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Aims and Scope

European Journal of Social Sciences is an international peer-reviewed academic research journal, which has a particular interest in policy-relevant questions and interdisciplinary approaches. The journal serves as a forum for review, reflection and discussion informed by the results of recent and ongoing research. It adopts a broad-ranging view of social studies, charting new questions and new research, and mapping the transformation of social studies in the years to come. The principal purpose of European Journal of Social Sciences is to publish scholarly work in the social sciences defined in the classical sense, that is in the social sciences, the humanities, and the natural sciences. The research that is published may take a theoretical or speculative model as well as statistical and mathematical. Contributions are welcome from all fields which have relevant and insightful comments to make about the social sciences.

European Journal of Social Sciences also aims at providing a unique forum for discussing the fundamental challenges for policy, politics, citizenship, culture and democracy that European integration and enlargement pose. The journal emphasizes the publication of work that engages with issues of major public interest and concern across the world, and highlights the implications of that work for policy and professional practice. It particularly welcomes articles on all aspects of European developments that contribute to the improvement of social science knowledge and to the setting of a policy-focused European research agenda. Examples of typical subject areas covered include: Policy-Making and Agenda-Setting; Multilevel Governance; The Role of Institutions Democracy and Civil Society; Social Structures and Integration; Sustainability and Ecological Modernization; Science, Research, Technology and Society; Scenarios and Strategic Planning; and Public Policy Analysis. European Journal of Social Sciences is interdisciplinary bringing together articles from a textual, philosophical, and social scientific background, as well as from cultural studies. The journal provides a forum for disseminating and enhancing theoretical, empirical and/or pragmatic research across the social sciences and related disciplines. It engages in critical discussions concerning gender, class, sexual preference, ethnicity and other macro or micro sites of political struggle. Other major topics of emphasis are Anthropology, Business and Management, Economics, Education, Environmental Sciences, European Studies, Geography, Government Policy, Law, Philosophy, Politics, Psychology, Social Welfare, Sociology, Statistics, Women's Studies. However, research in all social science fields are welcome.

European Journal of Social Sciences realizes the meaning of fast publication to researchers, particularly to those working in competitive and dynamic fields. Hence, it offers an exceptionally fast publication schedule including prompt peer-review by the experts in the field and immediate publication upon acceptance. The editorial board aims at reviewing the submitted articles as fast as possible and promptly include them in the forthcoming issues should they pass the evaluation process. The journal is published in both print and online formats.

Submissions

All papers are subjected to a blind peer-review process. Articles for consideration are to be directed to the editor through the online submission system.

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Teacher's Perception about Constructivist Learning

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Abstract

The purpose of this research was to investigate the reflection of the CLES result on teacher's perception about constructivist learning through interpreted paradigm. The participant groups of this study included 28 Grade sixth students of a primary school in the rural part of Khon Kaen Province, during 2011 school year; a primary school science teacher; and 3 colleagues of participant teacher. Data obtaining from data collection, were investigated, analyzed, and interpreted the answers in order to interpret the teacher's perception about constructivist learning. Then, they were interpreted once more with peer debriefing, and investigated by member checking. Finally, presented the finding in descriptive form. The research findings founded that 1) we can use The CLES to urge the teacher, the CLES indicates teacher to aware about their classroom environment. In the 2nd survey, the level of scale 5: Student Negotiation Scale increased from sometimes to be often because of the teacher change her instruction. After the 1st reflection she made more opportunity for her student to share their opinions with her and their classmates; 2) the teacher had alternative conception e.g. she confused in sink and float concept; 3) the teacher does not understand the nature of science; 4) the director and policy have effects to the teacher; and 5) the teacher does not understand about constructivism. Moreover, in Thai context the meaning of the word 'constructivist' results in teacher misunderstanding.

Keywords: Teacher's perception, constructivist learning environments

Introduction

The National Education Act, 1999 stipulated the way of education that education shall be based on the principle that every student has the ability to learn and develop themselves and believe in the student center. The education should encourage students to develop themselves in accordance with their natural and full of their potential (Office of The National Education Commission, 1999). Likewise, the Institute for the Promotion of Teaching Science and Technology; IPST (1995) introduced the concept of science teaching today; science teaching emphasized the process that the most important is students learning by themselves and teachers will serve as the only event for students to learn on their own rather than be told the students to remember with a regard of maturity and their own experiences and environments before entering the classroom. So, to education in accordance with the Education Act, the classes should be the constructivist classrooms.

Constructivism is a theory about “knowing” and “learning” (Bettencourt, 1993; Bodner, 1996; Fosnot, 1996) which asserts that knowledge cannot be directly transmitted but must be actively constructed by learners (Colburn, 2000). Constructivism is viewed as an epistemology or a theory about knowledge and learning (Fosnot, 1996). The basis of constructivism can be described by looking at two approaches to the construction of learning: the cognitive constructivism and social constructivism. Constructivism is an important theory of learning that is used to guide the development of new teaching methods, particularly in science education. However, because it is a theory of learning and not of teaching, constructivism is often either misused or misunderstood. Here we describe the four essential features of constructivism: eliciting prior knowledge, creating cognitive dissonance, application of new knowledge with feedback, and reflection on learning. (Baviskar, Hartle & Whitney, 2009) Lorsch & Tobin (1992) has suggested that teaching science along constructivist means that teachers do not teach science to search for the truth but teach it to inquire the data like the scientists. This teaching style is different from what we see today in science classroom, science teachers and students still remember the terminology and finding the correct answer. The model of teaching as a constructivist view look for five appearances: (1) active engagement with phenomena (2) use and application of knowledge (3) multiple representations (4) use of learning communities and (5) authentic tasks (Krajcik, Czerniak, & Berger, 2003).

The finding of the monitoring and evaluation of education reform in the three-year anniversary of the promulgation of the National Education Act, 1999 found that the instruction that emphasized the process that the most important is students in the fundamental education was moderately advanced; the operations covered by the policy and its implementation but the extension does not apply to all schools and assessed in a systematic way. This is due to teachers teaching behavior change with an emphasis on students center need time to adjust (Office of the National Education Commission, 2002). It shown that although policies central to efforts to define and promote learning in the classroom as a constructivist as much as anyone, but it's still be problem that most teachers are still accustomed to traditional teaching is that teachers impart knowledge to the students. This problem reflects the determination of policy from the central and the professional development for teachers to comply the policy is not as successful as it could be because there are still large numbers of teachers fail to comply with the policy.

Nowadays, Thai education run through this education law for twelve years apart but we do not exactly sure Thai education context is constructivist based learning or not. According to this argument we would like to investigate constructivist learning in science classroom. Therefore, Constructivist Learning Environment Survey (CLES) was selected in this study. The CLES (Taylor, Fraser, & Fisher, 1997) was the instrument that helps teachers and researchers to evaluate the degree of a particular classroom's environment which consist with a constructivist epistemology, and helps teachers to reflect on their epistemological assumptions and recast their instruction. Recently, the CLES was modified into several versions e.g. Taylor & Fraser (1991), Taylor, and Fraser & White (1994), etc. Vice versa it was translated into many languages too for example Korean language (Kim, Fisher, & Fraser, 1999 and Lee & Fraser, 2001a), Chinese (Aldridge, Fraser, Taylor, & Chen, 2000), and Thai

(Artdej, 2010). Past researches of this issue were used in a study of (a) science students' attitudes by accounted for variance in student outcomes (Lee & Fraser, 2001a; 2001b; Lee, Fraser, & Fisher, 2003; Harrington & Enochs, 2009; and Yilmaz-Tuzun & Topcu, 2010); (b) students' perception about constructivist learning environment and the change in the CLES scales that were associated with student attitudes to science improvements (Cho, Yager, Park, & Seo, 1997; Johnson & McClure, 2003; Oh & Yager, 2004; Neo & Neo, 2010; and Taskin-Can, 2011); (c) the investigation of differences between science-oriented and humanities-oriented stream in the student-perceived learning environment (Lee & Fraser, 2001a, 2001b and Lee, Fraser, & Fisher, 2003); and (d) the cross-national studies (Aldridge, Fraser, Taylor, & Chen, 2000).

In addition, in this study we would like to know after we have reflected the result of the CLES to the teacher yet, then what the teacher feel and does the teacher reshaped his or her teaching style or not and how.

Background

Constructivist Learning Environment

Classroom learning environment research has focused on assessment and improvement of learning and teaching within the context of constructivist learning environment more recently (Aldridge, Fraser, Taylor, & Chen, 2000; Taylor and Fraser 1991; Taylor, Fraser, & Fisher, 1997). In a constructivist learning environment, teachers are accepted as facilitators and they encourage students for conceptual development. Students use their prior knowledge and reflect upon other students' ideas in the classroom while developing their conceptual understanding of new scientific topics. Later, social constructivist perspectives were included in the constructivist learning environment research. In this perspective, it is accepted that scientific knowledge is produced as a result of scientific inquiry but this knowledge "must be validated against the community norms" (Taylor, Fraser, & Fisher 1995). In other words, learning is not only individual activity but also a social process. Moreover, in this social process, researchers also wanted to measure factors with the Constructivist Learning Environment Survey (CLES) that might have influenced the effective communication between teachers and students. CLES was developed based on the elements of constructivist theory and critical social theory. Since our purpose is to determine students' perceptions regarding the different characteristics of the learning environment, CLES provided this opportunity by measuring students' perceptions from five different perspectives and also by the fact that the theory used for development of it was matched with our understanding about the constructivist learning environment. Thus, we utilized this instrument in this study.

The Constructivist Learning Environment Survey (CLES)

The incorporation of constructivist and critical theory perspectives on the farming of the classroom learning environment led to the development of the Constructivist Learning Environment Survey (CLES). The CLES enables researchers and teacher-researchers to monitor constructivist teaching approaches and to address key restraints to the development of constructivist classroom climates. CLES assesses either student or teacher perceptions of Personal Relevance, Uncertainty, Student Negotiation, Shared Control, or Critical Voice (Taylor, Fraser, & Fisher, 1997). The CLES was developed to enable educators and researchers to measure students' perceptions of the extent to which constructivist approaches are present in classrooms. The original version of the CLES (Taylor and Fraser 1991) was based largely on a psychosocial view of constructivist reform that focused on students as co-constructors of knowledge. The CLES is being used in the present study to assess both teachers' and students' perceptions of classroom learning environments. Originally developed by Peter Taylor, Barry Fraser, and Darrell Fisher at Curtin University of Technology in Perth, Australia (Taylor, Fraser, & Fisher, 1993), the CLES consisted of 28 items, seven each in four scales – Autonomy, Prior Knowledge, Negotiation, and Student-Centredness. The CLES has been used in a variety of studies, including qualitative studies of the nature of science knowledge and learning of science teachers and

their students (Lucas & Roth, 1996; Roth & Bowen, 1995; Roth & Roychoudhury, 1993), a study of science education reform efforts in Korea (Kim, Fisher & Fraser, 1999), a study of preservice science teachers' self-efficacy and science anxiety (Watters & Ginns, 1994), a comparison of classroom environments in Taiwan and Australia (Aldridge, Fraser, Taylor & Chen, 2000), a study of secondary preservice teacher beliefs (Waggett, 2001), an investigation of the relationships between classroom environment and student academic efficacy (Dorman, 2001), an action research study of the effects of integrating technology into the classroom (Harwell, Gunter, Montgomery, Shelton & West, 2001), and a multilevel study that also used classroom observations, student diaries, and teacher interviews (Tobin & Fraser, 1998). The new version of the CLES was designed to obtain measures of six key elements of a critical constructivist learning environment from the students' perception: the degree of personal relevance that concerned with students' experience of the personal relevance of school science; the degree of scientific uncertainty that concerned with students' perceptions of science as a fallible human activity; the degree of critical voice that concerned with students' development as autonomous learners; the degree of shared control that concerned with another important aspect of the development of student autonomy, namely students sharing with their teachers control of the classroom learning environment; the degree of student negotiation to concerned with negotiation amongst students; and the degree of attitude that has been included to provide a measure of the concurrent validity of the CLES (Office of Educational Research and Improvement, 1997). This new version of the CLES led to modifications in the survey to enhance comprehensibility by omitting negative items and those items considered 'conceptually complex'. In addition, the survey departed from traditional measures of the learning environment by grouping together items of the same scale and including a simple scale name that would provide students with a contextual cue.

Purpose of the Study

The purpose of this study was to investigate the reflection of the CLES result on teacher's perception about constructivist learning. We would like to know what happen to the teacher after we have reflected the finding from constructivist learning environment survey to he or she; what the teacher feel about the finding, does the teacher reshaped his or her teaching style or not, and how does the teacher changes on his or her instruction.

Research Question

The main research question of this study was how does the reflection of constructivist learning environment survey results affect on teacher's perception. The specific research questions of the study are:

1. Does the teacher teach science based on the constructivist learning or not?
2. What are grade sixth students' perception about the constructivist learning environment in science classroom?
3. Does the constructivist learning environment survey results affect on teacher instruction or not? and
4. How the teacher reshaped his or her instruction after we have reflected the finding from constructivist learning environment survey to him or her?

Methodology of Research

This study regarded interpretive paradigm to believe that existence is all there is in a particular state depends on the context. Affect each other in the manner of interaction, it is impossible to separate anything out of it is strictly prohibited. The ultimate goal of the research is not to prove a cause and effect relationship, but the interpretation is to understand the meaning of what the study is trying to

separate natural science of anthropology. Since humans are able to understand what was so different a priori in the study of the natural sciences is not only for the study of anthropology. Interpretation, understanding, and knowledge exchange are the heart of human activities, which makes human different from other animals. The study of human behavior is based on the interpretation to the findings and communicates with them in order to understand and share their knowledge with each other. This research focuses on the perception of the individual, the interaction between students while learning science in school and in everyday life, the interaction between teachers and students that affect students' understanding about science. Therefore, the science educators who study the interpretive research will study how to understand and mean the teachers and students expression or the interaction in science classroom (Gallagher, 1991).

The trustworthiness of the research is defined in terms of credibility, transferability, dependability, and confirmability (Lincoln & Guba, 1985; and Patton, 2001). The credibility of this research; the researcher is embedded in the context of the field to be familiar and as part of the study and to make the hospitality and trust of the subjects to be able to interpret the data properly and get the data that the subjects did not speak out directly. One of our members was a teacher who taught in the field over a period of 5 years and is domiciled in the context of the field and lives in the community almost of her life, so the researcher is familiar with the subjects as well and an understand the context in which the study is significant, held that the researcher has prolonged engagement in the field. In addition, the researchers examined data by triangulation; we collected the data from multiple data sources (source triangulation), including students, participant teacher, and colleagues of participant teacher. Likewise, the data was collected by variety of methods (methods triangulation), including observations, interviews, and documentation analysis. Moreover, the individual researcher will interpret and analyze the same data set independently (researcher triangulation) after that discussed the results of the analysis together again to the concluded of the analysis. Furturemore, the researchers examined data with the informant (member checks) to verify the accuracy and completeness of the data. When we have got the temporary results then provided it to the informant to determine that the findings are consistent with the actual temporal perspective, understanding and a sense of the informant or not. After that cut or additional information considered by the informant. Besides this the temporary results have led to the research advisor (peer debriefing), who was a specializes science educator in the study according to the constructivist learning and researched in constructivist learning environment surveys, to examined that the temporary results are valid theory or not. In the data analysis stage, the researchers examined data conflicts (negative case study) at any time to determine if there is any inconsistency or conflict with the temporary findings.

The field is the large size primary schools in a rural area of Khon Kaen which is located in the North East of Thailand that is about 40 kilometers far from the city center. There are approximately 1,200 students and 55 teachers, who are graduates of science only 3 teachers. The field is surrounded by government buildings, such as the District, police station, railway station, and post office. Therefore 60% of students are form outer areas. There are two kinds of education system in the field, (1) kindergarten (for years 5 and 6 students) and (2) primary education (for years 7 to 12; grade 1 to 6). In primary education system there are four classes in each grade and every class had their own room. The school has many specific room separated from the normal classroom such as science laboratory room, mathematics room, computer rooms, sound lab room, dancing room, art gallery, library, and music room. Science learning context, for grade 1 to 4 students they were taught science in their own classroom or outside of the class, for grade 5 and 6 students, science classroom was laboratory type room. Teacher taught both lecture and laboratory in this room. There are many leaning instruments in this room for example books, computers, projector, CAI, scientific equipments, and etc, that are cover all of the science contents.

The participant was the 55 years old Kung teacher. She got bachelor degree for Thai teaching. However, she has taught science for 30 years. She taught science for grad 5 and 6 students all of 8 classes for 16 hours a week. Her science class was normally begun by assigning students to investigate

the findings from laboratory. Then, she explained the scientific knowledge related to that laboratory. In the lesson plans, she mentioned that she would give students chance to discuss, question, and do laboratory. Her lesson plan was provided based on the IPST science text book. She not only teaches science but also take her role as head of school academic department. She, therefore, has many extra academic works. She, sometimes, she had to leave her class and assigned students to study by themselves.

Methodology of Inquiry

Participants

There are three groups of the participants:

- 1) 28 grad sixth students of a primary school in the rural part of Khon Kaen.
- 2) A primary school science teacher.
- 3) 3 colleagues of participant teacher.

Instruments

Constructivist Learning Environment Survey (CLES)

Constructivist Learning Environment Survey measured students' perception in six subscales: (i) the personal relevance scale (PR), this scale is concerned with students' experience of the personal relevance of school science; (ii) the scientific uncertainty scale (SU), this scale is concerned with students' perceptions of science as a fallible human activity; (iii) the critical voice scale (CV), this scale is concerned with students' development as autonomous learners; (iv) the shared control scale (SC), this scale is concerned with another important aspect of the development of student autonomy, namely students sharing with their teachers control of the classroom learning environment; (v) the student negotiation scale (SN), this scale is concerned with negotiation amongst students; and (vi) the attitude scale (AT), this scale has been included to provide a measure of the concurrent validity of the CLES (Office of Educational Research and Improvement, 1997). This version of the CLES was utilized in this study. The CLES consisted of 42 items with a five-point Likert-type response scale. Translation of the CLES into Turkish was done by Yilmaz-Tuzun, Cakiroglu, & Boone (2006).

Semi-Structured Interview Form

It was interview form about the perception of teachers about constructivist learning. Interview on six subscales that related to the constructivist learning environment survey. When interview, the researcher used questions to stimulate discussion and allow the informant to express their thoughts in an interview with a friendly feeling. Interview likes the common talk; do not pressure the informant. The researcher used the results from the CLES of students to interview. So that it reflects the recognition in full. Interviews during the idle hours which no teaching hours and make an appointment before interview.

Classroom Observation form

It is the observation of the role of teacher and student behavior that occurs in the process of teaching and learning. Note the habits and behaviors of teachers and students as well as the things that happened in the classroom as a learning activity for a time to the interpretation of the participant's perception about constructivist learning.

Lesson Plan Analysis form

It is the assessment form that evaluate the way of teaching and learning according to the constructivist learning which appeared in the process of learning in the lesson plans.

Data Collection and Analysis

Preparing Stage: The CLES Development

The early stage of this study was preparing of all instruments before entered the field. The procedure of these stage was instruments construction and development. The instruments was developed from Salish Research Project Constructivist Learning Environment Survey (Office of Educational Research and Improvement, 1997). The process of The CLES development are:

1. The researchers translated the CLES into Thai language. CLES is a rating scale questionnaire that contains a list of six scales. There are seven questions on each side of the scale. The CLES consists of both positive and negative statements, as shown in Table 1.

Table 1: The list of the CLES, 42 items that contains of six scales

Scale	Positive Item	Negative Item
Personal Relevance (PR)	1, 7, 13, 19, 25	30, 37
Scientific Uncertainty (SU)	2, 8, 14, 20, 26	31, 38
Critical Voice (CV)	3, 9, 15, 21, 27, 32	39
Shared Control (SC)	4, 10, 16, 22, 33, 36, 40	-
Student Negotiation (SN)	5, 11, 17, 23, 28, 34, 41	-
Attitude (AT)	6, 12, 18, 24	29, 35, 42

2. The quality of the CLES was evaluated content validity by 3 science educators then administered it to 220 primary school students (grad 5 – 6) to try it out after that item-total correlation and α -Coefficient were analyzed.
3. Elimination of the improper questions, low discrimination that is question no. 6, 7, 13, 14, 21, 40, 41 and 42. The discrimination of the final questionnaire (34 questions) was between 0.21 to 0.57, as shown in Table 2.

Table 2: The item-total correlation of the CLES

Question no.	Corrected Item-Total Correlation	Question no.	Corrected Item-Total Correlation
1	.37	23	.55
2	.45	24	.45
3	.40	25	.49
4	.21	26	.57
5	.50	27	.40
8	.32	28	.48
9	.33	29	.44
10	.55	30	.46
11	.36	31	.40
12	.50	32	.47
15	.32	33	.52
16	.39	34	.41
17	.44	35	.42
18	.39	36	.38
19	.43	37	.34
20	.52	38	.32
22	.47	39	.39

4. The reliability of the tools was analyzed, the α -coefficient was .90.
5. Revision of the CLES, as shown in Table 3.

Table 3: The list of the CLES, 34 items that contains of six scales

Scale	Positive Item	Negative Item
Personal Relevance (PR)	1, 15, 20	25, 32
Scientific Uncertainty (SU)	2, 6, 16, 21	26, 33
Critical Voice (CV)	3, 7, 11, 22, 27	34
Shared Control (SC)	4, 8, 12, 17, 28, 31	-
Student Negotiation (SN)	5, 9, 13, 18, 23, 29	-
Attitude (AT)	10, 14, 19	24, 30

6. Printing and reproduction of the full questionnaire.

Data Collection Stage

1. Science classroom situation analysis

- 1.1. The first stage of this study was situation analysis, to understand field context, teacher background, and teaching and learning management.
- 1.2. Researchers observed the selected science classroom context, interviewed participant teacher, and analyzed the lesson plan.

2. CLES Investigation (1)

- 2.1. 28 glad 6 students were asked their perception about constructivist learning environment by CLES.
- 2.2. At this step a researcher who was a teacher of this school read the questions and explained more detail about them for the students because of some students cannot read and some questions were difficult for them to understand.

3. CLES Result Analysis

The mean score and then find the average of each scale and overall. For positive item statements, the “Almost always” choice would receive a 5 moving on down to the “Almost never” get a 1. For negative item statements, the numbering procedure is reversed. After that compared to the criterion of quality.

4. The Result Reflection

The participant teacher was demonstrated the result of CLES and then the researchers asked her perception about constructivist learning and feeling about the finding.

5. Classroom Observation

The researchers observed the selected classroom again 8 times for 1 month (two times a week)

6. CLES Investigation (2)

The students were asked their perception about constructivist learning environment by CLES again.

7. CLES Result Analysis Again.

8. A new Result Reflection.

Data Analysis Stage

1. Science classroom situation analysis.

There are three resources (classroom observation, teacher interview, and lesson plan analysis) of data in this section. The researchers interpreted the data together. One researcher is the participant teacher’s co-worker who work together for five years so it is easier to ask the participant in-depth interview and know and understand the field context well.

2. CLES result analysis.

Scoring for each item statements for all students then find the average of each scale and overall finally, compared the average score to the criterion of quality.

The criterion of quality			
average score	4.51 – 5.00	Meaning	Almost always
average score	3.51 – 4.50	Meaning	Often
average score	2.51 – 3.50	Meaning	Sometime
average score	1.51 – 2.50	Meaning	Seldom
average score	1.00 – 1.50	Meaning	Almost never

Scoring for each item statements for all students then find the average of each scale and overall finally, compared the average score to the criterion of quality.

3. Data Interpretation.

The data from the effect of the CLES reflection on teaching and learning of science teacher was interpreted by all researchers under the purposes of the study and the research questions. This research is more reliable because there are many different data collection techniques to monitor the results such as observation, interviews, lesson plans analysis and collect data from multiple sources, including students, researchers and participant. This is a triangulation technique. The researchers are embedded in the context for long time to be the familiar and unique of the context for the rapport and trust with the targets. So the researchers can interpret the data properly. The researcher domiciled in the same context of the field and live in the community ever since the researcher is familiar with the targets well and abundantly understand the context so inferred that the researcher was prolong engagement in field. The researchers observed continuously, which allows researchers to focus on every detail of what they are learning to analyze and interpret directly.

Results and Discussion

The results will present the Kung teacher’s reflection about how her science teaching regarding to the constructivist learning environment. And, Kung teacher’s performance in her science class also will be discussed as following.

Grade sixth Students’ Reflection of Kung teacher’s Classroom as Constructivist Learning

Environment

Grade sixth students, who studied in Kung teacher’s classroom for 2 years, reflected their ideas to indicate how much Kung provide constructivist learning environment. The Constructivist Learning Environment Survey (CLES) was completed by students. The average score of each item of CLES was in the level sometimes as showed in the Table 4. Then the Table 5 – 10 will show detail of each aspect.

Table 4: The result of Constructivist Learning Environment Survey (CLES)

PR		SU		CV		SC		SN		AT	
Item	average										
1	3.29	2	3.43	3	3.00	4	2.36	5	3.93	12	4.32
19	4.18	8	3.57	9	3.07	10	3.11	11	3.46	18	3.89
25	3.71	20	3.36	15	3.82	16	3.04	17	3.43	24	4.21
30	2.64	26	3.39	27	3.04	22	2.93	23	3.21	29	2.86
37	2.64	31	3.86	32	2.89	33	3.29	28	2.89	35	2.36
-	-	38	3.54	39	2.82	36	2.93	34	3.32	-	-
total	3.29	total	3.52	total	3.11	total	2.94	total	3.38	total	3.53

Table 5: Attitude (AT)

Item	Average score	level
The activities are among the most interesting at this school.	4.32	often
The activities make me interested in science	3.89	Often

Table 5: Attitude (AT) - continued

I enjoy the learning activities.	4.21	Often
I feel confused.	2.86	Sometimes
The learning activities are a waste of time.	2.36	Seldom
Total average	3.53	often

Attitude (AT) got average score is 3.53 that mean often. We can see from the teacher protocol that is “most student like to science laboratory”.

Interviewer: How did you feel after you saw the score of your class CLES evaluation?

Teacher: For attitude domain, I think they like my teacher because science give them to do science experiment.

Table 6: Scientific uncertainty (SU)

Item	Average score	level
I learn that scientific theories are human inventions.	3.43	Sometimes
I learn that science is influenced by people’s values and opinions.	3.57	often
I learn that different sciences are used by people in other cultures.	3.36	Sometimes
I learn that scientific knowledge can be questioned.	3.39	Sometimes
I learn that science reveals the secrets of nature.	3.86	Often
I learn that scientific knowledge is beyond doubt.	3.54	Often
Total average Total average	3.52	Often

Scientific uncertainty (SU)got average score is 3.52 that mean often. We can see from the teacher protocol that is “student learn that science by history of science discovery”.

Table 7: Student negotiation (SN)

Item	Average score	Level
I get the chance to talk to other students	3.93	Often
I talk with other students about how to solve problems.	3.46	Sometimes
I try to make sense of other students’ ideas.	3.43	Sometimes
I ask other students to explain their ideas	3.21	Sometimes
Other students ask me to explain my ideas.	2.89	Sometimes
Other students explain their ideas to me.	3.32	Sometimes
Total average	3.38	Sometimes

Student negotiation (SN) got average score is 3.38 that mean sometimes. We can see from the teacher protocol that is “student shy to express their opinion”.

Teacher: Majority of my students quite keep quiet. They shy to give their opinion. They may afraid that their opinion would be wrong. Or, they were not active students.

Table 8: Personal relevance (PR)

Item	Average score	Level
I learn about the world outside of school.	3.29	Sometimes
I get a better understanding of the world outside of school.	4.18	Often
I learn interesting things about the world outside of school.	3.71	Often
What I learn has nothing to do with my out-of-school life.	2.64	Sometimes
What I learn has nothing to do with the world outside of school.	2.64	Sometimes
Total average	3.29	Sometimes

Personal relevance (PR) got average score is 3.29 that mean sometimes. We can see from the teacher protocol that is “teacher have problem in science about out of school activity because of policy from director. He disagree about out of school learning”.

Teacher: We cannot take students to go out or bring local thing into class because of 1) big number of students in one class, and 2) disagree of school principal or administrators to do so.

Table 9: Critical voice (CV)

Item	Average score	Level
It's OK to ask the teacher “Why do we have to learn this?”	3.00	Sometimes
I feel free to question the way I'm being taught.	3.07	Sometimes
It's OK to complain about activities that are confusing.	3.82	Often
I'm free to express my opinion.	3.04	Sometimes
It's OK to speak up for your rights.	2.89	Sometimes
I feel unable to complain about anything.	2.82	Sometimes
Total average	3.11	Sometimes

Critical voice (CV) got average score is 3.11 that mean sometimes. We can see from the teacher protocol that is “student shy to express their opinion”.

Teacher: Majority of my students were shy to give their opinion. They usually did not interact to the class. However, it seemed that depends on students. Some cohort of students could give their opinion or interact in the class.

Table 10: Shared control (SC)

Item	Average score	level
I help the teacher to plan what I'm going to learn.	2.36	Seldom
I help the teacher decide how well my learning is going.	3.11	Sometimes
I have a say in deciding the rules for classroom discussion.	3.04	Sometimes
I have a say in deciding how much time I spend on an activity	2.93	Sometimes
I have a say in deciding what will be on the test.	3.29	Sometimes
I have a say in deciding what activities I do.	2.93	Sometimes
Total average	2.94	sometimes

Shared control (SC) got average score is 2.94 that mean sometimes. We can see from the teacher protocol that is “student almost never help the teacher decide the lesson plan and teacher opinion she think difficul to practice”.

Teacher: I used the lesson plans which were bought. These were provided as general teaching rather specific for this class. I, therefore, have no chance to design my class regarding to my students' requests. It hard to allow students to design the classroom activities with teacher.

Table 11: Constructivist Learning Environment Survey (CLES) 1

Scale	Order	Score
Attitude (AT)	1	3.53
Scientific uncertainty (SU)	2	3.52
Student negotiation (SN)	3	3.38
Personal relevance (PR)	4	3.29
Critical voice (CV)	5	3.11
Shared control (SC)	6	2.94
Total average		3.29

To summarize, Attitude (AT) is highest score that is 3.53 and total average is 3.29 that mean sometimes. The average scores increased 21 items out of 34 items. However, if we consider by the level, there were just 8 items increased.

Kung Teacher's Reflection in her Science Class Regarding Constructivist Learning Environment

Kung reflection showed her perception of developing constructivist learning environment for primary school science teaching. She also showed her scientific misconceptions. The first interview, before the evaluation of the CLES, revealed that she aware of students' participation as expressing opinion. However, it seemed that she did not recognize how teacher could engage students to be participated in the classroom as she mentioned:

"I want to adjust my students to show their voice more in our classroom. I desire to improve students' expressing opinion in the classroom. Sometime, the students could not conclude their result from the laboratory. I think that they did not dare to give their voice or writing their ideas".

After Kung teacher knew the result of students' evaluation on the CLES, her interviewing suggested that she aware of some aspects to improve her science teaching regarding on constructivist learning environment. However, it seemed that she held partial understanding of constructivist science teaching. She could not exactly mention any aspect of constructivist learning environment as provided in the CLES. She reflected as follow:

Yes, I did something. I urged my students to give their voice increasing in the classroom. After I saw the result, I thought that what scale I could do for changing. I agree that there are low expressions from my students. In fact, I am ready to listen from my students and I desire my students to speak a lot in the class. However, normally, the behavior of the students in the class that you surveyed does not speak much.

The scientific uncertainty Kung teacher performance was decreased from often into sometimes scale. Interestingly, two items sharply felt down including item 21 (I learn that science reveals the secrets of nature) and item 33 (I learn that scientific knowledge is beyond doubt). It seems that Kung teacher scientific misconceptions and lacking of understanding of the nature of science may affect to the scientific uncertainty Kung teacher performance. It indicated that Kung teacher held scientific misconception and misunderstood of changing of scientific knowledge. She explained that people changed calling "mass" as "weight".

Interviewer: Do you think, is 'scientific knowledge' changed?

Kung teacher: Yes, it is. Sometime, they change 'the word' until we don't know what is the real word.

Interview: How do you show your student to know that 'scientific knowledge' changed?

Kung teacher: For example, we don't know how to call 'Weight' and 'Mass'. In the classroom talk about 'Newton' but outside class call 'Weight'. I don't know what is real.

Another example of misunderstanding of nature of science, she mentioned about calling "Gas" in the different of Thai pronouncing. She thought science have been changed, but she concerned at the 'words'.

Kung teacher: "Gas", sometime, is called as "แก๊ส"(gas) but sometime called as "ก๊าซ"(gars). Therefore, I told my students that scientific knowledge is changed like this.

Interviewer: Let's look at "scientific concept'. I mean that it's not consider changing of wording.

Kung teacher: It doesn't change. The scientific concepts, provided in the book, have been not changed since my first teaching. So, it's not change.

It is noticeable that, even if the level of the attitude scale was not change but there were four items' average score decrease; while an item increased significantly. Kung teacher keep lecturing rather than constructivist teaching for meaning of scientific concepts. She raised that Thailand National Test (NT) would be more important for students. Schools and teachers quite concern about the NT score of students; therefore, they always spend a lot of time to have extra tutor for the students that

cause they might cut some activities in the last lesson and focus on contents. These could be viewed as her discussion on the last lesson of her teaching – astronomy.

Interviewer: Do you teach the lesson about ‘Astronomy’?

T: No, I don’t. However, I’ve been tutored to the students already because it is the last unit of the course, but our student might test the National Test (NT) on next Monday. If we teach follow our lesson plan, it’s too late for NT. Furthermore, We don’t have enough time for all lesson, especially sometime I might have training or meeting the same time as my classroom. Therefore, many lesson was cut some activity and I taught just ‘Content’ instead of ‘Activity or Laboratory’.

School policy and the director vision would also influenced on science constructivist learning environment. Kung teacher explained about her school director disagreement on science learning outside classroom as below.

“the director disagree with the activity outside classroom because he thought it make school scenery doesn’t clean and clear... one day I took my student go out to measure temperature... but the director scolded, then my student might back to the classroom.

“The other day, my students learning about ‘growing the seed’. It necessary to use sunlight; so, they put their plants behind the classroom. They hadn’t noted their result, the director ordered them to clear the area”

It seemed that Kung teacher perceived examining students’ prior knowledge for the pre-test to comparing to the post test rather than preparing the lesson for challenging or enhancing students’ learning. She also perceived the term of constructivism as students’ learning by themselves at home or outside the class rather than students’ construction meaning through teacher fostering or social interaction. This suggested that she had misunderstood in the constructivist teaching as Kung teacher interviewing below.

Interviewer: Do you know about your student’s prior knowledge?

Kung Teacher: Normally, there are a lot of students in the class; I couldn’t examine their prior knowledge of all my students every hour. Moreover, there are science hours just two time a week; so, I couldn’t remember all my students. I knew from their work. I tried to observe all of students and I could see someone who just sat on the chair and look at their friends. If students who are smart students, he or she will do laboratory. I confess that I didn’t know basic of all students. I teach 8 classes; so, I remember just the outstanding students.

Interviewer: Do you have pre-test?

Kung Teacher: Sometime, really I did it sometime because it take much time on the test; so, it take off my teaching time.

Interviewer: Do you test your students’ prior knowledge?

Kung Teacher: Yes I do, when I start the new unit.

Interviewer: How do you test their prior knowledge?

Kung teacher: Paper and pencil test, I look at the result and observe my student. However, it’s real that I couldn’t see them all.

Interviewer: Do you believe that the students construct knowledge by themselves?

Kung Teacher: Yes. Some students pay attention to the lesson very much, then they learns by themselves at home. This means they construct their own knowledge.

Interviewer: Does ‘construct knowledge’ occurs from teacher or student?

Kung Teacher: It may rise inside students more than teacher (she hesitated) I think that it is support each other. For example, if some students pays attention to some topics, then they try to learn more than in the classroom by themselves. In the classroom teacher construct knowledge for student by many activities but outside classroom students might enhance their own knowledge.

Conclusions

According to research findings, could be concluded that 1) we can use The CLES to urge the teacher, the CLES indicates teacher to aware about their classroom environment. In the 2nd survey, the level of scale 5: Student Negotiation Scale increased from sometimes to be often because of the teacher change her instruction. After the 1st reflection she made more opportunity for her student to share their opinions with her and their classmates; 2) The teacher had alternative conception e.g. she confused in sink and float concept; 3) The teacher does not understand the nature of science, she thought that scientific knowledge can be change but that change is only terminology such as ‘gas’ and ‘gâs’; 4) The director and policy have effects to the teacher; and 5) The teacher does not understand about constructivism. Moreover, in Thai context the meaning of the word ‘constructivist’ was perceived as students studying by themselves rather than students’ construction of meaning through fostering or social interaction.

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Glimpses of African Suicidality: Suicide and Culture in Chinua Achebe's *Things Fall Apart* and Elechi Amadi's *the Concubine*

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Abstract

At present, there is a paucity of information regarding suicidal behavior in many African societies. This is regrettable given that suicidal behavior is a growing social and public health problem in many African societies. Chinua Achebe's *Things Fall Apart* and Elechi Amadi's *The Concubine* are both classical works in African literature that provide vivid depictions of cultural attitudes, beliefs and practices regarding suicide in pre-colonial Eastern Nigeria. These works, therefore, serve among a few potential sources of information for the student or researcher seeking information about traditional cultural beliefs and practices concerning African suicidal behavior. The current paper provides an analysis of suicidal behavior depicted in these two novels, then relates this information to actual data on suicide in contemporary African societies, particularly Ghana.

Keywords: Suicide, Ghana, Culture, Chinua Achebe, Elechi Amadi, African literature, Things Fall Apart, The Concubine

1. Introduction

In many contemporary African societies, suicide is regarded as abhorrent behavior and people who die by their own hands are perceived to have committed highly abominable acts (Adinkrah, 2011a, 2012a, 2012b; Ukwu & Ikebudu, 2000; Ndosu, Mbonde & Yamuya, 2004). Moreover, in many African countries such as Ghana, Kenya, Malawi, Nigeria, Rwanda, Tanzania and Uganda, nonfatal suicidal behavior (i.e. *attempted suicide* or *parasuicide*) is a criminal offense (Adinkrah, 2011, 2012a, 2012b; Dzamalala, Milner & Liomba, 2006; Kanjo, 2011; Musoni, 2011; Wendo, 2007). In Ghana, for example, attempted suicide is prosecuted in criminal courts, with convicted suicide attempters often receiving extensive custodial sentences, significant financial penalties, or both (Adinkrah, 2012b).

Perhaps due to the condemnatory attitudes toward suicidal behavior found across the continent, rates of suicidal behavior, whether fatal or nonfatal, are relatively low (Adinkrah, 2011a; Dzamalala et al., 2006; Ndosu et al., 2004) when compared with rates in Asia, North America and Western Europe. At present, there is increasing but still limited information, be it medical, social or epidemiological, on the subject of suicidal behavior in Africa (Adinkrah, 2011a, 2012a, 2012b; Schlebusch & Burrows, 2009; Schlebusch, Burrows & Vawda, 2009; Vaughan, 2010). Although a few scholarly articles have been published on attitudes and perceptions towards suicidal behavior, suicidal ideation, and epidemiologic characteristics of suicidal behavior among continental Africans (e.g. Adinkrah, 2011a, 2012a, 2012b; Hjelmeland et al., 2008; Ndosu et al., 2004; Osafo et al., 2011), at present, the volume of studies on the phenomenon remains relatively small (Adinkrah, 2011a, 2012a, 2012b; Schlebusch &

Burrows, 2009). This is lamentable given suggestions that the volume and rates of suicidal behavior in some African societies may be increasing (Ogunseye, 2011; Ollenu, 2010; Wendo, 2007).

This article explores the topic of suicide in Africa through literature. More specifically, it examines how suicidal behavior is portrayed in two widely popular, classic African novels. The objective is to, first, provide an in-depth discussion of the suicidal behavior described in the two novels, then assess the extent to which the suicidal behaviors portrayed are consistent with, or reflect the reality of, suicidal behavior in African societies, based on extant knowledge about suicidal behavior on the continent. Hence, the article will include a sociological analysis of the two cases of suicide portrayed in the novels.

Suicidological analysis of these two novels is relevant for several reasons. First, both novels are widely read throughout Africa. Chinua Achebe's *Things Fall Apart* is required reading for many secondary school- and university-level English language and literature courses throughout the continent. First published in English in 1958, and currently translated into over 55 world languages, Chinua Achebe's *Things Fall Apart* is considered the most widely-read novel in African literature, both inside and outside Africa. Hence, it is potentially influential in impacting perceptions of, and attitudes toward suicidal behavior of people in societies within Africa and even beyond the continent. It is notable that over 12 million copies of the book have been sold worldwide since its initial publication. Like *Things Fall Apart*, Elechi Amadi's book, *The Concubine*, is part of the renowned African Writers Series (AWS). First published in 1966, the novel has maintained a substantial local and international readership. *The Concubine* has been used as an examination textbook by the West African Examination Council (WAEC) for over thirty years. It is notable that the current author read Elechi Amadi's book while a secondary school student in Africa in the 1970s and has re-read it several times since. Copies of the books line the bookshelves of university bookstores and other bookshops in Ghana. Both novels have also received substantial literary commentary, reviews and critiques (e.g. Friesen, 2006; Irele, 2009; Lindfors, 1991, 1997; Ogbeide, 2011).

2. Suicide in *Things Fall Apart* by Chinua Achebe

In Chinua Achebe's classic novel, *Things Fall Apart*, the protagonist, Obi Okonkwo, takes his own life in the final chapter of the novel. Having just killed a messenger of the colonial authorities, and with his co-villagers reluctant to wage a war of resistance against the European colonial system, Obi Okonkwo takes his own life. He despairs from disappointment, and is burdened by the idea or thought of becoming the lone resister to the ravages of European colonialism.

The physical scene of Okonkwo's suicide is a thicket just outside his residential compound. The modus operandi or suicide method is asphyxiation through hanging. Achebe (1966, p.190) writes: "Then they came to the tree from which Okonkwo's body was dangling, and they stopped dead." As with many suicides, it is not precisely clear to the reader what the motive for Okonkwo's suicide is. One can only speculate. Perhaps Okonkwo was disillusioned with the reluctance of his fellow villagers to join him in waging a war of emancipation against the European colonialists wreaking havoc on his society. Perhaps he feared the legal consequences of his homicidal act—arrest, prosecution, conviction, and possible execution. Having just been released from a jail into which he and the elders of Umuofia had been tricked by the District Commissioner, acting with the active connivance of the court messengers, and where he was subjected to brutal physical mistreatment and psychological denigration by correctional guards managing a colonial jail, perhaps Okonkwo was reluctant to submit, once again, to a torturous prison life and possible execution that was to follow a conviction for murder.

By the time the District Commissioner and his retinue of soldiers arrives at Okonkwo's residence to enquire about his whereabouts and to effectuate his arrest, Okonkwo's friend, Obierika, and others in the Umuofian community have full knowledge of Obi Okonkwo's death by suicide. However, Okonkwo's body is still hanging from the tree, impossible to be taken down by members of his own ethnic group, because of cultural prohibitions against touching the body of a deceased person

who has died from suicide. The reader learns that only strangers (i.e. persons from other ethnic groups or clans) can remove the body from the tree. Achebe (1969, p.190) writes: “His body is evil, and only strangers may touch it.”

Now we must examine the social reaction and response to Okonkwo’s suicidal act. By shedding his own blood through suicide, Okonkwo has committed a sacrilege in Umuofian culture. His act is an abomination, indeed, a malefaction, offending the gods and spirits through soiling the land; in Umuofia, a suicidal act is an offense against the earth goddess. Unless some appeasement rites are performed to cleanse the community of this sacrilege, the whole community will potentially suffer. Achebe (1969) writes: “When he has been buried we will then do our duty by him. We shall make sacrifices to cleanse the desecrated land” (p.190).

It is important to recognize that Okonkwo’s suicide is not simply a suicide but falls within the category of what criminologists and suicidologists describe as “murder-suicide.” Also referred to as “homicide-suicide,” “homicide-followed-by-suicide” or “dyadic-death,” murder-suicide refers to a homicidal act that is followed immediately, or shortly, by the suicide of the homicide perpetrator. Okonkwo’s suicide was preceded by his murderous action against a colonial court messenger.

It must be further noted that Obi Okonkwo’s suicide is not the only suicidal act portrayed in the novel, *Things Fall Apart*. Chinua Achebe briefly refers to the account of another suicide in the book (p.27) in which a farmer committed suicide by hanging. The man had been disappointed by a poor harvest that had been affected by the violent vicissitudes of the previous year’s weather. Out of frustration and despair, he tied a cloth to a tree branch and hanged himself. Achebe writes:

That year, the harvest was sad, like a funeral, and many farmers wept as they dug up the miserable and rotting yams. One man tied his cloth to a tree branch and hanged himself (p.27).

3. Socio-Demographic Characteristics of Obi Okonkwo

It is typical for suicide researchers or suicidologists to examine the demographic, social and economic characteristics of persons who have committed suicide in order to determine suicide risk and protective factors. In *Things Fall Apart*, the suicide described is one by a person who held tremendous status, wealth and power in his society. By every measure, Obi Okonkwo is the epitome of success in Umuofian society. At the time he is introduced to the reader, he had earned or acquired many of the prized symbols of success in Umuofian society. In the polygynous and pronatalist Umuofian society where a man’s worth was partially determined by the number of wives and children he had, Obi Okonkwo had achieved tremendous success. While still a young man, he already had three wives and eight children. Towards the end of the book, the reader learns that he had fathered at least two more children during a seven-year banishment to Mbanta for inadvertently killing a clansman.

In economic terms, Obi Okonkwo was a beacon of success extraordinaire. He is an industrious and wealthy farmer with two barns full of yams and has taken two out of the four most-prized titles of the land. Obi Okonkwo is also described as a man of considerable valor who has demonstrated gallantry in intertribal wars waged by Umuofia, and has been rewarded with the custodianship of Ikemefuna. He has already killed and brought home the skulls of five enemy combatants in warfare. He has also achieved fame as “the greatest wrestler in all the land” (p.29). In terms of political status, Okonkwo is described as “one of the lords of the clan”; in another paragraph, he is described as “one of the elders and grandees” of the village of Umuofia (p.46).

4. Suicide in Umuofian Culture

After Okonkwo’s suicide, we learn that suicide is a taboo in Umuofian culture. It is described as “against our custom,” “an abomination” (p.190). Self-murder or the taking of one’s life is considered “an offense against the Earth” (p.190). Indeed, so detestable is suicide in the culture that a suicide

decedent's hanging corpse cannot be touched by any Umuofian. His clansmen must pay a stranger or non-citizen to bring down the body. Obierika, Okonkwo's friend, pleads with the District Commissioner to allow his men to help bring down the hanging corpse of Okonkwo because "We have sent for strangers from another village to do it for us, but they may be a long time coming" (Achebe, 1969, p. 190).

In Umuofian culture, a person who takes his own life cannot be buried by fellow clansmen. The suicide's body is considered "evil" and for this reason, fellow Umuofians are barred from touching it; "only strangers may touch it" (p.190). Even then, suicide is so contemptible that despite Okonkwo's great stature in the land, in the words of Obierika, "now he will be buried like a dog" (p.191). The reader learns that the District Commissioner ordered the court messengers to bring down Okonkwo's corpse: "Take down the body," the Commissioner ordered his chief messenger, "and bring it and all these people to the court" (p.191). The reader is not informed about what happens to Okonkwo's mortal remains. But, by custom, a person who commits suicide in Umuofian culture is not buried with proper mortuary rituals and protocols. His body is deposited in the malevolent, evil forest, the dumping grounds for people with "evil" diseases (e.g., leprosy, smallpox) and a place of interment for people who die ignoble deaths (e.g. suicide). No grave is dug for such bodies; they are simply left to rot. Given that suicide is an offense against the earth, appropriate rituals are subsequently performed to cleanse the earth. The reader learns that following the interment of the suicide's body, the people must "make sacrifices to cleanse the desecrated land" (p.190). In contradistinction with the reprehensible treatment accorded a suicide decedent's corpse and the denial of mortuary rituals for the suicide, among Umuofians, a man who dies a normal death is given an "expensive burial ceremony" (Achebe, 1966, p.147).

5. Suicide in *the Concubine* by Elechi Amadi

In *The Concubine*, Madume and Emenike are both young, male farmers in the village of Omokachi. The two had been embroiled in a protracted row over a piece of farmland. The elders and priests of Omokachi met to arbitrate and settle the land dispute. The disputed piece of land was awarded to Emenike but Madume was dissatisfied with the decision and continued to lay claim to the land. One day, the two men met on the disputed tract of land and a physical confrontation ensued. During the fight, Emenike was gravely injured and spent several days physically incapacitated while recuperating. Emenike appeared to be recovering from his injuries but died some days later from "lock-chest" (p.21).

Some months following Emenike's death, Ihuoma, Emenike's widow, goes to the disputed plot of land to harvest some plantain. While harvesting the produce, Madume arrives at the scene and restrains her from conveying home the plantain she has harvested. He asserts, once again, that the disputed land belongs to him, as do any produce yields from the land. Then, he physically mistreats Ihuoma by grabbing at her arm and shoulders. Ihuoma is terrified by the encounter and runs home crying, relating the incident to Nnadi, her brother-in-law. Nnadi rushed to confront Madume, but Madume was unfazed. The two engaged in a brief physical altercation before onlookers separated the two men. On that same day, while harvesting additional ripe plantain from the disputed land, a spitting cobra projected its poisonous venom into Madume's eyes. Despite the efforts of the local medicine man to cure him and restore his sight, Madume went totally blind in both eyes within days.

Madume was melancholic over the turn of events. His behavior in his blind state is described in the book as "strange" (p.75). He became extremely hostile and aggressive towards his wife, village elders, and other co-villagers. His wife and children became frightened of his demeanor and eventually abandoned him physically. Wolu, his wife, was afraid and suspected that Madume would kill her when he threatened to beat her mercilessly (p.75). Out of fear for their lives, she and the children abandoned the matrimonial home. Prior to her departure, Wolu told Madume that she would be back after a day. Madume felt abandoned. He fumbled his way into his living room and then hanged himself. His wife later discovered his corpse dangling from a rafter in their living room.

6. Socio-Demographic Characteristics of Madume

Madume is in his early thirties. He was not a particularly successful or accomplished farmer. As a farmer, his yams were described as “few” (p.4). In a polygynous society where having multiple wives was emblematic of successful masculinity, Madume had only one wife. He lived in a patriarchal society that valued bearing sons; yet, he had four daughters and no sons. His compound was described as “small with only two houses in it” (p.4). Madume lacked industriousness. He was described as not interested in putting up extra houses since that meant regularly thatching them for the rainy season, a very laborious job that he “hated” (p.4) to perform. “His wife always complained of a leaking roof” (p.4). Indeed the roof of his current house was once in such a state of disrepair that his wife threatened to thatch them herself in order to shame him into action. She abandoned the idea only when she realized that doing so would incur the wrath of her husband and elicit a beating from him. She discovered that the husband had stockpiled a dozen cane sticks in his bedroom to beat her if she dared thatch the roof. The only thing Madume had going for him was his great “bulk” and his “pair of calves”. Even then, he is described in the novel as “not particularly strong” (p.4). All in all, he is described as “by no means a very successful man” (p.4).

