization spreads over 70 Baul Artists. Sixty-five (65) respondents strongly agreed that misrepresentation of Baul song and remixes the traditional songs and modern one occurred. Mostly, they strongly agreed that the lack of preservation policy, lack of awareness was high. Furthermore, the community found that sustainable development and the establishment of Baul resource centre was strongly needed.

It undertook extensive semi structured interviews of the Baul folk custodians, legal practitioners, and some resource
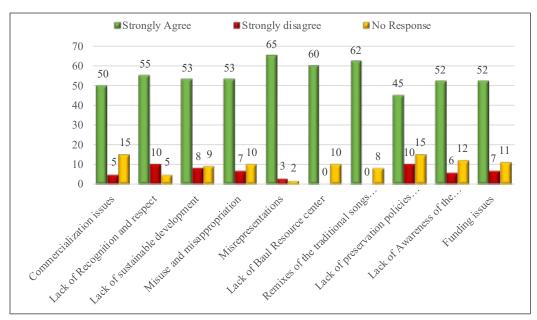
*Figure 2*. Expert opinion and references as led down by the prominent Baul practitioners (from 70 respondents)

persons. nationally and internationally. This paper used normative legal approach (Smits, 2009). The present study is based on information collected from primary and secondary sources, case studies, web-based survey, and fieldwork. The way to know the social function in the society is using information approach. Scope of the subject matter in this paper is limited to the Traditional Cultural Expressions (TCEs) mainly Baul song.

The study initially focused on primary data collection directly from the Baul community. The work was carried out with an interdisciplinary approach which resulted into an audio-visual documentation in addition with final report itself. The work of the paper had been carried out in the following three stages:

**First Stage.** Authors have studied the relevant literatures, regulations, Acts, and laws for Traditional Cultural Expressions (TCEs) and its protection mechanisms extensively.

**Second Stage.** The Authors have conducted field survey and personal interview with Baul custodian from the selected population for collecting qualitative data. We have studied 6 districts of West Bengal and 3 districts of Bangladesh which is known as principal centre of Baul culture (Our study locations along with samples incorporated in Table 1). Only those Baul custodians with a lot of experience (more than twenty years) were interviewed. We had selected a total of 70 Baul artists for interview.

Table 1
*An overview of selected locations and samples*

| SL No | Name of the Districts | No of Respondents |
|-------|-----------------------|-------------------|
| 1 | Bankura | 8 |
| 2 | Burdwan | 6 |
| 3 | Birbhum | 9 |
| 4 | Medinipur | 7 |
| 5 | Nadia | 9 |
| 6 | Mursidabad | 8 |
| 7 | Chittagong | 8 |
| 8 | Sylhet | 9 |
| 9 | Mymensingh | 6 |

**Third Stage.** Identification of the lacuna and exploration of possible scopes in the existing legal framework regarding the Traditional Cultural Expressions (TCEs).

After careful observation we propose alternate protection mechanisms of traditional Baul songs and find out the ways to protect the Baul root followers and their cultural practices. Recommendations were drawn for an improvement of the current situation and for a more appropriate protection of Baul song.

Themes for consultation were:

1. Need and expectations from the bearers' point of view related with protection of Baul song. Their protection is related to the promotion of creativity, enhanced cultural diversity and the preservation of cultural heritage.

2. Recommendations for an improvement of the current situation and for a more appropriate protection of Baul song.

Based on the consultation and recommendation from different angle, there is a need to create a policy framework for cross-border Baul traditional songs.

## TRADITIONAL CULTURAL EXPRESSIONS AND BAUL SONG

Traditional Cultural Expressions (TCEs) are integral to the cultural and social identities of indigenous and local communities as they embody know-how and skills, and they transmit core values and beliefs. Copyright Law in most countries could protect TCEs derivative works though it has almost none saying on protection of TCEs itself. According to the forms of expression, the General Coordination gives examples of what "TCEs include"—, they can be subdivided into four groups (Busch, 2015):

(I) "Verbal expressions" (expressions by words), "like folk tales, folk poetry, riddles etc";

(II) "Musical expressions" (expressions by musical sounds), "like folk songs and/or traditional songs and traditional instrumental music";

(III) "Expressions by action of the human body" (expressions by action) "like folkloric and/or traditional dances, plays and traditional rituals";

(IV) "Expressions incorporated in material objects or tangible expressions like paintings, drawings, designs, sculptures, ceramics, terracotta, woodwork,

jewelry, basket weaving, needlework, carpets, costumes, textiles, musical instruments and architectural forms."

Baul folk song can be categorized as musical expressions which are energetic, passionate and colorful. This kind of traditional music is reflecting the hardships of daily life. The author of Baul song is the unknown and unfixed form but Copyright law requires definite author and fixed form of the works.

## CASE STUDY

This paper elaborates the case on the utilization of Baul song which exists in cross-borders area. Both India and Bangladesh are having the same rights based on their cultural rights, to use, maintain, and utilize Baul song since it was inscribed as UNESCO's Intangible Cultural Heritage. On the other hand, in the Intellectual Property Rights (IPR), the utilization of Traditional Cultural Expressions is different from Intangible Cultural Heritage perspective. Traditional Cultural Expressions concerns the unique character as a state identity and the utilization will give impact on economic development of the community. Although Baul songs from India and Bangladesh come from one root, the utilization must be strict and the economic benefit must be gained by the person who put an effort to maintain and develop it.

India is a first-rate repository of diverse Traditional Cultural Expressions (TCEs) including artifacts, and performing arts.

Preservation of cultural heritage is ensuring intergenerational sustainability, where future generations remain capable of pursuing the source of revenue based on cultural capital (Ministry of Home Affair, 2001). The renewed interest among the modern urban culture to appreciate and to enjoy the folk creations is a recent phenomenon. This factor is reflected not only in urban art centers and homes, but also in music, film and architectural industries. Costumes, jewelry and household appliances are designed after the ethnic models in order to address the unprecedented demand for such creations by the sophisticated urban societies. Many of the music companies specialize in folk music albums or portfolios. Film industries are also keen to incorporate folk dances, martial arts, and folk rites and rituals to enhance realism and add ethnic flavor to their products taking into account the popularity these elements have acquired of late. Irrespective of all these developments, it is unfortunate to note that there is as yet no legislation in India providing specific protection for folklore (Dwivedi & Saroha, 2005).

People of West Bengal and neighboring Bangladesh share their common cultural heritage and build policy frameworks to protect their art forms as well as disseminate to the user community. West Bengal and Bangladesh together form the historical and geographical region of Bengal, with common linguistic and ethnic backgrounds.

Joint initiatives can also be seen as an opportunity to re-establish socio-economic relations between West Bengal

and Bangladesh born traditional Baul custodian. The finest example is that in recent time, India and Bangladesh are creating a landmark in a cultural synergy between two countries- related films which belong to traditional Baul custodian and also a co-production.

Baul is originated from Bengali region and culture made up from Bengal soil which needs to be written down on digital preservation strategies and practiced more rather than securing their place in the museum of history. The name 'Akhra-Charja' might not be familiar but its works might be an inspiration for others who love Baul songs.

Originally, the district of Birbhum in West Bengal was the place of all Baul activities. Later, the Baul domain extended to Tripura in the north, Bangladesh in the east, and parts of Bihar and Orissa in the west and south correspondingly. In Bangladesh, the districts of Chittagong, Sylhet, Mymensingh, and Tangyl are well-known for Bauls. Bauls from the distant places come to participate in the Kenduli Mela and the Pous Mela, the two most important fairs held in West Bengal for Baul music. They are not only an intrinsic part of Bengal's music, but they are also in the mud and air of this land and the mind and blood of its people. The spirit of the Bauls is the spirit of Bengal and is flowing in its society and culture, literature and art, religion, and spirituality (T. Das, 2017).

Even though there are many exceptional Baul poets, Lalan Fakir was very popular in West Bengal and Bangladesh, and he has had a high impact on Bengali literature as well as on that particular Baul tradition. Lalan declared that the songs that he composed were numerous and were believed to be the oldest dated songs. Besides, these songs form the basis of Baul ideology and the basis for scholarly discussion (UNESCO, 2008).

Eastern Zonal Cultural Centre (EZCC) of the Government of India Ministry of Culture between 2004 and 2008 greatly helped rejuvenating the songs with 272 artists of Nadia playing the lead role. Basic skill-building, advanced training, market promotion, exchange, and collaboration were undertaken to strengthen the artists' performance. By 2010, Baul music was resurrected with a discernible rise in the artists' income. During 2010 and 2011, more initiatives were undertaken with the support of the European Union (EU) to take Baul music to national and international platforms. These efforts paid off, and the music form gained enormous popularity across India and Bangladesh ("History of Baul," 2019).

Distribution area of Baul song community exists in West Bengal India and Bangladesh. In India, Baul song spreads in Bankura, Bardhaman, Birbhum, Medinipur, Nadia, and Murshidabad. Those areas are traditionally the principal centers of Baul Culture (Daricha Foundation, 2018). In Bangladesh, Baul Culture originated from Chittagong, Sylhet, and Mimensingh. Cross-border Baul culture lies in the district of Nadia, eastern India and Kusthia in Bangladesh. (Bengal-Bangladesh the border is demarcated through the Nadia district).

In Bengali literature and culture, the songs of the Baul have occupied a distinctive position. The majority of Hindu Bauls is located in the state of West Bengal in northeastern India and the majority of Muslim Bauls in Bangladesh. The songs are composed in simple colloquial Bengali and passed down orally from guru to disciple and from singer to singer.

Before the partition, Bangladesh was a part of India. The country of Bangladesh and the present Indian state of West Bengal were jointly known as Bengal. Baul music has greatly influenced the culture of the region, and it is reflected in the poetry and music composed by Nobel Laureate Rabindranath Tagore (Daricha Foundation, 2018).

Baul song is an extensively known and valued folk music of Bengal. It is, in essence, a Bengali religious sect whose members call them Baul and their songs are called Baul songs. In Baul song, however, though songs of similar nature occur, they are thought of as allegories on the state of separation between the souls of men and holy ground. The Bauls have made no effort to record their practices, lives or beliefs, for they are reluctant to leave a trace behind (Rahaman, 2015).

## RESULT AND DISCUSSION

Authors have identified the issues after the fieldwork study done. Based on observation from 70 respondents categorized all the issues in 10 major groups and majority respondents strongly agree with us (for details in Table 2).

Table 2
*Issues of the Traditional Baul folk custodian and respondents*

| Situations | Strongly agree | Strongly disagree | No response | % of Strongly agree | % of Strongly disagree | % of No response |
|---|---|---|---|---|---|---|
| Commercialization issues | 50 | 5 | 15 | 71.43 | 7.14 | 21.43 |
| Lack of Recognition and respect | 55 | 10 | 5 | 78.57 | 14.29 | 7.14 |
| Lack of sustainable development | 53 | 8 | 9 | 75.71 | 11.43 | 12.86 |
| Misuse and misappropriation | 53 | 7 | 10 | 75.71 | 10.00 | 14.29 |
| Misrepresentations | 65 | 3 | 2 | 92.86 | 4.29 | 2.86 |
| Lack of Baul Resource center | 60 | 0 | 10 | 85.71 | 0.00 | 14.29 |
| Remixes of the traditional songs and lyrics | 62 | 0 | 8 | 88.57 | 0.00 | 11.43 |
| Lack of preservation policies and regulations | 45 | 10 | 15 | 64.29 | 14.29 | 21.43 |
| Lack of Awareness of the common people | 52 | 6 | 12 | 74.29 | 8.57 | 17.14 |
| Funding issues | 52 | 7 | 11 | 74.29 | 10.00 | 15.71 |

The useful implementation of the copyright system and the introduction of a "Right of the Creators' Collectivity" should be the focal point of the National Cultural Policy. However, the Ministry of Commerce is the central point to carry out the task efficiently; this also concerns the Ministries of Human Resources, Information & Broadcasting or even of initiatives and need to more effort and proper setting up.

Nowadays, protection of the original melodies and words of the folk songs has become essential in a new era. In the name of fusion, the urban singers are blamed of misleading the folk genres. The Ministry of Culture has scheduled to apply new plan schemes in the 11th five-year plan, incorporated safeguards for intangible cultural heritage, developed consciousness of works in the area of intellectual property rights and created national Intellectual Property Rights (IPR) group for artists and artisans. This effort is completed with such promotion actions, and dissemination of awareness about Indian cultural heritage.

The Ministry of Culture has prepared an arrangement titled "Scheme for Safeguarding the Intangible Heritage and Diverse Cultural Traditions of India." The goal of this scheme is to strengthen and revitalize various stakeholders of the diversity of culture. Starting from individuals, groups, institutions, individuals, identified non-Ministry of culture institutions, non-governmental organizations, Authors and scholars may engage in activities for strengthening, protecting, preserving and promoting the intangible cultural heritage of India.

The Government is also considering to setting up a training center where the different art forms would be taught. The state backward classes' welfare department is looking for land to build the Centre. Also, few NGOs (NGOs is an abbreviation for non-governmental organizations) and institutions, organizations take initiatives to preserve Traditional Baul songs.

The intellectual property law is an international agreement and applies nationally and may create ways to address some cross-border issues. In fact, in India, challenges on building a legal environment for creativity have always happened. In the environment of neighboring countries, the national treatment requirement shall provide in international treaties. In the existing Intellectual Property Rights (IPR) treaties, related rights are weaker than that granted for copyright in literary and artistic works. An advance investigation is needed regarding the use of national treatment on the indirect protection of traditional culture.

United Nations Educational, Scientific and Cultural Organization (UNESCO) Convention 2003 and 2005 is the starting point in protecting traditional music in India. The inscription is useful as defensive protection. By establishing a national database for TCEs, such defensive protection is significant for substantive examination and re-declaration of rights (Palar et al., 2018). This kind of protection can prevent users outside the community from obtaining intellectual property rights over Traditional Cultural Expressions (TCEs) and using intellectual property principles and

values, and it can prevent unauthorized or inappropriate uses of TCEs by third parties (misuse and misappropriation). Ideally, to strengthen and to encourage communities to develop their TCEs, positive protection is also needed in granting their rights. It can control their uses by third parties and protect from their commercial exploitation.

Since in every developing country including India, the protection and preservation of traditional knowledge have been a matter of concern, in 1999, India began the activities of the creation of Traditional Knowledge Digital Library (TKDL). This project was initiated in 2001. A collaborative project between Council of Scientific and Industrial Research (CSIR), The Ministry of Ayurveda, Yoga and Naturopathy, Unani, Siddha and Homoeopathy, abbreviated as AYUSH, Ministry of Health and Family Welfare, is being implemented at CSIR. The creation of Traditional Knowledge Digital Library (TKDL) was established by an interdisciplinary team of Traditional Medicine (Ayurveda, Unani, Siddha, and Yoga) experts, patent examiners, IT experts, scientists, and technical officers. They are involved in for Indian Systems of Medicine. This project requires documentation of the traditional knowledge available in the public domain in the form of existing literature related to Ayurveda, Unani, Siddha, and Yoga. Using five languages, English, German, French, Japanese and Spanish, TKDL has been digitized and accessible on its website.

The database of Traditional Knowledge Digital Library (TKDL) is growing gradually, with the prodigious appreciation by developing as well as the developed countries. A similar TKDL project should be established in India for the documentation of TCEs including traditional songs (Hirwade, 2010). As TKDL of capable of preventing cases on bio-piracy under patent law, Traditional Cultural Expressions Digital Library are preventing cases on misappropriation of cultural heritage from derivative works which create new copyright works (Poorna et al., 2014).

## INTELLECTUAL PROPERTY LANDSCAPE IN PROMOTING CROSS-BORDER TCES

The vitality of intellectual property in promoting Baul song is emerging when commercialization is crawling to the utilization of this traditional music other than the use of Baul song as the living value of West Bengali and Bangladeshi custodian. Hrid Majahare Rakhbo, a song which was taken from the poetry of Baul Saint Avadhuta, Sri Nabani Das KhyapaBaul. In the name of Hindustan Records, in the 1960s, this song was first recorded. Before Bollywood is taking Purna Das Baul songs and tune without giving credit, he was the first party to record this song in his father's melody and words (T. Das, 2017).

As mentioned above, this paper aims to elaborate Intellectual Property protection concerning the promotion of the cultural resources through a series of collaborative activities, common musical works and creating a link between the communities in the cross-border region through the establishment of authorized institutions.

Protecting TCEs mainly traditional music is not only a local but a bilateral, regional and international issue. This subject matter expands into a political, socio-economical, and environmental topic, besides a legal problem itself (Busch, 2015). This part of paper is to analyze the intellectual property landscape in promoting cross-border TCEs in the national, regional, and international forum.

## RECOMMENDATION FOR ALTERNATIVE PROTECTION MECHANISM

Baul songs as Traditional Cultural Expressions (TCEs), including but not limited to the rituals, practices, and practitioners lie in West Bengal and Bangladesh. The future cooperation within these two countries must comply with cross-border policies and programs for protection and promotion of TCEs. Since historically, India and Bangladesh used to be in one administrative area, the cross-border policy should consider an area before and after the integration with the different approaches. This cross-border cooperation program will be applied through schemes on a national and bilateral level. An alternative protection mechanism is identified.

These following steps would be precious to preserve and protect Baul song:

### 1. Inventorization of the Traditional Music and their Contexts

The most important goal for inventorying and collecting the data of traditional cultural expression is for documenting any kinds of traditional cultural expression that must be protected. Documentation can prevent misappropriation from other party and can be defensive protection for TCEs community. Inventory can be done by TCEs custodian, government, non-governmental organization, public Libraries and university.

### 2. Identification of Music Regarded as Endangered

This identification is to prevent lost of Baul song in those areas in the next generation. Government and non-government bodies should encourage the use of this song in daily life.

### 3. Cross-border Access

The proposals will discourse the portability of and cross-border access to official traditional music. Music shares in a region with the same root language, religion, and culture must be treated differently from specific TCEs. Culture is dynamic; thus, law should adjust the possibility of the re-creation of such works in a different area with particular uniqueness.

### 4. National, Regional, and International Legal Instruments

All legal instruments must determine limitation and exceptions for the use of cross-border works. The limitation is on the special circumstances such as endangered TCEs. The exception is such as research, educational purposes, museum and archives, and clarification of the rules for online dispute settlement in the copyright enforcement regime.

## 5. Cross-border Laws

These laws shall apply concerning TCEs which are owned across national borders. Cooperation is the central issue of maintaining TCEs owned by two or more countries. A bilateral and regional agreement is needed. To gain fairness between two or more countries interest, moral and economic rights of custodian should be guaranteed. If there is any commercial benefit from a re-created works based on Baul song, the benefit should also be shared.

## 6. Other Protection Mechanism

There is a need of some other protection mechanism such as copyright, trademark, geographical indication including appellation of origin, or sui generis protection. Many examples of protection of TCEs in the Intellectual Property landscape can further be considered by India and Bangladesh to protect Baul song. The similarity between TCEs and copyrighted subject matter makes it possible to cover traditional music as copyright. The reputation of Baul song as community traditional music could be regarded as protection of the trademark. Also, the appellation of origin is possible to protect music as certain 'product' of a particular area. Sui generis protection, which is still debatable in international fora, could also be another alternative. Panama has succeeded in protecting TCEs mainly craft product in a sui generis system.

## 7. The Establishment of a Cultural Institution for Managing Cross-border Traditional Music

This kind of institution is essential to balance between government and custodian's interest to preserve and promote culture. The more there are informants and volunteers, the more dynamic Baul music will be.

## CONCLUSION

To conclude, it is proposed that there is a need to give a boost to cross-border collaboration program which is beneficial to traditional music practitioners as well as for their Traditional Cultural Expressions (TCEs), such as inscription and documentation. *Bona-fide* contribution to Baul song's custodian should be taken by creating more specific incentives for cross-border cooperation. In addition to that, there is also a need for some strategies for a protection policy framework for copyright and related right landscape such as series of collaborative activities, common musical works and for creating a link between the community in the cross-border region through the establishment of authorized institutions; and finally, to give some alternate protection mechanism in protecting cross-border traditional music. Moreover, it will integrate local knowledge in understanding the CBC (cross-border cooperation) role for bilateral, regional and international development.

## ACKNOWLEDGEMENT

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## SOCIAL SCIENCES & HUMANITIES

# Religious Heads' Perspectives towards the Abolition of Child Marriage: A Study in Malang, East Java, Indonesia

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## ABSTRACT

The move to abolish child marriages in Indonesia has met with obstacles from religious leaders. This is probably due to the limited research involving religious heads' perspectives towards the abolition of child marriages. This article will explore the perspectives of Religious Affairs (KUA) Heads in Malang City. These officials are in charge of overseeing issues with regards marriage within the Muslim community. The design of this study was a qualitative case study and data sources were obtained from KUA Heads in Malang City. Semi-structured interview instruments were used, and data analysis was done through thematic analysis. The results of the study revealed that all the respondents agreed to the abolishment of child marriages, as well as in agreeing to propose the revision of the marriage law (No.1 of 1974), which would be by raising the age limit of marriage of girls from 16 years to 18 years. However, dispensation for marriage would be provided for those aged less than 18 years in some special conditions. It was also found that for this revision to take place, abolition of child marriage must be entirely supported by parents, teachers, religious and community leaders.

*Keywords:* Abolition of child marriage, early marriage, Head of KUA, marriage dispensation, revision of marriage law No.1 of 1974

## INTRODUCTION

In recent years reports of child marriage have been on the increase, especially in countries that are experiencing conflict or disaster (Girls not Brides, 2018). The global consensus has been reached and defined in the agenda of Sustainable

Development Goals (SDGs) 2015-20130[1] (United Nations, 2014) where the abolition of female marriages becomes one indicator of the 5th target (Rosa, 2017). Therefore, child marriage is defined as the marriage of the under-aged child (18 years), also commonly regarded as early marriage. According to the UNICEF report in 2018, the prevalence of child marriage in the world has experienced a downward trend in the last decade, especially in South Asia, from 50% to 30 %. However, the figure now indicates a constant incline, in which about 12 million girls per year marry under the age of 18. Similarly in Indonesia, although it has dropped significantly in the last three decades, it still occupies the seventh highest rank worldwide and is in first position in the East Asia and Pacific region (UNICEF, 2014). One in six girls in Indonesia get married before the age of 18, or around 340,000 under-aged girls get married every year (Badan Pusat Statistik, 2016). This condition is certainly worrying, because it could threaten the achievement of the SDG target in 2030 (UNICEF, 2018).

Child marriage is a violation of children's rights; the right to education, health, play, potential development, freedom from violence and abuse (including sexual violence); protection from exploitation and forced separation from their parents (UNICEF, 2014). In Indonesia, it was reported that 86% of child marriages resulted in dropout (Burn & Evenhuis, 2014), while the low level of education resulted in a low ability to voice opinions, where the children involved were prone to depression and anxiety (Belhorma, 2016).

Among the factors that led to the high prevalence of child marriages as mentioned above, is the provision on the age limit of marriage in Law No. 1 of 1974 concerning Marriage; Article 7 paragraph 1 which explains that the minimum age for marriage is 19 years for men and 16 years for women. To harmonize with the vision of the SDGs, this article needs to be revised. However, efforts to revise the law are never easy (Prameswari & Agustin, 2018), because there is no support from the *ulema* (religious leaders).

The factor of differences in religious interpretations that is interwoven with tradition has hindered efforts to eliminate child marriage. The Indonesian Ulema Council (MUI) has stated the objection to the increase in the age of marriage to 18 years (Aditya, 2014). Likewise, Islamic scholars from the largest religious organizations in Indonesia, such as Nahdlatul Ulama (NU) and Muhammadiyah also state such objection. The argument they put forward states that according to religion, marriage is the right of every person; thus, the state must not interfere when someone decides to marry, especially since this may

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[1] 2015-2030 Sustainable Development Goals (SDGs) is a global agreement to safeguard humans and planet (Earth); to overcome poverty, inequality and climate change by way of real action. Gender equality and women's empowerment are an integral part of achieving 2015-2030 SDGs; one indicator is the abolition of child marriage. The SDGs were inaugurated on September 25, 2015 at the UN headquarters. Approximately 193 countries participated in ratifying including Indonesia.

keep teenagers from falling into adultery ("PBNU, MUI, Muhammadiyah", 2014). In Indonesia, the perspectives of the *ulema* are very influential when related to the stipulation of the law. The agenda for the abolition of child marriage will be hampered if there is no unity of understanding with the *ulema*. Therefore, the abolition program for child marriages needs to be well conducted, with the focus not just on revision of the law. It also requires an in-depth study dealing with the religious understanding of the abolition of child marriage from multiple perspectives. For this reason, research on the abolition of child marriage from the perspective of religious leaders, especially in the studied regions, is essential, given the diversity of values between one region and another.

This article aims to explore the religious understanding of Religious Affairs (KUA) Heads in Malang City, East Java towards the abolition of child marriage. Malang City is situated in East Java province where the majority of the population, 93.7 % is Muslim (Kementerian Agama, 2014). This city was selected because of the serious problems that have come about from child marriages; more serious when compared to other regions in Indonesia (Nana, 2017). The Religious Affairs (KUA) Head is an official who is tasked with marriage in the community; someone entrusted with the recording and reporting on the marriage of Muslims in the sub-district. Their perspectives are worthy of being used as reference in research concerning the abolition of child marriage. The significance of this study is expectedly high, since studies involving the perceptions of Head of KUA on the abolition of child marriages are limited.

The formulations of the Research Problems proposed are as follows:

1. What are the perspectives of the KUA heads in Malang City towards the background to the occurrence of child marriage and the strategy to eliminate child marriage?

2. What is their understanding of Islamic beliefs that concern the abolition of child marriage?

The answer to the formulations of the problem is expected to be a reference in developing the case for abolishing child marriages in Malang. In addition, the results of this study are expected to contribute to the establishment of programs at the national level.

## Minimum Age for Marriage in Islam and the Background to Marriage Law in Indonesia

Islam strongly advocates marriage; in fact, it strictly prohibits adultery. Among other things, it is shown in the Letter of Al-Rūm [30]: 21 "And among His signs of authority is He created for you wives of your own kind, so that you will tend and feel secure to him, and He will give you love and affection. Verily in that, there are truly signs for those who think" And it is stated in the hadith of the Prophet SAW "Marriage is the *sunnah* of the Prophet SAW, whoever hates my *sunnah* is not included in my path" (Sabiq, 1982). Whereas, the prohibition of adultery also appears among others in the Letter of

Al-Isrā '[17]: 32 "do not approach adultery; because actually adultery is a cruel act". From the verses and *hadith* above, it can be concluded that in Islam sex is only lawful in a legal marriage; therefore, Islam strongly encourages marriage and strictly prohibits adultery.

However, there is no explicit explanation of the minimum or maximum age limit for marriage. The verses utilized by the *ulema* as the basis for determining age are interpretative verses. There are people who think that a child before reaching a state of *baligh* (reaching puberty) is allowed to marry based on the Letter of Al Talāq [65]: 4 and this is applicable also to women who do not menstruate. The phrase "those who do not menstruate" is understood to also indicate under-age menstruating girls who may marry (Zuhaily, 1985). In addition, 'scholars who allow young girls to marry, take the basis of the *hadith* narrated by Imam Buchori, who related that 'Aisha the wife of the Prophet SAW said, "I was married at the age of 6 and lived with the Prophet at the age of 9" (Zuhaily, 1985). The history indicates that there is no age limit for marriage. Under-age children who are still six years of age may marry.

However, besides arguing that there is no minimum age limit in marriage, some scholars emphasize that a father must think about the wellbeing of his child. The allowance of a child to be married is not absolute; there are conditions, which is the determination of marriage must be in favor of the benefit of the child (International Islamic Fiqh Academy, 2018). *Ulema* also assert that it is not permissible to have sex with children who are not ready both physically and psychologically.

Meanwhile, *Fiqh mazhab²*, generally interprets the condition of being worthy of being married or deemed to have achieved maturity with a state of *baligh (reaching puberty)* The signs of *baligh* within the school of jurisprudence are associated with physical signs. Some of the signs are when males have wet dreams and girls menstruate. *Ulema* unfortunately disagree about the age where a person is considered to have reached *baligh*. The *Syafi'I* and *Hanbali* schools argue that the age of *baligh* is 15 years for both male and female; *Maliki* states 17 years old; *Hanafi* states the age range for *baligh* is between 12 to 18 years for men and between 9-17 for females (Al-Jazīrī, 2003). In Indonesia, where the majority of the population is with the *Syafi'i* school of thought, there are certain groups which seem to dominate and make people

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² Fiqh mazhab consists of two words, fiqh means understanding and compilation of hokum syara 'which is related to human actions from its sources, namely the Qur'an and Al-Hadith That understanding uses the methods formulated by the priests forming the school (stream). The difference in methods influences Islamic law. In the Sunni Islamic world there are four schools that still survive until now, namely the Syafi'i School adopted by Asian Muslim countries, such as Indonesia, Malaysia and Brunei Darussalam; The Maliki School is adopted by West and North African countries such as Libya, Morocco, Tunisia; The Hanafi School is adopted by Egypt, India, Pakistan; and the Hanbali school is adopted by the country of Saudi Arabia.

believe that there are no problems with child marriages. The influence of the *Syafi'i* school dominates in other Muslim countries, such as Malaysia, Egypt and Turkey, which still permit marriage for those under the age of 18 (Mustofa & Dedi, 2009).

The age limit for marriage according to the Law No.1 / 1974, article 7 paragraph 1 is 19 years for men and 16 years for women. However, in paragraph 2 there is permission for under-age marriage with a marriage dispensation issued by the Religious Court. Thus, girls aged 15 and below can get married if they get marriage dispensation from the Religious Court (Haikal, 2016).

The above-mentioned article had been submitted for judicial review at the Constitutional Court twice, in 2014 and 2017. However, it was never considered for amendment. The judicial review material was intended to amend article 7, regarding the age limit for marriage, (which is 16 years for females), and which was recommended to be amended to 18 years (Mazrieva, 2017). However, the Constitutional Court refused on the grounds that marriage is the right of each person and the main purpose of this was to prevent adultery (Putri, 2015). The Constitutional Court's refusal received support from *ulema* in major Islamic community organizations, such as the Indonesian Ulema Council (MUI), Nahdlatul Ulama (NU) and Muhammadiyah, all of which did not agree to raising the age limit for marriage mainly because they believed this (increasing the legal age for marriage) would encourage adultery ("PBNU, MUI, Muhammadiyah", 2014).

## Previous Studies

Some studies with the theme of child marriage in Indonesia have been mainly policy studies that are tailored to the needs of the government. According to UNICEF (2016), research in the field of child marriage is still a new theme in Indonesia due to its unpopularity. However, policy studies have been done, among which are:

1. Central Statistics Bureau in cooperation with UNICEF (2016) Suspended Progress: Analysis of Data on Child Age Marriage in Indonesia;

2. BKKBN (2017), Population Survey, Family Planning, Adolescent Reproductive Health and Family Development among Indonesian Youth;

3. Kementerian Kesehatan RI (2016), The Adolescent Reproductive Health Situation;

4. The University of Indonesia Gender Study Program in collaboration with the Ministry of Women's Empowerment and Child Protection Program (2016): Child Marriage within Islamic, Catholic, Protestant, Buddhist, Hindu and Hindu Kaharingan Communities - Case Study in Palangkaraya City and Katingan Regency, Central Kalimantan Province.

Although the studies were not specifically about the abolition of child marriage, it included the problems in controlling child marriage. In general, the results of these studies recommended

approaches to community leaders, including religious leaders about the issue of child marriages. While all the researches stated above indicate the importance of involving religious leaders into the issue of child marriages, and the perspectives of religious leaders, it is still not given due consideration. Therefore, this study will fill the gap within the body of literature on child marriages in relation to the views of religious leaders.

Besides research that has been conducted by the government, there are several studies conducted by academics with similar themes:

(1) Methods of child marital control. Among other things, Rumble et al. (2018) believed control of child marriage in Indonesia should be carried out with more intensive gender education, poverty alleviation and economically effective programs; Grijns and Horii (2018) stated that control of child marriage in Indonesia must be carried out according to religious norms.

 (2) Marriage of minors. Among other things, Hamidah (2011) stated that many child marriages in Indonesia were carried out only because religion allows it, and not because there was danger in not allowing it because of the larger sin, which was adultery; There was also research done on factors causing child marriage in Indonesia especially due to unwanted pregnancies (Utomo et al., 2014).

(3) Contraceptive services to adolescents. Researchers such as Santelli et al. (2007) and Sedgh et al.

(2015) stated that among other things control of teen pregnancy could be effective by increasing contraceptive services to adolescents; on the other hand, research findings showed that contraception was not permitted for teenagers in Malaysia (Mustapa et al., 2015).

This research complements all the above studies which recommend new approaches to the problems involving child marriages. This study specifically explores the perspectives of the KUA heads who incidentally are also Muslim religious leaders in each sub-district, and close to the issues that concern marriage within their respective communities.

**METHOD**

This research was a qualitative case study. Baxter and Jack (2008) explained that this type of qualitative research with approach to case studies aimed to explain complex phenomenon in certain contexts. Merriam (1998) defined case as a single entity. Case selection criteria in this research was based on Stake (2006) namely relevance of case to examined phenomenon. This research used a single case that was the opinion of the Head of KUA towards abolition of child marriage. With reference to Baxter and Jack (2008), this research would be the first step towards exploration of the opinions of the Head of KUA which was related to the intent, which was the abolition of child marriages. Therefore, this research was classified as an exploratory case study. The primary data source consisted 5 Heads of

KUA in Malang City. They had bachelor's degrees in Islamic Education and all of them were men, because the Head of the KUA must be male. Child marriages had been reported in all five KUA. Data collection was based on semi-structured interviews. Cohen and Crabtree (2006) explained that the semi-structured interview had benefits, as the researcher would already have a list of questions prepared beforehand, (thus allowing for greater focus on the part of the interviewer) and at the same time this allowed the respondents more time to express their opinions freely. The analytical framework for this research consisted Islamic Law in the Qur'an, Al-Hadith and Fiqh related to marriage. The Islamic law is significant within the framework analysis because field data was from the Heads of KUA who were Islamic religious leaders. The research procedure began after the researcher succeeded in obtaining the permission letter from the Institute of Research and Community Service, Maulana Malik Ibrahim State Islamic University, Malang. After that, the permit was distributed to the five Heads of KUA to determine time and place of interview. Research was carried out in the rooms of the Heads of KUA during working hours (08.00-16.00 AM) on the agreed day and date. The researcher recorded the interview and the audio files were transcribed. The method of research analysis was thematic analysis. The researcher read all the interview transcripts and listened to the recording to highlight the explicit comments (Braun & Clarke, 2006). Then, the researcher inductively identified the themes from the respondents' views. These themes were systematically arranged to a set of principal themes and derivatives. The aim was to ensure that these themes were produced from the respondents' views, not from the perception of the researcher (Braun & Clarke, 2006). The respondents' quoted verbatim (in aliases, to maintain their privacy), was translated in English and presented in the results (e.g., Head of KUA KS).

## RESULTS

Key themes fleshed from data (through semi-structured interviews) on the background to child marriages, strategies for eliminating child marriages and the proposal that may lead to the elimination of child marriages are as follows:

### Revising the Age of Marriage in Article 7 Paragraph 1 of Law No.1 / 74 Concerning Marriage

All the KUA Heads believed that the elimination of child marriage must begin with a revision of the article 7 paragraph 1 of Law No.1 / 74 concerning marriage, which states marriage is permitted, 19 years for males and 16 years for females. Five (5) KUA Heads agreed to the increase of the minimum age for women to 18 years.

> *Yes, strongly agree. It will be no longer a 16-year-old woman. Men are also not ready at 19 years old, because in general according to what we see and feel, the age of such children for Indonesia is still unstable, the psychological*

*readiness for marriage is still lacking*. (Head of KUA in KK District)

Some even stated that they should not marry at 18 years of age, but it shall be 21 years as stipulated in article 6 paragraph 1 of Law No.1 / 74.

*The age of marriage should be 21 years, as stipulated in the law, article 6 paragraph 1. If it is in under the age of 21 according to the studies on health, the girl's womb is not strong*. (Head of KUA in LW District)

In addition, all respondents also pointed to the Marriage Report of 2018 in the KUA which indicated that marriage under

the age of 18 was rare and a very small percentage (as in the Marriage Report, KUA, Lowokwaru District). They believed that raising the age for marriage to 21 years would not be controversial as a lot of people were already observing it (not marrying at 18 years of age or below)

However, the Marriage Report may not show the actual numbers; there is still the practice of *siri* (religious marriage) in the community even though it is very small. Also, there is still the practice of falsifying age among certain ethnic groups. As stated by the Head of KUA in KL District,

*It is possible for the public to think that if they see a child going out, they want to be together, worrying that they will commit adultery outside the house. If there is adultery, it is*

Table 1
*Age based marriage report in 2018*

| NO. | SUB-DISTRICT | AGE of HUSBAND | | | | | AGE of WIFE | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | < 19 | >19 s/d <25 | >25 s/d <= | > 30 s/d <=35 | > 35 | <16 | >17 s/d <=20 | > 21 s/d <=25 | >26 s/d <=30 | > 30 |
| 1 | Tunggulwulung | 1 | 17 | 36 | 9 | 24 | 5 | 37 | 21 | 8 | 16 |
| 2 | Merjosari | 4 | 32 | 63 | 8 | 20 | 9 | 48 | 44 | 9 | 17 |
| 3 | Tlogomas | 1 | 16 | 40 | 9 | 15 | 5 | 21 | 38 | 9 | 8 |
| 4 | Dinoyo | 2 | 19 | 36 | 9 | 15 | 6 | 31 | 29 | 5 | 10 |
| 5 | Sumbersari | 0 | 8 | 20 | 5 | 13 | 2 | 16 | 13 | 6 | 9 |
| 6 | Ketawanggede | 0 | 3 | 14 | 6 | 7 | 1 | 4 | 15 | 3 | 7 |
| 7 | Jatimulyo | 0 | 29 | 63 | 19 | 16 | 2 | 53 | 48 | 9 | 15 |
| 8 | Tunjungsekar | 0 | 25 | 52 | 16 | 14 | 3 | 48 | 36 | 7 | 13 |
| 9 | Mojolangu | 1 | 25 | 81 | 20 | 32 | 3 | 63 | 50 | 16 | 27 |
| 10 | Tulusrejo | 0 | 22 | 46 | 11 | 19 | 4 | 36 | 38 | 7 | 13 |
| 11 | Lowokwaru | 2 | 30 | 57 | 20 | 23 | 7 | 39 | 50 | 11 | 25 |
| 12 | Tasikmadu | 0 | 18 | 17 | 4 | 11 | 4 | 22 | 14 | 1 | 9 |

*unclear who will bear the sin. Thus, they chose siri marriage. Later, if you are old enough, then you can take it to the KUA.*

The results of the study showed that the Heads of KUA in Malang City responded positively to the increase to the age of marriage within the marriage law. The Head of KUAs approval of the revision to the minimum age requirement in the marriage law contradicted the opinions of ulama in the MUI, NU and Muhammadiyah. Their belief was based on the condition of unpreparedness of children under the age of 18 to get married. Also, the data in the Marriage Report of KUA revealed a very small percentage of early marriages (Table 1). According to them, the majority of people are ready for the increase of the age of marriage to 18 years, some even suggesting 21 years. The argument put forward by scholars in the MUI, NU and Muhammadiyah that increasing the age of marriage in the law could result in the rise of adultery in early adolescents is irrelevant. Adultery among people occurs at all ages, not only at the early ages. As the head of KUA (LW) said, "that getting pregnant first and then getting married happens at all ages, not only in the early years".

## Marriage Dispensation

Although the respondents agreed to the revision of the minimum age of marriage in Law No. 1 of 1974, they still wanted to retain the article on marriage dispensation. The argument presented is that this would help avoid *mafsadah* (Arabic: damage). Adultery is prohibited and is a big sin in Islam. If there are signs that the child is moving towards this, then the chosen method to avoid the *mafsadah* is to marry off the child. The article on marriage dispensation in the law is therefore important.

*With easy access to pornographic videos and social media, while their parents work from morning to evening, children are exposed to promiscuity. Therefore, if there is no dispensation to force marriage, what would it be?* (Head of KUA in S District)

*Marriage dispensation is given by the Religious Court on the grounds that the prospective bride is already pregnant. This month (when the researcher conducted the interview, March 2019) there were two people whose registered marriage was 13 years, 4 months and 13 years, 7 months respectively; because they were already pregnant.* (Head of KUA in KK District)

However, the respondents appealed to the Religious Court to tighten the submission of requests for marriage dispensation. This is due to the fact that in rural areas, children are forced to marry because parents have arranged their marriage. This happens even if the child is a good child and wants to continue studying.

**The Background to Marriage at an Early Age.** The respondents stated that there were two main reasons why child marriages occurred; the first is because parents wanted to match-make their children as it was considered normal in some communities and; second the children were forced into marriage because of circumstances – they became pregnant out of wedlock.

**Matching Tradition.** The people of Madura are still very strong in holding to their matchmaking tradition. Children have been betrothed while in elementary school. This community is also suspected of falsifying age, so that children who are not old enough are allowed to marry. Most of these early marriages have been discovered to be forced marriages.

> *The ones who married underage were in this area (gestures by pointing to several neighborhoods in Bluring Village on the map). However, their age was falsified by the neighborhood chief. So there is no data on underage marriages at the Village Office.* (Head of KUA in KK District)

**Personal Will/Request.** Children from parents who are factory workers or farm laborers generally live in environments that pay less attention to education. In general, children in these environments lack in enthusiasm towards learning; they are more interested in working because it makes money. The main indicator of manhood is

when he can make money; and for women it is when she has menstruation. Thus, they are considered adults and ready to start family even though they are less than 18 years old.

> *Some children after graduating from elementary school immediately work, following their acquaintances who have done so and who have succeeded (independent and earning). Education is considered insignificant, as they are more interested in working because it can make them money. If you have made money, you are considered to be an adult. Even though the government has provided free schools, they are not interested in going to school.* (Head of KUA in KK District)

**Worrying About Falling into Adultery.** Five respondents stated,

> *Muslim communities are obliged to keep children from falling into adultery. The solution is to marry off the child. This situation usually occurs if the child is considered to have been dating and the couple is inseparable.*

**Unwed Pregnancy.** Five respondents stated,

> *Pregnancy out of wedlock must lead to marriage, if they are not immediately married off, they will continue to commit adultery. In addition, pregnancy, where a woman is without a husband at*

*childbirth brings about shame in society. The children born will be referred to as illegitimate children.*

### Strategies for Controlling Marriage at an Early Age

Five respondents stated that it was very difficult to control early age marriage. The internal factor that must be improved is the understanding of the religion by parents. Parents who do not understand religion usually allow their children (different sexes) to interact freely with each other. Family becomes the main factor in preventing children from early age marriages. The following is the opinion of the Head of the KUA about preventing early age marriage which is caused by unwed pregnancy.

> *To control early age marriage, the most important thing is the family itself, because the average child who is pregnant out of wedlock, it turns out that his/her parents were like that, so the role of the parents is very important. Parents must give proper understanding to their children about Islamic rules/values in order to distinguish between good and bad, what is permissible and what isn't. Now elementary school students understand that they are dating and it is fine because it is considered acceptable culture in television, social media (face book, Instagram and others). The internet is easily accessed and seems to promote it as acceptable culture.* (Head of KUA in BL District)

It is also important that efforts in controlling early age marriage (due to the arranged marriage tradition) must be confronted by the teacher, health office and community leaders.

> *I have been socializing and educating through various programs, such as the 'taklim' neighbourhood assembly (prayer gatherings and lectures) and through the courses for future brides and grooms - about the negative impact of early age marriage carried out with age falsification.* (Head of KUA in LW District)

> *As for early marriage, due to the lack of enthusiasm in participating in education, (such as children who have just dropped out from elementary school and who immediately work), then what is needed is to give continuous training in accordance to their skills and interests.* (Head of KUA in S District).

### Key Themes Emerging from Semi-Structured Interviews with KUA Concerning the Abolition of Child Marriage

**Minimum Age Limit According to *Fiqh Syafi'i.*** Five respondents stated that the provision of marriage age according to *Fiqh Syafi'I* was not in accordance nor compatible with the current situation.

> *The age of 15 years is still too small, and the young are in a*

*hurry to get married. Baligh in fiqh, for men is only based on readiness to have sex, while for women is when they have menstruation, which means they can get pregnant. This isn't sufficient reason to get married in present times.* (Head of KUA in KL District)

The reason they put forward was that the determination of the state of *baligh* could be very different during the old days as compared to present times, especially since young males and females attend school. As explicitly stated by the Head of KUA in S district,

*That there is a philosophical basis behind age determination, which is the readiness of someone to get married. We need to consider physical, psychological and economic readiness. Consequently, the age provisions are not absolute and are not binding for the following period*

The readiness of children to get married, in present times, requires more preparation from various aspects, and that which demands more planning. As stated in the Holy Koran, in the Letter of Al Rum verse 21, family must be *sakinah* (harmonious, peaceful, and filled with love). In addition, as stated by the Head of KUA in LW District, "the Messenger of Allah married Siti Ayesha, when she was 6 years old and they only gathered at home when Ayesha

was 9 years old. This situation cannot be practiced in this era, since the marriage of Ayesha with the Messenger of Allah occurred in the past with the conditions in Arab traditions that are different from our current traditions". This would not be possible in present times.

