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## Internally Displaced Persons in Nepal: Neglected and Vulnerable

Ritendra Tamang

Faculty of Communication Studies

Mount Royal College

4828 Mount Royal Gate SW, Calgary, AB T3E 6K6, Canada

E-mail: rtamang@mtroyal.ca

### Abstract

This article examines Nepal's policies regarding internally displaced persons (IDPs), and aid efforts by international aid agencies and donors. Ten years of conflict (1996-2006) between the Nepal government and the Maoists was a main cause of the displacement of many people. Although the international community acknowledged that the armed conflict between Maoist forces and Nepal security forces contributed significantly to the displacement, the crisis did not receive enough international attention until recently. Ongoing violence in some districts of Nepal continues to pose major challenges to many returnees and to the peace process. The contradictions and tensions existing within Nepal's IDP policies create further strains, especially on individuals and families displaced by Nepal security forces. Researchers, policy makers, and international agencies need to be aware of the geopolitical factors that could endanger the effectiveness of aid distribution to displaced Nepalese.

**Keywords:** Aid, Development, Conflict, Displacement, Migration, Nepal

### 1. Introduction

In recent years, conflicts involving forced migration and human rights violations, as in the case of Nepal and other countries in South Asia, have attracted international attention. The armed conflict between the Maoist guerillas of Nepal's Communist Party and the royal armed forces, which began in the late 1990s, produced one of the worst humanitarian crises in Nepal. Caught between the Maoists and government army forces, many were forced to move in search of security and economic opportunities. For many displaced persons, particularly women and children, displacement further increased vulnerability to poverty, violence, discrimination, and exploitation. Years of conflict have had devastating effects on the country's economy and infrastructures. Although some Nepalese have crossed international borders, many remain displaced within their own country. Despite being rated one of the worst displacement scenarios in the world, the plight of internally displaced persons (IDPs) in Nepal has received limited attention, either internationally or from Nepal's political parties. This paper examines the roles that the armed conflict between the Maoists and government armed forces played in Nepal's displacement crisis. Also, it will analyze responses to the crisis by the Nepal government, Maoists, and international aid agencies.

This paper will argue that the armed conflict contributed significantly to the internal displacement crisis in Nepal and that the government failed to fulfill its obligations toward IDPs through its policies. Additionally, nongovernmental organizations and international aid agencies have provided inadequate services to IDPs through their programs. Not only has the displacement crisis created logistical and humanitarian nightmares, but it also poses serious threats to national and international security and puts the lives of displaced people at risk. Tackling the issues of IDPs in Nepal requires cooperation between government and development agencies.

### 2. Internal Displacement in Nepal

Internal displacement is increasingly a global crisis. It is estimated that every year, 25 million people in more than 50 countries are forced to abandon their homes, land, and communities as a result of internal conflicts, communal violence, or human rights violations (Deng, 2004, p. 18). The term *internally displaced persons* refers to persons or groups of persons who have been forced or obliged to flee to leave their homes or places of habitual residence, in particular as a

result of or in order to avoid conflicts, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized state border (Rai, 2005, p. 8).

IDPs are often deprived of essentials such as shelter, security, food, education, and community. Displacement in Nepal is increasingly gendered; women and young girls constitute “the largest percentage of the internal stuck” (Manchanda, 2004, p. 239). In addition to lacking access to basic needs, many IDPs are identified as enemies of the state and are therefore vulnerable to state persecution. Ironically, if these people crossed international borders, they would fall under the category of refugees whose protection and assistance are guaranteed under the 1951 Refugee Convention as established by the UN Office of the High Commissioner for Refugees (Rai, 2005, p. 9).

Socioeconomic and political changes in the post-Cold War era led to the proliferation of internal conflicts in many countries. Often, the majority of those displaced are women, children, and the elderly (Deng, 2004, p. 21). Governments in countries experiencing internal conflicts are facing external pressures to manage the conflicts and address the humanitarian crisis resulting from the violence. Despite the growing number of IDPs worldwide, the international community rarely intervenes with internal displacement; it is assumed that states are responsible for providing protection and assistance to citizens within its borders (Manchanda, 2004, p. 238). International intervention can be seen as threatening or undermining state sovereignty. However, this view of sovereignty is problematic and limited, as people are caught up on both sides of internal wars (Rai, 2005, p. 9). Recognizing the complexities involved in internal displacement, the UN has made changes to its policies regarding IDPs. These changes serve to promote better cooperation between governments and international aid agencies in dealing with the displacement issue effectively.

In South Asia, and specifically in Nepal, the increase in armed conflict between the Maoists and government armed forces has contributed significantly to the widespread displacement of people (Human Rights Without Frontiers, 2005; Sahadevan, 2002, p. 103). In Nepal, human rights violations and increased insecurity resulting from the armed conflict between Maoist guerillas and the Royal Nepalese Army has generated waves of population movements within the country and across its borders since 1996 (Internal Displacement Monitoring Centre, 2008). Ten years of bloody armed conflict have resulted in approximately 13 000 deaths, and an estimated 200 000 people have been displaced (Internal Displacement Monitoring Centre, 2006; Upadhyay & Sherchan, 2003; USAID, 2008b).

Until recently, Nepal’s dominant political narrative has been constructed around a Hindu kingdom established by the Shah dynasty (Manchanda, 2004, p. 240). The revolution that occurred in 1950 was followed by the declaration of a new constitution. The 1959 election and the formation of a parliamentary system signified the country’s transition toward democratic process (Riaz & Basu, 2007, p. 125). However, this experience was short-lived. In 1962, King Mahendra dismissed the elected government and suspended the constitution and parliamentary system. The King replaced the parliamentary system with the *panchyats* (partyless) system, through which he became the absolute decision-making figure (Internal Displacement Monitoring Centre, 2008). The political situation in Nepal did not significantly alter after the inauguration of Mahendra’s son, King Birendra. Soon after assuming his new role, Birendra introduced an amendment that reaffirmed centralized power, and further restrictions were imposed on political parties (Manchanda, 2004, p. 239).

Nepal’s socioeconomic system is based on the centuries-old caste system, in which power and wealth is held by a small elite class consisting of Brahmin, Chettri, and Newar caste members (Manchanda, 2004, p. 240). Up until 1950, the country had no public service systems (e.g., education and healthcare) or public infrastructures (Devkota, 2007, p. 296). The income gap between different classes, in conjunction with the lack of public infrastructures, contributed to the country’s poverty crisis.

Since the 1950s, Nepal’s economy has depended largely on foreign aid for development (Devkota, 2007, p. 293). The newly elected Nepali Congress embarked on a series of land reforms beginning in 1959 that aimed at reducing the power of landlords, along with a restructuring of socioeconomic and bureaucratic systems (Manchanda, 2004, p. 242). The signing of the Technical Cooperation Division in 1952 marked the beginning of Nepal’s acceptance of foreign aid (p. 296). However, uneven regional, urban, and rural development and the widening income gap increased inequalities among social classes and regions. Changes in Nepal politics during the 1960s shaped the country’s economic development. Under the partyless system during the 1960s, the state seized absolute control over the country’s production and distribution (Sahadevan, 2002, p. 105). As such, the partyless system was mostly responsible for the growth or the loss of socioeconomic development in Nepal. From the 1960s to the 1990s, Nepal’s economic growth was perceived as “sluggish, though better than during the autocratic rule . . . before 1950” (Devkota, 2007, p. 298). Further, the economic growth in Nepal since the 1950s only benefited a small class of people while the majority of the country’s population continued to live in poverty.

Poverty continued to rise in Nepal from the 1970s onward and affected those “mostly in rural areas where 85 percent of the population resides. . . . Poverty increased at the rate of 3.1 per cent between the mid-eighties and the mid 1990s, the highest rate in South Asia” (Devkota, 2007, p. 286). The poverty rate has been further exacerbated by the conflict between the Maoists and the government. Since the early 1990s, Nepal’s government implemented several development

projects that sought to improve the economic system in the country. Despite these changes, there appeared to be “a gap between the formulation of policies and its actual implementation” (Human Rights Without Frontiers, 2005, p. 5). Consequently, the majority of Nepalese continue to live in poverty, a situation that heightens tensions between the government and society.

Nepal’s dependency on foreign aid has increased, with about two thirds of the annual budget being supported by foreign donations, grants, and loans (Devkota, 2007, p. 293). According to one study, Nepal’s total foreign aid debt in 2005 was estimated at \$3.12 billion (p. 294). In addition, a large portion of the foreign loans provided to recipient countries are returned to donor countries in the form of investment profits (Dunning, 2004, p. 411). Foreign aid thus created rather than relieved the economic burden for the majority of the population in Nepal. Mismanagement, lack of governmental accountability, and corruption are also main contributors to the widespread poverty and income inequalities across the country (Upreti, 2006, p. 37). Together, these factors contribute to the tensions and conflict between the government and oppositional forces such as the Maoists.

The rise in poverty, in conjunction with the armed conflict, forced many people in Nepal to migrate to urban centers and across national borders for security and better economic opportunities (Riaz & Basu, 2007, p. 125). The UNHCR (2008) estimated that approximately 100 000 people were internally displaced in 2006. Many displaced Nepali are migrating to countries in East, Southeast, South, and West Asia, as well as Canada, in search of employment and better lives (Devkota, 2007, p. 293; WOREC Nepal, 2003). Devkota estimated that 8 million Nepali worked overseas in 2006. Those who work abroad send remittances to their families and thereby ease the country’s economic burdens and contribute to the country’s annual GDP. However, increased violence resulting from the conflict between the Maoists and the government threaten to undermine Nepal’s economic progress.

### **3. The Maoist Conflict and the Politicization of IDPs in Nepal**

The Maoist conflict, or the People’s War, was an armed conflict that began in 1996 between the Maoist guerillas and the Nepal government, with the goal of overthrowing the Nepal monarchy and establishing a new republican state (Hutt, 2007, p. 17; Internal Displacement Monitoring Centre, 2006; Manchada, 2004, p. 240; Refugees International, 2008; Upreti, 2006, p. 35). Many Nepali, especially marginalized individuals and groups, supported the Maoists at the beginning of the conflict. Much of the initial public support for the Maoists stemmed from the Maoists’ harsh dealings with the perpetrators of injustice and corruption (Human Rights Without Frontiers, 2005). However, support soon declined as members of Maoist forces practiced indiscriminate killings of civilians (Hutt, 2007, p. 20).

The conflict between the Maoists and the government entered a new phase in 2001. A series of political crises during this year posed further threats to the country’s monarchy and increased the number of displaced persons (Devkota, 2007, p. 308). The royal massacre that occurred on June 1, 2001, and the subsequent ascension of King Gyanendra Shah signaled a new phase of Nepal’s political development (Internal Displacement Monitoring Centre, 2006). Unsatisfied with Prime Minister Deuba’s performance, King Gyanendra dismissed Deuba and declared a state of emergency that allowed him to take over executive powers. In October 2001 he indefinitely postponed parliamentary elections (Upadhyay & Sherchan, 2003). During the same period, the King declared the Maoists “terrorists” and ordered a military crackdown on the insurgency (Refugees International, 2005). The crackdown generated new waves of violence that spread quickly throughout the country, and Nepal’s economy declined dramatically as a consequence (Devkota, 2007, p. 308; Internal Displacement Monitoring Centre, 2006; Refugees International, 2005). For example, tourism, a major source of revenue for the country, decreased exponentially, as did trade with India, Nepal’s key trading partner. In 2005, the Refugees International organization estimated that 60 percent of households were chronically food insecure, being able to cultivate only six months of food from their land (Refugees International, 2005). During this period, certain rights were suspended, such as the right of assembly, the right to freedom of thought and expression, and the right not to be held in preventive detention without sufficient grounds (Upreti, 2006, p. 39). Additionally, those suspected by the government of aiding the Maoist forces through practices such as providing food, shelter, and financial assistance were often the target of Royal Army violence. The majority of these deaths occurred during “encounters” in which many civilians “were shot dead in their house and in custody days after their arrests” (Upadhyay & Scherchen, 2003, p. 8). Many were forced to flee from their homes as they feared being charged by the security forces of being Maoist supporters or spies.

Displacement in Nepal is closely tied to the patterns of armed conflict. In many parts of the country, the continuation of violence caused the closures of public service facilities such as schools and hospitals, as well as local businesses (Internal Displacement Monitoring Centre, 2006). The widespread of violence further increased vulnerabilities of IDPs and thereby added to the instabilities in the country. The prevalence of violence became a major concern among human rights organizations.

Compared to other groups of people in Nepal, poor people from remote and rural areas are more affected by Maoist violent activities. Tactics such as forced recruitment, abduction, extortion, and other human rights violations carried out by Maoists forced many to move away from their villages and communities (Upreti, 2006, p. 45). Forced recruitment of

children into the Maoist army became a major cause of the displacement of children and youths in the country. Children as young as 14 are reportedly recruited and often serve as porters, spies, and sentries (Human Rights Without Frontiers, 2005). The fear of being accused as government spies has forced many to flee from their homes (Hutt, 2007, p. 23).

In 2004, UNDP Nepal Human Development placed the country's level of human development "among the lowest in the world" (Human Rights Without Frontiers, 2005, p. 6). In the following year, Nepal was classified as one of the countries worst affected by displacement (Internal Displacement Monitoring Centre, 2008). However, the displacement crisis in Nepal received limited attention from the government and international agencies. This limitation is reflected in the absence of targeted assistance to address the most immediate humanitarian needs. No survey has been carried out to assess the vulnerability of IDPs on the basis of different indicators such as access to shelter, food, drinking water, sanitation, medicine and care. (Human Rights Without Frontiers, 2005, p. 9)

In addition, limited knowledge about the total number of IDPs and the conditions of the dislocations pose serious problems to the effective provision of aid. Whereas Nepal's government retained control over urban centres, most rural and remote areas of the country are under the Maoists' jurisdiction (Upreti, 2006, p. 46). In particular, the government has neglected or been unable to control Nepal's midwestern areas (e.g., Rukum, Rolpha, Salyan, and Jajarkot) which have thereby become hotspots for insurgency and further contributed to the displacement of many people (Riaz & Basu, 2007, p. 138).

#### **4. Living Conditions of Internally Displaced Persons, and State Responses**

Unlike in the early years of the conflict, the majority of those who are currently being dislocated belong "to more disadvantage groups of society and have had to struggle to make ends meet" (Internal Displacement Monitoring Centre, 2006, p. 7). Because most displaced persons came from farming communities, most are "unprepared for making a living in urban areas" and as such often work in low-paid and exploited conditions. Those with capital have found the transition to urban life less challenging than those who were poor (Office for the Coordination of Humanitarian Affairs [OCHA], 2008). The rise in numbers of IDPs moving to urban areas has also led to increases in real estate and rental prices, which make it more difficult for poor IDPs to find affordable accommodation in major cities such as Kathmandu (Europe External Policy Advisory [EEPA], 2007). The limited access to adequate housing has imposed further strains on many IDPs' lives.

Although displacement affects people differently, research has identified women, members of the Dalit caste, people with disabilities, children, and seniors as being the most vulnerable displaced persons in Nepal (Internal Displacement Monitoring Centre, 2006). Whereas historically it has been men who migrate, increasing violence has forced many women and children, particularly those from rural and remote districts, to migrate in order to escape violence and discrimination (WOREC Nepal, 2003). IDPs—and especially women and children—are particularly vulnerable to a series of threats that include human trafficking, prostitution, and forced labor.

In the course of their flight, many IDPs have lost or left behind their documents. Many administrative structures no longer exist, and most IDPs do not have the opportunity to replace their lost documents. Additionally, the government has yet to take "concrete measures to facilitate the issuance of new documents to replace those left behind or lost" (Internal Displacement Monitoring Centre, 2006, p. 7). Consequently, the lack of documentation proves to be a challenge for IDPs in accessing public services in urban centers and participating fully in the democratic process, for example by voting.

For displaced children who lack proper documents, access to education is difficult in certain regions of Nepal (Internal Displacement Monitoring Centre, 2006). Displaced children are vulnerable to various threats such as forced conscription, child trafficking, sexual exploitation, and child labour (EEPA, 2007). An estimated 40 000 Nepalese children have been displaced since 1996 (Internal Displacement Monitoring Centre, 2006). Rather than migrating to major urban centres, most displaced children cross into neighboring countries such as India in search of economic opportunity (OCHA, 2008).

The performance of the Nepali government toward IDPs has been under criticism by international organizations. In particular, the government's definition of IDPs included those who were displaced by Maoist forces, but it excluded people who were forced by governmental forces to move away from their homes (Internal Displacement Monitoring Centre, 2006). Those who were forced by state security forces to flee their homes found little incentive to register as IDPs because they often did not qualify for government assistance (OCHA, 2008). Furthermore, the "fear of ending up on an IDP list which would fall into the hands of the Maoists also convinced many that there was nothing to gain from registering as an IDP" (Internal Displacement Monitoring Centre, 2006, p. 4). As a result, many IDPs in Nepal are unaccounted for.