7. Spatial and Temporal Aspects and Modus Operandi of Madume’s Suicide

Madume committed suicide by hanging, using his wrapper to make a noose. His suicide occurred in the living room of his locked house, out of sight from family and neighbors. Prior to committing suicide, he had fastened the door to ensure absolute privacy. Madume committed suicide within minutes of his wife and children abandoning him. He is described as having fumbled his way into the living room, fastening the door, and hanging himself.

8. Social Response to Madume’s Suicide

The social response to Madume’s suicide was decisively negative. Among the people of Omokachi, suicide was regarded as a reprehensible act. Madume’s death by suicide is described in the novel as “a terrible end!” (p.77). Ihuoma, Emenike’s widow, “thought her husband’s death [by illness] was incomparably more honorable” than Madume’s death via suicide (p.77). In response to Madume’s death by suicide, Nwokekoro, the priest of Amadioha, was recorded as saying: “This is bad, very bad” (p.76).

Further evidence of the reprehensibility of suicide in Omokachi culture is the treatment of the suicide decedent’s body. In Omokachi, no ordinary citizen can take down the body of a suicide. Only a *dibea* (medicine man) possesses the spiritual ability, power, and skill to properly remove the body of a suicide. In Madume’s case, the family and residents of Omokachi had to await the arrival of the medicine man who had traveled to treat a client in another village. When later Anyika, the medicine man, arrived to take down Madume’s body, he did so only after he had “armed [himself] with amulets and powerful charms” (Amadi, 1966, p.76). Again, the medicine man “fortified two strangers, who were to bear the [suicide’s] body, against evil spirits” (Amadi, 1966, p.76).

Further evidence of the cultural revulsion towards suicide in Omokachi is found in the mode of interment of Madume’s deceased body. In Omokachi, the corpse of a suicide could only be discarded in the deep forest. So, the two fortified strangers “began the long trek to Minita, the forest into which bodies rejected by the earth were thrown” (Amadi, 1966, p.76). Note that only spiritually fortified strangers could carry the body into the deep forest. Average citizens were forbidden from having any physical contact with the body.

According to custom, people who die “good” or “normal” deaths in the village of Omokachi receive two burials. Meanwhile, suicide is so reprehensible that people who die via suicide do not receive a second burial (p.81). Indeed, the enormity of the revulsion towards suicide in Omokachi culture is clearly revealed in the implications of denying a suicide a second burial. The elaborate rituals

described for Emenike's second burial and its lack for Madume connotes the degree of revulsion for suicide. Furthermore, there is no mourning for people who die by suicide among the Omokachi (p.81). To announce Madume's death by suicide, the *Ikoru* or talking drum is beaten (p.172). This is indicative of the gravity with which the people of Omokachi regard suicidal death, as only the most serious and solemn of matters evoke the beating of the *Ikoru* drums.

9. Madume's Suicide Motive

Madume's suicide was triggered by a conglomeration of factors. First, Madume appeared to have been greatly distressed and disconsolated over his blindness. Prior to going blind, Madume was a highly confident, proud and boastful person and a physical presence who was occasionally chosen to represent the village of Omokachi in inter-village negotiations. While receiving treatment for, and recuperating from the eye injury sustained from the spitting cobra, Madume had been receiving a stream of visitors and well-wishers to his compound. When he realized that his eyesight could no longer be restored, he began to refuse any visitors, and withdrew physically and socially, no longer wanting to "see or be seen" by others. In a discussion with Chima and two other elders of Omokachi who had come to discuss his maltreatment of his wife and children, Madume lamented his lack of sight, asserting that his blindness was far worse than lunacy (p.73).

Madume also despaired over his loss of physical and psychological control over his household. Prior to his blindness, Madume had used physical violence and threats of violence to control and dominate his wife and children. Now, totally blind, he was not only completely dependent on his wife and children, but was physically incapable of controlling them. In one scene, he is angered by his wife's persistent complaints about a leaking roof and a house in a state of dilapidation, as well as others, but is unable to deploy the same amount of physical violence he had used in the past to control or silence her. In his blindness, he throws his walking stick at her but narrowly misses (p.72). She finally lodges a complaint with the chief and elders of Omokachi about Madume's domestic violence and abandons him when Madume is unresponsive to requests to cease his violent behavior.

Third, it can be conjectured that Madume committed suicide from dashed hopes that his eyesight would be restored and that he would be allowed to resume a normal life. The medicine man had performed propitiation rites to the gods while Madume submitted himself to the daily regimen and frequent ministrations of eye lotions and eye drops in anticipation that they would be effective in curing his blindness. In the end, however, there seemed to be no recovery in sight and he was rendered totally blind.

10. Spiritual Interpretations of Madume's Suicide

Madume's blindness is believed to be an act of a god. The projection of cobra venom into his eyes that preceded his blindness and indirectly precipitated his death by suicide is attributed to Emenike's spirit, said to be seeking revenge. Many believed that Madume's specific physical maltreatment of Ihuoma, Emenike's widow, may have caused Emenike's spirit to strike out at Madume.

Another perspective proffered is that Madume's blindness and eventual suicide is punishment for his avarice and covetousness ("big eye," p.4, p.16, p.77) and his refusal to acknowledge and abide by the edicts of the priests and elders of Omokachi who had ruled that the disputed land belonged to Emenike and his family. Anyika, the medicine man, proclaims that the spitting of the cobra "is obviously the act of a god, probably a very powerful god" (p.70). Following his divination into the incident, he concludes that "several spirits are involved here" (p.70). He tells Madume's wife, Wolu, that "I do not treat your husband until the gods have been appeased with a suitable sacrifice" (p.70). Ihuoma, Emenike's widow, also believes that Madume was driven to suicide as punishment for his bad behavior:

Unconsciously, Ihuoma stopped her [nut]cracking and began to think of Madume's death. Somehow she had been convinced that something bad must be in store for a man who was so 'big eyed'. It was impossible for the wicked to go unpunished, the everwatchful gods of retribution, Ofo and Ogu, always made sure of that. They were not particularly powerful gods but they reminded stronger gods of those due for punishment. But what a terrible end! She thought her husband's death was incomparably more honorable (p.77).

The reader encounters another perspective in the interpretation of Madume's death. We are told that Madume's death by suicide was caused by the king of the sea. According to Anyika, the medicine man's divination, in the spiritual realm, Ihuoma was the incarnation of the sea king's favorite wife, who came to live among humans, against the objections of the sea king. Although the sea king had allowed Ihuoma to live out her life among humans, he was very jealous of her and sought to punish any man who made love to her or expressed romantic interest in her. Ihuoma was therefore unmarriageable; Emenike had been spiritually killed by the king of the sea for marrying Ihuoma. Ekwueme was also spiritually killed by the king of the sea when he was finalizing plans to marry Ihuoma. When the spitting cobra projected its venom into Madume's eyes, it was because Madume was being punished for physically assaulting Ihuoma and for secretly holding a desire to marry her. The king of the sea personally took a decision to avenge the assault on Ihuoma and to put an end to Madume's interest in Ihuoma.

11. Sociological Analysis of Suicide in the Two Novels

The remainder of the article provides an analysis of sociological facets of suicide in the two novels. First, as previously noted, in terms of classification, Okonkwo committed a homicide-suicide, also known as homicide-followed-by-suicide, dyadic death, and murder-suicide. In homicide-suicides, the perpetrator of a homicide subsequently commits suicide. Madume committed suicide only.

Second, with respect to sex or gender characteristics of the suicide, in both novels, the suicides are male. Madume and Okonkwo are both male, as is the other suicide briefly mentioned in Achebe's *Things Fall Apart*. This predominance of male suicides in the novels is congruent with findings in the suicidology literature. In the vast majority of societies, men are much more likely to kill themselves than are women (WHO, 2000, 2008). In Ghana, for example, the rate for both lethal and non-lethal suicidal behavior is several times higher for males, compared with females (Adinkrah, 2011a, 2011b, 2012a, 2012b). In separate analyses of suicide data from Tanzania (Ndotsi et al., 2004) and Malawi (Dzamalala et al., 2006) researchers found higher rates of self-inflicted death among men than women.

Regarding the socio-economic status of persons who engage in fatal suicidal behavior, the suicide literature reveals that globally, suicide is more often committed by people of lower socioeconomic status. Obi Okonkwo's suicide, then, is atypical. His is the suicidal behavior of an elite, upperclass, renowned and respected person with wealth. As previously mentioned, Okonkwo had also achieved several titles of respect and honor. Madume's suicide, however, is typical in the sense that he is obviously of lower socioeconomic status.

It is notable that both suicides were married with children. They leave behind widows and fatherless children. Given that both men were the principal breadwinners, the surviving family is likely to suffer economically from the absence of the suicide.

In both novels, the suicide method is asphyxiation through hanging. Okonkwo hanged himself, as did Madume, while the other suicide briefly mentioned in *Things Fall Apart* was also by hanging from a tree. This is consistent with the predominant suicide method in many African societies (Adinkrah, 2011a, 2012a, 2012b). For Ghana, Adinkrah (2011a, 2012a, 2012b) observed that the main methods of suicide were hanging and the ingestion of poisons. While most suicides hanged themselves or drank poison at home, in the case of suicide by hanging, a few went out into the bush to complete the suicide. In both Tanzania and Malawi, hanging ranked second to self-poisoning as a suicide method (Ndotsi et al., 2004; Dzamalala et al., 2006). Although suicides by firearm are increasing in some

African societies, the primary suicide methods in the majority of suicide cases are hanging and self-poisoning.

What was Okonkwo's motive for killing himself? What was the motive for Madume's suicide? Both protagonists are driven to suicide by shame and despair. In the case of the farmer whose suicide is mentioned briefly in *Things Fall Apart*, his motive may have been economic, stemming from crop failure. This is consistent with findings in the literature on suicidality in Africa (Adinkrah, 2011, 2012a). In the case of Obi Okonkwo, he is driven to suicide by an overwhelming sense of despair that his comrades would not wage a war against the European intruders whose actions had wreaked havoc on his society. Suicide data reveal that people who are unable to deal with the stress of disappointment, hopelessness and despair are prone or susceptible to suicidal behavior (Adinkrah, 2011, 2012a; Ndosi et al., 2004).

In both novels, we learn that suicide is regarded as abhorrent within the wider society in which it occurs. Both authors describe traditional beliefs, religious practices and customs that pertain to suicide. Each community has ways of expressing dismay upon receiving the news of the suicide. Here, the reader learns about the taboos associated with suicide. In *The Concubine*, suicide is an abomination. People who die by suicide receive no second burial and there is no public mourning. The suicide's body can only be touched by a fortified medicine man and strangers from other lands. When removed, the body must be thrown into the forest, deprived of any burial.

12. Discussion and Conclusion

Legends, proverbs and other oral history, oral traditions and fictional works are among the means by which societies distill attitudes, perceptions and response to suicidal behavior and suicidal ideation. Through these two novels, we are able to discern the beliefs, ceremonies, customs, rituals and practices associated with suicide among the Igbo of Eastern Nigeria (Ukwu & Ikebudu, 2000). With Chinua Achebe's novel we are presented with a portrayal of beliefs, values, attitudes and practices concerning suicide in pre-colonial Igbo society. Born in 1934 in the Delta Region of Eastern Nigeria, Elechi Amadi grew up and received his formal education in the same region that is the focus of Achebe's *Things Fall Apart*. As an Igbo, Elechi Amadi's *The Concubine*, is also an accurate representation of cultural beliefs and practices of the Igbo (Isaac, 2012).

A cursory review of the ethnographic literature and historiography of African societies reveals several close parallels between cultural attitudes, mortuary beliefs and funerary practices concerning suicidal behavior in many African societies and those which are depicted in the two novels (Mbiti, 1970; Ukwu & Ikebudu, 2000; Vaughan, 2010). To illustrate, among the Akans of southern Ghana, suicide is a transgression against the gods of the land and the ancestral spirits of the people. In pre-colonial times, among the Ashantis of Ghana, an Akan subgroup, death by suicide was treated as a capital offense, occupying a level of gravity comparable to murder (Rattray, 1969). Consequently, the corpse of the suicide decedent was tried in a provisional court constituted by the chief and council of elders, invariably found guilty, and decapitated; the mutilated corpse was then discarded in an uninhabited thicket, with said spirit becoming a wandering ghost (*samantwentwen*), unable to travel to the netherworld to join the band of his ancestral kin. Additional punishment for the suicide included asset forfeiture to the state. Among the Ewes of Ghana, the deceased bodies of suicidal people used to be interred in special cemeteries. Among the Akans of Ghana, today, people who die by suicide do not receive a fitting burial. The body is hastily buried in a substandard casket and public grieving is forbidden. Also, Akans believed that offending the gods of the land via suicide could only be alleviated through the enactment of proper propitiation rituals. Akan culture also forbids coming into direct physical contact with a suicide decedent's corpse; it is partly for this reason that a suicide decedent is given a hurried, haphazard burial and denied funeral obsequies. Among the Anlo Ewes of Southern Ghana, prior to colonial contact, the bodies of persons who died normal deaths were interred in the family compound. However, the Ewes treated suicide with such repulsion that the suicide decedent's

corpse was interred in a shallow grave on the outskirts of villages or towns, thereby limiting the ability of the decedent's spirit "to reincarnate into the body of a newborn infant" (Greene, 2002, p.92). Also, among some ethnic groups in Northern Ghana, when a suicide occurs inside a house or an apartment, the corpse must be removed through a window or some specially created aperture in the wall. It is believed that conveying the body through the doorway permanently desecrates the doorway for the living. According to Mbiti (1970), among the Abaluyia of Kenya, if a person died from suicide, "then people fear to dig the grave for him as this would infect them with impurities; and his grave diggers must be paid a goat which they kill and wash the impurities with its blood" (p. 201).

Jean La Fontaine (1960) observed from an analysis of suicidal behavior among the Gisu ethnic group of eastern Uganda that a suicidal act is considered abhorrent; both the corpse of a suicide and the spatial location of the suicide are evil, polluting and contaminating. The Gisu believe that relatives or close patrilineal kinsmen of a person who commits suicide may, themselves, be induced to commit suicide if they come in contact with a suicide or the physical setting in which the suicide occurred. For this reason, every effort must be made to avert direct physical contact with the suicide decedent's corpse or the physical surroundings where the suicide occurred. In the specific case of a suicide by hanging, only a non-kinsman can bring the body down from the hanging tree. Then, the tree on which the suicide occurred must be immediately hewn down and incinerated. It is believed that unless this is done, a person in the community will hang himself from the accursed tree. In former times, the Gisu cast the body of a suicide into an uninhabited forest without a burial. The Gisu also believe that pacification and cleansing rituals must be performed to cleanse the community of the pollution emanating from the suicide; otherwise misfortunes will befall the wider community (Fontaine, 1960).

Additional supporting evidence is available. Meghan Vaughn (2010) observed from her analysis of inquest records on suicide deaths in Malawi during the colonial era that local attitudes toward suicide were highly negative, with suicide being regarded as "bad" death. In terms of the gender composition of perpetrators of suicide, males exceeded females in the volume of suicidal acts. Besides, the suicide's corpse was considered by Malawians as polluting, was gravely feared, and was therefore often given a swift burial in locations beyond the confines of village, with truncated mortuary rites. The dominant suicide method during this epoch was hanging. Bewitchment, ancestral spirits and the activities of other spiritual forces were sometimes blamed for suicidal deaths (Vaughn, 2010). Thus, it can be seen that although the two novels are works of fiction, their portrayal of suicide has a high degree of congruence with the cultural beliefs, practices and attitudes of several African societies, now and in the past.

The comparative literature on suicidal behavior shows that suicide rates are markedly lower throughout Africa compared with most developed industrialized nations (WHO, 2000). This analysis also shows that in both traditional and contemporary Nigerian and Ghanaian societies, suicidal behavior is frowned upon. Whether the outcome is lethal or nonfatal, suicidal behavior brings shame and calumny, not only on the individual suicide or suicide attempter, but also on their families. Can one surmise that the unstinted stigma surrounding suicidal behavior plays a deterrent role in African suicidality? Studies in suicidology have amply emphasized culture's critical impact on the extent and nature of suicidal behavior in a given society (Goldsmith, Pellmar, Kleinman & Bunney, 2002; Lester, 2005). While some cultures regard suicidal behavior as an acceptable option in selective situations, some proscribe suicidal behavior under any circumstances. Indeed, several epidemiological studies reveal that a society's cultural traditions, beliefs, values, and practices governing suicidal behavior have a major influence on the suicide rate of the society. This stems from the fact that socialization into a culture strongly affects how individuals view suicidal behavior. While greater social stigma against suicidal behavior is regarded as a protective factor inhibiting suicidal behavior, lesser stigma is associated with a greater risk for suicidal behavior (Goldsmith et al., 2002).

In *The Concubine*, Madume resorted to suicide, partly because of his blindness. He could not cope with the challenges associated with his physical disability. A review of the relevant literature reveals that some suicidal persons in Africa and elsewhere resort to suicide in response to one or

multiple forms of physical disability. In contemporary African society, such chronic physical conditions as HIV-AIDS, blindness, epilepsy, leprosy, cancer, tuberculosis and physical paralysis, have been identified as conditions contributing to suicidal behavior (Adinkrah, 2011; Ndosi et al., 2004). In that sense, Madume's suicide is not unusual.

A notable feature of suicide described in *The Concubine* is the tremendous emphasis given to spiritual interpretation of Madume's suicide. As noted, Madume's suicide was attributed to the actions of the gods. Despite what seems to be an apparent link between depression emanating from his loss of sight and his suicide, Madume's suicide is given a spiritual interpretation. One learns from the novel that Madume lost his eyesight, was melancholic and was having uncontrollable bouts of weeping. He was described as "weeping like a woman" (p.71). His depressive illness was exacerbated by his family's departure, which culminated in his suicide. Yet, in what is characteristic of traditional interpretations of suicide in Africa, it is averred that the spirits may have punished him, inducing him to commit suicide, with its affiliated shame and stigma. In Ghana, while suicidal behavior is generally considered conscious and willful, some traditional explanations of suicidal behavior implicate supernatural forces and suggest that not all who engage in suicidal behavior are acting out of their own volition. People who engage in fatal or nonfatal suicidal behavior are believed to be driven to the act by some unseen evil forces beyond their control. For example, some suicides are perceived to result from bewitchment, whereby malevolent witches spiritually direct their victims to take their own lives. Suicidal behavior is also believed to result from a family curse that can span generations. It is also believed that sorcery can be used to drive another person to engage in suicidal behavior. Such externally-induced spiritually-based suicidal behavior may be detected through divination.

In conclusion, this article has examined the portrayal of suicide in two classic African novels and their implications for African suicidality. The article has demonstrated that negative attitudes toward suicide in Africa are just as strong today as they were 50 years ago when these novels were first published.

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The Implementation of Regulation: Securities and Brokerage Supervision

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Abstract

This paper has the objectives of investigating the effectiveness of securities brokerage regulation implementation and examining the variables related to its effectiveness at the Thailand Securities and Exchange Commission (SEC). The researcher has developed a proposed model derived from public policy implementation, financial regulation, capital markets supervision, and review of the supervision and related literature. The research employed both qualitative and quantitative methods, which provided insight into the relationships among variables. The results of empirical analysis revealed that communication, regulator capacity, regulatory objectives, and attitudes of regulator are related to the effectiveness of securities brokerage regulation implementation. The empirical results also suggested that the communication factor has the closest relationship and is also the predicting variable for the effectiveness of securities brokerage regulation implementation. The results of the analysis confirm the theory and concept of implementation. To ensure the effectiveness of regulation implementation, the greatest emphasis should be placed on the communication process of the supervisory agency. Moreover, the target group should be given the same significance as the supervisory agency. The effectiveness of regulation implementation requires the effort of both the supervisory agency and the target group.

Keywords: Securities Brokerage Regulation, Securities and Exchange Commission (SEC), Public Policy, Effectiveness of Regulation Implementation

1. Introduction

For many years, the capital markets have been recognized as a foundation for the sustainable economic growth of countries. The evidence demonstrates a positive relationship between financial development and economic growth, which is largely due to the functions of financial development; mobilization and allocation of resources are among the most prevalent functions contributing to economic growth (Abma and Fase, 2003 quoted in Islam, 2012).

Some have argued that since its commencement in 1975, the Stock Exchange of Thailand (SET) has stood at the heart of the country's capital markets and economic development. Millions of investors are benefiting from the growth of the SET and, hence, are contributing to the growth of the economy. Hundreds of companies from a broad range of industries (e.g., agriculture, manufacturing, technology, services) have come to depend on the SET's role as an intermediary to raise the funds necessary for growth (Stock Exchange of Thailand, 2006). In the middle of the whole picture between the SET and investors are the securities brokerage firms that act as intermediaries providing for the

flow of transactions between the parties. These intermediaries are identified as vital within the capital markets. They allow investors to harvest the benefits of the market. To the same extent, the markets also allow these intermediaries some effective risk-hedging tools against the diverse risks in the market (Allen and Santomero, 2001). According to regulation, these intermediaries need to be placed under the supervision regime for a number of reasons, including (1) to limit the use of monopoly power and prevent serious distortions to competition and to maintain market integrity, (2) to protect the common people from mismatch of information where some information is hard or costly to obtain, and mistakes could destroy welfare, and (3) where there are sufficient externalities that the social, and overall, costs of market failure exceed both the private costs of failure and the extra costs of regulation (Brunnermeier et al., 2009).

For the reasons listed above, financial regulators have tried to initiate a range of regulations and methodologies to regulate the intermediaries in the capital markets. Over the years, prudential regulation and supervision of securities brokerage firms have somewhat intended to ensure the safety and soundness of the financial system by constantly monitoring each firm's activities. These prudential requirements comprise different rules and requirements which ensure that firms will act prudently at all times. The rules and regulations include capital adequacy requirements, lending rules and restrictions, liquidity standards, accounting rules including valuation and classification of loans, and provision for loan losses (Huïpkens, 2000 quoted in Cetin, 2011). This supervision methodology has been relatively sufficient in the past. However, as the markets grow more complex and the number of transactions grows, prudential regulation alone cannot help to ensure that market integrity is protected. The trend in supervision is now shifted toward more proactive and more intrusive supervision to ensure that the objectives of supervision, as outlined above, are maintained. This has resulted in different methodologies being adopted by various supervisory agencies, such as proactive, risk-based, and result-oriented supervision methodologies (Masciandaro et al., 2011). It is now fundamental for the government and supervisory agencies to consider the element of regulatory implementation rather than attempting only to ensure sufficient rules and regulations to cover all business transactions. The idea is that the government and supervisory agencies should ensure not only that their existing rules and regulations are adequate, but also that they understand whether or not those rules and regulations are adequately implemented. In addition, the effectiveness of regulation is not only to be measured by having adequate numbers of rules and regulations to control the target population; the emphasis should be directed to the question of how effectively the supervisory agencies can perform the implementation tasks associated with those rules and regulations.

This study was undertaken to develop an understanding of the regulation implementation process initiated by a financial regulator, namely the Thailand Securities and Exchange Commission (SEC), in the supervision of securities brokerage firms. As well as understanding the regulation implementation process, the study also seeks to examine the major variables that influence the effectiveness of regulation implementation and the relationships among the variables. The effectiveness of regulation implementation in this study is referred to as the ability of the SEC to ensure and encourage compliance of securities brokerage firms with its rules and regulations. Given the centrality of the risk-based approach (RBA) to the SEC's supervision framework, it is integral to evaluate the effectiveness of the RBA supervision regime and its influence on the effectiveness of securities brokerage regulation implementation. The supervision processes of many regulatory agencies from all over the globe have been criticized for the roles of their supervision regimes. Therefore, in the regulatory world, many issues surround the effectiveness of regulatory implementation. This also raises issues regarding how best to evaluate the effectiveness of regulation implementation. Thus, the primary motivation for this study was to develop a system that evaluates and provides better understanding of the implementation process of securities brokerage regulation.

The rationale of regulatory implementation began with a conceptual framework for effective policy implementation based on several articles from the Organization for Economic Co-operation and Development (OECD) and the different models used in analyzing the effectiveness of policy

implementation (OECD, 2010; Van Meter and Van Horn, 1975). The research identified five independent variables which were selected as the basis for the analysis, including:

- 1) The first variable is “regulatory objectives,” which refers to one of the variables that influence the effectiveness of securities brokerage regulation implementation. The regulatory objectives are related to how well the supervisory agency sets out its objectives and procedures in the supervisory regime.
- 2) The second variable, “regulatory resources,” refers to the inputs that are available for implementation programs. Regulatory resources can include funds or other incentives in the implementation program that might encourage or facilitate effective implementation.
- 3) The third variable is “regulator capacity,” which refers to the ability of the regulator to do what it is expected to do. Regulator capacity can also involve other factors such as overworked and incompetent staffs, insufficient information, political support and financial resources, and time constraints.
- 4) The fourth variable is “attitudes of regulator,” which refers to the extent of the officers’ willingness to implement or the resistance to regulation implementation and the variation in the resources and attitudes of constituency groups toward statutory objectives and policy outputs of implementing institutions.
- 5) The fifth variable is “communication,” which refers to the extent to which the information, including supervisory objectives, supervisory procedures, and rules and regulations, is transferred among the parties involved in the securities brokerage regulation implementation.

2. Objectives

This research aims to:

- 2.1 Investigate the effectiveness of securities brokerage regulation implementation.
- 2.2 Understand and examine the variables that are related to the effectiveness of securities brokerage regulation implementation under the SEC’s current supervision regime.
- 2.3 Provide recommendations for improving and effectively implementing securities brokerage regulation.

3. Hypotheses

As derived from the analysis and literature review, as well as information from various experts, the research set out to test the following hypotheses:

- H1:** Regulatory objectives, regulatory resources, communication, and attitudes of regulator each have a relationship with regulator capacity.
- H2:** Regulatory objectives, regulatory resources, and communication each have a relationship with attitudes of regulator.
- H3:** Regulatory objectives, regulatory resources, communication, attitudes of regulator, and regulator capacity each have a relationship with the effectiveness of securities brokerage regulation implementation.

5. Research Method

Even though this particular research is quantitatively orientated, it employed the advantages of qualitative research. The research methodology can be divided into two parts:

5.1 Qualitative method: The research began with a review of the related literature on policy implementation, financial regulation, and capital markets supervision. Qualitative research methodology was then used during the earlier stages of the research. During this first part of the

research, in-depth interviews and observation were employed to understand the relationships among various variables and the process of regulation implementation.

5.2 Quantitative method: During the second stage, quantitative research methodology was employed using data collected from individuals who represented various organizations. In this stage, research questionnaires were distributed to participants to evaluate the effectiveness of securities brokerage regulation implementation. The results from the questionnaires were used to determine the factors contributing to the effectiveness of implementation of securities brokerage regulation.

6. Discussion and the Results of Hypotheses Testing

The objectives of this study were to investigate the effectiveness of securities brokerage regulation implementation and to understand and examine the factors influencing its effectiveness in the SEC's supervision regime, as well as to provide recommendations for improving the implementation of securities brokerage regulation. To achieve these objectives, the study developed the proposed model, which was derived from public policy implementation, financial regulation, and capital markets supervision literature. The information gained from the initial interviews with both supervisory agency officers and regulated entities' staffs was also incorporated into the model for this particular research. The research methodology employed both qualitative and quantitative methods, which provided insight into the relationships among the variables. The information obtained from both statistics and in-depth interviews revealed that four variables have a relationship with the effectiveness of securities brokerage regulation implementation, as hypothesized, with the exception of one variable which was found to have no relationship with the effectiveness of securities brokerage regulation implementation.

For the first hypothesis, the results indicated that regulator capacity has a positive relationship with regulatory objectives (Pearson correlation = .607), regulatory resources (Pearson correlation = .786), communication (Pearson correlation = .783), and attitudes of regulator (Pearson correlation = .393). The result of the correlation showed that regulator capacity will tend to increase when there are more regulatory resources available and better communication processes, the regulator has positive attitudes toward the implementation, and the regulatory objectives are clear during the implementation process.

In the second hypothesis, the results indicated that regulatory objectives (Pearson correlation = .294) and communication (Pearson correlation = .394) have a relationship with attitudes of regulator. On the other hand, regulatory resources were found to have no relationship with attitudes of regulator. The result of the correlation showed that the attitudes of regulator will tend to be positive when there is better communication and regulatory objectives are clear and consistent. In contrast, regulatory resources were found to have no relationship with attitudes of regulator.

The effectiveness of securities brokerage regulation implementation was affected by four of the variables, including communication (Pearson correlation = .447), regulator capacity (Pearson correlation = .429), regulatory objectives (Pearson correlation = .328), and attitudes of regulator (Pearson correlation = .259), and had a relationship with the effectiveness of securities brokerage regulation implementation. However, regulatory resources were found to have no relationship with the effectiveness of securities brokerage regulation implementation.

In addition, the variable of communication was also found to be the only predicting variable concerning the effectiveness of securities brokerage regulation implementation when all of the variables were simultaneously analyzed using multiple regression analysis (MRA). Standing out from other variables, communication was found to have the highest relationship with the effectiveness of securities brokerage regulation implementation. Contributing factors such as the clarity and appropriateness of the channel of communication and the level of participation in communication were among the factors that had a relationship with the effectiveness of the implementation. This finding is consistent with the information obtained from in-depth interviews, which also supported the significant relationship of the communication variable with the implementation process. The implementation

process of securities brokerage regulation requires many regulatory components. According to the regulation formation process required, the supervisory agency officers seek information from many sources (e.g., examiners in the inspection field, management, other departments such as legal or capital markets supervision, other supervisory agencies such as the Bank of Thailand or the SET, and regulated entities, that is, the securities brokerage firms). This information is necessary in drafting rules and regulations. The process of hearing from the target group is undertaken to ensure that comments from the regulated entities are taken into account. Once the regulation is completed, the officers responsible for the particular regulation will communicate the essence of the regulation to other officers in the areas for inspection and monitoring.

The variable found to have the second-highest relationship with the effectiveness of securities brokerage regulation implementation was regulator capacity. The relationship between these two variables can be explained by the information obtained during the in-depth interviews. A number of interviewed officers expressed their belief that the capacity of the regulator allows both more effective enforcement activities and an attempt to encourage compliance. The issue of the leader's competence seems to be one of the more important issues identified by interviewed officers. The process of implementation of securities brokerage regulations usually is subject to the perceptions of the securities brokerage firms regarding risk-to-objective criteria. Therefore, the leaders of the supervisory agencies play a key role in making decisions that affect firms' risk ratings and the results of enforcement and sanctions. Highly competent leaders who understood both the process of implementation and business practices were likely to help facilitate the process of regulatory implementation. A supervisory agency can thus benefit from the ability to detect and to deter any non-compliance matters, given the ability of the leader to make reasonable decisions.

The variable of regulatory objectives also had a relationship with the effectiveness of securities brokerage regulation implementation. The information obtained from in-depth interviews was consistent with the statistical results. Many supervisory agency officers interviewed expressed that the benefit of having clear objectives helps them establish clearer paths toward the outcomes associated with regulatory objectives. They also similarly suggested that regulatory objectives were crucial to the process of regulation implementation. The clarity of the objectives allows supervisory agency officers to focus on the outcome of the regulation. For example, prudential regulation requires firms to act prudently at all times. Moreover, the aim of prudential regulation is to ensure that all securities brokerage firms act prudently, and this is related to the stability of the overall capital markets. With this level of clarity in regulatory objectives, supervisory agency officers can develop a full comprehension of their tasks in relation to the implementation of prudential regulation in the target group. They will have to ensure that the outcome of regulation, which is to ensure that all firms can maintain their prudential requirements at a certain level, can be achieved. Moreover, they will likely reduce performance of other unnecessary tasks or tasks that do not relate to the objectives. This can result in reductions in the time spent during supervision and monitoring and, hence, lower the cost of supervision. In addition, the officers can focus on the objectives and this is likely to lead to greater effectiveness in securities brokerage regulation implementation.

Attitudes of regulator is the last variable used to examine the effectiveness of regulation implementation. The attitudes of regulator had the slightest relationship with effectiveness of securities brokerage regulation implementation. Attitudes of regulator, which refers to the officers' willingness to perform given tasks, can be categorized into two major categories: officers' acceptance of and commitment to the implementation program. The in-depth interview information revealed the reasons for the supervisory agency officers' acceptance of the implementation program. For example, the officers felt that the process of supervision should take into account business practices. If regulations were consistent with business practices, resistance from the business industry would be less likely. Supervisory agency officers will then agree to the supervision process and in effect try to ensure that the objectives of the regulation can be achieved.

The results obtained from in-depth interviews showed no relationship between regulatory resources and effectiveness of securities brokerage regulation implementation. Regulatory resources were considered to be tools to improve the capacity of the officers, but the actual effectiveness of the tasks came from capacity of the supervisory agency to manage those resources. For this reason, the increase in the quantity of those resources was found to be irrelevant to the outcome of the implementation.

8. Summary and Concluding Remarks

The primary objective of this research was to identify the variables that influence the effectiveness of regulation implementation and to analyze the relationships among those variables. In addition, one should also recognize that the processes of implementation are considerably different and vary from context to context. As there are differences in context, stakeholders, and characteristics, a single theory or a single model of implementation may not be sufficient to explain the phenomena. The international experiences and models that this study examined might not be appropriate for full application in a particular country's context. Regarding this point, it is therefore important for policy makers, policy implementers, and supervisory agencies to adapt different methods and strategies to tailor the implementation to each of context.

The empirical results revealed that communication is one of the most vital factors for effective implementation of regulation. With this in mind, attention to individual components within the communication factor should be given the highest priority to achieve the maximum benefits of the implementation process. The section below outlines approaches that can be used to enhance the effectiveness of regulation implementation:

- 1) Supervisory agencies should improve the communication process by including the elements of clarity, consistency, and participation across departments. Both supervisory agency officers and securities brokerage firm staffs suggested during the interview process that this can help to enhance supervision. Better processes of communication would allow the supervisory agency officers to better inform the target group and improve the effectiveness of regulation implementation. The results of empirical analysis and in-depth interviews showed that clear communication and ensuring that communicated messages are consistent and include all stakeholders in the communication process can enhance the effectiveness of implementation of securities brokerage regulation. Information regarding the essence and the objectives of regulation must be communicated to every responsible supervisory agency officer. The suggestion to enhance communication highlights the significance of the intra-organization communication process. Effective communication in organizations is correlated with the success of organizational operations. Recent research on communication has explained the positive correlation of communication and a number of organizational outputs, such as organizational commitment, organizational performance, organizational citizenship behaviors, and job satisfaction (İnce and Gül, 2011).
- 2) Supervisory agencies should allow more channels of communication among their officers. The empirical results suggested that understanding regulation objectives and processes of supervision is crucial during implementation. The research on implementation has shown that inadequate information can lead to misunderstanding, which can cause confusion among implementers about what exactly they are required to do. Problems such as implementation instructions not being transmitted and information being distorted, vague, or inconsistent may create serious impediments to policy implementation (Makinde, 2005). Therefore, allowing for different channels of communication can help with the flow of messages that need to be communicated. This also ensures that supervisory agency officers understand the overall view of capital markets supervision.

- 3) Supervisory agencies should consider regulator capacity in the implementation of securities brokerage regulation. The regulator's capacity includes factors that derive from both the leader and the implementing officers. First, the leader can influence capacity via leader competence and leader commitment (Cheema and Rondinelli, 1983). When leaders are highly competent, they can provide effective leadership in the implementation process. Moreover, they also can function as consultants to advise supervisory agency officers on problems that arise from the process of implementation. Leaders can provide the guidelines necessary for the implementation of regulation. Second, the skills and competence of the supervisory officers were identified as crucial variables. The empirical results also showed that the capacity of the regulators is critical in the implementation of securities brokerage regulation. In-depth information gained from the interview of supervisory agency officers confirmed that the number of years of work experience as a regulator has a positive relationship with the capacity of the regulator to perform supervisory tasks. Many young officers with fewer years of work experience in the supervision field reported difficulties in terms of understanding the purposes behind some of the supervisory tasks. Moreover, many supervisory agency officers found that a number of supervisory tasks were performed in accordance with "routine." However, a lack of knowledge of the underlying reasons for the routine among supervisory agency officers prevents them from linking routine tasks to supervisory objectives. The research suggested that not only should these supervisory agency officers be trained in the various skills needed to perform supervisory tasks, but also that this training should specify how tasks are related to their duties and supervisory objectives.
- 4) Supervisory agencies should ensure that their regimes are more dynamic. Some feedback from securities brokerage firms related to the role of supervisory agencies themselves. Suggestions from the questionnaires, the information from interviews, and the international research show that the regulatory regime of supervisory agencies should be more dynamic. An effective supervisory agency should fully comprehend the diverse functions of its target population as well as the changing processes in the business environment. In addition, the role of the supervisory agency should be agent of change in terms of the supervision process. It is also worth noting that this change process is directly related to the supervisory agency's capacities in the supervision of its target population. The regulator's capacity to adjust the supervision process to suit the target group's business practices and environment is significant to keep up with the pace of today's business environment. With reference to this changing process, the supervisory agency's supervision role should be more proactive (Ojo, 2009). The supervisory agency should promote a positive level of voluntary compliance among the target population. This can be done by increasing the participation level of securities brokerage firms in the supervision process and allowing them to recognize the benefits of supervision. More importantly, the supervisory agencies should also try to shrink the supervision regime that uses rule-based procedures and move toward an objective-based supervision regime.

Furthermore, this study highlighted the essential factor of the relationship between the supervisory agency and the target population; for regulation implementation to be effective, the supervisory agency must take into account the level of acceptance and the participation rate of the target population. Additionally, the supervisory agency should try to ensure that its regulation regime is sufficiently flexible to provide the target population with some leeway to adjust to diverse business situations and thereby increase the level of voluntary compliance from the target population.

To summarize, supervisory agencies and regulation implementers should consider improvements in communication, including the elements of clarity and consistency, as well as the participation in communication variable. An increase in channels of communication among supervisory agency officers can result in the improvement of regulation implementation. Equally

important as the factor of communication is the significant relationship between the supervisory agency and its target population; effective implementation of regulation depends on the compliance level in the target population.

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The Setting in Time and Organisation of the Akan Oral Narrative: A Case Study of Akan Folktales

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Abstract

This paper presents the organisation of Time in the Akan Oral Narrative in terms of Genettean Time, according to Order, Duration and Frequency. The paper is based on the author's collection of 50 Akan Folktales. The tales were collected, transcribed and translated into a narrative text in English as part of this study. It is observed that Time Order in the Akan Oral Narrative is mainly in the past tense; there are Flashbacks, but there are also hints of anticipation or Amorce, and the present tense is also used. Of Time Duration, there are descriptions which do not add to story time but there are others which do. Whereas some events are jumped over, others spanning long time periods are just summarised. Sometimes, some characters take over the narration from the narrator when they engage in dialogue, or reveal what is on their mind so that *story time* becomes equal to *narrative time*. This means that all five narrative speeds, namely Pause, Slow-Down-Scene, Ellipsis, Summary and Scene in Genettean metalanguage, are observed in the Akan Oral Narrative. Concerning Time Frequency, an event may occur once and be told once; or occur many times but get told only once. Some may occur a number of times and be told that number of times or even occur only once but told many times. Hence, there are Singulative Frequency Type 1, Singulative Frequency Type 2, Iterative Frequency, and Repetitive Frequency respectively. Scene in Time Order is a notable mechanism which reduces omniscience oppression and thereby helps ensure plausibility in the discourse.

Keywords: Akan Oral Narrative, Discourse, Story, Narrative, Genette, Time Order, Time Duration, Time Frequency

1. Introduction

A narrative operates in three major domains: it moves with time, presents a point of view, and displays a narrating voice. In Genettean metalanguage, Time, Voice and Mood are the broad categories of narrative discourse, and each has its own sub-categories. According to Genette (1983), Time has three main sub-categories which are Order, Duration and Frequency (see also Anon., 2013) for another interesting discussion of these). "Time Order" refers to the arrangement and use of time in the narrative; "Time Duration" means the narrative speed, or the way the narrative is paced, and "Time Frequency" means the number of times an event that occurs gets told. The presentation of Time in the Akan Oral Narrative (AON) is a study of the three sub-categories of time and their occurrences in the AON text.

2. The Data

The paper uses a collection of fifty (50) Akan Folktales (AFs) as an oral narrative text in English (see the author's book entitled *50 Akan Folktales from Ghana: English and Akan Versions* (Mireku-Gyimah, 2011a). Numbered one to fifty, the tales are collected from a homogenous group of Akans in three Akan towns in the Ashanti Region of Ghana and viewed as one structure, just like one novel. The approach to this study has been to analyse the tales and bring out examples of how Time is organised in the narrative and also show how the organisation of time renders the tales vivid and helps the AON achieve some level of realism.

3. Time Order in the AON

Time Order is the first sub-category of Time and it has two main sub-categories: Analepsis and Prolepsis. Analepsis and Prolepsis can each be sub-divided into Exterior, Interior or Mixed, Repetitive or Complete, and Partial or Complete.

On examining the various ways in which Time (of events) is organised in the AON, it is observed that even though events reported are mainly past ones, certain events in the narrative can happen much earlier or much later in the story. The arrangement of Time is, therefore, looked from the past, using the flashback technique, and from the future, using the flash forward or foreshadowing technique. Thus, with reference to the events being recounted, Time Order is both Analepsis (flashback) and Prolepsis (flash forward).

It must be noted that the AON usually uses the omniscient narrator: an all-knowing storyteller. Being omniscient and knowing almost everything about the characters in his or her story, the narrator tends to give plenty of information, especially background information (Heterodiegetic Analepsis) on the characters which he or she introduces into the story, and this allows chronological sequence or linearity in the events recounted in the story. This linearity becomes important in ensuring logical order. In addition, Amorce is used to give hints about future events but, sometimes, definite narrator statements may give future events away in the form of Prolepsis.

Tale 14 has an example of Analepsis which is Mixed: Exterior and Interior Analepsis, that is, flashback event which is external to the story but comes back to rejoin a time inside the story. This is when a messenger brings news of the death of *Kwaku's* mother-in-law (*Kwaku's* full name is *Kwaku Ananse* and he is the chief trickster of the AFs):

Narrator:

... One day, *Kwaku* returned from the farm to meet a visitor waiting for him. *Kwaku* gave him water to drink. The visitor gave the long and short of his message saying, “*Kwaku*, recently we informed you that your Mother-in-law was sick. Unfortunately, try as we did, she died this very dawn ... God did not spare her life....”
(p. 79)

In the foregoing, a recall of the news of the woman's sickness is noted to precede the actual news of her death, which occurs at the very dawn of the day in question. We, as the audience or readers, do not see her during the period of her sickness, so this bit of information comes to fill a gap. It is observed that the extract starts from Analepsis (“*Kwaku*, recently we informed you that your Mother-in-law was sick”) and joins the present time (“this very dawn ...”). The use of “recently”, an adverb of time, indicates a time in the recent past which meets the present indicated by “this very dawn”, an adverb phrase. The Analepsis covers a time outside Story Time.

Tale 14 also has an example of an Amorce. Unlike the Analepsis, the Amorce covers information which is inside story time as a prediction. This information concerns the funeral of the late mother-in-law of *Kwaku Ananse* – a funeral which is to be held much later. The following are the words of the narrator:

... A date was fixed for the performance of the funeral rites: laying in state of the body, burial and the family gathering/final funeral rites. *Kwaku* informed the friends – all the

animals – and they said, “*Kwaku*, because of the cordial relationship that exists between you and us, we shall all attend the funeral to give you support. (p. 79)

In Tale 24, the audience is treated to Heterodiegetic Analeptic background information on the heroine, who is a barren woman. Yet there is much information that projects into the future. We learn from the narrator that:

... there lived a certain woman who had travelled far and wide for a child but had none of her own. So she visited the shrine of a god in search of a child. The god promised to give her a child, but she was told that should she break the rule which would govern the child, it would be counted as an abomination to the child. In that case, the god would come and take back the child.... (p. 149)

In this instance, we move from a time in the woman’s past outside the story time – which is marked by the past perfect tense: ... “had travelled” - to a time in the present, which is time inside the story when she has visited a shrine and has been promised a child. From here, however, there is a cross-over to a time in the future where she will give birth to her child. The rule to govern the child is also hinted at.

We, therefore, note that there is a back and forth rhythmic movement in this story as it switches between the distant past and the distant future, and we find a prediction and a warning in anterior time. We observe of the AON that most pieces of information on time are clearly marked in the stories with time locutions such as those observed in Tale 24: “The next day”, “Some time later”, “A while later”, and “Meanwhile”, (in bold):

Narrator:

... **The next day**, when she presented the palm-oil to the priest at the shrine, she was given the palm-oil back to go and drink it.... **Some time later**, a woman invited her to go and work on a farm ... **A while later**, she heard the child crying again **Meanwhile**, as for the child, it cried, and cried and cried (pp. 149 – 150)

4. Time Duration in the AON

Time Duration is the second category and is sub-divided into five Time speeds, namely Pause, Scene, Slow-Down-Scene, Summary and Ellipsis. The use of all five Time speeds is observed in our corpus of tales, that is, in the AON.

4.1. Pause in the AON

Pause abounds in the AON and it usually occurs in the course of the narration when the narrator leads the story off to other topics, which may not be directly connected with the story being recounted. Pause arises mainly because the tellers are expected to offer various answers, definitions and explanations in the course of the narration. Doing these, however, offers the narrator the opportunity to also display wisdom, intelligence, an appreciable level of knowledge and competence at using language. Examples of Pause in the AON are observed in Tales 13, 15, 36 and 48 and discussed below:

First, in Tale 13, the sequence of events recounted stops in story time while the narrator questions the narratees as to whether they know *mpampa* (porridge), whether they know how to prepare various soups and dishes and whether they can guess what a “bony egg” could mean. Then the narrator goes on to offer several pieces of advice, especially on cooking, to the young ladies in particular (see English Version [EV], pp. 69-74). Second, in Tale 15, Pause occurs when the narrator discontinues his story, as it were, to talk about the Original Sin (“of our great grandparents, Adam and Eve”) and its consequences on humankind (see EV, pp. 87-96). Third, in Tale 36, the narrator engages in a discussion of the origin and importance of the Akan traditional woven cloth, *kente*, towards the end of the story, when he only needed to say the closing formula and thereby end the story in an acceptably correct manner (see EV, pp. 210-216). In that tale, it would be noticed that instead of just finishing off the story, the narrator digresses to talk about how *Ananse* escapes into the rafters and then

decides to weave the cobweb, which becomes a model for weaving that famously colourful and intricately designed traditional Ghanaian cloth referred to as *kente*. Finally, in Tale 48, the narrator tries to do an exposition on the concept of democracy (*deε-mo-kra-atee*) (see EV, pp. 314-321). In all these examples, we have Time Duration, which is actually a Descriptive Pause.

Apart from these, the musical interludes of the narrators and the narratees also constitute Pause since these musical interludes do not contribute directly to the story. They are, however, not to be confused with the songs sung by the narrators as integral parts of the stories because those narrators' songs are not digressions.

Pause can be clearly marked in the story with the words "Hold on (to your gun/talisman/whisk)" and "I am holding on (to my gun/talisman/whisk, very firmly, etc)". These words are used when the narratee wishing to lead a musical interlude, formally requests permission to start it by employing the laid down formula to address the narrator. Usually, this person would say, "Hold on (to your gun/talisman/whisk)" and would receive the narrator's response as permission with the formula: "I am holding on (to my gun/talisman/whisk, very firmly, etc).

4.2. Slow-Down Scene in the AON

Like Pause, Slow-Down-Scene also abounds in the AON. As a narrator continues with the narration, he or she can offer numerous descriptions about the characters, especially the major ones, in order to throw more light on their character traits. Such descriptions also lead the narratees to know whether a character is attractive or repulsive and whether to emulate or not to emulate him or her. The descriptions also lead to the imagination or anticipation of the possible actions of a character and the consequences in store for such a character. The examples of Pause and Slow-Down-Scene are instructive but those exemplifying Slow-Down-Scene also create suspense, which deepens the pleasure level of the AON.

We have an example of Slow-Down-Scene in Tale 48 when the narrator engages in the description of yam types and also answers questions from the audience. He does this in an attempt to get the narratees to understand or picture the kind of yam he mentions in the story. This particular yam is important at this point in the story because it is around it that there is going to be such a keen contest among Skygod's three sons - Nightfall, Moonlight and Daylight - for leadership and its trappings (see Tale 48 again: EV, pp. 314-321):

Narrator:

That yam Skygod will place at the durbar grounds and which, if you are able to call its name, He will make you the leader, is called *kantankyibomo*.

A Narratee:

Nana, what is *kantankyibomo*? What is it like?

Narrator:

Kantankyibomo is a very old yam species. It is very tasty, superseding even *adabreko* and *pona*.

A Narratee:

Nana, is it the one which is purplish in colour like that lady's dress? (*The narratee points at the lady's frock*).

Some Narratees and the Narrator (*in chorus*):

No, that one is called *afuu*.

A Narratee:

Does it still exist?

Narrator:

These days, they are not available. (*He continues his story*). Now, it was time for the festival. God Almighty called his men ... (p. 316)

Sometimes, the narrator uses similes in the descriptions constituting the Slow-Down-Scene. For example, in Tale 15, the narrator describes the new kingdom conjured for Hunter-turned-King by the

mysterious lady, who becomes his wife and queen, and his complete transformation from abject poverty to royal status, by using the words in the following extracts, with the similes marked by the use of “like”:

Narrator:

... She instructed him saying, Father Hunter, close your eyes”. Then she said to him, “Open them”. The hunter opened his eyes to see a large stretch of land cleared of weeds; **it was like a very big farm.** ... She commanded him the third time ... He closed and opened his eyes to see nice, magnificent buildings whose type cannot be found here in Kumasi city; it was a beautiful sight. ...

Narratees:

Wow, lovely! (*They applaud the miracle*).

Narrator:

My brother and my sister, there were overhead bridges and underground tunnels; it was a very beautiful city indeed! By the time he closed and opened his eyes again, there were flowers galore! Flowers covered the whole city! My brothers and sisters, you could really believe in miracles there! When he did that yet another time, he saw people from all walks of life ... and two big cars. Ten others had lined up. The young beautiful lady said to the hunter, “Nana, this one is for you. We shall ride in that one to the residence, the chief’s palace. I shall lead you. ...you are going to reign at the level of a paramountcy, to oversee many sub-chiefs. Finally, the hunter’s unsightly headgear had also changed to become the regal *kente* cloth by the time he had closed and opened his eyes for the last time...