## DISCUSSION

The Heads of KUA in Malang City gave a positive response to the abolition of child marriage by agreeing to the proposal to increase the age of marriage in the marriage law No.1 of 1974, from 16 years (for females) to 18 years; however, they believed that the marriage dispensation article should remain. These findings corroborate the results of the Rumble et al. (2018) research which stated that it was necessary to examine the views of religious leaders in the regions because it was estimated that there was a diversity of values in the elimination of child marriages. Although scholars in the MUI, NU and Muhammadiyah have expressed their rejection ("PBNU, MUI, Muhammadiyah", 2014), the results of this study indicated that the rejection did not represent the views of religious leaders in Malang City.

The religious leaders in Malang argued that at 16 years of age young adults were still not ready to get married both physically and psychologically. They also argued that based on the marriage report data from the KUA in 2018, there was no data showing preference for marriage among females under the age of 16. Thus, it can be concluded that

the habits of the people, as with regards marriage complement the plan to increase the minimum age of marriage, which is 18 years and above.

The majority of marriages at the age of 16 years or less was due to children being already pregnant or families worried about them falling into promiscuity which results in adultery. Marriage dispensation is usually given for these two conditions. This finding is relevant with the study conducted by Hamidah (2011) that the marriage of women who were pregnant out of wedlock was also to keep children from being born out of wedlock. These children of unwed parents are usually labelled illegitimate children within the community (Hamidah, 2011). Therefore, the Heads of the KUA believed that the marriage dispensation article was still required. This perspective is based on Islamic teachings that adultery is considered as a big sin. Muslims must guard against adultery in society. In accordance with previous research, pregnancy before marriage always ends with marriage. This is also true from the perspective of promiscuity (Hasanah, 2018). This concept is different from that in secular countries where in controlling teenage pregnancy contraceptive services are provided. In Indonesia, sex education is still not permitted by most scholars, as it actually encourages adolescent curiosity towards sex before marriage (Utomo et al., 2014). This perception is not just common in Indonesia, but also in Muslim countries like Malaysia (Mustapa et al., 2015).

Early marriage in Malang city is not solely due to young females being pregnant out of wedlock and free promiscuity resulting in adultery. Custom matchmaking, not continuing school, preferring work because it is tempting to get money, are among the causes of early marriage. These complex causes cannot be overcome by merely increasing the age of marriage; it also requires an integrative strategy where emphasis must be on education, religious understanding, gender understanding and economic improvement. This finding is in accordance with the study conducted in the UK regarding forced marriage, which concluded that forced marriage is a complex problem intertwined with culture, religion, poverty and government policy (Chantler et al., 2009).

The age of marriage according to *fiqh* conveys a context of time and place. Different situations and conditions can change the laws of *fiqh*. The age of marriage according to the *Syafi'I* school is 15 years for both women and men, but the benefit now is that it does not match that view. Marital readiness or *baligh* conditions recommended by Islam are now more comprehensive, not only in physical terms; but in terms of the psychological, economic, health and social aspects as well. This perspective is in accordance with the rules of Islamic law, *al-hukm yadūru "illatihi wujūdan wa' adaman* (the law is in circulation with *'illat*, both law and absence). This understanding is also in line with the findings of researchers in *Fiqh* of Women with Insight into Gender Justice (Hamidah, 2011).

## CONCLUSION

The abolition of the marriage of children under the age of 18, through revision of the marriage law No.1 of 1974 is not difficult, as was indicated by the Heads of KUA in Malang City. By raising the marriage age to 18, the community seems to be ready, as data from the Marriage Report by KUA in Malang City reported only a few instances of marriage at the age of 16 and below. No rejection is to be expected. In general, the lowest age for marriage is 17 years and above. In addition, in their perspective, marriage under the age of 18 is considered hurried; where there is little concern for readiness. Readiness is a prerequisite that is commonly ignored although it is strongly emphasized in Islamic teachings.

However, all the KUA suggest that the article on marriage dispensation must be maintained. According to them, the marriage dispensation article must be utilized as a preventive measure to avoid adultery which is a major sin in Islam. However, marriage dispensation as excuse to break rules must be checked by providing certain conditions. The abolition of child marriage by merely raising the minimum age of marriage in the law is inadequate; thus, it must be addressed by parents, teachers, religious leaders, community leaders, health workers and the general population.

There are four causes of early marriage in general: pregnancy due to promiscuity, parental concerns about child relationships, early drop-out of school and the start of work by young adults at an early age. Therefore, according to the Five Heads of KUA in Malang City, early age marriage abolition programs must also tackle all these causes of the problem.

The age of marriage according to the *Syafi'I* school, which states 15 years is not binding. The view of the *Syafi'i* school can be ignored in order to fulfil the requirements of the present situation. Children who are 15 years old in present times are still not ready to get married as physical, psychological, health and economic conditions in present times differ vastly from that in the past. Readiness, as explained by the KUA, is an important criterion in marriage.

## RECOMMENDATION

This research recommends that further enquiry be conducted in other regions to find out the perspectives of Heads of KUA in other districts. The results of the study are expected to be a reference to establish a synergic program among community institutions to abolish child marriages. This study indicates that religious leaders in Malang differed with MUI, NU and Muhammadiyah scholars regarding this issue.

## ACKNOWLEDGEMENT

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# Women's Rights in Marriage: Between Qur'ānic Provision and Malpractice

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## ABSTRACT

Women's rights issues have marked its spot as one of the most debated issues throughout centuries. Marriage is regularly portrayed as an "oppressive sphere" for women, with their rights being oppressed the moment they enter a marriage contract, especially in Islam. However, further reflection on the issue has shown that Islamic matrimony liberates women, preserves their honour and place in society, and abolishes injustice, when guided in principle from the Qur'an and Sunnah of Prophet Muhammad (PBUH). Regrettably, Muslim's misunderstanding due to cultural interpretation and malpractice of original Islamic teachings has tainted the true Islamic ideal. In dealing with the data, the study utilised an inductive method and content analysis, and aimed to draw attention to the misunderstandings of marriage in Islam with regards to women's rights. Further discussion would serve to explore the outcome of women's rights in marriage as bestowed by Islam, and understand the importance of the marriage institution, whilst examining the compelling misunderstandings by detractors.

*Keywords:* Islam, gender, malpractice, women's rights in marriage

## INTRODUCTION

Issues of women's rights have been an ongoing debate irrespective of the achievements that have been made. Oppression, double standards and domestic violence against women, unfortunately,

remain realities in many parts of the world. Marriage has taken centre stage in women's rights issues and is being portrayed as a patriarchal institution which has confiscated women's rights and retarded women's empowerment (Brake, 2012).

The fact that there are discrimination and oppression against women especially in marriage cannot be denied. Several facets need to be observed and discussed to grasp the issues and differentiate between causes. Historically, women of the Athenians were subjected to men. Without marriage consent being practised, Athenian women were forced into marriage, and had no say in the choice of a suitor (Qozi, 2015). Western Christianity offers another form of discrimination as they blame Eve, the wife of Adam, for his fall from heaven (Simmon, 1974). This forms a root cause for discrimination against women in the West.

Islam emerged as a new light to women offering liberation from the oppressive practices of the pagan Arabs. In Arabia's pagan era, women were treated as commodities and were often treated as less than animals. They were tools for sex, and a man could have as many wives as he pleased. A husband who has lost interest in his wife could divorce her simply by performing *zihar* (equating her with his mother). A son could inherit his father's wife except for his mother after the death of the father, and a husband who could not have children on his own could ask his wife to consolidate with another man for the sake of an heir (Abdelhak, 2016).

Islam freed women from such oppression and gave them clear rights as delineated in the Qur'an and Sunnah. It establishes equality between genders. However, with time and the rapid spread of Islam, many of its teachings have become distorted and misinterpreted. This has led many feminists to portray Islam as a religion that suppresses women on account of what is perceived as its many patriarchal practices and policies (Inhorn, 1996).

Islam delineated marriage policies with a vision to achieve women's right to marriage. Islam should be understood by its Islamic worldview from which its sense of equality and the importance it awards to the marriage institution.

**Literature Review**

Marriage in Islam has become a central focus when discussing the issue of women rights. This is evident due to the many arisen problems initiated by misuse of Islamic provision of marriage and misinterpretation of the original message as per Qur'anic revelation which later resulted in malpractice of Qur'anic teaching on particular issue. Ashrof argued on the fact that the acts of malpractice which could be sometime associated with abusive behaviour in justification of Islamic provision over the issue. Focus was entirely given to rituals with confidence on self-efficacy over Islamic ruling which was entirely misleading due incorrect usage of Qur'anic verses (Ashrof, 2005).

Cases of abuse and mistreatment of women rights were evident in the issue of divorce. ABC news reported the unfortunate event that happened to Muslim women in Australia where they could not find their right to divorce their husband as dictated by Islam. The mishap happened where the husband abused his wife physically and mentally by playing religious card. It became a torture when the wife could not find her right to divorce her husband after evidence presented to Imam's board and it had been prolonged for a year which forced her to withdraw the application due to stress (Gleeson et al., 2018).

On the issue related to polygamy, one study showed that majority of participants believed that polygamy itself was not abusive but misused of polygamy by husband had originated abuse. This happened when husband strayed from Islamic dictates in their pursuit of other wives (Hassouneh-Phillips, 2001).

A statistic number in research on wife beating and harassment due to liquor addiction in poor Muslim family indicates malpractices by Muslim men which deviant of Islamic true teaching. The number shows that in these types of family, wives have to work hard to sustenance the family, while husband took advantage of being a suppressor and enjoying his life; drinking and adultery (with non-Muslim women) (Sakhare, 1993). Hence the practices clearly contradict Islamic provision on personal and marital life.

Another news on Muslim men malpractices was reported by BBC where many of women being victims of "triple talaq" in India. The narration of cases reported alluded their husband abused talaq system which destroyed many women's life since most of them depend on the husband for life. The phenomenon of "triple talaq" in instant witnesses the husband applied it without any valid reason than to marry other women. The concern leads to women's fight for justice in court (Arya, 2017). Triple talaq is a mode of termination of marriage in which the husband may pronounce the three formulae at one time. It is considered as aggressive in nature of separation between married couple and mostly disapproved through Prophetic practice (Hussain, 2010).

## METHODS

The study adopted a qualitative method by using document analysis of various academic literatures. Literatures discussing the issue of marriage in Islam were referred and studied. These literatures were mainly books and articles written by experts in the area of women rights in Islam among others such as Abdalati, Abdelhak and al-Munajjid. Analysis was further implied by scrutinising the content in which rights of women were presented in its most accurate manner as exhibited in the Qur'an. Further analysis was given on the views of scholars who presented the rights of women in the closest meaning to Qur'anic injunctions. Here, more sources were referred to such as books of tafsir (Qur'anic commentaries) and books of hadith (Prophetic tradition). The study was assisted by online library for Islamic sources such as Shamela.net for books of tafsir; and Dorar Sunniyyah for hadith. The

whole discussion of issue was detailed out under three sub-points; pre-marriage, during marriage and dissolution of marriage.

## RESULTS AND DISCUSSION

Marriage is a sacred contract in Islam that is protected by Islamic family law. At present, Islam's approaches and policies on marriage face enormous criticism and claims of being oppressive. Aggravating the issue, Islam's true teachings and approaches regarding women, especially in marriage, have been tainted with malpractices by Muslim, misinterpretations, lack of understanding, ignorance and cultural practices. The true teaching of Islam is that it preserves the marriage institution based on equality of human beings whereby both genders play complimentary roles in the worship of God and the creation of just societies where one is not superior to the other.

### Pre-Marriage

Islam perceives marriage as a crucial institution that ensures the continuity of the human race through procreation (al-Nahl:72; al-Rum:21). It is the key to a healthy and stable society. A family is considered the nucleus of society (Singh, 2011) and the birth of a great civilisation as stressed by Pope John Paul II (Trigilio & Brighenti, 2006). Equality in Islam should be understood based on the complementary roles played by each gender. Allah says in the Qur'an of essence of equality clearly in the *Surah al-Hujurat* verse 13, Al-Qur'an says:

*"O mankind, indeed We have created you from male and female and made you peoples and tribes that you may know one another. Indeed, the most noble of you in the sight of Allah is the most righteous of you. Indeed, Allah is Knowing and Acquainted"* (al-Hujurat: 13).

Islam has preserved the rights of each gender to ensure that the objectives of marriage are achieved. It granted women rights from the moment of their birth, and they have rights to choose their suitor for marriage and rights as a wife and mother.

A major issue in Islamic marriage is the forced marriage. Forced marriages are continually associated with Muslim practices due to the high number of forced marriage cases in Muslim countries. The Foreign and Commonwealth Office & Home Office (2016) reported the highest number of forced marriage cases was in Pakistan with 539 recorded cases (44%) in 2015 followed by Bangladesh with 89 cases (7%), India with 75 cases (6%), Somalia with 34 cases (3%) and Afghanistan with 21 cases (2%) (Foreign and Commonwealth Office & Home Office, 2016). The issue intensified when major Muslim countries who were CEDAW (Convention on the Elimination all form of Discrimination against Women) signatories refused to associate and therefore applied reservation to Article 16 1(b); "The same right freely to choose a spouse and to enter into marriage only with their free and full consent;" (Marshall Cavendish Corporation, 2011).

Nevertheless, numerous injunctions in the Qur'an and Sunnah establish the rights of women. It gives women a clear right of consent regarding marriage. The Qur'an reads:

> *"O ye who believe! Ye are forbidden to inherit women against their will. Nor should ye treat them with harshness, that ye may take away part of the dower ye have given them, except where they have been guilty of open lewdness; on the contrary live with them on a footing of kindness and equity. If ye take a dislike to them it may be that ye dislike a thing, and Allah brings about through it a great deal of good"* (al-Nisa': 19).

This is corroborated by several traditions of the Messenger of Allah (PBUH). Narrated Abu Huraira: The Prophet (PBUH) said:

> *"A matron should not be given in marriage except after consulting her; and a virgin should not be given in marriage except after her permission". The people asked, "O Allah's Messenger (PBUH)! How can we know her permission"? He said, "Her silence (indicates her permission)"* (Al-Bukhari, 2001: Hadith 67).

The injunctions of the Qur'an and Sunnah clearly indicate that women have the rights to reject marriage proposals and cannot be forced by others even her parents. If a forced marriage were to occur, Islam gives the woman the option to nullify the marriage if she is not pleased (Al-Munajjid,

2011). It was narrated that Buraydah ibn al-Haseeb said:

> *"A girl came to the Prophet (PBUH) and said: My father married me to his brother's son so that he might raise his own status thereby. The Prophet (blessings and peace of Allah be upon him) gave her the choice, and she said: I approve of what my father did, but I wanted women to know that their fathers have no right to do that"* (Ibn Majah, 2009: Hadith 1874).

In many cases, arranged marriages have been construed as forced marriage despite being consensual. This is supported by research done by Professor Paul Gwynne in his book 'World Religions in Practice: A Comparative Introduction' quoted by Karim (2013), which presented a compelling misunderstand between arranged marriage and forced marriage in Islam where he argued that arranged marriage was not forced marriage: "Marriage is considered to be of the utmost importance in Islam and there is extensive material in both the Qur'an and the hadith on the vital role it plays in the life of faith… On the horizontal plane, marriage is a legal contract between two individuals. In this sense, it requires the usual elements of any contract: mutual consent between the parties, specified conditions, and public witness…However, an arranged marriage is not a forced marriage and Islamic law stipulates that the free consent of both parties is necessary for its validity, even if the bride acts through her official guardian, or *wali*" (Karim, 2013).

The lack of awareness of Muslim parents plays a vital part in this mishap in the Muslim world. They need a wake-up call in this regard. Islam places a vital role on parents regarding their children's marriage but more as a guide not as decision makers. Although they play a major part, the final decision is up to their children. The Qur'an firmly asserts that marriage is a relation based on love, mutual care, consideration and respect. It is not solely sexual. Allah says:

> *"And of His signs is that He created for you from yourselves mates that you may find tranquillity in them; and He placed between you affection and mercy. Indeed in that are signs for a people who give thought"* (al-Rum: 21).

**During Marriage**

In Islam's provision for women, to enter into a lawful marriage, the husband is obliged to pay a *mahr* (dowry) to his wife as requested by the wife. Islam encourages the dowry not to be exorbitant. The *mahr* is more of a symbolic gesture of love, respect, and willingness (Abdalati, 1975). In this regard, women have full authority of their *mahr*, and it cannot be used without her permission (Hussain, 2011). Clearly stated in verse 24 in *Surah al-Nisa'*:

> *"...all others are lawful, provided ye seek (them in marriage) with gifts from your property,- desiring chastity, not lust, seeing that ye derive benefit from them, give them their dowers (at least) as prescribed; but if, after a dower is*
> *prescribed, agree Mutually (to vary it), there is no blame on you, and Allah is All-knowing, All-wise"* (al-Nisa': 24).

Islam stresses on the obligation of husband physically and mentally and his responsibility to ensure the maintenance of his wife. Allah says:

> *"Men are in charge of women by [right of] what Allah has given one over the other and what they spend [for maintenance] from their wealth..."* (al-Nisa': 24).

The Prophet (PBUH) emphasised regarding wife's maintenance when one of his companions asked on what is the right of a wife over her husband (Ara, 2009). He says:

> *"That you feed her when you eat when you eat and clothe her when you clothe yourself"* (Abu Dawud, n.d.: Hadith 2137).

Furthermore, Allah has ordered husbands to treat their wife justly and with kindness; "keep them in good fellowship" and "treat them kindly" occurs repetitively in the Qur'ān (Ali, 2015). Thus, a wife has rights to kind and proper treatment, respect, privacy, not revealing her secret to others, justice between wives and defending her honour (Buyukcelebi, 2005). The Prophet (PBUH) was the model Muslim husband (Al-Kuotli, 2007). He (PBUH) says:

> *"The most excellent of you is he who is the best in his treatment of his wife"* (Al-Tirmidhi, 1975: Hadith 17).

Islam encourages couples to protect their marriage. When problems occur, Islam suggests many solutions before opting to separate (Osman, 1991). When divorce cannot be avoided, Islam delineates the best guide for both parties and encourages going about it equitably.

Alas, misunderstanding has arisen. There is the misconception that Islam granted man the sole authority of divorce. Conversely, Islam clearly granted ways and rights for a wife to divorce initiation known as *Khulu'* (Ali, 2004) as detailed in *al-Baqarah* verse 229.

*Khulu'* refers to the separation initiated by the wife in return for payment when the husband receives the initiative and release his wife; the payment can be the *mahr* he gave, or more or less than that (Abdul-Rahman, 2004). In Islam, the wife is allowed to ask for release due to certain circumstances such as cruelty, abandonment, and when the husband failing to meet his obligation, in which case the wife can proceed with the application to the court (Marafi, 2012). Many traditional scholars interpret *khulu'* need to gain husband consent. However, some new interpretations argue that women can obtain *khulu'* through court verdicts without the consent of the husband (Marafi, 2012).

**Dissolution of Marriage**

Dissolution of marriage in Islam can be divided into divorce and the death of the husband. In each case, Islam never fails to preserve women's rights.

Stated in the *Surah al-Baqarah* verse 229 when divorce happens; Islam obliges the husband to divorce equitably. Islam prohibits a husband who intends to divorce his wife to do so while his wife is in her menses or during consummation (Abdul-Rahman, 2004). When a divorce takes place, a husband needs to provide maintenance to his wife during the waiting period and must bear the maintenance of the child (Ara, 2009).

As for the death of a husband, a widow cannot be expelled from the house until her waiting period of four months and ten days has completed. The widow has the right to get full financial support during *'iddah* (waiting time), with some scholars saying that it is extended until a year (Ali, 1992). The inheritance of the deceased husband's property is also granted to the wife. The Islamic inheritance system allows the wife to inherit a fourth of what he leaves if there are no children. With children, she is entitled to one-eighth (Affi & Affi, 2014; al-Nisa': 11).

Another aspect of marriage in Islam that has received much criticism is polygamy. This is a sticking point in the argument that marriage in Islam is discriminatory. Heather Johnson quoted in her article: "The polygamous home is habitually nothing but hell of intrigues and violence. This behaviour in polygamy, which apparently normal in masculine ethics, becomes the source of perpetual torment; calumny and dispute constantly appear to recall that the sexual morality of the man does not fit the aspiration of the women, that Islam in particular..." (Johnson, 2005).

However, there is little discussion detailing the ways in which polygamy is permissible and the rights of the wife therein. The basis of polygamy basis is permitted in the Qur'an says:

> *"And if you fear that you will not deal justly with the orphan girls, then marry those that please you of [other] women, two or three or four. But if you fear that you will not be just, then [marry only] one or those your right hand possesses. That is more suitable that you may not incline [to injustice]"* (al-Nisa':3).

The true Islamic practice of polygamy hinges upon great the responsibility and capability of men. It cannot be practised until all its requirements have been met. To practice polygamy, man needs to have the financial stability to suffice meeting the needs of all wives. The ability to satisfy them sexually and psychologically to living with more than one wife i.e. able to be just in terms of action and not showing bias should be observed by polygamous husband (Al-Zuhayli, 1985). Hence, Islam also provides women with the option to set the condition of prenuptial agreement detesting to futuristic polygamy practice of the to-be-wed husband (Al-Khouli, 1990).

## CONCLUSION

The marriage institution cannot be taken for granted. Islam regards it as a pillar of a healthy society and as such must be preserved. Alas, one may perceive marriage as a discriminatory institution which threatens the foundation of the family.

Islam perceives the importance of marriage and family and has legislated many rights and responsibilities to ensure that it is preserved. These rights are grounded in the Qur'an and Sunnah to achieve the objective of marriage. Regrettably, many Islamic teachings are abused by Muslims due to a lack of knowledge, misinterpretation and malpractice leading to an understandable misunderstanding by non-Muslims as Muslims themselves have tainted the true teachings of Islam.

Islam granted women voice and rights. However, its rapid expansion has led to a corruption of its teachings particularly due to cultural influences. Islamic teachings have been mixed with patriarchal cultures which are often given priority over Islam teachings. It is important to be aware of the rights Islam has given women before, during and after marriage. Such awareness will help reduce the injustices perpetrated against women in the name of Islam.

## ACKNOWLEDGEMENT

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## SOCIAL SCIENCES & HUMANITIES

# Evaluating Work-Life Balance and Individual Well-Being with the Moderating Role of Organisational Climate

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## ABSTRACT

Escalating pressures along with organisational change in universities has led to the increased importance of research on work-life balance, well-being and organisational climate amongst university staff. Grounded in Work/Family Border Theory and Social Exchange Theory, this study investigated the causal relationships between work-life balance and well-being within the context of Open Distance Learning (ODL) University in Malaysia. This study also introduced organisational climate as potential moderator to investigate the indirect relationship on work-life balance and well-being. Through the Partial Least Square (PLS) analysis on 94 respondents, findings suggested that work-life balance for staff only impact on their psychological well-being. In addition, contrary to our expectations, the results revealed that organisational climate did not moderate the relationship between work-life balance and individual well-being. Several recommendations that will be significant to improve career satisfaction, and to have more positives work environment are discussed.

*Keywords:* Career satisfaction, Open Distance Learning (ODL) university, organisational climate, well-being, work-life balance

## INTRODUCTION

Malaysia has been experiencing an increase in the number of public and private higher education institutions, a higher student enrolment, development of courses in numerous areas, and growth in internet and web-based teaching. Such changes are due to factors like pressure of demand, cultural shift of how higher education is regarded, financial pressure, structural and managerial diversity, and various changes in university mission or emphasis (Kim et al., 2017). Nevertheless, each stakeholder, i.e. the government, policymakers, university management, and society, should realize that too many demands on both the academic and administrative staff can cause uncertainty regarding their work-life balance.

Scholars researching work-life balance have always been interested in the quality of working life and its relation to quality of life as referred to Mellner et al. (2015). It is thought that balancing a successful career with personal or family life can be challenging, and it affects an individual's level of satisfaction in his or her work and personal life. Concerning university staff, many workplace responsibilities along with organisation and community pressures are possibly regarded as crucial triggers that influence both academic and administrative employees' state of perceived work-life balance, which subsequently affects their career satisfaction and psychological well-being.

Career satisfaction is utilised as a subjective indicator of career success mainly because it shows a person's attitude towards his or her career based on a personal appraisal. This concept employs measurement of satisfaction in terms of global career success or the intrinsic and extrinsic elements of an individual's career comprising pay, promotion, and prospect for development (DiRenzo et al., 2015). On the contrary, psychological well-being is a subjective concept with a close association with quality of life. Psychological well-being concerns living a good life and is a combination of feeling good and functioning effectively. In this research, psychological well-being is defined in terms of the overall effectiveness of a person's psychological functioning. Sustainable well-being does not need a person to feel good all the time, whereby experiencing painful emotions like disappointment, failure, and sorrow are part and parcel of life. The ability to handle these negative or painful emotions is fundamental for long-term well-being.

### Problem Statement

Rivalry amongst higher education institutions has increased due to aspects like technology, globalisation, accountability, new pedagogy approach, and demographic changes. Consequently, this new environment has induced changes in university management and culture which have impacts, small or big, on the workload of both academic and non-academic employees. As explained by Graham (2016), academic staff's workload is the key requirement for raising quality assurance and student support. Besides that, it is also crucial for determining the problems endured by them, which includes

high student-to-staff ratio. Furthermore, the responsibilities for administrative staff is now covering more areas, from normal office work to something more extensive, i.e. financial management, core planning, teaching and research support, quality assurance, and facilities management. These changes represent the intricacies of academic and administrative work in an environment that is becoming more demanding.

Open Distance Learning (ODL) universities will encounter changes in management and culture, like other universities, in their mission and goal to develop uniqueness and prominence as a competitive learning provider. Moreover, these institutions have undergone organisational change at a medium scale such as physical structuring, lean resource management structuring, as well as developing lifelong learning services which are more diverse and suitable for regional and global reach (Wise et al., 2018). Their long-term goal is to attain the advantage of competitiveness and sustainability by embodying its slogan: affordable, flexible, and convenient.

Not only that, as mentioned by Altrichter and Kemethofer (2015), the heightened expectation on profitability, pressure to carry out research, governance, accountability, and management outcome will raise the workload for both academic and administrative employees. Such expectations cause the employees to sacrifice personal and family time to realise the university's ambition. Working overtime

may affect the work and personal life of the employees. They could become distressed due to their imbalanced and taxing working life, which makes achieving work-life balance difficult. As such, it is possible that the employees will feel undermotivated and unconfident that subsequently causes a high level of absenteeism, high staff turnover, unsatisfactory work performance, and presenteeism whereby the staff are physically present at the workplace but have low productivity.

Most studies on work-life balance and well-being tend to emphasise work-family conflicts and its effect on a person's life satisfaction, physical and mental health, as well as dedication to their organisation. Besides that, several researches had studied the ability of university staff in achieving work-life balance and managing career-life conflicts, and these studies were performed based on conventional universities located in western countries (Jaga & Bagraim, 2017). Studies on work-life balance in Malaysian conventional universities have been conducted with several outcomes such as work-life balance and intention to leave (Noor, 2011) work-family conflict and coping strategies (Achour et al., 2014); and quality of work life (Daud, 2010). Musah et al. (2016) in his research, studied the organisational climate as a predictor of workforce performance.

In the context of ODL environment, which presentation and learning support demand for digital literacy, efficiency in the design, usage and presentation of Open Education Source, as well as management

of Open Learning Platform, for example, "moodle.org", is also no exception from facing the issue pertaining to work-life balance, well-being, and issue on perception of work practices by organisational members that affect their daily interactions. This scenario is backed by statistics from the Human Resource Department from one of the ODL universities in Malaysia that shows an increase of 18% in staff medical rate in 2015 compared to 15% in 2014, as well as a higher turnover rate which is 20.3% in 2015 compared to 16.2% in 2014 (see Figure 1). In addition, the retention rate for administrative staff is higher at 59% compared to 35% for academic staff in the same period.

Based on the statistics presented in Figure 1, there are possibilities the staff are likely to be unhealthy, less motivated, increasing in absenteeism, high turnover, poor job performance, and "presenteeism"

or being present physically at work, but working less productivity. This scenario would become worse if less attention is given to work-life balance and well-being of the university staff.

From a different perspective, environmental factors within an organisational climate with moderating effects should not be disregarded. For example, an organisation must first create a work environment that enables improvement of leadership style, communication, amount of trust, fair rewards, employee involvement, and acceptable pressures prior to being able to improve its customer satisfaction, quality of service, and customer loyalty (Taştan & Davoudi, 2017). This is because organisational climate shapes the attitudes and behaviours of employees, which affects their interaction with colleagues and customers. When both the managers' efforts and the internal service environment work
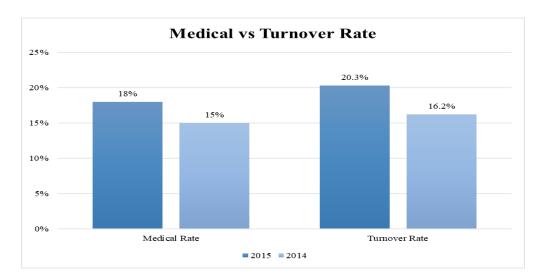


*Figure 1.* Medical vs retention rate

towards creating an organisational climate, a better well-being can be developed for the employees. Organisational climate has a well-known association with career satisfaction. Even though this connection has been proven, its antecedents have not been reported to date. Among the potential antecedents is work-life balance, organisational climate is generally seen as an aggregate at the individual level; however, it has not been studied in the work-life balance and individual well-being relationship context. Since organisational climate plays a crucial role in organisations and influences employees' perceptions, which impacts their behaviours, the aim of this study is to add value to the body of knowledge with organisational climate as a moderator. This is vital as organisational climate is influenced by events and characteristics relevant to the organisation, which in turn wields a strong effect on the behaviour of the organisation's members. Organisational climate and the manner individuals react to it constantly interact. Hence, the following research questions are put forth to investigate this issue further:

- Does work-life balance influence career satisfaction?
- Does work-life balance influence psychological well-being?
- Does organisational climate moderate the relationship between work-life balance and career satisfaction?
- Does organisational climate moderate the relationship between

work-life balance and psychological well-being?

## Literature Review

**Work-Life Balance.** Nowadays, the phrase 'so much to do, so little time' applies to all in the society. Self-management is a key attribute people require due to the many issues outside work and various pressures at work that they must handle. According to Santos (2015), everybody has their own way to attain a fulfilling work-life balance. Certain individuals permit their job to control their lives and they tend to work long hours. Meanwhile, there are also those who work for the necessity of it and never get stressed or allow work to dictate their lives. The challenges faced by the human resources department in implementing work-life balance has varied compared to years ago. Since society has become a major part of an organisation, it must consider the needs of society. New and advanced technologies, besides transforming management style and approach, have created different and greater challenges. Supported by Schymik (2018), globalisation has intensified competition between organisations and induced changes in government policies, and in turn, these have caused the emergence of new risks and challenges. Employees are now working longer hours, which presents novel challenges regarding productivity level and recruitment issues. Not only that, the standard of living and responsibilities are increasing while work attitude is also changing due to pressures outside work.

The concept of work-life balance differs from one person to another. For

some individuals, more time is essential to experience well-being and achieve a common ground and balance between life and work, while others might require less time. Hence, it is proven, based on literature, that work-life balance is seen as an individualistic concept. In general, work-life balance concerns the choice between work and life and with demands in personal and work life being different for every individual, the drive within each person can significantly vary in which everyone's behaviour can also be different. Zheng et al. (2016) revealed that there are four specific methods/groups that signify work-life balance in any organisational context. The first one is working arrangements between employees and employers and the flexibility involved. Flexible work for both full- and part-time work comes under this. Prior research emphasised on how flexibility can impart a positive effect on work-life balance. Health and well-being programmes for workers is the next initiative for work-life balance in an organisation. Apart from that, Zheng et al. (2016) investigated childcare subsidiaries, and 47% of people questioned stated that this programme helped them achieve work-life balance and well-being. Even though it was under 50%, this still shows the effect and efficiency of the programme. Lastly, application of leave programme was the final approach used in relation to work-life balance. Formal leave provisions like parental and maternity leaves are made compulsory via legislation and are informally agreed upon within small-scale businesses. This contrasted

with informal leave arrangements, whereby management's discretion on judging an employee's situation was successful towards approving the leave and forming work-life balance policies at work. Thus, work-life balance, which discusses about experience well-being and achieve a common ground and balance between life and work has been selected to fill up the gaps in the literature exists within the contexts of ODL staff.

**Career Satisfaction.** Career satisfaction has been defined in various ways and based on many theories, from Maslow's Hierarchy of Needs to Genetic Theory of Needs. DeCastro et al. (2014) had described career satisfaction as the level of fulfilment and satisfaction an employee had with his/her job, which affected their job performance. Like work-life balance, career satisfaction is a crucial concept that employers must be aware of and cater for whenever possible since the level of satisfaction employees have will affect their outlook and behaviour towards the organisation. A study by Briscoe et al. (2018) exposed the significance of career satisfaction on productivity, whereby a 6.6% increase in productivity per hour was noted due to a high level of career satisfaction. On the other hand, job dissatisfaction is counterproductive in which employees will have a negative attitude and be discontented with their job. This is because the workers have a negative mindset regarding the organisation that has hired them, the work environment, and the overall views and requirements. Accomplishing career satisfaction in retail can be very tough

because many employees leave to search for better employment that has led to high turnovers, which is very common in the retail sector (Briscoe et al., 2018). Factors such as work conditions, stress, working hours, absence of supervision and training, pay and benefits, and internal communications issues were listed as the main reasons for job dissatisfaction (Warr, 2018). Besides, Warr added that management and work practices employed within the company were also the key factors that caused unhappiness among workers regarding their job.

To reduce career dissatisfaction, factors mentioned earlier, i.e. improving job satisfaction, future career opportunities, incentives, flexible work arrangements etc., must be considered (Han et al., 2015). Having a greater productivity and commitment leads to other beneficial effects like enhancing the quality of products. Products with better standards allow an organisation to form a reliable high-quality platform for the future and this will be an advantage against competitors. Employees who have experienced a high level of career satisfaction will not hesitant to look for new employment, which in turn keeps the turnover level low. Han et al. (2016) firmly supported this and further stated that career satisfaction amongst employees led to customer satisfaction. A happy employee will be more loyal and committed to the company and its customers. Thus, career satisfaction, which discusses about a pleasurable or positive emotional state resulting from the appraisal of one's work experiences has been selected to fill up

the gaps in the literature exists within the contexts of ODL staff.

**Psychological Well-Being.** Psychological well-being involves living a good life and is a combination of feeling positive and being able to function effectively. It has been described as the overall effectiveness of a person's psychological functioning (Berkman, 1971a, 1971b). Furthermore, sustainable well-being does not entail that individuals must feel good all the time as it is common to experience emotions like disappointment, failure, and grief. As such, the capability to handle these negative or painful feelings is important for long-term well-being. Therefore, it seems that an individual's capability in having an effective psychological function encompasses developing one's potential, holding some control over one's life, possessing a sense of purpose such as working towards a specific goal and experiencing positive relationships (Diener et al., 1999). Clearly, the long tradition of theoretical and empirical researches has stressed the significance of psychological well-being. Nevertheless, it is neither easy nor straightforward to elucidate the configuration of psychological well-being. This is proven via the numerous terms used to discuss the construct, such as emotional well-being, mental well-being, and affective well-being; this is also clearly shown through the various conceptual approaches developed.

Diener et al. (2017) claimed that a person experiences a high level of psychological well-being when he or she had more positive

effects compared to negative ones. In short, a person's happiness or well-being is based on the degree in which positive emotions dominate over the agony in his or her life. Warr (1999) had developed a model using affective and mental health well-being to steer his investigation on occupational psychology. Within this comprehensive conceptual framework, the affective well-being is an aspect in a person's overall mental health. Thus, mental health is a relatively broad concept accessible via three principal components. First is competence, which is a construct similar to self-efficacy, while the second is aspiration, i.e. a concept that concerns psychological growth or self-actualisation. The final component is negative job carry-over, which reveals the extent to which job worries are carried over into life outside of the workplace. Additionally, these elements can collectively define an individual's occupational mental health.

Even though proofs are available concerning the absence of agreement on the real number of dimensions that form the concept of psychological well-being, besides how psychological well-being can be defined and conceptualised. Law (2015) had posited that the affective component of psychological well-being was best recognised as a hedonic balance. This pertains to the condition when a person's overall emotional mood is determined by the levels of positive and negative feeling being experienced and the difference between those emotions. Karimi et al. (2014) had given extensive proof that psychological well-

being was structured based on three primary components, namely, life satisfaction, high level of positive influences, and low level of unpleasant influences. Thus, people with a high subjective well-being will experience more satisfaction in life since they experience more positive emotions such as joy compared to unpleasant feelings like sorrow and anger. On the contrary, people tend to have a low psychological well-being when they feel dissatisfied with their life, experience little joy and affection, and regularly experience negative feelings like anger or anxiety. Not only that, there is more direct organisational proof that reveals how psychological well-being is connected to workers' performance. Besides that, Dawson et al. (2017) also reported a substantial correlation between work-life balance and psychological well-being. Thus, psychological well-being, which discusses about overall effectiveness of an individual's psychological functioning has been selected to fill up the gaps in the literature exists within the contexts of ODL staff.

**Organisational Climate (OC).** Organisational climate signifies the condition of an organisation's culture. According to Ekman et al. (2018), the most common management challenge beleaguering organisations is the need for a creative flexible work environment that promotes job satisfaction and innovation. Cobb (2016) revealed that due to being drained by fiscal constraint, downsizing, and outsourcing, organisations had been necessitated to modify dynamics in the

workforce that remained accommodating. An IBM study exposed the growing importance of workplace climate on employee job satisfaction, creativity, motivation, and retention. When IBM recognised the importance of workplace climate, which subsequently decided the success and failure of an organisation, the company was prompted to make changes and set best practices, which helped it to stay on top and become one of the world's major corporations. Enhancing employee performance must be the top priority on every organisation's agenda. Cultivating a positive workforce climate no longer remains an attractive option but should be accepted as something vital for business. Climate has a tangible effect on workers' motivation. A good working climate lifts an employee's confidence, faithfulness, and efficiency.

Karatepe (2015) postulated that organisational climate could directly cause positive or negative work outcomes. Positive work incentives, such as attractive work environment, good personnel policies, and provision of benefits, job structure, and compensation, made work interesting and created an enabling work environment that induced motivation amongst employees. In contrast, Dineen and Allen (2016) mentioned that negative work incentives, like those that made work uninteresting, unchallenging, and disappointing, led to increased absenteeism, turnover, and accidents. As such, to prevent negative work outcomes, it is necessary to determine which factors within the organisational climate

can lead to satisfaction among academics for them to continually be productive and content. Nonetheless, it is crucial to highlight that the researcher is not oblivious to the fact that factors such as clear lines of communication, sufficient reward system, and promotional opportunities could also encourage or discourage both positive and negative work outcomes, which if not effectively put in place results in turnover of the academics. Comparative studies of this nature provide the researcher with an avenue to determine variations in job satisfaction of academics and its effect on academic excellence.

Workers have developed a common belief regarding the degree to which their employer values their contributions and are concerned about their well-being. Supportive organisations are known to take pride in their staff, give them fair compensations, and look after their needs. In such situations, employees' investment of time and effort is rather secured. Therefore, workers could increase their investment by performing better (Stokes et al., 2013). Thus, the research gap, pertaining to the moderating role of organisational climate among ODL staff must be filled.

***Hypotheses of the Study.*** Figure 2 shows the proposed research framework based on Work/Family Border Theory and Social Exchange Theory consisting of an independent variable (work-life balance), the two dependent variables (career satisfaction and psychological well-being), and the moderating variable (organisational climate).
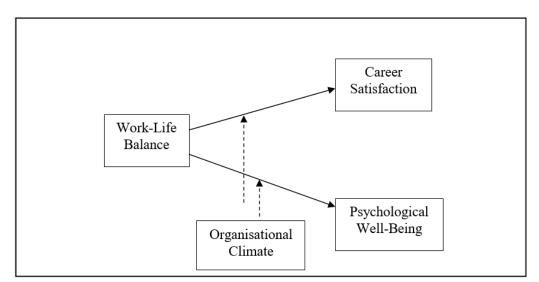
*Figure 2.* Research framework

Based on the above research framework, the following hypotheses are postulated to be tested in this study:

$H_1$: *Work-life balance has a positive influence on career satisfaction.*

$H_2$: *Work-life balance has a positive influence on psychological well-being.*

$H_3$: *Organisational climate moderates the relationship between work-life balance and career satisfaction.*

$H_4$: *Organisational climate moderates the relationship between work-life balance and psychological well-being.*

## MATERIALS AND METHODS

### Population and Sampling

This research's population comprised 216 employees (academic staff and operation staff) from one of the ODL Universities in Northern Region, Malaysia, that faced similar internal condition, which includes organizational politics, performance management, and boss-employee relationship. This research utilised simple random sampling technique that allowed an equal chance for all respondents to be selected as samples of the study. Every variable was evaluated at the individual level. To ascertain the sample's minimum size, Roscoe's (1975) rule of thumb was utilised as a guideline, which stated that a sample size of between 30 and 500 was suitable for most research, and the minimum sample size was 30% of the population. Hence, based on Roscoe's suggestion, a sample size of 94, i.e. 44%, was adequate.

### Data Collection Procedure

A questionnaire was created using the 'Survey Monkey' form. Along with the questionnaire, a covering letter that elucidated the study's purpose, steps to complete the questionnaire, guarantee of discretion, and voluntary involvement, was available. Quantitative analysis was

performed by inserting the findings into SPSS 23.0 and Smart PLS M2 Version 2.0 software. Data was gathered for three weeks in January 2017.

## Measurement Items

In this research, the measurement used was based on past studies with acceptable reliability. To measure the six work-life balance items, the scale established by Greenhaus et al. (2004) was applied. The alpha coefficient utilised in this present research was 0.899. Next, Greenhaus et al.'s (1990) measurement for career satisfaction using five items was employed, whereas evaluation of psychological well-being involved eight items from the Index of Psychological Well-Being created by Berkman (1971a, 1971b). For psychological well-being and career satisfaction, the alpha coefficient was 0.872 and 0.901, respectively. Organisational climate (OC) measurement was adapted from Suárez et al. (2013) using a 15-item scale with an alpha coefficient of 0.850. Assessment was conducted using a five-point Likert scale, from 1 = strongly disagree to 5 = strongly agree, for every variable. To better comprehend the sample, information on demographic variables like level of education, age, gender, current position, duration of service, and number of years working at current position were determined.

## Data Analysis

The Partial Least Squares (PLS) method was applied to examine the research model. Adapting the analysis procedure of the two-step approach recommended by Anderson and Gerbing (1988), measurement model (measurement validation and reliability) was verified first followed by structure model test (to test the hypothesis relationship Smart PLS M2 Version 2.0 and the two-step analysis technique were utilised for analysing the data. Finally, bootstrap method (resampling of 300) was used to determine the significance level of loading, weight, and path coefficient.

## RESULTS

### Descriptive Statistics

This section presents the respondents' demographic profile. In terms of gender, 68 (72%) out of the total of 94 respondents were female, and the remaining 26 (28%) were male. Most respondents were aged between 35-44 years old (43%). In terms of qualification, 45% of respondents had SPM certificate (11 years of schooling in primary and secondary school). As for work group, most of them were operation staff (49%) and 40% of total respondents had between 4-7 years of work experience. In terms of current position, 44% of them had been serving in the current position between 4-7 years.

### Assessment of Measurement Model

In this measurement model, the latent and observed (item) variables are related. Construct validitation has to be executed on the measurement model before assessing the structure model for hypothesis testing. Construct validity refers to degree of which the indication reflects the policy construct

(latent variable). The measurement model's items are required to display convergent validity and sufficient discriminant as the conditions to ascertain construct validity. Furthermore, factor loading, composite reliability, and average variance extracted (AVE) are utilised to measure convergent validity (Hair, 2006).

**Convergent Validity**

Firstly, we tested the convergent validity to measure how close the various items match the concept agreed. Based on Hair et al.'s (2010) recommendation, factor loading, composite reliability, and AVE were employed to assess convergent validity. These researchers further added that the loading value for every item must be ideally 0.70 or higher, or at least 0.50. On the other hand, items with loading value of less than 0.5 should be omitted. Based on the results of the measurement model (see Table 1), all items had significant loading values of between 0.563 and 0.895. All items in this study were also found to meet the criteria of internal consistency with composite reliability (CR) which was higher than 0.7 as suggested by Fornell and Larker (1981). The value of AVE for each construct is higher than the benchmark value wanted which is 0.5 as suggested by Fornell and Larker. Although AVE value for Career Satisfaction (0.545) is considered quite low, this value is still within the guideline proposed by Fornell and Larker.