In addition to lack of recognition of those who are displaced by the government, critics also point out how Nepal has failed to spell out a coherent set of practices and policies to address the protection and assistance needs of IDPs. Moreover, Nepal's government has been generally reluctant to acknowledge that there has been a displacement crisis in

the country caused by the fighting between the Maoist insurgents and governmental forces. (Human Rights Without Frontiers, 2005, p. 10)

Governmental failure or unwillingness to address the displacement crisis has thus further increased the vulnerability of IDPs. The absence of systematic monitoring systems of population movement by both international and national authorities also made it difficult to assess the scope of displacement since the beginning of the conflict, thereby preventing the provision and distribution of effective aid. Responding to international and internal pressures, the government of Nepal drafted a new IDP policy in 2006. However, critics rejected the government's IDP policy because it ignored a number of [UN Guiding Principles on Internal Displacement] principles and recommendations and failed to address the main weakness of previous state policies on IDPs, i.e. the politicisation of IDP definition excluding people displaced by state forces. Other major weaknesses included the absence of an implementation plan, which should provide clear guidelines to district-level government representatives as well as the lack of financial resources from the state. (Internal Displacement Monitoring Centre, 2006, p. 8)

Although changes have been made by the government through financial incentives to assist IDPs returning home, government workers at the district level are often unaware of financial assistance for IDPs who return (OCHA, 2008). Consequently, many IDPs are uninformed about the availability of assistance that they are entitled to, and this lack of knowledge has important implications on their returning.

Demand for the improvement of IDPs' status and living conditions transformed into a series of protests organized in 2005 by the Maoist Victims' Association. The protests demanded that the government recognize the status of IDPs and their humanitarian and human rights needs and concerns (Human Rights Without Frontiers, 2005). Unfortunately, these demands were met with violence carried out by government security forces. This action did not follow the UNCHR's Guiding Principles, which specify that IDPs have the right to request and receive protection and humanitarian assistance from their state authorities and that "they shall not be persecuted and punished for making such a request" (Human Rights Without Frontiers, 2005, p. 10).

There have also been documented cases of arrests by government security forces of IDPs living in camps. For example, on June 5, 2005, Nepali police broke into the Khaullamanch IDP camp in Kathmandu and arrested about 80 people (Human Rights Without Frontiers, 2005). Many of these detainees reportedly disappeared while in police custody. In addition, the police reportedly used violence against children, women, and elderly people (OCHA, 2008).

Increased protests at the beginning of 2006, in conjunction with international pressures, forced the King to end his autocratic rule and restore the multiparty system. Additionally, he lost power and control over the army (BBC News, 2008). The end of autocratic rule ushered in a new sense of optimism and hope, as well as fear. Meanwhile, the continuation of violence in rural and remote communities contributed further to the displacement crisis in Nepal.

### **5. Challenges to Nepal Autocratic Rule**

Following weeks of nationwide protests in 2006, the King publicly announced the end of monarch rule and reestablished the parliament (Hutt, 2007, p. 25). By the end of the year, the Maoist leadership declared a ceasefire. This action created opportunities for peace talks among the leaders of the political parties. The election scheduled for June 2007 did not actually take place, because negotiations between the Maoist leaders and Nepal's major political parties fell through on October 5 of the same year (Sharma, 2007). The Maoists reportedly walked out from a talk with the government in September 2007 after the political parties rejected Maoist demands to abolish the monarchy in the upcoming election and "introduce full proportional representation" (Sharma, 2007, p. 6).

The Maoists won 102 seats following the April 10, 2008, election; as a result, according to one Western news agency, the Maoist party had "a good chance of securing an absolute majority" (BBC News, 2008). Following the victory, Maoist leader Prachanda proposed the integration of the Party's army into the existing state army and police forces. This proposal generated great concern among leaders of other parties and in the international community (Adhikary, 2008). On August 16, 2008, Nepal's Internet news agency, nepalnews.com (2008), reported that Nepal's three major political parties (the Maoists, the Communist Party of Nepal-Unified Marxist Leninist [UML], and the Madhesi Janadhikar Forum [MJF]) had reached an agreement to form an alliance. It should be noted that at the time there was no agreement among party leaders about the future role of the monarch and the disarmament of the Maoists. Although these changes offer new hopes for most IDPs, reports of ongoing conflict in western and northeastern regions in Nepal have forced many more out of their homes.

### **6. International Response to Nepal's Internal Displacement Crisis**

As mentioned previously, protection for IDPs is limited within international law because of the concern over national sovereignty and the assumption that states that follow international human rights and humanitarian guidelines, such as Nepal, are obligated to provide assistance and protection to IDPs within their borders (Human Rights Without Frontiers, 2005). However, as we have seen, Nepal's IDP policies are filled with contradictions and discrimination against those who are forcibly displaced by governmental armed forces. In addition, in a press release issued on January 11, 2008, the

UN Office for the Coordination of Humanitarian Affairs (OCHA) stated that “bombings, killing, abductions, demands for ransom and other forms of threats aimed at political opponents and civilian populations continue to hinder the ability of the state to deliver basic services in the country” (UN News Centre, 2008).

Although international aid agencies and donors are well aware that the armed conflict between Maoist forces and Nepal security forces has been the main cause of displacement of people throughout the country, the crisis has received limited attention from the international community (Human Rights Without Frontiers, 2005; Refugees International, 2008). On April 22, 2005, in a statement released during a visit to Nepal, Walter Kalin, the UN Secretary-General’s Representative on the Human Rights of IDPs, suggested that the IDP crisis in Nepal has been “largely overlooked and neglected” (quoted in Internal Displacement Monitoring Centre, 2006, p. 8). Kalin also found that violence perpetuated both by the Maoists and government armed forces was one of the major causes for widespread displacement in Nepal. Kalin suggested that although the displacement crisis in Nepal “is not a humanitarian crisis in the usual sense, there are reasons for grave concerns about the humanitarian and human rights situations” (quoted in Brookings, 2005). He also made several recommendations to the then-King’s new IDP policy. He recommended that the government implement as soon as possible a comprehensive national IDP policy that will provide for the rights and needs of all conflict-induced displaced persons in the country and which is in accordance with Nepal’s international human rights obligations, as expressed in the Guiding Principles on Internal Displacement; condemn the emergence of self-defense or vigilante groups and discourage them from taking the law into their own hands; adapt national legislation to assure adequate protection of the human rights of IDPs, including with regard to registration as an IDP and voting; [and] train national and local authorities, both civil and military, on the rights of IDPs and the protection of the civilian population. (Brookings, 2005)

However, as we have seen, many of the recommendations made by the UN human rights representative did not make it into the new IDPs policy introduced by the King in 2006. Additionally, the UN representative urged the Maoist Party to respect the basic principles of international humanitarian law, in particular the fundamental distinction between combatants and non-combatants and common article 3 of the Geneva Conventions; [and] make a public commitment to adhere to the Guiding Principles on Internal Displacement, which is also addressed to non-State actors. (Brookings, 2005)

Since 2005, a number of IDP studies have been conducted by major international aid agencies with the goals of improving the understanding of IDP issues and promoting sustainable solutions for those who are displaced. International aid agencies such as USAID participated in projects that aimed at “increased national capacity to transition to peace, building strong and representative government, establishing the rule of law and ending human rights abuses, and addressing social inequality and poverty” (USAID, 2008a, Overview section). Local NGO organizations such as INSEC assisted the return of many IDPs to their homes in various regions of Nepal. In 2007, the Norwegian Refugee Council (NRC) established the Information, Counseling and Legal Assistance (ICLA) project to help with the return of IDPs in Nepal (Internal Displacement Monitoring Centre, 2008). However, the escalation of violence threatened the withdrawal of services and financial aid of international aid agencies and donors. For example, the decision made by the Canadian government in 2005 to withdraw aid in one midwestern district of Nepal was influenced mainly by the rise in Maoist insurgency. Other donor countries such as Germany, Switzerland, Britain, Finland, Japan, Denmark, Sweden, and Norway suspended rural development projects in the same district (Asian Pacific Post, 2005). The withdrawal has significant effects on the local population, who depend on these aid agencies for access to public services such as health and education. Although the signing of the 12-point peace agreement between the Maoists and the government has renewed interest within the international community, some aid agencies and donors remained skeptical on whether peace is possible (USAID, 2008a).

In 2007, donors contributed about US \$72.6 million in aid to Nepal. On January 11, 2008, the UN pledged US \$104 million toward humanitarian and development efforts to help Nepal recover from the 10 years of armed conflict. Further, the UN decided to allocate US \$29 million to help IDPs and refugees. The Common Appeal for Transition Support (CATS) consisted of 61 development projects developed earlier this year to address immediate needs of food, nutrition, security, health, and disaster response. The establishment of these projects enabled aid workers to “assist internally displaced persons (IDPs), refugees and children affected by armed conflict” (UN News Centre, 2008). A number of IDPs reportedly returned to their homes with the assistance of cooperative efforts by aid organizations such as OCHA, UNHRC, IRC, and Nepal Red Cross since the beginning of 2008. OCHA also works with the Nepal government to formulate guidelines that would improve returning conditions of IDPs (OCHA, 2008).

The recent election results have renewed international aid organizations’ interest in funding development projects in Nepal. For example, on July 22, 2008, the director of infrastructure at the World Bank’s International Finance Cooperation (IFC) offered to finance 25 percent of the total investment for building the Upper Karnali Hydropower Project (Sarkar, 2008). Despite these changes, the situation of IDPs in Nepal show little improvement.

## 7. The Politics of Returning

The return patterns of IDPs in Nepal are characterized by “sporadic return movements” (Internal Displacement Monitoring Centre, 2006, p. 5). The re-establishment of a multiparty government, the signing of the 12-point agreement between the Maoists and other parties in 2005, and the signing of the Code of Conduct in May of the following year allowed IDPs to resume rights over their land and property and encouraged many to return to their homes (OCHA, 2008). These agreements reflected Maoist and government commitment to provide assistance to IDPs. On January 27, 2008, during a meeting between Baburam Bhattarai and the Maoist leaders, a senior Maoist leader claimed that “the properties and lands seized by Maoists would soon return to their owners” (nepalnews.com, 2008). The news generated new optimism and hope among IDPs. Additionally, the forming of a newly democratic government following the recent election encouraged many to return home. However, ongoing human rights violations in conjunction with the absence of governmental forces, unresolved land disputes, lack of security, and lack of access to essential public services in many areas made returning impossible for many displaced persons.

Violent acts such as killings, torture, abduction, and extortion of civilians continue to be prevalent in areas under Maoist control. The establishment of a “people’s court” by the Maoists in rural areas was perceived by international organizations and many displaced persons in Nepal as “failing to guarantee people’s right to security and physical integrity” (Internal Displacement Monitoring Centre, 2006, p. 6). In some eastern districts of Nepal, differential treatment toward different groups of IDPs contradicted the Maoists’ earlier commitment to “respect the safe, dignified and unconditional return of all IDPs” (p. 6).

In the early part of 2008, the government stopped registering displaced persons. According to Pushpa Pandey, an IDP protection coordinator of the Informal Sector Service Centre (INSEC), “this is a matter of serious concern” (IRIN, 2008b). This latest decision reinforced Nepal’s discriminatory IDP policies and thereby contributed to the displacement crisis. In June 2008, a report published by the Internal Displacement Monitoring Centre (IDMC) estimated that 50 000 to 70 000 people are still unable to return home because of a lack of security and public services (Internal Displacement Monitoring Centre, 2008). Those who were unable to register as IDPs are seeking help from the Norwegian Refugee Council (NRC) and INSEC. So far, the NRC has helped more than 1000 registered IDPs families and are expecting more in the upcoming months (IRIN, 2008a). Violence continued to cause serious havoc to socioeconomic infrastructures throughout the country. Gopal Siwakoti of the International Institute for Human Rights, Environment and Development (INHURED) commented that “There will be renewed displacement and a crisis if the current violence is not controlled” (IRIN, 2008c). At the same time, the country was gearing up for the April election, and there were doubts whether the election would take place given the continued violence and instabilities.

According to a UN news story published on March 30, 2008, a total of seven Maoists had been killed since February 5, and increased Maoist violence against oppositional parties and voters was also reported (United Nations News Service, 2006). Despite this, Maoist leader Prachanda stated that the party is “fully committed to the peace process and multi-party democracy and to rebuild this country” (BBC News, 2008).

In the Terai region, tensions between two ethnic groups, the Madhesi and the Pahade, led to communal violence. The violence has led to ethnic clashes and the displacement of both groups, with most displaced being Pahades. [In the first week of May, 2008] nearly 90 families fled in fear of the militant group Madhesi Tigers in Bara, Siraha and Saptari districts, 400km southeast of the capital (IRIN, 2008c).

Madhesi families also reported being displaced, including “those who do not support the militant groups” (IRIN, 2008c). Employment workers, media, human rights aid workers, and middle-class and wealthy landowners are among the targets of violence. Many newly displaced Madhesi take refuge in other safe areas of the Terai region such as Biratnagar, Inarwa, and Janakpur. According to an international aid observer, the current trend of displacement in Nepal “is quite a different form of displacement and it is likely that the displaced families will never be able to return to their homes” (IRIN, 2008c, Dangerous Trend section).

## 8. Conclusion

As we have seen, patterns of displacement in Nepal are closely tied to the dynamic of the armed conflict between the Maoists and the Nepal royal armed forces that began more than 10 years ago. Despite the dangers posed by conflict-induced displacement, researchers, policy makers, and international agencies often have only a partial understanding of the displacement crisis in Nepal. This paper demonstrates that forced migration within the context of Nepal IDPs is complex and must take into account differences of gender, age, ethnicity, and socioeconomic backgrounds within the displaced population. Most often, women and children have by far been the worst affected by the conflict. The vulnerabilities to violence and discrimination that they experience prevent them from gaining employment and access to public services (e.g., health and education) and thus undermine their contributions to Nepal’s reconstruction process. For most Nepalese, inability or reluctance to return home contributes to a feeling of dislocation.

In tackling the issue of IDPs, the Nepal government needs to acknowledge the extent of the IDP problem, improve the registration process, and develop short-term emergency aid packages and long-term programs to assist IDPs with their return and reintegration. Although a significant effort has been made by international aid agencies to help with the return of IDPs, many Nepalese have not witnessed improvements in their lives. In examining the armed conflict between the Maoists and the Nepal government, the goal of this paper has been to analyze the relationships between aid, economic development, and migration. Since the 1950s, foreign aid and loans have been fused into Nepal socioeconomic and political structures and practices. This fusion effectively shapes class, religious, and ethnic relations between groups and undeniably plays a role in Nepal's ongoing armed conflict. Although the link between politics and aid serves to benefit government interests, it clearly undermined the humanitarian aspect of aid itself. As we have seen, the control of foreign aid by elites in Nepal has severe consequences for the impoverished and displaced.

The decline in state authority over the years and the rise in militant movements such as the Maoist movement increased vulnerabilities for IDPs, especially women, children, and the elderly. As the conflict intensified, many were forced to flee from their homes. Increased rates of displacement have important effects on people's security, health, and socioeconomic well-being. The displacement situation in Nepal is a serious problem that requires immediate cooperative efforts of state and international intervention and assistance. Ongoing violence, instability, and the lack of development in conflict districts mean that the government needs to take a more active role in creating favorable conditions for safe returns of the displaced and improving security in conflict regions. This must be done through cooperating with international aid agencies and donors.

Recent increases of aid to IDPs in Nepal reflect the growing numbers of displaced people. By examining Nepal's IDP policies and aid efforts by international aid agencies and donors, this paper calls attention to the geopolitical factors that could potentially endanger the effectiveness of aid distribution to displaced Nepalese. Despite various ceasefire agreements and peace negotiations, the continuation of violence in some districts of Nepal becomes a major obstacle to the return of IDPs and to the peace process. Recent attempts for peace between the Maoists and other political parties and new outbreaks of violence in certain districts of Nepal must be monitored closely to ensure security for the safe return of IDPs.

**Note: Since the time this article was written, a series of new political events had occurred in Nepal.**

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## Tumu Crisis and the Weakness of the Military System of Ming Dynasty

Longfei Feng

Business School of Saint Louis University, USA

E-mail: [dangxzhou@163.com](mailto:dangxzhou@163.com)

### Abstract

In the year of 1449, Ming lost the battle against the Oirats in Tumu Bao due to its poor military system. In this article, the history of the Tumu Crisis and the military system of Ming dynasty were systematically studied. The article, First of all, analyzed the weakness of the military system of Ming from five aspects, and concluded that the main problems were the lower social statue of the army and a serial unrealistic regulation. Following that, the article explained how the military system caused the Tumu Crisis. It is found that the low quality of the military personnel caused by the army family system, the inefficient supply system, the war-weary attitude and the poor leadership were the main reasons for losing the battle.