Narrator:

The woman was also wearing *kente* - queen style! She also had on her feet *ahenemma* the traditional “royal” slippers. **Her headgear was made of pure, glittering gold just like that of Otumfuo.** My brothers and sisters, wonders will never end. **The car that stood there was like the President’s....** yesterday.... Did you see the President’s car on TV? Did you watch it? ... At the May Day celebrations. Now, come and see; policemen guarding him and all. What else did *Nana* need? He had servants, who served him. All the inhabitants loved *Nana* the chief. By this time, his title had been changed from Hunter to Paramount Chief. Paramount Chief is no mean a title! ... My dear siblings, come and see happiness. Come and see prosperity! ... (pp. 89-90)

Furthermore, Slow-Down Scene occurs when the narrator engages in a showing of what constitutes impure dialogue such as interior monologue (stream of consciousness) of characters. For instance, as in the excerpts from Tale 13 [EV], pp. 69-74, we find the inner speech of *Yaa*, the young lady and that of her unnamed, ugly, old mother. The young lady’s thoughts about a plan to dispose of the mother, who, she believes, has been the obstacle between her and marriage, are revealed to us from the young lady’s own perspective (as shown in bold) without the narrator’s intrusion:

Narrator:

... So one day, as the young lady sat there, she thought: **“If while my mother is alive she has become such an obstacle to my progress by way of marriage, then, why shouldn’t I devise a way of eliminating her from my home altogether? Why don’t I take her out of my life and hope to succeed in finding a man to get married to? ...”** (p. 70).

In the same way, the old lady’s fears and deep sense of hopelessness on being abandoned in the forest by her only child are also revealed to us through the old woman’s own perspective (as shown in bold) without the narrator’s intrusion:

Narrator:

... The old woman stayed there until evening. The young lady never surfaced again. This old woman remained where she sat in the tree; she cried and cried and cried. **“Who will rescue me?”**... Oh children, this is a sad case. (p. 70)

It is interesting to note that these monologues and rhetorical questions (inner speeches) also constitute Reported Discourse, the third type of indirect speech, which Genette (1983) refers to as Direct Discourse. They are forms of Narration of Speech, actual imitation of speech and an absolute mimesis, unlike Narration of Events. Genette (1983) thinks indirect discourse is the most mimetic “where the narrator pretends literally to give the floor to his character...” (p. 172)

In addition to these examples, there is also Slow-Down-Scene when, during the narration, the narrator breaks into singing of songs which are integral parts of the stories. In such instances, those songs in the tales become forms of Slow-Down-Scene because, as previously observed, they form part of the contents of the stories and are thus directly connected to the stories, which the songs also help to advance.

4.3. Scene in the AON

In addition to Pause and Slow-Down-Scene, there is Scene in the AON. When the heterodiegetic narrator gives the floor to the characters in a dialogue, we have Scene, which is like pure dialogue in drama, where narrative time is actually equal to story time because the narrator ceases to talk or comment on anything. Scene is a very common device in the AON. It is dramatic and helps to advance the stories as well as heighten narratee enjoyment, especially when there is a challenge as in Tale 1, a hot exchange of insults between characters or when characters engage in a fight as in Tales 4, 7, 39, 43 and 46. The following final exchange (dialogue) during the last moments of *Ananse* the trickster’s life when he is confronted by Squirrel the saviour in Tale 1 is a vivid example:

(Narrator:

When Squirrel got down, *Ananse* saw him and shouted:

“Father Squirrel, where are you going?”

“Am I not in the same famine situation as you and struggling together in search of food to eat?”...

“Come let me show you something”

(Narrator:

When Squirrel arrived and they walked to the scene of the wonderful stone, Squirrel stood still and kept quiet. *Ananse* also stood still and kept quiet. Then *Ananse* said to Squirrel:)

“Aren’t you going to say it?”

“Aren’t you going to say it?”

“The way you stand there quietly, you are blockheaded; you are thick in the head, not clever at all”.

“So are you; you are also not clever at all”. ...

“Didn’t you attend school?”

“Didn’t you also attend school?”

“Say it?”

“Say what?”

(Narrator:

Ananse forgetfully shouted:)

“By Jove! Honestly! A st- stone which has grown a beard, eye-lashes and two - big eye-s?”

Narrator: Hardly had *Ananse* completed the statement than he was whisked into the air and flung back to the ground with a thud, *puu*. *Ananse* was dead... (p. 3)

4.4. Summary in the AON

In Tale 14, previously studied, an example of Summary is discovered in the narrator's comment about the news of the death of *Ananse's* mother-in-law when the narrator gives "the summing up preamble" to the message about to be delivered to *Ananse* and his wife, *Ɔkɔnɔɔ*:

The visitor gave the long and short of his message saying (p. 79)

In the narrator's words cited above, we notice a kind of reduction in the narrative information.

Another instance of Summary can be found in Tale 44. In that tale, Hen who refuses to attend meetings has been condemned to death by her colleagues' decision at one such meeting when she has been absent. Then it is communicated to her that she would be killed much later at Christmas time to seal the end-of-year festivities. Even though there is a time lapse between the day she is handed the "death sentence" and the actual date fixed for her execution, we find that this time period is reduced or cut short by way of summary when the narrator states:

Now she was there when the year ended (p. 284)

In Tale 16, each of the many wives of the Late Father (*Ɔ*)*Dom* the Fish must weep and fill a container with her tears as part of the widowhood rites in order to exonerate her from being considered as the killer of their husband. However, after two of them have individually sung their dirges and been able to meet the demand, the narrator sums up those of the intervening successful widows (as shown in bold), and jumps to the last widow, *Konkontibaa* the Tadpole for her turn, which is also the contrast, for she cannot meet the requirement. *Konkontibaa* the Tadpole's turn is also the climax - and significant - because it is pointed out in the narration that "that is the killer" (p. 105). According to the narrator,

The process began with the first wife. She started to wail At the end of her wail, she had been able to produce tears that filled the brass basin to the brim. ... The next wife also showed up, she attacked the task in earnest...She was able to fill the brass basin with her tears. **And so the other wives followed. It happened that they were also successful in filling the brass basin with their tears. The container was full, full, full, full, each time till it got to the turn of Madam Tadpole – that is the killer.** ...She also sang her dirge.... She could not produce even a tear drop! Indeed, at the end of her wail, the brass basin was as dry as the desert.... (pp. 104-105)

The same pattern occurs in Tale 1. *Ananse's* discovery of the strange killer stone during a period of famine leads him to cunningly kill almost all animals in the forest until Squirrel intervenes. *Ananse* manages to kill Duiker, then Bull, but in between those two and Squirrel, who is the last character and the antagonist, the one who is indeed the real hero of the story (since it is he who manages to outwit *Ananse*), the narrator shortens or sums up time (as shown in bold) when he jumps over the many other unspecified number of animals *Ananse* tricks to death before Squirrel appears. The narrator tells the narratees that:

Almost every animal that was met was tricked and killed for food in the same manner by *Ananse*. However, **while *Ananse* was all the time doing this, Squirrel was also hiding on a tree and watching but *Ananse* did not know this. When Squirrel arrived** and they walked to the scene of the wonderful stone, Squirrel stood still and kept quiet. *Ananse* said, By Jove! ... Hardly had *Ananse* completed his statement than he was whisked into the air and flung back to the ground ... *Ananse* was dead. Squirrel said, "... It does not pay to be so greedy." (pp. 2-3)

The use of summary breaks the monotony of repetition and thereby also helps avoid boredom. Above all, it sets the imagination agog as the narratees guess or picture what devastation might have been done through the greed of *Ananse*, and thus to anticipate an end to the trickster's roguery. When at last Squirrel appears on the scene as a knowledgeable rescuer, the narratees can believe that the villain is going to meet his downfall and they look forward to the conflict and resolution with anticipation and keenness as well as a sense of relief knowing that, as much as possible, there will be poetic justice and good will prevail over evil. This is particularly so since Squirrel had gathered

intelligence on *Ananse's* tricks. But, above all, the countless animals and events “summed up” in the story, give believability to the narrative that Squirrel has actually had ample time to carefully study what has been going on, so he cannot fail if he has finally come down to face *Ananse*.

The second sentence: “However, while *Ananse* was all the time doing this, Squirrel was hiding on a tree and watching but *Ananse* did not know this ...” offers a preparation as a form of anticipation and so can be said to be an example of an *Amorce*, in that, it provides a hint about a future event which is *Ananse's* impending defeat by Squirrel.

4.5. Ellipsis in the AON

Ellipsis is a common feature in the AON where narrative information is leaped over or only implied. In Tale 15, for example, Ellipsis occurs when the narrator stops narrating the whole length of what happened after Hunter's good fortune. The narrator rather elides the next episode by using the expression: “some time later” with the adverb of time “later” repeated three times to emphasise the time lapse between the two ends of the story, as being very long indeed. In the words of the narrator,

... some time later – later, later, later – it happened that the famous, ubiquitous and gracious *Kwaku Ananse*... (p. 90)

From the above, it becomes clear that there is Ellipsis since a whole chunk of the story is elided. Time Duration in the form of Ellipsis essentially adds plausibility to the story. It also helps keep the length of the tale short and maintains the characteristic economy of words of the AF (see Mireku-Gyimah, 2011b and 2011c).

5. Time Frequency in the AON

Frequency is the third sub-category and there are Singulative Frequency Type 1, Singulative Frequency Type 2, Iterative Frequency and Repetitive Frequency.

The AON characteristically starts with a clearly marked Singulative Frequency. The narratives begin with expressions that translate exactly as “Once upon a time” (“Long ago”, etc.) and therefore situate the tale in a past time frame. This is done only once. Henceforth, the narrative proceeds mainly in the past tense and uses Iterative Frequency to relate what is habitual while using Repetitive Frequency to emphasise important characters, events and situations. Genette notes that the normal frequency used by the traditional narrative is the Singulative. Repetitive Frequency which is used for special effect may be adopted by both traditional and modernist narrative.

In Tale 8 (see EV pp. 44-45), for example, it is observed, as usual, that the story starts with the Singulative Frequency Type 1, which is the equivalent of “Once upon a time”:

Narrator:

Was it not some eight gossiping women who went to a nearby village to trade during one of its market days (p. 44).

However, the account of the women's encounters with the over-excited lion in whose den they have unknowingly sought refuge from rain and darkness is given by the habitual tense “would” and verb (“ask”, “respond”). This is to express time for describing what occurs ‘n’ times, but is told just once, as shown in bold in the following extract:

Narrator:

The women were lucky to find a way of escape and one left; they planned to leave one after the other. However, **each time** this lion went out and returned home, he **would ask** the same question: How many are you in there?” And they **would respond**: “We are eight in number.” So when the lion went out for the second time another woman escaped. (pp. 44-45)

“Planned” (in “they planned to leave”), “went ... returned” (in ...“went out and returned”) and “escaped” (in “another woman escaped”) are, in turn, examples of Singulative Frequency Type 1 whereas “went out” (in “So when the lion went out for the second time another woman escaped”) is an

instance of Singulative Frequency Type 2 and tells ‘n’ times what happens ‘n’ times: the lion goes out twice and so two women escape, one after the other, each time.

Tale 30 offers another example (see EV pp. 180-182). In it, *Ananse* discovers a food producing bowl during a famine. He keeps it hidden and enjoys its assorted foods for some unspecified time before losing it through his children. We note that in telling the habitual actions of *Ananse* and the magic bowl, Iterative Frequency is adopted using “each time” and would + verb (“say”, “sit”, “walk”, “start”, “produce”, ... “eat”, “wipe” ..., “come” ... and “take” ...), but this is after the initial use of the Singulative Frequency Type 1. The extract below exemplifies this:

Narrator:

Kwaku Ananse and his wife and children built a hut and lived in it somewhere. Then one day, in the course of a severe famine, Kwaku took his machete and left for the bush in search of palm fruits for the family’s palm nut soup. The palm tree stood by a river. **Each time** he harvested one, it fell into the river. **Each time** he harvested one, it fell into the river till it got to the last one.... (p. 180)

“Built”, “lived”, “(one day) ... took (and) left” and possibly “stood” connote the idea of one-time happenings being told once, thus these verb forms fall under Singulative Type 1 whereas “till it got to the last one” (in “**Each time** he harvested one, it fell into the river **till it got to the last one**”) is an example of Summary because the narration is shortened.

Time Frequency of *Ananse*’s actions when he discovers the bowl in the bush and then brings it home is as follows:

Narrator:

So *Kwaku Ananse* **sat** down and **ate** what he **could** and carried the *apotɔyowa* home and hid it inside the rafters on top of the hut. Now, **each time** the wife **got** the family meal ready and he **was invited** to table, he **would say**, “Oh give my portion to the children to eat; let the children have all.” He **would sit** for a while and then he **would walk** around the yard and finally **climb** to the rooftop inside the rafters. When he arrived there he **would start** the magic conversation:

“What a beautiful bowl!”

“I am not called ‘Beautiful’”

“Then what are you called?”

“I am called ‘Produce-some-cooked-food-in-abundance-for-me-to-eat’”

“Then produce some cooked food in abundance for me to eat.”

The bowl **would produce** different dishes in abundance. He **would** then **eat**, **wipe** the lips as if he has done nothing, and **come down** and **take** a seat. But one day, ... (p. 181)

In the above–quoted extract, “carried” and “hid” suggest the Singulative Frequency Type 1, but the verb/verb phrases in bold belong to the Singulative Frequency Type 2 (Iterative). The dialogue between *Ananse* and the magic bowl belongs to Scene (Time Order), and we note that the present tense is used in it.

It is also observed that the Iterative Frequency (Time Frequency) use here has implications for Time Duration (narrative pace/speed) in the form of Summary and Ellipsis. As may be observed, with the introduction of Iterative Frequency, narrative time is reduced or even infinitely reduced because we do not know how many times or for how long *Ananse* uses the magic bowl to his advantage before losing it. Summary allows the narrator to say it all in a few words while Ellipsis helps in jumping over much narrative information.

Continuing with the excerpt from Tale 44, we also discover an example of Singulative Frequency Type 2. This is when the narrator emphasises Hen’s irreversible suffering. The following is the narrator’s account of it:

... Nana says we should come along with you; he has selected his executioners, and we are going to kill you. Hen pleaded and pleaded and pleaded and pleaded and continued to plead in vain. At all cost Hen had to die. (p. 284)

From the narrator's words, it is observed that the repetition of "pleaded" extends to an indefinite time, which meets the present time. In fact, Hen continues to "die" every Christmas.

Going back to the example of Tale 1, we note how the narrative uses Singulative Frequency Type 2 to relate *Ananse's* encounter with Duiker and then Bull. Each event that occurs 'n' times is narrated 'n' times. This frees the text of monotony and also encourages varied imagination.

6. Conclusion

This paper has studied the presentation of Time in the Akan Oral Narrative (AON). It specifically examined how Time is organised in the AON, according to Genette's schema of Time Order, Time Duration and Time Frequency. It is concluded that the use of Time in the AON is mainly the past tense (or Ulterior Time) but it is spiced with Flashbacks (or Analepses); Amorges, which are hints of anticipation; and, the present tense. Time Duration is Pause; Slow-Down-Scene; Scene; Summary; and Ellipsis; whereas for Time Frequency, there are Singulative Frequency Type 1 and Singulative Frequency Type 2; Iterative Frequency and Repetitive Frequency. On the whole, Time Organisation shows the AON (represented by the Ejisu-Onwe-Kwaso AFs) to be a traditional narrative style with interesting built-in mechanisms that help to keep the tale fresh and plausible.

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Examining Expatriates Work Involvement in Gulf Countries

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Abstract

Gulf countries are significantly contributing to the global oil and gas requirements. Gulf countries economy primarily depends on hydrocarbon processing industries. It requires highly skilled work force. Lack of in-house competency and resources in gulf countries unable them to fulfill the need for huge number of qualified and experienced work force. Hence, gulf countries largely depending on expatriates work group to fulfill this competency gap and demand. Over 100 nationalities are contributing in gulf countries oil & gas segment. One of the important social factor in gulf countries, although the expatriates work for decades, they cannot obtain the nationality here. This study made an attempt to evaluate the expatriates work involvement as they know that these countries are not their permanent living place for life. There are five independent variables has been taken for this study namely demographic factors, remuneration, communication, motivation and recognition and their effects on work involvement. Expatriates working in UAE, Qatar, Oman, Kuwait and Bahrain are contributed in the randomized data collection. The results revealed that the impacts are significant on the work involvement by these variables which has taken into account for this study.

Keywords: Work involvement, communication, motivation, recognition, employee retention.

1. Introduction

Gulf cooperation countries consist of Saudi Arabia, Oman, United Arab Emirates, Kuwait, Qatar and Bahrain. They have huge oil and gas reserves and contributing significantly to the global oil and gas requirements. Oil and gas exploration, processing and exporting processes requires cutting edge technology and highly skilled work force. Since the demand is huge, the in-house manpower in these countries are less and unable to fulfill the need. Hence, these countries relying on expatriate work force to meet the demand. Expatriates from over 100 countries are working in gulf countries contributing a lot in oil and gas segment growth and productivity. Expatriates working in gulf countries don't get citizenship although they work for years. Hence, it is always remains in their mind that this is not their permanent place for life. At the same time, it is highly important for the gulf countries to rely on expatriate work force for sustainable development in oil and gas segment which contributes significantly in their gross domestic growth (GDP). This study made an attempt to examine the work

involvement by expatriates working in gulf countries and the major contributing factors in their work involvement.

Physical and mental association of an employee while performing a task can be described as work involvement. If an employee performs a task with highest work involvement, this can result in quality and sustainable output. As advocated by Farnham (1993), high quality output enhances the business success. High work involvement while performing the tasks reduces both tangible and intangible wastages. Good remuneration, pleasant environmental conditions at work place, effective communication, motivation by employer while performing good performance and appropriate recognition of employees are among major critical factors which can enhance the work involvement of the employees. It is witnessed that higher the work involvement increases the retention rate among the employees (Koch and McGrath, 1996). Since industries strive for productivity, it is critical for them to retain the highly talented work force for sustainable growth and profitability.

High amount of expatriates are working in gulf countries. Ben – Bakr (1994) studies revealed that the expatriate turnover is one of the major concern for organizations in the gulf countries. Several factors are playing vital role in employee retention in gulf countries such as motivation, empowerment, remuneration, recognition etc. Work involvement is one among the important gauging parameter to evaluate the intention of the employees to remain in the organization and to perform as expected by the organization. Expatriate employee turnover result in significant losses (Bhuan and Abdul muhmin, 1995). This is due to several reasons such as lengthy process of recruitment, identifying suitable replacement, legal process to bring the people from overseas etc. It also takes time for the new comer to accommodate themselves to the new environment at work place and outside the workplace. Hence, it is one of the highly important tasks of the organization to identify the ways and means to retain the talented expatriate employees.

Banai and Reisel (1993) did a study on employee turnover tendency in gulf countries. It revealed that the tendency of turnover varies among domestic work force comparing expatriate work force. Expatriate work force is more volatile to move for new jobs as their requirements are different comparing domestic work force. It is also witnessed that the nature of job and tenure of job also plays a pivotal role in work involvement and employee retention (Cohen, 1992). He also concluded that the people works on contractual role are more prone to change jobs than the one works on permanent basis. The work involvement and commitment towards organization also varies between these two groups based on their type of employment. Studies conducted by Williams and Hazer (1986) identified strong relationship between demographic variables and its effects on employee retention. It provides us a way to verify the effects of demographic variables on work involvement of the employees. Studies by Dewar and Werbel (1979) validated from their studies that there is a negative correlation between age and turnover tendency of the employees.

In this study, we made an attempt to identify the factors which influences the work involvement of expatriate employees working in middle east countries and its effect on employee retention. Appropriate literature review has been supported to validate this concept which has been discussed in the following literature review chapter.

2. Literature Review

Human resource management process involves selection, induction, career development and retention to achieve sustainable business growth. Organizations continue to strive for retention of employees as they heavily invested on them. Several factors are playing pivotal role in employee retention among which involvement in the work by the employees is one of the key indicators about their intention to continue in the organization or not. Parker and Wright (2001) advocated the importance of remuneration as one of the primary tool for employee retention and motivation. Remuneration includes salary, bonus, stock options and incentives provided to the employees as a part of recognition and

motivation. In this study, we examined the effect of remuneration on work involvement of expatriate work force in gulf countries.

Financial benefits contributing positively on employee retention (Williams and Dreher, 1992). However, it is not the only factor in employee retention as demographic variables, work involvement, recognition, communication, challenging tasks and motivation are among other important contributing factors in employee retention. It is supported by Osterman (1999) as he advocated that high level of best business practices by organization enhances the chances to retain core employees. There are several studies carried out on the effects of demographic variables and employee retention which includes age positively correlated with employee retention (Dewar and Werbel, 1979), higher education positively correlates with employee retention (Arnold and Feldman, 1982), Higher work experience influence positively on employee retention (Gregersen and Black, 1992) and higher the income increases chances for employee retention (Morrow, 1983). But in this study, we have taken these demographic variables to test and validate their effects on work involvement.

Boyd and Salamin (2001) advocated positive recognition enhances employee's job satisfaction, work involvement and commitment towards job performance. Davies (2001) concluded in his studies that the result of positive outcome upon recognizing efforts taken by employees which will result in commitment and higher work involvement. Increased commitment and higher work involvement are among few outcomes of positive recognition (Walker, 2001). Drucker (1999) advocated the important role of core employees in organization's sustainable growth and productivity. Studies conducted by Fernandez (2007) described the difference between job satisfaction and employee engagement. Higher the work engagement increases the work involvement. Studies revealed that by increasing intrinsic motivation, positive results witnessed in employee commitment and work involvement (Bae & Lawler, 2000).

Lawler (1992) studies conducted on work involvement identified four factors namely power, information, knowledge and rewards. They contribute strongly on the involvement of employee while performing the tasks. Higher motivation increases retention and work involvement of talented work force which is essential of organizational survival (Clarke, 2001). Superior – subordinate relationship also plays a pivotal role in work involvement. Better relationships increases positive qualities such as motivation, commitment towards organization by employees, increased performance, higher self confidence and strong work involvement (Spangler and Braiotta, 1990). Literature review helped to formulate below objectives for this study.

3. Objectives of the Study

The main objectives of the study are mentioned below:

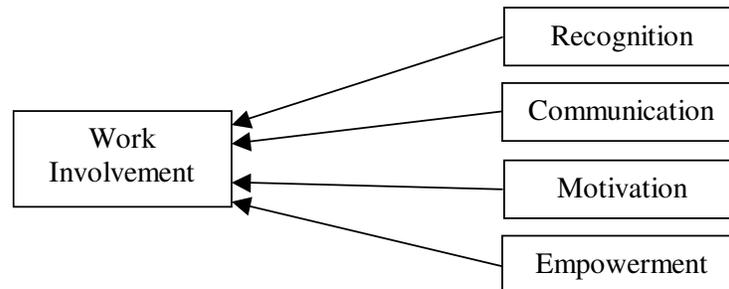
1. To evaluate the effect of nationality of workforce and its effects on work involvement.
2. To identify the result of work involvement as the work experience with present employer increases.
3. To determine the contribution of remuneration on employees work involvement.
4. To identify the relationship between educational qualification and its effects on employee work involvement.
5. To examine the relationship between perceived employee recognition and its effects on employees work involvement.
6. To evaluate the employer & employee communication and its effect on work involvement.
7. To determine the relationship between employee motivation and its effect on work involvement.
8. To find the relationship among recognition, communication, motivation, empowerment and work involvement.

4. Model Development

Two models have been developed based on the objectives of the study. These models then subjected to appropriate statistical validation. Work involvement is the function of employee recognition, effective communication, consistent motivation and empowerment.

$$\text{Work Involvement} = f_n (\text{recognition} + \text{communication} + \text{motivation} + \text{empowerment}) \quad \text{Model 1}$$

Figure 1: Work Involvement Model



Employee retention is a function of various organizational factors. Below model describes the function of work involvement on employee retention.

$$\text{Employee Retention} = f_n (\text{Work Involvement}) \quad \text{Model 2}$$

Figure 2: Employee Retention Model



5. Hypothesis of this Study

Following Hypothesis were created and to be tested in this study.

- H1: Nationality of employee do not influence on work involvement.
- H2: Work involvement increases with the work experience with present employer.
- H3: Better the remuneration, increases work involvement.
- H4: There is relationship between educational qualification and work involvement.
- H5: There is a strong relationship between employee recognition and work involvement.
- H6: There is a relationship between communication and work involvement.
- H7: Higher employee motivation increases work involvement.
- H8: No significant in correlation among recognition, communication, motivation, empowerment and work involvement.

6. Methodology

Expatriates contribution is significant in various sectors in gulf countries. For this study, data collection has been carried out in hydrocarbon processing industries and petrochemical industries located in U.A.E, Oman, Bahrain and Qatar. Expatriates from 13 different countries working in these hydro carbon processing and petrochemical industries are participated in this study. Stratified random sampling method is adopted to collect the data from expatriates and five point likert scale is used to collect the response from the expatriates. Total of 288 qualified samples received which yielded the output of 76% of the distributed samples. They are then appropriately coded for further statistical process. Cronbach alpha value for each item is tabulated below from the responses to ensure the reliability.

Table 1: Cronbach Alpha Values of individual items

Inter item reliability test	
Item	Cronbach alpha value
Recognition	0.70
Communication	0.81
Motivation	0.87
Empowerment	0.74
Work Involvement	0.73
Employee Retention	0.88

Cronbach alpha for employee retention has the highest value of 0.88. Cronbach alpha for motivation is 0.87. The inter item reliability for communication and empowerment are 0.81 and 0.74 respectively. Work involvement cronbach alpha is 0.73 and for recognition it is 0.70.

7. Data Analysis

Hypothesis 1 stated that employee nationality do not influence work involvement. Chi square test has been carried out to validate this statement which is shown in below table 2.

Table 2: Chi square test result for Hypothesis 1

Chi-Square Tests			
	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	84.918a	52	.003
Likelihood Ratio	80.869	52	.006
Linear-by-Linear Association	4.171	1	.041
N of Valid Cases	288		

a. 51 cells (72.9%) have expected count less than 5. The minimum expected count is .03.

Table value for degrees of freedom of 52 is 69.83 at 95% of confidence level and significance of 0.003 ($P < 0.05$). Hence, it allows us to accept the null hypothesis and reject the alternate hypothesis. According to this study, it provides an insight that the nationality does not play a vital role in employee’s work involvement.

Work involvement increases with the work experience with present employer is the statement of Hypothesis 2. Significance of this hypothesis is more than 0.05 ($P > 0.05$). Hence, we reject this hypothesis. This shows that higher the work experience with present employer does not have significant relationship with the work involvement.

Hypothesis 3 states that better remuneration increases the work involvement. P value for this from chi square test is 0.01 which is significant ($P < 0.01$). This will allow us to accept this null hypothesis which proves that the remuneration directly influence in expatriate’s work involvement. Higher the remuneration increases the work involvement by the expatriates working in gulf countries.

Educational qualification has a relationship with work involvement is the statement of Hypothesis 4. Using chi square test this statement is statistically tested. The result of the chi square test for this hypothesis is 0.70 which means $P > 0.05$. Hence, it is understood that the null hypothesis is rejected which confirms that there is no significant relationship has been witnessed among educational qualification and its effects on work involvement by expatriate employees.

Hypothesis 5 states that there is a relationship between employee recognition and work involvement.

It is tested by chi square test in SPSS which provided the P value of 0.000 ($P < 0.000$) which confirms that there is a strong probability that higher the employee recognition increases the work involvement. This will allow us to accept the null hypothesis.

Communication has a relationship with work involvement is the stated Hypothesis 6. Chi square test results shows significance of 0.000 ($P < 0.000$) which confirms that by better and effective communication increases the work involvement. Hence, Hypothesis 6 is accepted.

Higher employee motivation increases the work involvement is the statement of Hypothesis 7. Chi square test value significance is 0.000 ($P < 0.000$). Hence, null hypothesis is accepted and confirms that higher employee motivation increases their work involvement in gulf countries.

The correlation among recognition, communication, motivation, empowerment and work involvement has been tested by Pearson’s correlation coefficient and the results are mentioned in the below table 3.

Table 3: Pearson’s correlation coefficient

Correlation Results					
Variables	1	2	3	4	5
1. Employee recognition	1				
2. Communication	0.30**	1			
3. Motivation	0.48**	0.29**	1		
4. Empowerment	0.46**	0.27**	0.47**	1	
5. Work Involvement	0.30**	0.22**	0.40**	0.26**	1

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

Correlation of employee recognition with communication is 0.30 noticed. Highest positive correlation witnessed with motivation and employee recognition (0.48). Motivation and communication correlation stands at 0.29. Empowerment with employee correlation value is 0.46. Correlation values for empowerment with communication and motivation are 0.27 and 0.47 respectively. Higher positive correlation of 0.40 noticed among work involvement and motivation. Work involvement correlation with employee recognition, communication and empowerment are 0.30, 0.22 and 0.26 respectively.

Work Involvement = f_n (recognition + communication + motivation + empowerment) Model 1

With the help of SPSS, the regression model derived for the model 1. The independent variables taken for this model are employee recognition, communication, motivation, empowerment and the dependent variable is work involvement. Adjusted R^2 value is 0.48. Regression sum of square is 10.19, residual is 45.3 and the F value is 15.9 with the significance of 0.000 ($P < 0.01$). Hence, this model is a valid model for further interpretation. From the un-standardized coefficient the individual contribution factors are extracted, motivation is the highest individual independent variable with the contribution value of 0.22 with the confidence level of 0.000 ($P < 0.01$). Employee recognition is the second highest independent variable which contributes 0.13 and the P value is 0.03 ($P < 0.05$).

Employee Retention = f_n (Work Involvement) Model 2

Model 2 explains that the employee retention is a function of work involvement. This model has been tested with chi square test. The P value is 0.000 ($P < 0.01$) which confirms that the work involvement is one of the major contributing factor in employee retention in gulf countries. This is confirmed by the studies conducted Koch and McGrath (1996) related to level of work involvement and its positive influence on employee retention.

8. Results and Conclusions

Very few studies have been carried out in expatriate’s employee retention in gulf countries scenario. Expatriates from various countries are working in gulf countries and this study identified that there is no significant relationship between nationality of the employee and their level of work involvement. This will provide the opportunity to the management of process industries to recruit the manpower based on technical competency rather based on nationality. The result of hypothesis 2 revealed that, higher the work experience with present employer does not influence in their work involvement. The

studies conducted by Whitfield and Poole (1997) identified that longer the experience with present employer has less intention to quit the job. However, their long tenure with present employer neither has any relationship with work involvement nor reflected in effective task executions.

One of the main reasons of migration of expatriate employees towards gulf countries are for better remuneration and quality work life. Asians are dominating in this migration process in gulf countries. This study revealed that higher the remuneration increases the work involvement of expatriates. However, in future studies it should be examined that the same expatriate group's tendency to switch between jobs for better remuneration, this will destabilize severely the productivity and sustainability of the companies. Williams and Dreher (1992) have carried out studies on employee retention and it is witnessed in their studies that the remuneration positively influence in employee retention. This model has to be tested in future studies to validate its effects on expatriate's population in gulf countries.

Various studies have been carried out on the influence of educational qualification and its effects on employee retention. The level of educational qualification do influence on employee retention with respect to middle management level jobs is the result revealed by the research carried out by Galang, Elsik and Russ (1999). Results of hypothesis 5 witnessed that there is a strong relationship between employee recognition increases the work involvement. The correlation of recognition and work involvement is also shows positive relationship (0.30). This result will provide an insight to the management of process industries in gulf countries to encourage and motivate the work group as and when needed which will in-return increases the work involvement. This work involvement increases the motivation to the work group which is one of the main influencing factors for longer tenure with present employer. Research carried out by Mathieu and Zajac (1990) also confirms that strong positive relationship among employee recognition, work involvement, commitment of employee towards job and employee retention.

Clear and effective communication proved as a strong tool to bind employee with employer (Levine, 1995). Walker (2001) studies proved that organizations are keen to have effective communication between employee and management to enhance the relationship and openness. This will help the employees and management to share their view points and provide the path to reduce the unwanted misunderstanding among them. Results of this study revealed that the clear and effective communication further increases the work involvement of the employees.

According to the studies carried out by Mercer (2003), reward mechanism enhances the chances of employees to remain stay in the same organization. The rewards can be based on performance based in nature and it is considered as one of the strong motivator for employees. Good leaders always motivates by providing rewards which may be tangible or intangible in nature. Spangler and Braiotta (1990) studies also confirms the relationship among motivation, commitment and its effects on performance. In this study, motivation is strongly influencing the work involvement. Hence, the management can consider using motivation as tool to increase work involvement.

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An Exploratory Investigation of Perceived Time Pressure and Brand Switching Due to Promotion for different Products

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Abstract

This study investigated the impacts of perceived time pressure and brand switching due to promotion on the basis of three different products (i.e. mobile phones, shoes, and margarine). It also examined the relationship between perceived time pressure and tendency of brand switching due to promotion. The results indicated a positive relationship between perceived time pressure and tendency of brand switching due to promotion. The results also revealed that perceived time pressure and tendency of brand switching due to promotion varied depending on gender. On the other hand, there was not a significant difference between the time pressure perceived by brand loyals and brand switchers on the basis of mobile phone, shoe and margarine products. Comparison of tendency of brand switching between brand loyals and brand switchers on the basis of mobile phone, shoe and margarine products indicated that there was not a significant difference in terms of mobile phones only. Also, in terms of being a brand loyal or a brand switcher, perceived time pressure was effective only on mobile phone users. Finally, tendency of brand switching due to promotion was effective in terms of being a brand loyal or a brand switcher on the basis of all the three products.

Keywords: Brand Switching, Brand Loyalty, Time Pressure, Promotion.

1. Introduction

Consumption is a process in which money is plays a key role as well as time. In fact, when consumers make buying decisions they take into consideration not only money but also time. Considering the fact that buying behavior is a relative phenomenon that may vary from individual to individual, it is possible to suggest that money and time possessed by consumers are relative, too. Today, consumers face time constraints because of the reasons such as active participation of women in business (Berry, 1979) and more time spent by individuals on their career. Therefore, time constraints faced by consumers, or time pressure as it is called in literature, have been associated with buying behaviors

(Titus and Bradford, 1996) and have also been investigated from different angles (Herrington and Capella, 1995; Park et al., 1989; Hahn et al., 1992).

Consumers' buying decisions and the factors affecting these decisions are important for companies. This is because survival of companies, or continuing their profitability in other words, depends on consumers' buying decisions. Therefore, companies spend effort to attract customers and sell their products. In addition, not only having new customers but also keeping the existing ones is also an important consideration in terms of profitability. Loyal customers are considered to be more profitable for companies in both short and long terms (O'Brien and Jones, 1995). Thus, companies trying to ensure their customers' loyalty reduce the costs of gaining new customers. Loyal customers mean reducing marketing costs (Rundle-Thiele and Bennett, 2001). Ensuring customer satisfaction and customer retention play a key role in companies' marketing strategies in terms of sustainability (Lu Hsu and Chang, 2003). As a result, consumers' brand switching behaviors and the reasons for these behaviors are important issues for companies.

Brand switching can cost consumers' time (Jaishankar et al., 2009). Therefore, brand switching can become difficult for consumers with time constraints, or time pressure in other words. However, since being under time pressure creates constraints for consumers to access the products or brands which they use, time pressure can lead to brand switching behavior as well (Park et al., 1989). With respect to these two different approaches, this study examined the relationship between time pressure and brand switching. In addition, like some studies about the relationship between promotion and brand switching on different product groups (Nagar, 2009; Gupta, 1988; Chintagunta, 1993; Bucklin et al., 1998), this study also explored the relationship between different types of promotion and brand switching on the basis of mobile phone, shoe and margarine products.

2. Literature Review

In recent years, marketing professionals try to segment customers in the target group based on their state-dependent properties beyond their demographic characteristics. The main cause of this is the concern for realizing individualized marketing activities as much as possible instead of mass marketing. An example of individuals' state-dependent properties is time pressure which they face (Kenhove and Wulf, 2000).

Because of time pressure, sometimes people have to go shopping for others (Bellante and Foster, 1984). Indeed, time pressure has become more important for businesses as both spouses tend to work today (Blaylock and Smallwood, 1987) and the number of individuals in households with no time constraints to go shopping for the whole household is decreasing day by day.

Time pressure faced by individuals, or customers, in their daily lives attract the attention of marketing theorists as well as marketing professionals. Lavin (1993) found that working women face time pressure in their daily lives more than non-working women and, as a result, working women's buying behaviors are different from non-working women. Herrington and Capella (1995) examined the relationship between individuals' perceived time pressure and the total amount of shopping, but they did not find a relationship between the two. On the other hand, the perceived time pressure was found to be negatively correlated with level of education (Mothersbaugh et al., 1993). Time pressure felt by consumers in their daily lives can be considered as important data which companies can use in their marketing strategies. In this regard, the marketing strategies of companies having consumers under higher time pressure should be different from those of companies having consumers under lower time pressure. One of the characteristics that separate customers under higher time pressure from those under lower time pressure is the fact that they collect their shopping lists and prefer stores where they can do all their shopping in a single place (Holman and Wilson, 1982). In addition, research indicates that the time and money spent on shopping increases as perceived time pressure increases (Park et al., 1989; Herrington and Capella, 1995).

Today, with the increased number of double-income families, time pressure faced by families is also increasing. This is because double-income families are under higher time pressure than single-income families. This time pressure encourages individuals to do online shopping, that is to buy things on the Internet (Xu-Prior et al., 2012). Buying things online is more effortless for consumers as it allows them to do shopping at any time of day. Indeed, time pressure was found to be effective on the tendency towards online shopping (Venkatesan et al., 2007). Therefore, it could be argued that time pressure has been a reason for electronic commerce's popularity in recent years.

Time constraints faced by consumers may cause consumers to move out of their shopping plans and exhibit unplanned buying behaviors (Park et al., 1989; Iyer, 1989). In fact, consumers under lower time pressure were shown to exhibit better quality buying decisions than consumers under higher time pressure (Hahn et al., 1992).

For companies, ensuring their consumers' loyalty to their own brand is significant for increasing profitability and reducing marketing costs. For this reason, brand switching behaviors, which lead to the end of consumers' loyalty to a particular brand, are very important for companies. Chance and French (1972) found that income and education levels were effective on consumers' brand switching behaviors. This finding suggests that some inferences about consumers' specific characteristics (e.g. time pressure) can be made based on their demographic characteristics. On the other hand, some internal and external factors also affect consumers' brand switching behaviors (Mazursky et al., 1987). A study on clothing products found that the internal factors affecting brand switching included loyalty, perceived risk, satisfaction and diversity (Michaelidou and Dibb, 2009). Furthermore, research found that consumers' hedonistic tendencies were also one of the internal factors capable of affecting their brand switching behavior (Van Trijp et al., 1996). On the other hand, the external factors affecting brand switching were found to be price, accessibility, competition, ethical problems, and unintentional switching (Keaveney, 1995).

Promotions are known to be effective on consumers' buying decisions (Mela et al., 1997; Papatla and Krishnamurthi, 1996). Several studies examined the effect of promotions on brand switching and reported that promotions were effective on brand switching behavior (Van Heerde et al., 2003; Bucklin et al., 1998; Chiang, 1995; Chintagunta, 1993). In addition, the effects of different types of promotions on brand loyals and brand switchers were also examined and promotions were found to be more effective on brand switchers compared to brand loyals (Nagar, 2009).

Dodson et al. (1978) found that discount coupons, a kind of promotion, reduced brand loyalty and encouraged brand switching. However, promotional applications such as discount coupons are considered to promote brand loyalty provided that they are meant for the long term (Webster, 1965; Montgomery, 1971). As a result, all these findings show that the relationship between brand switching and promotions do not demonstrate any consistency.

Karani and Fraccastoro (2010) reported that in their study the elderly consumers were more resistant to brand switching compared to the younger consumers. This finding might have been caused by the fact that due to the opportunities presented by retirement, the elderly have more free time but less time pressure than the younger. The impact of time pressure on buying behaviors (Titus and Bradford, 1996) is confirmed in this sense. Considering these findings, exploring the relationship between brand switching and time pressure can be based on a theoretical foundation.

3. Research Design and Methodology

3.1. Research Design and Sample

The sample of this study consisted of university students residing in Eskisehir (Turkey). Data were collected from a sample determined by convenience sampling method due to the constraints of time and cost as well as the difficulty in reaching an updated list of university students residing in Eskisehir. In order to measure the participants' perceived time pressure, "time pressure" scale, which was developed by Reilly (1982) and revised by Lavin (1993) and consists of a total of 13 statements. Also,

five statements in the scale used by Nagar (2009) were employed in order to measure the impact of different types of promotions on brand switching. These five statements were aimed at measuring the impact of the following promotions on brand switching: percent off discount, buy one get one free, gift, sample items, and economy pack. In addition, the participants were asked about the brands of the last three mobile phone, shoe and margarine product which they bought so that they could be grouped into two groups as brand loyalists and brand switchers. Those participants who reported that they bought the same brand in their last three purchases of these products were classified as brand loyalists and the others were classified as brand switchers. The level of agreement with the questionnaire statements were measured through a 5-point Likert rating scale consisting of the following options: "Strongly Agree, Agree, Neither Agree or Disagree, Disagree, Strongly Disagree". The second part of the questionnaire consisted of questions aimed at determining the participants' demographic characteristics. The statements in the scale were translated into Turkish language by means of translation-back translation method and then the Turkish version of the scale was completed in the light of the expert opinions and pilot application. Data were obtained with a questionnaire and the drop-and-collect method after briefing the participants. A total of 300 questionnaires were administered in data collection process but 274 of them were included in the analyses as 26 questionnaire forms were excluded because they were not answered appropriately.

3.2. Limitations of the Research

This study was limited to the following:

1. Due to time constraints and the difficulty in reaching the sample, the sample consisted of students who were chosen with convenience sampling method and were residing in Eskisehir city center at the time of the study. For this reason, the results from this study are not applicable to the entire population.
2. The results are limited to the data collection period (December 2012-January 2013).
3. In this study, the participants were classified as brand loyalists or brand switchers on the basis of mobile phone, shoe and margarine products. For this reason, the results of this study are not applicable to all product groups.

3.3. Research Hypotheses

As time pressure may bring about a constraint for consumers to access the products or brands which they normally use, time pressure may lead to brand switching behavior (Park et al., 1989). In addition, in many studies, promotions have been shown to be effective on brand switching (Van Heerde et al., 2003; Bucklin, 1998; Chiang, 1995; Chintagunta, 1993). In summary, the literature suggests a positive relationship between perceived time pressure and tendency of brand switching due to promotion.

H₁: There is a positive relationship between the participants' perceived time pressure and their tendency of brand switching due to promotion.

Consumers may have different perceptions of time (Graham, 1981). Indeed, these different perceptions of time are considered to vary based on gender. In addition, considering the impact of perceived time pressure on brand switching due to promotion, tendency of brand switching due to promotion may also vary based on gender.

H₂: There is a significant difference between men and women in terms of perceived time pressure.

H₃: There is a significant difference between men and women in terms of tendency of brand switching due to promotion.

Time constraints faced by consumers may cause consumers to move out of their shopping plans and exhibit unplanned buying behaviors (Park et al., 1989; Iyer, 1989). In fact, consumers under lower time pressure were shown to exhibit better quality buying decisions than consumers under higher time pressure (Hahn et al., 1992). In this regard, being a brand loyal or a brand switcher in different product

groups may be a result of being under different levels of pressure. Thus, individuals who are brand loyals or brand switchers on the basis of mobile phone, shoe and margarine products can hold different perceptions of time pressure.

H₄: There is a significant difference between time pressure perceived by brand loyals and brand switchers based on mobile phone products.

H₅: There is a significant difference between time pressure perceived by brand loyals and brand switchers based on shoe products.

H₆: There is a significant difference between time pressure perceived by brand loyals and brand switchers based on margarine products.

Promotions are known to be effective on consumers' buying decisions (Mela et al., 1997; Papatla and Krishnamurthi, 1996). Several studies examined the effect of promotions on brand switching and reported that promotions were effective on brand switching behavior (Van Heerde et al., 2003; Bucklin et al., 1998; Chiang, 1995; Chintagunta, 1993). In addition, the effects of different types of promotions on brand loyals and brand switchers were also examined and promotions were found to be more effective on brand switchers compared to brand loyals (Nagar, 2009). It could be suggested in the light of these findings that brand loyals and brand switchers have different tendencies towards brand switching due to promotion based on mobile phone, shoe and margarine products.

H₇: There is significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on mobile phone products.

H₈: There is significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on shoe products.

H₉: There is significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on margarine products.

Time pressures perceived by consumers may be effective on their buying behaviors (Titus and Bradford, 1996). Considering the fact that consumers go through different buying decision processes in different product groups, time pressure perceived by consumers may yield different results in different product groups. Therefore, it could be suggested that perceived time pressure affects being a brand loyal or a brand switcher based on mobile phone, shoe and margarine products.

H₁₀: Perceived time pressure is effective on being a brand loyal or a brand switcher based on mobile phone products.

H₁₁: Perceived time pressure is effective on being a brand loyal or a brand switcher based on shoe products.

H₁₂: Perceived time pressure is effective on being a brand loyal or a brand switcher based on margarine products.

Promotions are known to be effective on consumers' buying decisions (Mela et al., 1997; Papatla and Krishnamurthi, 1996). In addition, the effects of different types of promotions on brand loyals and brand switchers were also examined and promotions were found to be more effective on brand switchers compared to brand loyals (Nagar, 2009). However, Dodson et al. (1978) found that discount coupons, a kind of a promotion, reduced brand loyalty and encouraged brand switching. Therefore, examining the effect of different types of promotion on brand loyals or brand switchers on the basis of different products can bring about a significant contribution to the literature. As a result, it could be suggested that tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on mobile phone, shoe, and margarine products.

H₁₃: Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on mobile phone products.

H₁₄: Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on shoe products.

H₁₅: Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on margarine products.

4. Findings

This part of the study presents the analyses of the research data through SPSS statistical software. Table 1 shows the data collected about the participants' gender and monthly income.

Table 1:

Demographic Characteristic	Frequency	Percentage
Gender		
Male	128	53.3
Female	146	46.7
Monthly Income		
750 TL and less	185	67.5
751 TL – 1500 TL	74	27.0
1501 TL – 2250 TL	9	3.3
2251 TL – 3000 TL	3	1.1
3001 TL and more	3	1.1
Total	274	100.0

Table 2 presents the data about the classification of the participants as brand loyals or brand switchers based on the brands of the last three products which they bought among different products.

Table 2:

Product group	Frequency	Percentage
Mobile phone		
Loyal	78	28.4
Switcher	195	71.2
Missing data	1	0.4
Shoe		
Loyal	50	18.2
Switcher	223	81.4
Missing data	1	0.4
Margarine		
Loyal	167	60.9
Switcher	104	38.0
Missing data	3	1.1
Total	274	100.0

As can be seen in Table 2 above, while the number of brand switchers was higher than brand loyals in mobile phone and shoe products, the number of brand loyals was higher than brand switchers in margarine products.

Table 3:

Scale	Cronbach's Alpha	Number of Statements
Time pressure	0.802	13
Tendency of brand switching due to promotion	0.850	5

As can be seen in Table 3 above, the internal reliabilities of the scales “time pressure” and “tendency of brand switching due to promotion” are acceptable and above the level suggested by Hair et al. (1998).

Table 4:

Kaiser-Meyer-Olkin Measure of Sampling Adequacy Bartlett's Test of Sphericity		0.814	
		Approx. Chi-Square	1361.108
		Df	153
		Sig.	0.000
Rotated Component Matrix			
		Component	
		1	2
timepressure12		,679	-,001
timepressure7		,679	,102
timepressure13		,618	-,154
timepressure11		,589	-,082
timepressure6		,587	,156
timepressure8		,580	,223
timepressure10		,567	,068
timepressure9		,535	,009
timepressure4		,527	,182
timepressure5		,465	,029
timepressure3		,459	,199
timepressure2		,417	-,087
timepressure1		,288	,270
promotion2		,070	,829
promotion3		,049	,813
promotion1		-,042	,777
promotion5		,053	,759
promotion4		,050	,733

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalization.

a. Rotation converged in 3 iterations.

Table 4 presents the factor analysis results for the scales “time pressure” and “tendency of brand switching due to promotion”. As the Kaiser-Meyer-Olkin score implies, the scale statements are appropriate for the factor analysis. Also, the results of the factor analysis in Table 4 indicate that the statements of the scales “time pressure” and “tendency of brand switching due to promotion” are clearly separate.

Table 5:

	Gender	N	Mean	p
Tendency of brand switching due to promotion	Male	125	2.74	0.003*
	Female	146	3.08	
Time pressure	Male	119	2.68	0.034*
	Female	136	2.85	
	Mobile phone	N	Mean	p
Tendency of brand switching due to promotion	Loyal	77	2.77	0.079
	Switcher	193	2.99	
Time pressure	Loyal	73	2.89	0.056
	Switcher	181	2.72	
	Shoe	N	Mean	p
Tendency of brand switching due to promotion	Loyal	50	2.63	0.014*
	Switcher	220	3.00	
Time pressure	Loyal	42	2.79	0.882
	Switcher	212	2.77	
	Margarine	N	Mean	p
Tendency of brand switching due to promotion	Loyal	167	2.79	0.003*
	Switcher	101	3.14	
Time pressure	Loyal	153	2.76	0.577
	Switcher	99	2.80	

*p<,05

In Table 5 above, the means of the participants’ tendency of brand switching due to promotion and perceived time pressure in terms of gender and a being brand loyal or a brand switcher on the basis of mobile phone, shoe, and margarine products were compared by t-test. The men and women’s tendency of brand switching time due to promotion and their perceived time pressure were found to have a statistically significant difference (H_2 and H_3 accepted). In addition, the women's tendency of brand switching due to promotion and their perceived time pressure were higher compared to the men in the study.

Table 5 also shows that the participants’ tendency of brand switching due to promotion and perceived time pressure did not vary according to being a brand loyal or a brand switcher on the basis of mobile phone products (H_4 rejected, H_7 rejected). On the other hand, in terms of being a brand loyal or a brand switcher, the participants’ perceived time pressure did not vary significantly on the basis of shoe products (H_5 rejected) whereas their tendency of brand switching due to promotion did vary significantly (H_8 accepted). Finally, the participants’ perceived time pressure did not vary in terms of a brand loyal or a brand switcher on the basis of margarine products (H_6 rejected) but their tendency of brand switching due to promotion did vary significantly (H_9 accepted).

Table 6:

	Brand switching due to promotion	Percent off discount	Buy one get one free	Gift	Sample item	Economy pack
Time pressure	0.163**	0.070	0.162**	0.151*	0.127*	0.141*

** p< ,01

* p< ,05

As can be seen in Table 6, there is a positive significant correlation (relationship) between the participants’ perceived time pressure and their tendency of brand switching due to promotion (0.163). Hypothesis H_1 is accepted because of this finding. In addition, as can be seen in Table 6, there were positive significant correlations (relationships) between the participants’ perceived time pressure and all of the sub-scales of tendency of brand switching due to promotion, all of the promotion types in other words, except for percent off discount.