Table 1

*Results of items reliability, internal consistency and convergent validity*

| **Constructs** | **Factor loadings, Composite Reliability (CR), and Average Variance Explained (AVE)** |
| --- | --- |
| *Work-Life Balance* | *CR = 0.899; AVE = 0.751* |
| WLB_1 | 0.876 |
| WLB_2 | 0.892 |
| WLB_3 | 0.876 |
| WLB_4 | 0.778 |
| WLB_5 | 0.731 |
| WLB_6 | 0.813 |
| *Organisational Climate* | *CR = 0.829; AVE = 0.814* |
| OC_1 | 0.792 |
| OC_2 | 0.823 |
| OC_3 | 0.791 |
| OC_4 | 0.835 |
| OC_5 | 0.821 |

Table 1 *(Continued)*

| Constructs | Factor loadings, Composite Reliability (CR), and Average Variance Explained (AVE) |
|---|---|
| OC_6 | 0.808 |
| OC_7 | 0.793 |
| OC_8 | 0.681 |
| OC_9 | 0.563 |
| OC_10 | 0.751 |
| OC_11 | 0.857 |
| OC_12 | 0.830 |
| OC_13 | 0.860 |
| OC_14 | 0.815 |
| OC_15 | 0.776 |
| *Career Satisfaction* | *CR = 0.781; AVE = 0.545* |
| CSAT_1 | 0.846 |
| CSAT_2 | 0.891 |
| CSAT_3 | 0.895 |
| CSAT_4 | 0.774 |
| CSAT_5 | 0.823 |
| *Psychological Well-Being* | *CR = 0.908; AVE = 0.895* |
| PsyWB_1 | 0.699 |
| PsyWB_2 | 0.629 |
| PsyWB_3 | 0.699 |
| PsyWB_4 | 0.616 |
| PsyWB_5 | 0.629 |
| PysWB_6 | 0.636 |
| PsyWB_7 | 0.806 |
| PsyWB_8 | 0.677 |

## Discriminant Validity

Measurement of discriminant validity (item level differentiated between construct or measure of different concepts) was done by examining the association between construct and square root of AVE for the construct (Fornell & Larcker, 1981). All values of square root of AVE were higher than the correlation value in rows and columns, showing that discriminant validity had been achieved (see Table 2). In short, measurement model showed that convergent

validity and discriminant validity had been achieved.

**Structure Model Assessment**

The assessment of measurement model was followed by structure model analysis. Structure model contained the hypothesis for the relationship between exogenus and endogenus variable in the model. Figure 3 shows the structural model of this study.

From the two hypotheses that were proposed for the relationship between work-life balance and individual well-being (career satisfaction and psychological well-being), only one was accepted. Psychological well-being was positively influenced by work-life balance ($\beta = 0.328$, $p<0.01$). Therefore, the results supported hypothesis $H_2$. On the other hand, career satisfaction was negatively influenced by work-life balance. Therefore, $H_1$ ($\beta= -0.142$, $p>0.05$) was found to be unsupported. At the same time, two more hypotheses were postulated for moderating effects of organisational climate towards the relationship between work-life balance and individual well-being (career satisfaction

and psychological well-being). However, both hypotheses were not supported ($H_3$: $\beta= -0.083$, $p>0.1$; $H_4$: $\beta= -0.156$, $p>0.1$). See Table 3 for the findings of path coefficient and hypothesis testing in this study.

**DISCUSSION**

The statistical result provided support for only one hypothesis relationship, which is work-life balance was revealed to have a positive effect on psychological well-being. This finding agrees with Tuwei (2015) who found that work/family balanced significantly influences psychological well-being among workers. From this finding, it is possible to claim that staff in this ODL university were receiving work-life balance support, which allowed them to better handle the demands of care and responsibilities and to lower the demands of work, by decreasing workloads, disruptions to work and commuting times, and improved prioritization of work, time management, and completion rates. Apart from that, an increase in job autonomy, for instance, could be the factor that allowed these employees to perform better at work.

Table 2

*Discriminant validity of construct*

| Constructs | WLB | OC | CSAT | PsyWB |
|---|---|---|---|---|
| WLB | 0.703 | | | |
| OC | 0.255 | 0.720 | | |
| CSAT | 0.123 | 0.237 | 0.695 | |
| PsyWB | 0.431 | 0.318 | 0.444 | 0.742 |

*Note:* Diagonals (in bold) represent the square root of the AVE, while off-diagonals represent the squared correlations between constructs.
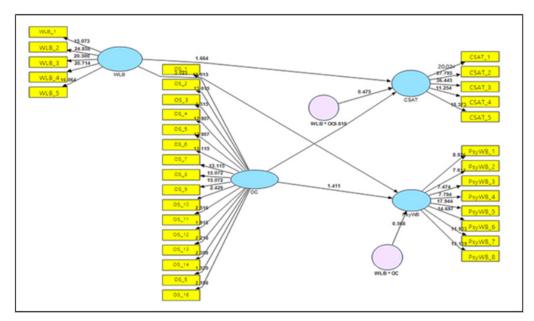
*Figure 3.* Structural model

Table 3

*Path coefficient and hypotheses testing*

| No | Relationship | Path Coefficient (β) | Std. Error | t-value | Decision |
|----|-------------|----------------------|------------|---------|----------|
| H₁ | WLB --> CSAT | -0.142 | 0.085 | 1.664 | Not Supported |
| H₂ | WLB --> PsyWB | 0.328 | 0.109 | 3.023*** | Supported |
| H₃ | WLB*OC --> CSAT | -0.083 | 0.175 | 0.475 | Not Supported |
| H₄ | WLB*OC --> PsyWB | -0.156 | 0.276 | 0.568 | Not Supported |

*Note:* ***p < 0.01 (2.33), **p < 0.05 (1.645), *p < 0.1 (1.28) (based on one-tailed test)

For example, they can resolve an issue when it happens, without needing to consult their supervisor; thus, they may not have to take home unresolved work issues or get stressed by them. This is combined with their perception about feeling happy when a goal is achieved as well as being enthusiastic or attentive about something,

which is attaining psychological well-being. As such, Hypothesis 2 is supported.

Next, our findings indicated that career satisfaction was not positively influenced by work-life balance. This result contradicted to the findings which discovered work-life balance is a key element in career satisfaction of workers (Saltzstein et al.,

2001); quality work-life was directly connected to work satisfaction (Hill et al., 2003); and working life variables like perception of support by colleagues, salary, satisfaction with the administrative party, work conflicts, and conflicts not related to work, were proven to have direct impact on or can predict work satisfaction (Cahill et al., 2015; Haar et al., 2014). The possible explanation from this finding could be the opportunity for career advancement in this ODL university is not compelling. For instance, time was not devoted to conducting frequent meetings with team members on a one-to-one basis to discover their ambitions, hopes, and exasperations. Workers were not given support in terms of planning a career path and in identifying key milestones for accomplishment within the organisation, for them to better envision their career. This situation elucidates that the communication channel regarding career advancement prospects, which can help workers feel more involved and empowered is unclear and inconsistent. Consequently, employees do not feel valued and this eventually leads to reduced efficiency and loyalty. Therefore, Hypothesis 1 is not supported.

Even though previous studies have proven that the positive outcome of innovative workers' perception concerning overall work-life quality is directly associated with work satisfaction (Lee et al., 2018), this current research had suggested that organisational climate did not moderate the relationship between work-life balance and career satisfaction. The only explanation to further comprehend this result is the organisational climate practice in this ODL university. For instance, the staff might not be satisfied with the benefits their university provide, the benefits given are not enough to satisfy their essential requirements, or the benefits do not match with the external labour market's standard. Furthermore, it can be claimed that the workers are not supplied with adequate instruction regarding their work, and perhaps they believe that their performance assessment is unfair when they do not get promoted based on their performance. Consequently, Hypothesis 3 is not supported.

Our last finding exposed that organisational climate did not moderate the relationship between work-life balance and psychological well-being. This finding is corroborated by Viitala et al. (2015), who suggested that well-being at work was an individual and a unit level phenomenon. If the environment in the unit is not healthy, it can negatively contribute to the health of workers. In contrast, if the environment in the unit is healthy, it will help develop workers' well-being and shield them from any possible associated issues. Hence, it can be assumed that the equipment and resources, supplied by this ODL university, that are essential for the staff to perform their duties are inadequate. Moreover, the materials given by the department for their usage is not enough, and the departmental policies fail to facilitate the attainment of their career goal when the staff spend too much time attending meetings that makes them unable to perform well in their job. At times, the environment within

the department is also unsupportive. For example, senior colleagues could generate a demanding environment for their junior and sometimes discourage them from taking initiatives to resolve issues. Thus, Hypothesis 4 is not supported.

**Implications**

Theoretically, the contribution is attributed to the moderating variables, namely organisational climate. The result of finding contributes to the literature that organisational climate did not moderate the relationship between career satisfaction and individual well-being. Studies on ODL in Malaysia have focused mainly on students 'online reading strategy (Jusoh & Abdullah, 2015); challenges faced by adult distance learners to learn English (Sai et al., 2013); exploring social presence in online forums (Zaini & Ayub, 2013); effects of an online writing platform on students' performances in narrative writing (Annamalai et al., 2013); and personality styles among adult distance education students (Zin, 2012). Thus, this study sheds light on understanding the relationship between work-life balance and individual well-being, moderated by organisational climate among the staff of one of the ODL universities in Malaysia.

Looking at practical contribution, this research is proposing several policies for the Human Resource Department of this ODL university to consider. The first policy will help enhance the level of career satisfaction among employees. It is recommended that the Human Resource Department invests more in job training and education because it

is imperative for career development. Most workers are believed to have a desire for such learning opportunities. The courses and workshops are paid for by the university and should be part of the workers' plan. Next, to nurture individual requirements and specific skills, the Human Resource Department should assist the staff in keeping abreast of the latest happenings in the wider industry, like having monthly lunchtime sessions with guest speakers on topics such as technology that are relevant to the ODL institution. Besides, top talents from every department can be rewarded by sending them to attend industry conferences to learn and network every year. Such an investment will make the employees feel valued and subsequently will lead to more productivity and loyalty, and the career satisfaction level will also increase.

The Human Resource Department can also consider the policy on organisational climate. To improve work-life balance, a flexibility policy should be created, and this will cause a big difference to workers' morale. Such a policy will assist employees to find time to complete their work and enjoy their life beyond their workplace. For instance, the university can supply technological resources, which let employees work from home when they have family matters to manage. Besides that, the welfare policy can also be introduced when the university provides resources to ease workers' family responsibilities.

Lastly, this research suggests to the Human Resource Department to nurture a culture of appreciation as part of

organisational climate practices in this ODL university. This is because appreciation has the highest positive impact on workplace culture when both colleagues and supervisors offer it. When workers are unvalued by their supervisors and co-workers, they will feel like a commodity or that they are being used. In such a situation, employees will display negative behaviours like showing up late for work more frequently, becoming demotivated and thus the quality of work deteriorates, and complaining more about their work, colleagues, and supervisor. To avoid this, workers must feel more valued by their supervisors and co-workers, and hence, appreciation must be communicated often. Appreciation can be shown once or twice a year during a worker's performance review, or by awarding team member of the month. These recommendations are crucial, whereby absenteeism can be lowered, work environment becomes more positive, conflicts are reduced, and employees would enjoy their work more.

**Limitations and Suggestions for Future Research**

Like past research, this study also encountered a few limitations. First, because this is a cross-sectional study, results could be different if it is conducted via longitudinal approach. Moreover, the outcome can change if this ODL University employees' behaviour is observed for a certain period of time. In this context, future research can contemplate employing the longitudinal method to examine work-life balance and employee well-being and organisational climate. Second, it will be useful for future researchers to consider using a comparative approach to study work-life balance and individual well-being among staff from different ODL institutions in Malaysia.

**CONCLUSION**

This study has provided empirical support for the proposed research framework between work-life balance and individual well-being moderated by organisational climate among staff in an ODL university. In theory, the contribution is from the context of the moderating variable, organisational climate. In the practical aspect, the contribution would be the suggestion to the Human Resource Department to consider the two policies. The first policy concerns investing in job training and education to raise the level of employees' career satisfaction. Meanwhile, the second one is regarding appreciating the workers via frequent communication.

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*Case Study*

# A Case Study of Management Control Systems in Two Japanese Overseas R&D Organizations

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## ABSTRACT

This study represents an empirical inquiry that examines the management control systems in the two selected Japanese overseas R&D organizations in Malaysia and Singapore. Our analysis focused on the comprehensive management control packages including action, results and people controls as well as the performance evaluation of R&D projects. The study found that management control systems of the Japanese R&D organizations were largely effective. The management control packages in these R&D organizations were also balanced and prioritized based on the management practices of the parent company, but these packages were not optimized by the local human resources.

*Keywords*: Japanese management, management control systems, R&D

## INTRODUCTION

The internationalization of Japanese multinational enterprises (MNEs) has grown significantly in Southeast Asia since the mid of 1980s (Edgington & Hayter, 2000). Prior studies have shown that Japanese business network relies upon regional R&D organizations around Asia-Pacific and Southeast Asia (e.g., Asakawa & Som, 2008; Demirbag & Glaister, 2010; Giroud, 2000; Huggins et al., 2007; Yang

et al., 2009). National government policies, firm-specific resources and supplies are among the determinants that have stimulated the establishment of Japanese MNEs subsidiaries in Asia. Despite the growing trend of Japanese R&D investment in Southeast Asia, the academic research on the Japanese R&D management process has been limited. Until recently, there is a slow-growing body of literature on the Japanese R&D activities in Asia. However, the literature primarily focuses on knowledge transfer from Japanese MNEs to local companies (or subsidiaries) (e.g., Giroud, 2000, 2007; Iguchi, 2008; Rama, 2008; Tiep, 2007). Thus, there is a need to obtain knowledge about R&D management process in Japanese overseas R&D organizations, especially those in Southeast Asia.

In general, management process can be divided into objective settings, strategy formulation and control. The latter part is related to Management Control Systems (hereafter: MCSs) implementation. MCSs can be defined as the systems that combine devices, methods and techniques used by managers to influence employees' behaviour and mindset based on organizational objectives and strategies (Merchant & Van der Stede, 2012). Effective MCSs are important to ensure employees put their best effort in their work and thus, increase probability to achieve desired organizational results. Nevertheless, poor implementation of MCSs may become a hindrance to R&D (or innovation) activities (Fonseca, 2010; Haustein et al., 2014; Lukka & Granlund, 2003). Chenhall and Moers (2015) and

Taticchi et al. (2010) argued that there was a knowledge gap in understanding the MCSs as a tool of sustainable strategies to manage R&D based organizations.

Literature in contemporary management control is dominated by European and American ideologies. As such, MCSs are largely viewed as a universal function and are slightly affected by the different institutional specificity (Fonseca, 2010). There is a common belief that the modern MCSs are the best management practices. However, some scholars argue that the dominance of Anglo- Euro-Centric management control ideologies should not be accepted as a universal management practices because the implementations of MCSs may vary across institutional contexts (Fonseca, 2010; Speklé & Kruis, 2014). Management control scholars have called for more research to examine the abstractions of MCSs in different contexts, especially in emerging economies (Fonseca, 2010; Speklé & Kruis, 2014).

Specifically, some scholars have argued that the implementation of MCSs in Japanese overseas R&D organizations may deviate from Japanese management practices owing to different business and national contexts (Elger & Smith, 2010; Sekiguchi et al., 2016). Such deviations may be limited because Japanese overseas organizations largely conform to the same organizational culture and core management practices adopted by the parent companies. Traditionally, Japanese management practices are built upon a homogenous value system and instil strong

company identification through people management (Cool & Lengnick-Hall, 1985). Management practices and company network are the drivers to underpin the international knowledge transfers within Japanese organizations (Štrach & Everett, 2006). In short, we can expect Japanese organizational culture to remain intact in Japanese overseas organizations.

Our understanding of transfer of organizational practices particularly Japanese MNEs is very limited (Gamble, 2010). Japanese management practices are known to be unique and focus more on monitoring compared to people and incentive management (Bloom & Van Reenen, 2010). Our review shows that little is known about MCSs in Japanese overseas R&D organizations especially those located in Southeast Asia. The understudied context offers an ideal research setting to extend our understanding of Japanese MCSs in the literature of contemporary management control.

The objective of this study was to explore the ways in which MCSs were applied in the Japanese overseas R&D organizations. Specifically, this study explored the three dimensions of MCSs, people, results and action controls, in two selected Japanese overseas R&D organizations in Southeast Asia. This study is important because Japanese MNEs tend to transfer the Japanese management styles into their overseas organizations and thus may ignore the local culture. That is, Japanese MNEs tend to instil their Japanese organizational culture in the overseas facilities.

Following Haustein et al. (2014) work, we adopted Merchant and Van der Stede (2012) framework to investigate the people, results and action controls as well as performance evaluation of R&D projects. The framework is one of the emerging frameworks used in the MCSs studies (Berry et al., 2009; Chenhall & Moers, 2015; Davila, 2005; Efferin & Hopper, 2007; Goebel & Weißenberger, 2016; Haustein et al., 2014; Netland et al., 2015; Strauß & Zecher, 2013). Compared to the use of limited MCSs instruments, we believe such comprehensive framework is more appropriate to examine the overall MCSs systems in Japanese overseas R&D organizations. Comprehensive framework is also preferred because MCSs are generally designed to achieve similar desired goals although the primary control elements might differ (Abernethy & Chua, 1996).

## LITERATURE REVIEW

### An Overview of Japanese MNEs in Southeast Asia

In 1990s, the Japanese government encouraged Japanese corporations to strengthen their economic ties with Asian countries (Hatch, 2001). As a result, the Japanese corporations began to invest manufacturing facilities in Asian countries. Most of the Japanese corporations were involved in "intermediate" forms of overseas investment through franchising contracts and technology licensing agreements with their business partners in Asian countries. The Japanese electronics companies created vertical intra-network supply chains

in Asian regions (Hatch, 2001). In this network, Japanese electronics companies supplied production technologies and high-tech components whereas the Asian affiliates of these Japanese MNEs assembled finished products. The presence of Japanese corporations in Asian countries was significant as it accelerated the growth of the Asian countries. It was estimated that two-thirds of overseas Japanese manufacturing factories were located in Asia during 1990s.

At the beginning of 1990s, the Japanese companies were reluctant to set up overseas R&D facilities and slow in localizing the management (Hatch, 2001). The primary reason was that the Japanese companies used their East Asian networks as one of the integrated extensions of Japanese domestic production systems (Hatch, 2001; Sato, 2014). In late 1990s, the Japanese electronics companies, such as Matsushita, Toshiba and Hitachi began to establish R&D centres in Singapore, Malaysia, Indonesia, the Philippines, and Thailand (Bartels & Freeman, 2012; Legewie, 1999; Legewie & Meyer-Ohle, 2004). These Japanese overseas R&D centres were involved in carrying out basic R&D activities to find ways in which the product cost can be reduced and the product designs can be optimized to meet local demands (Aggarwal & Urata, 2002; Hatch, 2001). These R&D centres were not involved in basic research and mainly utilize the production lines that transferred from Japan without major technical changes. With the establishment of the R&D centres, more local engineers were hired. These Japanese companies, however,

favour Japanese expatriate managers to operate overseas affiliates instead of hiring local management staff. The autonomies of these R&D centres were generally restricted due to the unwillingness of the Japanese parent companies to transfer decision-making power to their overseas subsidiaries (Iguchi, 2012; Legewie, 1999). In short, the decision-making autonomy of Japanese overseas R&D centres were still influenced by Japanese parent companies.

## Japanese Management Practices

Beechler and Bird (1999) had characterized the management systems of Japanese companies. The company is team-oriented and emphasized on information sharing and the presence of unity. There is inadequate job classifications and inconclusive job descriptions. Staffing is based on internal and years of service that serve as the guideline for promotions. Continuous educational activities and job rotation are the forms of training provided and loyalty is a respected element. The labour-management strategies employed by Japanese companies can be characterized by the intensive trainings. The Japanese parent companies regularly imported workers from their regional affiliates to receive on-job-training in Japan. When they faced shortage of manpower, they imported workers from their overseas affiliates through on-job-training for short-term countermeasures. In addition, they re-located export-oriented assembly lines and jobs back to Japan or to other Asian affiliates to save cost based on exchange rate fluctuation.

Discussion above shows that the Japanese management system is centred on the human resource practices. Human assets are critical in contributing to the success of an organization and therefore the strategies to protect these assets include providing secure employment; articulating an exclusive company philosophy; and integrating employees into the company while the techniques comprise sluggish promotion, job rotation, and internal training; multifaceted appraisal system; prioritize on work groups; open and pervasive communication; advisory decision making; and apprehension for the employee (Hatvany & Pucik, 1981). The transfer of Japanese management practices to overseas weigh on the Japanese human resource management, which ranged from job rotation practices to the benefits, salary and on-the-job privileges (Beechler & Yang, 1994). The manufacturing plants in Asia also exhibit compelling domestic market inclination (Beechler & Bird, 1999). Japanese had started their overseas investment as early as 1970s, which had led to restricted changes in the approaches of management and control in the overseas operations in Southeast Asia as headquarters still took charge of the Japanese subsidiaries in terms of surveillance, rules and pure normative mechanisms (Beechler, 1992). However, the level of usage for rules and surveillance varies for high and low performers (Beechler, 1992). Therefore, the element of control is significant in the Japanese management systems that ground on the human resource practices.

## Theoretical Framework for Management Control Systems

MCSs are the backbone of how the management is carried out (Merchant & Van der Stede, 2012). The function of MCSs is to resolve three major problems that may hinder the management process. First, MCSs help employees to understand and align with organizational expectations and objectives. Second, MCSs serve as an instrument to influence employee motivation to enhance job performance. One of the purposes of MCSs is to alleviate the issue where employees are reluctant to subordinate personal interests to the company's well-being. Finally, MCSs reduce the problem of wrong allocation of employees into position or assigned tasks. An effective MCSs allow managers to recognize individual job-specific capabilities and subsequently allocate suitable work allocation to the employees (Merchant & Van der Stede, 2012). The MCSs comprise various control systems, which are action controls, result controls, people controls.

## Action Controls

MCSs are important instruments in management process to influence employees' actions in an organization (Merchant & Van der Stede, 2012). The main objective of action controls is to inform employees concerning acceptable and unacceptable actions in the organizations. The action controls not only offer guidance for employees to work based on the given objective-oriented tasks, but also how to carry out the tasks. The action controls also

facilitate the coordination between inter-department and ensure the actions taken by employees are highly predictable. For example, low motivated employees can follow the guidelines and procedures during work which can increase the probability of accomplishing the assigned tasks. The action controls have little influence in stimulating self-motivation of the employees. However, these action controls can be used to mitigate the wrong decision-making due to false overconfidence employees. That is, action controls prevent employees from overdoing their authorized actions in the organizations. Some organizations may view that action controls are not cost effective because these actions involve the implementation of expensive tracking systems.

## Results Control

The implementation of the MCSs' results control influences employees to focus on achieving desired outcomes of their tasks (Merchant & Van der Stede, 2012; Verbeeten & Speklé, 2015). Results control helps employees to understand the assigned task objectives so that they can accomplish their tasks based on the requirements (Merchant & Van der Stede, 2012; Verbeeten & Speklé, 2015). Such influence is important to ensure that the work or actions taken by employees would not deviate from their organizational interests. In this regard, transparent reward and sanction systems are the preconditions to establish results control in MCSs. Such administrative systems are designed to reward high-performing employees but penalize those who failed to achieve organizational objectives.

One should note that result controls are cost-effective instruments compared to expensive action tracking systems. Nevertheless, the poor implementation of result controls may cause unintended consequences among employees. The effectiveness of result controls is underpinned by effective job allocations in the organizations. For example, supervisors who do not possess understanding of individual employee's capability may lead to poor job allocations to unqualified employees. Such problem tends to happen because supervisors may wrongly assign difficult tasks to highly motivated employees who lack adequate job-specific skills and knowledge. These motivated employees may make mistakes although they intend to act in the best interests of the firms.

## People and Social Controls

People controls can be further be categorized into personnel controls and cultural controls (Merchant & Van der Stede, 2012). Personnel controls are built upon the belief that managers would select right and motivated candidates to fill vacancies in the organizations. As such, the right candidates would have fewer problems in the organizations and can fit into the implemented MCSs. The cultural controls, on the other hand, are intended to generate a desired common working culture in the organizations. The working cultures are important to streamline the operation of organizations. This can be done if every employee has same working cultural beliefs and behave in the same

way in accordance with the company philosophy. Finally, social controls, an informal social mechanism, are used to enhance the influence of formal MCSs and formation of organizational culture through socialization processes (Collier, 2005; Sandelin, 2008). Such socialization practices can be used to complement cultural control in an organization (Barrena-Martínez et al., 2016; Collier, 2005; Sandelin, 2008).

## Performance Evaluation of R&D Projects

**Balanced ScoreCard as Performance Evaluation Methodology.** Performance measurement is of paramount importance for supporting results-oriented culture in organizations (Govender et al., 2015; Mardani et al., 2016; Thomas & Ambrosini, 2015; Verbeeten & Speklé, 2015). Balanced ScoreCard (hereafter: BSC) is a strategic management tool that can be used to evaluate the performance of R&D projects (Kaplan & Norton, 2007; Merchant & Van der Stede, 2012). BSC is also a widely-used framework in various management fields such as strategic management, management control and performance measurement (Grigoroudis et al., 2012; Hoque, 2014; Trotta et al., 2013). The BSC, which is developed by Dr. Robert S. Kaplan, is based upon the assumption that there is a cause-and-effect relationship that exists for (1) 'Organizational Learning', (2) 'Business Process', (3) 'Customer Perspective' and (4) 'Financial Perspective' in chronological order (Kaplan & Norton, 2007). Applying four perspectives in BSC to examine the

performance evaluation system by R&D organizations is appropriate since the R&D outputs fit into these perspectives.

Typically, the BSC includes financial measures that emphasize interest of shareholders (i.e. increase operating income and return on equity) and operational measures. Three aspects of operational measures are 'Customer Perspective', 'Business Processes' and 'Organizational Learning'. The 'Customer Perspective' includes on time-delivery, quality of product, and servicing. 'Business Processes' focuses on improving internal processes such as productivity, cycle time and efficiency. The 'Organizational Learning' ensures that the firm would continue to learn and improve innovative capabilities in creating new products and thus can preserve its competitive advantages in the market.

**Controllability Principle in Performance Evaluation.** According to Merchant and Van der Stede (2012), most employees are risk-averse, prefer an incentive system based on work effort, and dislike factors or risks beyond their controls. They also have the tendencies to behave in a way that minimizes the risk of uncontrollable events, which may contradict the best interests of the firms. Thus, when they fail to accomplish their tasks, they attribute these failures to unexpected and uncontrollable events.

In the R&D organizations, investment risks are the main challenge of MCSs. The reason is risk level of many R&D projects is high and it is difficult to perfectly predict

the development activities. Traditional corporate finance literature offers some insights to overcome the problem. That is, the business risks can be shifted from employees to shareholders if shareholders are risk neutral and capable to diversify their portfolio (Martin & Sayrak, 2003). From the management controls perspective, Merchant and Van der Stede (2012) suggested some potential solutions to address uncontrollability events or risks in performance evaluation. First, managers can utilize the 'Flexible Performance Standards' in various scenarios planning and the employees are held accountable for actual scenario that have happened. Second, 'Relative Performance Evaluation' can be used to compare the organization performance with industry peer groups to eliminate the impact of uncontrollable events. Third, 'Subjective Performance Evaluation' can be used to evaluate the impact of uncontrollable events on employee or organization performance. In our opinion, investigating the controllability principle in R&D activities may give us the insights with regard to how R&D organizations manage uncontrollable negative events or risks.

## METHODS

### Research Method

There are various forms of research methods such as experiment, survey, archival analysis, history and case study (Yin, 2013). This research utilized a case study approach and collected evidence from field research and document search (Taticchi et al., 2010). A case study, which is a qualitative

research approach, is suitable to explore an understudied contemporary phenomenon (Yin, 2013). In this research, case study was appropriate as it investigated the MCSs in Japanese overseas R&D organizations and the research questions mainly focused on ways in which MCSs was implemented in the selected R&D organizations. We made no attempt to control or manipulate the behavioural events. We solely focused on observation and investigation and there was no intervention performed. Additionally, this research also employed fieldwork studies as the data enhanced the richness of research findings concerning the organizational processes beyond publicly announced official reports and statements (Parker et al., 2008).

Two organizations were chosen for this case study in which the first R&D organization was located in Johor Bahru, Malaysia and the second R&D organization was located in Singapore (Table 1). The former was represented as R&D organization 'M' whereas the latter was R&D organization 'S'. The names of the R&D organizations were not disclosed here due to the requests of the participants. The R&D organizations 'M' and 'S' are owned by different Japanese MNEs. Both organizations are the subsidiary companies and the major operations are R&D activities. The core business of R&D organization 'M' is consumer-electronics products, whereas R&D organization 'S' focuses on manufacturing and engineering services.

Both R&D organizations were selected based on two criteria. First, the R&D organizations have substantial R&D

Table 1
*The profiles of R&D organizations*

|  | **R&D organization 'M'** | **R&D organization 'S'** |
|---|---|---|
| Location | Johor Bahru, Malaysia | Singapore |
| Business | Consumer electronics | Manufacturing and engineering services |
| Department name | R&D department | Engineering department |
| Number of engineers | More than 100 engineers | More than 60 engineers |
| Customer base | Asia (except Japan) | Asia (except Japan) |

presence in the region. It is important to note that the business groups of both R&D organizations are market leaders in their specialized industries, respectively. Thus, we believe the R&D organizations provide an interesting setting for us to explore the application of MCSs in Japanese Overseas R&D organizations located in Southeast Asia. Second, the R&D organizations employ more than 50 engineers.

Field research was conducted in the selected organizations. We conducted 6 in-depth interviews with 1 engineering manager in R&D organization 'M' and 2 engineering managers in R&D organization 'S'. The engineering manager from the R&D organization "M" had more than 10 years of working experience with the organization. The two engineering managers who worked for R&D organization 'S' had worked for the organization since its inception and for 6 years, respectively. All the participants for this interview were suitable to provide information related to the application of MCSs in their respective organizations.

Semi-structured interviews were conducted. The reason is that these 3 participants possess only undergraduate degrees in engineering fields and do not have formal management education. Semi-structured interview was used by the researchers with a list of questions (or topics) to guide the participants during the interview. Despite the list, the participants were given the freedom to explain their experiences and issues in MCSs that they deemed important. We followed a protocol to collect participants' views related to experiences and opinions on the MCSs. We followed up by conducting the phone interview with the participants to gather more information on the unclear points. In addition to interviews, we also collected data from archival records including performance measurement documents, code of conducts and employees' handbook. We did not examine the websites because these websites represented the whole business groups in Asian region, not the subsidiary companies.

## FINDINGS AND DISCUSSIONS

The case study findings were organized around the major themes, which included people (personnel and cultural), actions and results controls as well as performance evaluation.

## General Management Practices

All participants explained that their organizations largely adopted Japanese management practices similar to their parent companies. The R&D organization 'M' strongly emphasized *kaizen* initiatives and 5-S practices. The *kaizen* refers to the "continuous improvement" and it is viewed as the important determinant to produce high-quality products. The organization had a strong control over the quality process during R&D activities. Furthermore, the management had a policy to solicit ideas from all employees to improve the processes in the department. Furthermore, employees were required to perform their work based on the established standard. In this regard, the management was actively involved in problem solving activities in the R&D department. The R&D organization 'M' also adopted 5-S practices in their management. The management views that integrating the value of the business group into the workplace was a priority. The cleanliness and neatness of the workplace were regarded as important and the employees were required to perform 5-S to clean their workplace every day. In addition, the work tasks at the workplace were clearly defined and were highly standardized.

R&D organization 'S' also adopted *kaizen* initiatives in its management but in a different way. The participants explained that the organization had been involved in many different R&D activities, and thus did not emphasize the standardization of the R&D activities. This is due to

the fact that the organization did not possess in-house consumers and retail brand products. Instead, they provided customized R&D solutions to customers who were the manufacturers of electronic appliances. Such R&D solutions that are bundled with own electronic components. As such, the technology transfers from the R&D organization 'S' to customers would establish a long-term business relationship in which customers would have to purchase electronic components from the organization. Nevertheless, the standardizations of R&D solutions were prioritized to facilitate future technology transfers with new customers and other entities in the same business group. In this regard, R&D solutions represent the 'intangible' products provided by the organization. The standardization of R&D solutions is to ensure that the quality of R&D solutions meet customers' needs and requirements. We interpreted that such standardization provided a guide to the employees to develop R&D solutions in the most efficient and satisfying way. This practice is based on the *kaizen* concept.

The above discussions show that the industrial background of the organizations leads to different management control system between organizations 'S' and 'M'. The function of organization 'S' is to support the parent company, which is the maker of consumer electronics with a global household name. Therefore, the MCSs of organization 'S' is geared to support customer satisfaction through a

strong control over the quality process during R&D activities and continuous improvement in terms of product quality. In addition, organization 'S' emphasizes innovative value of R&D solutions to meet the customers' needs. Therefore, the standardization occurs at R&D solutions level and not the R&D activities.

**Management Control Packages: Personnel Controls**

All participants emphasized the importance of identifying the candidates to fill the vacancies in the organizations. Both organizations followed a strict policy and would only consider a job application only if the applicant had completely fulfilled the stipulated requirements. For example, applicants would not be considered if their educational background did not match the requirements. Additionally, new employees were required to undergo a probation period from 3-month to 1-year. The new employees would be guided by senior engineers under a mentor-mentee system. The performance of employees would be carefully evaluated. For R&D organization 'S', new employees were required to submit a personal evaluation report on their job performance during the probation period. As such, the management could understand employee workload and performance. All participants highlighted that the management would consider extending the probation period for new employees who failed to deliver satisfactory progress. However, all participants stated that the

management rarely terminated employment of new employees or transferred them to another position during the probation period. The termination of employment was more likely to occur due to disciplinary problems that were against the written rules of employment.

Based on the above findings, we infer that personnel controls have been adequately established in both studied organizations. The organizations seem to have various choices and authorities to extend the probation period so that they have more time to examine the new employees. However, both organizations did not have reasonable efforts to screen the successful applicants during hiring. Screening is important to ensure job applicants are not blacklisted by some professional organizations or have a reputation in ethical problems. Such screening is vital to lower the probability of hiring problematic individuals that may harm the organization in the long run. On the other hand, both organizations lack of comprehensive personnel control because terminating employments are rarely practiced when new employees are unable to meet required job performance during probation period. Nevertheless, all participants believed that new employees were able to enhance job performance after going through appropriate on-job trainings during extended probation period. Furthermore, we believe that the implemented MCSs are influenced by the long-term employment in Japanese management practices.

## Management Control Packages: Cultural Controls

All participants revealed that their organizations generally adopted organizational culture of Japanese parent companies. Such culture represents a form of informal rules that govern the behaviours of employees. The culture of a management of an organization can be reflected through human resource management system and practices. All participants stated that the company continued to assimilate the Japanese management or organizational culture into local employees.

Our findings showed that both organizations adopted values, beliefs and assumptions corresponding to the corporate philosophy and visions of their parent companies. For R&D organization 'S', the corporation, with its creative and innovative characteristics, aims to become a trustworthy semiconductor in the world. The organization has the philosophy of contributing to the prosperity of the world with their strengths in new technologies. The R&D organization also abide by the "Code of Conduct" of the business group for fast decision-making in operation management. These corporate visions, philosophy and code of conducts are available on company website and are communicated to employees through management discourse. The company also has a written non-discrimination policy stating that employee is prohibited to disrespect or damage the reputation of other employees based on race, sex, age, religion and physical characteristics. On the other hand, the corporate vision of R&D organization 'M' is to continuously improve the well-being of people around the world. The company adopts several principles as the company creeds. These principles highlight the importance of contributing to the society in a fair and honest way. Additionally, the teamwork and commitment are required for continuous improvement with courtesy and humility gratitude. These corporate visions, philosophy and code of conducts are available on the company website and employee handbook.

By observing their corporate visions and philosophy, it could be seen that both R&D organizations had strong cultural controls. Therefore, we believe that each organization has its own defined culture and may have established strong cultural influences among employees. We also observed that R&D organization 'S' included the codes of conduct and embraced non-discrimination policy. This may be useful to guide employees to behave ethically and non-discriminatory ways in their culture. We believe such strong cultural controls would induce mutual peer monitoring that is a commonly accepted norm in both organizations (Merchant & Van der Stede, 2012).

All participants of R&D organization 'S' stated that the group-reward criteria were adopted and group performance influenced the given compensation packages to group members. The group-reward criteria, combined with individual performance criteria, would determine the compensation package to employees. Specifically, group-reward criteria would be considered first

in the compensation process, followed by individual performance criteria. As the group-reward scheme may not create strong direct incentive effects to members who are not group leaders (Merchant & Van der Stede, 2012), it is difficult to judge the effectiveness of group-reward in the R&D organization 'S' as the details of performance evaluation are not disclosed. This can be explained by arguing that the effectiveness of group-reward to create cultural controls depends on the weight between group and individual criteria in incentive systems (Merchant & Van der Stede, 2012). If the weight of group criteria is strong, then it is more possible that the cultural controls are effective. However, the "free-rider" problem may occur in a team when the group-reward criteria are used.

Socialization and learning take place between Japanese and non-Japanese employees at the managerial level. Japanese managers generally occupy most of the top management positions in both organizations, for example, general managers and senior managers. Local managers only occupy management positions at low and middle levels. These local managers occasionally travel to Japan's headquarters to participate in meetings and be involved in new product developments, transferred to their organizations. Most of these local managers have attended trainings at Japan's headquarters, when they started working with the companies. The duration of these trainings ranged from several months to 2 years. Some of the local managers are well-versed in Japanese language which facilitates their communications with

Japanese managers in their organizations and at headquarter companies. Japanese expats at the managerial level in both organizations often become a bridge for communication between headquarters and local organizations.

**Management Control Packages: Action Controls**

Both organizations provided and distributed "Employee's Handbook" to every employee. This handbook consists of company rules such as working hours, policy to use the internet and export controls. The handbook also provides guidelines on how employee should act to protect company's assets, intellectual properties and confidential information. For R&D organization 'S', the handbook also includes "grievance procedures" where employees can lodge a complaint about their dissatisfaction. The R&D organization 'S' also requires all employees to legally accept the content of the handbook. Thus, both organizations have established effective ways to communicate the company rules and prohibited actions through "Employee's Handbook". We believe that both organizations have well-managed action controls in MCSs.

**Management Control Packages: Result Controls**

Both organizations use Management by Objectives (MBO) tool to carry out the performance evaluation of employees. At the end of each financial calendar year, managers would conduct a meeting with every engineer under his supervision. The

meeting is primary to formulate written plans to provide job objectives needed to be achieved by engineers. Additionally, managers would discuss the required training to assist career development of engineers. Both managers and engineers must agree with the MBO plan. In particular, employees in R&D organization 'S' are encouraged to work innovatively as long as they follow company rules and policies to achieve the results. In short, it can be expected that the job performance of employees can be influenced by MBO. The MBO practices help to communicate the objectives of the firm to employees. It also creates a buffer to protect MCSs in both organizations because employees tend to behave correctly if they are treated fairly.

Both organizations had chosen bonus, instead of a profit-sharing scheme, in the incentive reward systems. The management would decide the amount of pay-out bonuses based on the employee's performance. The bonus system for both organizations relied on two criteria: overall company profitability and individual performance. The weightage for overall company profitability was higher than the one for individual performance. These weightages were reviewed based on the latest economic conditions. For R&D organization 'S', the individual performance denoted individual contributions in winning new businesses (i.e., obtain R&D project contracts) from customers. Furthermore, project leaders who had a greater contribution in business processes and technical area were included in the consideration.

The participants in both organizations also commented that the compensation package for the engineers was based on average industry standard. Interestingly, the participants in both R&D organizations pointed out that the employee turnover, particularly the young engineers below 40 years old, were relatively high. In the organization 'M', there was more than 30% turnover rate from the company in the recent 5-year period. The turnover rate by organization 'S' was not disclosed. However, the participant reported that the organization experienced a shortage of engineers due to a high turnover rate.

The participants explained that the turnover was mainly attributed to some engineers who could get a better compensation package from other MNEs in the same regions. In particular, the R&D organization 'M' received greater challenge because there was a shortage of experienced R&D engineers in Johor Bahru area. Based on our observation, the reward systems in both R&D organizations were imperfect. Our argument is that both R&D organizations are the leading industry players in the respective markets; thus, the use of the average industry benchmark may not match to the competencies or workload of their engineers. In short, both R&D organizations have an incentive system in place to resolve the "lack of direction" problem of employees. This means that an effective results control existed within the organizations. However, the turnover of engineers occurred because the overall incentive reward system was

not competitive compared to other industry players and the system might have ignored local human-resource perspectives.

## Performance Evaluation of R&D projects in R&D Organization 'S'

The participants in R&D organization 'S' underscored that the R&D organization had a dedicated performance evaluation criterion for the R&D projects. This is because the main business of the organization is to win new businesses (i.e., R&D project contracts) from customers. For example, the engineering team would work together with sales teams to present new product designs (i.e. mobile phone and washing machine) to customers who were the manufacturers in electronic industries such as home-appliances, handheld devices and industrial tools. When the customer agreed to purchase the technology (i.e. proposes product design and solutions), it was considered a business-win. Thereafter, the engineering team would work on new R&D projects to develop product solutions based on customer demands. The organization included four aspects in performance evaluation for the R&D projects. These aspects were arranged according to the heaviness of weight in performance evaluation criteria: (1) financial perspective (include accounting measures), (2) customer perspective, (3) business processes perspectives and (4) innovation & learning perspective. Besides that, the organization also adopts "Key Performance Indicators" to reflect how much a R&D project would contribute to future business-wins.

We noticed that the performance evaluations of R&D project were compatible with the four perspectives of Balanced Score Card which suggests that there was a cause-and-effect relationship in these perspectives (Kaplan & Norton, 2007). The R&D organization also emphasized the "Key Performance Indicators" that examined how current R&D projects contributed to future growth. Thus, we believed that the R&D organization had an effective performance evaluation system to sustain their business growth. However, the R&D organization ranked "financial perspective" as the most important criterion, which was based on a short-term profitability criterion. It was difficult to evaluate how the organization dealt with the trade-off for short- and long-term gains because the weightage for "Financial Perspective" or "Key Performance Indicators" was not disclosed. It could be explained by the strategic management priority of the R&D organization that emphasized financial sustainability in the long run. The parent company set up the R&D organization 'S' to generate revenue from the Asian markets. The technology transfers from the Japan headquarter to the overseas R&D organization were geared toward sales growth through selling R&D solutions to customers. Furthermore, the R&D investments within R&D organization 'S' mainly focused on the latest customer demands and potential returns.

The winning of new business contracts was an important criterion for the R&D organization 'S'. In this regard, new

business expansion denoted possibilities to establish long-term collaborations with new customers. If such trust was established, the R&D organization could continue to supply the latest technologies to the customers. In terms of business processes, it was evaluated based on whether or not the R&D teams were able to complete the customer projects timely and efficiently. Lastly, the engineers were evaluated based on innovation and learning perspective. For example, some projects required the development of new-products and engineers would be involved in carrying out new R&D activities. Such R&D activities might produce a new-product prototype which might be used for future potential customers.

The managers in the R&D organization had done various scenarios planning. They formulated different sets of criteria for R&D projects for various potential scenarios that might occur in R&D process. The management also used subjective evaluation and own discretions on certain uncontrollable events that adversely affected the R&D works. The reason was that R&D works were typically risky and some unexpected problems might occur. While the R&D organization 'S" was unclear how much risk the organization should bear, the organization seemed to emphasize the accountability of individual assigned tasks. This is consistent with the view that the risk of uncontrollable events should be borne by shareholders (Merchant & Van der Stede, 2012). The controllability principle that "hold people accountable only for those result areas over which they can have

a significant influence" is suitable to be applied to R&D organizations.

## Performance Evaluation of R&D projects in R&D Organization 'M'

The participant in R&D organization 'M' highlighted that their R&D engineering teams were assigned to different projects based upon the customers' orders. The R&D organization 'M' only carried out the projects to develop their own-brand products. The organization included three aspects in performance evaluation for the R&D projects which were financial, customers and quality perspectives. The quality criterion was the prime target, followed by customers' requirement. The organization was willing to sacrifice the financial gain and bore the loss to uphold the quality and customer criteria. The organization viewed that the whole company, not any specified teams, were accountable to the outcomes of the R&D projects. It was important to point out that R&D organization 'M' did not adopt any "Key Performance Indicators" for the R&D projects. It seemed that the cultural control in R&D organization 'M' played a more significant role to ensure the success of R&D projects rather than using performance evaluation systems.

Table 2 summarizes the practices of action, results and people controls as well as the performance evaluation of R&D organizations 'M' and 'S'. The practices of R&D organizations 'M' are compared to R&D organizations 'S'. The practices of both organizations are also compared to the general theories and the Japanese practices.