**Keywords:** Ming dynasty, Tumu Crisis, Military system, Army family system, Supply system, War-weary attitude, Leadership

### Introduction

The Ming Dynasty is a time that Han Chinese ruled China again after the Mongolia Alien conquest. As a society had intrinsic atmosphere and valued peace and knowledge, this dynasty made its military system very careful and conservative. This military system was made to keep the society stable and had no ambition to expend. But out of the expectation of the system-maker, the system had never given the peaceful environment for our dynasty. This article analyzed the problems of the military system of Ming Dynasty and studied a military crisis of Ming Dynasty in the year of 1449 as a case.

### 1. The Analysis of the Military System of Ming

The military system of Ming was founded during the ruling time of Hongwu Emperor and Yongle Emperor. This military system guided Chinese military organization and military actions until the end of Ming Dynasty in the year of 1644. In my point of view, this military system was founded with the ideology known as “value the intellectual, and despise the martial” and with a lot of regulations which were alienated from reality. And after this system came into force, there wasn’t any successful reform of it during the following 270 years. This military system made the efficiency in military very low and led to the defeats of some crucial battles, and finally, this system put an end to this Dynasty.

Firstly, the strong political inclination to the civil servants made a negative situation to the military personnel. In the Ming government, comparing with civil servants, the military personnel always had the lower status, a reason was that the civil servants who selected by the Imperial Examinations always regard the military personnel with contempt or condescension. In the early years of Ming, the position of commander-in-chief was abolished by the Hongwu Emperor because of his afraid of its great power. Since then, there was no senior position offered for the military personnel in the bureaucracy system. The highest military officials were Generals which located in 83 military distinctions all over the country. And these Generals must obey the command of the Beijing cabinet and the Defense Minister which were controlled by the civil servants. What’s more, the military officials even had no right to dispatch their soldiers without the agreement of the local civil servants, and the supplies for the army were also provided by the local governments. This system was founded by the Hongwu Emperor to defang the military forces and ensure the military officials would have no power to threat to the central government. All in all, the low social statue of the military personnel led to the low level of the military operations and low quality of the soldiers.

Secondly, Ming government always hold a passive position towards the war, it seldom tried to take the initiative position to attack its enemies. The reasons of this phenomenon are complex. On the one hand, it was because after the

ruling of the alien Mongolia government, the feeling of disgrace made the personality of Han Chinese intrinsic and conservative. On the other hand, what's more important, to ensure the stability of its dominion of China, the Ming government tried its best to avoid war because the war always causes social unrest. As the war always cost a lot of money and made a heavy burden on the common people, the government always wanted to end the war when the military conflicts wasn't serious to reduce the civil stress.(Note 1) This passive position always made the government lost the favorable strategic situation and made the negative influence for the generals made the military decisions.

Thirdly, Ming used the "Army Family System" to find the soldiers of its troops. The system led to both a poor quantity and quality of the standing army. So called Army Family System is a system founded by the Hongwu Emperor to ensure the quantity of the soldiers was amplitude. This system established that the standing army was provided by the two million "Army Families". Each Army Family must provide one man as a soldier and did their duties generation by generation. The Hongwu Emperor thought this system would not only ensure the quality of the standing army, but also made the common people be free of the military service. But in fact, as most of the Army Families were made by force, they would always escape to avoid the military service (Note 2). So from the early years, this system began to lead the situation that the quantity of accrual soldiers was less than the quantity of the Army Families. Year by year, the situation gets worth. At the year of 1569, after two hundred years after the Army Family System was founded, the quantity of the standing army all over the country was only 845,000, much less than the legal quantity as 3138,300 (Note 3). On the other hand, the soldiers from the Army Family was always lack of training, so when met the enemies in battles, they even defeated without fighting (Note 4).

Fourthly, the military supply system was in a similar situation with the Army Family System. The supply of the Army was from the local government instead of the state funding. As the local city was always divided into many different tax unites, the supply of a troop was always from many different places (Note 5). Since the tax unites was lacked of coordination and overall planning. The food and material supply of army was always in a poor situation. Some generals even blackmailed the local rich families for money and goods because of the poor supply from the local government. Otherwise, to ensure the army has a good fighting capability, some military goods as weapons and armors must be product in professional factories for a good quality. But the supply system means those special things were provided by the local governments, so their quality was usually not so good (Note 6).

Fifthly, there were also a lot of problems in the military official promoting system. Firstly, the standard of a good military leader was not his military strategy and experience; it was his courage and strength. Secondly, they mean ways to promote a military leader were military examination and heritage. Heritage was the most common way to produce a military leader. Another way is to take the military examination. But the examination tested only the Wushu and Confucianism texts (Note 7). As most of the generals of Ming were always very stupid (Note 8), the emperors and high class officials always believed that when the war breakouts, the generals need to be leaded and guided by the civil servants (Note 9).

## **2. The Tumu Crisis Caused by the Military System**

### *2.1 The History of Tumu Crisis*

In the year of 1449, the Oirats Tribe beat other Mongolia tribes and united Mongolia. The Oirats attacked Ming boundary on the pretext of the bad treated of its envoys in Ming. And Ming army lost the battle in Datong. The Imperial Government was shocked by the news and the Zhengtong Emperor decided to fight the Mongolia by himself with his half million soldiers. But the Imperial army also lost serious of battles in the boundary. The Imperial army was terrified by the Mongolia army and decided to retreat to Beijing. But because the Imperial Army changed the retreat plan for many times and wasted too much time, the Oirats army caught up the Ming army and put a Ming troop with 50 thousand soldiers to rout. In August 14th, the Zhengtong Emperor and the front troop reached Tumu Bao, a military fort located in the Great Wall and just 35 miles away from the Xuan City. Emperor decided not entering the Xuan City for waiting for the impedimenta in Tumu Bao. But at night the main force of the Oirats also arrived at Tumu Bao and surrounded the Ming army. To make things worse, the Oirats Army also occupied the river and cut off the water supply of Ming army. The soldiers of Ming felt thirsty and tired after a long time fighting. The next day, the Oirats negotiate with Ming for peace and the Ming army thought the war had stopped and began to move their camps to the river for water. But the Oirats troop suddenly appeared and attacked the moving Ming soldiers. The terrified Ming soldiers threw their weapons and armors and ran away. The Oirats chalked up a great victory and even captured the Zhengtong Emperor (Note 10).

### **Insert Figure 1 About Here**

### *2.2 The Analysis of the Tumu Crisis in the System Aspect*

#### *2.2.1 The Low Quality of the Military Personnel Caused by the Army Family System*

Most of the soldiers in the Tumu Crisis were from the Army Families. Beside the few soldiers from the Five Military Camp Beijing, most of them were just famers in the ordinary days. As lacking military training and experience, they

were even terrified when they passed a gorge although there was no enemy at all (Note 11) The soldiers were always in the fear and had no faith to defend their country. So when the Ming army was attacked by the Oirats in Tumu Bao, the soldiers threw all their amours and ran away without any resist. The Zhengtong Emperor said after the Crisis as: The generals were arrogant and the soldiers were lazy, they made me in the bad situation (Note 12). But the soldiers of Oirats were experienced and skillful as they had experienced a lot of battles. How could the amateur soldiers of Ming defend these professional military personnel?

### 2.2.2 The Supply System Worked very inefficiency

The poor food and material supply was an important reason for this crisis. Although it was mentioned very little in the history records, but we can still find some materials to understand it. For example, before they went the boundary, the Emperor gave every soldier some money and materials, but when every soldier received those things, the things got chaos (Note 13).

Secondly, when the Oirats Army attacked the Beijing City, the government even couldn't find enough food for the soldiers guarded Beijing. But as the capital, it should be enough food for long term use for some urgent times. Then the government had to transport the supply of food for soldiers from Hubei, Nanjing and Guangdong with were far away from Beijing. The reason for the government got the supply from such far places must be there were no enough stores in the whole north provinces. But as the front boundaries were all in the north parts, the government should have very amplitude store in north. So how could the country with such a poor supply and store satiation won this long-term war against Mongolia in the long boundary (Note 14).

So we can see the chaos and deficiency of the supply system was a very important reason of the losing of this war.

### 2.2.3 The War-weary Attitude Made a Negative Influence for Making Military Decision

Before the Tumu Crisis, besides few attack to Mongolia to attack some military inventions from North Yuan which wanted returning China again (Note 15) the government always kept a peaceful attitude to the Mongolia. Hongwu Emperor and Yongle Emperor always wanted to make a very friendly relationship between Ming and Mongolia because the government had no money to pay the war and the people were very tired after a long time of civil war (Note 16). Secondly, in the ruling years of Hongwu Emperor, he made his sons as Yan King, Nin King, and Su King lived in the boundary with their own armies to resist the Mongolia and protect the boundary (Note 17) But after the Jingnan campaign, the Yongle Emperor was afraid about the military power of these Kings in the boundary, so he immigrated all the Kings into inner China under his control. This decision weakened the military system in the boundary in a large scale. And in the Hongxi and Yuande time, because of the civil wars among Mongolia tribes, the boundary was peaceful in most of the time. So the government began to pay less attention to military. The Emperor during this time always treated the Mongolia inventions as robbers and only expelled them from China (Note 18). What's more, to save the military expenses, the Hongxi Emperor abounded a lot of land and forts which was far away from inner China and hard to live and supply (Note 19). But in the early years of Zhengtong Emperor's rule, the Oirats united the Mongolia tribes and began to invade China. The War-weary Attitude before made the situation very bad for Ming.

### 2.2.4 The military leaders promoted by a preposterous policy always had no abilities to lead the army

In the Tumu Crisis, the highest commander was Zhengtong Emperor who grown up in the palace in a peace time and never led any military actions before. He was totally a green hand in this crisis. Another leader was the emperor's minion, eunuch Wangzheng. He was a teacher in his early years when he was an ordinary people and after he became an eunuch, he became the head official of the Forbidden City because his good relationship with Zhengtong Emperor. He also had no experience about military affairs.

The quality of the military officials was also not good. Among many generals, only few persons as Zhang Fu (Note 20), Zhu Yong (Note 21), Wu Kezhong (Note 22) and Chen Huai (Note 23) had the experience of war, but they were all very old at this time. Most generals as Chen Ying (Note 24), Jin Yuanshun (Note 25) were in the army just because they heritage their jobs and statues from their fathers or brothers. Some of them even hadn't leaved the Beijing City before this action.

Some other officials as Cao Ding (Note 26), Kuang Ye (Note 27), Ding Xuan (Note 28) and Wang Zuo (Note 29) followed the army as the advisors also had no military experience. They were evaluated as officials from the Imperial Examination and totally blind before the military affairs.

So we can find that most of the leaders in this military action had no ideas and knowledge about military. The strong political inclination to the civil servants hold by the government made the country had very few good military leaders. The generals with no experience made a lot of mistakes about common sense during the war. For example, the army even had no clear pan before they went to the boundary for war. The emperor and his officials made decisions in the march only according to the news from the spies and they always changed their mind. It delayed their actions and gave the valuable chance to the enemy. Then, just after a little setback in attack, the whole generals become afraid and retreated. But in their way back, instead of entered the Xuan City, they chose to stay in a dangerous place, Tumu Bao, just for waiting their impedimenta. What's more, they put their champs in a place without water resource. And when the Oirats surrounded them, they had no ideas to fight. In the next day, they easily relaxed during the negotiation and moved their camps to the place near the water. Then the tragedy happened: the Oirats soldiers suddenly appeared in

front of the relaxed Ming soldiers, the soldiers of Ming began to run away and the soldiers of Oirats began to slaughter (Note 30). The strategies made by the generals had dug a grave for their troops.

### 3. Summary

All in all, the Tumu Crisis was not an incident; it was the result of the poor Military System of Ming. Although the Ming Dynasty had luckily escaped from this disaster, in the following 200 years, it would face similar crisis time by time, and would finally collapsed in the year of 1644 by the attacking both from the civil rebellion and alien invasion. One of the most important reasons for its death was this evil military system founded in the beginning of this Dynasty.

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### Notes

- Note 1. The History of Ming: (The Emperor Xuanzong said a general) the common people feels very tired about the pressures of war, so don't fight too much with the enemy, just expel them.  
 Note 2. The Annals of Taizhong Emperor. p2172.  
 Note 3. Fiscal Administration during the Ming Dynasty: by Ray Huang.  
 Note 4. Classical selection of Imperial Ming:Chapter205, p6.  
 Note 5. The Annals of Taizhong Emperor. page 2871, p2998.  
 Note 6. 1587, A Year of No Significance, page 156. by Ray Huang.  
 Note 7. The History of Ming. p2806.  
 Note 8. Imperial Ming Classical selection:Chapter350,p3.  
 Note 9. The Annals of Shenzhong Emperor: Chapter225.  
 Note 10. The History of Ming: chapter 32.  
 Note 11. The Annals of Yingzhong Emperor: p6093.  
 Note 12. The Annals of Yingzhong Emperor: p6093.  
 Note 13. The Annals of Yingzhong Emperor: p6080.  
 Note 14. The Annals of Yingzhong Emperor: p6185- 6193.  
 Note 15. The History of Ming.  
 Note 16. The History of Ming.  
 Note 17. The History of Ming.  
 Note 18. The History of Ming.  
 Note 19. The History of Ming.  
 Note 20. The Annals of Yingzhong Emperor: p612.  
 Note 21. The Annals of Yingzhong Emperor: p6120.  
 Note 22. The Annals of Yingzhong Emperor: p 6125.  
 Note 23. The Annals of Yingzhong Emperor: p6125.  
 Note 24. The Annals of Yingzhong Emperor: p6125.  
 Note 25. The Annals of Yingzhong Emperor: p6125.  
 Note 26. The Annals of Yingzhong Emperor: p6127.  
 Note 27. The Annals of Yingzhong Emperor: p6127.



Appendix 2.

A Picture of a General of Ming Dynasty:



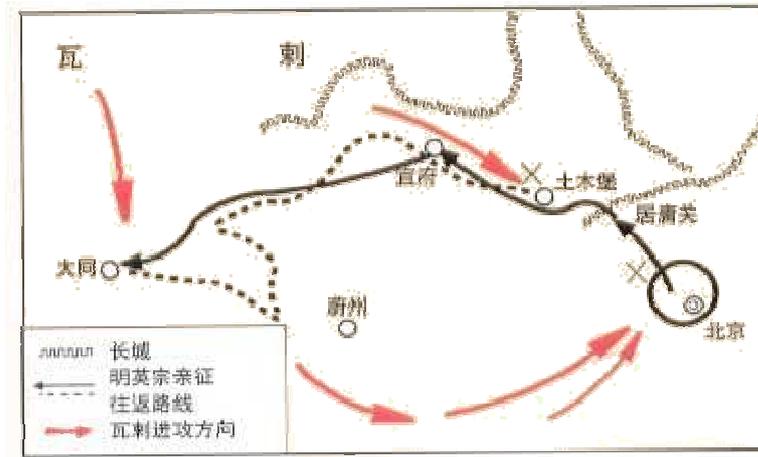


Figure 1. The map of Tumu Crisis



## The Press and Democracy in South Korea - A Survey of Print Journalists' Opinions -

Eun Suk SA

Department of Sociology and Social Policy

PGARC A20 John Woolley Building

The University of Sydney NSW 2006, Australia

E-mail: [suehojoo@hanmail.net](mailto:suehojoo@hanmail.net)

### Abstract

The media are highly involved in the development or limitation of democracy. In South Korea (hereafter Korea) the history of the media companies has been about allying themselves with political power through partnerships under authoritarian rule. Some of these companies are still strong and influential groups as cultural producers in Korean society. Press freedom without social responsibility by major conservative newspapers has led to a conflicted society and a threat to grassroots democracy in Korea today. This paper explores journalists' responses to four main issues regarding the press environment and democracy in Korea. There are some differences in ideas about the press environment and democracy between actual practice and the journalists' perspectives. These differences may come from the lack of media practitioners' views regarding ethics of journalism, discrepancies in Korean democracy such as the strong influence of clientelism, the limitation of traditional media as a mechanism of two-way communication, and the idealistic thinking of journalists.

**Keywords:** Press freedom, Democracy, Cultural producers, Media roles, Clientelism, Media credibility, Partisanship, Rights to press freedom

### Introduction

Justice and ethics are often overlooked and the truth can easily be distorted if the media collude with political power groups and big business. Herman and Chomsky (1988) argue, "The democratic postulate is that the media are independent and committed to discovering and reporting the truth and that they do not merely reflect the world as powerful groups wish it to be perceived." In this conception the ideal purpose of the media should be to encourage equal opportunity and a harmonious democratic society. However, some Korean media capitalists have aggravated differences and conflict and not only have let powerful people dominate the socially weaker but also have forced the weaker people to be dominated (Kim, S-S. 2005). Moreover, some media, especially privately owned media, have played political power makers for their own benefit rather than develop Korean grassroots democracy. The 2007 presidential election was no exception. The major conservative newspapers colluded with the conservative political group and big business and criticized the previous government in one voice, as a result Myung-Bak Lee became the president of Korea. These three groups tend to form a 'power bloc' in Gramsci's term. The process of discussing media roles and press environment in Korean grassroots democracy may help stimulate and improve media practitioners' responsibility to the Korean society.