Table 7:

MOBILE PHONE	p	Exp.
Brand switching due to promotion	0.037*	1.372
Time pressure	0.025*	0.607
SHOE	p	Exp.
Brand switching due to promotion	0.028*	1.488
Time pressure	0.656	0.889
MARGARINE	p	Exp.
Brand switching due to promotion	0.007*	1.477
Time pressure	0.950	1.013

* p< ,05

Table 7 presents the results of the logistic regression analysis carried out to determine the impact of the participants’ tendency of brand switching due to promotion and their perceived time pressure on being a brand loyal or a brand switcher on the basis of mobile phone, shoe, and margarine products. As can be seen in Table 7, when the participants were not brand loyal but brand switchers on the basis of mobile phone products, their tendency of brand switching due to promotion increased 1.372 times (H_{13} accepted) and their perceived time pressure increased 0.607 times (H_{10} accepted). Next, when the participants were not brand loyal but brand switchers on the basis of shoe products, their tendency of brand switching due to promotion increased 1.488 times (H_{14} accepted) while their perceived time pressure was not affected by this situation (H_{11} rejected). Finally, when the participants

were not brand loyals but brand switchers on the basis of margarine products, their tendency of brand switching due to promotion increased 1.477 times (H_{15} accepted) while their perceived time pressure was not affected by this situation (H_{12} rejected).

H_1	There is a positive relationship between the participants' perceived time pressure and their tendency of brand switching due to promotion.	Accepted
H_2	There is a significant difference between men and women in terms of perceived time pressure.	Accepted
H_3	There is a significant difference between men and women in terms of tendency of brand switching due to promotion.	Accepted
H_4	There is a significant difference between time pressure perceived by brand loyals and brand switchers based on mobile phone products.	Rejected
H_5	There is a significant difference between time pressure perceived by brand loyals and brand switchers based on shoe products.	Rejected
H_6	There is a significant difference between time pressure perceived by brand loyals and brand switchers based on margarine products.	Rejected
H_7	There is a significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on mobile phone products.	Rejected
H_8	There is a significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on shoe products.	Accepted
H_9	There is a significant difference between the tendencies of brand loyals and brand switchers towards brand switching due to promotion based on margarine products.	Accepted
H_{10}	Perceived time pressure is effective on being a brand loyal or a brand switcher based on mobile phone products.	Accepted
H_{11}	Perceived time pressure is effective on being a brand loyal or a brand switcher based on shoe products.	Rejected
H_{12}	Perceived time pressure is effective on being a brand loyal or a brand switcher based on margarine products.	Rejected
H_{13}	Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on mobile phone products.	Accepted
H_{14}	Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on shoe products.	Accepted
H_{15}	Tendency of brand switching due to promotion is effective on being a brand loyal or a brand switcher based on margarine products.	Accepted

5. Conclusions and Implications

The positive correlation determined in this study between perceived time pressure and tendency of brand switching due to promotion is similar to the finding from a study by Park et al. (1989). In this study, in comparison with the men, the women had higher levels of perceived time pressure and tendency of brand switching due to promotion; this finding suggests that promotions can yield more effective results on products for women.

The findings indicating that perceived time pressure was effective on tendency of brand switching due to promotion on the basis of only mobile phone products could have some important implications for marketing professionals in mobile phone sector. In this regard, choosing convenient locations for their retail stores so that individuals under higher time pressure can easily access can contribute to companies' marketing performance. Moreover the findings from this study showed that tendency of brand switching due to promotion encouraged consumers to become brand switchers instead of brand loyals on the basis of all of the mobile phone, shoe and margarine products. Therefore, it could be suggested that promotional activities can be an effective marketing strategy to gain new customers for companies in mobile phone, shoe and margarine markets.

For companies, creating a sense of brand loyalty in their customers is an important consideration in terms of not only having new customers but also maintaining the existing ones. Loyal customers can bring new customers to the brand as well as being a source of income for the brand in the long term. Therefore, the future studies on brand loyalty and brand switching on the basis of

different products can both make significant theoretical contribution to the literature and provide meaningful feedback for marketing practitioners.

The future studies on brand switching can examine the subject on the basis of other products as well. In fact, exploring brand switching in different product groups and with different samples will contribute to understanding consumers' brand switching behavior.

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Community's Way of Live in Eua-a-thon Housing Udon Thani Province 3 (Banjan)

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Abstract

The objective of this research was to study people's way of life, and administration and management of Eua-a-thon Housing Community, Udontani Province 3 (Banjan) by using qualitative research method from the field study. The area of study consisted of Eua-a-thon Housing Community, Udon Thani Province 3 (Banjan), Udontani Province, including 428 households, 938 population, 53 key informants, 43 households of dwellers, 5 community boards, and 6 persons of state enterprise public sectors. They were selected by Purposive Sampling. The instruments used in this study consisted of both structured interview, and unstructured interview. Data were collected by observation and interview techniques. The statistic and data analysis, content analysis was conducted by categorizing the concepts from concrete or experienced phenomenon. Then, they were interpreted as well as developed the analytic induction. The research findings found that the people's way of life in Eua-a-thon Housing Community was the situation of livelihood in physical aspect, found that the Eua-a-thon Housing Community was adequately physical situated which was good as well as standardized including basic public utility in order to serve the need of low-income dwellers. For environmental aspect, found that the scenery as well as environment in community were beautiful, peaceful, clean, and nice to live. For social and cultural aspect, found that community had quality of life, warm society, culture and tradition with good relationship with each other. For economic aspect, found that there were changes in new occupation and work origin in order to be relevant to environmental condition as well as living place. For community administration and management, Eua-a-thon Housing Community, Udontani Province, the physical and environmental aspect, found that there was systematic community services. For community property and community business development, found that there was no readiness in administration and management. For organizational management of community and society, and quality of life development,

found that every division in community had good collaboration, shared responsibility, and awareness of community development. For debtor management, found that there were no problems since the dwellers paid directly at the bank. For water activity management, found that it was satisfied by the community people.

The conclusions of this study were: the way of life in Eau-a-thon Housing Community was changed in their physical, environmental, social, cultural, and economic aspects. There were major findings as: the moving to live in new community caused the changes in their way of life in occupation and management. The recommendations of this study were: the planning for developing low income people's way of life, the integrated guidelines for developing Eau-a-thon Community so that the sustainably nice-living place had to be constructed by the government further.

Keywords: Way of Life, Administration and Management, Eau-a-thon Housing Community

Introduction

Among the trend of global change, population number was continuously increased. Both of technology, and information communication was rapidly progress in order to obtain common benefit as well as national development in regional area simultaneously. Consequently, the countries in South East Asia (ASEAN Community) had to get together as a single production basis for survival. On behalf of ASEAN Community, which would open 100% free trading in 1 January 2015. According to single production basis, various countries in ASEAN, consisted of total of 10 nations for contacting, working, trading, and investing as the same country. If the population were added together, there would be approximately 3,240 million people. It indicated that the center of world economic, was changed in its basis into South East Asia in the next 3 years as in 2015. In part of Thailand, would be inevitably affected from both of positive, and negative situation. Specifically, the aspect in moving labor force from ASEAN Countries such as from Myanmar: Union of Myanmar, Lao People's Democratic Republic, Cambodia: Kingdom of Cambodia, and Vietnam: Socialist of Public Vietnam would come to work in Thailand more. As a result, there would be social problems including the public health, social and environment especially the insufficient housing problem to serve those laborers. It might have an impact on fighting for housing with Thai people. This problem might cause the price of immovable property housing especially the house as well as land and house price would be increased which might affect the low-income people. (Valaya Alongkorn Rajabhat University *under the Royal Patronage* 2012: 13) When the population number was elevated, the grass root people had to compete with the tight economic. As a result, there were evacuate laborers into city, food as well as utensil selling later, and became the city community crowded with population. Consequently, government had to provide living places to prevent being in a turmoil or no well-organized living.

Eau-a-thon Housing Project was a project focusing on the housing development based on government policy by assigning the National Housing implemented in construction. The loan was given by Government Housing Bank (GHB), and Saving Bank by constructing houses according to this project as living places for low income people, government officials, and sub-ordinate officers of government as Zero Profit aimed to implement for 601,727 units within 5 years (2003-2007) total capital 273,209.125 million baths. It covered city area throughout the country by implementing in Bangkok as well as boundary for 70%, major city and minor city in provinces for 30%. The target people included those who had household revenue not more than 15,000 baths/month, not more than 17,500 baths during 2003-2004, and not more than 22,000 baths/month. (Jariyawittayanon, S and Booranasin, J. 2009: 1-2)

National Housing specified guidelines for integrated administration of Eau-a-thon Housing Community in order to construct community as a nice to live sustainably. Community members had

safety in their lives as well as property, had good quality of life, and competency level in administration and management their own community. After establishment of cooperatives to provide service for 1-2 years by the administration and management, and development through community organizational system as cooperatives and juristic person based on the other laws including 5 aspects of major work delimitation including: the community administration in physical and environmental aspect, the contract administration in providing benefit in community property and community business, the discipline organization for community in development for community members' quality of life in Eau-a-thon Housing Project, and the development of supportive culture (Eau-a-thon), the administration of debtors as well as tap water activities by studying the guidelines and pattern of appropriate community administration with Eau-a-thon Housing Project. In the present, National Housing adjusted the integrated guidelines for community administration in Eau-a-thon Housing Project total of 196 projects, 222,550 units. Furthermore, the National Housing established the cooperatives providing services for community for 48 projects, total of 42 cooperatives, there were total number of 9,639 members. (Sookasem,K and Prasitrattasin, S.2005: 1-3)

The changes in way of life occurred by living in Eau-a-thon Housing Project, caused the people living in Eau-a-thon Housing Project, Udontani Province 3 (Banjan) as the field study research area, faced with various change situations. Therefore, the researcher was interested in studying the changes in community people's way of life in Eau-a-thon Housing Project, that what it would be? Which factor affected the changes. This study would clarified picture of different comprehensions regarding to way of life in Eau-a-thon Housing Project to be clearer in order to be information for administration and management in Eau-a-thon Housing Community further.

Research Objectives

The objectives of this research, the researcher focused on studying the way of life in people of Eau-a-thon Housing Community, Udontani Province Banjan 3, relating to people's way of life in 4 aspects as: 1) physical aspect, 2) environmental aspect,3) social and cultural aspect, and 4) economic as well as administration and management aspect in 5 issues as: 4.1) physical and environmental aspect, 4.2) community property and community environmental development, 4.3) organization of community and society, and quality of life of community members, 4.4) debtor management, and 4.5) tap water activity management including following objectives:

1. To study situation of people's way of life in Eau-a-thon Community, Udontani Province (3) (Banjan).
2. To study administration and management of Eau-a-thon Community, Udontani Province (3) (Banjan).

Research Methodology

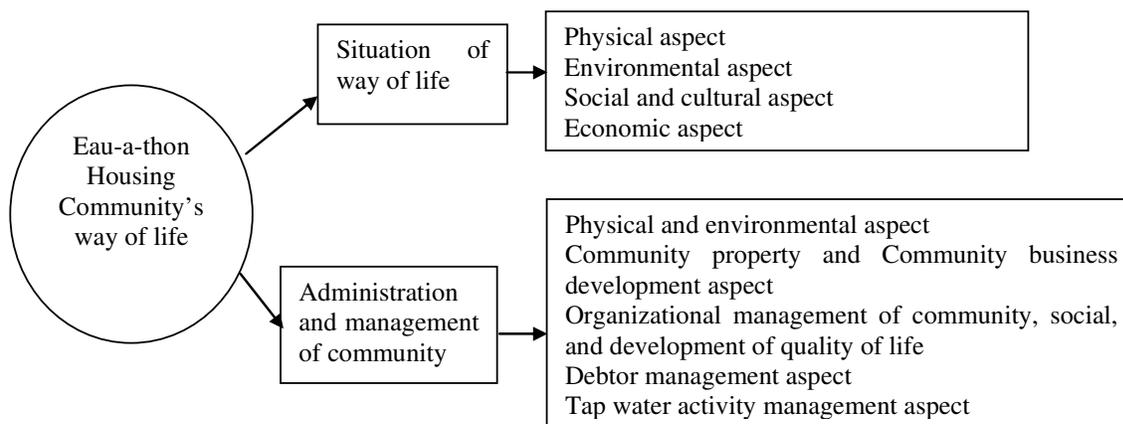
This study, the researcher focused on focused on studying the way of life in people of Eau-a-thon Housing Community, Udontani Province Banjan 3, relating to people's way of life in 4 aspects as: 1) physical aspect, 2) environmental aspect,3) social and cultural aspect, and 4) economic as well as administration and management aspect in 5 issues as: 4.1) physical and environmental aspect, 4.2) community property and community environmental development, 4.3) organization of community and society, and quality of life of community members, 4.4) debtor management, and 4.5) tap water activity management by using Qualitative Research from field study. The studied area included Eau-a-thon Housing Community, Udontani Province 3 (Banjan), Moo 1, Banjan Sub-district, Udontani Province. There were 428 households, 938 population, 53 key informants, 43 households of dwellers, 5 community boards, and 6 persons of state enterprise public sectors. They were selected by Purposive Sampling. The researcher used systematically sampling including the head of the Office of Udontani Province Housing Community, the officers of Private Company being employed in integrated

management for Eau-a-thon Housing Community, community president, and dwellers in the houses with number 9 at the end by using both of structured, and unstructured interview, observation and interview techniques. Statistic and data analysis, Content Analysis was administered by categorizing the concepts from concrete or experienced phenomenon for developing the Analytical Induction as constructing the experienced concepts or phenomenon.

Conceptual Framework

In this study, the researcher used conceptual framework from the interview, studied the approach as well as related literature, and brought the integrated management for Eau-a-thon Housing Community in order to construct the community to be nice to live

Figure 1.1: Conceptual Framework



Research Results

1. The Study of People’s Livelihood in Au-aton Housing Community Udontani Province

1.1. The Study of People’s Livelihood in Eau-aton Housing Community, Udontani Province 3 (Banjan), situation of Physical Aspect of living, found that the Eau-aton Housing Community was a community with appropriate physical location regarding to both of the size, and environment (Table 1), and good standardized public utility in order to serve the needs of low income dwellers (Table 2). This group of people waited for opportunity to search for better things than the traditional one. When community was ready as well as the reasonable price. Living as a part of community, was beyond their expectation. For Physical aspect, found that the situation of scenery as well as environment in community were beautiful, peaceful, clean, nice to live in, and complete. Furthermore, the management of community, according to the implementation of the experienced company, the community was organized. For the problem of polluted waste, it was a little problem because of its smell, for instance, the problem of small from leftover waste and pig farm next to the community, and smell from dumped water into public canal. For social and cultural aspect, found that most of dwellers in community were in the working ages (Table 3), their Educational Level was in Secondary Education (Table 4) which included relationship relevant to income. It showed that the community members were low-income people with employee occupation (Table 5). Furthermore, the social aspect, the community had good quality of life, warm relationship family, culture and tradition including good relationship with each other. For economic aspect, found that the community’s way of life was changed from the need to own one’s own house as major factor would cause the changes in various aspects later as well as the adjustment to the environment of one’s living places. Specifically, the most obvious change was the change in one’s occupation as well as new work origins in order to be relevant to one’s environment of

living place. Besides, it was also reflection to be seen that the Eau-a-thon Housing Community, Udontani Province, was community for low-income people to live in truly.

Table 1: Number of Population

Gender	Population Number	Percentage
Male	497	52.98
Female	441	47.02
Total	938	100

Table 2: Table of Project Area use

Table of Project Area use	Rai	Crowd 11.50 Families/rai		
		Square Wa	Square Meter	Percentage
2 storey House, 21 sq. wa, 428 units	24.74	9,886.25	39,545.01	66.39
Community Center	0.87	346.19	1,384.77	2.32
Market field	0.50	201.95	807.80	1.36
Public park, sports field	1.57	626.11	2,504.44	4.20
Dumped water elimination part.	0.36	142.93	571.71	0.96
Road, foot path.	9.22	3,688.61	14,754.45	24.77
Total	37.23	14,892.05	59,568.18	100.00

Table 3: Community dwellers' ages

Age	Population Number	Percentage
Lower than 20 years old	117	12.5
21-30	142	15.1
31-40	231	24.6
41-50	330	35.2
50 years old up	118	12.6
Total	938	100

Table 4: Educational level of family leaders

Educational Level	Population Number	Percentage
Secondary School and Lower Level	209	48.8
Certificate	148	34.5
Bachelor's Degree up	71	16.7
Total	428	100

Table 5: Major occupation of community dwellers

Government official/state enterprise	Family Leaders'	Percentage
Employment	118	27.6
Trading	106	24.8
Private Employee	92	21.4
Others	78	18.2
No occupation	34	8
Total	428	100

1.2 The administration and management of Eau-a-thon Housing Community, Udontani Province 3 (Banjan), for physical and environmental aspect, found that there was systematic community administration and management. Eau-a-thon Housing Community was a new situated community including systematic community administration and management. For physical and environmental aspect, the strength of community included: the community could cooperate as well as

ask for collaboration from official work units related in solving various problems of community very well. The community leaders and community boards had intention in solving the occurred problems in community. But, they lacked of guidelines as well as experience in problem solving. If they obtained collaboration from National Housing in providing the advices for problem solving closely, the community would have better potentiality in solving the problems. For community property and community business development aspect, found that it was not ready for administration and management. The community center wasn't used based on objective of National Housing fully. Community market couldn't implement from in-depth information caused by the community people didn't have readiness in administration and management. In addition, the National Housing didn't play its role in providing support truly. It might be due to the problems in eliminating the waste as well as cleanliness caused by location of community market. Moreover, the problem of pollution might be occurred. In addition, the community people who owned their shops in community, lost their benefit. For management of the cooperative and occupational promotion by community people, it was necessary for National Housing to cooperated with community to offer the supplementary occupational training as well as grouping together in the form of cooperative further. For organizational management of community and society, and quality of life development, found that this aspect of community administration and management, every part of community had collaboration very well as good administration and management. Although there were many problems, every division expressed one's attempt to make community to be complete as well as nice to live in. For environmental development, the dwellers in community collaborated in taking care only the from area of their houses. For public property care, the central area was taken care by company being employed in community administration and management. For debtor management, found that this aspect of administration and management included good management as well as following up. There was little problem since the debt paying for housing since the dwellers paid directly to the bank. Furthermore, Most of them understood the paying system, and the bank informed them from the beginning of contract signing. Besides, the private management company followed the customers who didn't pay debt, they would receive document asking them at their houses. In addition, the community management company followed the customers who didn't pay debt by emending them closely. For tap water activity management, found that there was good administration and management with readiness for serving the situation systematically. Community members collaborated in informing the unusual things . Then, the community management company would cooperate with responsible work unit, the community management boards would cooperate with Municipality to ask for water truck for distribution which indicated the collaboration by every section in community in solving problem together very efficiently.

Discussions

1. The Study of Way of Life People in Eau-a-Thon Housing Community, Udontani Province 3

(Banjan)

For physical aspect, Eau-a-thon Housing Community, was a community including appropriate physical location in situating as community, good basic and standardized public utility to serve needs of low-income people. This group of people waited for opportunity in searching for better things than existing traditional ones. When community had readiness as well as the price was reasonable. As a result, living in as a part of community was beyond their expectation. When they lived in good community, both of their livelihood as well as quality of life were good as well. Although there were problems in different aspects, their livelihood was in satisfactory and acceptable. For the size of house, it was rather small needed to be expanded in area. Furthermore, the problem of insufficient parking lot might be due to the ideas and design had to consider frame of house price to be sold for low-income customers to be able to buy. Later on, the expansion and adding the house to be sufficient with later livelihood based on one's need as well as capital of each one. It was supported with Allonso,W (1964: 436) studied the

selection of housing that there were 3 factors to be considered as: 1) the price of living place which was related with dweller's income, and the capability to pay for living place, 2) the pattern and the living place would cause the dwellers' satisfaction which was related to one's family size as well as marital status as well, and 3) the location of living place would be associated with environment as well as distance from one's work place as well. Furthermore, Goodall, B. (1972) viewed that the factors affecting the selection for housing, one's Family status, children in family had major reflection on area using of family. The more proportion of children, the more incentive for owning large sized housing in not too crowded community in sub-urban area. Moreover, the schools with good educational standard were also be interested in selecting one's housing area. For family without children, often preferred the convenience as well as comfort to access satisfactory things of city, and was satisfied with smaller sized housing area which situated in center of city. It was supported by Tongin ,K (2011: 107-114) study in "Management of Parking Lot and Usage of Parking Area in Beungkoom Eau-a-thon Housing Project, Bangkok. The Eau-a-thon Housing Project, the dwellers' occupations were employer, and trader. For behavior in car parking, they often parked their cars in front of the housing building, for convenience and safety of their cars. According to parking area management as well as car parking behavior, double car parking on the road surface which obstructed traffic way, and caused the traffic problem in project as well as inconvenience in using the in-out entrance of building, and foot path. Consequently, there were no convenience and safety for dwellers, and unorganized community especially during 8.00 p.m. to 6.00 a.m. It was supported by Sookasem, K. and Prasitrattasin, S. study (2005: 53-63) study in "Survey Project of Target Group and Dwellers' Expectation and Satisfaction on Management of Eau-a-thon Housing Project in 2005" that the community management in physical and environmental aspect consisted of the public utility, and sewage disposal pool.

For environmental aspect, the situation of scenery as well as environment in community were beautiful, peaceful, and nice to live which might be because it was community where people lived for short period of time, many situations were new and complete. In addition, the community administration and management was run by the experienced company. As a result, the community was organized and tidied. For pollution problem, there were some problems of smell, for instance, the smell from leftover waste and pig farm near community, and smell from dumped water into public gutter. So, the community boards and members as well as related official work units such as Municipality had to search for guidelines in solving problem together further. The situation of scenery and environment in community, livelihood, and quality of life were good. There were some problems in different aspects in livelihood, but they were in satisfactory level. It was supported by Vinai Veeravatanond et. al.,' (2012) study in Development of Risk Assurance Criteria to the Utilization of Natural Resources and Environment for Sustainable Development of Life Quality, Economy and Society in Rural Thai Communities that there were 3 major factors and indicators of criterion for risk assurance on natural resource and environment as: 1) the conservation and rehabilitation of natural resource consisted of toxic waste, garbage, smoke, and dust, natural disaster, and the management of resource use in community consisted of the wood, wildlife, and marine creature, soil, water, and energy. For the factors and indicators of sustainable development, consisted of 3 factors as: 1) the quality of life including the food, clothes, daily equipments in household, health care, and housing, 2) the environmental management in economic aspect consisted of raw material for production, selling, transporting, capital, and 3) the social aspect consisted of collaboration, generosity, safety, peace, luxury decrease, ethics, and value.

For social and cultural aspect, most of community dwellers were in working ages. Their occupations was employee. Their Education was Secondary School and lower level which would have relationship relevant to income indicating that the community members had low income. Most of them were people from Udontani Province or other areas who lived in Udontani Province for a long period of time. But, there were people from Udontani Province working in different areas who wanted to return to their hometown, and had way of life as relationship in community, supporting each other indicating that Esan people loved their locality as well as hometown. They also loved and had

affiliation with their relatives. As their statement that for the last period of their life, they wanted to die at their hometown. Moreover, the community members had culture of livelihood, eating, and other traditions in the same direction. Although each one came from different place, most of community people could be able to develop good relationship with each other completely. Besides, the public utility in community, for example, public park as well as sports field might be another factor supporting community people to participate in developing relationship to attend activities together. In addition, the design of high and transparent fence about 1 meter might help community to live as relatives depending on each other, and have affiliation with neighbor as the same house, view the others' livelihood thoroughly. When community had good quality of life as well as warm society, it might be an important part in being peaceful society without narcotic drug, thieves, or robbers. For grouping and clubs, they were not concretely developed. The community boards might who were villagers might not view guidelines in initiating these activities. Therefore, National Housing should play its role in enhancing and supporting it more. For tradition and culture of Banjan Eau-a-thon Housing Community, was a sub-urban community living together. Since it was newly constructed approximately 3 years, community people didn't have close relationship . So, there was no obvious grouping for participating in activities. Their implemented activities were the merit ceremony during New Year, and Thai Traditional New Year tradition. The community center building was used as a center of activities. For culture of community people's living, there were shops selling food for people to eat. The working culture of community people, they had to travel early since their working places were outside the community, and came back home in the evening. In community, there were sacred things for them to pay respect as the spirit shrine which was worshipped by community people regularly. For social situation of Banjan Eau-a-thon Community, included people group finding good opportunity for their lives and family. So, their livelihood wasn't much different from rural community. Banjan Eau-a-thon Community had close relationship like relatives depending with each other. Young children played together between the rooms. The adults sat for eating together, talked and greeted friendly. The social organization of Banjan Eau-a-thon Community, had election for community leaders, and community boards. But, both of community leaders as well as community boards played their role not so much. Furthermore, there was no grouping or setting as organizations in Banjan Eau-a-thon Community. The activities were not performed concretely. There was no grouping as occupational group or associations. Even Childhood Development Center for Preschool Children, wasn't implemented in community since there were no leaders in implementation. It was supported by McKennell et. al.,' (1983: 210) study in "Components of Perceived Life Quality" that the perception in good livelihood was like the attitude including 2 factors as: the factor of feeling and cognition. There were 2 types of factor of feeling: 1) good feeling was the emotional response in a good way such as happiness, and 2) bad feeling was the response in a bad way such as stress. For the factor of cognition, was an intellectual factor evaluating from both of internal, and external criteria. Moreover, It was also supported by Pranomchey, W (2008: 69-71) study in "Decision Making for Buying House from Eau-a-thon Housing Project in Ubonrachatani Province Area" that the decision making level in buying house from Eau-a-thon Housing Project in Ubonrachatani Province Area, in every aspect, was in "High" level, ranking the average value in order from high to low as follows: the price, location, psychology, economic and politic, product, and marketing promotion.

For economic aspect, community people's way of life was changed in economic after living in community very much from agricultural way of life. When they wanted to own their own house, they moved into city community. There were occupational changes such as employment, and trading. Although they had higher revenue than former time, lining in city community had to be depended on market system including expenditure in every aspect in livelihood. Besides, the cost of living was increased continuously. As a result, their expense was higher than income. So, the debt problem was occurred later. In addition, dwellers in Eau-a-thon Community included the low income people with unstable occupation and revenue. Consequently, they couldn't access the system loan origin. They had to be depended on non-system loan with expensive interest. There was few number of those who didn't

have debt, or had deposit, they had stable occupation. It was supported by National Housing (2010: 56-65) relationship of housing/family, economic, and society by Sub-committee of Housing Policy specified that “Living Place was important for developing Quality of life in general people since it was not only the place for resting or sleeping, it was also the center of family. The need for housing was stimulator in saving one’s money as well as property investment for basis of family. To develop the living place was not only the social and environmental development for people to own quality housing, but also the support and promotion for National Economic Development learning to construction industry, employment, trading, and business etc to be continuous developed. Stephen K. Mayo (1999) stated that most of households had their expense in housing for 15-35% of total expenditure. In the meanwhile the loan for housing in industrial countries compared with total loan affected the variety of industrial growth such as the industry producing electric and tap water equipments would be between 7-18%. The lowest was Finland, 4%. The maximum was China, 24%. Whereas the United States was 12.3%. In Thailand, in 2005, the loan for housing with property pawning property guarantee was 1.35 hundred thousand million baths, as 59% of consumption loan, and the proportion was 17% of GNP.

2. The Study of Administration and Management of Eau-a-Thon Housing Community, Udontani Province 3 (Banjan)

The physical and environmental administration and management of Eau-a-thon Housing Community, was a new constructed community including systematic community administration and management. In physical and environmental aspect, the community strength was the competency in collaboration as well as asking for cooperation from related official work units in solving the community problems very well. The community leaders and boards had good intention in solving the community problems. But, there were no guidelines and experience in problem solving. If they obtained collaboration from National Housing by providing advices for solving community problems closely. The community would have potentiality in problem solving. It was supported by Sooksonchai, K (2007: 54-58) study in “Evaluation of Effectiveness of Eau-a-thon Housing Project: A Case Study of Rungsit Canal 3,” that there was relationship of project characteristic, and its effectiveness. There was relationship between the public utility aspect and public assistance, and standard of construction. For the safety, recreation, and location aspect as well as the relationship in community family, the economic serving aspect, there was relationship with the standard of construction, the safety, environment, recreation, and location. According to the academic conference in National Environmental Studies 2, the researcher presented article in “Way of Life of Eau-a-thon Housing Community, Udontani Province,” by obtaining recommendations in problem solving as well as administration and management in “Garbage in Community,” from suggestions that the campaign and development for dwellers’ awareness of garbage problem by enhancing to establish the garbage bank in classifying the garbage, and decreasing the amount of garbage in community, and increase revenue for the community dwellers in another way.

For the administration and management in community property as well as community business development, in this aspect, it couldn’t implement in good level. The community center wasn’t utilized based on National Housing completely. Community market wasn’t able to implement from in-depth information since there was no readiness in administration and management by community people. In addition, National Housing didn’t play its role in supporting truly. It might be because there were problems in the waste management, and cleanliness caused by community market setting. The problem of pollution might be occurred later. It might also due to the lost of benefit in community people who owned shops in community. For management of cooperative and occupational promotion of community people, both of National Housing, and community had to collaborate and cooperate in developing the supplementary occupational training, and grouping in cooperative form further. It was supported by Anuwong, K (2011: 95-100) study in “Evaluation of Community Success in Implementation based on standard for living in community of National Housing: A Case Study of Toongsonghong Community Housing Project, Rented Flat Building,” that the community

representatives viewed that the implementation process of project, wasn't so good. They saw that there was only little participation in activities by community. Furthermore, the household representatives had satisfaction to participate in activities in "Rather Low" level.

For organizational management of community and society, and development in community members' quality of life, this aspect of administration and management, every sector in community collaborated well as good administration and management. Although there were many problems in this aspect, every sector expressed one's attempt in making the community to be complete and nice to live in. For environmental development, the community dwellers collaborated in taking care only in front of their houses. For public property care, the central area was taken care by company being employed in community administration and management. The researcher would like to propose that the sustainable environmental development had to be caused by shared collaboration as well as cooperation, and awareness development for community people more. Therefore, the collaboration in establishing community cooperative as well as Early Childhood Center, as initiated organizations of community cooperation, had to be performed. In addition, the volunteer for safety officers in caring and protection (VSOC), volunteer for village public health (VPH), and volunteer for caring the community children. In present, they obtained payment from government. If there was collaboration to cause these things. The outcome would be development of occupation as well as revenue for community people more. Furthermore, love and unity as well as caring each other as relatives throughout the community, would be occurred. Consequently, the society would be long lasting safe and sound further. It was supported by Sookasem, K. & Prasitrattasin, S. (2005: 53-63) study in "Survey Project of Target Group and Dwellers' Expectation and Satisfaction on community management in Eau-a-thon Housing Project in 2005" that the physical and environmental community management including the public utility, and sewage disposal pool. For the community property management and community business development aspect, were administered by private sector. There was no implementation. But, the washing machine was installed, and taken care by company. The community housing took care of community center. The Office of Early Childhood, shops, security guards, garbage, central electric were paid by community housing. For organizational management of society, and development of community members' quality of life, cooperative was established. The community housing provided occupational training for housewives who didn't have occupation. The activities according to ritual and rite of important days as Mother's Day, were organized.

Conclusions and Recommendations

In summary, according to this study, found that the way of life in Eau-a-thon Housing Community, Udontani Preovince 3 (Banjan) was changed in both of people's way of life, and administration and management, evacuation to live in community which caused the changes in way of life regarding to occupation. The integrated administration and management could make community to be nice to live in more. The recommendations of this study were: the planning to develop way of life in low income people. The government had to determine the guidelines for integrated development of Eau-a-thon Housing Community, in order to construct the nice to live community sustainably further.

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Location Based Services Prediction in Mobile Mining: Determining Precious Information

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Abstract

The restoration which are award with to the wireless mobile devices such as PDA mobile from wherever, at any time using Information Service and Application Provider are enhanced by mining and forecast of mobile user behaviors. We suggest a new data mining determine ability for a mobile exchange information foretaste to better replicate the customer perform patterns in the mobile business environment that presents Location Based Services (LBS) and an revolutionary mining model called Cluster based Temporal mining mobile sequential patterns. As a result, the intend and development of knowledgeable mining algorithms for information discovery in an MC surroundings whereas fully scrutinize the intrinsic affiliation between poignant and purchase patterns are taken as the purpose of this article. Conducting the mining on the rousing and purchase patterns of customers in an MC environment is called the mining of mobile chronological pattern. A dissimilar precedence on the factors connecting large item sets, traversal trails, Efficient and particular, Consumes less time then bearing in mind User clusters and time segmentation concurrently, complete information regarding personal mobile behaviors is predicted.

Keywords: Data mining, Cluster, mobile behaviors, efficiency, patterns

1. Introduction

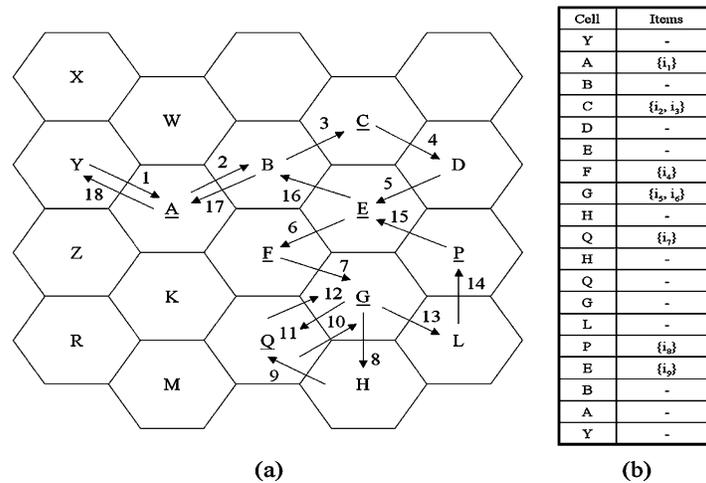
The growth of wireless communication methods and the character of mobile devices such as mobile phones, PDA, and GPS enabled cellular phones, contain fling in to a new business model [1]. Mobile users can demand services through their movable devices through Information Service and Application Provider (ISAP) from wherever at any time. This business model is known as Mobile Commerce (MC) that provides Location Based Services (LBS) through mobile phones. Data mining is an extensively

used method for determining precious information in a multifaceted data set and a number of studies have discussed the issue of mobile performance mining [2]. The main dissimilarity between these literatures is the concerned information of planned methods. Preceding works also planned methods to professionally mine users' chronological mobile access patterns [6], based on the FP-Tree.

A conduit traversal pattern for mining mobile netting user behaviors has been planned. To augment the correctness of forecasts, the touching path was taken into deliberation in the above studies. Though, mobile behaviors vary among dissimilar user clusters or at a variety of time intervals. The forecast of mobile behavior will be more exact if it is probable to find the matching mobile patterns in each user cluster and time hiatus. This is the first work on mining and forecast of mobile behaviors connected with user clusters and chronological relations.

The time interval segmentation technique helps we find a variety of user behaviors in dissimilar time intervals [3] [5]. For example, users may demand different services at dissimilar times (e.g., day or night) even in the same location. If the time hiatus factor is not taken into explanation, some behaviors may be missed throughout exact time intervals. To find absolute mobile performance patterns, a time hiatus table is necessary. Though some studies used a predefined time interval table to excavation mobile patterns the data distinguishing and data allocation differ in real mobile submissions. Therefore, it is hard to predefine an appropriate hiatus table by users. Regular time segmentation methods are, thus, necessary to segment the time measurement in a mobile business database.

Figure 1: Enlightening example for a mobile contract succession



The mobile performance predictions can be approximately alienated into two groups [2]. The first group is time series-based forecast that can be divided into two types:

- 1) Linear models
- 2) Nonlinear models.

The nonlinear models measured the object's actions by more complicated weakening purposes. Thus, their prediction accuracies are superior to individuals of the linear models. Though a number of clustering algorithms have been studied in the wealthy literature, they are not appropriate in the LBS situation in thought of the subsequent concerns, Most clustering methods in can only procedure data with spatial resemblance events, while clustering methods with nonspatial resemblance events are necessary for LBS surroundings. The majority of clustering methods in demand the users to set up some limitations. Though, in real submissions, it is difficult to conclude the right parameter physically for the clustering errands.

2. Existing System

The forecast uses the touching trails of users or the time a user requirements for a service. This method does not believe groups of users in mining, but it believes only individual users. This did not offer competent forecast of mobile user performance and it devours more time to forecast and also it lacks in correctness. Therefore a new scheme is planned to solve the problems in forecast. In a mobile network consisting cells with a bottom position for each, users of wireless movable devices move from one position to another in a random method. The mobile users are providing by ISPs and ISAP to admittance the World Wide Web, to get essential information in their daily life. When user's association and their service requirements are forecasted in proceed, it helps to provide modified and competent service to the users. Competence is augmented to help mobile users knowledge the usage of web submissions and web pages as if they admittance from a Personal Computer.

Limitations of Existing System;

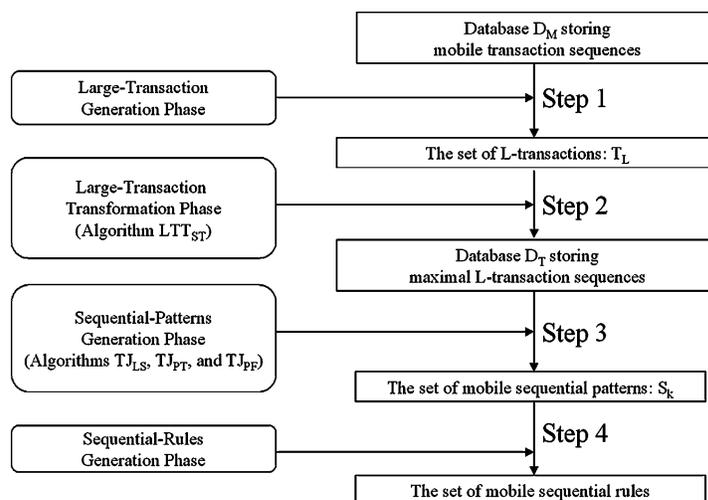
- The calculation results are incompetent.
- Calculation process devours more time.
- No accurate calculation of mobile user behavior.

3. Related Work

Newly, mining of databases has concerned a mounting amount of concentration in database societies due to its extensive applicability to studying the buying behaviors of consumers Mining involvement rules is employed to determine the significant relations among substance such that the attendance of some items in a operation will entail the attendance of other substance in the similar operation [5]. After that, numerous technologies on involvement rule mining has been developed include:

- Algorithm improvements
- Constraint-based incremental updating
- Multiple minimum supports
- Frequent closed item sets
- Generalized
- Multilevel
- Intertransaction
- Quantitative
- Multidimensional

Figure 2: Flowchart of the whole procedure of mining mobile sequential patterns.

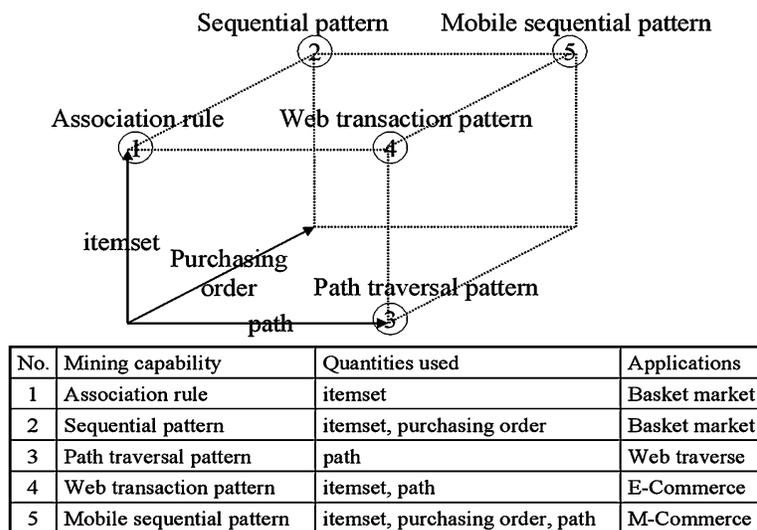


A chronological logic loom is projected in for judgment chronological patterns. Mining incomplete orders from the chronological data is discovered in Mining section shrewd periodic patterns are argued in Mining asynchronous episodic patterns are examined within a subsequence shifted by commotion. Penetrating for incomplete episodic patterns in time-series databases is conversed in a study on competent withdrawal of path traversal patterns for imprisoning Web user activities. By treating the cells as additional substance in the models, one may make bigger algorithm GSP, which was calculated for removal conservative chronological patterns in [55], to find mobile chronological patterns. However, such an addition to algorithm GSP is not deeming ideal for removal mobile chronological patterns for two motivations. First, since our loom processes the cells and the items independently, and the customized GSP treats the cell as an additional item in the patterns, it is predictable that the previous will have a lesser domain to development, thereby having better competence, than the concluding. More prominently, by simply treating the cell as an additional characteristic, GSP is not able to operate the inherent association between touching and procure behaviors of consumers, thus not attaining the mining competence we could have outstanding to the nature of this difficulty.

3.1. Procedure for Mining Mobile Sequential Patterns

The collective concept of removal on involvement rules, trail traversal patterns and chronological patterns, the difficulty of mining mobile chronological patterns cannot be resolved by a simple adding of previous techniques since factors in these companion mining capabilities are in fact entwined. This fact justifies the requirement of devising a new mining process for mobile chronological patterns. As the mobile commerce business has been recognized by numerous foremost industrial companies as the key course to move for years to come, it is supposed that mining mobile chronological patterns has become a very timely and important issue to tackle.

Figure 3: Notion of mining mobile sequential patterns.



The flowchart for the whole procedure and the meanings of symbols are given in Fig. 4. In the overall procedure, the proposed methods for mining mobile sequential patterns are outlined as follows.

Figure 4: Meanings of symbol used in mining mobile sequential patterns.

Notation	Meaning
D_M	Database storing mobile transaction sequences
$\langle C; \{i_k\} \rangle$	Item i_k purchased in cell C
T_L	L-transaction set: the set of large transactions
$\langle C; t_k \rangle$	L-transaction $\langle C; t_k \rangle$: itemset t_k in cell C
LTT_{ST}	(Algorithm) Large-Transaction Transformation with Sequence-Trimming
D_T	Database storing maximal L-transaction sequences
TJ_{LS}	(Algorithm) Transactionset Join with L-transaction Set
TJ_{PT}	(Algorithm) Transactionset Join with Path Trimming
TJ_{PF}	(Algorithm) Transactionset Join with Pattern Family
S_k	The set of large k-sequential patterns
R_k	The set of candidate k-L-transaction set
C_k	The set of candidate k-sequential patterns
C'_k	The set of uncertain candidate k-sequential patterns

The details of connected works are given in Section II-A. Even though some efforts having been complicated upon investigative the user behavior, none of the previous work, to the best of our information, has taken both touching and procure patterns together into deliberation to model the customer behavior in a mobile commerce surroundings. This can in part be explained by the information that the cost is luxurious to track and register thorough actions of mobile users today.1 though, it is predictable that such cost will diminish soon and the cellular phone will turn out to be the popular border of the interconnection network for access a variety of services [57], thus explanatory the expediency and requirement of conducting mobile chronological pattern mining. It is unspoken that the minutes of cells visited and items purchased, necessary for mining mobile chronological patterns, may belong to dissimilar companies, and for these companies, they might have dissimilar consideration on by their data to get better the mobile commerce services presented. It should not go off without proverb that such data investigation should be complete exclusively for the purposes of system and service improvement and should be conducted in a dependent way that neither any law is dishonored nor is the solitude of customers intrudes. However, with the authority and solitude concerns measured, the knowledge detection from the MC data is supposed to be a more and more demanding technological problem which is of great sensible significance for the developing MC techniques. Accordingly, to better reproduce the customer buying behavior in the MC surroundings, we propose an pioneering mining model that takes both the touching patterns and purchase patterns into deliberation. In spirit, the mining of mobile chronological patterns combined the thoughts on mining relationship rules, mining path traversal patterns, and mining chronological patterns, and thus requires a mutual use of equivalent techniques. The idea of mining mobile sequential patterns is shown in Fig. 2, where the connection in the middle of these mining capabilities is represented. How to strike cooperation among the use of a variety of information to resolve the mining on mobile chronological patterns is a demanding issue. As an effort to solve this problem, we devise a process, namely *mobile sequential patterns MSPs*), to conduct the mining of mobile chronological patterns. With the details explained in the Section II-C, the procedure MSP splits the problem of mining mobile chronological patterns into four phases, namely:

- 1) The *large-transaction generation phase*
- 2) The *large-transaction transformation phase*
- 3) The *sequential-pattern generation phase*
- 4) The *sequential-rule generation phase*.

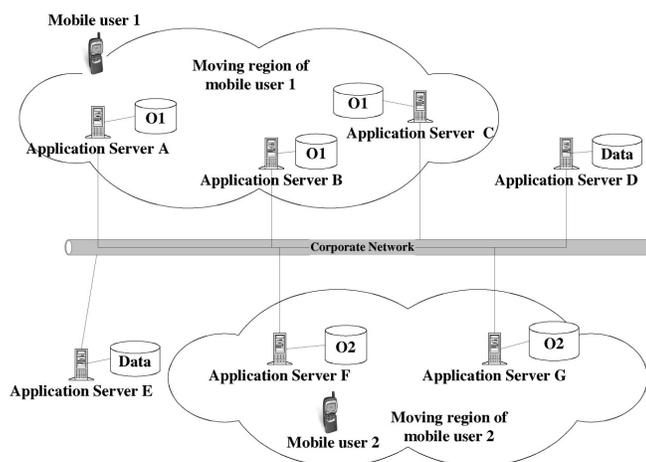
By having different precedence's on the factors concerning large item sets, traversal paths and instructions of purchases, we devise three algorithms are algorithm TJLS, algorithm TJPT, and

algorithm TJPF to conclude mobile sequential patterns. First, algorithm TJLS is devised in brightness of the perception of item set amalgamation in relationship rules mining [6]. Though, as will be seen later, devoid of fully utilizing the traversal paths of mobile chronological patterns, algorithm TJLS tends to add up the ropes of a lot of *out-of-path chronological patterns* thus humiliating the performance. Next, to eradicate the out-of-path chronological patterns, algorithm TJPT is invented by captivating both the ideas of involvement.

3.2. Incremental Mining of User Moving Patterns

The current technology proceeds and growing number of users are accessing a variety of information systems through wireless communication. Such information systems as stash trading, banking, and wireless conferencing, are being provided by information services, and submission contributors and mobile users are talented to access such information through wireless communication from wherever at any time For price presentation reasons, a mobile computing system is typically of a dispersed server structural design in which a service area, referring to the congregate area where the server can offer services to portable users, contains one or many cells where a cell refers to a communiqué area enclosed by a base station. In general, mobile users tend to present communication to servers in close proximity for implementation so as to diminish the communication transparency incurred The properties of data substance admittance by mobile users can typically be separated into two types: the read intensive type or read type and the update intensive type or update type. Data objects are unspecified to be stored at servers to make easy coherency control and also for memory saving at mobile unit's .Since the architecture of a mobile computing system is dispersed in nature, data duplication is obliging because it is able to get better the implementation performance of servers and make easy the location search for of mobile users. The duplication system of a data object involves how many imitations of that object to be created and to which servers those replicas are billed. Obviously, though avoiding a lot of costly distant accesses, the move toward of data duplication increases the cost of data storage space and modernizes. Thus, it has be documented as a significant issue to beat a cooperation flanked by access competence and storage cost when a data allotment scheme is developed. It is noted that a variety of data allotment schemes have been lengthily deliberate in the journalism.

Figure 5: An example of emerging wireless application services.



However, the data allotment schemes for conventional dispersed databases are mostly intended in static etiquette and the user touching patterns, which are predominantly pertinent to a mobile computing system where consumers travel between service vicinity habitually, were not fully discovered. With incremental mining ability, recurrent moving models of good quality can be gained

professionally. in addition, by discovering different levels of information on user moving patterns, dissimilar data portion schemes, which take the property of data substance into deliberation, are developed and their presentation is moderately analyzed. To the best of our information, prior work neither fully discovered the data mining ability for user touching patterns in a mobile computing arrangement nor operated such mining results for individual and communal data allotment let unaccompanied plan system to develop diverse levels of information mined and conducting the matching presentation analysis. These features differentiate this article from others. With the quick proceeds in wireless technologies, the mobile computing systems are flattering extensively obtainable nowadays. The fast augment in mobile applications justifies the appropriateness and consequence of this cram. Algorithms for mining user touching patterns in a mobile arrangement are devised in data allotment schemes based on user touching patterns for individual data allotment is urbanized.

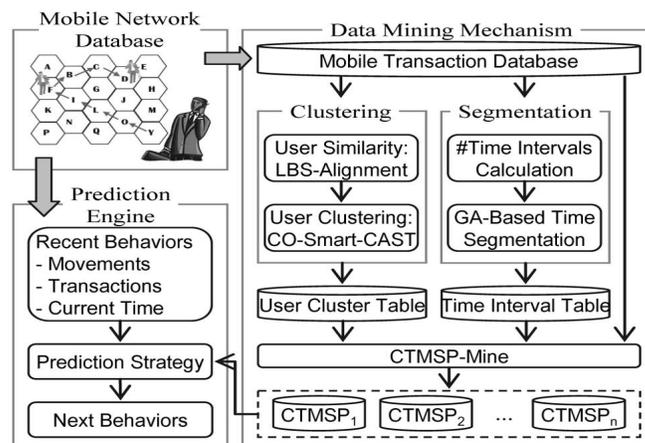
4. Proposed System

In this segment, we explain our classification design. Four imperative investigate issues are tackled here:

- Clustering of mobile transaction sequences.
- Time segmentation of mobile transaction sequences.
- Discovery of CTMSPs.
- Mobile behavior prediction for mobile users.

The CTMSPs mining and an “online” locomotive for mobile performance forecast. While mobile user’s shift within the mobile network, the information which comprised occasion, positions, and overhaul requirements will be stored in the mobile business database. Instance of mobile business database which includes several proceedings. In the offline data mining instrument, we design two methods and the CTMSP-Mine algorithm to find out the information. First, we suggest the CO-Smart-CAST algorithm to cluster the mobile business successions. In this algorithm, we recommend the LBS-Alignment to assess the resemblance of mobile business successions. Second, we recommend a GAbased time segmentation algorithm to find the most appropriate time intervals. After cluster and segmentation cluster table and a time interval table are produced, correspondingly. Third, we propose theCTMSP-Mine algorithm to mine the CTMSPs from the mobile business database according to the user cluster table and the time interval table. In the online forecast engine, we suggest a behavior forecast strategy to forecast the following behaviors according to the mobile user’s preceding mobile business sequences and current time. The main reason of this framework is to offer mobile users a accurate and efficient mobile behavior forecast system.

Figure 5: Overall Proposed System



4.1. System Implementation

The accomplishment consists of four components. The Mobile communication and behavior cohort module logs the total dealings of mobile users. The clustering and segmentation modules produce the necessary patterns. The final component uses the new removal method to predict the future performance of the mobile users [2] [3]. The modules are explained below.