Table 2
*Organizations practices and general theories and the Japanese practices comparison*

| No. | Management Control Systems | General Theories and the Japanese Practices | R&D organization 'M'    R&D organization 'S' |
|-----|---------------------------|---------------------------------------------|---------------------------------------------|
| 1. | Action Controls | • Inform acceptable and unacceptable actions.<br>• Offer guidance and carry out tasks.<br>• Facilitate coordination between inter-department and actions are highly predictable.<br>• Mitigate wrong decision making and less influence in stimulating self-motivation.<br>In the Japanese context, negotiations are the prior concern in the decision making for related departments while whole members engagement is required in a work group (Hatvany & Pucik, 1981). Job descriptions deliver broad guidelines but not depart from companies' needs (Pudelko, 2005b). | • Provide Employee's Handbook that comprises company rules as well as delivers guidelines on how an employee should act to protect company's assets, intellectual properties and confidential information.<br>　　• Employees can lodge a complaint about their dissatisfaction.<br>　　• Require all employees to legally accept the content of the handbook. |
| | | The practices of R&D organizations 'M' and 'S' are aligned with the general theories and Japanese practices. | |
| 2. | Results Controls | Influence employees to focus on achieving desired outcomes of their tasks (Merchant & Van der Stede, 2012; Verbeeten & Speklé, 2015). Ensure work or actions not deviate from organizational interests. Transparent reward and sanction systems. Effective job allocation.<br>In the Japanese context (Pudelko, 2005a), performance criteria reflect the achievement of group objectives by an individual. Japanese companies score a lower rank in the external remuneration equality, internal remuneration equality and the range to compare the maximum salary and the bottom wage. | • Management by Objectives (MBO) tool, which communicate the objectives of the firm to employees, is used to carry out the performance evaluation of employees.<br>• Bonus system is based on company profitability and individual performance.<br>• Compensation package for engineers is based on average industry standard.<br>　　• Employees are encouraged to work innovatively. |
| | | The remuneration practices of R&D organizations 'M' and 'S' are aligned with the general theories while are not aligned with the Japanese practices as the Japanese companies show a lower level in external remuneration equality. | |

Table 2 (*continue*)

| No. | Management Control Systems | General Theories and the Japanese Practices | R&D organization 'M' | R&D organization 'S' |
|---|---|---|---|---|
| 3. | People Controls | **Personnel Controls** | | |
| | | • Build upon the belief that managers would select right and motivated candidates to fill vacancies.<br><br>In the Japanese context (Hatvany & Pucik, 1981), retraining and transferring are the solutions for weak performers instead of dismissing. The personnel policies emphasize on the internal cohesiveness progress of the firm, in which the recognition of goals and values serve as the base. Judicious selection is required to verify whether an employee fits into the company environment. | • Strict policy for job applicant who needs to fulfil the stipulated requirements, undergoes 3- month to 1-year probation period, is guided by senior engineers under a mentor-mentee system. The performance of employees would be carefully evaluated.<br>• Consider extending probation period if new employees who failed to deliver satisfactory progress.<br>• Rarely terminate employment of new employees (except disciplinary problems) or transfer them to another position during probation period. | • New employees are required to submit a personal evaluation report on job performance during probation period. |
| | | The recruitment practices of R&D organizations 'M' and 'S' are aligned with the general theories and the Japanese practices. However, there is a lack of screening process in both organizations, which is not aligned with the judicious selection of the Japanese practices. | | |
| | | **Cultural controls** | | |
| | | • Generate a desired common working culture in the organizations.<br><br>In the Japanese context (Hatvany & Pucik, 1981), a philosophy conveys the messages about organization's objectives, norms and values, which would translate commitment to productive exertion. Japanese companies also emphasize on group motivation and collaboration. | • Adopt organizational culture of Japanese parent company.<br>• Adopt values, beliefs and assumptions corresponding to the corporate philosophy and visions of parent company. | • Include code of conduct and embraces non-discrimination policy.<br>• Group-reward and individual performance criteria determine compensation packages of employees. |
| | | The practices of R&D organizations 'M' and 'S' are aligned with the general theories and Japanese practices. | | |

Table 2 (continue)

| No. | Management Control Systems | General Theories and the Japanese Practices | R&D organization 'M' | R&D organization 'S' |
|---|---|---|---|---|
| 3. | People Controls | **Social Controls**<br>Informal social mechanism is used to enhance the influence of formal management control system and formation of organizational culture through socialization process (Collier, 2005; Sandelin, 2008).<br>In the Japanese context, socialization determination is imperative to ensure employees understand the company philosophy (Hatvany & Pucik, 1981). | • Socialization and learning take place between Japanese and non-Japanese employees at the managerial level.<br>• Local managers occasionally travel to Japan's headquarters to participate in meetings and new product developments.<br>• Japanese expats at the managerial level often become bridge for communication between headquarters and local. | |
| | | The practices of R&D organizations 'M' and 'S' are aligned with the general theories and Japanese practices. | | |
| 4. | Performance Evaluation | Balance Score card is used to evaluate organizational learning, business process, customer perspective and financial perspective (Kaplan & Norton, 2007).<br>Controllability is achieved via Flexible Performance Standards, Relative Performance Evaluation or Subjective Performance Evaluation (Merchant & Van der Stede, 2012).<br>In the Japanese context, Japanese companies practice complex appraisal system that combines measurement for individual performance and team performance (Hatvany & Pucik, 1981). | • Performance evaluation is based on financial, customers and quality perspectives. | • Performance evaluation criteria includes financial perspective; customer perspective; business process perspectives; and innovation and learning perspective.<br>• Adopt Key Performance Indicators to reflect how much a R&D project would contribute to future business win. |
| | | The practices of R&D organizations 'M' and 'S' are aligned with the general theories and Japanese practices. | | |

## CONCLUSIONS

The body of literature on MCSs has been growing in the past two decades (e.g., Ambos & Reitsperger, 2004; Chenhall et al., 2010; Collier, 2005; Efferin & Hopper, 2007; Haustein et al., 2014; Taticchi et al., 2010; Verbeeten & Speklé, 2015) but contemporary management control ideologies are typically dominated by European and Anglo-Saxon perspectives (Speklé & Kruis, 2014). Specifically, we have not attained the adequate understanding of MCSs in Japanese overseas R&D organizations. This study represents that first attempt to examine MCSs in two leading Japanese overseas R&D organizations in Malaysia and Singapore.

This study contributes to the management control research in several ways. First, this study provides novel evidence of the application of MCSs in Japanese overseas R&D organizations by analyzing control systems using a comprehensive framework. Second, several insights on MCSs in Japanese overseas R&D organizations are discovered through this study. These insights serve as a step towards the development of MCSs theories on how to implement effective management in Japanese overseas R&D organizations. First, our findings suggest that the transfer of Japanese management syndrome to overseas R&D organizations. The employment policies and management control practices of the two studied Japanese overseas R&D organizations are largely influenced by the management practices of their parent companies. In particular,

the MCSs are utilized to support the management philosophy in the Japanese business group. The study also reveals that the R&D organizations are effective in personnel, cultural, social and results controls. The control packages are balanced and prioritized based on the philosophy of the business group. However, such Japanese management practices are not optimized by the local human-resource management in the reward system. This has resulted in relatively high turnover rates among engineers in both studied organizations. One possible explanation is that the R&D organizations adopt Japanese lifetime employment in their people management. Lifetime employment is not a permanent employment contract but is a long-term commitment between employers and workers (Kato, 2001; Ono, 2010). Traditional Japanese employment practices are essentially based on lifetime employment. A quick scan on the literature shows that there is no evidence to show that lifetime employment practices have started in Malaysia and Singapore workforce. Furthermore, employment practices are influenced by workforce composition and economic conditions (Kato, 2001; Ono, 2010). Thus, it is perfectly possible that employees lack of lifetime employment mentality in Malaysia and Singapore. The reward system should be revised to adapt with institutional context to address the high turnover issue. In short, the implementation of MCSs in Japanese overseas R&D organizations should be optimized based on the local human resources context to reduce the employee turnover.

This study has left behind several important issues that need to be addressed in future studies. In this study, the theoretical framework suggested by Merchant and Van der Stede (2012) was used to examine how MCSs were implemented in two R&D organizations. We only considered the managerial perspectives in MCSs. This signifies that the degree of control and effectiveness of MCSs based on employees' perspective remain unexplored. Further studies can also be carried out by employee perceptions about ways in which their responses to non-financial management controls. To identify the effectiveness and the degree of control of MCSs, a questionnaire can be distributed to all employees to test their knowledge about the MCSs of the company. Finally, the study is based on two Japanese overseas R&D organizations. Similar to most qualitative studies, the generalization of the case study findings is limited to the studied subjects. Extending our research to more Japanese R&D organizations is a potential research avenue. Future studies can also consider performing a comparative study on MCSs in Japanese overseas R&D organizations located in Asia, Europe and the United States.

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# The Intention of Continuous Use of Mobile Messaging Apps among Elderly Members in Taiwan

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## ABSTRACT

Mobile technologies have gradually changed people's interpersonal communication habits, how to encourage elderly members to adopt mobile messaging apps (MMA) has merged as a critical issue in modern society. This study aims to empirically examine factors motivating the elders' continuous use of MMA as a social support tool. According to the theory of planned behavior (TPB), the hypothesis of a factorial model of elders' continuous use of MMA was developed. This study had collected a total of 519 valid samples from a field survey in northern Taiwan. A structural equation modeling approach was used to test the instruments and hypotheses. Results showed that all scales had acceptable validity and reliability, the model had a high fitness, and all hypotheses were supported. Attitudes, subjective norms, and perceived behavioral control significantly affect the elders' continuous use of MMA. The external factors, interpersonal communication satisfaction, and enjoyment influencing attitudes respectively, social support influencing subjective norms, and adjustment to aging influencing perceived behavioral control, were all significantly effectual to TPB constructs. Based on the results, this study recommends that adult learning institutes and family members assist the elderly with positive adjustments to aging as well as increasing social involvements and interpersonal interactions through MMA. Furthermore, developing MMA with a simple interface and enjoyable experiences would be a plus for older adults.

*Keywords:* Adjustment to aging, enjoyment, interpersonal communication satisfaction, MMA, social support

## INTRODUCTION

Due to the advancement of living quality and health care, Taiwan residents' mortality has declined in recent years. According to Taiwan's Minister of Interior (2019), the national aging index reached 112.6% and over 65-year-old elders took over 14% of the whole Taiwanese population in 2018. It indicates that Taiwan is moving towards an aged society.

However, the elders are facing psychological fears from aging with chronic diseases or social isolation after retirement (Su, 2013; Wu et al., 2010). Many elderly feel isolated because their family members are busy with work or living apart, so often neglect caregiving or visiting on them (Xiao, 2006). The more opportunities elders connect to society, the less likely for them to lose their self-sense of value (Lin & Chen, 2009). How can technology help the elders ease isolation and loneliness has emerged as a critical issue in the modern-day.

Thanks to the rapid development of mobile technologies, many people have installed mobile messaging apps (MMA) on smartphones to communicate with others, such as LINE and Whatsapp. Prior researches on usage of instant messengers mainly adopted theories in information systems domain, for examples, using technology acceptance model (Davis, 1989) for predicting the factors of instant communication software usages (Yeh, 2014), using expectation confirmation theory (Oliver, 1980) for explaining the user satisfaction with mobile communication products (Lin, 2016), and using post-acceptance model of IS continuance (Bhattacherjee, 2001) to emphasize the user's expectations after usages (Tam et al., 2018; Thong et al., 2006).

The above theories focus on individual perceptions, including motivation, attitude, social influence, and resources, towards the use of technological innovations. Still, a theoretical model specifically to examine factors affecting the elders' MMA usages is unknown. In order to meet the elders' social-psychological needs through mobile technologies, this study aims to explore the factors affecting the elders' continuous use of MMA. By understanding the factors above, researchers, social workers, and app developers can promote elderly members to use MMA as their spiritual sustenance and improve their emotional well-being.

### Literature Review

**Theory of Planned Behavior.** Theory of planned behavior (TPB) states that attitudes, subjective norms, and perceived behavior control determine individual behavior (Fishbein & Ajzen, 1975). Attitude toward usage is an anticipated position of continued liking or disliking by an individual for a certain object, that is, one evaluates a certain behavior of his as positive or negative. Attitude, determined by one's value and its result, predicts one's behavioral intention. Subjective norm is the pressure of an individual from others or groups that he perceives important regarding whether he should or should not exercise a certain behavior. Derived from obedience from someones who are important to oneself,

subjective norms affect one's decisions on certain behaviors. Perceived behavioral control includes the factors of inner-control, such as individual's flaws, skills, abilities or emotions, and those of outer control, such as information, opportunities, reliance upon others, or obstacles. Personal efforts also motivate one's behavioral intention in terms of perceived behavior control (Ajzen, 1985). There were abundant research works drawn from the TPB. For example, Cheng (2015) investigated the elders' usages on instant messengers based on the TPB; results showed that three constructs of TPB together with the perceived value had positive impacts on the elders' usages of instant messengers. Hsu et al. (2016) applied self-determination theory and TPB to investigate the predictive factors influencing the intention of elderly patients to continue using telecare services. Leung and Chen (2017) extended TPB in explaining user's adoption intention of mobile TV.

**Interpersonal Communication Satisfaction.** Hecht (1978) conceptualized communication satisfaction as the positive reinforcement provided by a communication event that fulfilled positive expectations. Based on the above notion, Hecht et al. (1984) defined interpersonal communication satisfaction as the interactions between individuals had satisfied their expectations. Sun (1992) determinants to interpersonal communication included social skills, effects of communication, and contexts of communication. Spitzberg (1988) argued that people adjusted their social

communication skills following situated goals. Pornsakulvanich et al. (2008) revealed those who used the Internet for purposes of self-fulfillment and affection and intended to disclose their feelings to others felt satisfied with their online communication. Huang (2018) found when people used MMA (for instance LINE) to communicate with others with positive emotion produced more satisfactory communication and their social ties had higher communication satisfaction with friends. According to the prior studies, frequent online interactions with others brings about a sense of control by oneself. Once someone's social expectation can be met through online communication, his/her positive attitude toward using MMA has formed.

**Enjoyment.** In the context of technological usage, enjoyment refers to the extent to which the activity of using the computer is perceived to be enjoyable in its own right, apart from any performance consequences that may be anticipated (Davis et al., 1992). It is a state of inner experience, which gives one a pleasant feeling when a balance between solving ability and a certain task is reached (Dismore & Bailey, 2011). Enjoyment may come from sheer pleasure, personal development, subjective satisfaction with life, or a state of emotion within. Enjoyment causes positive emotions and satisfies self-needs (Lin et al., 2008). The measurement of enjoyment can be divided into three constructs: (1) engagement in enjoyment means the extent to which a user focuses his attention when he is engaged in

an activity. When one is more engaged, he can feel more pleasure; (2) positive effect in enjoyment means the positive emotions that arise when a user has engaged in an activity, including joy, satisfaction, well-being, and other similar emotions; (3) fulfillment in enjoyment means the ability to achieve the user's basic needs (Lin et al., 2008). In this study, enjoyment reflects a positive feeling of satisfied needs when the elderly engages in interpersonal communication. LINE has recently become a popular social chat platform in pacific rim regions such as Indonesia, Japan, and Taiwan. Past studies revealed that users might enjoy interactions with friends through social media. For examples, Lin and Lu (2011) found that the most influential factor affecting users in joining social network services was enjoyment. Jaafar et al. (2014) investigated the antecedents of users' intentions to adopt a social networking site (SNS), results indicated the importance of perceived enjoyment was to build interpersonal communication and the attitude toward the SNS.

**Social Support.** House and Kahn (1985) defined social support as affective concerns, assistive resources, and information exchange for esteem enhancing through interpersonal interactions. Previous researches functionally divided social support into "direct effect theory" and "buffering effect theory." Direct effect means the ability to directly improve an individual's physical and mental health and satisfy an individual's psychologically

needs. Subject to the direct effect of social support, an individual remains in the environment of positive experience, where a positive effect can arise in him. Buffering effect means a medium and buffering role played (Hashimoto et al., 1999). For individuals under pressure, social support helps in mitigating their stresses and indirectly helps people who are dealing with stresses to improve their psychological health and living adaptation. Shumaker and Brownell (1984) categorized social support into three constructs: instrumental support, informational support, and emotional support. Instrumental support provides someone with actual assistance to solve problems while informational support helps someone cope with the difficulties and emotional support eases one's pressure within the live acclimation.

**Adjustment to Aging.** Adjustment to aging was initially defined by Cattell (1950) as the goodness of internal arrangements by which an adaptation was maintained. Williams et al. (1966) conceptualized adjustment to aging that was dependent on an individual's state of mind and subjective psychological reactions. The sociological theories associated with adjustment to aging include disengagement theory, activity theory, and continuity theory. The activity theory by Cavan et al. (1949) argued that the aging period was the extension of middle age, where social relations do not change, except age. It is a process of maintaining static stability, wherein aging, and one cannot restore the past status.

The disengagement theory by Havighurst (1968) assumed that the energy of the self-decreases with age, where during aging, an individual became focusing on himself and hardly reacted to normative control. Later, Atchley (1999) assumed that aging tended to be the evolution rather than the homeostasis, whereby one was changed and integrated into his history without causing disturbances. The core concept of the continuity theory is when the elderly are choosing adaptation, they attempt to retain and maintain existed inner and outer structures, and they prefer fulfilling that purpose with maintenance or continuity. Hsu and Tsai (1985) suggested for determining ages by acts, to make sure whether the elderly should maintain active and continue participating in the relation with family and society. Lalive d'Epinay et al. (2001) maintained as the elder's strength and energy declined, adjustment to aging reflected changes in ways of life or new behavioral patterns that consonant with the healthy aging. Hsu (2013) reported that physical and mental health were the primary factors affecting the elderly's adaptation to life, economy status would affect their quality of life during the late adulthood, family was an important supply to the elderly's affective needs, social participation could activate the life of aging people, and life satisfaction was the driving force for positive adaptation to aging.

## MATERIALS AND METHODS

### Research Hypotheses

The theory of planned behavior (TPB) suggests that attitudes, subjective norms, and perceived behavioral control influence intentions to perform a behavior and that intentions predict behavior (Ajzen, 1985). In exploring individuals' acceptance of different technological products, the TPB has accumulated comprehensive perspectives in information systems and health-related studies (Armitage & Conner, 2001; McEachan et al., 2011) except the elderly use of MMA. This study extended TPB to examine factors influencing the continuous elderly use of LINE, as shown in Figure 1. It can be assumed that attitude, subjective norms, and perceived behavioral control as the first-order factors affecting the elderly intentions to continuous use MMA. Four external variables as the second-order factors, including satisfaction with interpersonal communication, enjoyment, social support, and adaptation to aging were incorporated into the TPB, based on the context of elders interacts with LINE.

As a subjective feeling, satisfaction with interpersonal communication requires effective communication achieved within an appropriate context (Spitzberg, 1988). When an older adult is well-satisfied with interpersonal communication through MMA, he/she might produce a positive attitude towards MMA. Therefore, the following hypothesis is proposed:

*H1: Satisfaction with interpersonal communication affects the elderly's attitude toward the continued use of MMA.*

In Moon and Kim's (2001) investigation of user acceptance for internet and van
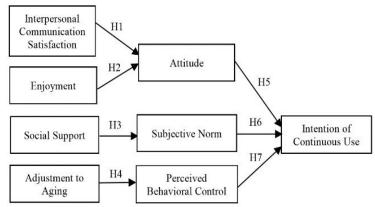
*Figure 1.* Research framework

der Heijden's (2004) exploration of user acceptance for hedonic information systems, both studies confirmed enjoyment affecting users' acceptance or continued use of information systems. Many MMA provides exciting stickers which exactly share how users are feeling and jazz up the chats. Older people possess positive attitudes towards MMA when they have enjoyed their playfulness (Lin, 2013). Hence, this study proposes the following hypothesis:

*H2: Enjoyment affects the elderly's attitude toward the continued use of MMA.*

Uchino et al. (1996) found that social support was a significant predictor to self-health related variables, including faith in health, health-increasing behavior, self-fulfillment, happiness, and life quality. The potential of MMA is to help older people renew or develop social contacts and actively engage in information sharing (Baruah, 2012). The messages sent or forwarded from contacts on MMA as a form of social support that makes aged users feel

connected and safe. Accordingly, those contacts who are important to the elderly expect them to keep using MMA. Based on the above assumption, this study proposes the following hypothesis:

*H3: Social support affects the subjective norms of the elderly's continued use of MMA.*

Based on the activity theory, to achieve successful adaptation to aging, the elderly need to perform positive communication behaviors and keeping constructive interactions with others (Hsu & Tsai, 1985). If an elderly has a well-prepared adaptation to aging, he/she possesses better resources when using MMA. Thus, this study proposes the following hypothesis:

*H4: Adjustment to aging affects the elderly's perceived behavioral control of the continued use of MMA.*

According to TPB, attitude, subjective norms, and perceived behavioral control

affect behavioral intention, respectively. In the context of MMA usage, Hsiao (2015) and Chen (2015) argued that attitude, subjective norms, and perceived behavioral control affected the elderly's continued use of mobile devices or LINE apps. Therefore, the following hypotheses are proposed:

*H5: The elderly' attitudes toward MMA affect their intentions of continued use.*

*H6: Subjective norms affect the elderly' intentions to continuous use of MMA.*

*H7: The elderly' perceived behavioral control of MMA affects their intention of continued use.*

## Data Collection

For each variable, the operational definition stated in terms of how they to be measured, then 35 measurements for variables were initially developed based on scales used in previous researches, as listed in Table 1.

## Pilot-test

This study selected the elderly living in Hsinchu, Taiwan, where it was well-known for a science park. Its population was about 430 thousand residents, around 10 percent of whom were senior citizens over 65 years old. The pilot-test was conducted to the 259 elderly studying in an educational center for adults located at Hsinchu city center. The exploratory factor analysis was used to

Table 1

*Operational definition of research variable*

| Construct | Operational definition | Source |
|---|---|---|
| Interpersonal Communication Satisfaction (ICS) | The positive emotional response generated by individuals after interpersonal communication via MMA. | Hecht (1978) |
| Enjoyment (EM) | Individuals feel happy and interesting when using MMA. | Venkatesh et al. (2012) |
| Social Support (SS) | The level of concerns or knowledge sharing by contacts is met on the MMA. | Fishbein and Ajzen (1975) |
| Adjustment to Aging (AA) | The degree of self-psychological adaptation during the aging process. | von Humboldt & Leal (2014) |
| Attitude (AT) | The degree to which an elderly has a favorable or unfavorable feeling about MMA. | Fishbein and Ajzen (1975) |
| Subjective Norm (SN) | The extent to which MMA is expected to use by important contacts. | Fishbein and Ajzen (1975) |
| Perceived Behavioral Control (PBC) | The degree of control over the resources and the confidence required to use MAA. | Ajzen (1991) |
| Intention to Continuously Use (ICU) | The elderly's intention to continue using MMA. | Venkatesh et al. (2003) |

test the factorial structure of measurements. Results indicated KMO = 0.969, which was over 0.7 as Kaiser (1974) recommended, and the value of Bartlett Sphericity test was 7445.144 (df = 253; p < 0.001), which reached a significant level and was suitable for factor analysis. The Principal components analysis with Varimax rotation was performed to extract the factors with an eigenvalue greater than 1. Twelve items were dropped due to they did not fall into the corresponding components or indicated low factor loadings (< 0.5). After constructs purified, results of factor analysis showed the total variance explained was 89.06%, indicating the measurements had good construct validity, as showed in Table 2. For the reliability of measurements, Cronbach's α test was performed. Results showed all constructs had higher α values ranging from 0.867 to 0.959, indicating the measurements had good internal consistencies.

Table 2

*Summary of factor analysis and reliability test (n=259)*

| Item | Factor | | | | | | | |
|------|-------|-------|-------|-------|-------|-------|-------|-------|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| AA1 | 0.754 | 0.272 | 0.217 | 0.266 | 0.245 | 0.254 | 0.134 | 0.139 |
| AA2 | **0.734** | 0.302 | 0.198 | 0.296 | 0.179 | 0.242 | 0.212 | 0.226 |
| AA3 | **0.678** | 0.352 | 0.198 | 0.300 | 0.161 | 0.205 | 0.267 | 0.263 |
| SN1 | 0.300 | **0.773** | 0.209 | 0.249 | 0.156 | 0.177 | 0.175 | 0.191 |
| SN2 | 0.328 | **0.648** | 0.283 | 0.248 | 0.203 | 0.228 | 0.281 | 0.183 |
| SN3 | 0.330 | **0.617** | 0.293 | 0.264 | 0.271 | 0.212 | 0.260 | 0.271 |
| EM1 | 0.126 | 0.201 | **0.806** | 0.203 | 0.231 | 0.241 | 0.154 | 0.148 |
| EM2 | 0.291 | 0.287 | **0.696** | 0.232 | 0.244 | 0.199 | 0.145 | 0.232 |
| EM3 | 0.231 | 0.194 | **0.585** | 0.185 | 0.209 | 0.277 | 0.368 | 0.310 |
| PBC1 | 0.241 | 0.217 | 0.236 | **0.806** | 0.138 | 0.163 | 0.224 | 0.111 |
| PBC2 | 0.383 | 0.254 | 0.220 | **0.677** | 0.344 | 0.156 | 0.130 | 0.167 |
| PBC3 | 0.230 | 0.235 | 0.157 | **0.606** | 0.371 | 0.313 | 0.118 | 0.221 |
| ICU1 | 0.168 | 0.221 | 0.410 | 0.268 | **0.688** | 0.205 | 0.240 | 0.120 |
| ICU2 | 0.251 | 0.168 | 0.282 | 0.380 | **0.630** | 0.197 | 0.253 | 0.265 |
| ICU3 | 0.400 | 0.319 | 0.234 | 0.284 | **0.569** | 0.181 | 0.227 | 0.285 |
| ICS1 | 0.219 | 0.231 | 0.331 | 0.174 | 0.142 | **0.801** | 0.141 | 0.107 |
| ICS2 | 0.365 | 0.159 | 0.203 | 0.326 | 0.258 | **0.641** | 0.222 | 0.193 |
| AT1 | 0.239 | 0.337 | 0.311 | 0.273 | 0.368 | 0.207 | **0.592** | 0.205 |
| AT2 | 0.299 | 0.373 | 0.263 | 0.279 | 0.314 | 0.250 | **0.584** | 0.235 |
| AT3 | 0.373 | 0.345 | 0.312 | 0.264 | 0.264 | 0.218 | **0.558** | 0.244 |

Table 2 *(Continued)*

| Item | Factor | | | | | | | |
|------|-------|-------|-------|-------|-------|-------|-------|-------|
|      | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| SS1 | 0.271 | 0.262 | 0.307 | 0.269 | 0.188 | 0.214 | 0.267 | 0.660 |
| SS2 | 0.306 | 0.390 | 0.343 | 0.120 | 0.314 | 0.104 | 0.169 | 0.543 |
| SS3 | 0.321 | 0.417 | 0.366 | 0.263 | 0.303 | 0.174 | 0.151 | 0.458 |
| α | 0.96 | 0.94 | 0.91 | 0.91 | 0.93 | 0.87 | 0.96 | 0.90 |

*Notes:* 1 = Adaptation to aging; 2 = Subjective norms; 3 = Enjoyment; 4 = Perceived behavioral control; 5 = intention of continued use; 6 = Satisfaction with interpersonal communication, 7 = Attitude; 8 = Social support.

## RESULTS

### Sample Profile

A questionnaire was distributed to the elderly enrolling courses in an educational center for adults located at Hsinchu city center. There were 519 valid samples obtained after data screening. Results of descriptive statistics showed that females accounted for near seventy percent (68.6%) and males' about thirty percent (31.4%) of the samples. Majority of samples used MMA multiple times per day (50.3%) and followed by once a day (23.9%), once weekly (11.6%), once every 4 to 5 days (7.7%), and once every 2 to 3 days (6.6%). The averaged scores of measurements calculated as means (M) among variables were between 3.03 and 3.82, and their standard deviations (SD) ranging from 0.850 to 1.106, as listed in Table 3.

Table 3

*Descriptive statistics of variables (n=519)*

| Variable | Item | M | SD |
|----------|------|---|-----|
| ICS | ICS1 I can post what I want to say within LINE. | 3.03 | 1.106 |
|     | ICS2 I can clearly express my mood with LINE. | 3.30 | 1.031 |
| EM | EM1 Using LINE is an interesting thing to me. | 3.56 | 0.850 |
|    | EM2 Using LINE makes me feel a sense of belonging. | 3.31 | 0.872 |
|    | EM3 Using LINE makes me feel better. | 3.45 | 0.868 |
| SS | SS1 Friends and relatives care about me through LINE. | 3.70 | 0.922 |
|    | SS2 People around me teach me how to operate LINE. | 3.67 | 0.918 |
|    | SS3 My family encourage me to use LINE. | 3.56 | 0.944 |

Table 3 *(Continued)*

| Variable | Item | M | SD |
|---|---|---|---|
| AA | AA1 I am actively engaged in things I like now. | 3.69 | 0.962 |
| | AA2 I have a positive attitude towards my elder adulthood. | 3.75 | 0.965 |
| | AA3 I maintain my physical and mental health as much as possible in various ways. | 3.82 | 0.988 |
| AT | AT1 I think LINE is helpful for interpersonal interaction. | 3.67 | 0.944 |
| | AT2 I am favor in using LINE. | 3.66 | 0.939 |
| | AT3 I like to use LINE. | 3.60 | 0.907 |
| SN | SN1 My family and friends invited me to join their LINE contacts. | 3.62 | 0.957 |
| | SN2 People I know ask me if my smart phone has installed LINE. | 3.57 | 0.944 |
| | SN3 People around me are using LINE. | 3.63 | 0.954 |
| PBC | PBC1 I have plenty of time to use LINE. | 3.50 | 1.013 |
| | PBC2 To me, it is not difficult to operate LINE. | 3.44 | 1.032 |
| | PBC3 I know how to use LINE. | 3.56 | 0.982 |
| ICU | ICU1 I always expect messages from contacts in LINE. | 3.49 | 0.968 |
| | ICU2 I will continuely use LINE. | 3.71 | 0.943 |
| | ICU3 Even with other communication tools, I still want to continue using LINE. | 3.61 | 0.923 |

## Validity and Reliability of Measurements

The convergent and discriminant validities of measurements were tested using a structural equation modeling approach. Results of confirmatory factor analysis showed factor loadings of observed variables were between 0.77-0.95, all above 0.5, as recommended by Wixom and Watson (2001). All items' Squared Multiple Correlation (SMC) values were between 0.6-0.91, while t values reached significant levels, indicating measurements had good convergent validity. The values of average variance extracted (AVE) were between 0.71 and 0.85, indicating measurements had good discriminant validity, as showed in Table 4.

Results of reliability test showed that Cronbach's α values for observed variables were between 0.825 and 0.942, which complied with the thresholds as recommended by Nunnally and Bernstein

(1994). The composite reliabilities were in the range of 0.832-0.944, all above 0.6, as suggested by Fornell and Larcker (1981), indicating the observed variables had high internal consistency, as shown in Table 5. Overall, the reliability of all measurements was at a good level.

Table 6 exhibits the results of goodness-of-fit testing for measurement and structural models. The major fitness indices for two models reached the suggested criteria as recommended by McDonald and Ho (2002), indicating that both models had acceptable fitness to the data.

Table 4

*Summary of confirmatory factor analysis (n=519)*

| Item | Factor loading | SMC | t | α | CR | AVE |
|---|---|---|---|---|---|---|
| ICS1 | 0.773 | 0.598 | -- | 0.825 | 0.832 | 0.714 |
| ICS2 | 0.911 | 0.830 | 19.858*** | | | |
| EM1 | 0.834 | 0.696 | -- | | | |
| EM2 | 0.830 | 0.689 | 22.309*** | 0.889 | 0.891 | 0.731 |
| EM3 | 0.900 | 0.809 | 24.999*** | | | |
| SS1 | 0.879 | 0.772 | -- | | | |
| SS2 | 0.809 | 0.655 | 24.083*** | 0.878 | 0.879 | 0.708 |
| SS3 | 0.834 | 0.696 | 25.482*** | | | |
| AA1 | 0.882 | 0.778 | -- | | | |
| AA2 | 0.953 | 0.908 | 35.172*** | 0.942 | 0.944 | 0.849 |
| AA3 | 0.928 | 0.860 | 32.342*** | | | |
| AT1 | 0.901 | 0.812 | -- | | | |
| AT2 | 0.936 | 0.875 | 35.494*** | 0.937 | 0.938 | 0.836 |
| AT3 | 0.905 | 0.819 | 32.280*** | | | |
| SN1 | 0.927 | 0.859 | -- | | | |
| SN2 | 0.879 | 0.772 | 31.428*** | 0.917 | 0.917 | 0.786 |
| SN3 | 0.852 | 0.725 | 29.321*** | | | |
| PBC1 | 0.832 | 0.693 | -- | | | |
| PBC2 | 0.826 | 0.682 | 22.298*** | 0.888 | 0.889 | 0.729 |
| PBC3 | 0.901 | 0.812 | 25.155*** | | | |
| ICU1 | 0.842 | 0.709 | -- | | | |
| ICU2 | 0.899 | 0.808 | 26.748*** | 0.908 | 0.909 | 0.769 |
| ICU3 | 0.888 | 0.788 | 26.327*** | | | |

Table 5

*The mean, AVE (in bold), and correlations between constructs (off-diagonal)*

| Item | Mean | ICS | EM | SS | AA | AT | SN | PBC | ICU |
|------|------|------|------|------|------|------|------|------|------|
| ICS | 3.166 | 0.987 | | | | | | | |
| EM | 3.439 | 0.693** | 0.781 | | | | | | |
| SS | 3.644 | 0.670** | 0.800** | **0.833** | | | | | |
| AA | 3.751 | 0.642** | 0.644** | 0.744** | **0.920** | | | | |
| AT | 3.644 | 0.684** | 0.778** | 0.812** | 0.772** | **0.877** | | | |
| SN | 3.606 | 0.656** | 0.720** | 0.822** | 0.765** | 0.814** | **0.881** | | |
| PBC | 3.499 | 0.665** | 0.649** | 0.676** | 0.705** | 0.728** | 0.697** | **0.912** | |
| ICU | 3.606 | 0.655** | 0.759** | 0.772** | 0.696** | 0.795** | 0.740** | 0.801** | 0.868 |

*Note:* The numbers above the diagonal are the square roots of each variable AVE (average variance extracted) value;  **p < 0.01.

Table 6
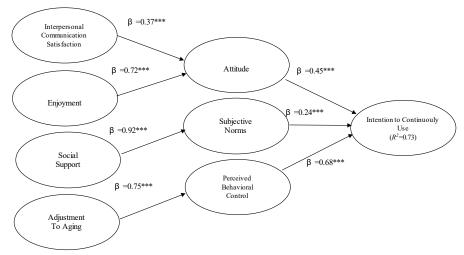
*Fitness indices of measurement and structural models*

| Indice | Suggested Criterion | Results | |
|--------|---------------------|---------|---|
| | | Measurement Model | Structural Model |
| $X^2$/df | < 5 | 2.428 | 3.651 |
| CFI | > 0.9 | 0.977 | 0.954 |
| GFI | > 0.8 | 0.922 | 0.870 |
| AGFI | > 0.8 | 0.893 | 0.835 |
| RMSEA | < 0.08 | 0.053 | 0.072 |
| RMR | < 0.08 | 0.023 | 0.060 |
| NFI | > 0.9 | 0.961 | 0.937 |

## Hypotheses Testing

The structural model with SEM estimated the hypothesized relationships among latent variables. Results showed the correlation coefficient on each path reached a significant level, respectively, as shown in Figure 2. Therefore, seven hypotheses were all supported. The variance explained ($R^2$) for the intention of continued use was accounted for 73%, indicating that the proposed model

highly predicted the elderly's intentions to continuously use MMA.

Path analysis showed that attitude, subjective norm, and perceived behavioral control all had significant effects on the intention of continued use, which was tailored to the TPB model. Effect sizes (ES) of the paths to intentions of continued use were calculated. Results indicated that adaptation to aging had a stronger effect

*Note:* *** p < 0.001.
*Figure 2.* Results of research hypotheses based on SEM

(ES = 0.51) on the elderly's intentions to continue using LINE, while satisfaction with interpersonal communication had a weaker effect (ES = 0.17), as shown in Table 7.

## DISCUSSIONS

This study verified TPB as an effective model for predicting why the elderly would like to use MMA in daily life continuously. Specifically, the influence of the elderly's perceived behavioral control on their intentions to continuously use MMA is more prominent than attitude and subjective norms. When the elderly know how to operate MMA, they would like to use it repeatedly.

Two antecedents are reported positive relationships with attitude, in which enjoyment had a considerably greater influence than interpersonal communication satisfaction. Results of path analysis showed that enjoyment had a greater effect on the intention to continuously use MMA (ES = 0.32) than satisfaction with interpersonal communication's (ES = 0.17). When the elderly perceived fun, sense of belonging, and pleasure from the use of LINE, they are likely to use it continuely.

Table 7

*Results of path analysis*

| No. | Path | Effect Size (ES) |
|-----|------|------------------|
| 1 | ICS → AT → ICU | 0.17 |
| 2 | EM → AT → ICU | 0.32 |
| 3 | SS → SN → ICU | 0.22 |
| 4 | AA → PBC → ICU | 0.51 |

Social support is tied up social normas (β = 0.92***) in the context of MMA usage. There is a high correlation between social support and social norms. Close friends and relatives LINE are the key contacts to the elderly, connections with them as social support is a strong predictor of social norms. It is plausible that messages from contacts on MMA generate an expression of care which is transformed into an expectation of receiving by the elderly.

Adjustment to aging indirectly affects the elderly's continuous use of MMA through perceived behavior control in terms of time, facilitation, and self-efficacy. Adjustment to aging has the strongest effect on the intention to continuously use MMA (ES = 0.51), comparing to other variables. It is implied that the elderly will increase their intentions to frequently use LINE if they are willing to open their mind and sometimes take to learn how to use MMA.

## CONCLUSIONS

The mobile messaging apps (MMA) such as LINE and Whatsapp are now in widespread use not only for young people but also a potential for the elderly. Drawing on the theory of planned behavior (TPB), this study empirically examines factors affecting the elderly behavior in continuously using MMA from the social-psychological perspective. The research framework hypothesized three direct factors derived from TPB and four external factors together affecting the elderly's intentions to use MMA continuously. A questionnaire was administered to over five hundred elders

enrolling in an adult education center in Taiwan. Hypotheses were tested by a structural equational modeling approach.

Results revealed that seven factors were significantly contributing to the research model. Among the direct factors, perceived behavioral control had a stronger influence than attitude and social norms on the elderly continuously use MMA. Evidence showed that TPB was applicable to predict the elderly's MMA usages. Four external variables to TPB were found in this study. Interpersonal communication satisfaction and enjoyment significantly affect attitude towards MMA, respectively. The elderly enjoy in using MMA for interpersonal communication. Messages forwarding and information sharing can be seen as a form of social support that had a strong influence on social norms. The elderly expect to receive more messages from important contacts; thus, they use MMA very often. However, using technological products such as MMA is not an easy task for the elderly. Studies on aging have demonstrated that learning ability does not decline with age. If older people remain healthy, their intellectual abilities and skills do not decline (Ostwald & Williams, 1985). Therefore, adjustment to aging had a considerable impact on the elderly intentions to use MMA continuously through perceived behavior control. Based on the above results, social support, adjustment to aging, and enjoyment were found as the prominent external variables to TPB in predicting the elderly's continuously use MMA.

As social support has a significant effect on subjective norms, family members should patiently guide their elders to use MMA and keep interacting with them on MMA. In order to assist the elderly positively adapt to the aging process and increase social involvement, it is recommended that adult education institutes provide more courses about healthy aging and mobile apps for older people. Once the elderly is familiar with interact with others via MMA, they may find it is an amazing tool connecting to family, friends, and society. Through reading various information on MMA, the elderly are free of isolation. By obtaining more cares from relatives and friends, the elderly no longer feels lonely. MMA seems a panacea to psychical health. Due to the decline elderly's agility, they demand an easy-to-use MMA interface. Developing a simple MMA special for the elderly is a future research direction.

## ACKNOWLEDGEMENT

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# Communication Barriers between Medical practitioners and Patients from Medical Practitioners' Perspective

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## ABSTRACT

Communication between medical practitioners and patients are in many cases ineffective, with consequences ranging from inadequate health facilities to malpractice cases. The problems may also be related to the intercultural differences in interpreting medical practitioner-patient relations based on different expectations and interpretations, attributed to the verbal and nonverbal symbols exchanged between the two parties. Based on a phenomenological perspective, this study aimed to explore those communication barriers as perceived by medical practitioners. This study employed a qualitative research method, interviewing 28 medical practitioners. The results of the study showed that there were four main barriers encountered by medical practitioners when dealing with patients in their therapeutic communication. These barriers were related to: (1) cultural differences; (2) educational differences; (2) time barrier; and (4) psychological differences.

*Keywords:* Communication barriers, medical practitioners, patients, therapeutic communication

## INTRODUCTION

With a population of 267 million people (as of 2019), Indonesia has its own unique issues in the field of heathcare and disease. These problems include, among others, the lack of health facilities; the lack of medical practitioners throughout the country, especially in villages that are out of reach; inadequate government management of public health; and problems related to communication between medical practitioners and patients.

Long ago, the chair of YLKI (*YayasanLembagaKonsumen Indonesia,* or the Foundation of Indonesian Consumers) Indah Sukmaningsih, admitted that the main problem facing healthcare in Indonesia was the ineffective communication process between medical practitioners and patients (Rinawati, 2008). The argument is still valid, and even more so today. It is estimated that almost one million Indonesians travel overseas, especially to Singapore and Malaysia, to receive medical treatment (Ormond, 2015). One of the main causes of this phenomenon is the relative inability of medical practitioners and hospitals in Indonesia to communicate effectively with patients, resulting in patient dissatisfaction with their treatment.

Medical practitioners and patients may have differences not only in their understanding of a desease or illness, its causes, and the best course of treatment, but also in the way they communicate verbally and nonverbally. If either party does not adapt well in a communication encounter, a more serious misunderstanding will likely occur. Medical practitioners and patients are essentially two disctint groups; each of them has unique way of communicating. Cultural differences between them may make the problem even more complex, since every culture is comprised of specific cultural beliefs, and values connected to language, religion, and worldview.

Medical practitioners and patients not only need to think about how to seek solutions in treating a desease or illness; they also need to consider the way they interact with each other. Effective communication is the core of healthcare and health promotion (Berry, 2007; Gully, 2009; Rosenbaum & Silverman, 2014; Villagran & Weathers, 2015). Effective interpersonal communication has become imperative, as health professionals have to negotiate work practices in order to ensure job satisfaction, and to creatively deal with workplace changes (Glass, 2010). Myerscough and Ford (in Eckler et al., 2009) contended that "Communication is the most common cause for complaints from patients, and an apparent weak point among doctors".

Health communication has now become a concern for researchers as a result of many cases of medical malpractice. Statistics have shown that 98,000 patients die all over the world every year due to medical malpractice (Hannawa, 2009). This tragedy has been called a 'hidden epidemic' because the associated medical practitioners, patients, and hospital staff chose not to talk about it (Carmack, 2010). In Indonesia alone, the number of such cases is significant. There were 40 reported cases of medical

malpractice in Indonesia in the year of 2009, and another 20 cases from January to July 2010 (surabaya.detik.com, August 1, 2010). The deaths of the celebrity Sukma Ayu (2004); a woman named Siska Makatey, during childbirth (2013); and the death of a baby named Debora, who was rejected by a hospital (2017), are among numerous cases highlighting medical practitioners' negligence of their duty. A large number of medical disputes between medical practitioners and hospitals on one side, and patients on the other side, have been brought to court. The most controversial and notable case, known as the Prita case, occured during the period of 2009-2012.

As Mulyana and Verity (2016) illustrated, Prita Mulyasari, a resident in Tangerang, Indonesia, was involved in a legal dispute with Omni International Hospital. The legal battle was initiated by the Hospital in response to an e-mail Prita sent to family, friends and colleagues regarding her healthcare experience at the hospital: an e-mail that subsequently went viral. Remanded in custody for three weeks in 2009, Prita was charged under relatively new Indonesian civil legislation, which was introduced in 2008 with the purpose of regulating digital communication. The Hospital argued that Prita's e-mail was defamatory, and damaged the reputation of the attending medical practitioners, and the Hospital. In the end, assisted by mass social support, as well as by the involvement of some notable political figures, Prita won the legal battle against the hospital.

In a country like Indonesia that consists of hundreds of ethnic groups, each with their own culture, and where paternalistic values are still dominant, the role of therapeutic communication may be greater than that in more liberal Western countries. In Indonesia, many medical practitioners still consider patients to be passive objects of medical practice, failing to acknowledge the fact that patients themselves have a right to know the details regarding their condition and treatment. Moreover, many patients are reluctant to ask questions about their health to their medical practitioners, because they consider themselves to be of a lower social status.