According to sociologist Pierre Bourdieu (1993), cultural producers dominate economically and symbolically in a society. Korean culture has been based on long colonial and authoritarian rule, which have led to a "habitus" of clientelism. This has been a powerful factor shaping media culture. Dominant "cultural producers" have been based on pro-Japanese colonial rule and have supported dictatorial rule. Interestingly, this phenomenon can be experienced even after colonialism and authoritarian rule formally disappeared. The dominant cultural producers have also controlled information and culture, and dominated the economic and cultural base in Korean society. Korean society is an unbalanced democracy because there is more trust in clientelism than in public systems. Dennis Hart (2001) argues, "The supporters and planners of Korea's capitalist industrialization versus the average Korean person, the conflict has been decidedly uneven." Externally, Korea has adopted Western democracy but the society has been controlled by

clientelism. Korean clientelism is based on region, education and blood ties, which are also core factors in social conflict. Many politicians use social conflicts especially regional conflict. Media academic Seung-Soo Kim (2005) writes, like a dormant volcano this classical conflict can explode anytime.

The history of the Korean media companies has been about allying themselves with political power through partnerships under authoritarian rule. This is one of the reasons why dictators or conservative groups in Korea could maintain power over such a long period, for more than several decades including Japanese colonial era. Authoritarian rule did not allow for diverse editorial opinion in the media (Sa, 2009b). It gave existing media companies an oligopoly in the media market. As a result of their collusion the media companies have gained more social power (Park, Kim & Sohn, 2000). These conservative elements have more power than liberal elements in many areas of Korea because of long authoritarian rule. However, their cartel was threatened for a while during the liberal rule of the two presidents Dae-Jung Kim and Moo-Hyun Roh.

This paper will explore how the media influence society and democracy in Korea. It will set out the findings on journalists' perception of the press environment in Korean society and show the differences between their perception and practice. It discusses four issues: the important roles of the media; the importance of press freedom; factors determining subscriptions to particular newspapers; and lastly, rights to press freedom.

## Methods

The key empirical data comprises the survey data collected from practicing print media exponents, current news from online services, and my own experiences at provincial and specialist media outlets for several years in Korea. The survey focused on Korean news journalists working in print media and not those who worked in electronic media, such as broadcasting and online news. Therefore, the result can be seen to be representative of the national newspaper environment. The survey was based on an in-depth structured survey and made up of a mix of closed and open-ended questions. The survey used both qualitative and quantitative methods, and took about three and half months from 3rd October 2006 to 20th January 2007.

The survey questionnaires based on the Korea Press Foundation survey method (Oh, 2005), are designed to glean editors, journalists and sub-editors' opinions on press freedom within contemporary circumstances. The study involves print journalists answering a set of questions through an email survey. Eighty four journalists from thirty eight different companies in Seoul, and also from provincial newspapers, completed the survey questionnaires and returned them to the researcher. The number of respondents based in Seoul (48 journalists) is higher than the provincial journalists (36 journalists). However, the number of provincial companies (20 newspapers) is slightly higher than Seoul based companies (18 newspapers).

### 1. The important roles of the media

In the survey journalists were asked "What is the most important role of the media in a democratic society? Please select three of the following in order of preference." Many journalists selected as their first choice that the most important roles of the media in a democratic society are 'the people's right to know,' 'as a watchdog of power and for the protection of the socially weaker,' and 'for the public good.' These responses show that journalists link the media role with democracy (see Table 1).

#### 1.1 First preference results

About forty percent of the journalists selected 'for the public good' as the most important role of the media (see Table 2). In each of the ten categories, journalists were asked to provide information on gender, job type etc. There are some differences in the percentage ratios of the respondents in terms of their status and education. Firstly, when comparing the responses to the sections of news in which journalists worked, a higher percentage of the journalists, who work in the sub-editorial and the political sections selected 'for the public good.' However, as there was a higher percentage of the journalists who responded to the survey in the general reporting section, this indicates that the journalists in the sub-editorial and the political sections were more strongly inclined to select 'for the public good' than were the journalists in the general reporting section. Next, it appeared that the same percentage of journalists with qualifications between a 4 year Bachelor degree and a Masters degree selected 'for the public good.' However, there was a much higher percentage of journalists with a 4 year Bachelor degree who responded to the survey, suggesting that the journalists with a Masters degree were more strongly inclined to select 'for the public good' than were the journalists with a Bachelors degree.

#### 1.2 Second and third preference results

Journalists' second choice was that the most important role of the media in a democratic society was 'for the people's right to know,' next was 'as a watchdog of power and for the protection of the socially weaker,' and then 'for the public good.' As the journalists' third preference, about thirty one percent of the journalists chose 'as a watchdog of power and

for the protection of the socially weaker.’ This figure was almost double the percentage of the next choice, ‘for the people’s right to know.’ Some journalists selected ‘for the public good.’

### 1.3 Others

Interestingly about twenty percent of the respondents chose a fourth preference (even though I did not ask for a fourth preference). They selected ‘for the public good’ and ‘for balance between social stability and change’ (each 4.8%), ‘as a watchdog of power and for the protection of the socially weaker’ (3.6%), and ‘for the nation’s good’ (2.4%). The lowest percentages chose ‘for the discovery of truth,’ ‘for readers or viewers,’ ‘for a mass-education,’ and ‘for individual self-fulfilment’ (each 1.2%) as their fourth preference. One journalist made his own list about the most important role of the media in a democratic society as follows: “check and watchdog power” as his first preference, “information delivery and for the people’s right to know” as his second preference, and “harmony and cooperation of people and solution of trouble” as his third preference.

### 1.4 Clientalism and the role of the media as a president maker

Despite the survey result, it is argued here that there are some gaps between the journalists’ choice about the most important role of the media in a democratic society and actual media practice in Korea. For example, some media exist to foster their own power interest rather than ‘for the people’s right to know,’ or ‘as a watchdog of power and for the protection of the socially weaker’ or ‘for the public good.’ Yet, these were the options most commonly selected by the majority of the journalists as the most important role of the media.

Korean culture has been based on long colonial and authoritarian rules, which have led to a “habitus” of clientelism. This has been a powerful factor shaping media culture. Dominant “cultural producers” have been based on pro-Japanese colonial rule and have supported dictatorial rule. They have also controlled information and culture, and dominated the economic and cultural base in Korean society. Korean society is an unbalanced democracy because there is more trust in clientelism than in public systems (Rhee & Choi, 2005). Korean clientelism informally and significantly influences the Korean society. Park, Kim and Sohn explain clientelism:

In the background to this relationship is the regional antagonism, which has been a major source of social conflict and a central characteristic of the power structure in Korea. In Korean society, blood ties have long been regarded as of great importance. This informal relationship has been expanded to the relations based on the same educational or regional backgrounds. The phenomenon might be related to the long authoritarian rule in Korea. People often lose mutual confidence in each other when they live through long periods of authoritarian rule. Informal networks might have been formed as a way to compensate for the insecurity. Private ties also make up for the limits official social relations have. Regionalism, in particular, was openly promoted during the presidential election campaign of 1971 and has since then been a major factor in defining political practices (Park, Kim & Sohn, 2000).

The strong influence of clientelism can probably cause Western democratic systems, principles or theories to not properly work, affecting the development of grassroots democracy in Korea. It also is perhaps a core reason for the corruption in Korean society. The media are no exception. Clientelism has extended its power to media companies in Korea (Park, Kim & Sohn, 2000). The media has connections to political power through journalists becoming politicians or bureaucrats, which has a great impact during presidential and parliamentary elections (Park, Kim & Sohn, 2000). The 2007 presidential election in Korea was no exception.

Though such practices are not only Korean, because John F. Kennedy for example appointed his own brother and friends to his cabinet, Korea has been quite distinctive in its implementation of such practices. One good example of clientelism based on education, church and region is the current Myung-Bak Lee government inaugurated in February 2008. It is called by a new Korean language term ‘KoSoYoung’ administration. ‘KoSoYoung’ means administrators based in **K**orea University, **S**omang protestant church and **Y**oungnam region, and refers to the personal background of President Myung-Bak Lee. The Youngnam region is the south-eastern North and South Kyongsang Provinces, which is the hometown of President Myung-Bak Lee. Since 1961 all dictators in Korea have been based in this area. Furthermore, many administrators have been based in Youngnam region beginning with the dictator Chung-Hee Park and lasting until the liberal leader Dae-Jung Kim took office in 1998.

According to Hallin and Mancini (2004), “Ties between journalists and political actors are close, the state intervenes actively in the media sector, and newspapers emphasize sophisticated commentary directed at a readership of political activists.” Also, De Burgh points out the role of the media in a democratic society, especially one that has recently become free from external political pressures:

All sides have struggled to understand the roles and the potential of the media in democratic society. In countries where journalists are free from external political pressures for the first time, they have run into internal constraints, when media proprietors are still reluctant to exert independence after so many years of being muzzled (De Burgh, 2005).

Their views are demonstrated in Korea. Some media companies often struggle with their roles and continue to function as they did under the dictators. Baker (2007) argues, "Media partisanship combined with media concentration can lead to authoritarian results." In Korea, according to Rhee and Choi (2005), the crisis in Korean newspapers cannot be overcome, if partial reporting is not stopped. As a result of their partisanship the newspapers have diminished credibility and decreasing readership (Rhee & Choi, 2005). Since 1992 some Korean media especially privately owned media often function as president makers extending their power to the next administration (Kang, 26/11/2004). Many journalists have admitted this. The 2007 presidential election in Korea was no exception. Bourdieu argues,

The cultural producers are able to use the power conferred on them, especially in periods of crisis, by their capacity to put forward a critical definition of the social world, to mobilize the potential strength of the dominated classes and subvert the order prevailing in the field of power (Bourdieu, 1993).

Bourdieu's view is confirmed in Korea when Myung-Bak Lee one of candidates during the presidential election in 2007 suffered a financial scandal, 'BBK.' Major conservative newspapers distorted the truth, and during the election denied the relation between the BBK and Myung-Bak Lee. One old conservative right wing publisher Kab-Jae Cho (Naver, 10/04/2008) argued, "During the presidential election, major conservative newspapers supported Myung-Bak Lee with one voice and they did not properly report the truth. They distorted and covered up the fact that Myung-Bak Lee was associated with the BBK." Moreover, Cho strongly criticized journalists who had worked in the major conservative newspapers by saying, "The journalists who supported Myung-Bak Lee were a co-criminal group against the Korean people and also they made wrong choices as journalists." Cho said journalists who had not reported the truth, are not good enough to be journalists and these kind of ethically "dead" journalists cannot help develop grassroots Korean democracy (Naver, 10/04/2008).

The Citizen's Coalition for Democratic Media (CCDM), a group media social movement monitored the news at six daily newspapers (*Kyunghyang, Dong-A, Seoul, Chosun, JoongAng* and *Hankyoreh*) from June 11 to September 30 2007. It found that *Chosun, JoongAng* and *Dong-A* (ChoJoongDong) did not report critically as watchdogs but protected Myung-Bak Lee from the BBK scandal (*Ohmynews*, 28/12/2007). After the election the CCDM held a discussion, titled "The media review of the presidential election in 2007." According to the discussion, many media reported for one side. One academic panellist Kyoung-Jae Song commented many Korean media did not present a balanced view because they are involved in too many complex relationships from which they stood to benefit. As a result bad reporting is increasing (*Ohmynews*, 28/12/2007). Most Korean newspapers are privately owned by family groups or complex business groups, which control the media indirectly and directly (Kim, S-S. 2002). These newspapers tend not take on the social responsibilities such as impartiality or the role of public service but seek profits for the interest of their media companies.

A former-ambassador, Jang-Choon Lee, criticized conservative newspapers in an interview for the online news service the *Pressian*: "Regarding the reporting of the BBK and Myung-Bak Lee's 'scandal,' the ChoJoongDong were terrible newspapers" (*Pressian*, 07/12/2007). Furthermore, one former parliamentary law maker Chul-Yong Lee argued in an interview at the daily *Hankyoreh*: "The presidential election in 2007 was won by ChoJoongDong rather than by Myung-Bak Lee" (*Hankyoreh*, 14/04/2008).

Why did ChoJoongDong support Myung-Bak Lee? These major conservative newspapers in Korea seek benefits by cooperating with big capitalists and the conservative political party (Kim, S-S. 2005). These three groups have tried to keep their power and their property permanently. Attempts to minimize this power through change, has led to a backlash and the three groups have promoted theories against such attempts and influenced the people to give up these attempts (Kim, S-S. 2005). There are many apologists for these three groups. The Moo-Hyun Roh government tried to re-distribute traditional power by moving the capital city (*Ohmynews*, 01/11/2004), raising the real estate tax (Sa, 2007), reforming the law of private institutes, and reforming the law of the media. These were main issues under the Roh government, however, they were not implemented because the three groups strongly resisted such reforms.

As seen above, major conservative newspapers in Korea do not play roles 'for the people's right to know,' 'as a watchdog of power and for the protection of the socially weaker' and 'for the public good,' even though they were selected by the majority of the journalists as the most important role of the media in a democratic society. They engage in political power games rather than serving to develop Korean grassroots democracy. Since 2008 political power has returned to the conservative group, according to Sa (2009b), the Korean grassroots democracy and press freedom that developed during the liberal rule Kim and Roh have been threatened by the dictatorial style of leading groups such as the president, the Grand National Party and major conservative newspapers. These leading groups do not look out for the majority of Korean people and socially weaker groups but look out for the small percentage of dominant groups (ongoing).

## 2. The importance of press freedom

When asked why press freedom was important the majority of the journalists nominated 'for the people's right to know,' 'as a watchdog of power and for the protection of the socially weaker,' and 'for the public good' (see Table 3).

### 2.1 First preference results

About twenty nine percent of the journalists selected 'for the people's right to know' as the most important reason for press freedom (see Table 4). In each of ten categories, journalists were asked to provide information on gender, job type etc. There are some differences in the percentage ratios of these respondents in terms of their status and education. Firstly, regarding their position in the company, a higher percentage of deputy editor or equivalent, and editor or equivalent selected 'for the people's right to know.' However, a greater percentage of reporters responded to the survey. This indicates that the deputy editors and editors were more strongly inclined to select 'for the people's right to know' than were the reporters. Secondly, comparing journalists' length of service, a higher percentage of the journalists with 25-29 years service selected 'for the people's right to know.' However, a higher percentage of journalists who had shorter service records (20-24 years) responded to the survey, indicating that journalists with longer service records (25-29 years) had a stronger inclination towards 'for the people's right to know' than journalists with shorter service. Lastly, journalists who studied Politics/Administration and Planning, or Economics/Business as the major in their highest degree at university, showed the same propensity to choose this option. However, those who studied Economics/Business responded in lower numbers. This indicates that Economics/Business journalists more strongly affirmed 'the people's right to know' than the journalists who studied Politics/Administration and Planning.

### 2.2 Second and third preference results

About thirty seven percent of the journalists selected that the most important reason for press freedom in a democratic society was 'for the people's right to know' as their second preference. This figure was the highest percentage, next followed 'as a watchdog of power and for the protection of the socially weaker.' A number of journalists chose 'for the public good.' As a third preference, some journalists chose 'for the public good' and 'for balance between social stability and change.' Smaller percentages selected 'as a watchdog of power and for the protection of the socially weaker,' 'for the people's right to know' and 'for participation in democratic decision-making.'

### 2.3 Others

About eighteen percent of the participants gave a fourth preference (even though I did not ask) for the importance of press freedom. Several journalists chose 'as a watchdog of power and for the protection of the socially weaker' (6%), 'for the public good' and 'for the discovery of truth' (each 3.6%). Small percentages chose 'for the nation's good,' 'for readers or viewers,' 'for participation in democratic decision-making,' and 'for balance between social stability and change' (each 1.2%).

### 2.4 Free press without social responsibility as a threat to democracy

These findings were the same as the journalists' selections for the important roles of the media in a democratic society. Again in practice some gaps exist between the journalists' survey choices and the actual practices of the media. Some major conservative newspapers abuse freedom of the press for their own benefit rather than protecting it for the reasons many journalists selected. Some media capitalists in Korea have used freedom of the press or the people's right to know in order to protect and enlarge their property (Kim, S-S. 2005). Many journalists have said that the media have not stood up for or given a voice to the socially weaker groups in Korea.