- 1) *Mobile Transactions and Behavior Generation*: A mobile system of cells is fashioned with a base position in each cell. Numerous mobile users are shaped in quite a few cells. The mobile users shift in accidental from one position to another and admission more services from the network through ISAP. [5]The user's association from one cell to a different, their demanded services and the present time are monitored and logged into gigantic databases. Such register from the Mobile business database and it is used in the subsequently two components.
- 2) *Usage of Clustering Method*: consumers in the dissimilar user collections may have diverse mobile operation behaviors. Location Based Service Alignment (LBS-Alignment) technique procedures the resemblance among numerous users and offers it to CO stylish CAST method. Clustering technique named Cluster thing based elegant Cluster similarity to investigate method CO elegant CAST builds a cluster replica.
- 3) *Usage of Segmentation Method*: In a mobile business database, comparable mobile behaviors survive under some convinced time segments. To distinguish the dissimilar time sections, where the user's behaviors are establish to be comparable, Get numeral of Time Segmenting summits (GetNTSP) algorithm is used. It is a Genetic Algorithm bottoms technique. The segmented time periods and the consequent users' mobile communication are made as entries in the time segmentation bench. The production of this component and the second component are provided as contribution for the fourth component.
- 4) *Applying CTMSP-Mine Technique*: User bunch from the second component and time hiatus bench from the third module are used as contribution in this component. User clustering and chronological possessions are measured concurrently, such that the whole mobile chronological patterns are exposed [6]. This component generates patterns called CTMSPs. The models and current performance of users with current time are offers to the forecast Strategy. The forecast methods offer the mobile user's behavior in the by prospect.

There are three forecast policies. There are three forecast strategies for selecting the suitable CTMSP to forecast the mobile behaviors of users:

- The models are chosen only from the matching cluster a user belongs.
- The models are preferred only from the time period corresponding to present time
- The models are chosen only from the ones that match the user's current mobile behaviors.

The Cluster chronological Mobile chronological Pattern Mine algorithm can be alienated into three main steps:

- 1) Frequent Transaction Mining,
- 2) Mobile Transaction Database Transformation,
- 3) CTMSP Mining.

4.2. Algorithm Explanation

The methods used for the accomplishment of the planned system, like position Based Service arrangement (LBS-Alignment), Cluster thing based Smart Cluster similarity to Search method CO elegant CAST, Get numeral of Time Segmenting Points (GetNTSP) algorithm, Cluster chronological Mobile chronological Pattern-Mine (CTMSP-Mine) algorithm are explained below.

- 1) *LBS Alignment Algorithm*: contribution data comprise two mobile business successions. Production data are the resemblance connecting two movable transaction successions, with the amounts in the variety from 0 to 1. The base resemblance achieve is set as 0.5. Use

dynamic indoctrination to calculate $M_{i,j}$, where $M_{i,j}$ indicates the value of matrix M in column i and row j , where M is the score matrix of LBS-Alignment. If the positions of two communications are the same, both the time punishment and the service recompense are intended to calculate the resemblance achieve. Otherwise the position punishment is produced to reduce the resemblance score. In conclusion, M_s : length; s_0 : length is revisited as the resemblance achieve of the two mobile transaction successions.

- 2) *The CO elegant CAST algorithm*: The contribution data are an N-by-N similarity matrix S . The output data are the clustering result. CO elegant CAST can mechanically cluster the data according to the resemblance matrix without any user input stricture. First, the CAST method that takes a stricture named affinity threshold t is used as the basic clustering method. Second, use a quality corroboration method, called Hubert's Γ Statistics, to find the best clustering result. Third, use a hierarchical notion to reduce the thin clusters. For a clustering result, use Hubert's Γ Statistics to measure its quality by captivating the resemblance matrix and the clustering result as the contribution. In each clustering result, work out its Γ_{obj} and Γ_{clu} which represent the clustering character measured by the unique object similarity matrix S and the last cluster similarity matrix S_0 , correspondingly. The initial values of S_0 and S are the same since let every object be a self-governing cluster.

The main disadvantage of this way is that numerous iterations of calculation are necessary. For this reason, try to reduce the numeral of calculations by eradicates pointless implementations, and then, obtain a "by finest" clustering consequence. That is, try to carry out a negligible number of CAST implementations.

- 3) *The GetNTSP algorithm*: The contribution information are a mobile business database D and its time length T . The production data are the numeral of time segmenting positions. For each thing, build up the whole number of incidences at each time point. Draw a curvature of count sharing. Count incidences of all these time points, and find out the satisfied time points whose counts are larger than or equal to the average of all incidences from these ones, and then, take these content ones as a set of the time point progression. In the time point succession, compute the standard time coldness a flanked by two adjacent time summit, compute the number of adjoining time point couples, in which the time coldness is higher than a . The consequence symbolizes the time segmentation calculate.
- 4) *CTMSP Mining*: consumer cluster from the second module and occasion interval bench from the third module are used as contribution in this component. Customer clustering and chronological possessions are careful concurrently, such that the total mobile chronological patterns are exposed [6]. This component produces patterns called CTMSPs. The patterns and current performance of users with present time are offers to the forecast approach. The forecast technique offers the mobile user's behavior in the next two futures. There are three forecast strategies for chooses the suitable CTMSP to forecast the movable behaviors of consumers:

The Cluster chronological Mobile chronological Pattern Mine algorithm can be alienated into three main steps:

- 1) Frequent Transaction Mining,
- 2) Mobile Transaction Database Transformation,
- 3) CTMSP Mining.

The Frequent Transaction mining finds the recurrent dealings that are comparable. The mobile business database is then distorted to take away the sound and outliers. The CTMSP-Mine method is used to find out the Cluster Temporal Mobile chronological Patterns [6]. This CTMSP Mine method uses the consequences of CO elegant CAST algorithm and GetNTSP algorithm. The CO elegant CAST provides the user clusters. Each user cluster is complete as an admission in the consumer cluster table. The GetNTSP algorithm provides the times periods that have comparable mobile user behavior. Each time hiatus is made as an admission in the Time table.

The consumer cluster table and the Time interval table are offers as input to the CTMSP Mine method. The Cluster Temporal Mobile Sequential prototypes are generating as production of the CTMSP Mine method [4]. The forecast approach takes the mined patterns CTMSPs and the present business of the precise user like current time, current location, and current service as input.

The results of forecast policy offer the future mobile performance like location, service of the detailed user. To select the CTMSPs to supply as input to the forecast policy: The user cluster, to which the user belong to, is measured. The CTMSPs that are produced from such user cluster are used as contribution. The CTMSPs that are produced from the time hiatus which matches the current time are chosen as the input to the forecast approach.

4.3. Generalized Descriptions of Algorithms

- 1) **Algorithm TJLS (Transaction set Join with Large Transaction Set) Algorithm** TJLS is an alternative of algorithm *a priori* in [6]. Algorithm TJLS fundamentally exploits the notion of amalgamation thing sets in friendship statute mining [6], while resolving the inconsistency flanked by large chronological prototypes and great thing sets. Likewise to algorithm *a priori* [6], TJLS joins the L-transaction sets of large ($k - 1$) chronological patterns for the generation of candidate k -L-transaction sets in the procedure to discover large chronological patterns. though, different algorithm *a priori*, TJLS employs a two level muddle tree, called the movable succession tree, to amass the applicant chronological patterns. By exploits the two level hashing technique; TJLS can join the L transaction sets to build the business constituent of the mobile succession tree in the candidate production. Then, in the folder scan for including the hold, TJLS builds the path constituent by removed the matching path from the maximal L transaction successions whose L transaction sets enclose the matching applicant L business places.

In the two height confusion tree, swelling moreover contain a list of pattern a leaf node or a hash table an internal node). In an interior swelling, each container of the hash table points to an additional node. The models are amassed in the leaf nodes. The origin of the hash tree is distinct to be at deepness 1. An interior lump at depth d points to nodes at depth $d + 1$. When TJLS adds a pattern p , TJLS starts from the root and go down the tree until reaching a leaf. At an internal node at depth d in the transaction component, TJLS decides which branch to follow by applying a hash function to the d th L-transaction of the L transaction set of pattern p . Similarly, at an internal node at depth g in the path component, TJLS decides which branch to follow by applying a hash function to the g th cell of the path of pattern p .

- 2) **Algorithm TJPT (Transactionset Join with Path trimming):** In brightness of the notion of the pathway trimming technique, algorithm TJPT is plans by captivating the path into deliberation in produces the applicant models, with no develops the paths of great chronological patterns, algorithm TJLS tends to count the ropes of a lot of out of path chronological patterns i.e., the sequential patterns that do not stay within the path, thus humiliating the presentation. In light of the notion of path decoration, algorithm TJPT is designed by taking both the L transaction sets and paths of large chronological patterns into deliberation to produce applicant chronological patterns. Unambiguously, during the age band of large chronological patterns, by destructing the mobile succession tree, TJPT not only decides large chronological patterns but also maintain a buffer that holds the leaf nodes in the business constituent and the matching paths in the path constituent so as to categorize the patterns. The reason of categorize the patterns is that the patterns, whose paths do not

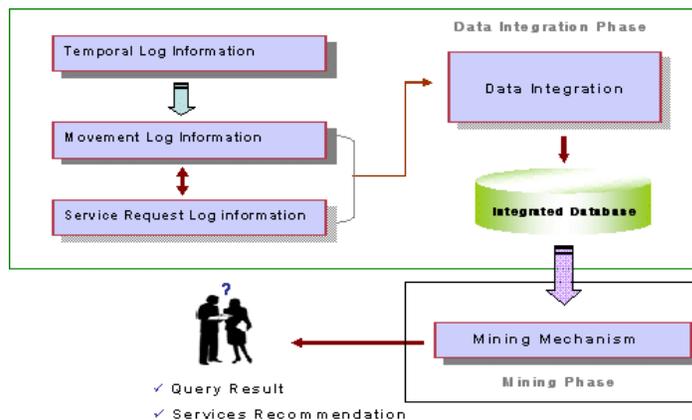
Contain each other, require not be careful to produce applicant sequential patterns jointly. Thus, TJPT can trim the age group of applicant chronological patterns according to the paths. This is referred to as the path decoration method. As a result, TJPT utilizes large chronological patterns to generate applicant chronological patterns in the applicant generation for solving the out of path chronological prototype difficulty in TJLS declared beyond.

- 3) **Algorithm TJPF (Transactionset Join with Pattern Family)** In brightness of the perception of the prototype family method, algorithm TJPF is devise by using the communal path tree in produces the applicant patterns. Algorithm TJPF is similar to algorithm TJPT in that it utilizes the perception of exploits large chronological patterns for generating candidate chronological patterns to decrease the computational transparency caused by out of path chronological patterns but is dissimilar from the concluding in that algorithm TJPF by exploits the information in patterns and is able to decrease the number of unsure candidate chronological patterns and store applicant chronological patterns with a compressed approach, thus additional plummeting the equivalent transparency. Recall that algorithm TJPT utilizes path decoration technique for the production of candidate chronological patterns by comparing the paths of its sub prototype to identify if one path contains a further.

4.4. System Architecture for Temporal Mobile Access Pattern

In this paragraph, we symbolize the organization architecture associated with the background data mining component in details for mining chronological mobile access pattern. It is conducted to remove mobile user’s helpful access models with time connected. Fig. 2 explains the data mining system structural design for chronological mobile access pattern mining mechanisms. The work flow of the organization is divided two segments. This systems form that the logs for consumers’ association and users' overhaul requirements connected with chronological relationship can be stored in diverse databases. The first chapter of classification building, *Data incorporation phase*, is to gather and put together users' logs into one dataset for resourceful admission and the impermanent user information like present location to administer requirements from subscribers. For this phase, the attributes related to user's temporary service requirements will be extracted from the detached log records and connected to beginning an incorporated log file by the user's service identifier as the input. *Mining chapter* is deployed narrative data mining technique to determine the regularly chronological mobile access patterns T-Map from the incorporated log dataset. Accordingly, the best suggested results are returned associated with temporally user's access pattern to the mobile agent. The mobile agent system is supported by both group and service requirements pattern of users with appropriate time information, which makes the arrangement authoritative and correct.

Figure 6: System architecture for temporal mobile access pattern mining Mechanisms



4.5. Mining of Temporal Mobile Access Patterns

In this section, we first give the formal definition to extract user’s mobile access pattern with temporal association rule and propose a novel algorithm named TMap that can discover the user’s temporal movement behavior patterns related to location and service requests [5]. Then, we explore a novel data

structure. Describing that T-Map is combined user's temporal mobile access patterns to compactly store in memory.

4.6 Procedure for MSP (Mobile Sequential Patterns)

- 1) **Large-Transaction Generation Phase:** Determine the (L-transactions large transactions) from the mobile transaction sequences.
- 2) **Large-Transaction Transformation Phase:** Employ algorithm Large-Transaction Transformation with Sequence-Trimming (LTTST) to transform all mobile transaction sequences into the maximal L-transaction sequences.
- 3) **Sequential-Pattern Generation Phase:** Employ one of the following three algorithms [TJLS (Transaction set Join with Large-transaction set), TJPT (Transaction set Join with Path Trimming), and TJPF (Transaction set Join with Pattern Family)] to determine the large sequential patterns from the maximal L-transaction sequences.
- 4) **Sequential-Rule Generation Phase:** Derive mobile sequential rules from the large sequential patterns.

5. Overview of the Project

The services which are provided to the wireless mobile devices (such as PDAs, Cellular Phones, and Laptops) from anywhere, at any time using ISAP (Information Service and Application Provider) are enhanced by mining and prediction of mobile user behaviors. This business model of mobile services is referred as Mobile Commerce.

Mining and prediction of mobile movements and associated transactions is the core of the project. The project focuses on discovering mobile patterns from the whole logs. But such discovery [7] may not be precise enough for predictions since the differentiated mobile behaviors among users and temporal periods are not considered simultaneously in the previous works. User relations and temporal property are used simultaneously in this work to provide more accuracy, and scalability. Prediction strategy is used to predict the subsequent mobile behavior.

Here CTMSP-Mine (Cluster-based Temporal Mobile Sequential Pattern - Mine) algorithm is used to mine CTMSPs [4]. In CTMSP-Mine requires user clusters, which are constructed by Cluster-Object-based Smart Cluster Affinity Search Technique (CO-Smart-CAST) and similarities between users are evaluated by Location-Based Service Alignment (LBS-Alignment) to construct the user groups.

The temporal property is used by time segmenting the logs using time intervals. The specific time intervals to segment the huge data logs are found using Genetic Algorithm based method called GetNTSP (Get Number of Time Segmenting Points). The time intervals will have mobile users with similar behavior.

Example, customers who can access the information about bistro in the evening. This instance has similar users who admittance the restaurant information. Such users fall in the same time intermission. The GetNTSP method uses the idea following the hereditary algorithm. The user cluster information resultant from CO elegant CAST and the time segmentation table are provided as input to CTMSP-Mine technique, which creates CTMSPs. The forecast approach uses the patterns to forecast the mobile user performance in the near prospect. The mobile behavior forecast helps ISPs to get better their QoS known to mobile users.

6. Conclusion

In this article, we discovered a data mining ability which engages mining mobile chronological patterns for an MC environment. In quintessence, the mining of mobile chronological patterns collective the concept of mining involvement rules mining path traversal models and mining sequential

patterns and CTMSP-Mine technique, transaction clustering algorithm named COSmart-CAST is used to form user cluster, based on the mobile dealings using the planned LBS Alignment comparison measurement. Then, GetNTSP method is exploiting to produce the most appropriate time gaps. Using chronological periods and user clusters at the same time for forecast, improving the forecast results. Such prediction results are used by the matching mobile service providers to improve their services.

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Customs Cooperation of the ASEAN States and International Law

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Abstract

Cooperation in international customs is realized through the norms the international customs law, a branch of international public law. In this study, we investigate the customs cooperation of the Association of Southeast Asian Nations (ASEAN) states from the point of view of international law. The main objective of this paper is to analyze concrete examples of the regulation of international customs cooperation in the ASEAN, such as multilateral agreements, the ASEAN Free Trade Area (AFTA) and ASEAN Agreement on Customs. This paper attempts to cover the organizational and legal aspects of customs cooperation of the ASEAN States, both among themselves and with other countries.

Keywords: ASEAN, International Customs Law, International Customs Cooperation, Free Trade Area.

1. Introduction

Modern political and scientific thought is increasingly analyzing the processes occurring in the countries of the Asia-Pacific region due to the gradual shift of global economic and political activity toward that region. Most of these studies concern economic and political relations, but the relationships between the countries of the Asia-Pacific region are also deserving of study from the perspective of international law, with a focus on integration associations, such as the forum of the Asia-Pacific Economic Cooperation (APEC) and the Association of Southeast Asian Nations (ASEAN).

In August 1967, the foreign Ministers of Indonesia, Malaysia, the Philippines, Singapore and Thailand met in the Thai capital of Bangkok to sign the Bangkok Declaration, which created the Association of Southeast Asian Nations (ASEAN). Brunei Darussalam (1984), Vietnam (1995), Laos and Myanmar (1997) and Cambodia (1999) later joined the ASEAN.

The Bangkok Declaration on the establishment of the ASEAN indicated that the purpose of the organization was to accelerate economic growth, social progress and cultural development in the region; to promote active collaboration and mutual assistance on matters of common interest in economic, social, cultural, technical, scientific and administrative fields; to collaborate more effectively for greater utilization of their agriculture and industries; the expansion of trade, including the study of the problems of trade in international commodities; and the improvement of transportation and communications facilities. Customs relations are also included among the areas of cooperation between ASEAN members.

2. International Customs Cooperation and International Law

The international customs cooperation is carried out under the framework of the international customs relations. In the doctrine the international customs relations are interpreted in different ways. Often international customs relations are considered only in terms of external trade and economic relations. However, customs relations are not always related to foreign trade activity or actual economic relations; there is also a law enforcement aspect. The most general definition of cooperation in international customs is as cooperation between states and international intergovernmental organizations in the areas of customs, in the field of customs business, i.e. in the regulation of movement of goods across a customs border.

International law has taken on greater importance in modern times as a system of international treaties and customary rules governing international relations. This increased importance is motivated by the desire among nations to promote peace and security, international cooperation and the strengthening of integration processes. As a result, the system of international law has become more complicated, encompassing relationships that have not previously been regulated under international law or that did not exist before. The main division of the system of international law is a branch of law. There are many branches in contemporary international law, such as maritime, space, nuclear, environmental, health, economic, transport, and, particularly, international customs law.

International customs cooperation is realized through the norms of international customs law, which is a branch of the international public law. International customs law is a system of rules and principles governing the relationships between states and intergovernmental organizations in the course of their cooperation in customs affairs. The relative autonomy of international customs law gives additional weight in matter of regulation, with its own principles and a considerable number of international-legal acts, reflecting the interest of the international community in the regulation of customs relations.

International customs cooperation can be considered from different points of view with distinct forms, levels and directions. Forms of cooperation show how cooperation proceeds, in particular, through the establishment of institutional entities, intergovernmental organizations, and in non-institutional ways and means, such as meetings, workshops, etc. Distinguishing levels (i.e., universal, regional, and bilateral) allows observers to measure international customs cooperation by the number of participants. Directions define specific areas and spheres of activity that are involved in international customs cooperation. Additional characteristics of cooperation include the principles by which such cooperation is carried out, the intensity and effectiveness of cooperation, etc.

The international legal regulation of customs relations is carried at different levels: universal, affecting all the parties of international customs relations, and regional, affecting only some of the states. The ASEAN is one of the most successful regional intergovernmental organizations in the developing world today, and its experience with legal regulation of customs cooperation can be useful for developing economies.

3. Organization and Management of the International Customs Cooperation

ASEAN countries engage in customs cooperation primarily through the framework of universal intergovernmental organizations, such as the World Customs Organization and the World Trade Organization, of which all ASEAN countries are members. Accordingly, ASEAN countries participate in multilateral international agreements and conventions developed under the auspices of the World Customs Organization.

The World Customs Organization includes the Political Commission, which is convened to consult on important policy issues and act as a dynamic steering group. Seventeen members of the Political Commission are selected on a regional basis, and four of the members represent the Far East, South and South East Asia, Australasia and the Pacific Islands. With a growing worldwide membership, the World Customs Organization has divided its membership into six regions, with each

represented by a regionally elected Vice-Chairperson to the WCO Council. In particular, the Asia-Pacific region succeeds in cooperation between the customs authorities of the region and regional organizations working in customs activities.

Annual consultation meetings are held between the heads of customs services of ASEAN countries and the World Customs Organization (represented by its Secretary General). The first consultation session was held in June 2007. During these consultations, the parties exchange information on the development of customs regulations and determine the direction of further cooperation.

In accordance with the Charter of the ASEAN, the supreme policy-making body of ASEAN is the ASEAN summit, which is a meeting of Heads of State or Government of the member states. Summits are prepared by the ASEAN Coordinating Council, which includes the ASEAN Foreign Ministers. The ASEAN Coordinating Council was also assigned the function of coordinating the implementation of previous agreements and decisions. Also of note among ASEAN agencies are three Community Councils comprised of the heads of the relevant ministries: the Political-Security Council, the Economic Council and the Socio-Cultural Council. Relevant ministerial authorities are formed and operate under the auspices of each Council; for example, the ministers of finance meet and operate under the auspices of the economic Council. This group then coordinates the activities of a meeting of the heads of customs services.

On the organizational side, customs cooperation in the framework of the ASEAN occurs primarily at the annual meeting of the heads of customs services. This forum oversees customs activities, reporting at the ASEAN Finance Ministers Meeting and to the Board of the ASEAN Free Trade Area (AFTA). This meeting determines the prospects for further customs cooperation. For example, the 1997 meeting set the aims for development of ASEAN customs until 2020; in 2008, these provisions were clarified and corrected. A committee of experts on ASEAN customs issues also acts under the auspices of the ASEAN Secretariat. The meeting of the heads of customs services forms working groups on the main areas of customs cooperation, including the Coordinating Committee on Customs, the Customs Procedures and Trade Facilitation Working Group, the Customs Enforcement and Compliance Working Group, the Customs Capacity Building Working Group and the ASEAN Single Window Steering Committee.

4. The Main Directions and Stages of Customs Cooperation

A major milestone in the economic and customs cooperation of ASEAN member countries was the formation of the ASEAN Free Trade Area (AFTA), the creation of which was announced at the fourth summit of Heads of State and Government of the ASEAN in Singapore (1992). During this meeting, an agreement was signed on the common effective preferential tariff. This agreement provides for the reduction of tariff rates for large groups of products to the level of 0-5%. In addition to the reduction of tariff rates, the development of AFTA involves the rejection of non-tariff barriers, the elimination of technical barriers, harmonization of standards, etc.¹

Among the achievements of ASEAN customs cooperation should be noted the adoption of the ASEAN Customs Code of Conduct, which was signed by the heads of customs services in 1983 and revised in 1995. Provisions of the Code were the basis of further legal development of customs relations. With a view toward deepening and widening customs cooperation, in 1997, an Agreement on Customs was signed at a meeting of finance ministers, endorsing the principles of efficiency, transparency, simplicity, mutual assistance and cooperation between customs authorities. Member states have agreed for tariff purposes to use the ASEAN Harmonized Tariff Nomenclature. Member states agree not to use customs valuation for protective purposes or as a barrier to trade and implement the GATT Valuation Agreement, as per the Agreement on Implementation of Article VII of the

¹ Background on Customs Cooperation in ASEAN// <http://www.asean.org/communities/asean-economic-community/item/background-on-customs-cooperation-in-asean>

General Agreement on Tariffs and Trade 1994. The agreement provides for the simplification and harmonization of customs procedures for the efficient and expeditious clearance of products traded in ASEAN. In addition, the simplification and harmonization of customs procedures in ASEAN conform with the standards and recommended practices in the International Convention on the simplification and harmonization of Customs procedures (Kyoto Convention) as amended. Among other areas of cooperation, the agreement calls for exchanging vital information on the prevention and repression of smuggling, trafficking of narcotics and psychotropic substances, and other customs frauds; cooperation in the conduct of investigations related to smuggling and other customs frauds; studies and visits by customs personnel; exchanging information on international customs issues; and endeavoring to coordinate ASEAN positions in international customs forums. The agreement recognizes the importance of and encourages cooperation and consultations with the ASEAN private sector, particularly on ways to further enhance intra-ASEAN trade facilitation. The Meeting of the ASEAN Directors-General of Customs is the forum for such linkages with the private sector.

Since the adoption of the ASEAN Agreement on Customs in 1997, 15 years have passed, and experience has been gained along with the rise of new directions in customs cooperation. As a result, a new ASEAN Agreement on Customs was concluded in 2012 to replace the 1997 ASEAN Customs Agreement. The new Agreement is a much more comprehensive and detailed document. While in the Agreement of 1997 there were 13 articles, in the Agreement 2012 there are already 65, five times more. If the provisions of the 1997 Agreement were applied to all member states and all goods traded within the ASEAN, Article 3 of the 2012 Agreement states that the agreement applies to goods being imported into, exported from, in transit through, or trans-shipped through the territories of member states regardless of the country of origin of goods, whether originating in the ASEAN or not. Innovations also include descriptions of customs controls, requirements for the declaration of goods, electronic submission of declarations, risk management approaches, the introduction of the institution of authorized economic operators and electronic data interchange.

The ASEAN measures to simplify and accelerate the movement of goods are multidimensional. Among these measures can be noted the approval at the 20th annual meeting of the heads of customs services in June 2011 the ASEAN Harmonized Tariff Nomenclature 2012, which came into effect in January 2012. This nomenclature, which has replaced the Tariff Nomenclature 2007, is more complete, is used for both internal and foreign trade in goods², and fully complies with the International Convention on the Harmonized Commodity Description and Coding System of the World Customs Organization. To establish a more predictable and objective customs valuation of goods, at the 11th annual meeting of the heads of the customs services in July 2003 the ASEAN Customs Valuation Guide was adopted, based on the Agreement on Implementation of Article VII of GATT as amended in 1994.

The ASEAN Framework Agreement on Facilitation of Goods in Transit signed December 16, 1998 in Hanoi was essential for the development of the ASEAN Free Trade Area. The purpose of this Agreement was the simplification and harmonization of transport, trade and customs regulations and requirements to facilitate the transit of goods and the establishment of an effective, efficient, unified transit transport system in ASEAN. The agreement provides for the adoption of nine protocols, specifying its general provisions on the technical requirements for vehicles, sanitary and phytosanitary standards, the transit of dangerous goods, etc.

Another important step in the creation of the ASEAN economic community and in regulating customs relations in the ASEAN was the Agreement to Establish and Implement the ASEAN Single Window in 2005. The single window is based on the national procedures of the member-states. National single window is a system that provides opportunities for a single provision and synchronized processing of data and information for customs purposes, as well as a single decision on customs clearance and the release of goods. This system eliminates the repeated provision of the same

² ASEAN Customs Review Progress to Facilitate Trade // <http://www.asean.org/news/asean-secretariat-news/item/asean-customs-review-progress-to-facilitate-trade>

documents and information and redundant appeals to the customs authorities. In accordance with Article 8 of the ASEAN Framework Agreement for the Integration of Priority Sectors, member-states were to introduce a procedure for a single window, including electronic processing of trade documents, by December 1, 2005. However, this period proved to be unrealistic due to technical difficulties and differences in the levels of development of states-participants; therefore, the Agreement introduced more liberal terms, requiring completion by no later than 2012. ASEAN Single Window is an environment in which the national single windows of member-states work and interact. To implement the Agreement, Finance Ministers of States parties signed the 2006 Protocol to Establish and Implement the ASEAN Single Window. The Protocol establishes the technical aspects of the creation and implementation of the single window at both the national level and at the level of ASEAN, in accordance with international standards. For the single window legal framework to function, ensuring the secrecy of information, data integrity, recognition of electronic signatures, and the use of electronic evidence in court are important. This problem is addressed by the development and adoption of the Agreement on the Legal Framework of the ASEAN Single Window. While the Legal Framework Agreement for the Asean Single Window is being developed, member states have signed a Memorandum of Understanding on the Implementation of the ASEAN Single Window Pilot Project, which sets the basic legal framework for the implementation of the ASW Pilot Project.

5. Cooperation in Law Enforcement

International customs law carries out a law enforcement function, which is expressed in the detection and suppression of customs offenses. Customs offenses received special attention in the Annex H.2. of Kyoto Convention, concerning customs offences, which states that "customs offense" means any violation or attempted violation of customs laws. This provision sets standards and guidelines for the national customs administration in the investigation and establishment of customs offenses, the arrest or detention of goods or means of transport, etc. The participants of the Kyoto Convention are Vietnam, Malaysia and the Philippines.

One of the main objectives of international customs cooperation is cooperation in law enforcement. In pursuit of this objective and guided by Article 7 of the Agreement on Customs 1997, the heads of the customs services of the ASEAN countries adopted the Guidelines for Mutual Assistance to Combat Custom Fraud and Smuggling at its 6th meeting in 1988. This document, based on ideas developed by the World Customs Organization at the International Convention on Mutual Administrative Assistance for the Prevention, Investigation and Repression of Customs Offences, was adopted to improve cooperation in the regulated sphere and can serve as a basis for bilateral and multilateral ASEAN agreements.

Areas of mutual assistance involve, first of all, the provision of information to the customs administration of one state party as requested by another state party, specifically, information that may help to ensure the proper assessment of import or export duties and taxes (on the value of goods for customs purposes, the tariff classification of goods, the origin of goods); for customs control (the authenticity of official documents, whether goods have been lawfully exported or imported); and to combat smuggling (on persons, their methods and vessels involved in smuggling).

Information may be provided not only on request, but also by initiative of the member-state. This concerns the smuggling of narcotic drugs and psychotropic substances, works of art, antiques and other cultural property. The customs administration of the requested party provides surveillance, investigates, and collects and provides evidence of the offense.

6. Customs Cooperation with Other Countries of the Region

ASEAN carries out customs cooperation with other countries of the region, especially with China, the Republic of Korea and Japan in the so-called ASEAN +3³. ASEAN customs cooperation with China began with the Framework Agreement on Comprehensive Economic Cooperation between ASEAN and China, which was concluded at the 6th summit of the ASEAN - China in 2002. Among its measures for comprehensive economic cooperation, this agreement requires simplification of customs procedures and the elimination of tariff and non-tariff barriers in trade. On the basis of this Agreement, the ASEAN - China Free Trade Area was later established, which became fully operational on January 1, 2010. At the 13th ASEAN - China summit in October 2010, the Plan of Action to Implement the Joint Declaration on ASEAN-China Strategic Partnership for Peace and Prosperity (2011-2015) was adopted. This plan provided for the early conclusion of the Memorandum of Understanding between the ASEAN and China in the fields of customs, customs development and the application of information and communication technologies, etc. The memorandum was signed at the 20th Meeting of the ASEAN Heads of Customs Services in June 2011. In addition to China, free trade areas with ASEAN were established with the Republic of Korea (2006), Japan (2008), Australia and New Zealand (2009) and India (2009). Customs procedures are identified as an area for cooperation in all of ASEAN's FTAs. However, not all ASEAN+1 FTAs include detailed and concrete provisions on customs procedures⁴.

7. ASEAN States and Russia

Full capacity links with ASEAN in the overall context of strengthening positions in the Asia-Pacific region play an important role in Russia's foreign policy because they contribute to enhancing Russia's participation in the regional integration process. The interest in further integration with the East Asian region indicates Russia's desire to be part of initiatives for regional development. Since 1992, Russia has participated on a permanent basis in the ASEAN ministerial conferences, and since 1996 has been a dialogue partner of the ASEAN. A Joint Committee of cooperation between Russia and ASEAN has operated since 1997. The legal basis of the relations between Russia and ASEAN includes a number of joint declarations, as well as intergovernmental agreements with individual countries in the fields of economy and culture. One of the key documents in this regard is the Agreement Between the Governments of the Member States of the Association of Southeast Asian Nations and the Government of the Russian Federation on Economic and Development Cooperation signed on December 10, 2005. This Agreement provides for the promotion of cooperation in all sectors of mutual interest related to trade in goods and services, as well as investment including industry, technical regulations, standards and procedures of conformity assessment, intellectual property and e-commerce to facilitate trade and investment flows. The parties committed to encourage the exchange of information on any problems that may arise with regard to their trade and investment for the purpose of seeking mutually satisfactory solutions to these problems, including information relevant to economic cooperation, in particular macroeconomic indices and socio-economic development strategies, tariff regulation, sanitary and phytosanitary measures, technical regulations, standards and conformity assessment procedures and other non-tariff measures to facilitate trade and effective implementation of investment. The Comprehensive Program of Action to Promote Cooperation Between the Association of Southeast Asian Nations and the Russian Federation 2005-2015 provides for cooperation in combating terrorism and transnational crime, exchanging information and cooperating to prevent and suppress drug trafficking and eradicate illicit trafficking in small arms.

³ Gavrilov V.V. Framework of the ASEAN Plus Three Mechanisms Operating in the Sphere of Economic Cooperation // CALE Discussion Paper № 7, September 2011. - Nagoya University, Japan.

⁴ Pellan M. I. and Wong M.-H. Trade Facilitation: The Way Forward for ASEAN and Its FTA Partners // ERIA Policy Brief, No. 2012-04, July 2012.

Cooperation in customs is mainly based on bilateral international, intergovernmental and interagency agreements. These agreements may vary in volume of cooperation according to the needs of states and political aspects, but are usually quite standard in character. For example, the Agreement between the Government of the Russian Federation and the Government of the Socialist Republic of Vietnam on cooperation and mutual administrative assistance in customs matters of October 31, 2010 implies mutual assistance for the movement of goods and passengers between the two countries, the exchange of information, which can help ensure proper application of customs legislation, and the prevention, investigation and repression of customs violations. In addition, the agreement provides for the exchange of information with respect to goods transported from the territories of Russia and Vietnam, as well as a broad range of areas of cooperation in the of education of customs personnel. The Kingdom of Cambodia and Russia signed an Agreement on cooperation in the struggle against illicit traffic and use of narcotic drugs and psychotropic substances. The conclusion of such agreements with other ASEAN countries appears to be a desirable objective.

Strengthening customs cooperation between Russia and the ASEAN countries is possible with the prospect of creating a free trade area between Russia and ASEAN, which "will enhance and differentiate the external trade flows and direct them to new markets, resulting in decrease Russia's dependence on traditional markets, particularly in Europe"⁵. In a joint statement on the results of the second summit of the ASEAN - Russian Federation from October 30, 2010, it was noted that trade liberalization is becoming the dominant trend in international economic relations. In this regard, both parties welcomed the Russian-Vietnamese agreement on the formation of a joint research group to study the possibility of establishing a bilateral free trade area. This formulation is tenuous and contingent on further work, and the recognition that real functioning of a free trade area will require a substantial increase in the volume of trade⁶.

8. Conclusion

ASEAN is an international intergovernmental regional organization. Various ASEAN agreements and other documents constitute ASEAN law, which is both international and regional. Customs cooperation between ASEAN countries is a necessary condition for the formation of the ASEAN Economic Community. It is possible to predict the future creation of the Customs Union of ASEAN countries, and these new developments also transform the traditional role of customs from revenue collection to facilitating legitimate trade and ensuring safety by protecting citizens through ensuring that imported goods are safe and deterring illegal entry of goods. Using the experience of international legal regulation of customs relations in the ASEAN may be useful for further improvement of the Customs Union of Belarus, Kazakhstan and Russia.

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⁵ Troekurova I.S., Sergun I.P. Perspektivy sozdaniya zony svobodnoj trgovli Rossija—ASEAN //Vestnik RUDN, serija Ekonomika. - 2011. - № 2.

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Citation Practices: A Comparison of Native and Nonnative Speakers of English

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Abstract

This study aims to explore differences in citation practices used by native and nonnative English speakers, and the frequency of occurrence of each citation type. Five (5) MA EFL theses written by Arab students were analyzed and compared to 5 MA EFL theses written by native speakers of English. These theses were collected from Pro-quest Database. They were analyzed according to Swales' (1990) categorization of citation types: integral and non-integral, and the frequency of occurrence of each type. The study revealed that non-native speakers used more citations than native English speakers, especially with regard to integral-verb and non-integral citation types. However, it was found that native English speakers used the noun-phrase citation type more frequently than did the nonnative speakers. The findings may be attributed to nonnative writers' use of wordiness, and the influence of their mother tongue, Arabic which minimally uses the passive voice construction.

Keywords: Citation Practices; Integral Citations; Non-integral Citations; Native Speakers; Nonnative Speakers.

1. Introduction

The term citation generally refers to “a reference to a resource” (Szypszak, 2011:315). Here the definition stresses the referential function of citations. Different researchers define citation according to their different functions. For example, Harwood (2008) points out that citations “help authors justify the topic of their research; the method/methodology employed; and/or the authors’ claims”. While Harwood stresses the supportive function of citations, Statsky (2009) emphasizes the signposting function as he refers to citation as an *address* which enables interested persons to find what has been cited. Signposting citations has several functions, such as referring readers to other sources, helping less informed readers, keeping the argument on track, and saving space (Harwood, 2008). In this definition, the suggestive function of citations is stressed. Harwood (2008) considers citation as the building function in which the building citations use sources, methods or ideas as foundations to be developed further. Finally, the credit function is a term used to refer to the situation when the citation is used to credit other authors for ideas or methods, and this method is very important to avoid plagiarism. Porta (2008), on the other hand, defines citation as a means that helps readers to evoke or suggest further avenues of thought.

Applied linguists divided citation as integral and non-integral based on the syntactic position of the name of the cited author (e.g., Thompson and Tribble, 2001). As the name suggests, integral citations integrate the name of the cited author within the paragraph. It is integrated, as Swales (1990) points out, by using an *integral-verb* or by using a *noun phrase*. An example of integral verb citation is the citation of the author named *Swales* in the previous sentence. It is considered integral citation because it is integrated within this paragraph by using an integral-verb, *points out*. The other type of integral citation is integrating the name of the author by using a noun-phrase. This type is commonly referred to as *integral-naming* as described by Mansourizadeh and Ahmad (2011). An example of this type is the citation used in the previous sentence in which the names of the authors *Mansourizadeh and Ahmad* are integrated into this paragraph by occupying the position of a noun phrase. In non-integral citation, by contrast, the name of the author is not integrated within the paragraph (Thompson and Tribble, 2001). It is introduced by mentioning the name between brackets without using any integral verbs or occupying a noun phrase position as shown in the citation of *Thompson and Tribble* in the previous sentence.

Citation practices differ according to a number of factors. For example, Mansourizadeh and Ahmad (2011) found that citation practices differ among non-native experts and novice writers, which they attributed to their experience gap. Expert writers usually use sophisticated processes to show their own findings in relations to earlier contributions, while novice writers lack these advanced skills. Shanmugam (2009) conducted a study on citation practices among trainee teachers in Malaysia and found that most citations were inconsistent or missing. The findings suggest that teachers should expose themselves to a lot of references and avoid citation errors. Salmi and Dervin (2009) investigated citation practices used by Spanish and American scholars in business management. They found that Spanish writers used less citation, especially in the discussion part; they rarely used reporting structures and did not refer to previous work. Such differences were attributed to different cultural contexts. Citations are usually more frequent in research articles and in literature review portions of texts (Martinovic-Zic, 2004). Moed (2005) found that American authors excessively cite other American colleagues, which can lead to bias in the selection of articles and references. Students may also use a lot of citing to show their teachers that they have read a lot of references, and to get better grades (Harwood, 2010).

Citation patterns were also examined in higher education. For example, Budd and Magnuson (2009) found that citation practices have remained stable over time, and that there was consistency in citation patterns across the three investigated (Research in Higher Education, Review of Higher Education, and Journal of Higher Education). Hutson's findings (2006) suggest that Archaeologists cite themselves more often than sociocultural anthropologists. He found that older authors cite themselves more than younger ones. Because older authors usually have published more work, they cite their previous studies.

Self-citation across disciplines was discussed in recent studies. For instance, in investigating self-citation patterns in four disciplines (electronic engineering, general and internal medicine, organic chemistry and plant sciences), Davarpanahand and Farzaneh (2009) found that self-citation was used more in the field of organic chemistry.

Several studies have examined citation patterns in economic and medical settings. For example, Sharif and Khalid (2004) found that citation practices by economists in Pakistan were lagging behind compared to the international community because economic journals are not available in local libraries. In the medical field, De Groot et al. (2005) conducted a study to see whether medical staff depend heavily on online journals. The results showed that online journals were rarely cited and that most of the cited items were from printed journals.

2. The Present Study

2.1. Purpose and Questions of the Study

Since effective use of citation requires advanced academic skills, emerging writers, especially nonnative English speakers, should be aware of how to use citation efficiently and strategically to be more persuasive. In the present context, the researchers propose a more comprehensive definition of citation. Such a definition should incorporate all the significant functions of citations, especially the referential, supportive, signposting, suggestive, and credit functions. Therefore, citation is defined as a practice of referring to a source to credit an author and/or support an argument, signpost information to retrieve a document or develop further research. However, many nonnative writers of English appear to either neglect the importance of using citations or lack the knowledge of using them appropriately.

The present research study aims to explore the differences in citation practices used by native and nonnative English speakers and the frequency of occurrence of each citation type. It attempts to shed light on how nonnative English speakers cite and how much they differ from their native counterparts. More specifically, the study addresses the following questions:

Q1. Are there differences in the types of integral and non-integral citations used in the theses written by native and nonnative English writers?

Q2. Are there differences in the citation practices of native and nonnative writers within the different rhetorical sections of theses?

2.2. Method

Ten EFL theses were used as two mini-corpora for analysis in the study under investigation (Appendixes A & B). While five of which were written by nonnative speakers of English, the other five were written by native speakers of English. These theses were collected from Pro-quest Database. All of the theses were analyzed according to Swales' (1990) typology of citation: integral and non-integral. Integral citations were subdivided into integral-verb citation and noun-phrase citation. These theses were analyzed in terms of the citation types used and the frequency of occurrence of each type in each thesis and in each rhetorical section of the thesis, namely, introduction, literature review, methodology, and discussion of findings. A comparison between English native and nonnative writers' citation practices was made.

3. Findings of the Study

3.1 Citation Types used in the MA theses Introduction Part

For the purpose of clarifying the findings of the study, the samples of nonnative speakers were coded as A1, A2, A3, A4, and A5, whereas the samples of native speakers were coded as B1, B2, B3, B4, and B5. The samples of the native and nonnative writers were analyzed first in terms of the frequency of citation types used in the introduction part (Table 1A & Table 1B):

Table 1A: Citations used in the introduction part by nonnative speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (A1)	17	7	6
Sample (A2)	3	2	19
Sample (A3)	0	0	0
Sample (A4)	8	1	20
Sample (A5)	6	4	11
TOTAL	34	14	56

Table 1B: Citations used in the introduction part by native speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (B1)	4	8	11
Sample (B2)	2	5	2
Sample (B3)	3	-	-
Sample (B4)	3	-	3
Sample (B5)	3	2	11
TOTAL	15	15	27

As shown in Tables (1A) and (1B), nonnative English speakers used citations more frequently in the introduction than native speakers. The number of integral citations used by the nonnatives reached 44, while it did not exceed 30 in the native samples. Moreover, the nonnatives recorded 56 instances using the non-integral citation type, while the natives could record 27 instances, which is almost half the number of the nonnatives. However, when it comes to sub-types, it was found that native English speakers used noun-phrase citation subtype more often than the nonnatives. Furthermore, the table 1A shows that the introduction section in Sample A1 (nonnative speakers) recorded the highest frequency (30); 17 integral-verbs, 7 integral-noun phrases, and 6 non-integral. It is also shown that Sample B1 (Native speakers) registered highest frequency of citations (23). Sample A3 did not record any citation type. For examples on these citation types, see Appendix C.

3.2. Citation Types used in the MA theses Literature Review Part

The most significant finding in Tables 2A and 2B is that the literature review section, when compared to other sections in the theses under investigation, yielded the highest frequency of citations of the different types because most of the studies, referred to in research, usually fall in this part of the thesis. The review of related literature, which revealed that nonnative speakers used citations more frequently than native speakers when drafting the literature review part, lends support to the findings of the present research. As shown in Table 2A and Table 2B, the number of integral-verb type used by nonnative speakers was 217; whereas native English speakers used it only 40 times. The nonnative English speakers also used noun-phrase type 83 times, while the native speakers recorded only 36 instances. Considering the use of non-integral citation, the same rate was maintained; the nonnative speakers registered 236 instances, which doubles the number used by the native speakers. Table 2A also shows that the nonnatives recorded the highest citation frequency (138 citations) in Sample A2 (51 integral-verbs, 13 noun-phrases, and 55 non-integral citations). Besides, Table 2B shows that the natives registered the highest citation frequency (56 instances) in Sample A1 (7 integral-verbs, 13 noun-phrases, and 36 non-integral citations).

Table 2A: Citations used in the literature review part by nonnative English speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (A1)	25	13	55
Sample (A2)	51	34	53
Sample (A3)	19	4	47
Sample (A4)	59	13	59
Sample (A5)	63	19	22
TOTAL	217	83	236

Table 2B: Citations used in the literature review part by native English speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (B1)	7	13	36
Sample (B2)	3	3	1
Sample (B3)	10	6	3
Sample (B4)	12	3	19
Sample (B5)	8	11	34
TOTAL	40	36	93

3.3. Citation Types used in the MA theses Methodology Part

In the methodology part, the same results were found. Nonnative English speakers use citations more frequently than the native speakers in the methodology part. As shown in Table 3A and Table 3B, the English nonnatives used integral citations 96 times, while the native speakers used it 61 times. Native and nonnative speakers recorded almost the similar usage of noun-phrase subtype (43 and 40), respectively. For the non-integral citations, it was found that the nonnatives used it more frequently than the native English speakers (48 and 25), respectively. Sample A3 (nonnatives) recorded the highest usage of citations (28); 9 integral verbs, 8 noun phrases and 11 non-integral citations. It is also noticed that Sample B1 (natives) registered the highest citation frequency (36); 7 integral verbs, 18 noun phrases and 11 non-integral citations.

Table 3A: Citations used in the methodology part by non-natives

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (A1)	0	1	1
Sample (A2)	9	10	6
Sample (A3)	9	8	11
Sample (A4)	6	6	12
Sample (A5)	7	15	18
TOTAL	56	40	48

Table 3B: Citations used in the methodology part by native speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (B1)	7	18	11
Sample (B2)	3	14	3
Sample (B3)	2	2	-
Sample (B4)	2	4	2
Sample (B5)	4	5	9
TOTAL	18	43	25

3.4. Citation Types used in the MA theses Discussion of Findings Part

Table 4A and Table 4B present the findings related to the native and nonnative English speakers of citation practices and types in the discussion section. These tables show that the native English speakers used citations more frequently than the nonnative speakers. With regard to the non-integral citation, the natives registered 82 instances in the discussion section, while the nonnatives recorded only 21 instances. As far as the noun-phrase type is concerned, the tables also show that the native and nonnative English speakers recorded 38 and 23, respectively. Sample A4 (nonnatives) as shown in Table 4A, registered more than all the other samples (29); 8 integral verbs, 11 noun phrases and 10

non-integral citations. However, Sample B5 (natives) recorded the highest citation frequency (53); 7 integral verbs, 16 noun phrases and 30 non-integral citations.

Table 4A: Citations used in the discussion part by non-natives

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (A1)	9	3	7
Sample (A2)	6	6	3
Sample (A3)	1	0	0
Sample (A4)	8	11	10
Sample (A5)	5	3	1
TOTAL	29	23	21

Table 4B: Citations used in the discussion part by native speakers

Sample	integral citations		non-integral citation
	integral-verb	noun-phrase	
Sample (B1)	5	7	7
Sample (B2)	10	12	4
Sample (B3)	1	2	-
Sample (B4)	-	1	3
Sample (B5)	7	16	30
TOTAL	23	38	82

3.5. Totals of Citation Types and Sub-Types used in the Nonnative Speakers’ Mini-Corpus

A second closer look at all the tables above shows that the nonnative English speakers used more integral-verb citations than integral noun phrase citations. However, this finding is not reflected in the native speakers’ writing; more integral noun phrase citations were used. These findings are presented in Table 5A and Table 5B below:

Table 5A: Total citation types and sub-types used in the nonnative speakers’ mini-corpus

Rhetorical Section	Integral		Total	Non-integral	Total
	With Verbs	With Nouns			
Introduction	34	14	48	56	104
Literature Review	217	83	300	236	536
Methodology	56	40	96	48	144
Discussion	29	23	52	21	73
TOTAL	336	160	496	361	857

Table 5B: Total citation types and sub-types used in the native speakers’ mini-corpus

Rhetorical Section	Integral		Total	Non-integral	Total
	With Verb	With Noun			
Introduction	15	15	30	27	57
Literature Review	40	36	76	93	169
Methodology	18	43	61	25	86
Discussion	23	38	61	82	143
TOTAL	96	132	228	297	525

Regarding the distribution of the citation types in the various rhetorical sections of theses, the tables above show that the introduction and methodology sections recorded the least citation frequency in both mini-corpora of the study. However, it is obvious that the literature review and discussion sections registered most of the citations. Another important finding is that the nonnative English

speakers used many more citations than the native English speakers (857 and 525), respectively. This could be attributed to the fact that the nonnative speakers do not have more input to put into the research, while native speakers' linguistic repertoire aids them to use fewer citations.

4. Discussion and Conclusion

The present research aimed to find out if there are any differences in the citation practices among native and nonnative English speakers in MA theses. The study revealed that the nonnative English speakers used more citations than the native English speakers, especially with regard to integral-verb and non-integral citation types. This means that the nonnative speakers are not fully equipped with the linguistic competence that enables them to rephrase and add their own ideas. This might be attributed to wordiness. It is commonly known that the nonnatives use more words to express themselves and their ideas. This was evident in the present study; it was noticed that the number of pages of the MA theses written by the nonnative English speakers ranged from 173 to 268 pages, whereas the number of pages of the MA theses written by the native English speakers ranged from 73 to 143. This means that the nonnatives have written almost double the amount written by the natives; consequently, the number of citations was also doubled. To exclude this factor, the average of citation per page was considered. Table (6A) shows that the average number of citations used by the nonnative speakers is 0.76 citations per page; while, as shown in Table (6B), the number used by native speakers is 0.89 citations per page. This means that the nonnative English speakers appeared to use a larger number of citations than that of the native speakers.

Table 6A: Average number of citations used by non-native speakers

Sample	Number of Pages	Total number of citations	Citation/page
Sample (A1)	221	144	0.65
Sample (A2)	241	202	0.84
Sample (A3)	232	99	0.43
Sample (A4)	173	213	1.23
Sample (A5)	268	174	0.65
Citation average per page			0.76

Table 6B: Average number of citations used by native speakers

Sample	Number of Pages	Total number of citations	Citation/page
Sample (B1)	73	134	1.84
Sample (B2)	89	62	0.70
Sample (B3)	90	29	0.32
Sample (B4)	87	52	0.60
Sample (B5)	143	140	0.98
Citation average per page			0.89

The second important finding is that the native speakers used the noun-phrase citation type more frequently than the nonnative English speakers. This could be attributed to the influence of the mother tongue. The mother tongue of the nonnatives in this study is Arabic, which is more geared towards an active voice language than towards a passive voice one.