In the era of globalization it is essential that medical practitioners possess intercultural competence in interacting with patients who may come from various cultural backgrounds. Medical practitioners need to recognize how patients understand their illness and its causes. Patients may exhibit verbal and nonverbal behaviours, the meanings of which should not to be taken for granted, as these meanings may be culturally specific. Although medical practitioners do not have to agree with their patients' health beliefs, they should acknowledge and respect the patients' 'illness experience' beyond the confines of a biomedical system (Flynn et al., 2014).

So far, research on medical practitioner-patient communication is more likely to be based on patients' perspectives (see for example Boot et al., 2009; Hawthorne, 2006; Park & Song, 2004). We suspect that medical practitioners have similar concerns

regarding these barriers, but may have different views which must be understood.

## LITERATURE REVIEW

### Medical Practitioners – Patient Communication

Communication between medical practitioners and patients is a complex process. As suggested by Edelmannn (in Berry, 2007), in most cases clinical interaction could be considered as communication between two different cultures: the medical culture and the patient culture. On the one hand the patients are expected to be open and frank, and on the other hand medical practitioners are demanded to be trustworthy and reliable. Medical practitioners are expected to have the ability to open a conversation with the patient by actively listening and showing empathy, while patients are required to be proactive and cooperative in their treatment, and to put their trust in the medical practitioners. As such, barriers of communication between both sides are inevitable, no matter small they are.

Lubinski and Welland (in Park & Song, 2005) stated that some barriers related to stereotyping, as well as the lack of competence in understanding basic medical termimonology. Hie (in Pramujiono, 2008) referred to four factors that led to ineffective communication between medical practitioners and patients: (1) economic factors; (2) factors relating to the perceived "arrogance" of medical practitioners, who perceive their patients to be ignorant about health; (3) communication competence

factors between medical practitioners and patients; and (4) aspects of patient behavior: for instance asking questions that exasperate the medical practitioners.

Hardee and Platt (2010) found four communication barriers between medical practitioners and patients: (a) lack of time; (b) 'pandora's box': a situation where a patient vents his/her emotions (sadness, fear, frustration, depression, etc) to the medical practitioner; (c) burn out: a situation when medical practitioners feel overwhelmed, frustrated, and tired as a result of the large number of patients requiring treatment; and (d) not knowing what to say; that is, medical practitioners just do not know what to say when responding to patients' problematic ideas, feelings, and values.

Medical practitioner-patient communication styles affect a number of patient behaviors and outcomes, including physiological outcomes, compliance to treatment, and, most importantly, patient satisfaction with care (Dutta, 2009). Research shows that better communication has led to better health outcomes, higher levels of satisfaction, lower stress and anxiety, increased compliance, better understanding of treatment risks, shorter hospital stays, and fewer medical errors and malpractice lawsuits (Berry, 2007; Eckler et al., 2009). Having accurate information about a patient is crucial to diagnosing his/her illness and deciding on the appropriate course of treatment. Through communication, patients can vent their problems, which in itself is a form of healing (Hardhiyani, 2013). In their study of families with children

suffering from cancer in a Jakarta hospital, Rahmawati et al. (2017) indicated that the satisfaction of families was connected with the efficacy of the medical providers' communication when dealing with their clients. The result indicated that 56.5% of the respondents were satisfied with the therapeutic communication provided by nursing staff; those who practiced therapeutic communication well were 22 times more likely to be deemed satisfactory by families of child cancer patients, as compared with those who did not apply good therapeutic communication.

Communication between medical practitioners and patients who come from different cultures is more difficult and challenging. When medical practitioners and patients are from the same culture, medical consultation lasts longer, and patients behave more favourably towards medical practitioners (Haskard et al., 2009). Hughman (2009) contended that effective therapeutic communication required medical practitioners to be aware of the intercultural prejudices in themselves as well as in others. He warned us that members of the dominant ethnic group might regard themselves as superior, while considering others inferior in terms of intelligence and rationality. Such a situation may create friction between medical practitioners and patients, as found by Priebe et al. (2011) in their study in Europe. The study indicated eight obstacles that medical practitioners and patients were often faced with (1) language barrier, which included misinterpretations likely to occur, in spite of the provision of hospital translators; (2) problems relating to patients whose healthcare was not facilitated by the government; (3) dealing with patients who had suffered traumatic experiences; (4) dealing with patients who were not aware of the health system; (5) comprehending illness and treatment differently; (6) different expectations of proper medical examination and treatment because of different cultural and religious backgrounds; (7) negative attitudes of staff toward patients, and vice versa; and (8) the lack of access to medical records.

A more recent study (Clough et al., 2013) found that four barriers faced by Asian migrants to engaging in the U.S. health care system were: (1) language differences between providers and patients; (2) beliefs about health and cultural incompetency of health systems; (3) accessing health services; and (4) discrimination in the healthcare system. More specifically Taylor et al. (2013) examined medical professionals' perceptions of healthcare barriers encountered by people from ethnic minorities in the United Kingdom who had poor or no English language skills. They found the following barriers: (1) language; (2) low literacy; (3) lack of understanding; (4) attitudes, gender attitudes and health beliefs; and (5) retention of information.

**Theoretical Framework**

Medical practitioners and patients interact symbolically, whereby each of them interprets the verbal and nonverbal cues, which are interpreted differently by both sides. Humans are creative in their use of concepts

and labels. In Berger and Luckmann's (1966) theory of social construction, the patient's illness is a symbolic interplay between the medical practitioners' consciousness and consciousness of the patient. Knowledge of the illness is negotiated between the medical practitioners and the patient. In other words, "people interpret and make meaning of bodily, physical, and psychological states often in very culturally specific ways" (Ho, 2015).

Working from the assumption that one's illness is a social construction, it can be deduced that there is no single true reality; rather, reality may be interpreted differently by the medical practitioners and the patient. Based on this phenomenological stance, language is used to negotiate the illness by both parties. They are continuously involved in the production and reproduction of the meaning of the illness, as expressed in their verbal and nonverbal communication with each other. Using the social construction theory, individuals with different social and cultural backgrounds, including medical practitioners themselves, may attribute different meanings to the same ailment. Different medical practitioners may perceive similar symptoms differently, and hence offer different solutions.

Any research that considers the subjective position of human beings and reveals personal experience, is what is usually referred to as the phenomenological approach. In this instance, the focus of our research is the medical practitioners' experience. When encountering a patient, symbolic interaction occurs between the medical practitioner and the patient, just as a symbolic interaction also occurs between the medical practitioners as informants, and us as researchers. The researchers interpret medical practitioners' narratives concerning the barriers they have experienced in dealing with their patients, then categorize them into new patterns or themes, which approximate what Schutz (1962) called 'the second-degree constructs.'

According to the symbolic interaction theory as formulated by George Herbert Mead (Mulyana, 2001, 2012) which is a variant of the phenomenological perspective, the exchange of symbols that are given meanings is an important characteristic of human activities. Symbolism does not only include language but also every aspect of human actions. This is not a new idea, even though sholars of symbolic interaction put language in its own special place. The essence of this theory states that humans are highly active and dynamic beings and are capable of interpretting both their own experience and the experiences of others.

## METHOD

In line with this perspective, the method used in this research was a qualitative one based on a phenomenological perspective with semi-structured interviews. It explored a phenomenon in detail that was experienced by the individuals in their everyday life. It concluded with a description about the essence of 'what' they had experienced and 'how' they had experienced it.

Littlejohn and Foss (2005) described how every individual interpreted his/her

own life experiences, until at a certain point in life when he/she understood the world, or 'life', from his/her personal experiences. The process of acknowledging these experiences is a basic tennet of phenomenology. Creswell (2013) noted some defining features of a phenomenological study: He stated that a phenomenon that was experienced by individuals must be explored and discussed thoroughly. The interview data should be analyzed thematically (Miles & Huberman, 1994). The themes ought to be related to the way medical practitioners, as the subjects of the study, described their life experiences including their careers; the way they communicated (including specific terms that the actors used to describe their life experiences and their communication practice); and the way they used their knowledge and experience in managing communication and making decisions. More specifically, the study had selected and focused on the core theme, that was, communication barriers beween medical practitioners and their patients. It is this core theme that was analyzed and functioned as guide to produce the research results.

For the purpose of this research, namely, to identify communication barriers medical practitioners experience when dealing with their patients, we had interviewed 28 medical practitioners. These informants consisted of 19 medical specialists (one surgeon, two orthopedic specialists, three internists, two neurologists, one dermatologist, one radiologist, one ophthalmologist, two nutritionists, one beauty specialist, one orthodontist, and four dentists), as well as nine general practitioners. In terms of gender, we interviewed more female informants than male ones. Their ages ranged from 28 to 69. They belonged to several ethnic groups: Sundanese, Javanese, Batak and Minangkabau, among others. These medical practitioners had all experienced similar phenomena, which had involved encountering barriers to effective communication with their patients.

The data collection technique used in this research involved semi-structured interviews. This technique is crucial in qualitative research, enabling the gathering of data which are both complete and accurate. The fieldwork lasted from June 2016 to March 2018. The duration of each interview varied from 20 minutes to one hour, several medical practitioners were interviewed twice, owing to the variable availability of each informant. In many cases it was difficult to make appointments due to family and work commitments of the informants.

## RESULTS AND DISCUSSION

As a result of our interviews with the 28 informants, which focused on communication barriers between medical practitioners and patients, several categories of communication barriers emerged, as follows:

### Cultural Differences Barrier

Every culture has a distinct perspective of effective healthcare treatment and its ethicality (Lloyd & Bor, 2009). Conceptions of health and illness are influenced by

cultural, ethnic, religious gender-related beliefs and values, and even their family upbringing (Schiavo, 2007). In our research, it was observed that different cultural backgrounds also constituted one of the main barriers to effective communication between medical practitioners and patients. Medical practitioners and patients may come from a diverse range of cultural backgrounds, and may belong to different racial, ethnic and religious groups. Research indicates that medical practitioners' intercultural communication competence is related to their level of empathy, bilingualism, and intercultural experience (Gibson & Zhong, 2005).

In Indonesia, it is common for medical practitioners to be mobile throughout the country. They may move from one city to another, and from one hospital to another. Many medical practitioners have to carry out their compulsory duties in remote areas in their early career. They have encountered patients from various cultural backgrounds. "Chinese patients and their families usually ask detailed questions", said DJR, a Javanese neurologist. Meanwhile, BEN, a Batak orthopedic specialist said:

> Every ethnic group has a unique character. We have to deal with Chinese, Batak and Sundanese differently. When we deal with the Batak, from the beginning we have to be open and straightforward. We have to tell the Batak patients what their illness is, the diagnosis, and the plan for treatment, because their culture is like that. Even regarding the cost, we have to tell

them frankly, otherwise there will be a problem. As for Javanese patients, as with Sundanese patients, they are usually more cooperative.

When a medical practitioner tries to explain how the patient can recover from a disease or illness, patients are often reluctant to implement the medical practitioners' advice due to their cultural beliefs and values. Such cultural beliefs and values are often connected with superstitions, or paternalistic values they inherit from their forebears. As informants admitted, in some cases people do not really trust in medical practitioners; rather, they prefer to go to *dukun* (shaman). Here are some informants' experiences that relate to cultural differences with their patients:

1. A dentist recommended that a patient's tooth be pulled out, but the patient refused, because the patient was worried that, according to a myth, the procedure would cause him to go blind.

2. A dermatologist reported that a child suffering from diarrhea was given an amulet by the parents and was placed in the living room rather than in the bedroom in order to recover, according to the parents' superstitions.

3. An orthodontist asked her assistant to provide tea for a patient who had fainted. The assistant said that it could not be done, as tea was prohibited by the patient's religious beliefs, as a Seven-day Adventist.

4. An ophthalmologist reported that occasionally, when a patient needed immediate surgery, treatment was often blocked by the family, who insisted on seeking permission from a family member in a distant village

Language differences are another specific form of cultural barrier from the category cultural backgrounds. Waitzkin (2009) suggested that intercultural and language differences in communication patterns, created barriers in provider-patient communication that might lead to a misunderstanding of somatoform symptoms. When medical practitioners and patients do not speak the same language, the situation becomes more problematic (Valero-Garces, 2014).

Some informants admitted that in their early careers as general practitioners they required to go to remote villages, where the community had their own language and rarely use the national language (Indonesian). It has thus become common that when a medical practitioner tries to communicate with a patient, neither is able to understand the other due to the language barrier. Some informants explained that they sometimes needed a translator, the translator usually being a member of the patient's family who could speak Indonesian fluently, or a nurse who came from that village. However, in some cases, informants had eventually learned the local language. ST, a general practitioner, said, for example, "I learnt to speak the language in Cirebon by just doing it". Similarly, M, a dentist, said "When I was in a remote place in Bengkulu,

communication was an obstacle. Because patients only spoke their local language, which I did not understand. My assistant helped me to communicate with them".

## The Barriers of Educational Differences

This study shows that both patients with higher educational and lower educational backgrounds are often ignorant of their health issues. Many patients prove not to understand how to maintain basic health. For example some dental patients are not aware of the need to have a routine check up every six months. These patients usually come to the dentist only when they are already experiencing toothache; when the toothache stops, they think that they have recovered and do not need to visit the dentist anymore. The reality is that it will cost them more money if they wait for the toothache to reoccur, as opposed to having a routine check up in the meantime.

Furthermore, patients sometimes stop taking their antibiotics when they start to feel better, and do not complete the full, prescribed course. This suggests that they do not understand how antibiotics work. DV as a general practitioner explained:

Patients don't understand that, for instance, when they suffer from TBC, they need to take a six-month course of medicine. Because they don't understand this, they often stop consuming the medicine when they start to feel better, which will eventually result in a recurrence of the disease.

Educational differences in other cases showed that the informants, in their role

as medical practitioners, sometimes have difficulties in explaining a disease or illness due to the low level of education of some patients. Patients usually have difficulty understanding medical terms, which often stems from their low educational background. NF, a general practitioner stated:

> I am sorry to say that perhaps patients never go to school, or are only primary school educated. Sometimes they will continue to misunderstand my explanation, despite me having already explained in detail. If the patient was a teacher or a university student, it would be easier to educate them.

Some informants stated that most patients demanded clear and detailed information about their illness, but then because of their low educational background, they could not comprehend what was being explained. In this case, it is clear that the informants, being medical practitioners, need to have the ability to explain medical matters to the patients in the simplest possible terms. ST, a general practitioner, shared an experience in which she had had a discussion with a man whose son was diagnosed with HIV. The man had no idea what HIV was, and was not at all shocked, assuming that it was just a normal illness such as a common cold, from which his son would soon recover. "Patients with low educational backgrounds present a big problem for us as medical practitioners", said ST.

Another case that causes difficulties, is unaccompanied patients. Patients often rely on a friend or family member to relate their medical history when they are too sick to communicate themselves. Even when the patient has a companion, if the companion is also from low educational background, he or she may be unable explain the patient's medical history adequately. This is a serious barrier, because it can render the medical practitioners unable to act quickly and decisively. In such cases, medical practitioners then require more time to further examine his or her patient's condition.

On the other hand, dealing with a patient with a higher educational background can also prove problematic. One informant stated that patients with higher educational backgrounds are sometimes prone to underestimating the advice of medical practitioners. The patient may think of himself or herself as being more knowledgeable about his or her own health than the medical practitioner.

## Time Barrier

This research confirms one of the barriers of medical practitioner-patient communication as observed by Hardee and Platt (2010), namely, time barrier. In this particular case, it is an administrative barrier inolving patient waiting times. Some informants claimed that the number of patients queuing throughout a day can be overwhelming, and consequently became a barrier to effective communication with patients. They claimed that long queues resulted in ineffective communication with their patients. Conversely, patients who were aware of the medical practitioners' time

constraints were liable to lose their trust in them, and might experience difficulties being completely open, as a result. "When the queue of patients is too long, we become overwhelmed, and we appear to the patients to be robots", said VY, a general practitioner. VY explained that when she dealt with patients, the medical history of whom she was already familiar, it did not really take much time. On the other hand, for new patients she needed much more time. Such medical examinations are made more difficult by the knowledge that a long queue of patients is waiting outside.

Time also became a problem for SSK, a nutritionist. She said:

> To find out about a patient's daily eating habits, we must let them them speak. They may be defensive and claim that they eat very little, but that their body weight continues to increase. So I might say, "You know better than I do the reasons why your weight is increasing." We often need to have a chat with them first, in order for them to admit what they have actually done.

In the same vein, NF, a general practitioner, stated:

> Communication [between medical practitioner and patient] must be two-way, and mutual. Two minutes is not enough; however, it is impossible to have such communication in *Puskesmas* [Community Medical Center], because there are too many patients.

AS, a dentist also reported the time barrier as a communication barrier:

> Patients find it difficult to visit the dentist on a regular basis, wanting instead to visit only once, and for everything to be done. They need to be aware of the necessity of control and reexamination, without waiting for the pain to reoccur.

**Psychological Barrier**

Medical practitioners, like any other human beings, suffer 'mood swings' that can sometimes affect the way they perform their duty. Occasionally, they can find themselves overwhelmed by the sheer number of patients, and become tired and hungry. One medical practitioner admitted that in the run-up to lunchtime, it became hard for her to concentrate, and she found herself wondering about what to have for lunch. Similarly, by the end of the working day, she found she had less interest in listening to patients, or communicating with them; all she wanted was to go home.

The most common problem related to the psychological barrier was the unwillingness of patients to cooperate with their medical practitioners. SB, an internist, reported that there were sometimes patients who, because they were rich or able to pay, wanted to dictate the course of medical examination and treatment, despite knowing little about the purpose of the examination and the medication.

AYLA, another internist, related an experience in which a patient, who was passive remained silent throughout his consultation, despite being given adequate time to express his complaints. He also

described a patient who returned to see him, after two years, in a worrying condition. It turned out that the patient had not followed the medical practitioners' advice and had not paid sufficient attention to his condition. The patient returned only after his condition had worsened. Similarly, HNR, an orthopedic specialist, related that he had consulted a patient who remained silent, said little when asked, and looked scared. SSK, a nutritionist, reported a patient whose body weight continued to increase, despite her claims that she did not eat much. However, the patient finally admitted that she ate a lot of snacks between meals, including meatballs. SSK also related well-educated patients who were knowledgable and well-informed regarding their illness. "They did not always follow our advice", said SSK.

In another case experienced by CN, a dentist, she reported, "A stubborn man only wanted treating according to his wishes. He said, 'pull out this tooth!'" despite the fact that the tooth could be treated without being pulled. In another case, AR, an orthodontist advised her patient that it was necessary to pull her tooth, but the patient refused the orthodontist's advice. In the end she filled the tooth, according to the patient's wishes. However, some time later the patient returned with toothache.

The four barriers delineated above are notable communication barriers beween medical practitioners and patients. Of these four barriers, the cultural barrier is the most significant, followed by the educational differences barrier, then by the time barrier, and finally the psychological barrier.

However, while existing independently, none of these barriers are mutually exclusive; on the contrary, they are actually closely related. For example, language is a key element of culture, and one's mastery of language is connected with one's level of education. Indonesian may not be properly mastered by some patients because of their low educational opporunities. This educational gap, and the importance of a shared language, is considered a major 'homework' for medical practitioners, mainly in small villages throughout the country.

Figure 1 is a model of communication barriers as experienced by the medical practitioners as our informants in communicating with their patients.
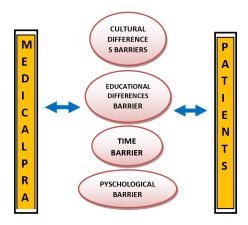


*Figure1.* Communication barrier model between medical practitioners and patients

## CONCLUSION AND RECOMMENDATION

Based on the analysis of the data collected from semi-structured interviews with 28 medical practitioners, it can be concluded that the barriers that the medical

practitioners experienced affecting their communication with their patients are: (1) Cultural Differences Barrier; (2) Educational Differences Barrier; (3) Time Barrier; (4) and Pychological Barrier.

It is not our purpose to generalize these research findings to all other medical professionals due to the limited number of the informants, and the interpretive perspective that is used in this study. Further research comparing other specific group of medical professionals (whether they be medical specialists, general practitioners, midwives, or nurses) in the way they communicate with patients and other medical stakeholders, such as hospital managers and medical company representatives are also worth pursuing. These studies should be based on various theoretical perspectives and different research methods in order to gain a holistic picture of the medical world. Even a hospital or a medical school, in terms of its communication patterns or communication processes, is an appealing subject for futher investigation from an interpretive perspective. Perhaps the most interesting research issue to investigate is the cross-cultural barriers between medical practitioners and patients, as Indonesia is a broadly multicultural country that incorporates a wide variety of cultural groups (racial, ethnic, linguistic, religious, gender-related, educational, and class) and various subcultures. Indeed, one limitation of this study is that it involved only physcians and not patients. In this context, to gain a more complete picture of communication barriers between medical practitioners and patients,

in the future it is important, if not essential, to interview patients from a variety of ethnic and cultural backgrounds.

In the meantime, it is worthwhile to enhance the medical practitioners' communication skills in dealing with the patients. Specifically, medical practitioners need to attend more workshops on effective communication strategies; medical practitioners need to be aware of the different social-cultural backgrounds of patients and to be competent in dealing with problems related to their communication with patients; finally, the government should be aware of the role that the overall lack of education in Indonesia plays in the health of it citizens, and make necessary efforts to minimize the tendancy of many Indonesians to neglect their health.

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# Effect of Environmental Budget on Environmental and Human Development Qualities: Empirical Evidence from Local Governments of Indonesia

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## ABSTRACT

Governments are obliged to allocate sufficient budget to protect environmental and human development qualities. This study, conducted on Indonesian local governments, investigated the impact of the environmental budget on environmental and human development qualities. Using Geospatial Information System (GIS) in acquiring the number of degradation land degradation as a proxy for environmental quality, we documented positive relationships between the environmental budget and the quality of the environment. Local government that allocated more budget on the environment protection and management program tended to have better quality of the environment compared to other areas. Furthermore, there was a positive relationship between the environmental quality and human development quality. A healthy and good quality of environment could have an impact on the community's ability to access education, health, and better economic prosperity. Finally, we found that the environmental quality affected indirectly the relationship between the environmental budget and the quality of human development. The results of this study indicate the important roles of the environmental budget to improve environmental quality and the quality of human development in Indonesia.

Keywords: Environmental budget, environmental quality, human development quality, local government

## INTRODUCTION

Numerous environmental issues such as climate change, pollution, drought, and the decreasing number of biodiversity have occurred all over the world with more complicated issues. To overcome these various environmental issues and to protect the quality of the environment, the government's role is needed. Government should establish the sustainability development in line with the triple bottom line concept as a responsibility for the environment. In the context of the Indonesian government both central and local, the role has become compulsory. The government has the obligation to ascertain that all of its citizens have good environmental quality.

One of the important roles of the government in improving the quality of the environment is to provide support for institutional capacity in the form of budget allocation for environment management (Fiorino, 2011). The environmental budget is one of the instruments and mechanisms for important government policy in either the central or the local government. The policy aims to prevent, recover, and control the protection and management of the environment. Republic of Indonesia Law No.32 of 2009 on the Protection and Management of the Environment (Perlindungan dan Pengelolaan Lingkungan Hidup [PPLH]) has stated strictly that both the central government and the Indonesian House of Representatives (Dewan Perwakilan Rakyat [DPR]), along with the local government and the Local House of Representatives (Dewan Perwakilan Rakyat

Daerah [DPRD]), are obligated to allocate sufficient budget through the politics and budget policy. In practice, however, the phrase "sufficient budget" contained in the Law has not been translated properly by the local government (Wahana Lingkungan Hidup [WALHI], 2015).

This study aimed to examine the influence of the environmental budget on the quality of the environment in Indonesian local government. Previous studies have investigated the impact of the environmental budget on the environmental quality at local and country level (Agthe et al., 1996; Kassinis & Vafeas, 2006; Marinoni et al., 2012; Wang, 2011). However, the findings of those studies were inconclusive, as some have found positive, negative, or even insignificant impact. In the context of Indonesian government, both central and local, there is a lack of research addressing this issue.

Besides the effect of the budget on the environmental quality, this study also aimed to analyze the effect of the environmental quality on the quality of human development and examined the role of the environmental quality in mediating the effect of the environmental budget on the quality of human development. The role of this mediation is grounded in the notion that the availability of a sufficient environmental budget is able to improve and restore the quality of the environment of an area, which leads to a better quality of human development within that particular area. Budget allocation for environment protection and management is a concrete

example of the government's effort to prioritize environmental issues within sustainable development.

The studies on the interrelation of budgeting and the quality of the environment and human development are imperative. The central and local governments in Indonesia are focusing increasingly on environmental issuesin purview of the frequent ecological disasters. Indonesia has committed to reduce greenhouse gas mission by 26% by 2020 and by 41% if international aid is available (the National Medium-Term Development Plan).

This study was carried out in the local governments across all Indonesian regencies/cities having complete data on degraded land in 2014. The result of this study showed a better environmental quality in those areas with a higher budget allocation for environment protection and management by the local governments. There was a positive association between environmental quality and quality of human development. Moreover, this study also found the role of the quality of the environment in mediating the effect of the environmental budget on the quality of human development.

The novelty of this study lies in the use of Geospatial Information Systems (GIS) for spatial data on degradation of land as proxy for environmental quality in Indonesia. The use of spatial data and GIS technology in the study related to environmental aspects, such as deforestation, degraded land, flood, and potential landslide area, is highly critical as they could improve and complete the numerical data by providing field's visual images more accurately. Spatial data and GIS have been applied in several research studies in the fields of environment, engineering, and geography, but are being applied for the first time in accounting studies. Therefore, this method might emerge as one of the alternative methods in data gathering for accounting research, particularly for environmental accounting.

The context of municipals/cities research all over Indonesia is the uniqueness of this research compared to other previous studies. There has not been a research that addresses the impact of environmental budget on environmental and human development qualities in Indonesia. Moreover, while previous studies use the total budget that is directly and indirectly related to preservation and management of environment, this study breaks down the component of environmental budget components, thus including only budget components that directly related to environmental quality in the measurement.

This paper begins with a short review of the theories for understanding the environment and human development. It proceeds to provide a review of the related literature on environmental sustainability and develop hypotheses. It then explains the sample selection, research design, and the measurement of the variables used in this study, followed by descriptive statistics, the results of hypotheses testing, and sensitivity analysis. Finally, the study provides the conclusion, limitations of the study, and directions for future research.

## Literature Review and Hypotheses Development

**Effect of Environmental Budget on the Quality of the Environment.** Empowering institutional capacity for environment management is one of the keys in improving the quality of the environment (Kementerian Lingkungan Hidup dan Kehutanan [KLHK], 2013). Institutional capacity is defined as the institution's ability to identify the solutions to a problem (Fiorino, 2011). In the context of the environment, a capable institutional capacity is considered able to improve the speed of problem solving for more complex environment issues (KLHK, 2013). The Ministry of Environment explains that there are five classifications of institutional capacity supports: budget availability, human resources, institutional forms, infrastructure, and regulation. Institutional capacity for environment management will serve in improving intervention of government policy in the field of environment. Environmental budget improvement as part of the central and regional environment institutional capacity will accelerate the commencement of the damage control program and the improvement of environmental quality.

In line with the concept of the Triple Bottom Line (TBL), the concept of sustainable development has to balance the aspects of economy, social, and environment. The government development program is not meant only to pursue a certain economic growth level; it is meant also to consider the effect of the development on the social and environmental conditions.

Pursuing a target of economic growth through unwise exploitation of natural resources can have a debilitating effect on the environment (WALHI, 2015). Budget allocation for environment protection and management is one of the efforts that can be done by the government to achieve sustainable development. Therefore, government intervention through sufficient budget allocation is needed to reduce the consequences borne by the community. Previous studies have examined the influence of institutional capacity with budget as one of its components on environment management (Dutt, 2009; Esty & Porter, 2005; Fiorino, 2011; Halkos & Paizanos, 2013; Janicke, 1996). Carrol (1989) contended that the amount of the government's budget allocation for the environment showed how much attention and priority the government allocated on the environment issues.

Ideally, government must allocate sufficient budget for environment protection and management. This budget can be used to not just mitigate environmental damage, but also to preserve, manage, and protect the environment. A sufficient environmental budget allocation concept has been explained explicitly in the Law Number 32 of 2009, which must be understood and implemented to improve environmental quality (Marinoni et al., 2012).

Funding for environmental need is one of the important criteria identified in the framework of Copenhagen Conference on Climate in 2009. The availability of financial resources is a determinant for effective

environment management (Lockwood, 2010) while the government serves as the primary source of finance for environmental activities (Casey, 2005). WALHI (2015) argued that sufficient environmental budget allocation was the epitome of government's commitment to bring the issue of environment in the sustainable development to the fore. It becomes also one of the forms of government's efforts to fulfill its responsibility to guarantee a good and healthy environment for all of the community as a part of their human rights. With sufficient budget allocation, the government can take several measures to maintain, protect, and preserve the environment (KLHK, 2013). If a local government has sufficient budget, then the region has the tendency to have a better quality of the environment compared to other regions. This study, therefore, proposes the following first hypothesis:

*H1: Size of the local government environmental budget has a positive effect on the quality of the environment.*

**Effect of the Quality of the Environment on the Quality of Human Development.**

The quality of the environment significantly affects the quality of human life (Banzhaf et al., 2014). Previous studies explained that there was close relationship between environmental quality and human development quality (Brown, 2003; Pacione, 2003). Kahn (2002) contended also that the quality of the environment was the main factor for human prosperity. Human prosperity is influenced highly by the

quality of its environment (Štreimikienė & Baležentis, 2015). The impact of pollution and the quality of the environment on human health is also relatively high: therefore, environment preservation and wise utilization of natural resources are some of the important factors to maintain the human life sustainability from time to time. Humans are not the only creatures who have a value on this earth, as explained by the theory of anthropocentrism. Thus, balancing and harmonizing the relationship with other beings is also very important (ecocentrism).

The quality of the environment will influence the quality of human development through several means (Štreimikienė & Baležentis, 2015). First, a good-quality environment (water, air, soil, and waste) will improve community health. Second, the community's lifestyle and behavior will influence the quality of the environment, which in turn affects their quality of lives, such as the use of renewable energy, good waste management, and energy-saving paradigm. Lastly, service consumption provided by the environment will influence the quality of human lives.

A close relationship between the qualities of human development and the environment requires the attention of all stakeholders. The decreasing quality of the environment has threatened the sustainability of human lives and other beings; thus, environment protection and management have to be consistent and thorough (PPLH). This study, therefore, proposes the following second hypothesis:

*H2: The quality of the environment has a positive effect on the quality of human development.*

***The Indirect Effect of the Environment Management Budget on the Quality of Human Development through the Quality of the Environment.*** Environmental budget availability is one of the forms of government's responsibility on fulfilling the community's basic rights for good environment. Sufficient environmental budget allocation might improve also the quality of human development. The fund spent on the environment can be classified as environment recovery fund and environment management fund (PPLH). Both of these funds' allocation are the response to the pressure from various groups of stakeholders (Wang, 2011). Environmental budget allocation represents one of the forms of government's efforts toward sustainability development. Budget allocation for PPLH, however, is threatened by the lack of the PPLH mainstreaming in the budgeting system as well as the stakeholders' awareness on the importance of the PPLH (Haryanto & Nurkholis, 2014).

Support of institutional capacity in the form of environmental budget both directly and indirectly affects human development quality. A sufficient environment management budget can increase the community's health, improve education, and reduce the poverty level either directly or indirectly through the quality of the environment. In line with the concept of the TBL, there should be a balance among economic,

social, and environmental prosperities for preservation and improvement of ecological sustainability and quality of human life. From the perspective of anthropocentrism, ecological sustainability is important for not just humans but for other living beings as well. The impact of the quality of the environment on the quality of human development in a region depends on the sum of the environment management budget in that region. This study, therefore, proposes the following third hypothesis:

*H3: The environmental budget has an indirect and positive effect on the quality of human development through the quality of the environment.*

**Research Model**

This study used two models. Model 1 was used to examine the effect of the environmental budget on the quality of the environment (H1).

$$ENVQUAL_{2014} = \alpha_0 + \alpha_1 ENVBUD_{2014} + \alpha_2 control + \varepsilon \qquad (1)$$

Control variables of this study included economic growth, population, and dummy geographic area (Java/non-Java). Previous studies found that economic growth significantly affected the quality of the environment (Grossman & Krueger, 1995; Peng & Lin, 2009; Welsch, 2004). This study used the GDP as the proxy of economic growth. In addition, it was evidenced that population growth negatively affected the quality of the environment (Peng & Lin, 2009; Burns et al., 1994). Moreover, this study included the local government

geographic area (Java/non-Java) as one of the control variables of environmental quality.

Meanwhile, model 2 was used to examine the effect of the quality of the environment on the quality of human development (H2).

$$HDQ_{2014} = \beta_0 + \beta_1 ENVQUAL_{2014} + \beta_2 ENVBUD_{2014} + \beta_3 control + \varepsilon \qquad (2)$$

Where, ENVQUAL is the quality of the environment, ENVBUD is the environmental budget, and HDQ is the Human Development Quality in both the models.

In this model, the control variables used were the percentage of budget on the health sector, the percentage of budget on the education sector, and the status of regencies/cities. Local governments that allocate more funds to health and education sector have better quality of living. Moreover, the Badan Pusat Statistik [BPS] data shows also that cities have a higher HDI than regencies.

## MATERIALS AND METHODS

### Population, Sample, and Data Source

The population in this study covered all (511) the local governments in Indonesia. The environmental and human development qualities data was from 2014 while that for environmental budget was from 2013. This study employed one-year data because of the manual data collection process for both spatial and environmental budget data. Spatial data was collected through data imaging for every polygon, and Indonesia consisted of approximately 100,000 polygons. Therefore, the time frame of this study was only one year and 2014 was chosen because the environmental budget data from Ministry of Finance showed that the local governments started allocating budget for environmental activities in this year. The use of one-year lagged data for budget variable is based on the view that the impact of the regional government budget on the environment and human development qualities cannot be observed in the same period. Several previous studies (e.g., Agthe et al., 1996) had also used the same method to analyze the impact of budget on the quality of the environment

The method for sample selection in this research was purposive sampling. The regional governments used as samples are those with forest areas since the measurements of the quality of environment used in this research was the percentage of degraded land. Data imaging observation was used to ascertain the region's forest cover. Moreover, the local governments included as samples in this study were those with complete data related to the environmental budget and the HDI. The degraded land data used in this study were sourced from the spatial data published by NASA through their website http:/usgs.gov and data from the Bureau of Geospatial Information (BIG).

### Measurement of Variables

This study used spatial data describing the width of degraded land as the measurement for the quality of the environment.

Degradation of land could be used as the measurement for the quality of the environment since the forestry sector was the largest contributor of carbon emission reduction. Degradation of land could be measured using GIS. Spatial analysis of land degradation was through performing overlay on several spatial data (land degradation parameter) on 2013 and 2014 to produce a new unit of mapping, which was used as the unit of analysis. This study used the percentage of degeneration of land to total land area and multiplied the degraded land variables with (-1) because the higher the percentage of degradation of land, the worse the environmental quality.

The Human Development Index (HDI) was used as the measurement of the quality of human development. The HDI was based on three basic assumptions covering longevity and health, knowledge, and proper living (BPS, 2015). Environmental budget in this study is defined as the budget spent by the local government to fund all the protection and management programs for the environment according to Law Number 32 of 2009. Chapter 45 of the Law on PPLH explains that the Government and the House of Representative are obligated to allocate sufficient budget to fund the following: a) activities on the protection and management of the environment; and b) environmentally-based development program. This law explains that the PPLH funding begins with the stage of planning, followed by utilization, controlling, preserving, monitoring, and law enforcing. Based on the Law Number 32 of 2009, this study breaks down the components of government budget by identifying and calculating the amount of budget related to the programs for environment protection.

The environmental budget variable in this study was measured by the percentage of the total environmental budget on the total Local Government Budget (Anggaran Pendapatan dan Belanja Daerah/APBD) of the municipals/cities. The percentage was used to improve the comparability between the amount of budget for the environment function among the municipals/cities in Indonesia.

## RESULTS AND DISCUSSION

### Sample Selection Results

All local governments of municipals/cities in Indonesia were the subject of this study. The local governments used as samples in this study were the municipals/cities that had complete data related to the exposition of APBD of 2013, the HDI of 2014, and the deforestation and land degradation spatial data of 2014. Indonesia has 511 local governments, consisting of 413 municipals and 98 cities. Table 1 describes sample selection. The final sample of this study was 370 local governments and proxy used for the measurement of the quality of the environment used was the degraded land.

### Research Results

**Descriptive Statistics.** Table 2 illustrates descriptive statistics (mean, median, standard deviation, minimum score, maximum score) of each of the variables.

Table 1

*Sample selection*

| | Incomplete data | Total Sample |
|---|---|---|
| Number of regencies on 2013 | 413 | |
| Number of cities on 2013 | 98 | |
| Total local governments on 2013 | | 511 |
| APBD Components Breakdown (Environmental budget) | (20) | |
| HDI | (5) | |
| Degradation land | (116) | 370 |

Table 2

*Descriptive statistics*

| | Mean | Median | Stdev | Min | Max |
|---|---|---|---|---|---|
| **Environmental quality measurement: Deforestasion n=368, (Percentage of degradation land, n = 370)** | | | | | |
| EB | 0.04(0.04) | 0.04 (0.03) | 0.04 (0.04) | 0.001(0.001) | 0.36 (0.36) |
| DL | 0.06 | 0.03 | 0.08 | 0.000 | 0.27 |
| TP | 478,994.79 (642,683) | 519,887 (422,784.50) | 110,743.17 (556,629.90) | 123,065 (32,739) | 694,614 (2,235,418) |
| GDP | 16,917.19 (19,551.21) | 9,521 (11,910.50) | 18,105.86 (21,381.26) | 1,758 (921) | 65,274 (83,155) |
| EDB | 0.35 (0.38) | 0.34 (0.39) | 0.1 (0.1) | 0.18 (0.12) | 0.55 (0.57) |
| HB | 0.1 (0.11) | 0.1 (0.11) | 0.02 (0.03} | 0.04 (0.04) | 0.15 (0.19) |
| HDI | 66.75 (68.01) | 66.36 (66.64) | 4.15 (5.51) | 59.64 (58) | 79.12 (83.78) |

Notes:  EB=Environmental Budget; DL=Degradation Land; TP=Total Population; GDP=Gross Domestic Product; EDB=Education Budget; HB=Healthcare Budget; HDI=Human Development Index

The table shows that the local governments in Indonesia had allocated an average budget of nearly 4% of the total regional budget for the protection and management of the environment. The Human Development Index in this research sample showed the average of the HDI for the regional government in Indonesia in 2014 is 66.75 (68.01), with the highest (Yogyakarta city) and lowest (Nduga) being 79.12 (83.78) and 59.64 (58), respectively. On average, in 2014, Indonesia had seen 6% degradation of land of all the total area.

**The Effect of Environmental Budget on Environmental Quality.** The first hypothesis of this research states that the environmental budget has a positive effect

on the quality of the environment. The result of the H1 examination can be seen in following table (Table 3).

Table 3 shows consistency with H1 that the environmental budget has a positive effect on the quality of the environment measured by the percentage of degraded land. It shows that regions allocating higher budget for the activities of protection and management of the environment have a tendency to lesser land degradation compared to other regions.

Overall, the result of hypotheses is consistent with the previous research (Fiorino, 2011; Halkos & Paizanos, 2013; Wang, 2011) that the environmental budget has an important role in improving the quality of environment. The finding of this research is also in line with the decree of Chapter 45 on the Law Number 32 of 2009, which states that the government is obligated to allocate sufficient budget for the activities of protection and management of the environment. Budget allocation begins with the stage of planning, utilizing, controlling, preserving, and monitoring on each of the activity of protection and management of the environment. This is one of the efforts made by the government to resolve environmental damage caused by negative external factors.

## The Effect of the Quality of Environment on the Quality of Human Development.

The result of H2 testing that analyzed the effect of the quality of environment on the quality of human development can be seen from Table 4. It shows the examination of the effect of the quality of the environment measured by the land degradation on the Human Development Quality. This study identified that quality of the environment

Table 3

*Regression results (Model 1)*

| $ENVQUAL_{2014} = a_0 + a_1ENVBUD_{013} + a_2control + e... (1)$ | | |
|---|---|---|
| Variables | Expected Sign | Coef/Prob |
| C | | 0.041 |
| ENVBUD | H1 :+ | 0.1364*** |
| STAT | - | (0.0612)*** |
| TP | - | (0.0329)** |
| GDP | +/- | (0.396) |
| Adjusted R-squared | | 16.21% |
| Total Sample | | 370 |

*Note:* * significant at $p< 0.1$; ** significant at $p< 0.05$; *** significant at $p< 0.01$; ENVBUD=Environmental Budget; DL=Degradation Land;TP=Total Population; GDP=Gross Domestic Product; EDB=Education Budget; HB=Healthcare Budget;HDI=Human Development Index; STAT = Java (0), Non Java (1)

Table 4

*Regression results (Model 2)*

**$HDQ_{2014} = b_0 + b_1ENVQUAL_{2014} + b_2ENVBUD_{2014} + b_3control + e... (2)$**

| Panel B. ENVQUAL = (-) PERCENTAGE OF DEGRADATION LAND | | |
|---|---|---|
| Variables | Expected Sign | Coef/Prob |
| C | | 62.215*** |
| (-)DL | H2 : (+/-) | 3.128* |
| ENVBUD | (+) | 0.2671*** |
| EdB | + | 3.8158 |
| HB | + | 0.7956 |
| DUM | + | 1.2543 |
| Adjusted R-squared | | 22.64% |
| TOTAL SAMPLE | | 370 |

*Note:* * significant at p< 0.1; ** significant at p< 0.05; *** significant at p< 0.01; ENVBUD=Environmental Budget; DL=Degradation Land;TP=Total Population; GDP=Gross Domestic Product; EDB=Education Budget; HB=Healthcare Budget;HDI=Human Development Index; STAT = Java (0), Non Java (1); DUM= (0) Municipal, (1)City

had a positive and significant effect on the quality of human development. It shows that if a government had a low level of land degradation, then there was a tendency that the local government had a high HDI. The finding is consistent with Banzhaf et al. (2014) research, which found a close relationship between the quality of the environment and the quality of a community's life. A healthy and good quality of environment can have an impact on the community's ability to access education, health, and better economic prosperity.

**The Indirect Effect of the Environmental Budget on Human Development Quality through the Quality of the Environment (H3).** In addition to examining the direct effect of environmental budget on the HDI, this study examined the indirect effect through the quality of the environment. Table 5 shows the test of indirect effect. By using degraded land as the measurement for the quality of the environment, it was found that the environmental budget had an indirect effect on the quality of human development through the quality of the environment. The result is consistent with H3.

Table 5

*Indirect effect*

| | Coef $a_1$ (Model 1) | Coef $b_1$ (Model 2) | Indirect Effect ($a_1$ x $b_1$) |
|---|---|---|---|
| **H3 (Degradation Land)** | 0.1364*** | 3.128* | 0.4267** |

This result proves the role of environmental quality mediation in explaining the effect of the environmental budget on human development quality and suggests that if there is sufficient allocation of the local government's environmental budget, then the quality of the environment can be improved, which leads to improved human development quality. This is in line with the view on the success of human life quality improvement that is highly affected by the basic dimensions of development, which are healthy life, longevity, access on education proper life standards. The fulfillment of these two basic dimensions highly requires a healthy and proper environment condition. This healthy and proper condition of the environment-requires great internal support, one of which is the budget availability for the function of the environment.

## DISCUSSION

This research argues that the environmental budget has a positive effect on the quality of the environment. If a local government allocates a larger budget for environment protection and management, then there is a tendency for the regions to have a better quality of environment compared to other regions at that particular time. This finding provides empirical evidence on the importance of the environmental budget in improving the quality of the environment.

The finding of this study supports the decree of Law Number 32 of 2009 on the management and protection of the environment. It states explicitly that the regional government is obliged to allocate a sufficient budget for the protection and management of the environment. In the implementation, however, not many local governments are able to interpret well the meaning of a sufficient budget. This condition is proven by WALHI's data that show on average, local government environmental budget is 0.76% of the total APBD. The number is significantly smaller compared to the education budget that extends up to 20%. However, if the local government can prioritize the environment aspect through budget allocation, then it will have a direct effect on the quality of the environment such as the decrease of deforestation and the percentage of degraded land. Other than the role of the local government, in relation to the aspect of budgeting, commitment, and support from the legislatives (DPR and DPRD) to allocate sufficient, effective, and efficient environmental budget is crucial.

Previous studies have found that environmental quality and human development quality have a considerably tight relationship (Banzhaf et al., 2014; Štreimikienė & Baležentis, 2015). Consistent with the previous studies, this study shows that land degradation has an effect on human development quality.

The environmental budget has a positive effect on the human development quality through the quality of the environment. This shows that the environmental budget can improve the quality of the environment;

a healthy and good environment can be a development capital that aims to improve the quality of human development.

Previous studies have investigated the impact of environmental budget on environmental quality (Agthe et al., 1996; Kassinis & Vafeas, 2006; Marinoni et al., 2012; Wang, 2011). However, in the context of Indonesian government both central and local, there have not been a research that addresses this issue. Therefore, this study is conducted within the context of local government in Indonesia by using indicators of environmental quality namely the percentage of degradation land areas compiled from spatial data. The use of spatial data has never been used in prior studies.