According to De Burgh (2005), often journalists and the media are not ready to use freedom of the press in a democratic society, especially if they have just become free from external political pressures. De Burgh writes, "Journalists are frequently unprepared to use the freedom and commit abuses in their eagerness to denounce malfeasance, sometimes without proper evidence or attention to ethical considerations." Regarding media power in Australia, Julianne Schultz (1998) states an increasingly powerful media industry means that the relation between governments (or equivalents) and the media was becoming too close. In 1993 and 1994, major inquiries by the Commonwealth and Queensland parliaments in Australia found that "close and unaccountable relationships between the executive and the news media could lead to abuses of power and influence, to the cost of the entire community" (Schultz, 1998). This situation developed in the Korean media industry under the authoritarian rule and still exists especially among major conservative newspapers. Y-H. Im (2005) argues freedom of the press will be guaranteed when the media exert self-control and accept their public responsibility. The close relationship ('Kwonunyoochak' in Korean) between the media and political power, illegal activity and corruption was protected under the military regimes (Kim, Y-H. 2004). Some instances of this close relationship still exist especially between the current Lee government and major conservative newspaper companies. However, Y-H. Kim (2004) argues, to eradicate 'Kwonunyoochak' might be impossible because political power groups want propaganda from the media and the media need the protection of political power for their interests. These two elements agree to put up with each other (Kim, O-J. 2004). Therefore, as

discussed before the media play the role of political power makers during the elections especially the presidential election in Korea (Kim, Y-H. 2004).

Park, Kim and Sohn (2000) argue, "Ironically, the Korean media has gained more social power thanks to media control by authoritarian political powers and instability related to the division of South and North Korea." Authoritarian rule did not allow a diverse editorial policy within the media and it produced a media oligopoly. However, this cartel was threatened for a while during the liberal rule from 1998 to 2007. Since democratization in 1987 and the change of hegemony in society, the Korean media have gained great social power and they have tried to use it in the political arena (Kang, 26/11/2004). Professor Myung-Koo Kang argues the Korean media have focused on gaining political influence rather than developing grassroots democracy.

Under liberal rule from 1998 to 2007 (Dae-Jung Kim and Moo-Hyun Roh), there were significant tensions between the political ruling parties and major conservative newspapers. For example, the Dae-Jung Kim government undertook the biggest ever tax investigation of the media companies (Kang, 26/11/2004). Furthermore, the Moo-Hyun Roh government tried to re-distribute media power and encourage media diversity. Also, the Roh government opened pressrooms to more Korean journalists (It needs to be noted that they have now returned to their pre-Roh state). Online news such as portal site is becoming more influential in Korean society. This kind of media policy meant that the major newspaper owners felt their power and property were threatened (Kang, 26/11/2004). As a result major conservative newspapers abused freedom of the press to protect their own power or property. They cooperated with the conservative political party and conglomerates by continually criticizing the liberal presidents (Kim and Roh) and governments (Kang, 26/11/2004). This kind of media behaviour peaked during the Roh government. A former journalist and professor Young-Hui Rhee calls these kind of media 'hyena' newspapers:

Big newspapers easily change their role depending on the political power in Korea. They become weak, if the government rules with strong military control. However, they easily become strong, if the government rules without military control, and continually criticize. Furthermore, these changes can happen under the same government. For example, if the government power is strong, the newspapers support it like lapdogs. However, if the government becomes weak, the newspapers change and overstep their role as watchdogs (Rhee, 1999).

According to one survey conducted in April 2003, seventy percent of the journalists answered that criticism about Roh government was not criticism by the media as watchdogs but for the purpose of finding fault with the Roh government (Lee, 07/11/2003). In another survey by the Journalists Association of Korea in August 2003 again seventy percent of the journalists said some media irrationally criticized the Roh government (Lee, 07/11/2003). One professor Hee-Yeon Cho stated, in an interview with *Ohmynews* (online news) after the presidential election in December 2007, that the two main reasons for the failure of Roh government were firstly, the conservative groups including major dailies, especially ChoJoongDong, manufactured a negative image of the Roh government (*Ohmynews*, 20/12/2007). For example, they created an image of the Roh government as presiding over a 'Lost Decade' (including Dae-Jung Kim government) marked by economic and other failures. However, according to political science Professor Sung-Ho Kim (2008), during the Roh government, the Korean economy was not as bad as voters were led to believe during the 2007 presidential election. Kim argues:

The average growth rate of 4.3 percent and unemployment rate of 3.6 percent were more than respectable figures for an economy of Korea's size and maturity. For another, it is unfair to blame the North Korean nuclear mayhem squarely on the Roh government, especially given Pyongyang's reckless brinkmanship and the inconsistency of Washington's reaction to it. On the contrary, the hitherto rewarding six-party framework, currently in place to cope with North Korea, should be credited in large measure to the Roh government's initiative and perseverance (Kim, S-H. 2008).

The second reason given by Cho for the failure of Roh government was that its own policy failed (*Ohmynews*, 20/12/2007). For example, the Roh government went against public opinion in sending troops to Iraq and Free Trade Agreement (FTA) with America in April 2007, though it has to be ratified by two countries respective legislatures (Freedom House, 2008). Cho argues the leadership of the Roh government was struggling against this image until the presidential election in December 2007. However, ChoJoongDong made the 2007 election not about voting for a new president but voting for the review of Roh government (*Ohmynews*, 20/12/2007). The role of ChoJoongDong was one of reasons that Myung-Bak Lee won the election by the largest margin ever (Kim, S-H. 2008). One of the media policies of Myung-Bak Lee is to allow cross ownership for newspaper owners. However, cross ownership can limit diversity of the media because the same news or messages can be delivered only in a different format.

Regarding freedom of the press, the current Lee government oppresses the electronic media, such as broadcasting and Internet (Sa, 2009b). Electronic media journalists face harsh treatment including the wanton arrest of television journalists and producers; and the detention of Internet blogger during investigation. Also, the directors of media related organizations and broadcasting companies such as YTN and KBS have been replaced forcefully with Myung-Bak Lee's sympathizers (Sa, 2009b). Moreover, the president, the government and the Grand National Party are trying to privatize

the existing public broadcasting companies. The Grand National Party is trying to pass seven media-related bills that include allowing newspapers and big business to buy major stakes in terrestrial broadcasting stations. These issues are ongoing.

### 3. Factors determining subscriptions to particular newspapers

Journalists were asked why they thought people subscribed to particular newspapers. The majority of the journalists believed 'the credibility of the newspaper,' 'the editorial stance of the newspaper,' 'providing gifts from the newspaper companies,' and 'the size of the newspaper company' were the main reasons (see Table 5).

#### 3.1 The most popular choice of the journalists

About forty percent of the respondents selected 'the credibility of the newspaper' as the largest factor determining subscription to particular newspapers (see Table 6). However, among journalists' positions, working locations and length of services, there were some interesting differences in the percentage ratios. Firstly, a higher percentage of deputy editors or equivalent selected 'the credibility of the newspaper.' However, a higher proportion of reporters responded to the survey. This indicates that the deputy editors were more strongly inclined to select 'the credibility of the newspaper' than were the reporters. Secondly, with regard to journalists working locations, double the percentage of Seoul journalists selected 'the credibility of the newspaper' than the provincial journalists. Though double the number of participants selected this answer, the ratio of the location of respondents to the survey was not as significant a margin. This means that provincial journalists were not so convinced this was a determining factor as Seoul journalists. Thirdly, longer service journalists (over 25 years) more strongly believed in 'the credibility of the newspaper' as a factor than shorter service journalists (0-4 years). All the respondents with longer service chose 'the credibility of the newspaper' but less than half of the respondents with shorter service selected it.

#### 3.2 Others

A small percentage of the respondents gave multiple answers (Two participants gave two answers each, so I grouped them as 'no answer'). One chose 'the credibility of the newspaper,' and 'the newspaper was provided free for few months, including some gift' (No.25). Another chose 'size of the newspaper company,' and 'the editorial stance of the newspaper' (No.65). Moreover, one journalist commented, the people chose particular newspapers because of 'flamboyant editing, amount of information, and practice and structure of distribution' (No.43).

#### 3.3 Unfair trade in the newspaper industry

The largest percentage of the journalists selected that the determining factor for the readers to subscribe to particular newspapers was 'the credibility of the newspaper.' The result is interesting because it shows a difference in attitude between journalists and readers about reasons for subscribing to a paper. A 2008 survey, that included electronic (E) and print (P) media, asked respondents to rate Korean media in terms of credibility, likelihood of subscribing and influence. The results showed that the participants chose the daily *Hankyoreh* (P) as the most credible media; the *Chosun Ilbo* (P) as the most popular subscription; and the *Korean Broadcasting System* (E) as the most influential media (*Sisajournal*, 20/08/2008).

This section analyses the option 'the newspaper provided free for few months, including some gift,' which was one of major selections by the journalists, as this has been a serious problem in the newspaper market in Korea. An unresponsive market or market fragmentation are limiting factors for press freedom (LaMay, 2007). Hallin and Mancini (2004) argue, "Where the market is particularly dominant, commercial media are likely to prevail over media tied to political and social organizations." The Korean newspaper industry ostensibly has adopted the model of market liberalism but many newspapers in practice have existed with a non-market base (Im, 2002). The existing newspapers enjoyed oligopoly status under authoritarian rule. This situation did not allow for diverse editorial policy in the media. As a result the media have been strongly linked to government ideas. Major newspapers have been especially powerful because of the oligopoly newspaper market and home-delivery subscription (Park, Kim & Sohn, 2000). Also, provincial newspapers are based on local power groups or personally related to them (Im, 2002).

However, since 1988 the power of this cartel has decreased and a competitive era based on increasing the number of pages published started among newspapers (Park, Kim & Sohn, 2000). Furthermore, major conservative newspapers came under threat as people's belief in the credibility of newspapers decreased as online media developed as an influential media form in Korean society (Lee, 07/11/2003). Since the International Monetary Fund (IMF) intervention Asian economic crisis in 1997, the newspaper market in Korea has had serious problems with unfair competition (Lee, 07/11/2003). According to Myung-Koo Kang (2004), about half of the newspapers are distributed for free in order to try and dominate the market. The increased competition that emerged under the civilian governments failed to produce a diversification in editorial policy. It just increased the competition in seeking advertising revenue (Park, Kim & Sohn, 2000). The newspapers focused too much on quantity issues -such as number of pages- rather than quality issues (Im, 2005). Park, Kim and Sohn (2000) argue, "Media companies started to pay more attention to gaining profits. The competition accordingly showed many aspects of unfair rivalry. Newspaper companies often delivered papers to people

free of charge to increase their circulation.” The Moo-Hyun Roh government tried to improve fair trade and fair competition in the newspaper industry by reforming the related law.

D. Hart argues that the market theory is good for the rich (*Ohmynews*, 11/03/2008). In Korea, the oligopoly newspaper market possibly exists because of the expense of providing the free newspapers and gifts (Kim, S-S. 2002). As a result of spending large amounts of money on low cost or free home-delivery subscription and gifts, the newspaper companies depended heavily on advertising revenue. Therefore, advertisers have become a core influential factor in the media (Sa, 2009a). The oligopoly character of the Korean existing power groups was briefly threatened during the rule of President Kim and Roh. This was one of the reasons conservative groups in the media, the conservative political party and conglomerates cooperated as one voice against the two governments because they wanted to keep their power and private property permanently. Why do the newspapers have powerful influence in Korean society? Park, Kim and Sohn explain the power of newspapers to lead public opinion based on the media system of newspaper industry as follows:

First, the proportion of home-delivery subscription was, and still is, overwhelmingly higher than that of newsstand sales. ... But not many Koreans subscribed to more than two dailies. Another feature of the Korean newspaper market was that national papers published in Seoul dominate the entire national market. ... This oligopolistic feature guaranteed the established papers secure advertising revenue but made it difficult for newcomers to enter the market (Park, Kim & Sohn, 2000).

Engaging in restrictive practices like the oligopoly means the market can be more easily distorted. Myung-Koo Kang (2004) criticizes both the newspapers and the state for this problem. According to Kang, the major conservative newspapers have unfairly competed in order to dominate the newspaper market for a long time. However, under the liberal governments these major conservative newspapers sued the Korean government in an International organization saying that they were being pressured by the government (Kang, 2004). The liberal governments also failed to control unfair competition in the newspaper market over ten years. As a result the public space of the media in Korea has been threatened.

Under the current conservative Lee government these tactics are still being used. Haeng-Rang Hoh (2002) argues, “Credibility is necessary for media development. A lack of credibility cannot be off set by gifts or free newspapers, which are only temporary methods.” Therefore, Myung-Koo Kang (2004) strongly argues, “The state must apply the current media law strictly to illegal activities of the ChoJoongDong, which are the major dominant newspapers and main distorters in the newspaper market.” Also, Yung-Ho Im (2005) argues, the media law in the market must be applied because any policy will be ineffective without ethical competition. However, Kang and Im’s arguments are almost impossible under the current Lee government. Since 2008 conservative political groups in Korea have regained power after ten years of liberal governments. The conservative political groups have cooperated with ChoJoongDong newspapers.

The system of the Audit Bureau of Circulations (ABC) was adopted to contribute to the development of scientific and rational advertising and media management through the following activities:

Firstly, audit the data about the circulation, distribution, audience and the other matters related to media plans for advertising media such as newspapers, magazines, and electronic media including interactive media by standard procedures; and next conduct research and surveys on the matters of common interest in the advertising and media industry (Korea Audit Bureau of Circulations).

In practice, the ABC system does not properly work (*Yonhapnews*, 07/11/2008). The attempts of the Roh government and citizen groups have not worked properly. The newspaper industry is still distorting the market. The CCDM (01/05/2008) monitored forty newspaper home-delivery offices, which belong to the four dailies: *Hankyoreh*, *Chosun*, *JoongAng*, and *Dong-A*, on the 29<sup>th</sup> and 30<sup>th</sup> April 2008. It found that many home-delivery offices of the ChoJoongDong newspapers provided with gifts and free papers for over four months. Moreover, three of the home-delivery offices also gave subscribers about \$AUD60 cash and free papers for a few months (CCDM, 01/05/2008). One branch office at *JoongAng Ilbo* provided to subscribers the equivalent of about \$AUD200 (CCDM, 01/05/2008). This amount is almost the same as one year subscription fee. This behaviour, which is against media administration orders, is seen in many places in Korea (Journalists Association of Korea, 23/04/2008a). Furthermore, ChoJoongDong and their home-delivery offices have been fined about two billion dollars from 2004 to 2007 because they have breached the newspaper law (Journalists Association of Korea, 23/04/2008b). The serious problem from their perspective is not to stop their illegal behaviour but to try to abolish the related law under the current Lee government (CCDM, 01/05/2008).

#### 4. Rights to press freedom

When answering the question who should have the right of press freedom, the majority of the journalists first chose ‘general public’ and also their second choice was ‘readers or viewers,’ then thirdly they chose ‘journalists’ (see Table 7). There were eleven options to given to the journalists but in my analysis, I have grouped these eleven options into six

groups: **the state**, which includes nation, government and politicians; **the media** made up of media owners, media managers, media editors or a group of editors; **journalists**; **citizens**, which includes civil organizations, readers or viewers, and general public; **advertisers**; and **interest groups**.

#### 4.1 First preference results

Seventy five percent of the journalists answered that citizens should be the group to benefit most from press freedom (see Table 8). Some interesting differences occur in the percentage ratios of the respondents. Firstly, the same percentage of deputy editors or equivalent, and reporters selected citizens. However, as there were a higher percentage of reporters who responded to the survey, this indicates that the deputy editors were more strongly inclined to select citizens than were the reporters. Secondly, compared to journalists working for Seoul based newspapers lower numbers of journalists, who work for provincial newspapers, answered the survey. However, a higher percentage of provincial journalists selected citizens than Seoul journalists, indicating the provincial journalists' stronger inclination towards citizens' press freedom rights. Lastly, between journalists, who studied Media and Communication or Politics/Administration and Planning as the major in their highest degree at university, those who studied Media and Communication responded in lower numbers, yet had a much higher percentage affirming that citizens have the right to press freedom. This may be a result of journalists learning more about media in the Media and Communication major than Politics/Administration and Planning major.

#### 4.2 Second and third preference results

Journalists chose as their second preference citizens as the group who should benefit most from press freedom as they did for their first preference. Some journalists selected journalists and the media as their second preference. The results for the choice of third preference are interesting. Journalists chose various players in press freedom as their third preference. The highest numbers of respondents chose journalists. Next, citizens were chosen by some journalists as third preference. Thirdly, some journalists selected as the group with the right to press freedom the media, the nation/government/politicians, advertisers, and interest groups. However, about five percent of the respondents did not give a third preference.