For example, the nonnative speakers used integral-verb citations as in the following examples:

1. “Skehan (1989) introduced a general model that incorporates four areas of individual differences,”
2. “Beard, Myhill, Riley & Nystrand (2009) report that research on writing is a relatively young area that has had little impact on instructional design and pedagogy.”

However, the native English speakers used integral-noun citations as illustrated below:

1. “According to Croft (1972), ESL/EFL brings to mind the situations that take place in the classroom,”
2. “This resembles in part the concept of Rogers (1961) of the “fully functioning person who is in the process of becoming, but never really there.”

This is due to the fact that, for a native speaker of Arabic, it is more natural to say “Skehan (1989) introduced” *this or that*, rather than saying *this or that was introduced by Skehan (1989)*. Consequently, we suggest that the mother tongue of the nonnative English speakers might have influenced their citation practices, indicated in their preference to use integral-verb citations instead of using the noun-phrase ones. In addition, experience and linguistic knowledge of the writers could be considered as factors that led to this result. Nonnative speakers usually exhibit insufficient experience in writing essays and papers, and lack of advanced writing skills compared to native writers. Mansourizadeh and Ahmad (2011) found that expert writers usually use sophisticated processes to show their own findings in relation to earlier contributions. Furthermore, Thompson and Tribble (2001: 99) suggest that it is conventional in scientific writing to de-emphasize the role of the researchers, where the claim is that the human factor is not consequential. This makes the native speakers, who are considered to be more successful writers than their nonnative counterparts, use more non-integral citation and noun phrase integral citation types than verb-controlling integral citation.

In conclusion, it is recommended that English for Academic Purposes (EAP) writing textbooks and courses should consider how writers use appropriate reference to other texts, focusing on citation practices and advanced, sophisticated writing skills. Exercises on such practices and skills should be provided for novice, nonnative writers and graduate students, to enable them to write well-formed texts. It is also recommended that EAP writing courses should emphasize the choices in citation practices available to writers.

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Appendixes

Appendix A: Nonnative English Speakers' Samples

Sample	Title
Sample (A1)	Alshauifan, A. (2009). <i>Key Elements of the ESL/EFL Teacher Preparation Program at the University of Ha'il, Saudi Arabia: EFL Practitioners and Faculty Perceptions</i> .
Sample (A2)	Alkhatani, M. (2011). <i>Learning Styles of EFL Saudi College-level students in Online and Traditional Esucational Environments</i> .
Sample (A3)	Osailan, G. (2009). <i>The English Literacy Experiences of Advanced Saudi EFL Professionals in the United States</i> .
Sample (A4)	Alsamadani, H. (2008). <i>The Relationship between Saudi EFL College-Level Students' Use of Reading Strategies and Their EFL Reading Comprehension</i> .
Sample (A5)	Al-Omrani, A. (2008). <i>Perceptions and Attitudes of Saudi ESL and EFL Students Toward Native and Nonnative English-Speaking Teachers</i> .

Appendix B: Native English Speakers' Samples

Sample	Title
Sample (B1)	Pearson, P.(2007). A corpus-based study of mandative subjunctive triggers in published research articles Available from ProQuest Dissertations and Theses database. (UMI No: 1443067)
Sample (B2)	WILLIAM JAY SPINDLER.(2010). <i>Anime and Manga, Japanese Foreign Language Students, and the Assumption Popular Culture has a Place in the Classroom</i> .Available from ProQuest Dissertations and Theses database. (UMI No: 1481212)
Sample (B3)	Bradford (2010) <i>The Acquisition Of Colloquial Speech And Slang In Second Language Learners In El Paso, Texas</i> . Available from ProQuest Dissertations and Theses database. (UMI No: 1484150)
Sample (B4)	Monica Grace Richards (2010) <i>Developing Academic Vocabulary Independently (DAVI): A usability study</i> . Available from ProQuest Dissertations and Theses database. (UMI No: 1475935)
Sample (B5)	David J. Cooper (2009) <i>Situating Teacher Written Feedback in an EAP classroom: How Context Influences Responding Practices</i> . Available from ProQuest Dissertations and Theses database. (UMI No: 1484960)

Appendix C: Exemplification of the Citation Types Taken from the Mini-Corpora of the Study

Type	Examples	
Integral-naming	1 2 3 4 5	<p>According to Croft (1972), ESL/EFL brings to mind the situations that take place in the classroom.</p> <p>This resembles in part the concept of Rogers (1961) of the “fully functioning person” who is in the process of becoming, but never really there.</p> <p>Early articles by Brooks (1966) emphasized the interdisciplinary nature of the training of second language teachers.</p> <p>The theoretical basis of the field as stated by Richards (1990) has moved from the study of phonetics and grammatical theory, which was considered a necessary basis to launch a student into a career as a language teacher.</p> <p>According to Menken and Antunez (2001), “teacher preparation has become a target for reform efforts as a means to ensure the ability of all teachers” (p.3).</p>
Integral-verb	1 2 3 4 5	<p>Skehan (1989) introduced a general model that incorporates four areas of individual differences.</p> <p>Beard, Myhill, Riley & Nystrand (2009) report that research on writing is a relatively young area that has had little impact on instructional design and pedagogy.</p> <p>Muhammed (2007) has noticed that this suffers in Girl’s Colleges of Education.</p> <p>Altman (1981) cites 85 characteristics of an up-to-date, competent, enlightened second-language teacher.</p> <p>Allen (1968) noted that teachers of English to speakers of other languages needed toknow something about principles of language learning.</p>
Non-integral	1 2 3 4 5	<p>They believe that by reading simplified texts, we damage their nature (as a natural language) and hence the reader stops using his language knowledge and strategies (Purcell-Gates, 1997).</p> <p>Practicum is considered to be the backbone of teacher preparation programs (Althaki, 1999).</p> <p>In its early beginnings, the tradition of teacher education found its roots in general educational research (Freeman, 1996).</p> <p>Instead, ethnographic investigations highlighted some of the grey areas of teaching (Elbaz, 1983).</p> <p>The TESOL Guidelines strongly emphasize that the study of culture and society should be an important component of an ESL teacher’s academic preparation (Norris, 1977).</p>

Challenges Facing the Application of Strategic Management in Arabic Business Organizations: The Case of Telecom Sector in Jordan

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Abstract

The aim of this study was to investigate the attitudes of employees in telecom sector in Jordan towards the challenges facing Strategic Management in Arabic Business Organizations in general and the Telecom Sector in Jordan in particular, and it aimed also to know the effect of gender, experience and job title of the employees on their attitudes.

To achieve the aim of the study a questionnaire was distributed among 150 employees (60 males and 90 females) working at two telecom companies: Zain and Orange. The questionnaires were collected and data was analyzed statistically using suitable statistics.

Results showed that there are statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan: Zain and Orange, it also showed that there are statistically significant differences at ($\alpha= 0.05$) in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to the gender variable, and there are statistically significant differences at ($\alpha= 0.05$) in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to experience variable and job title variable.

Keywords: Strategic Management

Introduction

Some researchers refer to strategic management as an academic field in which the consensual meaning might be expected to be absent. Business policy re conceptualized and relabeled this field in 1979, in fact, it is relatively young. several other vigorous fields were overlapping with its subjects of interest , including marketing, finance, sociology, economics, and psychology (Hambrick, 2004), and its participant members have been trained in widely varying traditions— some in strategic management departments, some in economics departments, some in marketing, some in organizational behavior, and so on. The published, espoused definitions of strategic management vary and this is a little surprised. If we ask strategic management scholars to define the field we may come up with a wide range of definitions.

A fundamental challenge facing the young which expand the field of strategic management rapidly is captured by Stewart's legendary remark. Exactly what is it? The nature of the field needs discourse and reflection regarding; scholars need analytic signposts to help them understand the scope and meaning of the field.

Within business studies, the point of interest has often been the intersections between ownership, management and employees. Different traditions and interests have highlighted different aspects of the interconnection between the areas, just like some have focused on the areas separately. The ownership of companies has been addressed within political science, discussing who should own companies, how profit should be distributed and if any political constraints should be put on the enforcement of ownership rights. Ownership of companies has also been analyzed within the context of corporate finance, addressing the effects of different ownership structures. Some scholars have tested the effect of venture capital ownership on company growth, stock listing vs private ownership and companies partly or wholly owned by the employees (Bennedsen, 2001; Zhou, 2002).

Decisions are not the same according to their importance and become more complex, vital, and strategic especially when their results are critical, and the success and failure of the organizations are highly influenced by these outcomes (Johnson and schools, 2002). Add on our understanding managerial decision – making has always been argued by researchers of organizational strategy and has not finished yet.

The term and methods of strategic management have been very rarely used in Jordan in the companies of the period of centralized and planned economy. Government regime, common property, fixed and centralized purposes, non-existence of competition in domestic markets, fixed prices regulated by the government and a lot of other factors put these companies in the position of passive implementations of government's wishes. Strategic management terms were replaced by such terms as long-term planning, 5-years planning, the Party guidelines, etc. In the early 2000s and after the change of political and economic regime, the Jordanian companies faced very different situations. Politics and economic freedom, privatization and market price are all factors that gave companies the opportunity to make decisions independently about their future. In the course of the new economic life appeared new terms such as marketing, financial management, management of human resources, strategic management, etc. strategic management process in a firm consists of setting the vision, mission and goals, analysis of external and internal business environment, selection of a favorable strategy, those links that constitute strategic planning and as well as proposals for organizational, administrative changes, setting measures on control systems and strategy implementation, which make the links to the implementation and evaluation of the strategy.

In addition, the main purpose for strategic planning is to be used by organization. In fact, a series or a sequence of decisions and discussions among the most important decisions maker, is considered to be the most basic formal requirement. In fact, the decision makers a process that is usually a reasonably structured, in order to help these decision makers resolve and identify the core issues, which their organizations may encounter.

Significance of the Study

The main purpose for strategic management is to be used by organization. In fact, a series or a sequence of decisions and discussions among the most important decisions maker, is considered to be the most basic formal requirement. In addition, the decision makers follow a process that is usually a reasonably structured, in order to help these decision makers resolve and identify the core issues, which their organizations may encounter. Strategic management and its application in business organizations all over the world show a great success and valuable improvement in organizations performance. It is time now to apply strategic management in Arabic organizations.

Statement of the Problem

There is a noticeable lack in the application of strategic management in business organizations especially in Jordan, this may be due to some challenges and there is a lack in literature concerning this issue. The researcher tried to shed light on this vital issue and tried to investigate these challenges from

the employees' perspective in order to help decision makers to start searching for solutions for these challenges.

Purpose of the Study

The purpose of this study is to investigate the attitudes of the employees working in Zain and Orange telecom companies towards the challenges facing the application of strategic management in telecom sector in Jordan, and to know the effect of gender, experience, and job title of the employees on their attitudes.

Questions of the Study

1. What are the attitudes of the employees in telecom sector towards the challenges facing the application of strategic management in telecom sector in Jordan?
2. Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their gender (Male, Female)?
3. Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their experience (less than 5 years, 5 years or above)?
4. Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their job title (Officer, Engineer)?

Definition of Operational Terms

Strategic management: Strategic management consists of the analysis, decisions, and actions an organization undertakes in order to create and sustain competitive advantages.

Limitations of the Study

This study is limited to the employees working at two telecom companies in Jordan: Zain and Orange.

Literature Review

Theoretical Framework

In the last decades, the strategic management perspective in organizations has been the target of increasing attention (Wooldridge, Schmid and Floyd, 2008) as a supplement to the traditional view on top management as the prime source of change and initiatives. The middle management perspective explores the role and importance of middle managers in corporate entrepreneurship (Conway and Monks, 2010), innovation and organizational learning (Andersen, 2004), strategy implementation (Balogun and Johnson, 2004; Huy, 2002) and strategy processes (Currie and Procter, 2005; Floyd and Lane, 2000; Pappas and Wooldridge, 2007). The perspective addresses the internal processes in the organization and highlights the middle managers' role as facilitators of strategy implementation (Huy, 2002) or sources of innovations and change through issue-selling or championing activities (Dutton, Asford, O'Neil and Lawrence, 2001; Ling, Floyd and Baldrige, 2005)

From 1946 to 1970, the strategic management research was mainly focused on resolving optimization problems in several functional areas and in identifying key factors of success in strategic operations management. The focuses of strategic operations management were on issues of

management science applications and operation research (Chopra et al., 2004). The concept of strategic operations management started to become more popular in the 1960s. The scope of strategic management was extended into service organizations. In the 1980s, strategic management had been widely accepted as one of the functional fields of an organization. Lowering the cost was the key function of strategic management in 1980s. However, the function had been shifted to quality in 1990s by linking leanness with information systems. In recent decades, practitioners used customization as a method to fulfill the requirements of customers in a customer-oriented market (Heizer and Render, 2006). Currently, practices of strategic operations management integrated many classical functions of the enterprise that are under the label of business processes. These processes start with a reengineering approach (Bayraktar et al. (2007).

By the mid-1990s, most not-for-profit organizations were turning to strategic management and other concepts from business to ensure their survival. According to Cynthia Massarsky, Deputy Director of the Yale School of Management—The Goldman Sachs Foundation Partnership on Nonprofit Ventures, “Nonprofits are looking to be more efficient in the way they do things. By taking a few lessons from the business world, perhaps they’ve learned how to operate a little more efficiently.” (Penttila, 2004)

This is a significant change from past attitudes because most not-for-profit managers have traditionally felt that business concepts were not relevant to their situation

Previous Studies

Ricart and colleagues (2004) have summarized the status of research pertaining to international strategy, with particular emphases on the consequences of geography and the locations of various parts of different firms. In addition, they note the substantial missed opportunities for business as an effect of having more than half of the world’s population living in poverty and essentially outside the broader commercial system.

Research by London and Hart (2004) indicates that strategists who are seeking to serve the developing majority of the world’s population by applying to them models taken from post-industrial markets may be missing significant opportunities. They argue that corporations need to develop a competence they call “global capability in social embedded” if they expect to prosper in distinctively different socioeconomic environments. Hence, a resulting issue for corporate leaders and researchers might be to further refine the conditions under which elements of recent scholarship will lead to improved organizational performance

Marion, F. (2012) conducted a study that adds to the understanding of the effects of globalization and localization on comparative strategic human resource management by providing an encompassing overview of the existing research paradigms, a brief description of the relevant theoretical underpinnings of comparative strategic human resource management research, and an analysis of the--admittedly limited--empirical results from a German perspective. Illuminating the peculiarities of the German, European, and U.S./American models from a comparative perspective makes the shape of strategic human resource management in Germany clearer: It is clearly distinct in that it focuses on employment practices associated with traditional values such as high investment in training, long-term employee development plans, job protection, and collaboration between employer and employee on various levels. However, Germany shares some characteristics with human resource management models in other European countries, and there is also evidence that it may be adopting some U.S./American strategic human resource management practices, which are sometimes considered best practices beyond the United States. Later in the paper I outline an agenda for future research and review implications for management practice and education. The conclusions do not focus solely on Germany as the country of investigation, but instead take a broader perspective.

Anca, F. (2012) conducted a study that aims to find the local effects engaged by implementing knowledge management in companies. These effects and the way they unfold will be studied at the

level of the five managerial subsystems of the organization; by terms of four factors we have found to be determinant in regard to knowledge management. All will be framed by the Analytic Hierarchy Process (AHP) method, concluding in a hierarchy of the importance of the criteria and the influences they generate on the alternatives in the model. The issue or problem to solve in the AHP will constitute of finding the importance and the effects of implementing strategic management, by term of technology, organizational culture, change management and strategic management as criteria, unfolding on the five managerial subsystems, which represent the alternatives:

Managerial- methodological subsystems, the organizational management subsystems, the informational management subsystem, the decisional management subsystem and the human resources subsystem, the result will be a model than can serve any company in predicting the manifestation of the managerial effects entailed by implementing knowledge management. Also, the model and the conclusions of this study may be extended and applied on any metallurgical company, as well as any organization in this industry.

Vasilika, K.; Etleva, L. (2010) conducted a study in which they have aimed at the assessment of the strategic management level in Albanian companies. The study focuses companies and industries selected in the Albanian environment. The purpose of the study is to analyze the business environment of the selected industries, how much do these industries know the environment in which they operate and how capable are they to get oriented in this environment. The study is conducted in the period May-December 2009. Object of study were 230 companies located in Tirana, from which 150 small and medium companies and 80 big companies. The survey data was collected from questionnaire forms filled in by these companies. Two classification criteria were used in selecting the companies: the size of the firm and the nature of the industry the firm belong to. The study is divided into three parts, where the strategic management level of these companies is studied based on each selection criteria. The first part of the survey examines and evaluates the strategic management level by considering the size of the firm. The second part analysis the strategic management level in a specific industry. The total number of 230 companies is divided into 5 industries: chemical industry, food, services, construction and engineering. The third and the final part studies the experience, knowledge, scale and intensity of competitors, predictability and diversity of business environment in selected industries, as well as attitudes or behavior of companies towards the future in this industry.

Design and Methodology

Population of the Study

The population of the study consisted of all employees working at telecom sector in Jordan who form about 3000 employees.

Sample of the Study

The sample of the study consisted of 150 employees who are working at two telecom institutions in Jordan: Zain and Orange in the year 2013; a questionnaire was distributed among them.

Instrument of the Study

A questionnaire was distributed among the employees working at two telecom institutions: Zain and Orange and this questionnaire was designed by the researcher himself, it consisted of 25 items. Many variables were included such as the gender, experience, and job title of the employees.

Reliability of the Instrument

To ensure the questionnaire reliability, the researcher applied it to a pilot sample of (25) employees excluded of the study sample in the same telecom institutions from which the sample was chosen with

a two-week period between the first and second time it was distributed. The researcher found that the reliability of the questionnaire was suitable after he calculated it using correlation coefficient and it was 0,89.

Procedures of the study

A questionnaire about challenges facing the application of strategic management in telecom institutions was given to 150 employees in Zain and Orange. After that the researcher collected the questionnaires and collected data, and then this data was analyzed statistically.

Statistical Analysis

The results were analyzed for each question using suitable statistical methods such as mean and standard deviation. The researcher also used figures to clarify the results more.

Findings of the Study

The purpose of this study is to investigate the attitudes of the employees working in Zain and Orange telecom institutions towards the challenges facing the application of strategic management in telecom sector in Jordan, and to know the effect of gender, experience, and job title of the employees on their perspectives.

To answer the first question about employees' attitudes towards the challenges facing the application of strategic management: What are the attitudes of the employees in telecom sector towards the challenges facing the application of strategic management in telecom sector in Jordan? A questionnaire was distributed among them and means and standard deviation were calculated. Results were shown in table 1

Table 1: Employees' attitudes towards the challenges facing the application of strategic management in telecom sector

No	Mean	Std. Deviation
Q1	4.14	.840
Q2	4.17	.853
Q3	3.19	1.054
Q4	3.22	.981
Q5	4.14	.896
Q6	3.15	1.189
Q7	3.27	1.202
Q8	4.20	.998
Q9	3.21	1.316
Q10	4.05	.974
Q11	4.53	.768
Q12	2.90	1.199
Q13	3.64	1.317
Q14	2.92	.937
Q15	4.02	1.076
Q16	4.38	.864
Q17	3.45	1.214
Q18	3.03	1.029
Q19	4.18	.869
Q20	4.36	.810
attitudes	3.71	.186
Valid N (listwise)		

Table 1 shows there are statistically significant differences in employees' attitudes towards the challenges facing the application of strategic management. It shows the results of the questionnaire which was distributed among (150) employees about their attitudes towards the challenges facing the application of strategic management. Means and standard deviations were calculated and results show that question 11 got the highest mean which was (4.53); question 16 comes next with a mean of (4.38).

Standard deviation for question 11 was (0.768) which is higher than ($\alpha \leq 0, 05$) so it means that it is statistically significant. Standard deviation for question 16 was nearly the same; it was (0.864) which is also statistically significant.

To answer the second question about employees' attitudes towards the challenges facing the application of strategic management and their gender : Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their gender (Male, Female)? Means and standard deviations were computed and table 2 shows the results.

Table 2: Means, standard deviations and t-test according to Gender variable

	Gender	N	Mean	Std Deviation	t	df	Sig. (2-tailed)
attitudes	Male	60	3.62	.149	-5.373	164	.000
	Female	90	3.77	.186			

Table 2 shows there are statistically significant differences due to gender variable. It shows the results of the questionnaire which was distributed among (150) employees about their attitudes towards the challenges facing the application of strategic management. Means and standard deviations were calculated and results show that male employees got a lower mean than female employees which was (3.62, and 3.77) respectively; this indicates that the gender variable has an effect on employees attitudes.

Standard deviation for male employees was (0.149) which is higher than ($\alpha \leq 0, 05$) so it means that it is statistically significant. Standard deviation for female employees was higher; it was (0.186) which is also statistically significant. So, table 2 shows there are statistically significant differences due to gender variable in favor of females.

Diagram 2: Means, standard deviations and t-test according to gender variable

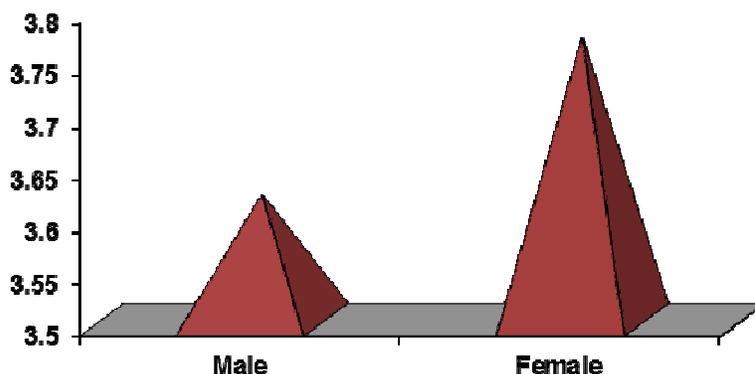


Diagram 2 shows that male employees got lower negative attitudes towards the challenges facing the application of strategic management in telecom sector than female employees.

To answer the third question about employees' attitudes and experience: Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their experience (less than 5 years, 5 years or above)? Means and standard deviations were computed and table 3 shows the results.

Table 3: Means, standard deviations and t-test according to experience variable

	experience	N	Mean	Std Deviation	t	df	Sig. (2-tailed)
Attitudes	Less than 5 years	98	3.75	.195	3.294	164	.001
	5 years or above	52	3.66	.162			

Table 3 shows there are statistically significant differences due to experience variable. It shows the results of the questionnaire which was distributed among (150) employees about their attitudes towards the challenges facing the application of strategic management in telecom sector. Means and standard deviations were calculated and results show that employees whose experience is less than 5 years got a higher mean than employees whose experience is 5 years or above which was (3.75, and 3.66) respectively; this indicates that experience variable has an effect on employees' attitudes.

Standard deviation for employees whose experience is less than 5 years was (0.195) which is higher than ($\alpha \leq 0, 05$) so it means that it is statistically significant. Standard deviation for employees whose experience is 5 years or above was lower; it was (0.162) which is also statistically significant. So, table 3 shows there are statistically significant differences due to experience variable in favor of less than 5 years experience employees.

Diagram 3: Means, standard deviations and t-test according to experience variable

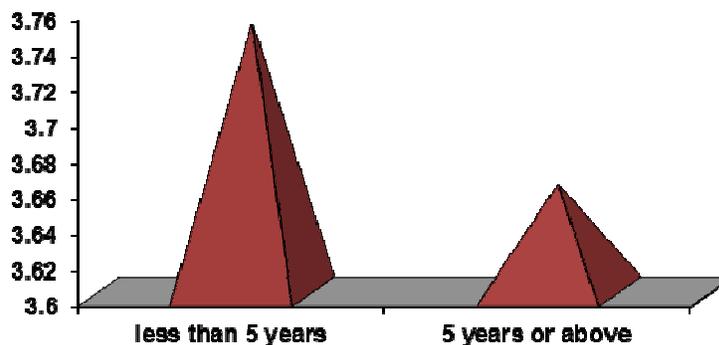


Diagram 3 shows that employees whose experience is less than 5 years got more negative attitudes towards the challenges facing the application of strategic management than the employees whose experience is 5 years or above.

To answer the fourth question about employees' attitudes and their job title: Are there any statistically significant differences in the employees' attitudes towards the challenges facing the application of strategic management in telecom sector in Jordan due to their job title (Officer, Engineer)? Means and standard deviations were computed and table 4 shows the results.

Table 4: Means, standard deviations and t-test according to job title variable

	Job Title	N	Mean	Std Deviation	t	df	Sig. (2-tailed)
Attitudes	Officer	115	3.75	.194	4.852	164	.000
	Engineer	35	3.61	.120			

Table 4 shows there are statistically significant differences due to job title variable. It shows the results of the questionnaire which was distributed among (150) employees about their attitudes towards the challenges facing the application of strategic management in telecom sector. Means and standard deviations were calculated and results show that employees whose job title is officer got a higher mean than employees whose job title is Engineer which was (3.75, and 3.61) respectively; this indicates that job title have an effect on employees attitudes.

Standard deviation for employees whose job title is officer was (0.194) which is higher than ($\alpha \leq 0, 05$) so it means that it is statistically significant. Standard deviation for employees whose job title

is engineer was lower; it was (0.120) which is also not statistically significant. So, table 4 shows there are statistically significant differences due to job title variable in favor of employees whose job title is officer.

So, table above shows there are statistically significant differences in employees' attitudes due to job title variable in favor of employees whose job title is officer.

Diagram 4: Means, standard deviations and t-test according to Job title variable

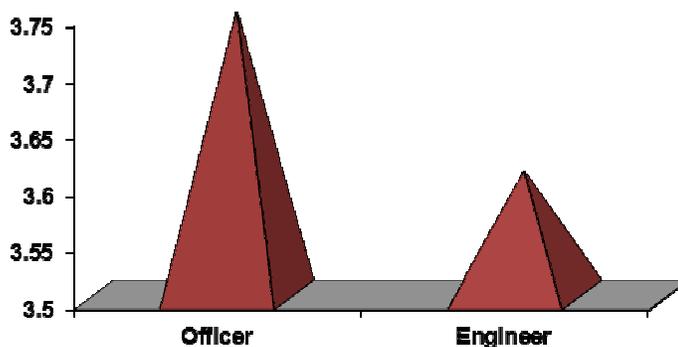


Diagram 4 shows that employees whose job title is officer got more negative attitudes towards the challenges facing the application of strategic management in telecom sector than employees whose job title is engineer.

Conclusion

The application of strategic management in Arabic business organizations in general and in telecom sector in Jordan in particular face many challenges, in this study employees who work in telecom sector in Jordan in Zain and Orange companies have negative attitudes towards the challenges facing the application of strategic management. Their attitudes differ from one to another according to many variables such as gender, experience, and job title. The researcher shed light on some of these challenges and investigates the employees' attitudes and clarifies results using suitable statistical analysis.

Recommendations

In light of the results of the study, the following recommendations were proposed:

- Conducting further studies to investigate the impact of applying strategic management not only on telecom sector but on other institutions.
- Measuring other challenges that may face the application of strategic management and with other ways such as making interviews with job owners and specialists in the companies.
- Hold workshops to train job owners and managers on how they can apply strategic management in their firms effectively.

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Characteristics and Efficiency of Manufacturing Firms in Nigeria

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Abstract

This paper discusses the determinants of allocative efficiency of a sample of firms in Lagos, which is Nigeria's manufacturing hub. The findings demonstrate that though the surveyed firms have invested in technology and skills that may improve technical efficiency; the allocative efficiency is generally low. The allocative capabilities of the firms have an average efficiency of only 20% of the frontier firm. This confirms the existence of cost efficiency crisis that often indicates Nigeria as a high cost manufacturing environment. The results of the estimation of the allocative efficiency model show that cost efficiency increases with firm size, decreases with local ownership, increases with skills intensity, and increases with investment in technology hardware. Other determinants of allocative efficiency such as age of firm, age of main production equipment, and the proportion of production hours using public utilities as source of power have coefficients that are positive but statistically insignificant.

Keywords: Allocative efficiency, manufacturing, technology, Nigeria

1. Introduction

Several authors have shown that the economic miracles experienced especially among the newly industrializing countries (NICs) of Asia in the last half century tremendously benefited from policies that actively promoted the efficiency of manufacturing enterprises. (Chen and Tang, 1987; Mathew and Cho, 2000; Lall and Urata, 2003; Amsden and Chu, 2004). Sustained improvement in firm performance was a major tool in achieving the objectives of the strategy of export orientation as an economic policy that greatly transformed the NICs. While most countries in sub-Saharan Africa did not go for export orientation early enough, the import substitution industrialization strategy resulted in inefficient firms that aggravated de-industrialization especially in the decades of the 1980s and 1990s (Jalilian et al, 2000). Though industrial production in Nigeria stalled for many years with the annual average capacity utilization of manufacturing firms not exceeding 50%, it is noteworthy that there is a renewed interest in promoting industrial development.

From production theory, efficiency and productivity are closely related. For Nigeria, the inability to rapidly increase the efficiency levels of firms has apparently impeded firm-level

productivity growth. This has retarded the structural transformation of the Nigerian economy. Local production remains non-competitive against imported products, and export of manufactures has been limited. Studies on empirical analysis of the economic efficiency of the Nigerian manufacturing sector are rare. Two such studies by Ajibefun and Daramola (2003) and Akerele (2005) examined microenterprises of the informal sector. Another study by Adewuyi (2006) focused on the analysis of the influence of macroeconomic policy variables on technical efficiency using data from 1970 to 1998. Other studies that allude to firm level efficiency are often studies that examine productivity and export performance. These studies (e.g. Chete and Adenikinju, 1996; Thoburn, 2000; Ogunkola, 2002; Rajhi and Marchat, 2003; Afangideh and Obiora, 2004) have not included any direct analysis of the efficiency of the Nigerian manufacturing firms. For example, while Ogunkola (2002) traces the links between technological capability developments, public sector education and firm-level training activities and their productivity impacts, the study made no mention of firm level efficiency and its determinants. Only efficient manufacturing firms can cope with the competitive challenges of modern economies. If Nigerian manufacturing firms would be sources of economic diversification and structural change, their efficiency must not be compromised.

The motivation for the study reported in this paper is therefore an attempt to bridge the existing knowledge gap on the analysis of firms' efficiency and its determinants with the notion that a better understanding of the efficiency of the manufacturing enterprises would be a major contribution to current drive towards making Nigeria a notable industrial nation and the realization of Nigeria Vision 20-2020.¹ The study investigated the level of the efficiencies of firms across selected manufacturing subsectors in Lagos State, Nigeria, and ascertains the factors determining the levels of efficiencies observed. Lagos has the highest concentration of manufacturing enterprises in Nigeria, and hence the focus of the study on Lagos.

The main objective of the study is to analyze the determinants of the allocative efficiency of a sample of manufacturing firms in Lagos. The specific objectives are to:

- (i) ascertain the current characteristics of firms in Lagos;
- (ii) estimate the allocative efficiency of the sampled manufacturing firms;
- (iii) analyze the allocative efficiency differentials between manufacturing subsectors and between scales of operation defined by firm size; and
- (iv) analyze the determinants of allocative efficiency in the sampled firms.

At this juncture, it is important to point out that the study originally set out to examine the determinants of both the technical and allocative efficiencies of firms. However, efforts to obtain data on quantity of production outputs and inputs could not yield satisfactory data. It was therefore not possible to proceed with the estimation of the technical efficiency of the sampled firms. The estimation of the cost or allocative efficiency was possible because data on value (in Naira) of outputs and inputs were provided by the firms, and this also make it possible to relate firms from different subsectors.

The rest of the paper is organized as follows: section two presents the literature review; section three discusses the methodology and data used for the study; section four presents the empirical findings; and the final section concludes the paper with the policy implications of the findings.

2. Literature Review

Overview of the Nigerian Industrialization Process

According to Ekundare (1973) industrialization became a major development objective in Nigeria with the enactment of Aid to Pioneer Industries Ordinance of 1952. Thereafter several policy initiatives and industrialization programs have been targeted towards achieving significant structural transformation of the economy. The post independence Nigeria adopted the import-substitution industrialization

¹ Nigeria Vision 20-2020 is the current Nigerian government's vision of making Nigeria one of the largest 20 economies by year 2020.

strategy (ISI). Helmsing and Kolstee (1993) observed that the Nigerian import-substituting industries were generally of a factory mass-production type, though the scale was much smaller than in Europe or North America. These industries were largely monopolist or oligopolist producers (multinational enterprises or affiliates), either under foreign or expatriate ownership, and/or with considerable expatriate technical and managerial domination. Until the mid-1980s, the Nigerian government assumed a control-oriented policy involving administrative measures, foreign exchange allocation, investment regulation, and the like; the peak of which was the 'indigenization of ownership' schemes in the 1970s. These control measures were supposed to stimulate an active participation of the indigenous business community, and thereby enhance the entrepreneurship and technical capabilities of the Nigerian partners of foreign firms (Biersteker, 1987; Forrest, 1994).

The Nigerian economy was particularly improved by the exploitation of crude oil in commercial quantities in the 1960s, and subsequently by the 'oil boom' of the early 1970s. The import substitution industrialization strategy was notably inefficient, and the cost of the apparent inefficiency of the ISI policies was paid for by the unprecedented large oil revenues. However, the crash of the crude oil price on international market in the early 1980s, poor economic management, and the high dependence on imported inputs by the import-substituting industries, combined together to bring about a drastic economic down-turn in the early 1980s. This had profound impact on the Nigerian manufacturing industry. The industry was highly import-dependent for manufacturing inputs. Foreign exchange to purchase machinery & equipment and critical intermediate products became scarce, and hence, there was drastic decline in capacity utilization. Attempts to revamp the economy and put it on the path of sustainable growth led to the introduction of the World Bank/IMF-led economic structural adjustment program (SAP) in July 1986 (Moser *et al*, 1997; Mkandawire and Soludo, 1998). As rightly observed by Ogunkola (2002), under SAP, there was an overbearing reliance on the role of the market in 'getting the price right'. Government interventionist approaches were jettisoned for exchange rate and trade liberalization. Ogunkola's analysis demonstrated that the response of the manufacturing sector to the SAP reform was far below expectation. Specific case studies also revealed that many large scale public manufacturing firms failed in spite of SAP. Oyeyinka *et al* (1997) provided illustrations of this for the fertilizer and iron and steel plants, while Adubifa (1990) presents the account of the auto industry. Understandably, SAP recognized that through the revitalization of the country's industries, a viable productive base that could serve as a nerve-centre of the nation's economic stability and growth would be created. However, SAP did not succeed in this respect.

The period from 1960 to 1980 generally witnessed rapid industrial growth largely due to the inefficient ISI aided by the oil economy. The decade of the 1980s was a period of industrial decline. There are evident that the average growth rate for industry in the following decade (1990s) shows that the decline might have been halted, but possible improvement appears to be only marginal; and recent report by Adeoti *et al* (2010) indicates that the decade of the 2000s is yet to demonstrate significant and sustainable improvement. Earlier study by Ayonrinde and Olayinka (2002) also concluded from the findings of their empirical study that the impact of reform, especially trade liberalization has been limited on the Nigerian manufacturing industry, and increasing the pace of reform would be helpful to stimulate industrial growth.

The Challenge of Structural Change

The period from 1960 to 1979 generally witnessed rapid industrial growth largely due to the inefficient import substitution industrialization (ISI) strategy aided by the oil economy. The growth rate of manufacturing value added soared in the 1960s and 1970s. The decade of the 1980s was a period of industrial decline. The manufacturing value added growth which was 46.9% in 1979 declined to -3.9% in 1986 indicative of de-industrialization phenomenon which was widespread in Sub-Saharan Africa (Jalilian *et al*, 2000). The following decade of the 1990s shows that the decline might have been halted, but possible improvement appears to be only marginal. By 1999 growth rate of the manufacturing value added improved to 2.1%. It is also important to point out that structural transformation of the

economy remain a major challenge. The manufacturing sector is relatively small, and it contributes less than 4% to GDP. (NPC, 2007). Besides, there has been no significant improvement in the share of manufacturing in the GDP.

Export performance of Nigerian firms has been known to be relatively small especially since the early 1970s when crude oil became the major source of export earnings. As explained by Thoburn (2000) and Afangideh and Obiora (2004), the share of manufactured export in total export increased in the 1960s, and began to decline in the 1970s (especially after the first oil shock in 1973) through to the 1990s. Though the decline has apparently been halted, it has nevertheless remained relatively low. Presently, there is no indication that the recovery process has actually attained significant proportions. Moreover, the manufacturing sector in Nigeria still depends heavily on import of machinery/equipments indicative of the relatively under-developed state of the engineering subsector. Critical raw materials are also largely sourced through imports. On the whole, the manufacturing sector apparently lacks international competitiveness.

Technical and Allocative Efficiencies of Firms

As proposed by Farrel (1957) the economic efficiency of a firm consists of two components; viz., technical and allocative efficiencies. The technical efficiency is the ability to produce a given level of output with the minimum quantity of inputs under a given technology. The production function is the technical relation which connects factor inputs and outputs given the existing technology available at any particular time period. If technology changes, then technological progress is considered to have taken place. The production frontier is the maximum amount of output obtainable from the possible combination of factor inputs given the existing technology. Output deviations from the production frontier are assumed to be a result of technical inefficiency. Allocative efficiency measures the extent of the success in achieving the best combination of different inputs in producing a specified level of output given the relative prices of inputs. Given the prevailing price ratios of inputs, the allocative efficiency is represented by only one point out of several points on a technically efficient isoquant. This is the point at which the price ratio line is tangent to the technically efficient isoquant. It is the least-cost point at which the amount of each input required to produce the specified output level is the minimum possible at the given prices of inputs. Economic or total efficiency is the product of the technical and allocative efficiencies.

Chen and Tang (1987, pp.285-286) enumerated the firm attributes that may affect efficiency performance to include firm size, age of the firm, and ownership structure. Larger firms are usually considered to be more efficient than smaller firms because they are thought to have superior organization or technical knowledge. Older firms are usually considered to be more efficient than younger firms because they have gained experience from past operations, and their survival per se may reflect their superior efficiency. Efficiency may also be related to local participation in ownership. Local participation may improve efficiency since foreign owners are generally less familiar with the local environment; local shareholders can help in that respect. On the other hand, local participation may hurt efficiency if the local owners, because of a lack of knowledge or experience or simply for cultural reasons, resist adoption of new and more efficient techniques. Evidence from the Indonesian weaving industry, as provided by Pitt and Lee (1981), has shown that age has a consistently positive effect on efficiency.

3. Methodology and Data

3.1. Scope of the Study

There is paucity of firm level data on Nigerian manufacturing enterprises. It would have been good to make the sectoral coverage of this study to be identical to those of two important previous surveys of

Nigerian firms by the World Bank RPED² (reported by Marchart *et al*, 2002) and CSAE³ (reported by Sonderbom and Teal, 2002). This would have provided an opportunity to enrich the RPED and CSAE data and thus increase the analytical possibilities of the study. However, the RPED survey was carried out in March/April 2001 while the CSAE survey was done in July/August 2001. Locating the firms in these surveys would be extremely difficult and there would be problem of information recall by respondents who were interviewed seven years ago. Since economic diversification and export promotion are main targets of current economic reform in Nigeria, we have therefore surveyed the Nigerian manufacturing subsectors where exports are more highly represented. The determinants of efficiency in such sectors are expected to provide insights into factors responsible for current levels of efficiency across the manufacturing subsectors. NBS (2003) presents the quantities and value of Nigeria's manufactured exports in 2003 for various subsectors. The manufacturing sub-sectors include six of the eight sub-sectors covered by the RPED and the CSAE surveys. These six subsectors are food and beverages; chemicals and pharmaceutical; paper/printing/publishing; plastics and rubber products; garments making; and furniture and wood products.⁴ A careful examination of the data in NBS (2003) shows that these six subsectors are well represented in the manufactured exports. Though export-oriented firms are generally expected to be more efficient than import-substituting firms (Chen and Tang, 1987), it should not be presumed that firms in these selected subsectors are relatively more efficient or at all efficient because we do not have evidence that they are basically export-oriented firms. Rather, we only suggest that these subsectors have firms striving to be efficient in their bid to meet competitive challenges.

3.2. Sampling, data Collection and Sources

Data gathering procedure includes a survey of firms using the instrument of a semi-structured questionnaire. Our previous survey of Nigerian industry reported in Adeoti (2002) provides important background information on the Nigerian manufacturing industry. Location of firms selected for the study was done with the aid of the list of establishments obtained from the Lagos State Office of the National Bureau of Statistics (NBS). The availability of secondary data on Nigerian industry is known to be poor and relatively unreliable (Mosley, 1992; Thoburn, 2000; Soderbom and Teal, 2002). Thus, it is difficult to plan a stratified sampling for the research sample. Based on available secondary information in the NBS list of establishments, efforts was nevertheless made to obtain a fair geographical spread of firms, and to minimize bias in firm size distribution.

The research sample included firms employing 20 or more persons. This generally excluded the microenterprises that dominate the informal sector economy. We have excluded microenterprises because the vast majority of microenterprises are known to produce to satisfy local demands and they often lack technical capacity to manufacture products that can meet export standards (Helmsing and Kolstee, 1993). The size restriction to firms employing 20 or more persons also follows the RPED survey. With the NBS list of establishments as the starting point, and guided by the distribution of firms by size and subsectors in the RPED sampling frame (see Marchat *et al*, 2002), a sample of 150 firms was selected. For each subsector, firm selection was done in such a way as to include different scales of operation in order to ensure heterogeneity among the sampled firms as well as to allow for analysis across scales of operation.

With respect to the geographical distribution of the research sample, it is pertinent to note that manufacturing firms in Nigeria are essentially in three large clusters. These include the Lagos-Otta-Agbara-Ibadan industrial axis; Nnewi-Aba-Port Harcourt industrial axis; and Kano-Kaduna-Jos industrial axis. These clusters are geographically widely dispersed. However, it is generally

² RPED is the World Bank Regional Program on Enterprise Development.

³ CSAE is the Centre for the Study of African Economies at the University of Oxford, United Kingdom.

⁴ The other two sub-sectors covered by the RPED and CSAE surveys are metals and non-metals. Textiles and garments making were taken as one subsector in the RPED survey but the textiles is excluded in this survey due to the fact that most of the textile firms in Nigeria have closed down.

acknowledged that most Nigerian manufacturing enterprises are located in Western Nigeria, which essentially includes the Lagos-Otta-Agbara-Ibadan industrial axis. Some estimate claim that Lagos alone has 60-70% of Nigerian manufacturing enterprises (Lubeck, 1992, p.17; LASEPA, 1999). The fieldwork was accordingly restricted to cover only firms located in Lagos. Besides making the data collection activities less cumbersome, this was expected to enhance the quality of data to be collected since the research sample was drawn from firms less widely dispersed. The research questionnaires were delivered to the firms by trained enumerators who also personally retrieved them.

The target respondents were plant managers or operations managers assisted by personnel managers or heads of the accounting department. The respondents were particularly requested to provide basic information on firms' establishment and characteristics; investments in technology and their rationales; and whether or not the firms exported. To enable the estimation of the technical and allocative efficiencies of the firms, data on inputs and outputs of the firms were requested along with information on input and output prices. The study focuses on firm activities in 2007 to enable us capture firms' perception of the short-term effect of current economic reform on firm's performance.

3.3. Analytical Framework

Stochastic Production Frontier Analysis

The analysis of efficiency can be carried out by at least three methods. These include the application of the profit function (e.g. Faseyi, 1994; Adesina and Djato, 1996); mathematical programming (e.g. Zaibet and Dharmapala, 1999; Muhammed and Tahir, 2000); and the production frontier function (e.g. Xu and Jaffrey, 1998; Ugu, 2000; Faria et al, 2001; Adeoti, 2001; Ajibefun and Daramola, 2003). Since this study is an examination of production activities we will employ the stochastic production frontier analysis as in Ugu (2000), Faria et al (2001), Adeoti (2001) and Ajibefun and Daramola (2003). The concepts of production and efficiency are basic to theory of the firm in microeconomic theory. The efficiency of a firm is the firm's ability to produce as large amount of output as possible from a given set of input combination. As proposed by Farrell (1957) the efficiency of a firm consists of two components; viz., technical and allocative efficiencies.

The technical efficiency is the ability to produce a given level of output with the minimum quantity of inputs under a given technology. The production function is the technical relation which connects factor inputs and outputs given the existing technology available at any particular time period. If technology changes, then technological progress is considered to have taken place. The production frontier is the maximum amount of output obtainable from the possible combination of factor inputs given the existing technology. Output deviations from the production frontier are assumed to be a result of technical inefficiency. Allocative efficiency measures the extent of the success in achieving the best combination of different inputs in producing a specified level of output given the relative prices of the inputs. Economic or total efficiency is the product of the technical and allocative efficiencies. Estimation of technical and allocative efficiencies. Following previous empirical studies employing the stochastic production frontier analysis (e.g. Coelli and Battese, 1996; Sharma et al, 1999; Adeoti, 2001; Ajibefun and Daramola, 2003) we present the empirical models and the estimation of technical and allocative efficiencies as follows.

3.3.1. Technical Efficiency

As earlier mentioned the production frontier consists of those parts of the firm's production function that yields the maximum output for a given combination of inputs. It is possible that for a firm's scale of operation it may not be able to reach the frontier production function for the industry. There may however be firms whose outputs are closer to the frontier given their level of inputs. The degree of how close the individual firm's production plans are close to the maximum level as defined by the frontier, given input levels, is the measure of technical efficiency for each firm.

Hence, for a firm using n inputs (x_1, x_2, \dots, x_n) to produce a single output, y , the efficient transformation of inputs into outputs is characterized by the production function, $f(x)$ which shows the maximum output obtainable from various input vectors.

The stochastic frontier production function assumes the presence of technical inefficiency of production, and hence, the function is defined by:

$$Y_i = f(x_i, \beta) \exp(V_i - U_i) \quad (1)$$

where $i = 1, 2, \dots, n$

V_i are random errors associated with random factors not under control of firm or decision maker; and U_i are the inefficiency effects.

The model in equation 1 is such that the possible production Y_i is bounded by the stochastic quantity, $f(x_i, \beta) \exp(V_i - U_i)$ hence the term stochastic frontier. The random error V_i are assumed to be independently and identically distributed $N(0, \sigma_v^2)$ random errors, independent of the U_i s; and the U_i s are non-negative random variables, associated with technical inefficiency in production, which are assumed to be independently and identically distributed and truncations (at zero) of the normal distribution with mean μ , and variance, σ_u^2 . ($\text{IN}(\mu, \sigma_u^2)$).

The technical efficiency of an individual firm is defined in terms of the ratio of the observed output to the corresponding frontier output, given the existing technology. Thus, technical efficiency (TE) = Y_i/Y_i^*

$$\begin{aligned} &= f(x_i, \beta) \exp(V_i - U_i) / f(x_i, \beta) \exp(V_i) \\ &= \exp(-U_i) \end{aligned} \quad (2)$$

where Y_i is the observed value and Y_i^* is the frontier output.

For the empirical analysis, we assume the Cobb-Douglas frontier production function for the technology of the firms. The empirical model can thus be defined as:

$$\ln Y_i = f(x_i, \beta) \exp(V_i - U_i) \quad (3)$$

where,

$$i = 1, 2, \dots, n$$

\ln represents the natural logarithm;

the subscript, i represents the i -th firm;

Y represents the value of output which is measured in monetary unit;

x represents the quantity of inputs used in production by i -th firm, and varies between i and n inputs;

the V_{is} are assumed to be independently and identically distributed random errors having $N(0, \sigma_v^2)$ distribution, independent of the U_i s;

the U_i s are technical inefficiency effects, which are assumed to be non-negative random variables.

Allocative Efficiency

As earlier explained, the allocative efficiency reflects the ability of a firm to use inputs in optimal proportions, given their respective prices. We define the stochastic cost frontier for a firm by:

$$C_i = g(W_i, \alpha) \exp(L_i + P_i) \quad (4)$$

where,

$$i = 1, 2, \dots, n;$$

C_i is the observed cost of the i -th firm;

W_i is the input prices;

α the coefficients to be estimated;

L_i and P_i are random errors;

g is any suitable cost function such as Cobb Douglas function or Translog function.

The model is such that the possible cost C_i is bounded by the stochastic cost frontier $f(W_i, \alpha)$. L_i represents random errors such as measurement error. P_i provides information on the level of allocative

efficiency of the i -th firm. This is calculated as the ratio of the predicted minimum cost to observed cost, which is defined as:

$$\text{Allocative efficiency} = \exp(P_i) \quad (5)$$

It should be noted that both the technical and allocative efficiency measures are bounded by zero and one. Hence, efficiency estimates would range between zero and one.

For the empirical analysis, the stochastic cost frontier function to be estimated is assumed to be defined by Cobb-Douglas cost frontier represented as:

$$\ln C_i = g(W_i, \alpha) \exp(L_i + P_i) \quad (6)$$

where,

$i = 1, 2, \dots, n$;

C_i represents the total input costs of the i -th firm;

g is a suitable function, such as Cobb-Douglas function;

W_i represents input prices (in Naira) employed by the i -th firm in production;

α is the parameter to be estimated;

L_i s and P_i s are random errors assumed to be independently and identically distributed and truncations (at zero) of the $N(\mu, \sigma^2)$ distribution .

We assume that each firm may be both technically inefficient and allocatively inefficient by operating off its least cost expansion path. Allocative inefficiency is modeled by permitting the cost minimizing conditions which defines the least cost expansion path in implicit form to fail to hold. Errors in choosing cost minimizing factors' proportions then correspond to disturbances from the exact satisfaction of the first-order conditions for cost minimization (Schmidt and Lovell, 1979). As proposed by Aigner *et al* (1977) the maximum likelihood estimation (MLE) method is applied for the analysis. The MLE can easily be carried out by FRONTIER 4.1 computer program (Coelli, 1996).

Determinants of Efficiency

Firm specific characteristics have been identified as important determinants of technical and allocative efficiencies at the firm level (Farrel, 1957; Pitt and Lee, 1981; Sharma et al, 1999; Gholami, 2004). Accordingly, the determinants of efficiency that would be used in the empirical analysis include:

- firm size (no. of persons employed);
- age of firm (years);
- age of main production equipment (years);
- ownership structure (percent of local equity);
- skills intensity ratio (proportion of engineers and scientists in total workforce); and
- technology investment (yes/no) indicated by whether or not the firm has invested in technology through a re-engineering that brought in new or additional production equipment/machines into the production system in the past three years.

Considering the widespread significance of the power infrastructure in productive efficiency, a measure of electric power supply from public power company (proportion of production hours using electric power from PHCN⁵) is also be included as an explanatory variable.

The foregoing may be expressed as:

$$\mu_i = \delta_o + \sum \delta_i Z_i + e_i \quad (7)$$

where μ_i is the technical or allocative efficiency; δ_s are unknown parameters to be estimated; and Z_s represent the factors which could influence technical and allocative efficiencies of firms.

⁵ PHCN is the Power Holding Company of Nigeria.