## Sensitivity Analysis

**Use of the Percentage of Total Degraded Land as the Indicator of the Quality of Environment.** Land degradation can be categorized into four groups: very critical, critical, slightly critical, and potentially critical. In the primary examination, the percentage of the total of very critical, critical, and slightly critical was taken as the measurement of the quality of the environment. This study examined also the percentage of the total critical deforested area (including potentially critical) as the indicator of quality. This was tested because the potential degeneration land area was quite large and there was a possibility that it would soon be degenerated in the near future. The result shows that the environmental budget had a positive

and significant effect on the quality of the environment. This is consistent with results of the main study.

## CONCLUSION

This study aims to examine the effect of the environmental budget on the quality of the environment and the quality of human development. This study is conducted in local governments (municipals and cities) in Indonesia. The use of different quality of the environment indicator and the context of municipals/cities research all over Indonesia is the uniqueness of this research compared to other previous studies. In measuring the quality of the environment, this study uses the percentage of land degradation. Land degradation in this study used the spatial data and GIS. The use of spatial data and GIS technology in this study relates to the aspects of environment such as deforestation, critical deforested area, landslide, and flood potential that are highly important since they can improve and complete the numerical data by visualizing the field's condition more accurately.

This research finds that the regional government environmental budget has a positive effect on the quality of the environment. It shows that if a local government makes sufficient budget allocation toward the activities of protection and management of the environment, then there is a tendency that the region has a better quality of environment. This study finds also that good environmental quality has an impact on the quality of human development, as can be seen from

the aspects of education, health, and the community's economic prosperity.

This study has the limitation that could be used as the recommendation for future research. First, this study used the percentage of degradation land as the proxies of environmental quality. These are specifically selected to represent the natural conditions of Indonesia as the third largest tropical rain forest country in the world. The forestry aspect is the largest contributor toward the quality of the Indonesian environment. Moreover, future research might use other proxies of environmental quality such as air quality, water quality, and other measures. Second, due to data limitation, this is a cross-sectional study conducted across all local government of the regencies/cities in Indonesia only. This study employs one-year data due to the manual data collection process for both the spatial and environmental budget. Spatial data is collected for every polygon, where Indonesia consists of approximately 100,000 polygons. Therefore, there is limited generalizability. The use of data panel in the future research might present a more comprehensive description.

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# Sexual Self-Construction and Subjectivities of Disabled Women in Thai Society

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## ABSTRACT

This research aimed to explore how discourses and social practices influenced the sexual self and sexual life of disabled women in Thailand. Narrative interviews and participation observation methods were used to collect data from twelve women with physical disabilities and seven women with visual impairment. Findings revealed the discourses influencing disabled women's sexual self were medical discourses as impairment and abnormal, religious discourses as sin from wrongdoing in a past life, and social welfare discourse as disadvantage and burden. While, gender and sexuality discourses regulated disabled women's thoughts and actions in term of their sexuality. They were portrayed as asexual, inappropriate into sexual relationship, and undesirable girlfriend, wife or mother. The disabled women suppressed their sexual feeling, accepted their fate, and felt worthless. Regarding sexual life, they were overprotected by parents, lack an opportunity in intimate relationship, and proper sexual education. Some implications are encouraging family and people should be open-minded to learn from real life experiences of disabled women. Moreover, people in community should give opportunities to disabled women to express their needs, their voices, their potential, and accept them as humans with dignity and one of the citizens with equal rights.

*Keywords:* Disability, discourse, gender, sexual right, social practices

## INTRODUCTION

The global disability tendency is increasing annually due to a global increase in aging, chronic health conditions and accidents. While women with disability form the majority, ten percent of disabled women are living in rural and developing countries where there are limited opportunities for education and employment (World Health Organization & The World Bank, 2011). Human Rights Watch (2010) reported that women and children with disabilities were vulnerable to multiple types of discrimination based on their disability, age and gender.

Several international studies have revealed the lived experiences of disabled women that face with difficulties in both private and public spheres. These includes myths and stereotypes about sexuality and disability. They were portrayed as asexual, unattractive, undesirable and unfit to be mother (Peta et al., 2016) and had limited opportunities to meet partners and restricted potential sexual contact. Social expectations of wifely duties and motherhood shaped their pursuits of intimacy, including their low self-esteem (Baptista et al., 2014; Van der Heijden et al., 2019). Disabled women tended to be targeted to sexual violation in term of forced and/or coerced sterilisation, forced contraception, forced abortion and termination of parental rights (Frohmader & Ortoleva, 2013).

With regard to disability myth, literatures highlighted that they were judged as not being normal, unable to function as a so-called normal person does and they are viewed as being in need to help, broken, damaged, incapable and being unable to achieve hegemonic ideals of gender performance (Chappell, 2014; Haegele & Hodge, 2016). Moreover, they were faced with barriers in assessing basic health services that ignore them, deny their right to reproduce and deny their sexuality (Monedero et al., 2014).

While there is a growing body of research on sexuality of disabled women in western societies, few research studies have been performed in other societies, particularly in Thailand. Previous studies focused on sexual functions, reproductive health problems, and social attitudes toward sexuality of people with physical disabilities (Boonpiam, 2006; Cheausuwantavee, 2002; Nguyen et al., 2016; Rukwong, 2008). Most of studies were focus on individual level more than structural level. Disabled women sexuality research has not been studied via their subjective experiences, thoughts, feelings (Parker & Yau, 2012). Therefore, this research would fill an important gap in the available literature.

This research aims to reveal through anthropological methodologies disabled women's voices regarding their senses of self and subjectivities from their real experiences. It will explore what counts as knowledge or ideology on disability and sexuality in Thai society and how these discourses and discursive practices affect subjectivities and sexual lives of disabled women.

## Theoretical Lens

This research applied postmodernism as the theoretical framework to emphasize on the criticism of the origin of the discourse, knowledge and social practice. According to Foucault's perspective, the term 'discourse' refers to rules, divisions, systems of knowledge (Bacchi & Bonham, 2014), and discursive practices that governs how people to select or reject objects, concepts, theories, and norms, which influences the way they think, speak, or write about the topic (Stamou et al., 2016). Foucault focused on knowledge, power, discipline and their inter-relations, which operate through the mechanisms of discourse or discursive practices. In addition, Whisnant (2012) proposed that discourse affected multiple areas of life, shaped our perceptions of the world and organized the way we behaved in everyday life. Foucault (as cited in Danaher et al., 2000) stated that normative bodies were a dominant discourse that preferred a youthful, able-bodied, white, healthy, and male reference, which affected disabled people by subjugating them to the process of 'othering' of a group. A disabled person is usually explained based on the dichotomy concepts as normal/abnormal, able/disabled and productive/unproductive have influenced people to categorize disabled person as a marginalized group and excluded them (Kulkarni et al., 2017).

Western culture and medical science have traditionally defined women as abnormal when compared with the 'normal' male body and regarded them as being mentally, emotionally, psychologically, or morally weak and disturbed (Reinikainen, 2008). The ideology of ability represents the able body as the baseline of humanness. Absence of ability or lesser ability marks a person as less than human. Sex and human ability are both ideologically and inextricably linked (Siebers, 2012). Disabled women have been regulated and governed by a variety of discourses and they face multiple discrimination and social exclusion. It is necessary to reveal the complex network of discourses and social practices done to disabled women's sexual self and subjectivity in Thai society.

## MATERIALS AND METHODS

This study conjectured that actual stories from the experience-owners, who were disabled women, were the most authentic. The researchers employed qualitative research and data collected by narrative interview and participation observation. Narrative interview allowed the researcher to get a deeper account of the participant's life stories and understand their socio-historical contexts. Attention and respect were duly given to their subjective experiences to empower the participants (Elliott, 2005; Jovchelovitch & Bauer 2000).

Nineteen disabled women participated in this study; 12 were women with physical and mobility disabilities, and 7 were women with visual impairment. The study participants were recruited using a mixed approach that combined the snowball technique with purposive sampling. Participants were initially

recruited from the organizations of disabled people, and then interviewees were asked to indicate another potential participant. The researcher used this technique until data saturation and ensured maximum diversity of socio considered more relevant to the study objectives, considering variety of participants' characteristics including age, type of disability, time of onset, parenting style, socioeconomic status, level of education, occupation, and marital status. We also focused on disabled women who were prominent in their social life, lived independently, and actively participated in society. The duration of data collection was 10 months from November 2014 to August 2015.

All of the participants were conducted by the same researcher with an interview guideline. To ensure participants were at ease and comfortable the researcher met them at their location of choices. Seventeen women chose to be interviewed privately in her home or workplace and two of blind women were interviewed by phone as they lived in rural area and not available to meet the researcher.

Participants were asked to sign an informed consent form before the first interview session, and they could withdraw or refuse to answer at any time they wanted. The researcher used the data with participants' permission only. In the beginning, the researcher started with a general open question, inviting them to talk about their life story or their life after their disability as they wanted. Building rapport and a trusting atmosphere were used to

lead to a deepening feeling. The participate observation took place at the participant's house or workplace or place where social activities that they were participated. The data from observation in real situations were used to fulfil data about social practices in their daily life.

All the interview data used verbatim transcription in the Thai language first, and the participants were revisited in person or the transcription was sent by email for validity verification. Content analysis was used to analyse coded focus on discourses and social practices, which was then organized as a theme and translated into English.

Participants were informed that their names would not be used in published data, the researchers changed to pseudonyms and small details about participants and their circumstances are changed to protect confidentiality and anonymity during the analysis and research writing. This study has ethical approval from the Human Research and Social Science committee of Mahidol University code MU-SSIRB 2014/328.

## RESULTS

The ages of research participants were 29 to 57 years. Twelve of them had physical disabilities, such as poliomyelitis, muscle atrophy, paraplegia, amputation and meningitis, and seven had visual impairment. All of them were mostly independent in their daily lives, except for one participant who had a personal assistant. All had lived with a disability for more than 10 years. Their educational levels ranged from primary to

doctoral, and they had the occupations of trader, lottery seller, teacher, and workers with disabled people organizations and non-government organizations. Most of them lived in Bangkok and the greater metropolitan area. Social statuses were single, cohabiting, married, and divorced. Every participant's sexual orientation was heterosexual, two of them had same-sex relationship experiences. Their spouses were both able-bodied and disabled men, and six of them had children.

Two themes emerged to answer research questions. First, which discourses and social practices in Thai society influenced disabled women sexual self-construction, and second, how are the disabled women's sexual life and subjectivities.

## Theme 1: Discourses and social practices that constructed the sexual self of disabled women

Disabled women described their life stories through multiple sets of discourse derived from sociocultural and medical knowledge conveyed through family, school, and community.

*Karmic law discourse:* Disabled women who lived in a Buddhist family embodied the concept of karmic law. Disability or *pikarn* (in Thai) is the effect of past bad actions that affect the present life. This discourse was found through story, book, drama, and monks' speeches regarding sin and good deed for reparation.

*When I stayed at home, some elder visited. They looked on me with pity and told me that my impairment came from the previous life because maybe I stole things*
*from others, so had debt must repay back or came from hitting cow's back or frog's back. I was downhearted and intolerable. I want to die. I was worthless.* (Kwan, 36 years old, paraplegia)

The disabled woman felt worthless because people think disability is a bad things and people look pity on them. They had to accept their fate.

*Social welfare and legal discourses:* The Thai laws and policies during 1932-1957 classified disabled persons as 'quasi-incompetent person' as a population at risk for causing social problems because of unproductive, incompetent, and unqualified to serve as civil labour that weighing down the country's development and disabled people was classified as 'socially disadvantaged people' as beggars, insane, homeless and must be living in the public shelter (Kata, 2014; Pitakthanin, 2011).

*My family doesn't want me to study. They told me that they will give me one hundred baht (3 USD) per day to spend, go study is a hardship for me; living as a beggar is better.* (Pan, 42 years old, blind)

*Some people think that a disabled person should stay at home. They are worried how we would find food, how we go around because we cannot see ... Most people think that if they are without eyes they will lose everything, and only live in the darkness life.* (Noey, 29 years old, blind)

People in Thai society have the perception that disabled person is supposed to be dependent, inability, and pathetic. This causes the family to overprotect the disabled child and keep them in the house

because they do not want to be exposed to social sympathy and pity. If the disabled girl goes outside and has a hard life, people in society would blame the family inability to feed their child and let them out as miserable beggars.

*Medical discourses:* Thai society was more influenced by medical science in the 1980s. The Disability Rehabilitation Act of 1991 encouraged disabled persons to engage in a rehabilitation process through treatment and restore their ability through occupational training and education. The disabled people at that time considered themselves as a sick person, hoping to be healed and doing all the things that professionals recommend. The society has the perception that disabled people as patient.

*People in society don't look at people with disabilities with as much pity anymore, but rather as being more capable and able to take care of themselves and develop themselves. They admire this and often give encouragement. People still understand that disability is an illness and needs to be treated.* (Nim, 38 years old, paraplegia)

At that time, the government was trying to create a new mindset of disabled people. The discourse is *'if they are entering in the rehabilitation process, they will not be a burden on society but rather beneficial to society'*, this discourse affected disabled women. They regulated themselves to train their skills because they did not want to be a burden of their family.

**Theme 2: Disabled women's sexual subjectivities and sexual life**

*Sexuality and gender discourses:* The disabled women in a patriarchal Thai society have to face the double standard of a sexual culture that gives more importance to men. Sexual norms of the Thai society control women's thought, starting from reserving them to heterosexual relationships, no premarital sexual relations, having a sexual intercourse in a general manner (man on top), and sexual intercourse only. Further, married women are expected to have babies and single women are often questioned and looked upon negatively. Women's role included responding to men's needs, and they are supposed to be modest and mild, trust their husbands, take care of housework, and be a caretaker of their child (Archawanitkul & Sae-Guay, 2008).

The influence of discourses and social practices on gender and sexuality take control and dominate of women's roles through family and community but society has a lower expectation for disabled women. They are considered as being unable due to physical dysfunction. Society does not see womanhood in disabled women but sees only their disability and regards them as fragile and vulnerable in sexual activity.

Disabled girls feel embarrassed to show their physical impairment. They feel inferior and hid their body. The story from Som, 34 years old with poliomyelitis, when she was young goes as follows:

*When we went to the market, I wanted to buy jeans or a beautiful dress, but my mom said this dress matches with a beautiful able-bodied woman who can walk, and it was not proper to me. I feel that I am not pretty like other women. After I had a job, my boss said*

*to me that I look pretty, why not go to shop for clothes and make up. I felt surprised; no one ever said I was pretty before.*

Som had to deal with the attitude of her neighbour when she took her non-disabled boyfriend to her home to introduce him to the parents.

*When I first went home, the villagers rode their bikes to the front of the house, because they knew that I bring a man to home. The villagers did not think positively. They wondered he was disabled. When they knew that he was not disabled, they were unaccepted because they couldn't make sense of the fact that someone with able-bodies could come to love disabled person. If it happens the relationship is not long, they will separate soon.*

The story of Kai, 50 years old with muscle atrophy, her family believed that disabled people do not deserve to have intimate relationship and should only stay with parents for the rest of their life.

*My mom told me not to think about love; no one will really love you; never think to be married because it is impossible. Disabled people could not live with anyone, except their father and mother… I am not assertive, and no one would flirt or say that he loved me. When people look strangely at me, I would be hiding. When I felt love for someone, I would keep it in my heart as if they knew that I am disabled, they will not like me.*

A 42-year-old blind woman named Pan married with a sighted husband, but the husband's family might have said, *'Your disabled wife will be a burden, you need*

*to take care her for your whole life,'* which conformed with Kaew, 31 years old, blind woman's story:

*How many men will choose blind women as their wife? They need someone to take care, cooking food or putting on socks. The man will think of the image of his wife in public, how his friends would feel.*

Kwan, 36 years old with paraplegia who had intimate relationships were questioned by the society, especially when they entered into a relationship with able-bodied man. Kwan's story indicated that she felt confused and did not trust in the relationship.

*I have a relationship with a normal guy; he studied in master's degree; he picks me up and takes really good care of me. But my relatives questioned that he was crazy, as why he loved disabled woman. These questions made me curious about him. My disability as sin that locked myself for having couple, cannot have sex because society will not accept.*

Took, 34 years old with paraplegia and her boyfriend have a urinary catheter that makes them unable to perform sexual activities in a normal manner, so she lacked hope about marriage.

*At first, I hope to get married to someone, but now I think that sitting in a wheelchair when getting married looks like a monkey drama or a joke. It was more pathetic. The guests might think that can they still have sex? So, I think … not getting married is better. He has catheter, me too; so we are unable to have sex.*

Nim, 38 years old with paraplegia, she thought that if they had no vaginal sensation,

she cannot have sexual feelings and give pleasure to her partner. And Sood, 57 years old with paraplegia, who suffered from her pain while having sexual activity.

*After I was disabled, my husband forced me to have sex with him. I have no feeling in that part of my sex organs, so I ask myself how I can have sexual feeling, how I can make him satisfied. I feel hesitant.* (Nim)

*For the guy, he has a sexual desire, but I have no sexual feeling. I was unable to control my pee; having sex feels painful. But to preserve our relationship, I must give it to him.* (Sood)

Disabled women are judged from medical discourse of abnormal, incapable and genetic risks to the child in the womb, which prevents a disabled woman from getting pregnant. Pan, 42 years old, blind woman was not sure that their children will be deformed or not.

*I already asked the doctor before, as an adolescent, if I have children, will they be like me. If the doctor said they will, I would have had an operation to prevent myself from falling pregnant. After I was pregnant, I really concerned if my child will be abnormal; I feel worried so much.*

From disabled women stories show that the medical discourses and cultural discourses co-construct their sexual self as asexual, weak, inappropriate based on their impairment. The social practices as prohibit, control, discriminate, and excluded disabled women from sexuality issue leads to their subjectivities as low self-confidence, confuse, fear and not good enough to be lover or wife and genetic risk mother.

## DISCUSSION

The findings of this study revealed that the multiple discourses and everyday live's social practices including; karmic law, social welfare, legal, medical knowledge, gender and sexuality discourses were co-constructed disabled women sexual self and subjectivities. Disabled women considered themselves as worthless, incompetent, disadvantaged, abnormal, patient, undesirable and burden of the family. They had stereotyped them as asexual beings and unfit to be wife and mother. They were discouraged by society as inappropriate to be married, inability to have a sexual relationship, and impossible to build their own family.

Foucault argued that as power was internalized, it became ingrained in thoughts and behaviours that became a part of the context in which we lived, breathed and knew ourselves. Accordingly, Foucault (as cited in Wexler, 1995) extended this concept to include that "power not only operates on people but also in their actions, their attitudes, their discourses, learning processes and everyday lives, rather than thinking of power operating from above". Similar to other studies, the dominant discourse in Thai society that affected disabled women's sense of self was medical discourse, gender discourse and religious discourse on "karma". Medical discourse shapes the meaning and value of people with disabilities, in terms of "valueless", "pitiable", or "incompetent", and that was a product of a power domination (Juathai, 2008). The influence of culture and beliefs

of society keep disabled women in their disadvantaged position (Tefera et al., 2017). The ideology of karma is a central moral concept among Buddhists, physical and cognitive impairment are caused by negative merit in the past life, and consequently, disability is constructed as negative (Naemiratch & Manderson, 2009) and disability is thus equivalent to lower status as the result of bad karma (Sudajit-apa, 2017). Notion of womanhood with the ideologies of femininity, motherhood and caregiving influenced the life experiences of disabled women as incapable of sexual relations, preventing women with disabilities from achieving ideals of womanhood.

Disabled women in this study are living under patriarchy culture and the ideology of normative sexuality that starts in family level. This finding coincides with the study of Addlakha et al. (2017) that the power of family to disabled women especially sexual life, family institution was usually a heteropatriarchal realm of gendered power, organisation and control, which suffered severe disruption especially a disabled female. The family presents attitudes towards disabled child from omission to overprotection because of father and mother's lack of sexual education (Baptista et al., 2014). Overprotection has the effect of lower self-esteem and creates more social isolation, which in turn leads to lower intimacy (Nosek et al., 2003). Families send negative messages about the possibilities of them having a partner or even a sexual life, as they fear that their daughters or sons will suffer rejection, or unwanted pregnancies (García & Álvarez, 2014). This conforms with many participants, such as Kai, whose had been told that no one really loved a disabled person and it was impossible to have her own family. Moreover, our participant sexual life stories were similar to Beckwith and Yau (2013) who pointed out disabled women concern such as body image, low self-esteem, fear of rejection, and feeling inadequate in long term relationships after injuries and not fulfilling the requirements of being wives and mothers Similar with Nim and Sood if they could not have sexual activity to satisfy their husbands they would feel unstable in the relationship.

Although, this finding is similar to previous studies about sexuality of disabled women, but we argued the important of dominant discourses and social practices that influenced not only disabled women but governed perception of family and society towards disability. As stated by Cheek (as cited in Pennington, 2011) a discourse is dominant not because it is logical or rational but because of the "power that both underpins and maintains the discourse". This finding revealed the practices from family, medical professional, community, and media were power over the disabled women and position them in a lower social status and facing oppressive practices.

Implication: Sexuality of disabled women remains invisible, often ignored by society, health care service and policies. Therefore, it must be a destabilization of patriarchal and ableist assumptions that they are unable to fulfilling their sexual need,

partnership and motherhood. Moreover, accessible and relevant sexuality education and information on relationships, maternal and sexual and reproductive health care are necessary to ensure health intimate partnerships for them.

Limitation: These findings should be viewed with caution in light of certain limitations. First, our research focus on disabled women with physical and visual impairment, there are different types of disabilities which may have different experiences on sexuality. Additionally, data were obtained entirely by narrative interview that participants, particularly disabled women may find it challenging to tell their story to the researcher rather than be asked a series of questions like in-depth interview. Future research should also focus on other types of disabilities in order to understand their sexual experiences and subjectivities.

## CONCLUSION AND RECOMMENDATIONS

It is found in this study that multiple concurrent discourses in Thai society including medical discourse, social welfare and legal discourses, and Karmic law discourse including gender discourse have affected the sense of self and subjectivities of disabled women. Postmodern concept is helpful in exposing discursive practices around disabled women by bringing awareness of those discourses that dominate and understanding those disabled women that become sexual marginalized. Disabled women experience sexual disadvantages because of intersectional discrimination of gender and disability. Their subjectivities regarding sexuality are fear, frustrated, mistrust, low self-confidence, and undesirability.

It is needed the competing discourse with right based assumption which will have an impact on society to provide appropriate need for disabled women. Our findings may help in communicating to the larger society to enhance awareness that disabled women have competence in intimacy and motherhood. We even present the voices of disabled women. We need more social movement to promote accepting human rights and encourage access to services on the sexuality and reproductive health to disabled people. The policymaking should be proposing the empowerment program for disabled women and providing an alternative discourse about human rights and sexual rights of a disabled person to everyone in society and raise awareness for creating an all-inclusive society.

## ACKNOWLEDGEMENT

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# The Impacts of Carbon Trading in General Equilibrium (GE) Model: Malaysian Palm Oil Perspective

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## ABSTRACT

The purpose of this paper is to study the impacts of carbon trading project towards stakeholders involving in the project. Carbon trading is a part of the United Nation (UN) initiatives to mitigate climate change issue due to the higher concentration of Greenhouse gases (GHG) in the atmosphere. The data used in this research was fully dependant on secondary sources which were obtained from recognized organizations, reports and previous researches. The General Equilibrium (GE) model was used as a framework to elaborate on the interconnection of the actors affected by the project. This model is suitable to describe the complex relationship between the government, firms, households and developed country which been affected through the implementation of the project. Palm oil mill functioned as a firm in this research as the highest contributor in the project since 2006. Trade policy agreement, between developed country and mills, will deliver advantages through technology transfer and financial flow into developing countries. Households who are staying close to the mills are considered as a source of employees will benefit when the company can offer more vacancies for local communities. The government will also be able to encourage more industrial sectors practicing eco-friendly project. The

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implementation of the project expecting will affect all the actors through the circulation of the income investment by developed country through carbon trading project.

## INTRODUCTION

Anthropogenic issue is a common topic discussed by experts due to its huge impact on climate change. The anthropogenic climate change can be defined as the cumulative of greenhouse gases (GHG) leading to significant global warming issues. According to Abdulnaser (2017), many scholars, experts and ecologists expressed their concerns toward the variety of changes in the global weather by stating dangerous heating that takes place in the global climate as one of the causes. The most significant anthropogenic GHG is carbon dioxide ($CO^2$), which has risen from 280 parts per million (ppm) to 338 ppm since the beginning of the Industrial Revolution (Wright & Boorse, 2011). The impact of carbon emission is forcing United Nation as the main authority lead the world established United Nation Framework Climate Changes Convention (UNFCCC). They proposed a sustainable development concept that combines economic, social and environmental perspective from one application.

Malaysia as a member of the Kyoto Protocol since 1999, has been encouraged to participate in the project. The outcome of

the Kyoto Protocol is carbon trading which was enforced in 2005. It is an approach that used to break down the content of GHG emissions, which is more than 60% of emission results from the use of fossil energy (Delbosc & Perthuis, 2009). This initiative is influencing the market factors through investment and technology transfer. Pigou in World Economic Forum (2015) had recognized the efficiency of this project when it was pointed to the benefits of tax incentives as external initiatives emanating from pollution. There are three types of mechanism introduced under the carbon trading project known as Emission Trading Scheme (ETS), Joint Implementation (JI) and Clean Development Mechanism (CDM). As a developing country, Malaysia is capable to volunteer in CDM since Malaysia is one of Non-Annex members. UNFCCC (2018b) defined CDM in Article 12 of the Protocol, allows a country with an emission-reduction commitment under the Kyoto Protocol (Annex 1 Party) to implement an emission-reduction project in a developing country. Thus, to implement CDM projects in Malaysia, the collaboration with Annex 1 (developed country) are needed. Since 2006 until May 2018, Malaysia had participated in 253 CDM projects involving various types of sectors.

Palm oil industry is the biggest contributor in CDM project. As a first mover and the second largest palm oil producer in the world, Malaysia has a high tendency to participate in carbon trading project. Agreed by Lim and Biswas (2015), palm oil could offer sustainable

benefits of improving socioeconomic and environmental conditions in Malaysia. As of April 2015, Malaysia has a total of 143 registered CDM projects and the end of the first Kyoto commitment period, the projects are expected to yield 23.95 million t $CO_2$eq emissions reduction (Ministry of Natural Resources and Environment [NRE], 2009). Accordingly, there are four parties involved in this implementation, including firm, household, government and developed country. All of them have their own roles to play in this project. Thus, the aim of this research is to discuss the impacts of carbon trading project towards economic actors. There are two objectives to achieve in this study. Firstly, to identify the capability of the palm oil industry to participate in CDM. Secondly, to describe the impact of carbon trading project towards economic actors, including the government, firms, and household. General Equilibrium (GE) model used as a conceptual framework to describe interconnection of the actors towards project implementation.

**Carbon Trading Project**

The higher concentration of carbon dioxide since Industrial Revolution increasing the average world temperature drastically. United Nation (UN) as the responsible organization for taking care of the world and mitigate climate change issues had been agreed to adopt the Kyoto Protocol agreement undertaken by the United Nation Framework Convention on Climate Change (UNFCCC).

The Kyoto Protocol was initially adopted on 11 December 1997 and participated by 37 countries and the European Union known as Annex 1 countries (Almer & Winkler, 2017). The outcome of the Kyoto Protocol is a carbon trading project was enforced in 2005, as an international agreement linked to the UNFCCC committed its parties by setting internationally binding emissions reduction targets (UNFCCC, 2018a). Among the emissions, carbon dioxide is the largest proportion responsible for 60% of the 'enhanced greenhouse effect' (BBC, 2014). Thus, the term of carbon trading has been chosen to represent the main of the gases were should be reduced.

Carbon trading is a strategy for mitigating the emission of $CO_2$ and other GHGs through a "Cap-and-Trade" system (Delbosc & Perthuis, 2009; Kerste et al., 2010). It is the process of buying and selling permits and credits to emit carbon dioxide (Naughten, 2010). Combining the meaning, Wightman (2012) stated cap-and-trade were regulatory programs that capped the harmful emission (e.g. mercury, sulphur and carbon) by limiting the proportion through permitting system and distributing the emission permits to the stakeholders. One tonne of carbon reduction equivalent to one Certified Emission Reduction (CERs) functioned as a credit. The project allows the market to determine a price on carbon, and that price drives investment decision and spurs market innovation. There have three based-mechanisms offered by the Protocol to Annex 1 and Annex II countries, which are Emission Trading Scheme (ETS), Joint

Implementation (JI) and Clean Development Mechanism (CDM) (UNFCCC, 2018c).

Due to different levels of economic growth, UN divided the countries based on different commitments. Annex 1 and Annex II parties obligated to reduce the emission of GHG (e.g. carbon dioxide, methane, nitrous oxide and fluorinated gases) by 5.2% on average over the period between 2008 and 2012 compared to the level of GHG in 1990 (Almer & Winkler, 2017) through ETS and JI. Then Non-Annex parties are not obligated to reduce their emissions but encouraged to volunteer through CDM project. It is because those countries are needed to focus more into other anxieties such as poverty, health care and economic development, which required more attention. The aims of the mechanisms are to;

1. stimulate sustainable development through technology transfer and investment
2. help Kyoto commitment to meets their target by reducing emission in other countries in a cost-effective way, and
3. encourage the private sector and developing countries to contribute to emission reduction efforts

(Sources: UNFCCC, 2018c)

Malaysia as a member of Non-Annex countries was encouraged to participate in the CDM project. CDM project was established to assist developing countries in achieving sustainable development by promoting environmentally friendly project investing by industrialized country government or private business (UNFCCC,

2019b). It is designed to help Annex 1 countries to achieve their meeting emission targets through practicing carbon reduction at lower cost countries that can be done domestically. By encouraging developing counties practicing environmentally friendly project that are able to reduce emission through technology and financial investment, it is expected to spur innovation and competitive advantages to the firms, either directly or indirectly to the actors that play a role in the economic factor's linkage. In 2020, Paris Agreement will replace Kyoto Protocol as a new legally binding framework for an internationally coordinated effort (Streck et al., 2016) aimed to tackle climate change issues through a new application project known as National Determined Contribution (NDCs) (UNFCCC, 2019a). Even the application is undertaken by new climate change policy, but the aim of the mechanism is still the same. UN is encouraging developing country by optimizing the opportunity of sustainable development through technology transfer and investment offered through the project that are beneficial, influencing the competitiveness of all the producers and consumers.

## METHODS

This paper was fully dependant on secondary data to elaborate on the ability of the palm oil industry contributing to carbon trading project and its impacts to the economic actors. Palm oil production is the main contributor to the CDM project in Malaysia. It has a high tendency to participate in

the project due to the composition of the plant that easily to alternate into another source was significant for environmental practices. Based on previous studies, the annual report published by recognizing organizations likes UNFCCC or UNEP and scientific articles referred as the main sources. Many fields have been reconsidered included in the study to verify the ability of the product contributes to the project. The ability of palm oil production to be utilized as an environmental product in the CDM, identifying the mill as a firm that will play a role in this concept.

General equilibrium (GE) model was used to estimate how an economy would react to the changes in policy, technology or other external factors. GE is a standard tool of empirical analysis and it is widely used to analyse the aggregate welfare and distributional impacts of policies which effects may be transmitted through multiple markets or contain menus of different taxes, subsidy, quota or transfer instruments (Wing, 2004). This framework shows the motivation and behaviours of all producers, investors, and consumers in an economy and the linkages between them (Burfisher, 2011).

The GE model can analyse policy impacts of different scales and levels (Chen et al., 2001) providing information on the policy impact of a certain variable, be it employment or output, for instance.

The GE combining demanded by private households, investors and government met by firms (private sector) complete the circular flow of income and spending, buy inputs and hire workers and capital used in their production processes (Burfisher, 2011). In other words, the GE model shows the combination of economic actors which will affect the behaviour of each actor. Albrizio et al. (2017) agreed where environmental policies affected GDP per capita via a number of the channels: productivity, capital, intensity, labour participation, and human capital becoming more competitive. Figure 1 is a basic structure of a GE model and it shows the interconnection between all producers (firm, government) and consumers (household) in a normal economy event. As a whole it is showing the interconnection of the motivation and behaviours among them, reacting to the new economic application (Burfisher, 2011).
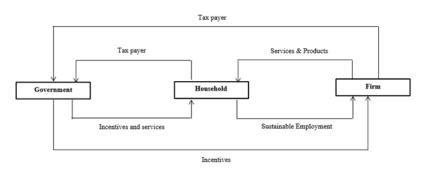


*Figure 1*. General Equilibrium (GE) model (Burfisher, 2011)

Based on Figure 1, economic actors' categories into three groups named as individuals/household, firms and the government (Zsolnai, 2018). Their functions are:

**i. Household**, spend their income on goods and services, pay taxes to the government, and put aside savings. They are the factors of production and the final consumers of produced communities,

**ii. Firms,** produce goods and services in response to the demand in the, which in turn determines input demand, factor employment levels, households' wage and rental income of the production from the household for producing goods and services,

**iii. Government**, responsible to collect taxes and disburse these revenues to firms and households as subsidies and lump-sum transfers. The government uses its tax revenue to buy goods and services, and investors use savings to buy capital investment goods for use in future production activities.

(Source: Burfisher, 2011)

This model describes all the interrelationships in an economy event at once when expecting "everything depends on everything else" (Burfisher, 2011). The purpose of the model is to determine the connection of all actors and economic factors when new policy or initiative are been introduced in the market. Forth actors included in the model when the CDM project is implemented and it is expected will influence all the actor behaviour that will react to the new project implementation. It will be Annex 1 parties or can also be known as developed or industrialized countries. GE model was widely used to analysis carbon trading project which enables to provide flexibility to analysis in terms of trade effects through the incorporations of alternative assumptions about the foreign exchange market and global commodity markets (Pradhan et al., 2017). Thus, it is suitable to estimate the impacts of the changes under carbon trading project in terms of trade policy agreement influencing the behaviours of the economic actors in the Malaysian palm oil industry.

## RESULT AND DISCUSSION

### Production of Palm Oil

Today, palm oil products are leading the vegetable oil industry around the world for various purposes, either for food or non-food consumption. Palm oil is a special species originated from Africa known as *Elaeis guineensis*. The fleshy fruit of palm oil tree also thrives elsewhere in the humid tropics (Union of Concerned Scientists, 2013). During Industrial Revolution in Europe in the 19th century, young Frenchman Henri Fauconnier who travelled to East Asia planted the first commercial palm oil tree with his friend at the Tennamaram Estate in Batang Berjuntai, Selangor, when the first business-related to rubber and coffee prices began depreciating (NSTonline, 2017). After a Malaysia independence-day in 1957, the government established Federal Land Development Authority (FELDA) (NSTonline, 2017) to organise palm oil development around the country

and economic wealth among the people where there is a huge gap in the poverty rate in rural areas (Nambiappan et al., 2018). At the beginning of palm oil development in 1960, there were only 55, 000 ha plantation areas in Malaysia, which then expanded to 5.74 million ha in 2016 (Nambiappan et al., 2018). This huge expansion during that period suggests that palm oil products are a part of the most productive activities in Malaysia that could generate profit for Malaysia economic growth. In 2016, export revenue from the palm oil industry has reached RM67.6 billion, which was equal to 6.1% of total Malaysia's GDP.

The capability of this industry to produce various types of the product had attracted more industrial sectors to change their preference into palm oil. Palm oil has been identified as one of the high demand products, especially from the food manufacturing field, oleochemical and biofuel industries (Arip et al., 2013). According to Levin et al. (2012), palm oil is the highest yielding oil crop with a yearly output of 5-10 times greater per hectare more than other leading vegetable oils and is predicted to potentially increase to more than 65% growth by 2020 over 2010 baselines. The multi-function of palm oil as a fatty product has attracted many industrial interests to use palm oil as a part of their product ingredient. The total production of palm oil has been estimated to be more than 45 million tonnes in the world with Indonesia and Malaysia as the main producers (Wisena et al., 2014). Palm kernel and palm oil are used widely as they

can be blended very well as a vast range of products with different characteristics (GreenPalm Sustainability, 2016). Besides, the capability of this product to replace soybean and sunflower production has been proven when this industry was capable to reduce 20% of the land area to produce the same tonnes of oil needed by other crops (Persey et al., 2011).

Since 1964, palm oil production in Malaysia had slowly increased until now. Globally, the total production of palm oil in the world had increased by almost three times from the last decades to 2010 (Wisena et al., 2014). According to United States Department of Agriculture [USDA] (2017) database, at the beginning of palm oil development, the production of oil palm in Malaysia was only 151,000 metric tonnes and drastically increased to 20,500,000 metric tonnes in 2017. Moreover, it has been expected to increase from 17.7 million tonnes in 2015/16 to 19.4 million tons in 2016/17 and 21 million tonnes in 2017/18 after the palm trees recovered from tree stress due to prolonged dry season caused by the El Nino weather anomaly recorded throughout 2015/16 (USDA, 2017). Thus, it can be assumed that the palm oil industrial sector in Malaysia is in a good shape. However, the greatest challenge in this industry is to continually increase the yield per unit land area to meet the high demand of the human population that burst rapidly (Chan, 2005). By contributing to Research and Development (R&D) involving palm oil products, the capability of this industry to compete with other

sectors could be achieved. The capability of palm oil products to compete with other vegetable oils are significant for Malaysia GDP growth.

## Sustainable Development and CDM in Palm Oil Industry

According to the Brundtland (1987) reported on World Commission on the Environment and Development in Our Common Future, sustainable development is the process to meet the present needs without compromising the ability of future generations. In other words, this concept is the necessity to fulfil the need, without reducing the ability of future generation. The concept of sustainability is guided by the Triple Bottom Line (Elkington, 1997) and Sustainability Triangle by Fritz and Schiefer (2008) that could be seen from three crucial aspects, which are economic, social and environment or known as the concept of 3P (Profit-People-Planet). When palm oil and sustainability topic emerged, the Roundtable Sustainable of Palm Oil (RSPO) policy was come out as one of the famous regulations to increase the awareness regarding sustainable practice in the palm oil industry.

With a sustainable perspective, palm oil as a part of agricultural components plays an important role to contribute to global warming issues. As one of the main producers and leaders in palm oil technology and innovation, Malaysia is capable to develop this industry as one of the leading sectors to fully practicing eco-friendly project when most of palm oil waste products could be recycled into other sources. There are four main forms of palm oil waste generated from palm oil mill, which are Empty Fruit Bunches (FFBs), mesocarp fibres, shells, Palm Oil Mill Effluent (POME) and boiler ash (Er et al., 2011). Each part of waste products is useful to be changed into other sources, beneficial for eco-friendly practices. This process is crucial to ensure that this industry could be one of the leaders in the zero-waste industrial sector.

Oil palm cultivation dictates that the best agro-management techniques are capable to emphasise triple pillars of sustainable development, which are economic, social and ecological (Choo, 2002). To sustain the capability of palm oil products in the future, the long-term economic viability of the crop production system must depend on the Best Developed Practices (BDPs), which are highly cost-effective and non-capital intensive, ecologically and culturally (Chan, 2005). The efficiency of waste management products plays an important role to ensure that this concept could be applied wisely without constraints. Palm oil as a part of the biggest contributors in the CDM project has been oriented as the most encouraging projects to practice sustainable project in Malaysia. Thus, the concept of competitiveness is described to evaluate the capability of the project in encouraging more palm oil industries to participate in the CDM project. According to Lim et al. (2015) sustainable palm oil product defined as:

"*the production that doesn't cause the loss of biodiversity, increasing GHG*

*emissions and associated ecological footprint, affect the livelihood of indigenous peoples, including enhancing the commercial operation and sharing together with the local community through employment and fair trade.*"

As an example, the benefits of POME treatment in palm oil industry could

i. Removal organic carbon contents from POME efficiently by collecting and combusting methane enriched biogas

ii. Would lead to the development of regional economies and improve their socio-economic condition, and

iii. Develop an environmental consciousness of POME from social perspective

(Sources: Pacific Consultant, 2008)

Those advantages are crucial to influencing sustainable development practices in the palm oil industry. By doing the eco-efficiency project through environmentally friendly practices, they can earn profitability by recycling waste products (Berzengi & Lindborn, 2007). Besides can reduce disposal cost of waste product, they also gained an advantage through the benefits of CERs. According to Shafie et al. (2012), the production of biomass is increasing annually, especially palm oil-based which beneficial for electricity generation through biomass residue. Other components of the palm oil crop are also useful for other purposes such as fertiliser, fossil fuel, and wood dust. Through the efficiency of cost management and technology improvement

in palm oil mills, the local community indirectly gains an advantage through more job opportunities. Quality of environment also will be improved when the company tends to reduce its emissions and other waste products. In other words, the economic barrier can appear as the ability of companies to recognise the costs of waste, insurance, and potential of future environmental legal responsibility (Barnes & Barnes, 1999).

CDM project emphasizes the palm oil industry in practicing eco-friendly mechanism, especially in Malaysia and Indonesia as the main palm oil producer in the world. The requirement to reduce emission for certain companies in the developed country might be a burden for them when it was involving the high cost of environmental technology cost. Thus, by offering clean energy investment under CDM project in developing countries, the high cost of renewable technology could be reduced. The different level of living cost and money exchange in the developing country offers more reasonable cost for a developed country to achieve their commitment of reducing an emission. Hence, there are no reasons for the developed countries to excuse their responsibility in reducing their emissions. Under the CDM project, four sub-types of the sustainable project are involved palm oil waste products including composting, palm oil waste, palm oil solid waste and wastewater. Variety types of innovation have been done to ensure the palm oil industry capable to be one of the leaders in zero waste product in the future. The opportunity offered by CDM project

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should be one of the prospects to increase the competitiveness of sustainable practices in the palm oil industry.

Since 2006, the implementation of CDM project has attracted many researchers to evaluate the implications of CDM project towards sustainable development practices in Malaysia. The balancing between environmental, social and economic are crucial. Through the project, several benefits such as job opportunity for the local community, good environmental practices and cost-efficiency capabilities to influence the competitiveness of the palm oil industry. Based on the report by Kirkman, et al. (2012), hosting countries have received 96% benefits in an economic perspective, 86% social benefits and 74% environmental benefits. According to Buron et al. (2007), the participants in the CDM project will be influenced by three terms of sustainable development. It can be seen in Table 1.

The impacts of CDM project towards sustainability, crucial to be maintained to ensure the interconnection of human and environment could be enhanced.

**The Advantages of CDM Project**

The advantages of technology transfer from developed countries into developing countries are totally beneficial for palm oil industry. Technology plays an important role to increase productivity of industrial projects, which extensively applied in the production, commercialisation and distribution of goods and services (Chew, 2006). Hamilton and Singh (1992) defined the technology transfer as the process of movement or transfer of information, technical know-how and people such as R&D and skills to yield innovative products and services that met corporate business goals and fulfilled customer needs. The opportunity to receive new technology from other countries by collaborating with developed countries should be utilized since the benefits through this project are useful for company growth. According to Seres et al. (2010), 58% of technology were frequently transferred by Germany, USA,

Table 1

*The impacts of CDM towards sustainable development practices*

| SD Dimensions | Impacts |
|---|---|
| Environmental | The impacts on local air, water and soil quality, biodiversity, resources and GHG emission are crucial to maintain the stability of the environment. |
| Economic | The advantages of the project towards employment, technology transfer, national economy and macroeconomic enhance the revenue of economic development. |
| Social | The development of social benefits obtained from education opportunity, health, quality of life, local heritage and stakeholder participation. |

*Source:* Buron et al. (2007)

Japan, Demark and China to developed countries, meanwhile, India, Taipei, Brazil and Malaysia lead a supplier of technology among developing countries. Table 2 shows ten host countries with the most projects expected to be involved with technology transfer. In June 2012, among 110 CDM projects in Malaysia, 90% out of the total projects claimed technology transfer (Table 2).

In June 2012, Malaysia received 36 of technologies transfer, involving 90 projects (Table 2) and most were related to the palm oil industry. Most of the palm oil mills utilize the CDM project installed biogas capturing system on closed Continuous-flow Stirred Tank Reactor (CSTR) anaerobic treatment of Palm Oil Mill Effluent (POME) (Chuen & Yusoff, 2012) to reduce the emission from methane. With the target of Annex 1 countries reducing the overall emissions by at least 5% below 1990 levels in the commitment period 2008 to 2012, the period time to issues the credit was limited (United Nation [UN], 1998). In term of technology, there have two possibilities of transfers that can be obtained from the project, either in the foreign technology form or thoroughly implemented training programs to smooth an operation (Buron et al., 2007). For instance, one of the new technologies transferred in Malaysia is eBio technology from Japan enzymatic conversion of vegetable oils into bio-lubricants (Najihah, 2017). Currently, the automotive industry is depending on crude oil (petroleum), which is a part of a non-renewable resource. Petroleum is a naturally occurring form liquid found underneath the earth's surface that can be refined into fossil fuel created by the decomposition of organic matter over millions of years (Investopedia, 2018). The dependency on petroleum should be controlled since the implication of mining activities were more harmful to environmental degradation. By changing into eBio technology, biodiesel product generated from crude palm oil are capable to replace the dependency on non-renewable sources. This initiative can increase the capability of the palm oil product to compete with other vegetable oil. Besides it can reduce the dependency on fossil fuel sources generated through petroleum. Palm oil industry can also reduce their utility cost for transportation.