#### 4.3 The main players in press freedom are the media in practice

A basic right in a democratic society is that each member of society enjoys freedom through the free expression of their ideas or their thoughts. However, freedom for all members of the society is only a theoretical state in the current media system. There are three main players in the Korean media: the state, media organizations and citizens (Kim, K-T. 1998). Actually the key players in identifying press freedom are the media and citizens because the state holds power (Sartori, 1987). The meanings of press freedom differ for each of these groups.

This section by analysing the tension between the theory of a free press and its actual practice looks at the complex ways that freedom of the press has been perceived by the state, the media, and the general public in Korea. It also analyses the current state of rights to press freedom in Korea and explores the Korean journalists' perceptions of rights to press freedom. The results from the study undertaken for this research indicate that the Korean journalists in the print media believed that the group whose right to press freedom should be most carefully protected was the citizens in a democratic society. This is an interesting finding that shows a gap between media practice and the journalists' perspectives about rights to press freedom.

In Korea, the main group to assert a right to press freedom is the media, which include all members of media organizations or the media themselves (Lyu, 2004), including media companies, media owners, media managers, media editors and journalists. The traditional approach in examining press freedom has been to assess the relationship between the state and the media. More recent approaches, however, have included the citizens in the relationship but citizens are still not considered a key player in discussions about press freedom. As McQuail (2003) argues, "The main candidates for claiming the right to press freedom, aside from any individual author, are media owners plus outside sources and voices." McQuail's point is easily illustrated in the print media industry in Korea. For example, those who make claims for a right to press freedom are mainly the media rather than individuals. Daily newspapers such as the *Dong-A Ilbo*, the *Chosun Ilbo*, and the *Hwankyungkunsul Ilbo* claimed their rights of press freedom in the Constitutional Court in January 2006 (Constitutional Court, 2006). Under the Moo-Hyun Roh government two new media reform laws were passed in January 2005 and came into effect in July 2005. These are the *Law Governing the Guarantee of Freedom and Functions of Newspapers* (also known as the *Newspaper Law*), and the *Law Governing Press Arbitration and Damage Relief* (also known as the *Press Arbitration Law*). The Constitutional Court (2006) overturned parts of the newspaper laws in June 2006 but most of the new laws are in accordance with the *Constitution*.

The parliament passed the two media reform laws because citizen groups had urged the government and the media organizations to improve public accountability in the newspaper industry. They claimed that some newspaper companies have distorted the market and news stories. As mentioned in the previous section many major newspaper companies provide their newspapers free to subscribers for a few months with gifts such as gift certificates. Also, media

owners have abused their power by interfering with the editorial section and controlling journalists' position. So the citizen's groups had asked for fair trade and fair competition from the media companies. However, the media organizations ignored the citizens' claims. Media academic H-S. Chang (2004) says that the media companies in Korea have been entrusted by the people to produce truthful, fair and reliable news. They have had greater privileges than any other industry. However, the media owners have abused this privilege and for a long time have failed as trustees. Y-H Im (2002) points out that freedom of the press has been changed to freedom for big capitalists. So citizen groups and the Roh government tried to limit media ownership and protect the independence of editorials by reforming the law. Freedom House a US-based press freedom monitoring organization, described the Roh government laws:

*The Law Governing the Guarantee of Freedom and Functions of Newspapers* Etc. requires all newspapers, including those with internet sites, to register with the government and designates newspapers with a market share of more than 30 percent, or a combined total of 60 percent for three dailies, as "dominant market players." In the event that a dominant player engages in unfair trade practices, it may be subject to a cease-and-desist order or suffer financial penalties (Freedom House, 2006).

These laws are intended to encourage the diversity of the media and the autonomy of journalists. These also include clauses to enhance the rights of citizens. During the Roh government, citizen groups and the government tried to shift freedom of the press from the media owners to the citizens. However, the media owners and the opposition (the conservative Grand National Party, which now hold power) strongly resisted the laws. Furthermore, the *Dong-A Ilbo*, the *Chosun Ilbo*, and the *Hwankyungkunsul Ilbo* challenged their constitutionality through the court system in January 2006. They argued that they wanted freedom of the press from their point of view. They claimed that the press freedom of the media owners is based on their capital and their power.

Equating the freedom of media owners with freedom of the press has caused a distortion in concepts of press freedom in Korea. As suggested earlier the main players in developing or defining press freedom in Korea are the media but the point of view of the citizens should be considered. There are some differences in who is understood as needing press freedom in practice and from the journalists' perspectives. Korean journalists believe that citizens should be first to have the right of press freedom followed by journalists.

### **5. Why do gaps exist between journalists' perspectives and their practice?**

Despite the survey results, it is argued here that there are some gaps between media practice and the journalists' perspectives about four issues regarding the press and democracy in Korea. These gaps emerge around: what they understood as the most important roles of the media; the importance of press freedom; factors determining subscriptions to particular newspapers; and rights to press freedom. Why do these gaps between practice and the journalists' ideals exist? There are many reasons but key causes to explain the differences are identified below.

A main reason might be from the lack of media practitioners' views regarding ethics of journalism. According to media academic M-K. Kang (2004), the core value of journalists' ethics is to seek the truth and try to be independent from all pressures. A credible media needs good media owners and good journalists who correctly deliver the truth through ethical behaviour. Also, one more basic condition for a credible media is good political leaders, who can guarantee freedom of the press. The aim of ethical behavior of journalists is to achieve free and independent journalism. Then the media can play a watchdog role in a society. However, in Korea many media owners and journalists have ethical problems. H-S. Chang (2001) argues, many Korean media owners are lacking in ethical and professional credibility. According to Chang, if their behaviour in controlling media content is ethically compromised it can threaten not only individuals but also national development. Chang's point has been practiced in many cases in current Korea. Moreover, J-W. Kim (2004) points out many journalists' lack of awareness of media ethics in Korea. The survey underpinning my doctoral study (Note 1) demonstrated that many journalists lack awareness of media ethics in theory and practice. The survey of journalists was structured around three ethical issues: firstly, how frequently journalists follow the journalists' code of ethics; secondly, how frequently journalists receive gifts from news sources; thirdly, how frequently journalists accept job offers in government or political circles. In practice the journalists have been enticed by many things including bribes (envelope money or Chonji in Korean). Because of the long period of authoritarian rule many aspects of Korean society are based on corrupt cultures (Kim, O-J. 2004). LaMay (2007) points out 'unsupportive culture or lack of public support is a limiting factor for press freedom.' This point is confirmed in Korean media practice and is also the cause of this existing gap between practice and journalists' perspectives.

The second possible reason explaining the gap is the strong influence of clientelism. Ostensively, Korea is a Western democratic country but the society has been controlled by clientelism because of long colonial and authoritarian rules. As discussed earlier Korean clientelism is based on region, education and blood ties, which are also core factors in social conflict. As Park, Kim and Sohn (2000) point out the Korean media structure was adopted from Western models and theories but journalistic practice and content are far from Western rationalism. Therefore, the Western theories and models do not work properly in the Korean media industry. Clientelistic networking exists inside and outside media organizations. Authoritarian style and conservative ideologies are still a strong controller in Korean society and the media. The media, both officially and unofficially, have been controlled by the state. Informal mechanisms such as clientelism have had a stronger influence through collusive relations between the state power and the media (Park, Kim

& Sohn, 2000). The gaps between practice and journalists' perspectives reflect these discrepancies in Korean democracy.

The third reason perhaps comes from the limitation of traditional media as a mechanism of two-way communication. It is very difficult to activate any individual right of press freedom in practice without working through the media. Traditional media such as newspaper and television are mainly based on one direction of communication, delivering messages from the media to readers or audience. They also have worked for the interests of power groups based on capital and political power, and media content is mainly produced by journalists who are employed by the media companies. In this system it is difficult for journalists to be independent of their companies therefore, they serve their media owners rather than citizens. The media should serve the public good and act for citizens in democratic societies. However, most print media are owned by individual private capitalists, who seek their own benefits sometimes in ways that have negative impact on the public good of citizens in Korea.

The final reason might be that journalists based their selection on their ideals, not the Korean situation specifically. Therefore, journalists perhaps offered an answer based on the ideal of the press environment and democracy in their general choice. However, most media especially privately owned media put commercial interests ahead of the public interests in Korea. Also, the gaps connote that journalists felt conflicted because their ideals are not reflected in reality. However, they should not change their ideals as they give hope for the future in Korea.

### Conclusion

This paper explored journalists' responses to four main issues regarding the press environment and democracy in Korea: firstly, what they understood as the most important roles of the media; secondly, the importance of press freedom; thirdly, factors determining subscriptions to particular newspapers; and lastly, rights to press freedom. There are gaps between the practice of media and the journalists' perceptions about the press environment and democracy in Korea.

Firstly, in relation to the important roles of the media, there is a gap between the practice of media and the journalists' perception. The majority of the journalists believed the most important roles the media played were 'for the people's right to know,' 'as a watchdog of power and for the protection of the socially weaker' and 'for the public good.' However, in practice major conservative newspaper companies sought to look after their own interests such as supporting a president who will look after and favour them.

Secondly, regarding the importance of press freedom, these findings were the same as the journalists' selections about the important role of the media. Again in practice some gaps exist between the journalists' choices and the practice of the media in Korea. In practice major conservative newspapers abuse their power and use freedom of the press for the protection of their own interests more than many journalists thought.

Thirdly, in relation to the reasons why readers subscribed to particular newspapers, the largest percentage of the journalists selected 'the credibility of the newspaper.' However, the Korean people have different preferences, when evaluating media credibility, subscription choice and influence. In practice, unfair trade in the newspaper market has become a serious problem because of major newspaper companies illegally and silently engaging in unfair practices around pricing their papers and enticing subscribers.

Lastly, regarding rights to press freedom, there are some differences in who is understood as the key player or claimant of press freedom from the journalists' perspectives. In practice, the main player in press freedom is the media. However, the Korean journalists believe that citizens should be the main group benefiting from press freedom followed by journalists. Freedom of the press focused on citizens tends to encourage democracy.

There are some gaps in ideas about the press environment and democracy between actual practice and the journalists' perspectives. The gaps perhaps come from the lack of media practitioners' views regarding ethics of journalism, discrepancies in Korean democracy such as the strong influence of clientelism, the limitation of traditional media as mechanisms of two-way communication, and the idealistic thinking of journalists.

In order to guarantee their wealth and power, an alliance was formed by major conservative newspapers, conservative political power groups and big business. This trio collaborated to criticize and manufacture a negative image of the Roh government but supported Myung-Bak Lee to distort the truth, which led to the 2007 presidential election victory by Myung-Bak Lee. Since 2008 political power has returned to the conservative group, the Korean grassroots democracy and press freedom that developed during the liberal rule Kim and Roh have been threatened by the dictatorial style of leading groups such as the president, the Grand National Party and major conservative newspapers. These leading groups do not look out for the majority of Korean people and socially weaker groups but look out for the small percentage of dominant groups (ongoing).

Freedom of the press greatly influences, for better or worse, democracy. Press freedom without social responsibility by major conservative newspapers has led to a conflicted society and a threat to grassroots democracy in Korea today. The media should try to reduce social gaps and social conflict among classes in a society. It should produce reliable media, which are based on truth and fairness and also promote a healthy democratic society. It should not produce unreliable news, which distort articles and cover up the important news and so reinforce inequality.

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**Note**

Note 1. My doctoral project at the University of Sydney is entitled *Freedom of the press in South Korea: Perception and Practice – A survey of print journalists’ opinions*. This paper also flows from my doctoral study.

**Tables**

Table 1. Journalists’ three choices of the important media roles in order of preference

Options	1 <sup>st</sup> (%)	2 <sup>nd</sup> (%)	3 <sup>rd</sup> (%)	Total (%)
For the public good	39.3	16.7	13.1	69.1
For the benefit of company		1.2	2.4	3.6
For the state’s good		7.1	3.6	10.7
For the discovery of truth	1.2	3.6	8.3	13.1
For the people’s right to know	32.1	31	16.7	79.8
As a watchdog of power and for the protection of the socially weaker	13.1	28.6	31	72.7
For readers or viewers	6	2.4	2.4	10.8
For mass-education	1.2		2.4	3.6
For individual self fulfilment				
For participation in democratic decision-making		3.6	7.1	10.7
For balance between social stability and change	3.6	2.4	9.5	15.5
Others	1.2	1.2	1.2	3.6
No answer	2.4	2.4	2.4	7.1
<b>Total (%)</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>300</b>

\*1<sup>st</sup>: first preference, 2<sup>nd</sup>: second preference, 3<sup>rd</sup>: third preference

Table 2. Journalists who selected ‘for the public good’ as the most important media role (39.3%)

Categories	Details of categories	Total respondents to the survey (100%)	Journalists who selected ‘for the public good’ (39.3%)
Sections of news in which they worked	Political	7.1	4.8
	Social	27.4	10.7
	Business	20.2	8.3
	International/North Korean	4.8	1.2
	Sports/life	1.2	
	Culture	3.6	1.2
	Sub-editorial	9.5	3.6

	Photo journalism	1.2	1.2
	General reporting	14.3	1.2
	Editorial writer	4.8	2.4
	Managing editors or equivalent	3.6	2.4
	Others	1.2	1.2
	No answer	1.2	1.2
Positions held	Managing editors or equivalent	10.7	4.8
	Editors or equivalent	22.6	7.1
	Deputy editors or equivalent	29.8	11.9
	Reporters	35.7	14.3
	No answer	1.2	1.2
Types of newspapers	Seoul newspapers	32.1	9.5
	Provincial newspapers	41.7	19
	News agencies	3.6	1.2
	Business newspapers	15.5	7.1
	English newspapers	3.6	1.2
	Special newspapers	2.4	1.2
	Others	1.2	
Location of the company where they worked	Seoul newspapers	57.1	20.2
	Provincial newspapers	42.9	19
Gender	Male	94	34.5
	Female	4.8	3.6
	No answer	1.2	1.2
Age group	From 20 to 29 years old	1.2	
	From 30 to 39 years old	35.7	13.1
	From 40 to 49 years old	56	22.6
	From 50 to 59 years old	4.8	1.2
	From 60 to 69 years old	1.2	1.2
	No answer	1.2	1.2
First or subsequent job	First job	64.3	23.8
	Subsequent job	34.5	14.3
	No answer	1.2	1.2
Length of service	From 0 to 4 years	6	1.2
	From 5 to 9 years	17.9	8.3
	From 10 to 14 years	16.7	6
	From 15 to 19 years	44	19
	From 20 to 24 years	10.7	2.4
	From 25 to 29 years	2.4	
	More than 30 years	1.2	1.2
	No answer	1.2	1.2
Qualifications	Diploma 2 years	1.2	
	Bachelor 4 years	51.2	17.9
	Master degrees	41.7	17.9

	Doctoral degrees	4.8	2.4
	No answer	1.2	1.2
Major of highest degree	Media and Communication	22.6	9.5
	Economics/Business	19	6
	Sociology/Philosophy/Psychology/History	10.7	2.4
	Law	2.4	1.2
	Politics/Administration & Planning	23.8	10.7
	Language & Literature	15.5	6
	Science	1.2	
	Others	3.6	2.4
	No answer	1.2	1.2

Table 3. Journalists' three choices of the importance of press freedom in order of preference

Options	1 <sup>st</sup> (%)	2 <sup>nd</sup> (%)	3 <sup>rd</sup> (%)	Total (%)
For the public good	26.2	14.3	20.2	60.7
For the benefit of company		2.4		2.4
For the state's good	3.6	3.6	3.6	10.7
For the discovery of truth	4.8	1.2	6	12
For the people's right to know	28.6	36.9	14.3	79.8
As a watchdog of power and for the protection of the socially weaker	26.2	27.4	17.9	71.5
For readers or viewers	2.4		3.6	6
For mass-education				
For individual self fulfilment			2.4	2.4
For participation in democratic decision-making	2.4	7.1	10.7	20.2
For balance between social stability and change	4.8	6	20.2	31
Others				
No answer	1.2	1.2	1.2	3.6
<b>Total (%)</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>300</b>

\*1<sup>st</sup>: first preference, 2<sup>nd</sup>: second preference, 3<sup>rd</sup>: third preference

Table 4. Journalists who chose 'for the people's right to know' as the most important reason for press freedom (28.6%)

Categories	Details of categories	Total respondents to the survey (100%)	Journalists who chose 'for the people's right to know' (28.6%)
Sections of news in which they worked	Political	7.1	2.4
	Social	27.4	8.3
	Business	20.2	4.8
	International/North Korean	4.8	2.4
	Sports/life	1.2	1.2
	Culture	3.6	
	Sub-editorial	9.5	1.2
	Photo journalism	1.2	