4. Empirical Results

4.1. Industry Characteristics

Firm Size Distribution

As indicated in section three, 150 questionnaires were administered to firms across the size distribution with the RPED sample frame as a guide. At the end of the survey, 98 questionnaires were retrieved. Eleven of the retrieved questionnaires were not usable due to incomplete information or inadequate responses.⁶ This resulted in a research sample of 87 firms distributed across the subsectors and firm sizes. The mean firm size of the research sample according to number of persons employed is 207, median firm size is 108, minimum firm size is 20 and maximum firm size is 1502. Following the examples of the RPED survey and previous studies by Lall et al (1994) and Adeoti (2001), we define firms employing 20-49 persons as small-sized, 50-199 persons as medium-sized, and 200 or more persons as large-sized. About two-fifth (41.4%) of the research sample is in the medium-sized industry category, while the rest is almost evenly distributed between small-sized (29.9%) and large-sized (28.7%) industries. As indicated by the RPED sample frame, the firm-size distribution should be skewed in favor of the small sized industries (SSIs). However, the target of ensuring that a fair proportion of the firms are export-oriented eliminated some of the SSIs in the course of the sampling. The food & beverages sub-sector dominate the sample with 32.3% of the sample size. This is expected because the food & beverages firms are known to be relatively more numerous, and contribute more than 25% of the manufacturing value-added (MVA) in most countries of sub-Saharan Africa (UNIDO, 1997). The distribution of other sub-sectors is fairly consistent with the RPED sample frame. 17.2% of the sample firms are in the chemicals and pharmaceutical, 17.2% are in the plastics and plastics products, 12.8% are in furniture and wood products, 11.5% are in paper/printing and publishing, and 9.2% are in garments making.

Ownership Structure and Affiliation to Multinational Enterprises

The ownership structure of the sample firms showed that the firms are largely privately owned. Nearly two-third (65.1%) of the firms are completely owned by private sector agents while private sector ownership in the remaining firms ranges between 30 and 90%.

Nearly one-quarter (23.3%) of the research sample firms are affiliates or subsidiaries of multinational enterprises (MNEs). The food & beverages and plastics & rubber products have the largest share of MNE affiliates in the sample contributing 17 out of the 20 MNE affiliates. The chemical & pharmaceutical have 3 MNE affiliates while the remaining three sub-sectors have no MNE affiliates.

Age Distribution of Firms

Most of the firms are relatively young with 64.6% of the firms not older than 20 years. The mean age of the sample firms is 18.6 years, modal age is 10 years, while the median age is 15 years. The oldest firm is 52 years old while the youngest firm is three years old. Only six firms are 40 or more years in age. For MNE affiliates only four (22%) firms (all food & beverages) are between 1-10 years; five (28%) are between 11 and 20 years; and nine (50%) are over 20 years.⁷ It thus appears that the MNE affiliates are generally older than the local firms. This supports the findings of Lall et al (1994) that affiliation to MNE is closely associated with age of manufacturing firms in Ghana.

Capacity Utilization

From the trend in capacity utilization of the respondent firms, the mean capacity utilization has increased gradually from 61% in 2005 to 71% in 2008. However, the growth in capacity utilization

⁶ Six of the rejected questionnaires were out-rightly useless due to incoherence in the data supplied. The remaining seven were rejected largely because of the paucity of data on the input and output figures.

⁷ Two of the 20 MNE subsidiaries did not provide data on age, hence these findings are based on 18MNE subsidiaries.

among the sample firms has not been evenly distributed. While the maximum remained 100% for each year, the minimum declined from 20% in 2005 to 15% in 2006 before it rose to 30% by 2008. Besides, the median capacity utilization increased from 60% in 2005 to 70% in 2007 but declined to 66% in 2008. The steady growth in mean along with decline in the median associated with increase in capacity utilization suggests that firms with lower capacity utilization have improved in recent years.

It is also pertinent to note that the capacity utilization among the sample firms is far superior to the actual industry average which was reported by NPC (2009) to be about 53% in 2007.⁸ NPC (2009) highlights the key challenges of the Nigerian manufacturing and identified low capacity utilization as one of the main indicators of the industry ailments. Due to the biasness of the research sample towards firms that are capable of exporting, the sample firms may thus be regarded to be among the relatively healthy manufacturing enterprises, and hence, their relatively high mean capacity utilization.

Human Capital Outlay

The distribution of the educational qualification of workers in the respondent firms shows that 44.4% of the workers have higher educational qualification, 44.2% have secondary school education, while 11.4% have only primary school education. The food & beverages sub-sector has the highest proportion of workers with higher education and the least proportion of workers with only primary education. This is an indication of better skills content of production activities in the food & beverages subsector compared to the other subsectors. The chemicals & pharmaceutical and the furniture and wood products subsectors also have relatively high concentration of workers with higher education. While the case of chemicals & pharmaceutical could be explained by the requirement of high skills especially in drug manufacturing, the relatively higher education of workers in the furniture and wood products may be due to increasing emphasis for graduates to adopt vocational skills that enable self-employment. The relatively higher levels of secondary education in the three other subsectors (paper/printing/publishing; plastics & rubber products; garments making) may be an indication that these subsectors have relatively less sophisticated skills requirements. Garments making manufacturing is particularly known to be labor intensive and characterized by the use of large manpower with low-level education (Mytelka, 1985; UNEP, 1993).

Moreover, an analysis of the quality of the human capital indicated by skill intensity ratio calculated as the proportion of the number of scientists and engineers in the total workforce provides some useful insights. For the pooled sample, the mean skill intensity is 0.15, median 0.11, mode 0.10, minimum 0.0, and maximum 0.51. The highest skill intensity of 0.51 is found in the plastics & rubber products sub-sector while the lowest of 0.0 is found in the garments making sub-sector. The highest mean skill intensity of 0.21 is in the food & beverages, followed by 0.16 in the chemicals & pharmaceutical, and 0.14 in the furniture and wood products. The mean skill intensity in plastics & rubber products and the paper/printing/publishing subsectors are 0.12 and 0.11 respectively, while the lowest mean skill intensity of 0.04 is in the garments making sub-sector. It thus appears that the food & beverages and chemicals & pharmaceutical are the most skill intensive of the subsectors while the garments making subsector is the least skill intensive.

Type of Investments in Technology

An analysis of the composition and origin of the main production machinery/equipment employed by the firms revealed that 83.9% of the firms use either completely foreign technology equipment or equipment that are largely foreign technology. No firm employs completely locally fabricated production facility while only 16.1% of the firms use equipment that are largely locally fabricated equipment. The foreign components of the equipment are imported mostly from Europe, and to some extent also from Asia. These results are indication that Nigerian manufacturing is still dominated by

⁸ NPC (2009) reported that capacity utilization in the Nigerian manufacturing industry declined from 73.3% in 1981 to 38.2% in 1986, and by 1999 was only about 34%. As a result of the economic reform of the democratic government that came to power in 1999, capacity utilization rose to about 53% in 2007.

the use of imported technology adapted to local conditions. This confirms the notion that the Nigerian engineering subsector that could fabricate manufacturing facilities is highly constrained and remains weak.

The mean age of the main production equipment is 8.9 years, median 7 years, mode 10 years, minimum 1 year, maximum 30 years. The relatively low mean and median ages suggest that most of the respondent firms carried out substantial re-engineering involving replacement or refurbishing of the main production equipment in recent years, arguably within the past ten years. Actually within the past three years, 53.1% of the firms claimed to have made significant changes in the production process, 57.1% have introduced new machinery/equipment, and 27.4% claimed to have added refurbished or second-hand machines to the production system. Moreover, 45.3% of the firms claimed to be involved in technology collaboration (with foreign firms) that could improve the physical capital stock. 40.2% of the firms mentioned the type of collaboration as technical support agreement, 10.3% claimed technology licensing, 5.7% trademark licensing, and only 1.1% mentioned foreign direct investment (FDI). The type of collaboration is thus largely in the form of technical support agreement and technology licensing.

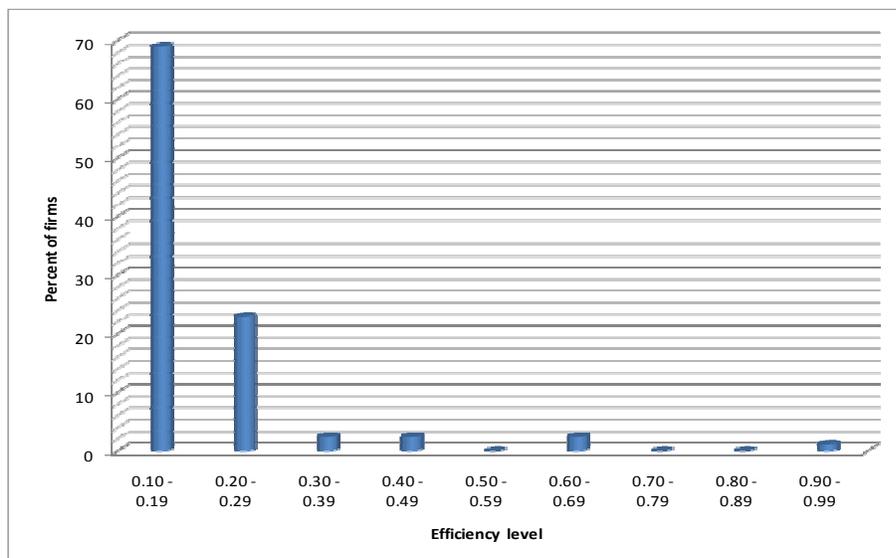
4.2. Analysis of the Efficiency of Firms

Efforts to obtain data on quantity of production inputs and outputs did not yield satisfactory data. It was therefore not possible to proceed with the estimation of the technical efficiency of the sampled firms. However, the estimation of the cost or allocative efficiency was possible because reliable data on value (in Naira) of inputs and outputs were provided by the firms, and this also make it possible to relate firms from different subsectors.

Distribution of Allocative Efficiency

Figure 1 presents the distribution of the allocative efficiency of firms in the research sample. The allocative efficiency is less than 50% for nearly 97% of the firms. The mean efficiency index is 0.20, median 0.16, minimum 0.10, and maximum 0.95. Though the maximum cost efficiency is relatively high, the mean and median efficiency indices show that the allocative efficiency is generally low for the sample firms. It may thus be reasoned that the allocative capabilities of the firms are low with an average efficiency of only 20% of the frontier firm. This may be an indication of high cost of production resulting in low cost efficiency of firms.

Figure 1: Distribution of the allocative efficiency estimates



Source: Analysis of survey data

Efficiency Differentials by Manufacturing Subsectors

The distribution of the index of allocative efficiency of firms by manufacturing subsectors is shown in Table 1. The allocative efficiency is greater than 50% for only about 3% of the firms. Only three firms have allocative efficiency above 50%, and two of these three firms are food and beverages firms while the other is in the chemicals and pharmaceutical subsector. Compared to all the other subsectors, it thus appears that food and beverages firms have higher cost efficiencies. Almost all the firms in the chemicals and pharmaceutical subsector have allocative efficiency below 50%. All firms in the other four subsectors have allocative efficiencies below 50%.

Table 1: Distribution of allocative efficiency by industrial subsectors

Subsector	No. of firms with allocative efficiency						Total
	0.10-0.19	0.20-0.29	0.30-0.39	0.40-0.49	0.60-0.69	0.90-0.99	
Food & beverages	16	6	2	2	2	0	28
Chem. & pharm.	8	6	0	0	0	1	15
Paper/print./publ.	9	1	0	0	0	0	10
Plastic & rub. Pdts.	8	7	0	0	0	0	15
Garments making	8	0	0	0	0	0	8
Furn. & wood pdts.	11	0	0	0	0	0	11
Total	60	20	2	2	2	1	87

Source: Analysis of survey data

Efficiency Differentials by Scale of Operation

The distribution of the index of allocative efficiency of firms by scales of operation is shown in Table 2. The scale of operation is according to the classification of small, medium and large-sized firms earlier defined in section 4.1. The results demonstrate that the allocative efficiency increases with scale of operation. All the firms with allocative efficiency 30% or more are in the large-sized category. Out of the twenty firms with allocative efficiency of 20-29%, 11 are large-sized, seven are medium-sized, and only two are small-sized. Moreover, none of the small and medium-sized firms has an allocative efficiency above 50% while 12% of the large-sized firms have allocative efficiency above 50%. The results confirm the findings of Chen and Tang (1987) which stressed that larger firms are usually considered to be more efficient than smaller firms because they are thought to have superior organization or technical knowledge. In their study of firms in five sub-Saharan countries including Kenya, Ghana, Tanzania, South Africa and Nigeria, Rankin et al (2006) also indicated similar trends.

Table 2: Distribution of allocative efficiency by scale of operation

Scale of operation	No. of firms with allocative efficiency						Total
	0.10-0.19	0.20-0.29	0.30-0.39	0.40-0.49	0.60-0.69	0.90-0.99	
Small sized firm (employing 20-49 persons)	24	2	0	0	0	0	26
Medium sized firm (employing 50-199 persons)	29	7	0	0	0	0	36
Large sized firm (employing 200 or more persons)	7	11	2	2	2	1	25
Total	60	20	2	2	2	1	87

Source: Analysis of survey data

Determinants of Allocative Efficiency of Firms

The parameter estimates for the Cobb-Douglas stochastic frontier cost function for the sample firms are presented in Tables 3. The table also contains the inefficiency model and the variance parameters σ^2 and γ which are estimated along with the parameter estimates α and δ . As explained by Battese and Colli (1992) and Adeoti and Olayemi (2003), the sigma squared (σ^2) and gamma (γ) are the

diagnostic statistics that indicate the relevance of the use of the stochastic frontier function and the correctness of the assumptions made on the distribution of the error term. σ^2 indicates good fit and correct distributional form assumed for the composite error term. γ indicates that the systematic influences which are unexplained by the production or cost function are the dominant sources of random errors. The statistical significance of γ shows that a one-sided error component (μ_i) is present in the specified model. This implies that the traditional response function estimated using the ordinary least square does not adequately represent the data, and the use of a stochastic cost frontier function estimated by the maximum likelihood estimation procedure is therefore appropriate.

Table 3: MLE estimates of parameters of Cobb-Douglas stochastic frontier cost function

Variable	Parameter	Coefficient	Standard error
Intercept	α_0	1.232	0.450***
Ln (cost of raw materials)	α_1	0.302	0.087***
Ln (cost of depreciation of machines/equipment/building)	α_2	0.079	0.065
Ln (salary and wages)	α_3	0.480	0.096***
Ln (cost of utilities-electricity/water/telephone)	α_4	0.265	0.092***
Size of firm	δ_1	0.009	0.004**
Age of firm	δ_2	0.005	0.006
Age of main production equipment	δ_3	0.008	0.012
Ownership structure	δ_4	-0.004	0.002**
Skills intensity	δ_5	1.212	0.637*
Invest in tech. hardware (yes=1; no=0)	δ_6	0.287	0.195*
Proportion of production hrs using PHCN	δ_7	0.595	0.480
Variance ratio: gamma	γ	0.126	0.043***
Total variance: sigma squared	σ^2	0.359	0.063***
Log likelihood function		-78.872	

*, ** and *** represent 10%, 5% and 1% levels of significance respectively.

Source: Analysis of survey data

The results presented in Table 3 demonstrates that all the coefficients of the cost determinants of output in the empirical model have positive sign, confirming the *a priori* expectation that increase in any of the variable inputs will increase the level of output. Besides, with the exception of the cost of depreciation, all the cost determinants have coefficients that are statistically significant at 1% level. There is thus a clear indication that increases in the cost of raw materials, salary & wages, and utilities have a tendency to yield increase in output. The total variance of the parameter estimates is 0.359 and significant at 1% level. This represents the relative magnitude of the variance associated with the cost frontier model, and thus indicates that the estimated model is quite significant. Though all the four cost inputs have inelastic relationship with respect to output levels, the coefficient of the labor costs (salaries and wages) is the highest, followed by cost of raw materials, and the cost of utilities. This suggests that salary and wages may be more important than any of the other three cost factors as determinant of output levels. One percent change in cost of raw materials, depreciation, salary & wages, and cost of utilities would change output levels by 0.302 percent, 0.079 percent, 0.480 percent, and 0.265 percent respectively.

As shown earlier, the variables postulated as determinants of firm efficiency include firm size (number of persons employed), age of firm, age of the main production equipment, ownership structure of the firm, skills intensity ratio (proportion of engineers and scientists in total workforce), whether or not the firm has invested in technology through a re-engineering that brought in new or additional

production equipment/machines into the production system in the past three years, and the proportion of production hours using the electricity supplied by the PHCN.

With the exception of the ownership structure (measured as percent private Nigerian ownership), the coefficients of the explanatory variables in the allocative efficiency model have a positive sign. Four of the seven variables in the model have coefficients that are statistically significant. The coefficient of firm size is positive and statistically significant at 5% level indicating that cost efficiency increases with firm size. This further confirms the results highlighted in the descriptive analysis in section 4.2.3 and agrees with the earlier mentioned findings of Chen and Tang (1987) which demonstrated that larger firms are usually more efficient than smaller firms because they are thought to have superior organization or technical knowledge. Besides, large firms are often more technology intensive and may have better capability for resource allocation, and thus relatively more cost efficient.

The coefficient of the ownership structure is negative and significant at 5% level. This implies that firm allocative efficiency decreases with increasing local ownership, thus indicating that cost efficiency is associated with increasing foreign ownership. This can be explained by the fact that local firms may be less experience in resource allocation even if they are more familiar with the local operation and market environment. Thus, increasing foreign equity may attract more foreign control which may enable firms to better harness both local and foreign and allocate them more efficiently for industrial production. Nigerian firms are known to be highly dependent on imported raw materials and technology. For example, the earlier results show that none of the research sample firms in this study uses completely locally fabricated main production equipment, and about 84% of the firms have either completely foreign or mostly foreign main production equipment/machines. Moreover, 64% of these equipments and machines are imported from Europe while about 28% is imported from Asia. It is thus plausible to expect foreign ownership to create opportunities for technologies that local firms may have no resources to adopt. Consequently, largely foreign owned firms may also be more technically efficient. Thus, this result suggests that foreign ownership advantage translated into better cost efficiency for the firms in the research sample. Rankin et al (2006) also discovered in their study of manufacturing in five African countries that foreign ownership is an important determinant of firm performance.

The coefficient of skills intensity is positive and significant at 10% level. Thus, skills intensity is associated with increasing cost efficiency. This finding is also in consonance with the findings of Soderbom and Teal (2000) and Rankin et al (2006) which demonstrated that skills are critical inputs that determine the competitiveness of manufacturing of manufacturing in five African economies comprising of Kenya, Ghana, Tanzania, South Africa and Nigeria. This result may simply be explained by the fact that increasing number of scientists and engineers employed by a firm would have much more impact on cost than any other category of employees because though they are expensive to hire, they bring into the production system skills that enable significant cost reduction resulting in better cost efficiency. They may help immensely in improving technical efficiency, which may also translate into improved cost efficiency. Similarly, the coefficient of investment in technology hardware is positive and significant at 10% level. This indicates that investment in technology through a re-engineering that brought in new or additional production equipment/machines into the production system in the past three years is associated with increasing cost efficiency. As in the case of skills intensity, this suggests that though investment in technology hardware may often be expensive, it can engender improvement in technical efficiency, which may also be accompanied by induced cost efficiency.

The three variables with coefficients that are positive but statistically insignificant are age of firm, age of main production equipment, and the proportion of production hours using PHCN. There is therefore no evidence from the estimated allocative efficiency model that increases in these variables are associated with increasing cost efficiency.

Limitation of the Efficiency Analysis

The above results notwithstanding, it is necessary to point out that an implicit assumption that all the manufacturing subsectors in this study share the same cost function is an important limitation of the study. This assumption is largely due to data limitation as earlier explained. There are only 87 firms in the research sample, and none of the six subsectors in the study has sufficiently large sample size to warrant estimation of the cost efficiency by subsectors. Allocative or cost efficiency differentials by manufacturing subsectors were discussed only by descriptive analysis. It is also noteworthy that though factor cost is used as regressor in this study due to data limitation, it is normally a factor price in cost function estimation.

5. Conclusion and Policy Implications

Nigeria is currently aspiring to be a major industrial economy as part of the broad vision 20-2020 aimed at making Nigeria one of the twenty largest economies by the year 2020. Lagos remains the main manufacturing hub in Nigeria. Manufacturing efficiency in the Lagos industrial cluster is thus an important issue of concern in the drive towards accelerating the pace of industrialization in Nigeria. In order to provide insights on how to improve the efficiency of manufacturing firms in Lagos, this paper has examined the determinants of allocative efficiency of a sample of manufacturing firms in Lagos. The findings of the study demonstrate that though the sampled firms have invested in technology and skills that may contribute to improved technical efficiency, the allocative efficiency of the firms are generally low. None of the firms operated at the perfect efficiency level: the mean efficiency index is 0.20, median 0.16, minimum 0.10, and maximum 0.95. This suggests that even if the firms are technically efficient, they are however considerably constrained and unable to choose their inputs in a cost minimizing way. This is apparently an indication of cost efficiency crisis that often manifest in the frequent complaints of Nigeria's being a high cost manufacturing environment.

In order to improve firms' efficiency, and thus stimulate industrial competitiveness, the findings of the study suggest that firms should examine their production inputs structure to find out opportunities for cost reduction that may improve the allocative efficiency of firms. The costs regime of manufacturing firms should be examined more closely and incentives such as significant reduction in tariff on imported inputs should be considered to reduce the cost burden. Besides, the development of the engineering sector should be a major focus of industrial policy in order to encourage the production and use of local manufacturing equipment that may contribute to cost reduction.

Compared to all the other subsectors, the food and beverages firms have higher cost efficiencies. This sector should be especially encouraged to boost food processing activities and to exploit the advantage of the agricultural sector as an important source of local raw materials. Building capability in food processing will reduce the problem of post-harvest losses and could make Nigeria a major exporter of food and intermediate products.

The results also show that the allocative efficiency increases with scale of operation. This suggests that small and medium-sized firms should be encouraged to grow, not only for their own benefit, but also to promote Nigeria's industrial competitiveness. The bigger the firms become, the more efficient they become, and hence the more likelihood that they will be internationally competitive.

Finally, the findings demonstrate that firm allocative efficiency decreases with local ownership, thus indicating that cost efficiency is associated with increasing foreign ownership. This suggests that focus on promoting foreign ownership, and by implication foreign participation in industrial production, will help improve firm allocative efficiency.

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How to Tackle Poverty, Social Injustice and Inequality? Scandinavian Welfare State as an Example

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Abstract

In today's world, all nations face challenges of poverty, social injustice and inequality, so these concepts are widely discussed by politicians, economists and academicians. Every state attempts to arrange its social policies depending on its social, political and financial circumstances. However, even the biggest economies struggle finalizing poverty, and providing social justice and equality. This is because of the fact that these concepts are more related to politics and understanding of the welfare state. Although being small nations, Scandinavian countries achieved the elusive combination of social equality and economic efficiency, and proved to be the best examples of efficient and working welfare states, which other nations might take lessons from. This article has three goals: Firstly, it aims to outline the special features which constitute the distinctiveness of the Scandinavian welfare state. Secondly, it provides a detailed description and discussion of these features on theoretical and practical grounds. Thirdly, by pointing out the results achieved, it attempts to drive out lessons from the accomplishments of the Scandinavian welfare state. These lessons may help and inspire other states in their fight with poverty, social injustice and inequality.

Keywords: Scandinavian welfare state, universalism, social justice, equality, social welfare, occupational welfare, fiscal welfare

1. Introduction: Why the Scandinavian Model is Exceptional?

It is a well-known and widely accepted argument that the Scandinavian welfare states have enjoyed an international reputation for combining generous welfare entitlements with rapid economic growth, low unemployment and very high levels of labour force participation, particularly among women. They appeared to have achieved the elusive combination of social equality and economic efficiency. Lois Bryson, who has comprehensive works on welfare regimes, points out that the Scandinavian countries have affected the others, and many social policies in other countries are versions of Scandinavian programs, though inevitably adapted to the social circumstances of the country in which they are implemented¹.

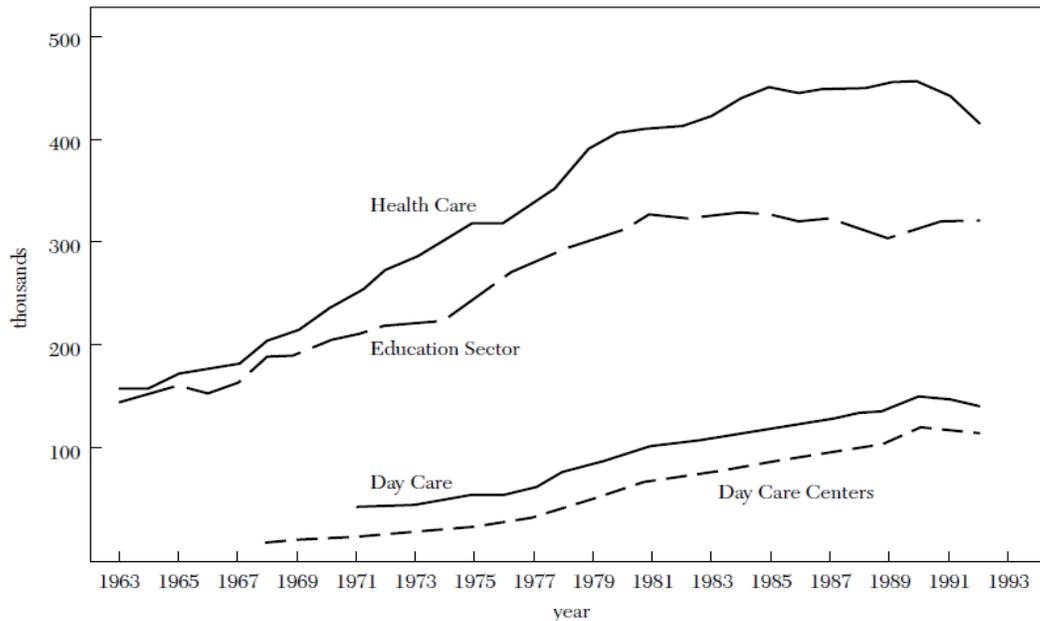
Referred as 'model welfare states'², Scandinavian states possess special features. These features are³:

¹ Bryson, Lois (1992) *Welfare and the State*, p.10

² *Ibid.*, p.10

- Being more state-based: The state is more heavily engaged in the organization and financing of social security and welfare schemes in Scandinavia. Correspondingly there also exists a Scandinavian model of taxation characterized by a broad tax base and high levels of revenue as a percentage of GNP.
- Having the relatively largest shares of the total labour force gainfully employed in the welfare and education sectors.

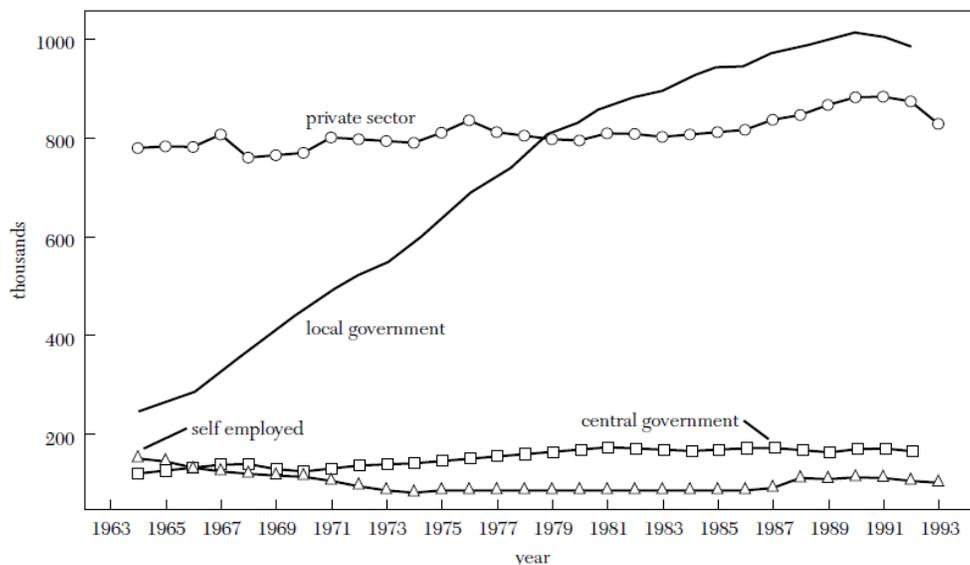
Figure 1: Public employment in Sweden, by sector⁴



- Having the most unified organized social security and welfare schemes: Norwegian national insurance scheme demonstrates higher degree of administrative and economic efficiency than other European welfare states.
- A stronger emphasis on the principle of universalism and citizenship rights: In Scandinavian countries, welfare rights are not solely linked to participation in the labour market.
- Having reduced the importance of the principle of class-structured inequality: The interests of the well-to-do are more integrated in the welfare state.
- Comparatively more successful than other welfare regimes: Scandinavian welfare state offers more generous schemes than the British, which is basically universal but modest; and is more socially redistributive than the continental European ones, which are more status preserving (more Bismarckian).
- Having a stronger element of services-in-kind rather than cash transfers.
- Greater emphasis in the post-1945 period on full employment: This goal has been achieved with the support of all major parties in the Nordic countries.
- A stronger emphasis on gender equality: This is provided through inclusion of women in the labour force by the government bodies.
- Maintaining a higher degree of state legitimacy: The state has hardly acted in a repressive manner nor been perceived as repressive by its subjects.

³ Ibid.,p.10

⁴ Rosen, Sherwin (1996) 'Public Employment and the Welfare State in Sweden', *Journal of Economic Literature*, p.733

Figure 2: Female employment in Sweden, by sector⁵

2. Theoretical Principles of the Scandinavian Welfare State

When describing the cornerstones of the ‘Scandinavian exceptionalism’, Peter Lawler refers to two principles: *universalism* and *de-commodification*⁶. These concepts have emerged out of decades of social-democratic theory and practice, and continue being the cornerstones of the Scandinavian welfare state. As Lawler argues, universal application of welfare rights in Scandinavia during the post-war era (in contrast to more restricted social-assistance models elsewhere in Europe) has led to the development of a particularly strong sense of collective identification. Through the granting of social rights, the status of individuals vis-à-vis the market has been de-commodified, which means that their survival is no longer contingent upon the sale of their labour power alone⁷.

The founder of the term, Esping-Anderson claims that ‘de-commodification occurs only when a service is rendered as a matter of right, and when a person can maintain a livelihood without reliance on the market’⁸. He also argues that ‘the mere presence of social assistance or insurance may not necessarily bring about significant de-commodification if they do not substantially emancipate individuals from market dependence. Means-tested poor relief will possibly offer a safety net of last resort. But if benefits are low and associated with social stigma, the relief system will compel all but the most desperate to participate in the market’⁹.

The concept of de-commodification has evolved differently in contemporary welfare states. Esping-Anderson distinguishes three types: The *social-assistance dominated welfare states*, i.e. Anglo-Saxon countries, *state social insurance with fairly strong entitlements*, i.e. Germany, and the *Beveridge-type citizen’s benefit*, i.e. Scandinavian countries. For him, the first two types fall short of providing complete de-commodifying effect, while the third one is the most de-commodifying¹⁰.

In the accomplishment of the principles of universalism and de-commodification, ‘*liberal qualifying conditions for benefits*’¹¹ play the key role. Basic pensions and most services in Scandinavian countries are provided on the basis of citizenship or merely residence. In the case of

⁵ Rosen, S. (1996) ‘Public Employment and the Welfare State in Sweden’, *Journal of Economic Literature*, Vol.34, p.731

⁶ Lawler, P. (1997) ‘Scandinavian Exceptionalism and the EU’, *Journal of Common Market Studies*, Vol.35, No.4, p.567

⁷ *ibid.*, p.567

⁸ Esping-Andersen, G. (1990) *The Three Worlds of Welfare Capitalism*, p.22

⁹ *ibid.*, p.22

¹⁰ *ibid.*, p.23

¹¹ Stephens, J. (1996) ‘The Scandinavian Welfare States’ in Esping-Andersen G. *Welfare States in Transition*, p.36

other transfers, the qualifying conditions, i.e. number of waiting days before benefits begin, number of weeks or years worked to qualify for benefits or full benefits, are liberal compared with similar requirements elsewhere. Means, needs, or income testing for benefits is not frequent in the Scandinavian welfare states. In addition to that, housing allowances, special pension supplements for those with no or small earnings, and social assistance are important programs providing de-commodification on a universal basis¹².

The fourth important cornerstone is *comprehensiveness*. John D. Stephens explains this feature as such: ‘the social provisions in the Scandinavian welfare state cover virtually all areas in which the state provides services or benefits in any advanced industrial democracy’¹³.

The last important feature is *statism*. This feature can be described as such: ‘services are provided by the state rather than by subsidized non-profit institutions, i.e. religious organizations, or by subcontracted private firms -Finland is a partial exception here’¹⁴.

Due to such features, some tend to regard the Scandinavian welfare state as a ‘step towards socialism’¹⁵. However, this perception is highly misleading because in this system the goal is not to nationalize production or to collectivize consumption, but to ensure public intervention in the distribution and stabilization of individual rights and life chances. The market mechanism with private property and decentralized economic decision-making has basically remained unchanged.

3. Welfare State Provisions in the Scandinavian Countries

In order to analyze welfare state provisions, one needs to categorize them in a clear and simple way. Although there are different methods for categorization, the one made by Richard Titmuss¹⁶ is to be used here due to its simplicity. He distinguishes between three types of welfare provisions: social welfare, fiscal welfare and occupational welfare.

Table 1: Types of welfare provisions¹⁷

Social Welfare	Fiscal Welfare	Occupational Welfare
social insurance schemes	tax deduction for interest on debt	occupational pension scheme
public health care	tax deduction for premium to private pension insurance	occupational health care
social care	tax benefits for elderly	occupational health insurance
housing benefit	tax deduction for premium to individual life insurance	favourable housing loans
labour market services		

3.1. Social Welfare

It refers to specific measures of public policy. The policy areas most frequently encompassed by the terms income security, health, public housing, education and the social services provided through social work and related professions. The range of areas encompassed by the concept of social welfare, however, differ from country to country. For example in Sweden, the designation of welfare ministries applies to health and social affairs, labour, housing, education and cultural affairs. The expenditure on these policies also differs widely among different countries. The countries having top levels of expenditures have been the Scandinavian countries for some decades.

¹² *ibid.*, p.36

¹³ *ibid.*, p.36

¹⁴ *ibid.*, p.36

¹⁵ Ervik, R. and Kuhnle, S. (1996) ‘The Nordic Welfare Model and the EU’ in Greve, B. *Comparative Welfare Systems*, p.90

¹⁶ *ibid.*, p.90

¹⁷ *ibid.*, p.92

3.2. Fiscal Welfare

Taxation provides governments with money as a raw material, so the process of taxation in itself offers the single most extensive tool for socio-political engineering available to the state¹⁸. Instead of perceiving the taxation system entirely in economic terms, Scandinavian welfare state considers it ‘as an instrument of social policy rather than merely as a source of finance’¹⁹. In this system, it is used to redistribute money and other resources, and for the encouragement, or discouragement, of various activities and practices.

3.3. Occupational Welfare

Occupation is a crucial determinant of well-being in all advanced industrial societies because it provides the primary source of income for most people. Occupational welfare includes ‘pension for employees, wives and dependents; child allowances; death duties; health and welfare services; personal expenses for travel, entertainment, dress and equipment; meal vouchers; motor cars and season tickets; residential accommodation; holiday expenses; children’s school fees; sickness benefits; medical expenses; education and training grants; cheap meals; unemployment benefit; and an incalculable variety of benefits in kind ranging from obvious forms of realizable goods to the most intangible forms of amenity’²⁰.

Among these three categories, social welfare is the most relevant one to provide the basic living standards for the wide public. Through income security, health service, public housing, education, and social services provided through social work and related professions, effects of poverty, social injustice and inequality can be diminished, and basic human welfare can be maintained. Due to their importance and vitality, social welfare provisions will be invested, defined and discussed in detail in this article.

4. Social Welfare in Scandinavian Countries

Einhorn and Logue points out that the scope of social welfare provisions is broad in Scandinavia²¹. Indeed, the famous line in Scandinavian countries is that ‘everyone is on welfare’. The explanation for this claim is that although the young and the old receive most of the benefits of the welfare state, all Scandinavian citizens continuously receive comprehensive social services and support throughout their lives. There is both a right to receive such benefits and an obligation to pay for their heavy costs. This logic depends on very old roots and is expressed most clearly in one of the common slogans of the 19th century Scandinavian labour movements: ‘Do your duty; demand your right’²². At some time in their lives, all citizens use one program or another, whether it is medical care, family benefits, or income security for those whose normal sources of income are removed by illness, unemployment, disability, or old age. In addition, special allowances are available to those whose normal income is insufficient to pay for such necessities as adequate housing, child care, or family expenses. While some benefits are income-tested, that is only people whose income and wealth are below specified levels receive the assistance, most benefits are universal. As a consequence, there is no more stigma attached to receiving social-welfare benefits in Scandinavia.

Mainly there are four types of social welfare services: (1) social insurance, (2) income security, (3) active labour market policies, (4) public social services, i.e. social care for elderly and children, health care, and housing.

¹⁸ Bryson, L. (1992) *Welfare and the State*, p.144

¹⁹ *ibid.*, p.144

²⁰ *ibid.*, p.132

²¹ Einhorn, E. S. and Logue, J. (1989) *Modern Welfare States*, p.179

²² *ibid.*, p.26

4.1. Social Insurance

The financial risks of losing income because of unemployment, illness, or old age could be anticipated by savings, but such savings were beyond the means of small farmers and unskilled industrial workers earning little more than a subsistence wage. Although employers are reluctant to pay more than an absolute minimum, Scandinavian labour unions are successful in getting employers to pay part of the insurance fees. As early as 1892, Scandinavian states stepped in to subsidize, regulate and extend the social insurance with a goal of ‘social security’ in minimal financial terms²³. Table 2 illustrates the origins of comprehensive social insurance provisions mandated by legislation and publicly subsidized.

Table 2: The origins of social insurance: Date of passage of first comprehensive social legislation, by type of legislation²⁴

Type of Insurance	Denmark	Norway	Sweden
Workers' compensation	1898	1894	1901
Sickness insurance	1892	1909	1891
Old-age insurance	1891	1936	1913
Unemployment insurance	1907	1906	1934

In Scandinavian countries, the scope of *health insurance* is wide. At the first stage, there are *allowances for medical expenses*, namely the out-patient services, hospital treatment, paramedical treatment, travel expenses, pharmaceutical preparations, counselling on birth control, and dental care. Then comes the *sickness benefit* which comprises the times of illness. Another type of insurance is the *maternity benefit*. There is also the *parental benefit* which works in connection with the birth of a child and through the first four years, and for temporary care of children. In addition to that, there is the *work injuries insurance* which includes the allowance for medical expenses, sickness benefit, life annuity, and death benefit. Although these insurance programs are widely available in all Scandinavian countries, there are variations among the countries.

The coverage of these provisions is also wide. Table 3 illustrates that in Scandinavian countries a high proportion of labour force is protected by some form of social insurance.

Table 3: Coverage of welfare provisions in the labour force²⁵

	Sweden	Norway	Finland	Denmark
Pensions	100	100	100	100
Sick pay	87	85	92	81
Maternity/parental leave	100	100	100	81
Unemployment	75	90	63	80

4.2. Income Security

The income security is an important form of assistance for redistributing income towards the bottom levels of the income ladder. Without these provisions the poor would be worse off.

The goal of the pensions programs in the Scandinavian countries is mainly to provide redistribution among society. First of all, there are *basic pensions* that include the old-age pension, disability pension, widows' and children's pensions, disability allowance, and child care allowance. Secondly, there are *special benefits* like the pension supplement, wife's supplement, children's supplement, disability allowance, and municipal housing allowance. Thirdly, there are *supplementary pensions* including old-age pension, disability pension, and widow's and children's pension.

²³ *ibid.*, p.132

²⁴ *ibid.*, p.133

²⁵ Hagen, K. (1992) 'The Interaction of Welfare States and Labour Markets' in Kolberg J. (ed.) *The Study of Welfare State Regimes*, p.141-147

Palme unites the ‘basic security’ and ‘income security’ under the institutional pension model²⁶. In practice, such a system combines a basic flat rate pension, which is a citizenship right (all citizens receive it regardless of work history), and an earning related pension with a relatively high income replacement rate. Therefore, the institutional model combines citizenship benefits equally for all citizens with income security for the working population in cases of temporary (illness, unemployment) or permanent (retirement, work injury) interruption of work. The major transfer programs (pensions, sick pay, work injury, unemployment compensation, maternity/parental leave) are designed to provide income security. The flat rate citizenship pensions which form the first tier of all of the Scandinavian pension systems provide the basic security, and additional citizenship benefits such as sickness and unemployment allowances provide the additional benefits. Moreover, flat rate child allowances and housing allowances are supplementary benefits related to need.²⁷

4.3. Labour Market Policies

Scandinavian welfare states are associated with a distinct labour market regime²⁸. They are characterized by low unemployment, high labour force participation among women, and comparatively high levels of welfare employment. Since the mid-1960s, the employment/growth models have produced high rates of labour participation and low unemployment among males. Unlike other European countries, they limited the recruitment of non-Nordic foreign labour. This provided greater job opportunities for their citizens, especially for women. Moreover, because the Scandinavian states are service intensive, they can provide employment opportunities for women in public health, education and welfare. This is facilitated by the expansion of maternity/parental leave and day care.

Active labour market policy (public employment services, moving allowances, job training, temporary public employment, and subsidized employment in public or private sectors) has often been viewed as an integral part of the Scandinavian welfare-state and labour-market regime. Scandinavian countries employ active labour market policies, and focus on active measures as opposed to passive measures, i.e. unemployment compensation. This feature distinguishes them from the continental welfare states. However, there is a great variation among them related to the growth/employment policy. Sweden is distinctive and has constituted a model for emulation. Labour market policies are particularly an important aspect of the Swedish welfare state. Full employment has been the goal, and corporatist arrangements have been concerned with the economic productivity of the public spending. Active labour market policy is less central to the Norwegian model. One reason for this is the possibility of direct intervention to support employment in declining areas. Thus, in contrast to Sweden, Norwegian policy has always had a strong element of regional subsidization and, as a result, many industries suffer from greater micro-efficiency problems.

A common concern of all Scandinavian states is to include people in the labour force. In Norway the importance of this commitment was symbolically demonstrated when, in 1954, the constitution was amended to include the following commitment: ‘It shall be the duty of the state authorities to create conditions which ensure that every able-bodied person can earn a living by his labour’²⁹.

4.4. Public Social Services

Scandinavian welfare states are service-intensive in contrast to other forms of welfare regimes. In Scandinavia, health care, education, and day-care are citizenship/residence rights, provided free or with a small co-payment. In these countries these three services make up the bulk of service expenditure³⁰.

²⁶ Stephens, J. (1996) ‘The Scandinavian Welfare States’ in Esping-Andersen G. *Welfare States in Transition*, p.33

²⁷ *ibid.*, p.34

²⁸ *ibid.*, p.38

²⁹ Bryson, L. (1992) *Welfare and the State*, p.115

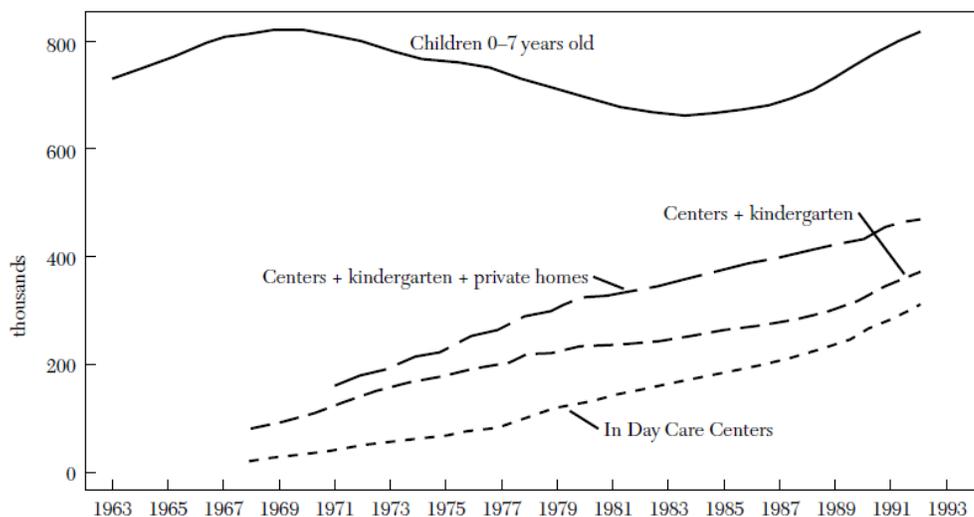
³⁰ Stephens, J. (1996) ‘The Scandinavian Welfare States’ in Esping-Andersen G. *Welfare States in Transition*, p.35

One of the major distinguishing characteristic of the Scandinavian welfare state is their arrangement of *health and social care services*. In these countries most health and social care services are funded from tax revenue and are provided by public -either local or regional- authorities³¹. Another distinguishing factor is that the social care services are available for and used by a significantly larger proportion of the population, i.e. principle of universalism, compared to the continental European welfare states. For these reasons, Scandinavian welfare state is called as ‘public service state’.

High professional standards for the public services have also been an important policy goal in the Scandinavian countries. By this way, universal health services reduce the socioeconomic risks linked with the need for health care, and universal social care services reduce the socioeconomic risks linked with having dependent children and elderly people in the family. The basic structure and scope of health services and care for the elderly are still widening gradually.

Regarding the *child care*, the common Scandinavian approach has been to facilitate parents’ and especially women’s employment and to provide a stimulating and healthy environment for children based on pedagogical principles³². While providing public day care services, the policy has been to strengthen the parents’ right to take maternity, paternity and parental leaves -in most cases with a leave benefit. In practice, day care provision mainly consists of public, full-time, all-year round day care. Services are mainly tax-financed, with client fees covering approximately 15 to 25% of costs. As a result of extensive scope and satisfactory nature of the child care, the percentage of children in institutional day care is gradually rising in the recent decades, constituting a heavy burden on state funding.

Figure 3: Public day-care in Sweden, children 0-7 years old³³



Scandinavian countries’ housing policies have been similar in the post-war period, with the exception of Finland where housing remained a marginal government activity. In other countries, low-interest loans stimulated housing construction with the goal of achieving maximum amount. However, housing policy in Sweden, Norway and Denmark is criticized by Esping-Andersen for their ‘moving from residualism to institutional overnight’³⁴. In the post-war period, housing production and financing in these countries have largely been market-dominated, with 82% of construction was private by the end of the 1970s.

³¹ Lehto, J., Moss, N. and Rostgaard, T. (1999) ‘Universal Public Social Care and Health Services’ in Kautto, M., et.al. *Nordic Social Policy -Changing Welfare States*, p.104

³² *ibid.*, p.115

³³ Rosen, S. (1996) ‘Public Employment and the Welfare State in Sweden’, *Journal of Economic Literature*, Vol.34, p.734

³⁴ Bryson, L. (1992) *Welfare and the State*, p.116

In Sweden an ambitious promise of the mid-1950s ‘to construct a million dwellings in a decade’ was achieved. However, after this impressive collective achievement, Sweden moved in the direction of Denmark, though much later, in the mid-1970s. Generous tax deductions favour private home-ownership. Home-owner tax deduction rose from 12% of expenditure on public housing in 1965 to 77% in 1975.

Norway’s housing policy has been the most successful in terms of average cost per household, and the most egalitarian. Very little public expenditure has ever supported tax deductions for home-owners. Only 11% of expenditure on housing took this form in 1975.

5. Summary and Concluding Remarks

The Scandinavian welfare states have enjoyed an international reputation for combining generous welfare entitlements with rapid economic growth, low unemployment and very high levels of labour force participation, particularly among women. They appeared to have achieved the elusive combination of social equality and economic efficiency. However, in spite of these efficient and highly successful welfare policies, the Scandinavian model has also experienced problems. Norway had economic problems in the 1980s, but these problems did not constitute real challenges to the welfare state because of the country’s oil economy. In Denmark, the restructuring of the welfare state had already started in the 1980s. In Finland and Sweden, as a result of severe economic crisis they experienced in the early 1990s, serious changes had to be made in social benefits in order to save costs. There were both internal and external causes responsible for this crisis. Among the internal causes were gradually widening scope of welfare provisions, increasing population and increasing demand for the welfare services, tendency of passiveness, and increasing burden on the state budget. Among the external causes were the Europeanization, internationalization of the economy and politics, global economic crises and downturns, and social challenges.

In spite of all its crisis and challenges, Scandinavian welfare state is still alive and achieving its social, political and economic objectives. As Olof Palme argues, ‘with all its faults, the welfare state remains the most humane and civilized system ever created’. Current research data (Eurostat 2011³⁵) show that Scandinavian welfare state is still doing better than the EU-average. Recent statistical data reveal that:

- 1) Employment rate in 2011 is 80% in Sweden, 79.6% in Norway, 75.7% in Denmark, 73.8% in Finland, while the corresponding figure is 68.6% in the EU.
- 2) Female employment rate in 2011 is 77.2% in Sweden, 77.1% in Norway, 72.4% in Denmark, 71.9% in Finland, while the corresponding figure is 62.3% in the EU.
- 3) Unemployment rate in 2012 is 7.6% in Sweden, 3.3% in Norway, 7.3% in Denmark, 7.6% in Finland, while the corresponding figure is 10.1% in the EU.
- 4) The percentage of people at risk of poverty or social exclusion in 2011 is 16.1% in Sweden, 14.6% in Norway, 18.9% in Denmark, 17.9% in Finland, while the corresponding figure is 24.2% in the EU.
- 5) The ratio of total income received by the 20% of the population with the highest income to that received by the 20% of the population with the lowest income (i.e. inequality of income distribution) in 2011 is 3.6% in Sweden, 3.3% in Norway, 4.4% in Denmark, 3.7% in Finland, while the corresponding figure is 5.1% in the EU.
- 6) The percentage of government contributions to social protection receipts in 2010 is 16.7% in Sweden, 13.9% in Norway, 23.6% in Denmark, 15.3% in Finland, while the corresponding figure is 11.9% in the EU.

³⁵ Source: Eurostat 2011 (<http://epp.eurostat.ec.europa.eu>)

- 7) Formal childcare 30 hours or more weekly for children between 3 and formal school age in 2011 is 65% in Sweden, 65% in Norway, 75% in Denmark, 56% in Finland, while the corresponding figure is 45% in the EU.
- 8) The percentage of GDP spent on care for elderly in 2008 is 2.33% in Sweden, 1.61% in Norway, 1.68% in Denmark, 0.69% in Finland, while the corresponding figure is 0.41% in the EU.

Overall, statistical data show that poverty level, unemployment rate, gender inequality in joining the labour force, inequality of income distribution are all significantly lower in Scandinavian countries than they are in the EU countries. Moreover, total employment rates, female employment rate, government contribution to social protection, formal childcare, and expenditure for elderly are all significantly higher in Scandinavian countries than they are in the EU countries. As a result, it is no surprise that Norway, Denmark, and Sweden score highest in the World Prosperity Index in 2012³⁶.