Besides that, the CDM project is also offering additional financial revenue flow into developing countries. The revenue could be obtained from saleable CERs or through funding programs. When a developed country agreed to a joint venture with a developing country, reducing an emission, they also agreed to invest some amount of money in the developing country for clean development technology. It also can be known as a foreign direct investment. According to Desbordes and Wei (2017), many countries seek to attract foreign direct investment as they believe that multinational enterprises can contribute to economic growth by creating new job opportunities, increasing capital accumulation and raising total factor productivity. Thus, through this project, they can attract investment from developed countries to increase the

Table 2

*Technology transfer for CDM projects among host country in June 2012 (Murphy et al., 2013)*

| Country | Number of Project | Estimated emission reductions (tCO2e/yr) | Average project size (CO2e/yr) | TT claims as percent of | | % of projects where TT could not be determined |
|---------|---|---|---|---|---|---|
| | | | | Number of projects (%) | Annual emission reduction (%) | |
| Brazil | 205 | 24,175,021 | 117,927 | 47 | 76 | 25 |
| China | 1858 | 367,754,013 | 197,930 | 20 | 49 | 6 |
| India | 805 | 67,474,383 | 83,819 | 23 | 53 | 34 |
| Indonesia | 80 | 8,308,580 | 103,857 | 95 | 79 | 31 |
| Malaysia | 110 | 6,293,316 | 57,212 | 90 | 94 | 36 |
| Mexico | 140 | 12,520,350 | 89,431 | 98 | 99 | 9 |
| Philippines | 57 | 2,238,466 | 39,271 | 59 | 87 | 14 |
| Rep. of Korea | 63 | 18,187,041 | 288,683 | 85 | 99 | 35 |
| Thailand | 67 | 3,541,395 | 52,857 | 100 | 100 | 16 |
| Vietnam | 90 | 5,410,299 | 60,114 | 96 | 83 | 17 |
| All others | 474 | 67,520,169 | 142,448 | 91 | 97 | 28 |
| Grand Total | 3949 | 583,423,033 | 147,739 | 39 | 59 | 18 |

capability of clean technology. Developing country with CERs can trade it with developed country significant to increase the profitability of the company. According to Tan (2015), on May 2015, the registered projects related to the palm oil industry had successfully traded almost 7000 CERs to developed countries equivalent to 5604.858 from oil palm solid biomass, 1385.436 from POME and 202.534 from composting sub-types. Thus, through the project, the benefits of palm oil received from CDM implementation are higher than other sub-types of the projects.

Meanwhile, during Bali Action Plan 18th session of the Conference of Parties (COP18) negotiations that took place on 26 November to 7 December 2012, National Appropriate Mitigation Action (NAMAs) opened new opportunities for developing countries to obtain new financial support (UNFCCC, 2018b) encouraging environmental projects. The priority of NAMAs plan country-led mitigation is to reduce GHG emission or enhance sequestration and support sustainable development initiative (Tan, 2015) prepared under the national governmental initiative. NAMAs are capable to enhance technology, financing and capacity-building aiming at achieving a reduction in emission relative to 'business as usual' emission in 2020 (UNFCCC, 2018b). The aim of NAMAs

is almost the same as CDM but having a different style of application. Most importantly, the CDM is a mechanism with detailed rules, while NAMAs is a concept practically without rules. However, the application of Malaysian companies with NAMAs is still under development. Therefore, in the future, Malaysia will gain more financial support to enhance energy efficiency especially, in the agricultural field.

Table 3 shows the comparison of CDM and NAMAs that could be identified from six categories. Both applications have the same goal to reduce the concentration of GHG emission in the atmosphere by influencing the power of funding.

According to Tan (2015), a total of USD 27,430,492 has been provided by NAMAs for developing countries to develop renewable technology. Besides the CDM project, many opportunities have been offered to developing countries to practice environmental-friendly projects, especially in the palm oil industry. The benefits of this project capable to increase the competitiveness of the palm oil industry, which relates to the environmentally friendly project.

Table 3

*The comparison between CDM and NAMAs*

|  | CDM | NAMAs |
| --- | --- | --- |
| Definition | One of the flexible mechanisms introduced by Kyoto Protocol were provides flexibility of emissions reductions that allowing emissions reductions undertaken in a developing country to offset emissions in a developed country, typically through a trading agreement. | Voluntary activities of Greenhouse Gas (GHG) emissions mitigation in developing countries that are not subject to mitigation commitments under the UNFCCC. |
| Actions | Projects and programmes of activities | Policies, programmes and projects |
| Initiator | Private sector or public sector | Typically, public sector |
| Investment driver | Normal returns from the market that the project activity addresses with the addition of returns from Certified Emission Reductions (CERs). CERs are issued by the CDM Executive Board based on project verification reports. CERs can be traded on carbon markets. | The sustainable development priorities of the host country, with possible added benefits from including emissions reductions in the policy planning. The NAMA may attract international financial participation and may include the generation of business opportunities for the private sector, which will invest from profit motives supported by the NAMA. |

Table 3 *(Continued)*

|  | CDM | NAMAs |
|---|---|---|
| Requirement | Reductions in emissions must be additional to any that would occur in the absence of the certified project activity. CDM to assist developing countries in achieving sustainable development. | A NAMA, framed in the context of sustainable development, aims at achieving a deviation in emissions relative to 'business as usual' emissions in 2020. |
| Financing | Upfront financing, generally through the private sector. Certificates are issued ex-post based on regular verification reports. CERs are sold on a carbon market. | Domestic resources and/or international support (e.g. through bilateral/multilateral agreements, development banks) for the preparation and implementation of NAMAs. |

*Source:* Lütken (2014)

## The Impact of Carbon Trading Project Towards Economic Actors Based on GE Model

As one of the initiatives where combining environmental requirement and economic benefits, carbon trading project capable to influence the competitiveness of the industry. Competitiveness in environmental practices is important to ensure a sustained, superior long-term performance (Govindan et al., 2015; Zainorfarah et al., 2017). Firms as the main actor to implement environmental practice capable to gain competitive advantages through their strategic positioning and at the same time taking advantage of environmental issues (Zainorfarah et al., 2017). By using a GE model, the explanation regarding the impacts of carbon trading project towards economic actors will be described.

Based on Figure 2, there have four actors who are involved in this practice, including the government, household, firm and Annex 1 country. At the first stage, the

willingness of Annex 1 country to binding trade policy agreement will be affected;

**Annex 1 Country.** In the CDM project, Annex 1 countries play a role as an investor in the project. The commitment to reduce emission at their countries is encouraging them to find another platform in developing country if they are unable to fulfil the target that has been set by the CDM executive board in the Kyoto Protocol. Before the Annex 1 companies or the government want to transfer their commitment to a developing country, they must follow some instructions provided by UNFCCC board who is responsible to monitor the implementation of the project. Both parties must agree with trade policy agreement. Under an agreement, the firm must prepare some proposal to show the capability of the firm to reduce its emissions. Meanwhile, Annex 1 parties also need to agree to deliver some advantages to the company
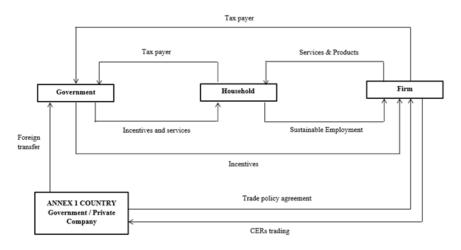
*Figure 2.* General Equilibrium (GE) model for CDM project.

which related to the implementation of environmental practices. It could be new technology, knowledge, and skills which are significantly crucial to enhance the potential of the company to reduce their emissions. As a return, they will receive CERs permits and at the same time open more opportunities for collaboration in the future. In 2015, estimated 9,844.435 kt CO2eq total of CERs issued for 1st crediting period have been sold to annex 1 country to fulfil their requirements (NRE, 2009). Through the agreement, the developed country who agrees to invest some amount of money will deliver foreign transfer into the developing country. It will be beneficial for the government and also the firm. It is expecting will give more financial support to the firms increasing the capability of environmental technologies.

**Firm.** In this case, Malaysian palm oil mill plays a role as a firm to participate in carbon trading project. The company needs

to apply and pass the validation process through the CDM executive board before started issues their emission. After passed validation process, they will sign trade policy agreement with developed countries. Both of the parties must to agree with cap-and-trade processing and preparing some financial support to invest in the host country. Palm oil industry has the biggest potential to develop renewable energy through biomass and methane avoidance, enable to recycle into other sources or treated, before releases back into the environment. One tonne of carbon reduction equivalent to one of saleable CERs. With the credits, the firms can trade or sold it to developed country depending on policy agreement which need to be fulfilled. As a return, the firm will receive additional financial support for manufacturing cost and capable to invest back into their environmental project. Besides can reduce the impacts on the environment, the management cost also could be diminished. In terms

of the linkage between the household and the government, the company could offer environmental services and products which crucial to increase the quality of our environment. Meanwhile, as a taxpayer to the government, the revenue was obtained will be returned back to society which a part of government sources to increase the quality of administration.

**Government.** The government is the responsible authority to monitor the stability of economic growth in the country. In the context of the palm oil industry, the Malaysian Palm Oil Board (MPOB) is a premier government agency was entrusted to serve the country related to palm oil production (MPOB, 2011). The mission of MPOB is to enhance the well-being of the palm oil industry through research and development, increasing the potential of the producer to contribute in the project. By reconsidering the effort of the Ministry of Energy, Green Technology and Water (KeTTHA) (2017) to promote utilization of renewable energy, the government plays an important role to ensure the concept of sustainable development could be enhanced over time. To ensure the company will be more interested in the project, the government also offered several incentives to promote the project and one of the incentives is tax exemption equivalent for those who agreed to support government incentives. An additional, the government will receive the benefits from foreign transfer through foreign investment in local companies from developed countries. At the same time, the increase of job vacancies for local communities, especially in the palm oil industry field, will reduce the government burden to overcome unemployment issues, especially from the rural area.

**Household.** The households who play a role as a final consumer and employee sources for the company also will be affected. In the palm oil industry, there have three majors of employees were required to ensure the implementation of carbon trading can be done properly which is labour, skilled, and semi-skilled workers. The qualification of the employees is dependent on their higher education level. In the palm oil industry, most of the skilled and semi-skilled workers are coming from local communities, while more than 50% of labour workers are from foreign countries (e.g. Indonesia). By improving new sustainable technologies, more skilled and semi-skilled workers could be hired reducing the dependence on foreign workers. Skilled and semi-skilled workers are needed to operate and monitoring new instrument in the mill when more technologies are been developed. More job opportunities for local communities will increase the purchasing power of the household for good and services when they can increase their standard living. As a taxpayer, the increase of household income will generate more revenue to the government profits, significant for economic growth.

As an overall, carbon trading can spur investment in innovation and modernization that can lead to competitive advantages and economic gain in Malaysia. Through the project, policy-maker will be able to

understand the impacts of carbon trading project influencing the behaviours of economic actors, significant for future studies. According to Burfisher (2011), some content and interesting detail must be left behind by the economist when they are trying to explain realistic events. Through the GE model, the impacts of carbon trading influencing the behaviours of economic actors can be determined and the implementation of the project will be studying likely a possible outcome with new solutions. It was significant for policymaker understanding the behaviours of all the actors in the palm oil industry before introducing new application or policy in the future. As one of the platforms to increase the capability of the mill improving environmental technology, the introduction of CDM will benefit all the actors including household and the government in generating their profitability.

## CONCLUSION

As a conclusion, the introduction of carbon trading project in Malaysia enhances the opportunities of the firm investing in the environmental technologies in the palm oil industry. The ability of the palm oil industry to contribute to the project cannot be denied when this product has been utilized by the producer volunteering to participate in carbon trading. Since 2006, the Malaysian government had taken this initiative seriously when they are encouraging all the potential sectors volunteering to participate in the project. Palm oil manufacturing is

the most potential sectors to contribute to this initiative proposing palm oil wastes product to be utilized reducing the emission over time. Since the beginning, palm oil mills who are agreed to work together with developed countries (Annex 1) reducing the emission will earn saleable CERs capable to generate profitability for the company. The agreement signed by both parties assumed to influence all the actors in the market. The circulation flow of income and spending from the developed country into the firm will be able to buy the inputs, hired the workers, and capital used for their production processes (Burfisher, 2011).

By volunteering in the project, the firms seem to receive more financial support and technology transfer from the developed country which beneficial for the firm. Then households indirectly will be affected when the company tends to offer more vacancies to the skilled workers among the local communities who have the qualification to fulfil the vacancies. Beside it could increase their standard living, they also enjoyed a good quality life related to a clean environment when the mills change their manufacturing method into eco-friendly practices tangible to increase environmental quality. Meanwhile, the government who is responsible to encourage sustainable practices and provide some revenue for eco-friendly project enable to reduce their burden through the project. The implementation of carbon trading in Malaysia expecting will be influencing all the actors in the market over time. Thus, to enjoy the benefits offered by the project, the Malaysian palm

oil mill should optimize the opportunity by volunteering to participate in the project. In 2020, new international climate change policy known as the Paris Agreement will replace this instrument continuously to tackle climate change issues. Even the implementation of the project is slightly different, but the goal and methodologies used to achieve the target are still the same when UNFCCC offered financial investment for developing countries practising eco-friendly project enhancing sustainable development practices. This study can be utilized by policy-maker to understand the interconnection of the project that will be influencing all actors that playing a role in the market.

## ACKNOWLEDGEMENT

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# Test Statistics with Event-Induced Variance: Evidence from Stock Dividend

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## ABSTRACT

Even though many researchers have found the problem of event-induced variance in event studies, they are tended to neglect these hazards by using conventional event-study methods, such as the Patell test. This test tends to reject the null hypothesis of zero average abnormal returns too often when it is true (higher type I error). In this study, we had implemented a more advanced event-study method, Boehmer, Mucumeci, and Poulsen (BMP) test, to remedy the issue of event-induced variance. Using stock dividend, the empirical findings demonstrated that the BMP test produced six significant abnormal returns from day 10 before the event to day 30 after the event while the Patell test generated 11 significant abnormal returns. In other words, the over-rejection rate in Patell test was 83.33%. At the same time, the level of significance in test values increased from 1%-5% in the Patell test to 5%-10% in the BMP test. A possible explanation for the two main findings might be due to the presence of event-induced variance. We found that the BMP test generated equally powerful tests as the null was false as well as suitable rejection rates as it was true. In addition, there has the impact of the stock dividend event on the Malaysia stock market returns. This paper provides an empirical comparison between

conventional event-study methods and the BMP test to resolve event-induced variance in event studies.

## INTRODUCTION

The event-study is an important tool in economics and finance analyses; it measures the impact of a financial event on company value. In other words, it is an analysis of whether there is a statistic significant reaction in capital markets to occurrences of a given type of event. Fama et al. (1969), who studied stock splits, had set up a new milestone in event studies. More specific, they inspected the effects of particular events on the distribution of stock returns. Brown and Warner (1980, 1985) claimed that conventional test statistics performed well when a particular event had the same effect on all companies. In addition, they warned that the variance of returns would increase and conventional test statistics might not work well when an event had differing effects on companies. This is because these researchers had advocated using daily data in 1985's paper instead of monthly data in 1980's paper. In 1985, they became pioneer researchers using simulations to verify their findings. In addition, the variance in returns amplifies significantly when particular events occur, as suggested by some scholars (Beaver, 1968; Boehmer et al., 1991; Christie, 1983; Collins & Dent, 1984; Dann, 1981; Ederington et al., 2015; Kalay & Loewenstein, 1985; Kothari &

Warner, 2007; Patell & Wolfson, 1979; Rosenstein & Wyatt, 1990). For instance, the standard deviation of event-period is more than 3.5 times bigger than that of the estimation period through Dann's study in stock repurchases. Despite many researchers also found that the variance of returns does in fact increase at the time of significant events (Boehmer et al., 1991), some researchers still take risk to ignore these problems.

One of the conventional test statistics used in event-study is the Patell test, or the standardised residual test (Patell, 1976). The Patell test assumes that stock residuals are uncorrelated; hence, the event-induced variance is insignificant. The Patell test shows that when a particular event leads to even a slight increase in variance, the conventional method rejects the null hypothesis of zero average abnormal return too frequently when it is, in fact, true. In other words, the Patell test tends to produce high type I errors.

Some papers ignore estimation-period information on the variance of residuals with a stated assumption that the variance is invariant throughout the whole study. They instead use the cross-sectional variance in the event period to develop the test statistics. Boehmer et al. (1991) showed eight event studies that applied the cross-sectional method and documented both the estimation period and event-period cross-sectional standard deviations. These studies were based on the previous works (Charest, 1978; Dann, 1981; Mikkelson, 1981; Penman, 1982; Rosenstein & Wyatt,

1990) with several of the papers containing more than one event study. In these studies, the standard deviation in the event period is greater than in the estimation period.

Higgins and Peterson (1998) keenly argued that an increase in cross-sectional variance was induced by all events. They urged researchers and academicians to employ every test to evaluate the statistical significance of event-study abnormal returns and to take event-induced variance into account for estimations as well as adjustments. A variety of remedies to tackle the problem of event-induced variance has been documented in the event-study literature. Christie (1983) proposed that if multiple events were examined for each company, event-induced variance might be estimated. Although Christie successfully recognised the hazards of neglecting event-induced variance, researchers generally do not use the suggestions for dealing with event-induced variance because of data limitations. In addition, Ball and Torous (1988) simulated an event that increased the stock returns mean as well as variance by using the maximum likelihood estimation (MLE) method for stock return data. They simultaneously estimated event-period returns, the variance of these returns, and the probability of the event's occurrence for any given day during the event window. With the presence of abnormal returns, their simulations indicated that the MLE technique rejected the null hypothesis more frequently than the conventional method, while it did not reject the null too frequently when it was true.

Numerous events lead to changes in both risk and return for individual securities. Brown et al. (1988, 1989) showed that a temporary increase in the variance of the abnormal returns tended to be associated with a shift in the mean. Consequently, Boehmer et al. (1991) proposed a simple modification to the cross-sectional method which resulted in equally powerful tests when the null was false and appropriate rejection rates when it was true. Both the power and the size of the modified test unchanged when applied to portfolios subject to event-date clustering. This standardised cross-sectional test is also known as the Boehmer, Mucumeci and Poulsen (BMP) test. In fact, the BMP test is a hybrid of the Patell test and the ordinary cross-sectional method. Recently, the event-induced variance in Oman and Saudi Arabia stock markets has been highlighted (Selamat et al., 2015).

The BMP test is easy to apply and is a combination of Patell's (1976) standardised residual approach and the ordinary cross-sectional methodology as proposed by Penman (1982). A *t-test* dividing the mean event-period residual by its contemporaneous cross-sectional standard deviation is known as the ordinary cross-sectional method. According to Boehmer et al. (1991), the ordinary cross-sectional method varies from the Patell test as it does not consider event-induced variance to be insignificant. The drawback with this test is that if the event-period residuals for various companies are drawn from different distributions, the test will be

misspecified (Boehmer et al., 1991). The BMP test integrates variance information from both the estimation and the event periods (Boehmer et al., 1991). Boehmer et al. (1991) simulated the occurrence of an event with stochastic effects on security returns to examine the robustness of their method compared to conventional methods. Unlike the generally used methods that neglect changes in variables, their test produces an appropriate rejection rate when the null is true but is equally powerful when the null is false. Thus, this study proposes to use the BMP test to examine abnormal returns of stock dividend in Malaysia listed companies; in this context, the stock dividend is more frequently known as the bonus share in Malaysia. Gupta and Reid (2013) examined the macroeconomic news in the event-study while this paper investigates the microeconomic news, especially financial events.

There are some literatures analysing the impact of stock dividend on abnormal returns such as Woolridge (1983a) who compared the theoretical opening price to actual opening price on the ex-dividend date and the result obtained supports the retained earnings hypothesis. In another study, by restricting the sample to non-cash dividend- paying companies, Woolridge (1983b) noted that investors interpreted the dividend as a signal from managers and the size of the stock dividend had an impact on the abnormal returns within the event period. Bhattacharya (1979) signaling framework was further extended by Dionne and Ouederni (2011), who added

the possibility of hedging the future cash flow. Their results are supported by the theory of the positive relationship between information asymmetry and dividend policy. Recently, Chowdhury et al. (2014) had investigated the signaling and free cash flow hypotheses of dividends in an emerging financial market.

This paper intends to compare the performance of the BMP test and the conventional event test statistic (Patell test) when an event increases the variance of returns (event-induced variance). In addition, we provide empirical evidence on the impact/effect of stock dividend events on stock returns. The Malaysia stock market is chosen for this study because Malaysia is one of the Southeast Asian (SEA) 'tiger cub' stock market members. Furthermore, Heng and Niblock (2014) documented the current rapid growth in the Malaysia stock market. In 2011, the percentage of stock market capitalisation to gross domestic product (GDP) in Malaysia was beyond 100% (Asian Development Bank, 2013). After the subprime crisis, the swift recovery of the SEA tiger cub stock markets had captivated the global investment community. According to the ASEAN Secretariat (2012), the Association of Southeast Asian Nations (ASEAN) seeks to strengthen regional economic cooperation as well as financial market integration in the SEA region by 2015. The most obvious finding to emerge from the analysis is that the BMP test produces six significant abnormal returns whereas the Patell test produces 11 significant abnormal returns

throughout event period. The results of this study show that the level of significance on test values increases from 1%-5% in the Patell test to 5%-10% in the BMP test. To our limited knowledge, our study offers the only empirical evidence of the ability of the BMP test specifically within the stock dividend event.

## DATA AND METHOD

### Event-study

For this study, the event study methodologies were employed to measure the impact of stock dividend on the returns of the underlying stocks. Therefore, this paper extracted information of chosen companies and years. By using cross-section data, this study quantified abnormal returns for event window surrounding the event dates of interest to investigate any patterns emerge from before, at, or after the event date (Batchelor & Orakcioglu, 2003). In this context, the event day was defined as the ex-date of stock dividend for selected companies. These approaches minimise concern on monitoring a great number of other influences which impacted on abnormal returns throughout the sample in the study (Batchelor & Orakcioglu, 2003). As a result, it was assumed that the stock dividends were the only significant determinant affecting all stocks in the days surrounding the events (Batchelor & Orakcioglu, 2003).

This paper used similar approach of Batchelor and Orakcioglu (2003) and 24 sample events of 20 large market capitalisation listed companies in the

Malaysia stock market (Bursa Malaysia, formerly known as Kuala Lumpur Stock Exchange) in June 2012 were employed. To be included in the sample, each company had to have at least 20 daily returns in the estimation period (-30 through -11) with none absence of returns in the 41 days surrounding the event date (-10 through +30). The daily data cover 62,600 observations from January 1996 through December 2011; the data available on the Bursa Malaysia website have been used throughout this study. All the daily data of the Financial Times Stock Exchange (FTSE) Bursa Malaysia Composite Index and individual company share price were collected via Data Stream. The ex-date of stock dividend was obtained from the Bursa Malaysia website.

The individual stock return, $R_{it}$ and market return are calculated before computing the abnormal return. The each price series $i$ daily percentage log-return, $R_{it,}$ is calculated as follows:

$$R_{it} = 100. \ln(P_{it}//P_{it-1}) \qquad (1)$$

where $P_{it}$ and $P_{it-1}$ are the (adjusted) closing prices of company $i$ on days $t$ and $t-1,$ respectively.

The market return daily percentage log-return, $R_{mt}$ is calculated as follows:

$$R_{mt} = 100. \ln(CI_t//CI_{t-1}) \qquad (2)$$

Where $CI_t$ and $CI_{t-1}$ are the (adjusted) closing prices of FTSE Bursa Malaysia Composite Index.

The changes in the market value are well captured in the stock return. To operationalise the notion that the stock dividend effect is readily impounded into prices, the concept of the abnormal returns serves as the central key of event study methods. The market model with the risk-adjusted approach has been applied to compute the abnormal returns. This approach considers both the market-wide factors and the systematic risk of an individual share (Annuar & Shamsher, 1993). This model is estimated by comparing the daily stock return, or raw return (RR), with the market return, $R_{m,t}$. The difference between these returns is known as unexpected, abnormal returns or abnormal profits. This is one of the models most commonly used in the event-study. This model is believed to bypass many problems arising while applying the Capital Asset Pricing Model approach. Furthermore, this model is widely accepted by many researchers (Kim & Lee, 1990; Marsh, 1977; Tsangarakis, 1996). Here, the FTSE Bursa Malaysia Composite Index was used as a reference for average market returns. By running the five years rolling window ordinary least squares (OLS) on the individual share and market daily log return series, the abnormal return, $AR_{i,t}$ can be estimated as follows:

$$AR_{i,t} = R_{it} - (\alpha_i + \beta_i R_{mt}) \qquad (3)$$

where:

$AR_{i,t}$ = Abnormal return for stock $i$ on day $t$

$R_{it}$ = Stock return for stock $i$ on day $t$

$R_{mt}$ = Market return on day $t$ estimated from the CI

$\alpha_i + \beta_i$ = Constant and coefficient of the linear relationship between the performance of the stock $i$ and the performance of the market portfolio

In this study, day 0 was referred to as the ex-date (event date) of a stock dividend event for a given stock. The design of the event window (day -30 to day 30) in this study was similar to average event windows of prior studies (Akron, 2011; Asiri, 2014; Balachandran et al., 2005; Batchelor & Orakcioglu, 2003; Isa et al., 2011). For every sample of stock dividend events, a maximum of 61 daily abnormal returns observations was implied throughout this study. This was for the time around its event samples beginning at day -30 and ending at day -11 relative to the event. The estimation period was defined from the first 20 days (-30 through -11) and the subsequent 41 days (-10 through 30) was the event period. The terminologies related to event-study periods were expressed in the Figure 1.

**Test Statistics**

Two test statistics had been used in this paper to test for abnormal returns. First, the Patell test (Patell, 1976) is a conventional test statistic in event-study. Second, the BMP test (Boehmer et al., 1991) is an advanced test statistic to tackle the event-induced variance problem. Each test statistic is being explained and formally defined as follows.
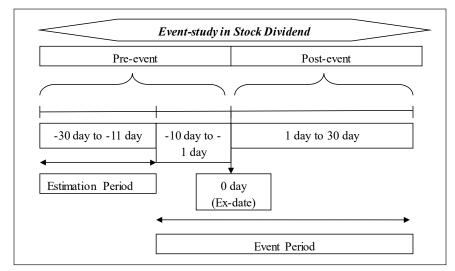
*Figure 1.* Research design of event-study in stock dividend

Like the conventional method, the Patell test assumes that stock residuals are uncorrelated so event-induced variance is insignificant. The Patell test standardises the residuals before forming portfolios. This standardisation has two objectives. First, the standardisation adjusts for the fact that the event-period residual is an out-of-sample forecast, so it has a higher standard deviation than an estimation-period residual [see, for example, Judge et al. (1988)]. Second, it permits for heteroscedastic event-day residuals and avoids having stock with huge variances dominate the test. The standardised residual equals the event-period residual divided by the standard deviation of the estimation-period residuals. This adjustment reflects the prediction error. The Patell test's advantages feature of inserting identical statistical weight on every stock-event date combination contributing to this test continues to be popular among financial researchers.

Before forming portfolios, the residuals have been normalised through the Patell test. The formula of the Patell test, $t_p$ is calculated as follows:

$$t_P = \sum_{i=1}^{N} SR_{iE} \bigg/ \sqrt{\sum_{i=1}^{N} T_i - 2/T_i - 4} \quad (4)$$

where:

N = Number of days in stock $i$'s estimation period (the subscript $i$ is omitted as there is no potential confusion)

$T_i$ = Number of days in stock $i$'s estimation period (the subscript $i$ is omitted as there is no potential confusion)

$SR_{iE}$ = Stock $i$'s standardised residual on the event day

$$A_{iE} \bigg/ \hat{s}_i \sqrt{1 + \frac{1}{T_i} + \frac{(R_{mE} - \bar{R}_m)^2}{\sum_{t=1}^{T_i}(R_{mt} - \bar{R}_m)^2}}$$

where:

$A_{iE}$ = Stock $i$'s abnormal return in the event day

$\hat{s}_i$ = Stock $i$'s estimated standard deviation of abnormal returns in the estimation period

$R_{mE}$ = Market return in the event day

$\bar{R}_m$ = Mean market return in the estimation period

$R_{mt}$ = Market return on day $t$

The BMP test is a hybrid of the Patell test and the ordinary cross-sectional method. The misspecification issue of the ordinary cross-sectional test has been well addressed by the BMP test (Boehmer et al., 1991). The BMP test is analogous to the test statistic developed by Ball and Torous (1988) though Boehmer et al. (1991) considered a few different studies of event-induced variance and evaluated their estimator against most of the standard methodologies.

The BMP test has two important steps. The first is to standardise the residuals by the estimation-period standard deviation, also known as adjusting for the forecast error. In the second step, to standardise residuals, the ordinary cross-sectional method is to be used. Similar to the ordinary cross-sectional test, this test tolerates changes in event-induced variance. Furthermore, this method integrates information from the estimation period. This might contribute to improve its power and efficiency. This test obliges the stock residuals to be cross-sectionally uncorrelated.

In the BMP test, first the standardised residuals are calculated as in the Patell test. Next, the ordinary cross-sectional approach described is implemented. The detail of the BMP test can be found in the Boehmer et al. (1991). The BMP test, $t_{bmp}$, is as follows:

$$t_{BMP} = \frac{1}{N}\sum_{i=1}^{N} SR_{iE} \Bigg/ \sqrt{\frac{1}{N(N-1)}\sum_{i=1}^{N}\left(SR_{iE} - \sum_{i=1}^{N} SR_{iE}\Big/N\right)^2} \qquad (5)$$

## DATA ANALYSIS AND DISCUSSIONS

Table 1 reports the average abnormal returns, accumulative average abnormal returns and analysis results of the Patell test and BMP test. The number of stock dividend event samples is 24. At 10%, 5% and 1% significance levels, the critical values of both the Patell and BMP test statistics are ±1.71, ±2.07 and ±2.81, respectively.

From the results of the Patell test in Table 1, we can see that the average abnormal returns before the stock dividend event day, days -10, -6 and -1, are 0.34%, 0.36% and 0.46% and their respective values in the Patell test statistic are 2.93, 1.81 and 2.58, which are significantly different from zero average abnormal return at the 1%, 10% and 5% levels, respectively. By looking at the average abnormal returns after the stock dividend event day, days 1, 11 and 18 are

Table 1
*Patell and BMP Tests for abnormal returns around stock dividend event*

| Days relative to event day (0) | Average Abnormal Returns | Average Cumulative Abnormal Returns | Patell Test | | BMP Test | |
|---|---|---|---|---|---|---|
| -10 | 0.34 | 0.34 | 2.93 | *** | 2.56 | ** |
| -9 | 0.13 | 0.48 | -0.14 | | -0.06 | |
| -8 | 0.21 | 0.68 | 1.00 | | 0.76 | |
| -7 | 0.30 | 0.98 | 1.48 | | 2.04 | * |
| -6 | 0.36 | 1.34 | 1.81 | * | 2.39 | ** |
| -5 | 0.39 | 1.73 | 1.38 | | 0.61 | |
| -4 | -0.01 | 1.72 | 0.09 | | 0.26 | |
| -3 | -0.20 | 1.52 | 0.45 | | -0.19 | |
| -2 | -0.10 | 1.42 | -0.64 | | -1.02 | |
| -1 | 0.46 | 1.88 | 2.58 | ** | 1.35 | |
| 0 | -0.03 | 1.85 | -0.93 | | -0.67 | |
| 1 | 0.23 | 2.08 | 1.83 | * | 0.19 | |
| 2 | -0.14 | 1.94 | -2.26 | ** | -0.98 | |
| 3 | -0.66 | 1.28 | -2.15 | ** | -1.92 | * |
| 4 | 0.00 | 1.28 | -1.09 | | -0.64 | |
| 5 | -0.42 | 0.86 | -1.34 | | -0.43 | |
| 6 | 0.32 | 1.18 | 1.16 | | 0.37 | |
| 7 | -0.51 | 0.67 | -2.53 | ** | -2.33 | ** |
| 8 | -0.33 | 0.34 | -2.11 | ** | -0.89 | |
| 9 | -0.02 | 0.32 | -0.17 | | -0.22 | |
| 10 | -0.02 | 0.30 | -0.42 | | -1.12 | |
| 11 | 0.30 | 0.59 | 2.23 | ** | 2.00 | * |
| 12 | -0.06 | 0.53 | -0.87 | | -0.93 | |
| 13 | -0.42 | 0.11 | -2.58 | ** | -1.13 | |
| 14 | 0.07 | 0.18 | -1.00 | | -0.33 | |
| 15 | -0.09 | 0.09 | -1.65 | | -0.87 | |
| 16 | 0.15 | 0.24 | 0.99 | | 0.33 | |
| 17 | 0.37 | 0.62 | 1.61 | | 0.46 | |
| 18 | 0.20 | 0.82 | 2.12 | ** | 0.99 | |
| 19 | 0.19 | 1.01 | -0.18 | | 0.24 | |
| 20 | 0.11 | 1.12 | 0.97 | | 0.64 | |
| 21 | -0.09 | 1.03 | -0.44 | | 0.22 | |
| 22 | 0.20 | 1.22 | 1.14 | | 0.92 | |
| 23 | 0.01 | 1.23 | 0.64 | | 0.69 | |
| 24 | -0.24 | 0.99 | -1.47 | | -1.22 | |

Table 1 *(continue)*

| Days relative to event day (0) | Average Abnormal Returns | Average Cumulative Abnormal Returns | Patell Test | BMP Test |
|---|---|---|---|---|
| 25 | 0.06 | 1.05 | -0.06 | -0.07 |
| 26 | -0.03 | 1.02 | 0.58 | -0.40 |
| 27 | 0.10 | 1.12 | 1.35 | 1.55 |
| 28 | -0.46 | 0.66 | -1.51 | -1.01 |
| 29 | 0.06 | 0.72 | 1.52 | 0.86 |
| 30 | -0.03 | 0.69 | 0.76 | 0.30 |

*Note:* The symbols *, **, and *** show statistical significance at the 10%, 5%, and 1% level, respectively.

0.23%, 0.30% and 0.20%. Their respective values of Patell test statistics are 1.83, 2.22 and 2.12, which are significant at the 10% and 5% levels, respectively. However, there are also negative average abnormal returns on days 2, 3, 7, 8 and 13 with their respective values -0.14%, -0.66%, -0.51%, -0.33% and -0.42%. Their respective Patell test statistics are -2.26, -2.15, -2.53, -2.11 and -2.58, which are all significant at the 5% level. The summary of the findings of Patell test has been illustrated in Figure 2 for a clearer picture.

According to the BMP test results shown in Table 1, the average abnormal returns before the stock dividend event day, days -10, -7 and -6, are 0.34%, 0.30% and 0.36% and their respective values of the BMP test statistic are 2.56, 2.04 and 2.39, which are significantly different from the zero average abnormal return at the 5%, 10% and 5% levels, respectively. By looking at the average abnormal returns after the stock dividend event day, only one day, which is day 11, has a 0.30% positive return. Its respective value of the BMP test
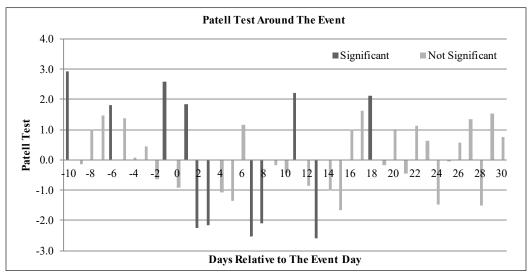


*Figure 2.* The Patell test around the event

statistics is 2.00, which is significant at the 10% level. However, we also find negative average abnormal returns on days 3 and 7, with their respective values of -0.66 and -0.51%. Their respective BMP test statistics are -1.92 and -2.33, which are significant at the 5% and 10% levels, respectively. Similarly, the summary of the findings of the BMP test is presented in the Figure 3 for better understanding of the abnormal returns.

Note that before the stock dividend event day, the Patell test and BMP test have the similar number of three significant abnormal return days. On day -10, $t$-values drop from the Patell test (2.93 at the 1% significance level) to the BMP test (2.56 at the 5% significance level). We also find a change of $t$-values in the Patell test from 2.58 at the 5% significance level to 1.35 that is insignificant in the BMP test on day -1. On the other hand, on day -7, the insignificant value of 1.48 of the Patell test has changed to a significant value of 2.04 in the BMP

test at the 5% level. Similarly, on day -6, the value of 1.81 in the Patell test with a 10% significance level has changed to 2.39 in the BMP test, which is significant at the 5% significance level.

On the other hand, after the event day, we note that the number of significant abnormal return days in the Patell test has dropped from eight to three in the BMP test. Only on day 7 do both the Patell and the BMP tests show an abnormal return significantly different from zero at the 5% level, with $t$-values changing from -2.53 to -2.33. On days 3 and 11, the level of significance changes from 5% in the Patell test to 10% in the BMP test with $t$-values changing from -2.53 to -1.92 with the negative abnormal return and from 2.23 to 2.00 with the positive abnormal return, respectively. We also find that the significant values of the Patell test on days 1, 2, 8, 13 and 18 at the 10% and 5% significance level, respectively have become insignificant under the BMP test.
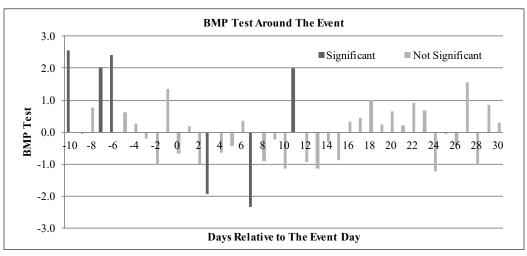


*Figure 3.* The BMP test around the event

Based on the results shown in Table 1, generally, the number of significant abnormal returns has decreased from 11 in the Patell test to six in the BMP test. To put it in another way, the over-rejection rate under Patell test is 83.33%. Specifically, these changes are reflected on the abnormal returns on days -1, 1, 2, 8, 13 and 18. In general, we also find that the level of significance for test values has increased from 1%-5% in the Patell test to 5%-10% in the BMP test. A possible explanation for an over-rejection rate in number of significance abnormal returns days and increasing level of significance might be the presence of event-induced variance in the stock dividend event. This finding is similar with the simulation result from Boehmer et al. (1991), where they claimed that the underestimation of event-period variance led the null hypothesis to be rejected too often as there was no average abnormal return. The BMP test offers an appropriate rejection rate when the null is true but is equally powerful when the null is false. Hence, the BMP test successfully resolves the tendency to over-reject the null hypothesis in the conventional methods. To our limited knowledge, our study provides the only empirical evidence of the BMP test's ability to overcome event-induced variance problems, especially within the stock dividend event.

From the BMP test, there are some evidences from the sample to suggest that there is the presence of average abnormal returns in stock dividend. In other words, the null hypothesis of zero average abnormal return is rejected which is consistent with

finding of Woolridge (1983b). Although Aktas et al. (2004) employed the BMP test in the European Regulation of Business Combinations event, they did not compare between conventional statistical tests and the BMP test. The BMP test was also applied by Isa and Lee (2014) to investigate stock repurchase. However, they did not provide complete justification for employing the BMP test. As a result, this paper contributes to the explanation of event-induced variance problems. In addition, it offers an empirical study and thorough evaluation of the BMP test compared with the Patell test, especially with respect to the significance level and reduction type I error.

According to Table 1 and Figure 4, the optimum average cumulative abnormal return of the stock dividend event is on day 1 at 2.08. Based on this result, in general, if an investor buys 20 the largest market capitalisation stocks (same sample size in this study) in their portfolio on day -10 of the stock dividend event, that investor earns the maximum abnormal returns by holding that particular stock portfolio and selling on day 1 at 2.08%. The graph pattern in Figure 4 is similar to the study of Batchelor and Orakcioglu (2003). Stock dividend functions as an effective device in signaling. As a consequence, this alleviates the predicament of asymmetric information. In the presence of asymmetric information between market participants and companies, any evidence on information content would aid companies to disentangle asymmetric information issue. This study helps market participants by making them aware of the information that are being signaled through stock dividend.

The information in Table 1 and Figure 4 aids the public in forming investment timing strategy. This is in line with Xiang and Yang (2015), who stated that investment timing played a critical role in the capital structure. This is empirical evidence for all retail and institutional investors, fund managers, corporate finance policy makers, top-level managers of listed companies and others to consider in their strategic planning and decision making.

Overall, this section has covered the findings of the Patell test and BMP test. We also discuss the comparison between the Patell test and BMP test in terms of average abnormal returns. The BMP test outperforms the Patell test. Hence, we propose that under the uncertainty regarding the existence of event-induced variance, the better choice is to employ the BMP test so that the investors will not over-react due to over-rejection in conventional statistical tests, such as the Patell test.
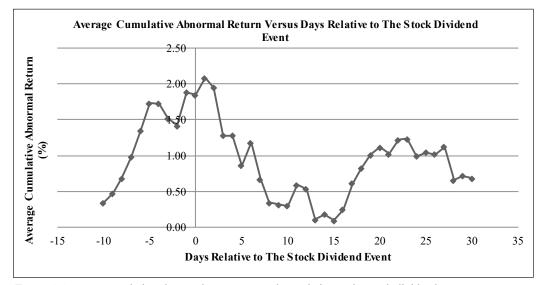


*Figure 4.* Average cumulative abnormal return versus days relative to the stock dividend event

## CONCLUSION

Many events increase the variance of event-period returns (event-induced variance), especially for individual stocks, as discussed in the introduction. A temporary increase in the variance tends to be associated with a shift in the mean of the abnormal returns. Conventional event-study test statistics, such as the Patell test (1976), do not take into account the event-induced variance in event studies. Specifically, the test statistics reject the null hypothesis of zero mean abnormal return too often when it is true. In other words, higher type I errors will result from using these methods (Boehmer et al., 1991). We mention that to remedy the issue of event-induced variance, by

which Boehmer et al. (1991) proposed a more advanced event-study test statistic, the BMP test, which is a hybrid of the Patell test and the ordinary cross-sectional method. Via a simulation and comparison between conventional test statistics and BMP test study, Boehmer et al. (1991) found that BMP results in an equally powerful test when the null was false and an appropriate rejection rate when it was true. Moreover, some studies (Aktas et al., 2004; Isa & Lee, 2014; Krüger, 2015) used BMP test to conduct event studies. Both the power and the size of BMP unchanged when applied to portfolios subject to event-date clustering. In this paper, we have used the daily stock prices from 20 listed companies (with the largest market capitalisation on June 2012) in the Malaysia stock market. These data series span 16 years from January 1996 through December 2011, as presented in the data and methodology section.

According to the BMP test, there is an impact of the stock dividend event on the average abnormal returns, as pointed out in the data analysis and findings. We compared the performance of the BMP test against the Patell test. From the empirical results, we found that the number of rejections in null hypotheses is more in the Patell test than in the BMP test. Hence, the Patell test exhibits 83.33% over-rejection. This over-rejection rate of null hypotheses might be due to the existence of event-induced variance. In other words, the BMP test is better than the conventional event-study method that applies the Patell test. Hence, when we do not know whether

any event-induced variance exists in the stock returns, we propose using the BMP test. This empirical evidence is similar to the simulation results of Boehmer et al. (1991). For future research, we suggest to employ the in other events such as hybrid stock, Basel III, and air crash MH370, tax changes on dividends and capital markets, which extend the work of earlier researchers (Chia et al., 2015; Maros & Nasharudin, 2016; Rahim & Rahman, 2015; Selamat et al., 2012, 2015). In addition, more information on updated daily data of Malaysia stock market and other regional stock markets would help us to establish a greater degree of accuracy on BMP test. It would be interesting to compare with other models to estimate abnormal returns in investigating inefficiency conventional event-study methodologies. To our limited knowledge, our study provides the only empirical evidence of the BMP test's ability to overcome the event-induced variance issues with respect to the impact of stock dividend events on stock market returns from a developing nation.

## ACKNOWLEDGEMENT

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# The Management of Administrative Ethics and Ethical Misconducts in Malaysia: Issues and Concerns

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## ABSTRACT

Alarming grand corruption incidences and ethical misconducts in the public sector have brought to the fore the importance of administrative ethics management in Malaysia. This exploratory study uses summative content analysis of official national data sets and relevant textual materials to describe the strategies that have been implemented in managing administrative ethics to address ethical misconducts. Findings show that despite Barisan National (BN) administrations' consistent efforts at strengthening administrative ethics management, corruption and ethical misconducts have prevailed in the public sector. Hence the current Pakatan Harapan (PH) administration has revised existing anti-corruption laws, and instituted political and institutional reforms. Issues and concerns identified that affect administrative ethics management include political influence, public sector's size, different layers of government, various codes of ethics, fusion of secular and religious values, and stringency of enforcement. Based on the aforementioned findings, the following recommendations are advanced. First, stakeholders have to actively scrutinize and participate in enforcement efforts. Second, workable and effective ethics management strategies must also be formulated based on a future comprehensive study addressing the lack of fit between existing public sector's ethics codes with religious values, organizational and social cultures and practices in Malaysia.