	General reporting	14.3	6
	Editorial writer	4.8	1.2
	Managing editors or equivalent	3.6	1.2
	Others	1.2	
	No answer	1.2	
Positions held	Managing editors or equivalent	10.7	3.6
	Editors or equivalent	22.6	8.3
	Deputy editors or equivalent	29.8	10.7
	Reporters	35.7	6
	No answer	1.2	
Types of newspapers	Seoul newspapers	32.1	8.3
	Provincial newspapers	41.7	13.1
	News agencies	3.6	2.4
	Business newspapers	15.5	3.6
	English newspapers	3.6	1.2
	Special newspapers	2.4	
	Others	1.2	
Location of the company where they worked	Seoul newspapers	57.1	15.5
	Provincial newspapers	42.9	13.1
Gender	Male	94	28.6
	Female	4.8	
	No answer	1.2	
Age group	From 20 to 29 years old	1.2	
	From 30 to 39 years old	35.7	8.3
	From 40 to 49 years old	56	17.9
	From 50 to 59 years old	4.8	2.4
	From 60 to 69 years old	1.2	
	No answer	1.2	
First or subsequent job	First job	64.3	22.6
	Subsequent job	34.5	6
	No answer	1.2	
Length of service	From 0 to 4 years	6	
	From 5 to 9 years	17.9	3.6
	From 10 to 14 years	16.7	4.8
	From 15 to 19 years	44	16.7
	From 20 to 24 years	10.7	1.2
	From 25 to 29 years	2.4	2.4
	More than 30 years	1.2	
	No answer	1.2	
Qualifications	Diploma 2 years	1.2	
	Bachelor 4 years	51.2	15.5
	Master degrees	41.7	13.1
	Doctoral degrees	4.8	

	No answer	1.2	
Major of highest degree	Media and Communication	22.6	8.3
	Economics/Business	19	6
	Sociology/Philosophy/Psychology/History	10.7	3.6
	Law	2.4	
	Politics/Administration & Planning	23.8	6
	Language & Literature	15.5	3.6
	Science	1.2	
	Others	3.6	1.2
	No answer	1.2	

Table 5. Journalists’ choices about determining factors to subscribe particular newspapers

Options	Selection (%)
Credibility of the newspaper	39.3
Size of the newspaper company	17.9
The newspaper was provided free for few months, including some gift	19
The editorial stance of the newspaper	20.2
Others	1.2
No answer	2.4
<b>Total (%)</b>	<b>100</b>

Table 6. Journalists who chose 'the credibility of the newspaper' as the main factor determining subscription to particular newspapers (39.3%)

Categories	Details of categories	Total respondents to the survey (100%)	Journalists who chose 'the credibility of the newspaper' (39.3%)
Sections of news in which they worked	Political	7.1	2.4
	Social	27.4	7.1
	Business	20.2	9.5
	International/North Korean	4.8	2.4
	Sports/life	1.2	
	Culture	3.6	
	Sub-editorial	9.5	6
	Photo journalism	1.2	
	General reporting	14.3	4.8
	Editorial writer	4.8	2.4
	Managing editors or equivalent	3.6	3.6
	Others	1.2	
	No answer	1.2	1.2
Positions held	Managing editors or equivalent	10.7	6
	Editors or equivalent	22.6	9.5
	Deputy editors or equivalent	29.8	11.9
	Reporters	35.7	10.7
		No answer	1.2

Types of newspapers	Seoul newspapers	32.1	11.9
	Provincial newspapers	41.7	13.1
	News agencies	3.6	2.4
	Business newspapers	15.5	8.3
	English newspapers	3.6	2.4
	Special newspapers	2.4	1.2
	Others	1.2	
Location of the company where they worked	Seoul newspapers	57.1	26.2
	Provincial newspapers	42.9	13.1
Gender	Male	94	35.7
	Female	4.8	2.4
	No answer	1.2	1.2
Age group	From 20 to 29 years old	1.2	
	From 30 to 39 years old	35.7	11.9
	From 40 to 49 years old	56	22.6
	From 50 to 59 years old	4.8	2.4
	From 60 to 69 years old	1.2	1.2
	No answer	1.2	1.2
First or subsequent job	First job	64.3	25
	Subsequent job	34.5	13.1
	No answer	1.2	1.2
Length of service	From 0 to 4 years	6	2.4
	From 5 to 9 years	17.9	6
	From 10 to 14 years	16.7	6
	From 15 to 19 years	44	16.7
	From 20 to 24 years	10.7	3.6
	From 25 to 29 years	2.4	2.4
	More than 30 years	1.2	1.2
	No answer	1.2	1.2
Qualifications	Diploma 2 years	1.2	
	Bachelor 4 years	51.2	14.3
	Master degrees	41.7	22.6
	Doctoral degrees	4.8	1.2
	No answer	1.2	1.2
Major of highest degree	Media and Communication	22.6	8.3
	Economics/Business	19	9.5
	Sociology/Philosophy/Psychology/History	10.7	4.8
	Law	2.4	
	Politics/Administration & Planning	23.8	9.5
	Language & Literature	15.5	4.8
	Science	1.2	
	Others	3.6	1.2
	No answer	1.2	1.2

Table 7. Journalists’ three choices of who has right to press freedom in order of preference

Options	1 <sup>st</sup> (%)	2 <sup>nd</sup> (%)	3 <sup>rd</sup> (%)	Total (%)
State, government, politicians			2.4	2.4
Media owners	1.2	2.4		3.6
Media managers	1.2	1.2	2.4	4.8
Media editors or a group of editors	4.8	8.3	17.9	31
Journalists	17.9	14.3	35.7	67.9
Advertisers			1.2	1.2
Interest groups			1.2	1.2
Civil organizations		2.4	14.3	16.7
Readers or viewers	15.5	57.1	10.7	83.3
General public	59.5	14.3	8.3	82.1
Others			1.2	1.2
No answer			4.8	4.8
<b>Total (%)</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>300</b>

\*1<sup>st</sup>: first preference, 2<sup>nd</sup>: second preference, 3<sup>rd</sup>: third preference

Table 8. Journalists who selected ‘citizens’ as having the most right to press freedom (75%)

Categories	Details of categories	Total respondents to the survey (100%)	Journalists who selected ‘citizens’ (75%)
Sections of news in which they worked	Political	7.1	4.8
	Social	27.4	23.8
	Business	20.2	11.9
	International/North Korean	4.8	4.8
	Sports/life	1.2	1.2
	Culture	3.6	2.4
	Sub-editorial	9.5	8.3
	Photo journalism	1.2	
	General reporting	14.3	9.5
	Editorial writer	4.8	3.6
	Managing editors or equivalent	3.6	2.4
	Others	1.2	1.2
	No answer	1.2	1.2
Positions held	Managing editors or equivalent	10.7	8.3
	Editors or equivalent	22.6	17.9
	Deputy editors or equivalent	29.8	23.8
	Reporters	35.7	23.8
	No answer	1.2	1.2
Types of newspapers	Seoul newspapers	32.1	22.6
	Provincial newspapers	41.7	39.3
	News agencies	3.6	2.4
	Business newspapers	15.5	6

	English newspapers	3.6	2.4
	Special newspapers	2.4	1.2
	Others	1.2	1.2
Location of the company where they worked	Seoul newspapers	57.1	34.5
	Provincial newspapers	42.9	40.5
Gender	Male	94	70.2
	Female	4.8	3.6
	No answer	1.2	1.2
Age group	From 20 to 29 years old	1.2	1.2
	From 30 to 39 years old	35.7	22.6
	From 40 to 49 years old	56	45.2
	From 50 to 59 years old	4.8	3.6
	From 60 to 69 years old	1.2	1.2
	No answer	1.2	1.2
First or subsequent job	First job	64.3	46.4
	Subsequent job	34.5	27.4
	No answer	1.2	1.2
Length of service	From 0 to 4 years	6	2.4
	From 5 to 9 years	17.9	14.3
	From 10 to 14 years	16.7	13.1
	From 15 to 19 years	44	34.5
	From 20 to 24 years	10.7	8.3
	From 25 to 29 years	2.4	
	More than 30 years	1.2	1.2
	No answer	1.2	1.2
Qualifications	Diploma 2 years	1.2	
	Bachelor 4 years	51.2	40.5
	Master degrees	41.7	32.1
	Doctoral degrees	4.8	1.2
	No answer	1.2	1.2
Major of highest degree	Media and Communication	22.6	21.4
	Economics/Business	19	13.1
	Sociology/Philosophy/Psychology/History	10.7	8.3
	Law	2.4	1.2
	Politics/Administration & Planning	23.8	14.3
	Language & Literature	15.5	11.9
	Science	1.2	1.2
	Others	3.6	2.4
	No answer	1.2	1.2



## On Translating the Poetic Images from Chinese into English

Mingquan Zhang

School of Foreign Languages, Jiangsu University

Zhenjiang 212013, Jiangsu Province, China

Tel: 86-511-8537-9133 E-mail: mingquanzhang68@163.com

Weiqiang Mao

School of Foreign Languages, Jiangsu University

Zhenjiang 212013, Jiangsu Province, China

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### Abstract

Despite the concern over the loss of poetic images in the translation process, the translation practice of poetry never ceases. As the result of different approaches to the poetic imagery, the poetic images might be preserved, lost or replaced by others. The hermeneutic approach, with a view to preserving the alterity of an alien culture, would like the original image to be preserved as much as possible. The comparative literature approach is concerned with the misreading unavoidable in the translation process and cultural interaction. And the cognitive linguistics approach both admits the linguistic relativism and tries to offer a solution to the disparity in cultural connotations of the poetic imagery. Nevertheless, with the duel between domestication and foreignization pacified by the cultural interaction, more poetic images would be preserved in translating Chinese poems into English.

**Keywords:** Poetic images, Loss of gain, Image preservation

### 1. Poetic images and the problem of cross-cultural understanding

In literary criticism, the imagery is at least used in three senses. In the broadest sense, the images need not be mental "pictures", but may appeal to other senses other than sight. They might include auditory, tactile, thermal, olfactory, gustatory, or kinesthetic, as well as visual qualities. More narrowly, imagery is used to signify only descriptions of visual objects and scenes. And in the opinion of New Criticism, imagery signifies figurative language, especially the vehicles of metaphors and similes.

As they concern the poetry, images are usually defined as the concrete representation expressive or evocative of something else. The imagery that conglomerates the set of images in a specific poem enlivens it through reviving the imagination of its readers and bringing them into the perceptible world of sights, sounds, smells and sensations. Thus images are considered by some critics of poetry as its life and soul. Interestingly, the Chinese equivalent for the English word "image" is composed of two characters, that is, *Yi* (connotation) and *Xiang* (physical image). Then the image becomes both associative and emotionally appealing that amalgamates the physical image with its spiritual connotations. The Chinese equivalent that emphasizes both the concrete and abstract aspects of a concept suggests that the image does not exist for its own sake but to invoke a sensation and the imagery is usually culturally-bound. This also conforms to Pound's definition of an image as an intellectual and emotional complex in an instant of time, as a vortex or cluster of fused ideas endowed with energy (Raffe, 1984). Then the imagery may be anything that a poet includes in his poem to connote a sense beyond the surface interpretation.

The classical Chinese poetry abounds particularly in images. And in choosing these poetic images, the classical Chinese poets have their preference for certain animals, plants and natural objects, either to cater to the interests of Chinese

readers or their own idiosyncrasies. Just as the rules and forms of classical Chinese poetry are rigid, so is the choice of images to appear in these poems, for the beauty just lies in the images contained in them to describe and depict scenes and show the poets' feelings. To appreciate the magical images the readers are expected to get the same somatic experiences as the poets when they composed them, to appreciate the sceneries depicted and understand the emotions expressed by the poets and have a taste of the imagination. Since "languages differ in the way they perceive and partition the reality (Hatim & Mason, 2001:104)", the Chinese poets' preference for certain images in their poetry certainly reflect a different perspective of poetic images than the English poets might hold about them. Moreover, due to the geographical barriers that used to separate China from the rest world, it is not easy for people from other nations to understand these images in the same manner, especially when they are reading the Chinese poems in the translation versions.

For example, the four flowers, chrysanthemum (*Ju*), orchid (*Lan*), plum (*Mei*) and bamboo (*Zhu*), cherished by classical Chinese poets seldom appear in the English poems (even when they appear in a poem, they never constitute important images). Nevertheless in China, they are the so-called "four gentlemen (*Jun Zi* in Chinese, which is itself a different concept from gentleman to some extent) in flowers" of great significance to the poet and their poems. In the conceptualization of a native English speaker where the "bamboo" may even not be regarded as a flower, how can it be associated with a gentleman? Then the rendition of these flowers poses a problem to the translator of Chinese poetry. Should he or she keep the original image in the translated version or substitute it with another image? The problem is further complicated when the alias for a flower is used. For example, when the chrysanthemum is called "*Huang Hua*", should it be translated back into "chrysanthemum" or into "yellow flower" directly?

## 2. Loss or Gain

According to Croft & Cruse (2006:19), "the profile-frame/domain distinction is particularly useful in understanding the nature of semantic differences between words and their apparent translation equivalents in different languages. The profile-frame/domain distinction may shed light on some aspects of why translation is difficult and often unsuccessful." By citing the example of the Javanese word *rasa*, Croft & Cruse (2006:19) further points out, "basically, understanding the meaning of *rasa* presupposes large portions of Javanese culture and worldview." Their viewpoint towards the understanding of a word borders on that proposed by a functional linguist, who emphasizes the role of context in nailing down the meaning of a particular word. Then comes the problem of translating the classical Chinese poetic images. When these images are plucked out of the Chinese cultural context and translated into English, how can they be correctly understood by the target language readers?

Due to the cultural differences, it is usually difficult to find the equivalent in English for an image contained in the Chinese poetry. There has long been serious concern in the translation circles over the misrepresentation of the Chinese poetic images in the English language. And the concern over the loss of poetry in the process of translation has led quite a few literary scholars and translation theorists to propose the impossible task of poetic translation. Back to the understanding and translation of the "four gentlemen in flowers", they surely pose great challenges to the translator of classical Chinese poetry. Take the poem "A Song of *Changgan*" composed by Li Po as an example. The famous quotes from this poem, "*Lang Qi Zhu Ma La, Rao Chuang Nong Qing Mei*" include two Chinese poetic images. When they are translated into English as "When you, my lover, on a bamboo horse, /Came trotting in circles and throwing green plums" without any notes, the English reader most probably will be puzzled by these images. The problem does not lie in that they do not know the two images, but that they do not understand their cultural implications to the Chinese poets and the Chinese readers of poems. This concern often leads to the pessimistic viewpoint that culturally-bound poetic images are untranslatable. Moreover, the poetic translation with notes is often rebuked by the idealists as non-poetry, for they deem that "unlike other forms of literary translation, the translation of poetry must stand on its own as a poetic text, to a large extent unsupported by glosses or commentary, whether they take the form of footnotes or are embodied in the text (Connolly, 2004: 171)."

Despite the above-mentioned concerns over the loss, the practice of poetic translation has long in existence from English into Chinese and the back way around. According to Qian Zhongshu's research, the first translation of a Western poem, *A Psalm of Life* by Henry Wadsworth Longfellow can be traced back to the 1860s. Since then, the translated Western poetry has constituted an important part of the Chinese publications of poems. On the other hand, the translation of Chinese poetry, especially the Tang poetry, into English has also aroused interest among the Western scholars. Among the English scholars are such famous scholars as Arthur Waley, Burton Watson, Stephen Owen. What is more important is that during the course of translation, they have noted the significance of translating the poetic images from Chinese into English. According to Arthur Waley (Xia & Wang, 2000: 270), imagery is the soul of poetry, so he proposes the principle of not adding to the imagery or deleting any original images.

In view of hermeneutics, even the comprehension of the original text varies to different readers in different epochs. With the lapse of time, different interpretations have been offered for the same poetic image from the Chinese poetry. At the very outset, the translation of Chinese poems is open for different interpretations. It is useless to lament over the

possible “mistakes” existing in the poetic translation practice, but more important to take a general view of it to see what those practitioners have done to bridge the cultural gaps. To cite George Steiner (2001:311), “often, in the records of translation, a fortunate misreading is the source of new life. The precisions to be aimed at are of an intense but unsystematic kind. Like mutations in the improvement of species, major acts of translation seem to have a chance necessity. The logic comes after the fact. What we are dealing with is not a science, but an exact art.”