Based on these figures, one can conclude that Scandinavian welfare state has important lessons for others. These lessons may offer efficient and effective methods to other states in their fight with poverty, social injustice and inequality.

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Inclusion: The Practice of Inclusive Education–Case Study of Best Practices in the United States

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Abstract

Inclusive education currently receives much attention from the international community. A number of schools and classrooms are undergoing instructional transformation toward inclusion. Inclusive education has thus become an important step in educational management in this new millennium, as it allows all children to learn together based on their human rights. The present research aimed to identify the best practices of inclusive education in the United States that are applicable to schools in Thailand. It employed mixed methods research using both quantitative and qualitative approaches. The results provide knowledge on the need for inclusive education in schools in Thailand, serve to clearly identify the problems, and provide a guide to plan for the study of inclusive best practices overseas. Conclusions are made on the conceptual framework to develop an inclusive education model that is suitable and effective given school realities. The results also offer bodies of knowledge for further application, for the benefit of children with special needs, school teachers and administrators, parents, communities, and organizations involved in educational management for children with special needs in Thailand.

Keywords: Inclusion, Inclusive Education, Inclusive School, Whole School Approach

1. Introduction

The reasons and background for the change of educational management from normal education or special education to inclusive education should be understood based on the principle that all children should be included and should learn together as part of a diverse but unified society, regardless of race, religion, disability, and other characteristics. If administrators and teachers fail to understand the change toward the inclusion of all children learning together in school, children will lack opportunities to receive the support and assistance that they need to develop. Educational administration and management that is too weak to make any changes in school and that ignores the problem by attributing it to the children themselves rather than to schools will make the provision of education for the quality development of students more difficult. Where the principle of inclusion is concerned, the problem of inclusive education is not produced by those children with problems, but by the educational system in terms of an inflexible curriculum, an unsupportive environment for teaching every child, the

shortage of instruments, the lack of support from school administrators and teachers, and the negative attitudes of inclusive parents.

The inclusion of normal and disabled children depends a lot on the willingness of teachers to acknowledge students in their class. Price et al. (2001: 6) argue that inclusion is the management system, in which teachers need to recognize students and adjust the classroom, curriculum, and instructional activities to enable students to achieve academic and behavioral goals, and meet their social needs. Students with impairments will become happier learning with peers and will establish relationships with other students, instead of having to deal with high standards and expectations, which are believed to increase the motivation and hence the high achievement of students. The latter situation puts children in an obstructive environment and forceful social expectations, as it does for ordinary children based on different identities. Inclusive education entails not just including children with impairments as part of the regular classroom, as in some schools where children learn in the same classroom but with separate teachers and activities. Rather, it requires consistent instructional activities without dissociating disabled children in a separate group. The successful inclusion of children with impairments requires schools to adjust their implementation to focus more on the needs of individual children than on the whole group. It is necessary for schools to make changes to ensure that the provision of education links to the local context. Inclusion emphasizes restructuring the major school system to increase the capability of educating all children. The idea that recognizes individual differences should permit better values (Alan Dyson and Alan Millward 1999: 8-11), which is consistent with the whole school approach proposed by Dessent (Alan Dyson and Alan Millward 1999: 8-11; refer to Dessent 1987:121) that schools should be adjusted to enable education for all. Groups of scholars have advocated the educational rights of every child as a basic right, i.e., the human right that every child is legally entitled to be treated equally with human dignity, which leads to the new approach of education, called inclusive education.

The current definition of inclusion was adopted from the international conference on special need education in Salamanca, Spain and its resolution, the so-called World Declaration on Education for All Children, whereby every child is legally entitled to education without discrimination, and with access to education irrespective of impairment, religion, language, gender, ability, and other reasons (UNESCO 2003: 4-5). In addition, Sandkull (2005: 1) notes that inclusion provides education based on human rights as the building block of educational management, which was established since the world conference on human rights and, accordingly, since 1984 the universal declaration on human rights, with one excerpt stating that "...Every single child shall have the rights to equal education and shall acquire school education at maximum extent. Education should enable children to use and improve their capability and potential. Children should be taught to live their life peacefully, preserve environment, and respect the rights of others..." Apart from being defined by taking into account human rights and the legal provision, inclusion has also been defined in terms of a practical guideline for schools. Stainback and Stainback (1996: 3) refer to inclusion as education provided by schools for all children irrespective of impairments and economic, social, and cultural background. Schools seek means to facilitate the learning together of children and their sharing of learning benefits. Similarly, Desai (2007: 10) states that inclusion in the school setting means providing education for all, as the school is a place where everyone is involved, a place that is recognized and supported by peers and staff as well as the community, in response to the need for student development. Hence, inclusive management sees education that allows the collective learning of all children, with recognized and equal educational opportunities.

Thus, taking all these points into account, inclusion is an approach to educational management that grants children with special needs the opportunities to learn alongside their normal peers, receive education based on their capabilities, and learn in the same environment. Every child is treated in the same manner by teachers; each child is acknowledged, cared for, and supported by the school as a member of society. In brief, inclusion provides proper education for all children without

discrimination, grants them opportunities to learn with other ordinary children in respect of their rights and equality, recognizes their differences, and supports them as members of society.

1.1. Transformation from Mainstreaming Toward Inclusive Education

The practice of inclusion overseas suggests the adjustment of classroom instruction, the development of instructional activities such as those based on multiple intelligence theory, research on multilevel learning through co-teaching, multiple teaching techniques, and teaching with peer support. The results of studies show that the development of the inclusive education model is beneficial to educational management under the inclusion philosophy, that is, it satisfies the needs of the individual child instead of providing common instruction to all. Teachers believe that both special and ordinary children are class members to be educated equally. The multilevel arrangement of three grades is an expanded range to help children learn and better develop their learning along with their peers. Wood (1991: 18), Stuart (2006: 12-26), and Tonraleya (2007: 5) explored the views and attitudes of students, and found that children with special needs have a positive view toward impairments, are pleased with the classroom and support provided by the school staff, and display positive interaction with classmates as well.

However, inclusive education is still a problem and a challenge to successful educational management. Most of the problems stem from educational management and planning, and ineffective inclusive class management, including inclusive school management for the whole school approach. The problem of educational management arises from teachers, as revealed by Lyndsay (2008) and Beth (2007: 46-56), who point out that teachers are not ready to teach children with special needs in the inclusive classroom and that students with special needs are unable to achieve in the general classroom with co-teachers. The major problems for teachers are attributable to their failure to plan. They also need to learn new instructional methods and to discipline the non-disabled rather than disabled students. All of these are considered problems and challenges in inclusive management. The problems with the teachers' management of inclusion are due to their experience and background, and to difficulties in the management of variable education for children with different types of disability (Melanie Nind 2004: 260-270; Ahmed Bawa Kuyini and Ishwar Desai 2009: 22-34).

Bringing inclusion policies into practice varies from country to country in terms of details and scope of implementation. Some countries may include inclusion as part of overall national educational reform, or the reform for special education and education for the disabled. For example, in the United States, Great Britain, Australia, and Canada, relevant policies and the legal system are in place to support the inclusive approach. Moreover, educational institutions, researchers, and others involved work together to seek possible forms, approaches, and strategies to bring about effective and concrete inclusion and its achievement, while experiences are shared at different levels.

1.2. Significance of Inclusion in Thailand

Inclusion grants children with special needs opportunities to learn with normal children. As a result, they learn to recognize each other and understand their similarities and dissimilarities while living together. Normal children acknowledge the disabilities of their peers as part of the latter's lives, and such awareness is essential. Inclusive children also benefit from their cooperation and sense of shared responsibilities to develop together, side by side, in class. These kinds of interaction generate tolerance and a sense and awareness of disabilities. Learning in this system does not mean reduced special services but requires some changes in management and service approaches for those with physical, mental, intellectual, emotional, social, communication and learning impairments, or those with physical disabilities or handicaps, or those who lack self-dependence and have disadvantages. They have to be provided the rights and opportunities to receive basic education. For this purpose, the government has to offer basic education particularly to three groups of individuals, namely, the

handicapped, the disadvantaged, and the specially talented, as equals of ordinary individuals. The inclusive concept is therefore fundamental to the management of preschool and basic education.

Inclusion is to be provided for the following reasons:

- 1) Legal. It is the right by law of children with special needs.
- 2) Moral. Children with special needs are entitled to live their lives in the same way as normal children, and the right is granted at full potential.
- 3) Social. Children with special needs have equal social status as normal children, i.e., to learn in the same school with ordinary children, and to live with their parents as they study in a school close to home.

Inclusion is considered a new dimension in the age of educational reform. It is a form of education that attempts to bridge special education and normal education in order to allow equal education in which all people are granted opportunities to develop their maximum potential in an inclusive system.

1.3. Guidelines for Management of Inclusive Education

Dessent introduced the whole-school approach (Alan Dyson and Alan Millward. 1999: 8-11; refer to Dessent 1987: 121), a concept that recognizes individual differences and offers inclusive schooling opportunities for ordinary and special children. It demands a radical restructuring of schools so that they are inherently capable of educating all students. Guidelines for transforming schools toward a whole-school approach lie on the inclusion assumption that all children learn together to the maximum extent regardless of obstacles and difficulties or individual differences. Schools must acknowledge and respond to the diverse needs of students, including different types and levels of learning. Quality assurance is put in place by means of a suitable curriculum, an administrative organization, and appropriate pedagogical strategies. The community is encouraged to become involved in educational management. Consistent support and services are provided, corresponding to the special needs of inclusive learners. Every child is regarded as a school member and entitled to equality and equity (Alan Dyson and Alan Millward 1999: 8-20; Mel Ainscow 1999: 118-125). Therefore, administrators take a leadership role with multiple competencies to implement successful inclusive education.

Administrators first need to meet with those involved in educational management to clarify and understand their duty to practice in line with the Constitution and National Education Act, and to understand relevant laws. For those who regard inclusive education as a problem, who see it as wasteful and an overload for teachers responsible for a large number of normal children, they will come to truly understand the intent of providing education to children with special needs. Inclusive administration and management requires initial preparation with respect to promoting the proper attitude and a better understanding of children with special needs. School administrators and the management team, staff, teachers, students, parents, and people in the community need a clear and accurate comprehension about basic inclusive education, the relevant laws, the missions of inclusive education, and management strategies. They also need to pour their mind into this work.

Effective inclusive education requires a spiritual and ideological commitment to provide education for all children, without any excuses that hinder inclusive development. Accurate conceptualization among involved individuals of all sectors will create a positive attitude and enable the smooth operation of inclusion.

A clear understanding of the inclusive mission will ensure an increased inclusion opportunity for disabled children. For children with excessive impairment to inclusion criteria, it is necessary to clarify the situation with parents and assist these children in transferring to special schools for each type of disability or to private schools. The existence of laws to serve the rights of students and equity to schooling prevents schools from refusing to enroll children with different impairments. It is the duty of schools to comply with the guidelines for practice to ensure that every child has the opportunity to attend school, as mandated by law.

In summary, the opportunities granted to disabled children do not only imply that they are allowed to learn together with normal children but also include the quality of potential development to be attained by each child. Successful implementation thus helps reduce the number of disabled individuals in society. Therefore, the major goal of inclusion is to grant opportunities for children with special needs to learn alongside their normal peers, which in turn leads to tolerance and understanding of similarities and dissimilarities while living together. For inclusive education to work and to be sustainable, it relies on key components of effective inclusion, that is, all people involved collaborate and coordinate by working in teams to yield effectiveness and maximum benefit for both children with special needs and normal children.

2. Methodology

Phase 1 of the study focused on the need for inclusive education in Thailand, using questionnaires with school administrators and teachers, parents, and members of school boards. This involved 219 respondents. Documentary analysis with a qualitative research approach was undertaken.

Phase 2 looked into inclusive education overseas, exploring the best practices of two inclusive schools in the United States, through observation and in-depth interviews with seven school administrators and teachers, using a qualitative research approach.

Part 1. Analysis of the Current Status, Problems, and Needs of Inclusive Education in Thailand

The current status, problems, and needs of inclusive education in Thailand were analyzed through a survey of opinions derived from school board members, administrators, teachers, and parents. A total of 219 questionnaires (80.22 %) were accomplished and returned. The results suggest a high level of need in three aspects: student quality development (mean 3.63), instructional process (mean 3.68), and management (mean 3.55). The sample, consisting of school board members, administrators, and teachers, indicated a higher level of need in instructional process than in other aspects. Considering individual aspects, a high level of need was found in authentic measurement and evaluation for the individualized development of students (mean 3.73), planning to develop the individual child with special needs by Individualized Education Programme planning (mean 3.71), and organizing student learning activities for school inclusive education management (mean 3.62)

Part 2. Analysis of Study Results on Best Practices of Inclusive Education in Overseas

The study on inclusive best practices in the United States employed a qualitative research approach using a grounded research methodology by observation of phenomena and in-depth interviews with seven key informants, i.e., two school administrators, one former administrator of an education district, two teachers of inclusive classes, one special education teacher at a learning center, and one teaching coordinator, in combination with a relevant documentary study. This was a triangulation-based data check to obtain a reliable conclusion. The study was undertaken under the conceptual framework of the current problems and needs of inclusive education in Thailand in the aspects of management, instructional process, and student quality development. The inclusive education model suitable for Thailand was then developed. The results of study are presented below.

Part 3. Experience Learned from the Interviews and Observation of Inclusive Phenomena in the United States

A field study at inclusive schools in the United States, carried out through phenomenal observation of inclusive best practices in two schools, indicated that these schools enroll children with special needs and normal children for inclusion and demonstrate consistent educational management. Apart from the inclusion of normal children and children with special needs, these schools also include poor children,

children with different races and skin colors, and the talented or genius. Each inclusive school had undergone a change in the entire school system, including their administration and management under the central assumption of school and classroom adjustment, to have all children learn to the maximum extent in the same environment. School administrators play a vital role as change agents who coordinate, direct, monitor, and supervise educational management. The school staff work collaboratively in teams to move the provision of education toward the intended goals of the schools. Other changes involve the classroom, curriculum, instructional management, and techniques, applying technologies to enhance instructional effectiveness. The teaching and learning atmosphere in the classroom is conducive to creative, enthusiastic, and cheerful learning among students. Students are happy under the warm and friendly atmosphere in school. The details follow below.

3.1. Toward the Principles and Teachers 's Perspective Contributing to Successful Inclusive Education

For the field study to explore inclusive education management in schools, in-depth interviews were carried out with school administrators and teachers of inclusive schools to capture their concept and principles in the management of inclusive education. The results reflect the paradigm for the successful management of inclusive education, as identified below:

- 1) Recognizing individual differences and granting every child opportunities for inclusion;
- 2) Management of education that is responsive to the need and capabilities of children, assessment of need, and management of education upon the need of children accordingly;
- 3) Positive attitude of school administrators and teachers toward inclusive education.

One participant put it as follows:

“...Including children in [the] regular classroom should be practiced. It is commendable if those disabled children can learn with other children, so they should learn together at possible extent. We have altogether 450 students, over 80% of them or 300 students are poor, another 50% are with diverse characteristics, and certainly we have children with impairments. Therefore all of our students will learn together as much as possible regardless of their need. We also include children with impairments...”

(Denisa .2012: Interview)

The central idea in favor of inclusive education is that every child receives support on needed skills through an assessment of the child's special needs so that teachers can manage an adequate inclusive education. A former administrator of an education district stated it as follows:

“...This is an important matter. Every child will receive assistance on the skill [he or she] requires. So normal children, children with difficulties, and those with impairments may be included together if they need the same skill. This is an important issue in considering for inclusion. In other words, we do not consider from disability or non-disability, but we look at the skill they require and the skill used by teachers. Inclusive is thus the classroom where students learn together.”

(Marilyn T .2011: Interview)

Successful inclusive education relies partly on the proper attitude of school administrators and teachers. Based on the interviews and observation on the work of administrators and teachers, it was found that each of them possesses a positive attitude toward inclusive education, and well understands the traits and needs of children with special needs. This is reflected in the view of school administrators who interestingly spoke of inclusive education:

“...Children will feel good with learning when they see teachers are eager to teach them despite how hard and irritable of their work. If teachers show eagerness and enjoy teaching, children will enjoy too and with amazing outcome. My teaching goal is not that complicated. What I hope is just when I leave the classroom children feel good for themselves and for what they have already done and learned...”

(Cindy .2011: Interview)

The interviews on inclusive education suggest that much importance is placed on community involvement. This is one of the school's major tasks: to involve family and communities as external resources to support schools, as in assisting in the care of children and providing information for the children's development (Olsen 2002: 7-11). It is thus recommended as a guideline for community involvement, as educational management can be achieved through the cooperation of parents and communities. Inclusive management entails building a society where members live together and recognize individual differences, as seen in the following excerpt:

“...We work hard for this community because we have a lot of children in diversity. We involve the community in the area of training, building the community model so called try-learning community. We have worked for the community by recognizing individuals as they are. We don't like separation or disrespect just because children have impairments, different skin colors, speaking different languages. Therefore, what is important for the teacher to do is to have children know each other, make students understand the distinction in each of them. Our teachers are very good at building the community...”

(Denisa .2011: Interview)

In brief, successful educational management arises out of the insights of school administrators and teachers on the concept and principle of inclusive education and their positive attitude toward inclusion. Additionally, students acknowledge the differences of their peers in the absence of bias, and parents cooperate in the management of inclusive education.

Part 4. Lesson Learned from the Study of Inclusive Best Practice Overseas

The study of best practices in two inclusive schools employed in-depth interviews with seven key informants using a semi-structured questionnaire under the three aspects of inclusive conceptual framework, i.e., management, instructional process, and student quality development, in combination with the observation of class instructional management. The results illustrate the practice of inclusive education in the following issues.

4.1. Management: Planning to Develop the Individual Student with Special Needs through IEP Planning

Planning to develop the individual student with special needs by providing an IEP is designed for children with special needs in an inclusive regular class. This program benefits not only students with special needs but also ordinary children, because it contains content and information that is useful for children with special needs, parents, teachers, and the school. It helps provide support, treatment, rehabilitation, and adequate education corresponding to the needs of each child, and in turn develops their potential, self-help skill, social and communication skills, and academic skills relevant to the needs of the individual child. The program supports class teaching and learning activities that enable the co-learning of children with special needs with normal children, in a smooth operation. The following are guidelines for preparing an individualized student development plan:

- 1) Designate a working group to work collaboratively in a team;
- 2) Make an assessment of students' skills and needs;
- 3) Promote parent involvement.

As pointed out by one respondent:

“...Normally include the school principal, teachers, mentor teacher, experts, school psychologist, speech therapist, and others. It is the team's collective decision. The team will question teachers about what are taught and facilitated to children, then prepare teaching document. Children will thus learn and receive support on an individual basis or by the whole class considering from what defined in IEP...”

(Cindy .2011: Interview)

4.2. Instructional Process: Organizing Student Development Activities for Management of School Inclusive Education

Regarding the guidelines for instructional management, teachers adjusted the instruction form for every student by assessing the needs and essential skills of each child and accordingly educating them in accordance with the purpose of the IEP. Where the guideline for practice in instructional management is concerned, the observation of instructional management in class and instructional activities in the learning center of both schools demonstrated the practice of organizing learning activities as follows: (1) use of the teaming model; (2) arrangement of learning centers in the classroom; and (3) arrangement of the resource room. These are discussed individually below.

1. Use of the Teaming Model

This model provides co-teaching by the class teacher and the special education teacher, the assistant teacher, or the volunteer teacher in regular class or learning center. Team teaching with more than two teachers involves collective planning regularly for such activity once or twice in a week. Teachers who are involved have to work together in a team to plan for supporting children with special needs.

2. Arrangement of Learning Centers

In this model, teachers divide the subject matter into parts, each of which is placed in different stations within the classroom. Students are assigned to learn at each center on an arranged schedule and rotate to finish every center with complete subject matters as identified by the teachers. The advantage of this model is that the teacher may spend time teaching children with special needs individually while other students engage in self-learning. This model helps students better understand what they have learned.

“...They will learn what teachers have taught in group by doing tasks assigned by teachers. The number of the group depends on the needs of children and also on their capability while learning together. Then they are gradually separated in sub-groups, and single individual, using group rotation method to have each group learn different part. When a group finishes a certain part, they proceed to learn another part already learned by other groups in rotation. Each group takes 20 minutes for learning. We can take care of children one-on-one or as group learning...”

(Cindy .2011: Interview)

4.3. Student Quality: Authentic Measurement and Evaluation for Development of the Individual Student

The measurement and evaluation of student development is assessment based on reality or approximate to the special needs of the individual student. It is undertaken by examining the progress of the student, then analyzing the test data to evaluate the instructional outcome. Authentic assessment is very useful for students, as it captures the real capacity of students in terms of their strengths and weaknesses, and leads to correction direct to the point. The following are guidelines for authentic assessment as observed in schools.

- 1) Use of a stepwise examination process;
- 2) Meeting and considering assessment results and the IEP to obtain collective conclusions;
- 3) Using the obtained data to find ways of solving problems, then compiling such data as a portfolio for example.

“...The team will examine and conduct the test every six weeks to consider what students have learned. For example, in mathematics, we will test to see the development of students and mistakes to be improved. If the test result is poor, we will find out why and what we have missed...”

(Cindy .2011: Interview)

“...I have assessed according to the target set in IEP. Sometimes it is to measure reading fluency that they have to read 60 words per minute or they have to read 100 words per minute. When I do assessment it is to see whether there is any improvement and that is the target or I will test to see if

there are any other problems that I would examine. It's all up to students but in writing we have the portfolio..."

(Emily .2011: Interview)

3. Conclusion and Discussion

3.1. Conclusion from the Study of Best Practices in the Management of Inclusive Education in the United States

The inclusive education model developed from a study of inclusive best practices overseas provides an inclusive education model for the whole-school approach relevant to the needs of inclusive education in Thailand, following educational management standards in the aspects of management, instructional process, and student quality. This model employed three approaches of best practice, as follows:

- 1) Strat-Management using the Start approach, applicable to planning for the individualized development of children with special needs through IEP planning with the following practical guidelines: preparatory meeting and productive identification of common goals in planning for student development by collaborating and working in teams to conduct student development activities; conducting authentic measurement and evaluation; training for developing the IEP to enhance teachers' capacity in learning management according to the guidelines for learning reform.
- 2) Smart- Instructional management using the Smart approach for planning inclusive class management by employing the Teaming Model and organizing learning activities in resource room.
- 3) Succeed- Student quality development using authentic assessment and the Succeed approach to guide students to understand the objectives and needs, then identifying common goals for student quality development. Here, school administrators and teachers work together in planning for quality development and inspecting assessment, choosing a variety of assessment techniques and tools to meet the objectives. They consider together the assessment results as baseline for instructional improvement to develop students. This developed model is in accordance with the concept proposed inclusive education in which the components leading to the successful inclusion of children with special needs and normal children involve effective coordination and collaboration, and the positive attitude of teachers toward inclusion.

Additionally, if teachers experience problems in teaching students with special needs, schools should seek solutions based on the belief that every child has the legal right to receive education. Schools should also provide well-advised educational plans, flexible instructional and classroom management, trained teachers with insights on special needs, and regular assessment of students' academic progress, and should involve the community and all concerned in educational management.

This the practices of inclusive education management will help solve the inclusion problem in Thailand. The results of the study are consistent with those of Harrison (2011: 53-54) in a comparative study with different designs of inclusive education models, including cooperative teaching, team teaching, alternative teaching, and the use of the resource room. It can be stated that any model depends primarily on the goals that guide the practice for developing the quality of children with special needs and normal children in inclusive schools. Moreover, the resource room method is not limited to only disabled children but is also open for children who have problems in learning and in participating in activities, depending on special need. Peterson et al. (2001: 102) argue for inclusion in that it yields better academic outcomes as well as better emotional and social outcomes for both children with special needs and ordinary children. Besides, inclusion allows better student participation and enhances their tolerance, their learning to work in groups, and their acquisition of social skills.

In summary, this study proposes a practical guideline for successful inclusive education for the whole-school approach, with the following key components for promoting inclusive schools. All students are included to learn together. School and individuals share the commitment to enroll every child in school, while teachers and other staff work together in class for every group of students with diverse characteristics to learn, play, and work together, and every staff member realizes that what he or she does is valuable for students. The leadership of the school administrator and support for teachers is crucial. Teachers should be supported so that they can work with students with different levels of ability. Administrators have to coordinate, direct, and monitor the implementation of inclusive management in school. Cooperation among the working groups, parents, and communities is essential for an inclusive school. The quality of the inclusive school is focused on multilevel teaching based on real situations. The inclusive school should work in a collaborative manner with support teams, meeting to discuss the specific problems and needs of children, brainstorming to find the means to manage several issues, with general teachers and specialists meeting at least every two weeks to discuss the concerns and cares of the individual child, and developing collectively the teaching plan. Special education teachers act to support inclusion in regular multilevel class. Special education teachers and general teachers work together and take responsibility for every student, especially those with special needs, who should receive support on their needs.

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Corporate Social Responsibility (CSR) – Importance, Impacts and Benefit (A Review)

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Abstract

CSR has become so important that many business organizations have realized the need for being committed towards CSR and have re-branded their core values to include social responsibility. The focus is not limited to people or society only but it covers wide areas like environmental excellence, human rights and other issues that organization must integrate into their core business. CSR is not only related with ethical firm behaviors but it is also related with other types of organizational behaviors such as active communication and network relationships. There are different models of CSR and these models are widely studied these days.

Keywords: CSR, Societal Obligations, Organizational Behaviors, Values, Business Practices

1. Introduction

Corporate engagement with society, also termed Corporate Social Responsibility (CSR hereafter) refers to one process by which an organization expresses and develops its 'corporate culture' and social consciousness has attracted a great deal of attention from various backgrounds of researchers worldwide over the past decade. A large number of companies appear increasingly engaged in a serious effort to define and integrate CSR into all aspects of their businesses (Rupp et al, 2006; Zu and Song, 2008; Ismail 2011 and Calderon, 2011). It has passed the traditional issue of philanthropy but has gathered great momentum over the past number of years and is now regarded to be at its most prevalent. The focus is not limited to people or society only but it covers wide areas like environmental excellence, human rights and other issues that organization must integrate into their core business (Sweeney 2007 and Ismail, 2011). The central issue is the appropriate role of business (Reinhardt et al, 2008). So corporate executives have encountered demands from multiple stakeholder groups to devote resources to CSR. This may be partially due to the pressure generated by a union of ethics-oriented

campaigners including NGOs, anti-capitalism activists, labor unions, and news media; and partially due to the demand for doing so by their customers, employees, suppliers, communities, governments, and even stockholders (Zu and Song, 2008).

Fang et al (2010) wrote that CSR is a field of study that has developed in the managerial field and encompasses wide range of terms and the concern varies from business to business. Theory is nearing maturity as more and more corporations have begun to realize this goal. Sriramesh et al (2007) narrated (referring Wood, 1991 and Carroll, 1999) that the view that corporations have an obligation to society developed at a time when corporations were enjoying unprecedented levels of power – especially over citizens – while exercising little social responsibility. The role of businesses in society is no longer focused on creating wealth alone but is also focused on acting responsibly towards stakeholders (Sharma et al. 2009; BORZA, 2011 and Abd Rahim, et al, 2011). Almost all corporate websites/ policies/reports talk about their endeavors for CSR, which has become a way of ensuring that the organization is fulfilling all the obligations towards society and thus is eligible for the license to operate (Sharma et al. 2009).

This research paper is focused to highlight some aspects like importance, impacts and benefits of CSR.

2. Definition of CSR

Ismail (2011) is of the view that, there is no consensus in the ideal meaning of CSR. However Bowen (1953) identified as the pioneer in providing the modern literature on CSR has defined SR as *‘the obligations of businessmen to pursue those policies, to make those decisions or to follow those lines of action which are desirable in terms of the objectives and values of our society’*. However Ismail; Krishnan & Balachandran and BORZA have quoted following improved definition. Borza (2011) referring Holme, Watts, 2000) and Ismail (2011) and Krishnan & Balachandran (n.d.) quoted the definition of CSR by World Business Council for Sustainable Development, (WBCSD), which defined the CSR as *“The continuing commitment by business to behave ethically and contribute to sustainable economic development while improving the quality of life of the workforce and their families as well as of the local community and society at large.”*

Calderon (2011); Borza (2011); Ismail (2011) and Krishnan & Balachandran (n.d.) also expressed that there are copious definitions of CSR both from the academia and the professional field, but a generally accepted one originated by the European Commission that defined CSR as *“a concept whereby companies integrate social and environmental concerns in their business operations and in their interaction with their stakeholders on a voluntary basis. Being socially responsible means not only fulfilling legal expectations, but also going beyond compliance”*.

Ismail (2011) is of the opinion that the WBCSD definition portrays that business has a wider responsibility, as it is not limited to shareholders only but extend, to various stakeholders. Devi, et al (2011) quoted that Carroll (1979) defined CSR as: *“The social responsibility of business encompasses the economic, legal, ethical, and discretionary expectations that society has of organizations at a given point in time”*. Carroll’s four- dimensional definition of CSR involves the conduct of a business so that it is economically profitable, law abiding, ethically oriented and socially supportive. The discretionary dimension involves voluntarism and/or philanthropy.

3. Justification of CSR

Hopkins (2004) reported that Milton Friedman’s oft-cited pronouncement that the *“social responsibility of business begins and ends with increasing profits”* implies that social issues are best left for anyone but business. However, as international organizations, such as the United Nations, its agencies and the World Bank, are having less and less impact on human development and are seeing their funding reduced, and as the pressure increases on governments to spend less and less, the

problems of underdevelopment and unemployment is becoming strong and difficult to get rid of. It is logical; therefore, in the absence of public funds, or even in partnership with existing institutions, that business must play a greater role in human development issues than ever before. In the longer term, richer consumers and improved worldwide income distribution is obviously good for business. But should business be directly involved in these issues, or simply pay taxes and rely on governments and public organizations to use these taxes wisely? In other words, is it simply enough for business to maximize profits in anticipation that this is in the best interests of human development?

Ismail (2011) argued that CSR is supported by the case whereby the government alone is definitely cannot afford to have a sole responsibility in improving the lives of their people as it exceeds their capabilities. If the government is unable to fulfill the increasing demand of their people thus this is where the corporations should support the government. However those who opposed this statement saw the situation as unfair to the business corporations, such as Friedman's (1970) famous statement that 'the only responsibility of a business is to maximize shareholders' wealth'. According to Krishnan & Balachandran (n.d.), companies are beginning to realize the fact that in order to gain strategic initiative and to ensure continued existence, business practices may have to be molded from the normal practice of solely focusing on profits to factor in public goodwill and responsible business etiquettes. An examination of some of the factors, which have led to the development of the concept of CSR, would be ideal starting ground for the conceptual development of suitable corporate business practices for emerging markets. Krishnan & Balachandran (n.d.) also expressed that in the last twenty years, there has been a sea change in the nature of the triangular relationship between companies, the state and the society. No longer can firms continue to act as independent entities regardless of the interest of the general public. The evolution of the relationship between companies and society has been one of slow transformation from a philanthropic coexistence to one where the mutual interest of all the stakeholders is gaining paramount importance.

4. Impact of CSR

Strandberg (2009) revealed that there is emerging evidence that if effectively implemented, CSR can have significant impact in motivating, developing and retaining staff. Novo Nordisk, a high-value CSR pharmaceutical company in Denmark, for example, after launching their "Values in Action" program, which aligns their business objectives with sustainable development principles, saw a 5% drop in staff turnover, while Sears found a 20% reduction in staff turnover since implementing their CSR program.. A landmark international CSR study of human resource practitioners conducted by the Society for Human Resource Management (SHRM) in 2006 reveals that CSR practices are seen as important to employee morale (50%), loyalty (41%), retention (29%), recruitment of top employees (25%) and productivity (12%). Ismail (2011) wrote that CSR encompasses wide range of terms and the concern varies from business to business. It has passed the traditional issue of philanthropy.

Krishnan and Balachandran (n.d.) asserted squeezing from some studies that CSR exhorts firms to diverge from their sole aim of maximizing profits and to lay more importance on improving the economic and social standards of the community in their countries of operation. CSR can thus be simply defined as the additional commitment by businesses to improve the social and economic status of various stakeholders involved while complying with all legal and economic requirements. The three major elements of CSR are product use which focuses on contribution of industrial products which help in well being and quality of life of the society, business practice which focuses on good corporate governance and gives high impetus for the environmental well being and equity which tries for distribution of profits equitably across different societies especially the host community.

However, according to Hopkins (2004), it is difficult, in either statistical or quantitative terms, to make a strong causal link between CSR actions and such financial indicators as share prices, market value, return on assets invested and economic value added (EVA). This is because a correlation does not necessarily mean a causal link and a good correlation could simply occur by chance, although no

correlation is obviously not a good sign! What most commentators have done up to now is to argue, *qualitatively*, that there is a business case.

5. Importance of CSR

Ismail (2011) narrated that CSR has been receiving lots of attention from various backgrounds of researchers worldwide. The root has emerged since the Industrial Revolution era yet the subject is still been in a debatable position until today. It appears to be difficult for researchers to identify or share the common definition, principles or core areas of CSR. However since year 2000 the term globalization and international trade have rang the bell for some governments to review their focus on business and CSR engagement. Ismail (2011) further expressed that instead of debating on the corporations' responsibility towards society, CSR has been the subject of important demands in several other aspects. There has been an increasing importance of proper reporting to enhance transparency in socially responsible investment (SRI), better disclosure on social contributions and its impact to both stakeholders and organizations, implementation of CSR initiatives accompanied with CSR awards being introduced by some governments, change of CSR from soft law to hard law, critical perspectives on CSR standards and the most recent is to promote CSR from philanthropy state to sustainability CSR. Ismail (2011)

Mahlouji and Anaraki (2009) also (referring Mac Gregor et al, 2007 and Little, 2006) argued that, companies who do not take into account CSR may not survive since they may fail to innovate. In the same way, maintained that CSR initiatives can lead to innovations through the use of social, environmental, or sustainability drivers to create new products and services. McWilliams et al (2005) asserted that there is growing interest among managers in the antecedents and consequences of CSR, especially for executives at multi-national, multi-divisional companies. These corporate leaders are mindful of the fact that business norms and standards, regulatory frameworks, and stakeholder demand for CSR can vary substantially across nations, regions, and lines of business. They are also aware that their divisional managers are under constant pressure from employees, suppliers, community groups, NGOs, and government to increase their involvement in CSR.

Sweeney (2007) expressed (referring Williams, 2005; Hopkins, 2003; Roche, 2002) that it has been argued that all organizations have an impact on society and the environment through their operations, products and services and through their interaction with key stakeholders and therefore CSR is important in all firms, large and small. Sharma et al. (2009) stated that although the implementation of such activities involves time, effort and resources yet the business houses have realized that it (CSR) is one of the important ways in which an organization can distinguish itself from its competitors. Gunay (2010) asserted that the importance of corporate social responsibility (CSR) increases each day for the firms due the CSR's positive impact to the performances of the firms. Therefore, this important subject is on the agenda of many firms. Gunay (2010) further revealed that CSR is an ethical behavior, which is closely related with the other ethical firm behaviors such as fair behaviors, trust-based behaviors, and cooperative behaviors. Devi, et al (2011) discussed on the argument of Friedman (1970) that CSR distracts business leaders from economic goals, and the only social responsibility of business is to increase its profits. However, as the human society progresses and the nature of interrelationship and interdependence between business and society become obvious, different interest groups began to mount pressure on the business organization to assume more responsibilities for the society, beyond the economic function. The business "*owes society an obligation or debt - for taking something from the former it must give something in return to the latter, which would continue to provide the fertile ground for its (latter's) continuous existence*". Therefore, the substance of social responsibility arises from concern for the ethical consequences of one's acts as they might affect the interests of others. Traditionally, CSR is a top-management driven initiative or activity, nurture from policy conception to implementation mainly by the organization's executive.

Hopkins (2004) asserted that companies that are socially responsible in making profits also contribute to some, although obviously not all, aspects of social development. Every company should not be expected to be involved in every aspect of social development. For a firm to be involved in some aspects, both within the firm and on the outside will make its products and services more attractive to consumers as a whole, therefore making the company more profitable. There will be increased costs to implement CSR, but the benefits are likely to far outweigh the costs. Fang et al (2010) explained CSR by writing that, as the consciousness of stakeholders rises along with the continuous change occurring in the global management environment, these changes will invariably make a significant impact on an organization's operations. Taiwanese corporations are an important link in the global supply chain and if they are unable to keep up with the global pace, these corporations will face imminent difficulty in their future operations. Therefore, the management field has placed greater emphasis on the practical managerial issues of CSR.

6. Benefits of CSR

Devi, et al (2011) stated that CSR is the continuing commitment by business to behave ethically and contribute to economic development while improving the quality of life of the workforce and their families as well as the local community and society at large. Sharma et al. (2009) revealed that the tangible and intangible benefits associated with for organization are immense. A powerful tool like CSR not only enhances the brand image and reputation of the business but also leads to improvement in sales and customer loyalty, and increased ability to attract and retain employees. By capitalizing on it, the organizations can improve their financial performance and attract more investment with immense economic value. The word CSR has, as a result, occupied very important place in the plans and strategies of the organizations in the present era.

Rettab et al (2008), in a study on the fast developing region of Dubai, explored the association between CSR and organizational performance in emerging economies. Their results are fairly straightforward: there is a positive association between CSR and financial performance. This result is consistent with previous empirical studies conducted in western developed economies showing a positive relationship between CSR efforts and financial performance. Confirming the relationship between CSR and financial performance in an emerging economy, it is likely that some firms may engage in CSR activities largely on moral grounds, providing evidence of a positive link between CSR and financial performance may help firms enact CSR initiatives. Fang et al (2010), referring Lee (2008), stated that in the past 20 years, CSR and an organization's goals share a broader connection and much research supports a positive correlation between CSR and an organization's financial performance.

Nasruddin and Bustami (2007) concluded that sustainable development, whether social, economic, or environmental, would be more far-reaching when businesses could see the link between CSR and "their own wins". Proper brand management requires time, energy and effort, and incorporating CSR initiatives such as preservation of the ecosystem, as part of building organizational brand name, would unlock opportunities to respond to issues of poor CSR business scorecards. Stawiski et al (2010) argued that research suggests that companies may receive external benefits from implementing CSR policies. Field-based and laboratory studies have found that CSR is linked to more favorable corporate evaluations, increased purchase behavior, higher customer satisfaction and market value of a firm – all of which is believed to translate into increased profitability for the corporation.

According to Stawiski et al (2010), there is also some evidence that CSR is beneficial because – as with customers – CSR improves employees' perceptions of the company. When a company has CSR initiatives, employees are more proud of and committed to the organization. Razaq et al (2011) extracting from many studies (Friedman, 1970; Rodrigo & Arenas, 2007 and Ali *et al.*, 2010) reported that performance of organization depends upon the relationship with the host community. CSR is a tool, which companies use to integrate social and environmental concerns in their business operations.

CSR does not mean achieving only legal prospect. It is also going ahead of acquiescence and investing more into human capital, the atmosphere and the relationship with those who influence the organization. CSR is a process to build positive impact on society by their operations. CSR is concerned how companies handle the business processes to construct an overall positive impact on society. Now concepts of organizations are changing and organizations are trying to work for the community so that they can retain their worth in the market. In the inception of corporate social responsibility organization considered CSR as expense because such activities reduce the profit of the owners. Now organizations have realized that it is not expense although it is an investment which has long term advantages for business.

Asocio (2004) quoted that according to the results of a global survey in 2002 by Ernst & Young, 94 per cent of companies believe the development of a Corporate Social Responsibility (CSR) strategy can deliver real business benefits, however only 11 per cent have made significant progress in implementing the strategy in their organization. Senior executives from 147 companies in a range of industry sectors across Europe, North America and Australasia were interviewed for the survey. As per Borza (2011), the benefits identified as a result of the CSR in a company are:

- increasing the positive perception of the company among customers and business partners;
- attracting the sustainable investment;
- anticipation of modalities for future positive changes of the company's business;
- strengthening its reputation;
- opportunity to relate with consolidated business leaders;
- access to information from international experts;
- adoption methods for business consolidation through a responsible attitude to society;
- create the partnerships dialogues with public authorities regarding the acute problems, with aim to build the sustainable partnership solutions.

Nurn and Tan (2010), squeezing from the studies of Branco and Rodrigues (2006), also discussed briefly how the intangible benefits of CSR result in sustained competitive advantage for firms: *“The contribution that CSR may have to financial performance is nowadays primarily related to qualitative factors, such as employee morale or corporate reputation. It is argued that what explains the usefulness of RBP to the study of CSR and disclosure is the emphasis they place on the importance of specific intangible resources, such as reputation, culture, or employees’ knowledge, and capabilities, because they are very difficult to imitate and substitute”*.

7. CSR Models

7.1) Carroll’s Model

Sriramesh et al (2007) quoted Carroll’s model of CSR, which came into prominence during the 1970s, framed business responsibilities into four components: economic, legal, ethical, and discretionary. When the author reformulated the model in 1991, he depicted it in the form of a pyramid, with economic performance being the most basic function (depicted at the bottom of the pyramid) and moving up to legal, ethical and philanthropic (which replaced discretionary) components. Carroll’s CSR pyramid (1991) stated that a socially responsible corporation should simultaneously *“strive to make a profit, obey the law, be ethical, and be a good corporate citizen”*. He specifically distinguished between philanthropic and ethical responsibilities noting that many corporations assume that they are being socially responsible by being good corporate citizens in the community. Interestingly, several scholars and economists have in fact rejected philanthropy as a legitimate corporate action. Carroll himself stated that philanthropy, while highly desirable, is actually less important than the first three components of CSR. It should be noted that even though the four components have been discussed as separate constructs, they are not mutually exclusive.

**Economic, Legal, Ethical & Philanthropic Components of Carroll’s CSR Pyramid
(Model)**

Economic Components (Responsibilities)	Legal Components (Responsibilities)
<ol style="list-style-type: none"> 1. It is important to perform in a manner consistent with maximizing earnings per share 2. It is important to be committed to being as profitable as possible. 3. It is important to maintain a strong competitive position. 4. It is important to maintain a high level of operating efficiency. 5. It is important that a successful corporation be defined as one that is consistently profitable. 	<ol style="list-style-type: none"> 1. It is important to perform in a manner consistent with expectations of Government and law. 2. It is important to comply with various federal, state, and local regulations. 3. It is important to be a law-abiding Corporate citizen. 4. It is important that a successful corporation be defined as one that fulfils its legal obligations. 5. It is important to provide goods and services that at least meet minimal legal requirements.
Ethical Components (Responsibilities)	Philanthropic Components (Responsibilities)
<ol style="list-style-type: none"> 1. It is important to perform in a manner consistent with expectations of societal mores and ethical norms. 2. It is important to recognize and respect new or evolving ethical moral norms adopted by society. 3. It is important to prevent ethical norms from being compromised in order to achieve corporate goals. 4. It is important that good corporate citizenship be defined as doing what is expected morally or ethically. 5. It is important to recognize that corporate integrity and ethical behaviour go beyond mere compliance with laws and regulations. 	<ol style="list-style-type: none"> 1. It is important to perform in a manner consistent with the philanthropic and charitable expectations of society. 2. It is important to assist the fine and performing arts. 3. It is important that managers and employees participate in voluntary and charitable activities within their local communities. 4. It is important to provide assistance to private and public educational institutions. 5. It is important to assist voluntarily those projects that enhance a community’s "quality of life."

Source: Quoted by Sriramesh et al (2007) from *Business Horizons*, 34 (4), 39-48

Diagram-1: Showing Pyramid of Four Components of Carroll’s Reformulated CSR Model: 1-Economic, 2-Legal, 3- Ethical, and 4-Philanthropic



7.2) Lantos Model

Sriramesh et al (2007) further revealed that building on Carroll’s work; Lantos (2001) classified CSR into three forms: ethical, altruistic, and strategic. Ethical CSR is the minimal, mandatory fulfillment of a corporation’s economic, legal, and ethical responsibilities to its publics. Lantos argued that strategic CSR, where corporations participate only in those philanthropic actions that will financially benefit them by attracting positive publicity and goodwill, should be practiced over altruistic CSR, which constitutes making philanthropic contributions at the possible expense of stockholders. He stated that altruistic CSR is not legitimate. Despite their different orientations, these scholars have put forth a common notion that corporations do not operate in isolation from the society where they exist.

7.3) Internal External Dimensional Model

Krishnan and Balachandran (n.d.) quoted that the Green Paper (2001) by the Commission of the European Communities identifies two main dimensions of CSR, an **internal dimension** relating to practices internal to the company and an **external dimension** involving the external stakeholders.

7.3.1) Internal Dimension

This relates to practices internal to the company, which need to be modified to incorporate CSR practices. The various components of the internal dimension of CSR are:

a. Human Resources Management

CSR can be successfully implemented in an organization through precise management of its own work force. The internal dimension of CSR includes elements like providing an *environment for life long learning for employees, employee empowerment, better information flow, improving the balance between work, family, and leisure, diversified work force, profit sharing and share ownership schemes, concern for employability as well as job security among others. Active follow up and management of employees who are off work due to disabilities or injuries have also been shown to result in cost savings for the companies. Molding of recruitment policies to include people from ethnic minorities, older workers, women and the long-term unemployed would be a significant step forward to incorporating CSR practices in Human Resources Management.*

b. Work Safety and Health Measures

Worker safety and labor health have been documented to be having a direct impact on productivity of the labor force. Although legal measures exist in most nations on maintaining standards for ensuring worker safety and providing health benefits, recent trends have made it imperative for companies to adopt a proactive approach to this issue the increased focus on safety standards and employee welfare has led to the development of standards across industries.

c. Adaptation to Change

A recent trend in the global business scenario has been the wide spread use of mergers and acquisitions for business expansion. Also downsizing has been used, often ineffectively, as a cost cutting measure by firms in their relentless push for profits. According to the Green Paper (2001) by the Commission of the European Communities “Restructuring in a socially responsible manner means to balance and take into consideration the interests and concerns of all those who are affected by the changes and decisions. In particular this involves seeking the participation and involvement of those affected through open information and consultation. Furthermore, restructuring needs to be well prepared by identifying major risks, calculating all the costs, direct and indirect, associated with alternative strategies and policies, and evaluating all of the alternatives which would reduce the need for redundancies.”

d. Management of Environmental Impacts

The importance of this aspect of CSR cannot be over-emphasized. Optimization of resource utilization and reducing environmentally damaging effluents can reduce the environmental impact. This will also enable the firms to affect significant cost savings in energy bills and pollution costs. Many firms in emerging markets have had to face serious repercussions from the state and society for over exploitation of natural resources and disregard for environmental safety measures.

7.3.2) External Dimension

This dimension relates to practices concerning external stakeholders. The significance of this dimension of CSR has come to the forefront with the advent of globalization leading to the development of international standards for business practices.

a. Local Communities

The development of positive relations with the local community and thereby the accumulation of social capital is particularly relevant for non-local companies. These relations are being increasingly used by multinational companies, to support the integration of their subsidiaries, into various markets in, which they are present. Deep understanding of the local community and social customs is an asset, which can be utilized by the companies to gain strategic advantage. In emerging markets, this is more relevant than ever because of the availability of cheaper labor from the local communities. Companies would find it in their interest to substitute capital substitution with labor and reap the cost benefits.

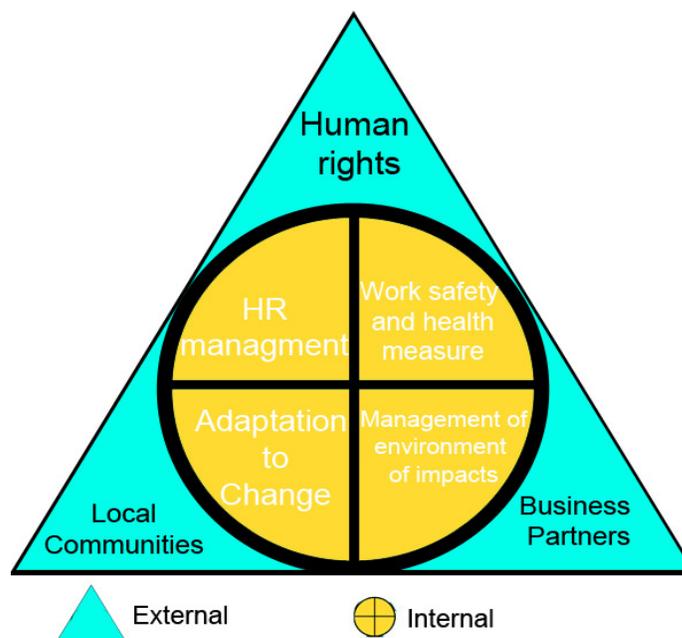
b. Business Partners

Building long term, relationships of sound ethical foundation with suppliers, customers (and even competitors in rare occasions) will enable companies to meet customer expectations better while reducing complexity and costs. Companies should realize their CSR practices will be judged taking into account the practices of their partners and suppliers throughout the supply chain. The effect of corporate social responsibility activities will not remain limited to the company itself, but will also touch upon their economic partners. Companies in emerging markets actually take on additional CSR responsibilities because of the existence of outsourcing opportunities in the form of suppliers and outsourcing agents. Also as part of their social responsibility companies are expected to provide high quality products and services, which meet customer expectations in a manner reflecting the company's concern for the environment and the local conditions. Thus in emerging markets, consumer based business strategies would enable companies to build long lasting relationships with consumers based on trust.

c. Human Rights

Companies operating in countries where human rights are regularly violated may experience a climate of civil instability and corruption that makes for uneasy relations with government officials, employees, local communities and shareholders. Amnesty International states: Companies have a direct responsibility to ensure the protection of human rights in their own operations. They also have a responsibility to use their influence to mitigate the violation of human rights by governments, the forces of law and order or opposition groups in the countries in which they operate.

Diagram-2: Showing Internal -External Dimensional CSR Model:



8. Conclusion

Razaq et al (2011), extracting from many studies (Friedman, 1970; Rodrigo & Arenas, 2007 and Ali *et al.*, 2010), has very well concluded that performance of organization depends upon the relationship with the host community. CSR is a tool, which companies use to integrate social and environmental concerns in their business operations. CSR does not mean achieving only legal prospect. It is also going ahead of acquiescence and investing more into human capital, the atmosphere and the relationship with those who influence the organization. CSR is a process to build positive impact on society by their operations. CSR is concerned how companies handle the business processes to construct an overall positive impact on society. Now concepts of organizations are changing and organizations are trying to work for the community so that they can retain their worth in the market. In the inception of corporate social responsibility organization considered CSR as expense because such activities reduce the profit of the owners. Now organizations have realized that it is not expense although it is an investment, which has long term advantages for business.

A strong CSR program is an essential element in achieving good business practices and effective leadership. Companies have determined that their impact on the economic, social and environmental landscape directly affects their relationships with stakeholders, in particular investors, employees, customers, business partners, governments and communities.

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