*Keywords:* Administrative ethics, integrity, Malaysia, management, morals, values

## INTRODUCTION

Ethical misconducts in the public sector erode public trust in government because public interests and the rights and entitlements of citizenship are compromised by costly or shoddy provision of public goods and services. Hence good

administrative ethics are needed to ensure that the public sector has the required level of morality to facilitate the attainment of public policies' goals and objectives. The types, frequency, magnitude and duration of ethical misconducts and corruption in the public sector serve as indicators of the level of government's morality. Indeed the foundations of democracy and democratic governance would be jeopardized if the morality of government is eroded (Menzel, 2007).

Ethical misconducts refer to intentional and/or unintentional conducts as well as omissions and/or negligence that are inappropriate, incorrect and/or unlawful that are in contravention of policies, procedures, rules, regulations, or laws (Werbel & Balkin, 2010). According to "Public Officers (Conduct and Discipline) 1993 (Amendment) 2002", (2006), examples of ethical misconducts include fraud, theft, embezzlement, corruption, abuse of power, unfair action, disregard for policies and procedures that can lead to investigations and disciplinary actions being taken against the transgressor. Like many of its counterparts the world over, the public sector in Malaysia suffers from ethical misconducts of varying degrees of severity since the country gained its Independence in 1957. However, in recent years, the public have been jolted by incidences of grand corruption involving public officials and offices that have left the public indignant by their magnitude and audacity. When other forms of public sector corruption and lapses of moral judgments (resulting in ineffective or inefficient decisions and actions, but not amounting to legal culpability) are added to the equation, it is impossible to determine the exact amount of public funds and resources that have been misappropriated and used for personal benefits. In the case of public sector corruption, one can only rely on perception-based indicators such as the Corruption Perception Index (CPI) and the Global Corruption Barometer (GCB) for guidance.

At the time of writing, major scandals involving Government-Linked Companies (GLCs), Ministries-Owned Companies as well as federal and state government entities include:

(i) The 1Malaysia Development Berhad (1MDB) scandal - whereby huge amount of funds of the government's strategic development company have been misappropriated through abuse of power, money laundering, fraud and criminal breach of trust by top political leaders, civil servants and private individuals on a global scale;

(ii) Federal Land Development Authority (FELDA) scandals involving massive expenditures on dubious investments; thus imposing financial hardship on FELDA settlers;

(iii) *Majlis Amanah Rakyat* (MARA)'s purchase of Australian properties at inflated prices for its officials' RM 15 million kickbacks;

(iv) The Pilgrims Fund Board (*Tabung Haji*)'s dubious investments, financial mismanagement and misrepresentation that have jeopardized the savings of millions of Muslim depositors (The Malaysian Insider, 2016);

(v) A huge housing and land scandal involving millions of Malaysia Ringgit by a State Executive Councilor from 2013-2017, that is currently being investigated by the Malaysian Anti-Corruption Commission (MACC) (Kim, 2017), and,

(vi) Top public officials funneling 60% or RM1.98 billion of the Federal Government's approved allocation of RM 3.3 billion for water projects in Sabah from 2010 to 2016 (Vanar, 2016).

It is not surprising that ethical misconducts (as exemplified by the scandals), put to question the moral state of government in Malaysia. One cannot help but ask what are the compliance and integrity approaches to ethics management used, and how can ethical misconducts (as exemplified by scandals of such magnitude) be prevented from occurring?

**METHODS**

This exploratory research adopts a qualitative content analysis method because of the subjective nature of the phenomena of corruption, administrative ethics and ethical misconducts in the public sector in Malaysia. Understanding the social reality of the aforementioned phenomena through inductive inferences of themes on issues and concerns arising in the course of their management will be used to facilitate the formation of typologies in a subsequent research that the researcher hopes to undertake in the future.

Qualitative content analysis can be conducted using conventional, directed or summative approaches depending on the level of inductive reasoning involved (Hsieh & Shannon, 2005). As conventional content analysis approach is commonly used for grounded theory development, and directed qualitative content analysis approach is usually adopted for research that is based on a specific theory, it is believed that summative content analysis is most appropriate for this exploratory research because it does not fall into the above two approaches. Summative content analysis allows "… for the subjective interpretation of the content of text data through the systematic classification of coding and identifying themes or patterns" (Hsieh & Shannon, 2005). It also allows for manifest and latent analyses to be performed. Manifest content analysis entails quantifying the number of appearances/ frequency of specific words or contents in the chosen textual materials (Potter & Levine-Donnerstein, 1999). The assumption is the importance of a specific theme is determined by the level of its usage frequency (Crowther & Lancaster, 2005). Latent content analysis is then conducted to understand the meanings of the words and their contents (Morse & Field, 1995). Hence the use of summative content analysis in

this instance enables a consistent approach to be used in this exploratory study and the subsequent research that the researcher wishes to undertake by incorporating findings from in-depth interviews and focus group discussions.

Data for this exploratory study are collected from official websites and publications of the Public Complaints Bureau (PCB), the Public Services Department (PSD), the Auditor General (AG) office, the MACC, other relevant government agencies and media reports. The publicly available PCB, PSD, AG and MACC national data sets provide rich sources of data needed to understand and contextualize the management of administrative ethics, as well as the types and occurrences of ethical misconducts in Malaysia.

The process of qualitative content analysis has been conducted in the following steps. First, the data are prepared by selecting relevant contents from the aforementioned sources according to formulated research questions. Second, the unit of analysis is a theme. Several themes are derived from specific words, e.g., corruption, ethics, etc. that are quantified according to the number of their appearances/frequency. Third, a coding scheme is formulated inductively and is tested on a sample text. The coding scheme is then checked and rechecked for consistency. Fourth, the coded data are then used to make conclusions through the interpretation of the themes identified. Finally, the findings are reported based on the researcher's interpretation and understanding of the themes that

have emerged in the management of administrative ethics, as well as the types and occurrences of ethical misconducts identified.

## ADMINISTRATIVE ETHICS AND THE EVOLUTION OF THE PUBLIC SECTOR IN MALAYSIA

Discussions on administrative ethics focus on morality, standards, principles and norms as factors that influence the actions of public officials within the perimeters set by public organizations' rules and procedures that facilitate their translation into practice (Cini, 2016). It is argued that public officials must make moral judgments (that require the exercise of care and caution when deciding what is right or wrong) because actions taken in the performance of public duties can adversely affect the well-being of an individual or the society as a whole. Moreover, public officials themselves will be "objects of moral judgments" based on the actions that they have taken (Thompson, 1985). It is argued that better government can only be the result of morality in administration through positive traits such as patience, loyalty, courtesy and honesty as means of sustenance (Appleby, 1952). Hence virtue ethics are also required if public administration is to be ethical.

It is contended that specific rules and procedures are needed to regulate and control the conduct of civil servants. The contravention of those rules and regulations could result in punishment being meted out to those who have committed the transgression as non-compliance is considered unethical

(Fox, 2001). Therefore most countries the world over have adopted the "compliance/ low road" and the "integrity/ high road" approaches to ethics management (Gilman, 1999; Paine, 1994); whereby "compliance/ low road" emphasizes controlling and regulating the conduct of civil servants through external controls, while "integrity/ high road" emphasizes the use of moral judgments and personal virtues of civil servants when performing public duties.

In Malaysia, modern Weberian administrative ethics were first introduced by the British during its colonial administration. The introduction of the 1854 Northcote-Trevelyan Report in Britain led to the adoption of public service ethos based on professionalism, objectivity, impartiality, honesty, political neutrality and trustworthiness in the Malayan public sector. The reliance on virtue ethics as a means to regulate and control the conduct of public officials persisted at Independence until the late 1960s. This can be inferred from the statements of the first and second Prime Ministers of the country, Tunku Abdul Rahman Putra Al-Haj (1957) and Tun Abdul Razak Hussein (1960); whereby it was presumed that civil servants would be people with exemplary values (e.g., honest, sincere, with integrity and courage) and would uphold the unwritten code of ethics when performing official duties.

However during the same period, the public sector's roles and functions expanded from collecting revenues and maintaining law and order (at the time of Independence), and became more complex and demanding,

e.g., development projects and programs' implementation and planning, as well as carrying out policies on poverty eradication and social restructuring in the aftermath of the 1969 racial riot (Ahmad et al., 2003). This provided civil servants with more opportunities in the exercise of administrative discretions, and also tested the limits of their virtues. Thus in 1959, a unit was established under the Prime Minister's Department to undertake corruption prevention activities. The investigation of corruption cases was handled by the Special Crime Unit of the Police's Criminal Investigation Department while the Ministry of Justice's Prosecuting Unit conducted the prosecutions. These three entities were later merged to form the Anti-Corruption Agency (ACA) on October 1, 1967.

The establishment of the Public Complaints Bureau on July 23, 1971 as an additional formal ethics management strategy, further illustrates the limits of personal virtues as absolute determinants of public sector integrity. On August 29, 1973 the ACA was strengthened when it became the National Bureau of Investigation (NBI) with more powers to investigate corruption cases. On January 1, 1979, the third Prime Minister of Malaysia, Tun Hussein Onn, launched a public service code of ethics with *Berkhidmat untuk Negara* (serving the country) as the underlying premise. The introduction of a written code of ethics put emphasis on the fact that civil servants should ensure that their actions serve the interests of the country and the people.

Tun Dr. Mahathir Mohamad's administration (1981-2003) saw rigorous efforts at modernizing, re-orientating and re-inventing the public sector being undertaken in line with New Public Management's (NPM) management techniques and the adoption of private sector's values. The emphasis was on establishing a culture of quality as a means to achieve Vision 2020; whereby Malaysia would attain a developed country status (Hamid, 1993). However, the privatization and corporatization of some of the country state-owned enterprises, using public-private partnerships for major infrastructure projects, and contracting out of some of the services previously done in-house led to the introduction of additional formal and informal ethics management strategies. Measures introduced to enhance public sector integrity, boost productivity and enhance public service quality included *Bersih, Cekap, Amanah* (Clean, Efficient, Trustworthy), Work Ethics Initiative in 1981, *Kepimpinan Melalui Tauladan* (Leadership by Example) campaign in 1983, 1985 Islamic Values Assimilation Program, Islamic Work Ethics in 1987, Excellence Work Culture drive in 1989, 1992 Twelve Pillars as well as the Guideline on Overall Quality Management 1992 and the 1996 MS ISO 9000 (Salleh, 2007). It was believed that the NBI would be more effective if it was to concentrate its efforts on anti-corruption activities only; resulting in the agency being reverted back to be the ACA.

Under Tun Abdullah Ahmad Badawi's administration (2003 – 2009) more efforts were made to promote good government through *Islam Hadhari* (civilizational and comprehensive Islam) and the National Integrity Plan (NIP) of 2004. *Islam Hadhari* emphasized the building of good moral character, exercising caution and being accountable when undertaking public duties, fostering trust in social interactions, as well as upholding law and order. The NIP stressed on administrative ethics whereby the relationships between professional integrity, organizational integrity and organizational culture were clearly explained. Professional integrity of civil servants was defined as "…the harmony between what an individual says and does. His or her actions are in accordance with moral and ethical principles as well as laws and regulations and do not go against public interest" (Government of Malaysia [GOM], 2004). Organizational integrity would be "…reflected in the formulation and implementation of its code of ethics, clients' charter, and system or work procedures, as well as compliance with best practices…" so that an organizational culture of integrity would materialize through the constant reiteration, internalization and upholding of the organization's code of ethics to the extent whereby it became "second nature" (GOM, 2004). Under Tun Abdullah Ahmad Badawi's administration the ACA was given more powers and elevated to a greater stature. Hence on January 1, 2009 the ACA was officially replaced by the MACC. The MACC would be independent, transparent and professional in the performance of its duties.

Under the administration of Dato' Seri Mohammad Najib bin Tun Abdul Razak (April 2009 – May 2018), more efforts were made to enhance the effectiveness and accountability of government. First, the needs of the people were of paramount importance, and the provision and delivery of public goods and services must be designed in ways that met these needs. As the private sector would be helming the country's development drive, the public sector should do its best to facilitate private sector's growth. Second, the speed at which public goods and services was delivered should be faster as more powers had been delegated to agencies at the front-line to make and execute decisions. Focus was on more efficient and effective use of resources by ensuring value for money and adopting the "least cost, speedy execution and maximum impact" approach (Ministry of Finance [MoF], 2017).

Hence to facilitate the attainment of these objectives, the effective battling of corruption was a must as corruption adversely affect the effectiveness of service delivery. Thus the administration's zero-tolerance policy against corruption measures include, the 2010 Whistle blower Protection Act, strengthening compliance and monitoring of implementing agencies through periodic examination of enforcement processes, reducing the discretionary powers of front-line agencies, transparency in the award of government contracts, and the issuance of guidelines on handling recommendation letters so

as to minimize political interference in administrative matters (Economic Planning Unit [EPU], 2010).

However, given the substantial nature and extent of corruption scandals uncovered under Dato' Seri Mohammad Najib's administration, doubts on the efficacy and adequacy of the measures to enhance the effectiveness and accountability of government, began to surface. According to Transparency International Malaysia (TIM) president, Datuk Akhbar Satar, corruption in the public sector was alarming because of its increasing frequency and comprised 5% of the country's Gross Domestic Product (GDP) (Kana, 2018). Hence the public began to wonder whether the Barisan Nasional (BN) administration was sincere or merely paying lip service to the notion of real efficiency and accountability in government. Moreover, important factors had emerged as to whether a change of government was in order. These included concerns about the Prime Minister's influence over appointments of key personnel in the judiciary and the executive to silence criticisms. Moreover, particular sections of the media, some figures of BN's own Cabinet (including the then Deputy Prime Minister), and the then Pakatan Harapan (PH) Opposition, had suggested that proposed inquiries into the corruption scandals, had been deliberately prevented by the country's top political leadership.

PH's 14th General Election Manifesto (known as *Buku Harapan*/Book of Hope) promised to institute major institutional

reforms that would strengthen governance and address issues of wastage and corruption (amounting to almost RM20 billion or equivalent to 1.4% of the GDP) (Kana, 2018). *Buku Harapan* comprised five main pillars, with Pillar 2 comprising nineteen promises on institutional and political reforms, namely:

    (i) Controlling and reducing the concentration of power held by the Prime Minister (PM) and the Prime Minister's Office (PMO) by limiting the PM's term of office and restructuring the PMO;

    (ii) Resolving the huge corruption scandals involving the 1MDB, Tabung Haji, MARA and FELDA;

    (iii) Upgrading the legal status of the MACC, giving it more independence and revising existing anti-corruption laws;

    (iv) Removing the Attorney General's Office from under the Public Prosecution Office (PPO) to address the conflict of interest arising from the AG being the Executive's legal advisor as well as a member of the PPO;

    (v) Enhancing Legislature's roles, autonomy, deliberative and scrutinizing capabilities by allocating more resources, and making effective use of parliamentary select committees and,

    (vi) Decisions made by the Judiciary and the selection of judges, should be free from Executive's influence.

This will enhance Judiciary's credibility by enabling it to better review decisions made by Federal and State Governments, in line with constitutional provisions (Pakatan Harapan, 2018).

Upon winning the 14th General Election, the PH administration (10 May 2018 – present day) currently led by Tun Dr. Mahathir Mohamad, has been quick to establish the Institutional Reforms Committee (IRC). The IRC has been tasked to come up with recommendations on addressing issues and weaknesses of governance, corruption and integrity lapses that have been plaguing the nation. Important measures relating to the management of administrative ethics and ethical misconducts include:

    (i) Establishing a National Centre for Governance, Integrity and Anti-Corruption Centre (GIACC). Headed by Tan Sri Abu Kassim Mohamed, it is responsible for planning, formulating, coordinating, monitoring and evaluating all strategies and activities pertaining to fighting corruption;

    (ii) Establishing a Special Cabinet Committee on Anti-Corruption (*Jawatankuasa Khas Kabinet Mengenai Anti-Rasuah* or JKKMAR) to evaluate GIACC's improvement recommendations. JKKMAR is also tasked with policy formulation functions specifically on civil servants' integrity transgressions and misconducts in line with the National Anti-

Corruption Plan (NACP) 2019-2023;

(iii) Implementing the NACP 2019-2023 which was launched on 30 January 2019. The NACP replaces the 2004 NIP, and focuses on six sectors most prone to corruption as identified by the number of complaints received by the MACC from 2013-2018; namely political governance, public administration, corporate governance, legal affairs and judiciary, public procurement and law enforcement. 22 key strategies with 115 initiatives have been formulated whereby new legislations, rules and regulations will be introduced on lobbying and political funding, enhancing integrity, efficiency and effectiveness of public service delivery, mandatory rotation of sensitive civil service postings, and transparent public procurement practices (Idris, 2019).

## EXISTING AND NEWLY INTRODUCED ETHICS MANAGEMENT STRATEGIES IN MALAYSIA

It is important to take into consideration the context within which ethics management is conducted in the Malaysia public sector. First, as specified by Articles 132(1) and 133 of the Federal Constitution of Malaysia, the public sector comprises the judicial and legal service, the education service, the Federation's general public service, the public service of each state, the federal-state joint public services, the police force and the armed forces. Central federal agencies comprise the Public Services Department (PSD), the Treasury, the Economic Planning Unit (EPU), the Malaysian Administrative Modernisation and Management Planning Unit (MAMPU), and the Implementation and Coordination Unit (ICU). Federal operating agencies encompass numerous ministries, departments and statutory bodies. State operating agencies comprise state departments, state statutory bodies and local authorities. There are also branches of federal ministries and departments operating at the state level. Some of these are only answerable to the Federal government although they fall under the respective state's coordination. This situation illustrates the heterogeneity of the public sector, and the respective locations and functions of the public agencies within a centralized federal system.

Second, the size of the public sector has been increasing whereby in 2009 the number of civil servants was 1.27 million (EPU, 2010). However, by 2014, the number had increased to 1.4 million (Transformation Unplugged Idris Jala, 2014) and currently the number stands at 1.6 million (Jay, 2017).

Third, the aforementioned discussion on the evolution of the public sector shows that government has become more complex as citizens have become more vocal in their demands for ethical government. Thus, an observation by Maesschalck (2003) that traditional hierarchical accountability is no longer adequate and must be supplemented by horizontal accountability, is also applicable to Malaysia.

In 2012, the Government of Malaysia issued a book on public service ethos outlining the need for civil servants to uphold integrity, to perform their duties with a sense of urgency, to be cooperative and united, innovative and creative, empathetic, courteous and responsive to customers' needs, to make decisions through consultative and participatory means, to take criticisms in a positive manner, and to always strive for knowledge and enhancement of skills (Malaysian Administrative Modernisation and Management Planning Unit [MAMPU], 2012). The public agencies also have their respective client charters and training programs that incorporate good moral and religious values for their employees. Another strategy that has been implemented by the PSD include the continuous rotation of civil servants who hold "sensitive positions". Therefore mandatory implementation of their rotation will ensure that opportunities for corruption are curbed.

Enhancing the integrity and competency of civil servants are also pursued through continuous training and the implementation of the Exit Policy - whereby those who scored below 60% in their yearly performance assessments would be closely supervised, and the termination of their services would ensue if their performance levels remain below par (Hamsa, 2015).

Certified Integrity Officers (CeIOs) have been placed at ministries and departments to ensure that corruption and abuse of power are detected and handled. Although around 47 of them were removed from their respective ministries and departments in early 2018, a majority have been reinstated under the PH administration so that their experience and expertise can be utilized to enhance integrity at the organizational level (Dzulkifly, 2018).

Public Officers (Conduct and Discipline) Regulations 1993 and Public Officers (Conduct and Discipline) (Amendments) Regulations 2002, can be used to deter non-compliance through disciplinary actions taken against deviants (Public Services Commission, 2016). Civil servants can be investigated by the MACC as provided by the 2009 Malaysia Anti-Corruption Commission Act (MACCA). Sections, 16, 17, 18 and 20 deal with bribery offences, false claims, and the use of corrupt means to procure a tender withdrawal. Sections 22 and 23 deal with the bribing of foreign officials and incidences of abuse of power or conflict of interest. Should incidences of bribery are known but not reported to the appropriate authorities, then the civil servants concerned can be arrested under Section 25 of the MACCA. Other legal measures to punish civil servants for bribery related activities include the 1954 Election Offences Act, the Trade Unions Act 1959, the Societies Act 1966, the 1967 Customs Act, Anti-Money Laundering and Anti-Terrorism Financing Act 2001, Youth Societies and Youth Development Act 2007, the Financial Services Act 2013, the Penal Code and the Islamic Financial Services Act 2013.

The Public Complaints Bureau (PCB) deals with complaints about administrative actions lodged by the public. These include

delaying or not taking action, not providing customers with quality service, taking unfair actions, not enforcing relevant rules and regulations, abusing powers of public offices, misappropriations, and not adhering to specified procedures (Public Complaints Bureau [PCB], 2017). Indeed, to keep civil servants on their toes, customers and stakeholders are provided with numerous channels with which to submit their complaints, e.g., calling, texting, sending emails and faxes, walking-in, submitting the complaints online or at the PCB mobile counters.

The Auditor General (AG) plays a very important role at detecting ethical misconducts amongst civil servants. The AG conducts performance and financial audits to discover whether government agencies at all government levels, federal statutory bodies and subsidiary companies, as well as Islamic religious councils, have complied with the relevant laws and regulations in managing public funds, adopted accepted accounting procedures so as to reveal their true financial conditions, and whether the implementation of their projects, programs and other tasks and activities have been conducted in an economically prudent and effective manner. Upon the completion of the audits, the AG would issue reprimands that require corrective measures to be instituted. However, if the shortcomings detected are the results of ethical misconducts, e.g., failure to perform official duties effectively because of deviations or transgressions, abuses of power, bribery, etc., then punitive reprimands would then be issued.

## RESULTS AND DISCUSSION

The PSD have taken actions to punish deviant civil servants as provided by Public Officers (Conduct and Discipline) Regulations 1993 and Public Officers (Conduct and Discipline) (Amendments) Regulations 2002. From 2012 until 2014, 69 civil servants had been given warnings, 7 fined, 14 had had their salary progression suspended, 10 had had a reduction in their salaries, 3 were fined and warned, 11 were required to pay surcharge and/or warned/fined, 4 had had a combination of suspension of salary progression or salary reduction with a warning or a fine, 1 was demoted and warned, while 29 had to pay surcharge. Out of a total 438 civil servants investigated, a total of 149 had been punished, 276 had been freed while 13 are still in proceedings (Public Services Department [PSD], 2018).

MACC's arrests statistics from 2011 until 2018 provide causes for alarm as (with the exception of 2013) the percentage of civil servants arrested has generally been increasing from 40.76% in 2014, to 47.32% in 2015 to 49.52% in 2016. Although the percentage has gone down to 46.53% in 2017 it has gone up again to 46.97% in 2018. This trend is worrying as the MACC is very professional in its conduct and sufficient grounds would have been discovered to warrant the arrests. However only 16 convictions were secured in 2015 and 66 convictions were secured in 2016. Higher conviction rates are expected in the future as the proceedings of some of these cases can take years (as indicated by the lack of

Table 1
*MACC arrest and conviction statistics from 2011 – 2018*

| Year | Number of public officials arrested / Number of total arrests | Number of civilians arrested/ Number of total arrests | Number of public official convicted/ Number of total convictions | Number of civilians convicted/ Number of total convictions |
|------|------|------|------|------|
| 2011 | 323 / 918 | 595/918 | Not Available | Not Available |
| 2012 | 288 / 701 | 413/701 | Not Available | Not Available |
| 2013 | 170 / 509 | 339/509 | Not Available | Not Available |
| 2014 | 225 / 552 | 327/552 | Not Available | Not Available |
| 2015 | 398 /841 | 443/841 | 16 / 32 | 16 / 32 |
| 2016 | 465 / 939 | 474/939 | 66 / 162 | 96 / 162 |
| 2017 | 409 / 879 | 470/879 | Not Available | Not Available |
| 2018 | 420 / 894 | 474/894 | Not Available | Not Available |

*Source:* Adapted from MACC Statistics on Arrests (Malaysian Anti-Corruption Commission, 2019a) and MACC Offenders-Corruption Database (Malaysian Anti-Corruption Commission, 2019b).

available conviction figures for 2017 and 2018 at the time of writing) (refer Table 1).

Table 1 also shows that from 2011 to 2013 the number of civil servants arrested for all grades went down from 323 to 170. This positive trend did not last long as from 2014 until 2016 the number went up from 225 to 465. Although the number went down to 409 in 2017, it went up again to 420 in 2018.

Table 2 shows the breakdown of civil servants arrested according to their grades from 2011 – 2018. The majority of those arrested were those in the implementing group, while the premier/top management group had the least number of arrest; although the number of those arrested in the premier/ top management group had been increasing from 7 in 2016 to 12 in 2017 to 14 in 2018. This does not mean that those

Table 2
*Breakdown of civil servants arrested according to grades from 2011-2018*

| Year\Grades | Premier Grade / Top Management | Professional and Management | Implementing Group | Total |
|------|------|------|------|------|
| 2011 | 3 | 89 | 231 | 323 |
| 2012 | 0 | 68 | 220 | 288 |
| 2013 | 0 | 47 | 123 | 170 |
| 2014 | 2 | 45 | 178 | 225 |
| 2015 | 9 | 82 | 307 | 398 |
| 2016 | 7 | 117 | 341 | 465 |
| 2017 | 12 | 102 | 295 | 409 |
| 2018 | 14 | 133 | 273 | 420 |

*Source:* Adapted from MACC Statistics on Arrests (Malaysian Anti-Corruption Commission, 2019a) and MACC Offenders-Corruption Database (Malaysian Anti-Corruption Commission, 2019b).

in the premier/top management group are more ethical than those in the professional and management group, or those in the implementing group. A possible explanation is that those in the premier grade/ top management group had committed corrupt activities by soliciting the support from those in the professional and management group, and those in the implementing group. Another possible assumption is the salary difference between the different grades makes those in the professional and management group and those in the implementing group, more susceptible to corrupt activities.

PCB data from 2011 until 2018 (refer Table 3) show that the incidences of civil servants delaying, not taking action, or action taken not meeting customer's expectations, failure of enforcement, misconduct, abuse of power or misappropriation, and failure to

adhere to set procedures have been steadily decreasing; with significant improvement being made across all categories in 2017. Unfortunately, the 2018 data show a reversal of this trend.

Thus the questions remain whether the 2018 increase can be attributed to: (i) better complaints management; (ii) an increase in the number of complaints lodged; (iii) or a decline in ethical conduct by civil servants as a whole. As the effects of the NACP 2019-2023 have yet to felt, these questions remain unanswered.

The AG's office is highly respected by the public for the various disclosures on how public funds have used by public entities. Again and again various Auditor General's reports (National Audit Department Malaysia, 2011, 2012, 2013, 2014) have noted that the public entities audited have not complied with procedures

Table 3

*Categories of civil servants' ethical misconducts from 2011 – 2018*

| Year\ Ethical Misconducts | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | Jan-Oct 2017* | 2018 |
|---|---|---|---|---|---|---|---|---|
| Delay\ No Action\ Action not meeting customer's expectations | 5975 | 5879 | 4274 | 2736 | 2561 | 1692 | 752 | 1012 |
| Unsatisfactory Service Quality | 2437 | 1837 | 1750 | 817 | 623 | 954 | 946 | 1107 |
| Unfair Action | 1643 | 1406 | 1115 | 526 | 440 | 533 | 354 | 529 |
| Failure of Enforcement | 1122 | 989 | 797 | 857 | 947 | 1145 | 837 | 1014 |
| Misconduct of Civil Servants | 239 | 222 | 201 | 171 | 173 | 217 | 164 | 228 |
| Abuse of Power or Misappro-priation | 194 | 160 | 148 | 151 | 156 | 253 | 180 | 283 |
| Not Adhering to Procedures | 309 | 317 | 276 | 548 | 844 | 1053 | 815 | 1364 |
| Total | 11919 | 10810 | 8561 | 5806 | 5873 | 5847 | 4048 | 5537 |

*Note:* Data from the PCB website only covers January – October 2017.
Source: Adapted from Public Complaints Bureau (2019).

and regulations when implementing their activities, projects and programs. Moreover, planning have been poorly and haphazardly done, and the monitoring and evaluation activities conducted have been below par because those involved do not have adequate knowledge nor expertise. This resulted in information gaps and obsolete data that adversely affected decision-making. The public entities audited were found not to have accorded importance to evaluating the impacts of implemented activities, projects and programs (National Audit Department Malaysia, 2011, 2012, 2013, 2014).

Undue political influence adversely affects the ability of the AG's office to function effectively. This is evident by the tampering of the audit report on 1MDB before its submission to the Public Accounts Committee (PAC) on March 4, 2016. The report was classified under the Official Secrets Act in 2016 and its reclassification as an open document was made under PH administration in May 2018. The current AG, Tan Sri Dr. Madinah Mohamad has stated that the former PM, his Chief Private Secretary, the former AG, and the former Chief Secretary to the Government were among those in the know about the amendments made (Choe, 2018).

## ISSUES AND CONCERNS OF ADMINSTRATIVE ETHICS MANAGEMENT AND ETHICAL MISCONDUCTS IDENTIFIED

The discussion above gives rise to several issues and concerns. First, the relationship between administrative ethics and nature of government are influenced by political leadership, political system, structures and institutions of a country. It is evident that undue political influence weakens and corrodes ethics, accountability and integrity of the public sector; as exemplified by how the public sector has lost its impartiality and neutrality as top civil servants bow to political pressure. In Malaysia, the heterogeneous nature of the public sector, and the different layers of government do affect the forms and manner with which ethics management is, and, should conducted. The growing size of the public sector poses a challenge as ethics management practices must be effective enough to keep more than 1.6 million civil servants, in line. One is left wondering as to the exact extent of politicization and political influence over the public sector as a whole, and whether existing and newly introduced ethics management practices are adequate to address this challenge.

Second, although a common public sector ethos exist for the public sector as a whole, the different components of the public sector do have their respective codes of ethics and specific organizational ethics. It is imperative that the general core values of public organizations be in tandem with those of society's, whilst the interpretation and prioritization of such values are undertaken within the confines and limitations of organizational rationality (as influenced by resource and jurisdictional limitations of each component of the public sector whilst pursuing organizational goals and objectives). Hence this give rise to ethical conflicts that ethical codes might not have foreseen.

Third, the fusion of secular moral values and religious teachings in formal codes of ethics is commendable. However, their ability to make civil servants behave ethically in the performance of their public duties depends very much on civil servants' level of morality and/or religiosity. Successive Malaysia administrations have adopted this approach, but the effectiveness of this strategy remains unclear.

Fourth, the changing scope, responsibilities and strategies of government as reflected by the various paradigm shifts and the associated approaches as public administration evolves, do place exacting demands, and can be very trying on civil servants' moral fibers - as more opportunities and temptations for transgressions and deviations become available. One notes the miniscule number of punishments meted out under the provisions of Public Officers (Conduct and Discipline) Regulations 1993 and Public Officers (Conduct and Discipline) (Amendments) Regulations 2002. The lenient manner with which these offenders are dealt with makes it imperative that public entities' leaders take serious their responsibilities of disciplining their subordinates. While this take time, effort and the need to overcome resistance by staff, leaders must set appropriate examples and foster an ethical organizational culture. Leaders of public entities must not appear to be paying lip service to the above regulations. In light of MACC and PCB data, and size of the public sector, the incongruity of this situation is obvious. It is hoped that the presence of CeIOs at ministries and departments will reduce corruption and abuse of power from occurring, and thus address the incongruity observed.

Fifth, PCB data show that positive improvements have been made with regard to reducing incidences of civil servants delaying, not taking action, or action taken not meeting customer's expectations. However the causes for the reversal of trend in 2016 of providing unsatisfactory quality of service and taking unfair actions (as opposed to what had been happening noted from 2011 to 2015) must be uncovered so that the upwards trend can be halted. Similar action must be taken for categories of failure of enforcement, misconduct of civil servants, abuse of power or misappropriation, failure to adhere to set procedures, and inadequacies of policy implementation and law. It is equally important for reasons for the significant turnaround in 2017 to be uncovered. Recommendation by the JKKMAR to transform the PCB into an Ombudsman, if implemented, should not only lead to an elevation of its stature but would also enhance its ability to function more effectively ("Gov't: IRC made 223 suggestions", 2019).

Sixth, the causes of discrepancy between MACC's arrest statistics and its conviction statistics must be addressed. Despite the fact that legal proceedings can be time consuming, the number of convictions secured is still low when compared to the number of arrests made. Hence it is hoped that once the required legislations are passed

to enable the office of the Attorney General to be removed from under the Public Prosecution Office (PPO), this will result in higher conviction rates in the future.

Finally more attention must be paid to the strategies that can be adopted to address the AG's concerns. It must be noted that Malaysia has instituted a Monitoring and Evaluation (M&E) system of projects and programs based on international standards and best practices. However, in addition to providing more M&E training, civil servants' ethical standards must be continuously monitored through the implementation of the NACP 2019-2023. This will also ensure that undue political influence that tarnish the integrity of the AG's office (as exemplified by the 1MDB scandal) does not occur.

## LIMITATIONS

First, as this research relies on secondary data that is publicly available, the amount and scope of information gathered are not comprehensive. For example, the unavailability of MACC statistics on the conviction of public officials and civilians for 2011, 2012, 2013, 2014, 2017 and 2018 (refer Table 1) has prevented the identification of trends or patterns of conviction from being made. Incomplete PCB statistics on the categories of civil servants' ethical misconducts for 2017 can also be observed (refer Table 3). It is not known why the 2017 statistics only cover the period from January until October 2017, while the PCB data for 2011, 2012, 2013, 2014, 2015, 2016 and 2018 comprise January till December.

Second, while reliance on secondary data has enabled this research to save time and money, the accuracy of data is questionable. Hence an in-depth and more comprehensive understanding of public sector's management of administrative ethics and ethical misconducts in Malaysia, could be attained with the availability of primary data (e.g., through in-depth interviews and/or focus group discussions).

Third, the influences of Malaysia's social culture, organizational culture and religion on ethical conduct must be discovered. Only then can the suitability of existing and new administrative ethics management strategies with cultural, organizational and religious practices of Malaysia's civil servants be determined.

## RECOMMENDATIONS

The discussion undertaken has shown that the compliance and integrity approaches implemented for the management of administrative ethics and addressing ethical misconducts have become quite comprehensive because of the continuous improvements made by successive administrations. It is recommended that these improvements undergo proper evaluations to assess their effectiveness. Apprehension remains because data on ethical misconducts from the PCB, PSD, MACC and numerous AG's reports indicate the inability of ethics management practices from Independence until May 2018 (the end of BN's six decades of ruling the country at the federal level) to effectively cultivate good administrative ethics amongst civil servants.

Hence the political and institutional reforms strategies that have been introduced by the PH administration are much needed to control and eliminate political influence from interfering with the workings of the public sector, the judiciary and the legislature. However, these reforms strategies would only work if all stakeholders (comprising politicians, civil servants, the legislative, the executive, the judiciary and the public) show adequate commitment to their ideals and/or efforts for their effective operationalization. It is recommended that all stakeholders actively participate and stringently monitor the enforcement efforts implemented.

Issues pertaining to the size of the public sector, different layers of government, various codes of ethics, and fusion of secular and religious values, still require careful consideration. Hence it is recommended that aspects on service delivery, religious values, organizational and social cultures be seriously studied. Changes in the size of the public sector must not compromise the rights of citizens to quality services Thus, a thorough study to identify the lack of fit between existing public sector code of ethics with religious values, organizational and social cultures and practices in Malaysia must be conducted. The results can be used to formulate new strategies and/or improve existing arrangements.

## CONCLUSION

Malaysia has a lot to gain if ethics management is done comprehensively, consistently and persistently. Indeed political and institutional reforms instituted and proposed by the current PH administration are conducive to the attainment of sound management of administrative ethics and the prevention of ethical misconducts in the long run. The challenges will be in the implementation of those reforms, and sustaining their momentum with continuous political will.

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# *Pertanika Journals*

*Our goal is to bring high quality research to the widest possible audience*

## INSTRUCTIONS TO AUTHORS
(Manuscript Preparation & Submission Guide)

Revised: June 2019

## MANUSCRIPT PREPARATION

### Manuscript Types

*Pertanika* accepts submission of mainly **four** types of manuscripts for peer-review.

#### 1. REGULAR ARTICLE

Regular articles are full-length original empirical investigations, consisting of introduction, materials and methods, results and discussion, conclusions. Original work must provide an explanation on research results that contain new and significant findings. Analysis and Discussion must be supported with relevant references.

*Size:* Generally, these are expected to be between **6 and 12 journal pages or not exceeding 6000 words** (excluding the abstract, references, tables and/or figures), a maximum of **80 references**, and **an abstract of 100–200 words.**

#### 2. REVIEW ARTICLE

These report critical evaluation of materials about current research that has already been published by organizing, integrating, and evaluating previously published materials. It summarizes the status of knowledge and outline future directions of research within the journal scope. Review articles 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. The manuscript title must start with "Review Article:".

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They are timely and brief. These are suitable for the publication of significant technical advances and may be used to:

(a) report 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) report/discuss on significant matters of policy and perspective related to the science of the journal, including 'personal' commentary;

(c) disseminate information and data on topical events of significant scientific and/or social interest within the scope of the journal.

*Size:* These are usually between **2 and 4 journal pages** and have a maximum of **3 figures and/or tables, from 8 to 20 references, and an abstract length not exceeding 100 words.** Information must be in short but complete form and it is not intended to publish preliminary results or to be a reduced version of Regular or Rapid Papers.

#### 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 **emphasizes** on the linguistic accuracy of every manuscript published. Articles must be in **English** and they must be competently written and argued in clear and concise grammatical English. 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.

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 author(s)**.

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## MANUSCRIPT FORMAT

The paper should be submitted in one column format with at least 4cm margins and 1.5 line spacing throughout. Authors are advised to use Times New Roman 12-point font and *MS Word* format.

### 1. Manuscript Structure
Manuscripts in general should be organised in the following order:

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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.**

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*Example (page 2):*

***In vivo Fecundity Evaluation of Phaleria macrocarpa Extract Supplementation in Male Adult Rats***

*Sui Sien Leong[1]\* and Mohamad Aziz Dollah[2]*

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azizdollah@gmail.com (Mohamad Aziz Dollah), Contact number
*\*Corresponding author*

*List of Table / Figure:*
*Table 1.*
*Figure 1.*

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This page should **repeat** the **full title** of your paper with only the **Abstract** (the abstract should be less than 250 words for a Regular Paper and up to 100 words for a Short Communication), **and Keywords.**
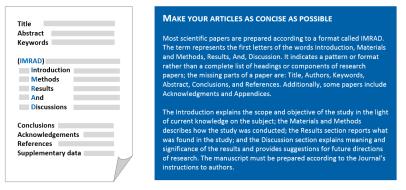
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- **Page 4: *Introduction***

This page should begin with the **Introduction** of your article and followed by the rest of your paper.

## 2. *Text*

Regular Papers should be prepared with the headings *Introduction, Materials and Methods, Results and Discussion*, *Conclusions, Acknowledgements, References, and Supplementary data* (if any) in this order. The literature review may be part of or separated from Introduction.

Title
Abstract
Keywords

(IMRAD)
    **I**ntroduction
    **M**ethods
    **R**esults
    **A**nd
    **D**iscussions

Conclusions
Acknowledgements
References
Supplementary data

**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.

## 3. *Levels of Heading*

| Level of heading | Format |
|---|---|
| 1st | **LEFT, BOLD, UPPERCASE** |
| 2nd | **Flush left, Bold, Capitalise each word** |
| 3rd | **Bold, Capitalise each word, ending with .** |
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## 4. *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.

## 5. *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

           *PVY infected* Nicotiana tabacum *plants optical density in ELISA*

- Explanatory material should be given in the table legends and footnotes.
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- 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.***

### 6. Figures & Photographs

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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.

**NOTE**: When formatting your references, please follow the ***Pertanika*-APA-reference style** (6th Edition) *(refer to 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* for further details https://apastyle.apa.org/.

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| Book with 3 or more authors (Pertanika's format) | *For all in-text references, list only the firrst author's family name and followed by* 'et al.' **Information prominent' (the author's name is within parentheses):** … (Seeley et al., 2011) … Or **'Author prominent' (the author's name is outside the parentheses):** Seeley et al. (2011) … | Seeley, R., VanPutte, C., Regan, J., & Russo, A. (2011). *Seeley's anatomy & physiology.* New York, NY: McGraw-Hill. |

| Books | Insertion in Text | In Reference List |
|---|---|---|
| Book with 6-7 authors | *For all in-text references, list only the firrst author's family name and followed by* 'et al.'<br><br>**Information prominent' (the author's name is within parentheses):**<br><br>… (Bulliet et al., 2011) …<br><br>Or<br><br>**'Author prominent' (the author's name is outside the parentheses):**<br><br>Bulliet et al. (2011) … | Bulliet, R. W., Crossley, P. K., Headrick, D. R., Hirsch, S. W., Johnson, L. L., & Northrup, D. (2011). *The earth and its peoples: A global history* (5th ed.). Boston, MA: Wadsworth. |
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| Chapter in edited book | **Information prominent' (the author's name is within parentheses):**<br><br>… (Richards, 1997) …<br><br>Or<br><br>**'Author prominent' (the author's name is outside the parentheses):**<br><br>Richards (1997) … | Richards, K. C. (1997). Views on globalization. In H. L. Vivaldi (Ed.), *Australia in a global world* (pp. 29-43). Sydney, Australia: Century. |
| e-book/online book | **Information prominent' (the author's name is within parentheses):**<br><br>… (Niemann et al., 2004) …<br><br>Or<br><br>**'Author prominent' (the author's name is outside the parentheses):**<br><br>Niemann (2004) … | Niemann, S., Greenstein, D., & David, D. (2004). *Helping children who are deaf: Family and community support for children who do not hear well.* Retrieved June 1, 2019, from http://www.hesperian.org/ publications_download_deaf.php<br><br>Schiraldi, G. R. (2001). *The post-traumatic stess disorder sourcebook: A guide to healing, recovery, and growth* [Adobe Digital Editions version]. doi:10.1036/0071393722 |
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## Journals

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|---|---|---|
| Journal article with 1-2 authors | **Information prominent' (the author's name is within parentheses):**<br>… (Kramer & Bloggs, 2002)…<br><br>Or<br><br>**'Author prominent' (the author's name is outside the parentheses):**<br><br>Kramer and Bloggs (2002) … | Kramer, E., & Bloggs, T. (2002). On quality in art and art therapy. *American Journal of Art Therapy*, 40, 218-231. |
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| Journal article with 6 - 7 authors | *For all in-text references, list only the firrst author's family name and followed by* 'et al.'<br><br>**Information prominent' (the author's name is within parentheses):**<br><br>… (Restouin et al., 2009) …<br><br>Or<br><br>**'Author prominent' (the author's name is outside the parentheses):**<br><br>Restouin et al. (2008) … | Restouin, A., Aresta, S., Prébet, T., Borg, J., Badache, A., & Collette, Y. (2009). A simplified, 96-well–adapted, ATP luminescence–based motility assay. BioTechniques, 47, 871–875. doi: 10.2144/000113250 |
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## Newspapers

| Newspapers | Insertion in Text | In Reference List |
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| Newspaper article – with an author | … (Waterford, 2007)... | Waterford, J. (2007, May 30). Bill of rights gets it wrong. *The Canberra Times*, p. 11. |
| Newspaper article – without an author | … ("Internet pioneer", 2007) … | Internet pioneer to oversee network redesign. (2007, May 28). *The Canberra Times*, p. 15. |
| Article in an newsletter | … ("Australians and the Western Front", 2009) ... | Australians and the Western Front. (2009, November). *Ozculture newsletter*. Retrieved from http://www.cultureandrecreation. gov.au/ newsletter/ |

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| **Online** | … (Tester, 2008) … <br><br> Or <br><br> Tester (2008) … | Tester, J. W. (2008). The future of geothermal energy as a major global energy supplier. In H. Gurgenci & A. R. Budd (Eds.), *Proceedings of the Sir Mark Oliphant International Frontiers of Science and Technology Australian Geothermal Energy Conference*, Canberra, Australia: Geoscience Australia. Retrieved from http://www.ga.gov.au/image_cache/ GA11825.pdf |

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| Government as author | **First in-text reference: Spell out the full name with the abbreviation of the body.** <br><br> … (Department of Finance and Administration [DOFA], 2006) … <br><br> **Subsequent in-text reference/s:** **Use the abbreviation of the body.** <br><br> … (DOFA, 2006)… | Department of Finance and Administration. (2006). Delivering Australian Government services: Managing multiple channels. Canberra, Australia: Author. |
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## 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.

**Acknowledgements**: Any individuals and entities who have contributed should be acknowledged appropriately.

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