To follow the hermeneutic approach that emphasizes the translation practice, examples are cited here to illustrate the image translation. First, take a look at the image of “chrysanthemum” in the classical Chinese poems and how different translators have dealt with the image. According to Gao & Gao (2003: 85), as an important image in traditional Chinese culture, chrysanthemum represents a noble and unadulterated mind. Due to the repeated allusions to this flower in different poems, the chrysanthemum has been closely associated with lonely and proud hermits as well as literary men. Furthermore, through the device of synecdoche, the flower is frequently referred to as a “yellow flower” or “yellow” itself and there forms an intertextuality between “*Huang Hua* (yellow flower)” and “*Ju Hua* (chrysanthemum)” in the Chinese context. Gao & Gao in their paper explore the different English versions of “*Huang Hua*” in Li Qingzhao’s stanza of a song lyric, “*Man Di Huang Hua Dui Ji. Qiao Cui Shun, Ru Jin Shei Kan Zhai?*”. Li Qingzhao is one of the most talented Chinese poetess in the Song Dynasty and even the whole history of Chinese literature. After commenting respectively on Xu Yuanzhong’s “yellow flowers”, Kenneth Rexroth’s gold chrysanthemums” and John A. Turner’s chrysanthemums, they conclude that Xu has not conveyed the exact meaning of the allusion in Li’s poem by translating it word for word into English as “yellow flower. They appreciate Rexroth’s version of “gold chrysanthemums” by saying that it goes back etymologically to the Greek source of this English word.

However, “gold chrysanthemums” is a little repetitive for the meaning of “gold” has already been inherent in the word “chrysanthemum.” Back to the question of intertextuality, the association in the Chinese language of the color yellow with the flower of chrysanthemum is lost when the image is replaced by the word “chrysanthemum” in English. The loss will never be regained if the readers do not go to the original Chinese version of the poem. That explains why translators often resort to interpretation to give the target language readers some general knowledge about the alien culture that forms the backdrop of the literary work they are going to read. Hawks & Minford has even written a whole book to give explanations to how they have translated “The Story of the Stone” from Chinese into English. And that is where the readers of this ancient Chinese novel might gain their knowledge about the Chinese history and culture. The translation loss more often than not inspires the readers to explore the original.

### 3. Possibility of image preservation

The possibility of preserving the poetic images in translation lies in the similarity that exists to some extent in poetic images between English and Chinese. Without considering the “misreading” as concerns many scholars, there are certainly equivalents (in surface meaning) in English for quite a lot of poetic images in Chinese. The direct transplanting of such images from Chinese into English sometimes represents an effort to keep the original flavor of a Chinese poem if it is not a result of the laziness of the translator. However, this effort might be frustrated by the resistance from the target language readers if they can not associate this transplanted image with something they have been familiar with. The comparative literature and the studies can do a good job here.

For example, both the Chinese and the English poets have used the image of “crow” in their poetry. Generally in the Christian culture crow means nothing good though historically some European nations appreciate its sagacity. So in the English versions of the Chinese poem “Night Mooring at Fengqiao Village” by Zhang Ji, the image of “crow” is retained and the line “*Yue Luo Wu Di Shuang Man Tian*” is respectively translated as “The moon is sinking; /A crow croaks a dreaming” by Sun Dayu, and “The moon goes down and crows caw in the frosty sky” by Xu Yuanzhong. In English literature, Edgar Allan Poe employs the image of “raven”, a similar bird to crow, in a famous poem for the melancholy tone and the symbolism of ravens as birds of ill-omen. And Ted Hughes refers to the bastard crow in his poem titled “King of Carrion” (Bebergal, 2006). Thus a rough equivalence is obtained between the Chinese image of “crow” and the image of “crow” or “raven” in English.

However, the case for preserving a poetic image is rather a complicated process. The Chinese poetic image, say, “oriole” is misrepresented by some in English as “nightingale” for the bird nightingale is a frequently adopted allusion in the western poetry. John Keats is greatly saddened on hearing the plaintive song of nightingale that inspires him to compose “Ode to a Nightingale”. Though the image is so popular with the English readers, the European songbird with reddish-brown plumage noted for the melodious song of the male at night during the breeding season certainly is not an oriole popular with the Chinese poets and readers. Then the image must be borrowed into English in the process of translating a Chinese poem containing such an image. Most translators do so. The lines “*Da Qi Huang Ying Er, Mo Jiao Zhi Shang Di*” from a classical Chinese poem “Complaint in Spring” by Jin Changxu are respectively translated into English as “Oh, drive the golden orioles, from off our garden tree” by Fletcher and “Drive orioles off the tree, /For their songs awake me” by Xu Yuanzhong. And Giles has translated Du Fu’s poetic line “*Liang Ge Huang Li Ming Cui Liu*” into “Two orioles sit in the green willows singing.” Though orioles are not so frequently included in English poetry as

an image, there is an exception offered by Emily Dickinson in her “To Hear an Oriole Sing”, “To hear an oriole sing /May be a common thing, /Or only a divine.” In this poem, oriole is depicted as a cheerful bird that expresses a happy emotion. Thus comparative studies in literature often reveal some similarities across cultures unexpected by many. And this is surely important to the translation theory and practice.

Of course the matching in imagery between Chinese and English literature is not a universal phenomenon. For example, translation of the natural image “*Xi Feng*” in classical Chinese poems always pose a great challenge to a translator. When the poetic lines “*Mo Dao Bu Xiao Hun, Lian Juan Xi Feng, Ren Bi Huang Hua Shou*” by Li Qingzhao tuned in the song lyric name “Topsy in the Flower’s Shade (*Zui Hua Yin*)” are respectively translated into English as “Should western wind uproll the curtain of my bower, /’T would show a thinner face than yellow flower” by Xu Yuangzhong and “The west wind rolled up curtains in shadow, /To show a leaner face than flowers yellow” by Tang Kuizhang, the west wind does not guarantee any understanding of the chilliness of the wind on the part of the native English readers, for they are so familiar with the poem “Ode to the West Wind” by Percy Bysshe Shelley where the west wind symbolizes hopes and force. In this particular instance an explication about the difference between the English and the Chinese culture is required. That is to say, a hermeneutic approach is involved to allow the alterity to exist in the target language and culture. However, some scholars argue for a misreading. Fan Jinglan (2008: 53-57), concerned with comparative literature, studies the imagist poets’ misreading of the classical Chinese poetry. She concludes that “misreading” can be said to be a normal phenomenon occurring in the interaction of two different cultures. Both intentionally and unintentionally, the “misreading” offers a more valuable space for literary development and recreation. Therefore, in Fan’s viewpoint, the translation of *Xi Feng* into the west wind is an unavoidable misreading.

Aimed at a systematic solution of the cultural disparity in translation, Wang Ying (2004: 584), starting from the embodied philosophy and cognitive linguistics, offers a cognitive linguistics model of translation and proposes the realization of “rational explication” and “harmonious translation”. He also emphasizes the interaction between translator and text, between translator and real world, between translator and reader. Like Croft & Cruse (2006), he also admits the cognitive binding on the understanding and translation of a text. Then the cognitive disparity between different languages and the barriers that ensue between the original poet and the translator must be dealt with meticulously.

#### 4. Conclusion

The translation of images in classical Chinese poems into English is a strenuous job. As the result is concerned, the poetic images might be preserved, lost or replaced by others. Different approaches to the poetic images in translation put emphasis on different aspects of the same issue. The hermeneutic approach, with a view to preserving the alterity of an alien culture, would like the original image to be preserved as much as possible. The comparative literature approach is concerned with the misreading unavoidable in the translation process and cultural interaction. And the cognitive linguistics approach both admits the linguistic relativism and tries to offer a solution to the disparity in cultural connotations of the poetic imagery. Nevertheless, with the duel between domestication and foreignization pacified by the cultural interaction, more poetic images would be preserved in translating Chinese poems into English.

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## Inspiration Inducement of Pianists in a Subconsciousness Background

Changkui Wang

Arts Department of Normal College, Shenzhen University

Shenzhen 518060, Guangdong, China

Tel: 86-755-2653-6309 E-mail: wangchangkui@163.com

### Abstract

Inspiration thinking of pianists lies under their deep thought, and is a product of mutual interaction between consciousness and subconsciousness, closely connected with living experiences, musical environment, and psychological environment of a subject. Piano music, literature poetry, internal rhythm, external rhythm, Nature, environment and impression are significant induction factors to lead inspiration thinking of pianists, while arduous practice, gifted perception, tough exploration and smart capture are preconditions of inspiration happening in pianists.

**Keywords:** Pianists, Inspiration, Trigger, Subconsciousness

The famous Pianist Liu Shikun in China said, "Inspiration and spirituality are the highest reaction, highest level and highest state of creation and performance of all sorts of music, including piano, and even all arts." This particular inspiration of piano performance is a "wonderful artistic conception" hard pursued by pianists. In the creative performance by pianists, appearance of inspiration stimulates all positive factors. This performance full of spirituality not only reproduces vividly creation intention and musical image of a composer, but also produces an aesthetic effect that is more vivid and rich, and by which a pianist explains a musical composition particularly, even more than the envision of a composer. During the whole process, inspiration plays a significant role. How characteristics of a pianist's inspiration are embodied? What channels for leading of a pianist's inspiration? And which preconditions for stimulation of inspiration?

### 1. Inspiration and that of a pianist

As for inspiration, different historical periods held different views. The ancient Greek philosopher Plato believed that, inspiration was an illusionism, which was bestowed by such Immortals as God. Romanticists believed that inspiration derived from the inside, which was an exposure of a talent. The scientist Gao Erdun in the 19<sup>th</sup> Century negated the viewpoint that talent and capacity were two totally different concepts. By modern times, people began to give a satisfactory explanation on mechanism of inspiration based on Pavlov's Brain Science Theory. That is, inspiration is a product of long-term creation and imagination, which often happens in a temporarily relaxed moment in a tense imagination activity. The contemporary western psychology defines inspiration as a sudden psychological state of a certain new image, new concept and new thinking in the process of creation. It often brings to humans an enlightened experience so that something that just doesn't add up gets soon resolved.

#### 1.1 Happening of inspiration

There are two conditions for inspiration to happen. One happens under enlightenment of the prototype, and the other happens when a problem which has been pondered over for long gets suddenly resolved in the case of careful transfer without enlightenment of the prototype. Whichever condition, inspiration is a result of long-term practical experiment accumulation and thinking of a certain or some problems. The Austria psychologist Freud proposed the Subconsciousness theory. He discussed generation mechanism of inspiration from the perspective of subconscious psychology, and opens up a new direction for exploring generation mechanism of inspiration. However, representative of Gestalt Psychology Arnheim discussed generation mechanism of inspiration from the perspective of the forms of a force concealing under the cerebral cortex, while the former Soviet Union Physiological psychology Pavlov expounded generation mechanism of inspiration from the angle of physiological mechanism of humans' brain. Therefore, people gradually begin to unveil the mysterious veil of inspiration, and realize that happening of inspiration has its

psychological and psychological foundation, a creative thinking indicated under the subconsciousness, and a result of mutual interaction of consciousness and subconsciousness of the psychological structure.

The Chinese noted psychologist Liu Kuilin believes that, the specialized theory of labor division of left and right brains not only lays a modern scientific cornerstone for establishment of inspiration thinking theory, but also opens the door for searching of happening mechanism of inspiration. He says, "Inspiration is a result of mutual interaction between conscious function of the left brain and subconscious function of the right brain." He has made a relatively scientific argumentation on generation mechanism of inspiration. He put forward the theory of "Subconscious inference", and has established a "generation model of inspiration". According to analysis of generation mechanism of inspiration thinking, the sequence chain of generation mechanism should be: Consciousness  $\longleftrightarrow$  Subconsciousness  $\longleftrightarrow$  Consciousness.

### *1.2 Characteristics of inspiration*

Inspiration is a form of non-rational cognition. In the cognitive process, inspiration does not active based on such logical procedures as induction and deduction, or analysis and synthesis, etc.. Its generation has the following characteristics: burstiness instantaneity, originality contingency, fuzziness, and nonrepeatability, etc. It is a thinking and cognitive process of purposelessness, unconsciousness, irrationality and illogic, etc. [5] Inspiration is a significant thinking way. For the first time, the Chinese famous scientist Qian Xuesen definitely confirmed that, inspiration is a third thinking way different from imaginal thinking and abstract thinking, and creation and breakthrough in science and arts rest with inspiration thinking. Inspiration thinking is a more complicated, multidimensional and multilayer thinking type than abstract thinking and imaginal thinking.

### *1.3 Inspiration thinking of a pianist*

Inspiration thinking is a frequently applied thinking way by a pianist. From perception in a piano performance to the stimulation of spirituality, and then to a flashing of a performance action, the explicit process of the whole performance is exactly the stimulation process of inspiration thinking. There mainly exist two conditions for generation of a pianist's inspiration thinking. In one case, piano performance thought underlying the soul of a pianist suddenly comes to flash out through rumination and repeated practice, which is an unpurposed and irrational subconscious. In the second case, a sudden comprehension appears due to stimulation of a certain occasional factor, attaining a new leap of piano creation and performance recognition. Then various new images, new thoughts, new discoveries, new styles, new actions and new finger methods emerge all of a sudden, which resembles to the artistic conception "Every cloud has a silver lining", and this is exactly the particular inspiration thinking of a pianist. Inspiration thinking enriches their originality, and enables them to obtain a new piano performance achievement.

## **2. Inspiration inducement of pianists**

### *2.1 Triggered by piano music*

The famous French Pianist Hélène Grimaud wrote in his autobiographical novel <<A Journey of a Female Pianist's Heart>>, "One thing I am certain that my thirst for music is that strong. The same desire always comes suddenly. I want to expound a works, to play it again and again, to smooth high overtones, and to enable each note to burst out a pure tone, which are ideal musical sounds I want to hear at any cost. I want to pour its golden vitality into its alchemy furnace. With such an idea in mind, I intend to record a brand-new version for sonata of Rachmaninov. This version was imprinted in my mind when I was fifteen." Grimaud concealed such an idea of piano performance at the bottom of his heart even at the age of 15. And even in his middle age, what he longed for was to listen to an idea piano sound triggering his inspiration of playing sonata of Rachmaninov. "Desire always comes suddenly: I want to expound a works." It is enough for this example to prove that, inspiration thinking of a pianist is exactly triggered by piano music occasionally from long-term thinking, with paroxysmal and instantaneous characteristics.

For commemoration of the 200th anniversary of Bach's death, Leipzig held the first Bach piano contest in 1950. The one who won first was a pianist named Nikolayeva from the former Soviet Union. The former Soviet Union pianist Shostakovich listened to the entire <<The Well-Tempered Clavier>> by Bach, and, being triggered, created <<Twenty-Four preludes and Fugues>>. This works became the exquisite works of piano in the 20<sup>th</sup> century. The contemporary Pianist Ashkenazy was in high favor of Schumann's piano works, and he said, "Schumann's works push me before beauty, spontaneity, fantastic imagination and great sorrow, and of course, extraordinary frankness and openness. His spontaneous creation has brought into birth encouraging music full of inspiration. Under enlightenment of Schumann's piano works, some new creation ideas came into his performance. The contemporary pianist Horowitz won unanimous praise and affirmation from pianists in his performance of Rachmaninov's Piano Concerto No.3, although he played concerto much less than sonata. The underlying reason was that he discovered inspiration in those marvellous piano concertos of Rachmaninov. By the 20<sup>th</sup> century, eyereach of pianists was more broadened, so they believed it necessary for them to absorb nutrition in styles and content of piano music and arts, to search for enlightenment and inspiration, and to freely select a living environment and individualized performance approach. However, as a pianist, however his environment and performance approach get changed, it is piano music that can more

directly trigger their inspiration, because piano music is in the first place an acoustics that they are most familiar with, and that is most possible to arouse their subconsciousness at the bottom of their heart.

### *2.2 Triggered by literature and poem*

Development rules of European musical history tell us that, music is influenced by train of thought. Development of music lags behind literature and arts, while literature is a weather-vane to lead changes of musical styles in most cases. From the ancient Greek's myth and literature to Baroque's music, Vienna's classical music, the 19<sup>th</sup> century's romantic music, and the 20<sup>th</sup> century's contemporary music, literature has been an inexhaustible material and nourishment in musical creation and performance. Representatives of the romantic music in the Golden Age were simultaneously a musician, litterateur, artist, sculpturer and architect. Therefore, there is no wonder that literature and poem trigger inspiration thinking of pianists. From a combination of Poetry & Prose in Tang & Song Dynasties and music to the complementary development process of dramatic literature and Qupai music in Ming and Qing Dynasties, it has been more obvious that development of music can't go without literature. Literature is a primacord to enlighten music.

Schumann was an outstanding romanticism composer, pianist and music critic in the 19<sup>th</sup> century. His arts and songs adopted the varied expression means of music to depict carefully the artistic state and verve of a poem. He captured musical inspiration from a poem, making poem "poem of music" and music "music of poem". Most of his piano music was influenced by German literary works, especially those of the German Litterateur Hofmann and Jean Paul. He absorbed inspiration and materials from literary works, and made perfect integration of poetic imagination of romanticism and smart responsive capacity of musicians. It can be said that Schumann's music which absorbs nourishment from literature is a direct expression of inspiration and soul.

Yugoslavia press has spoken highly of the piano performance of the famous Pianist Fu Cong with a title "Piano Poet". "For a long time, we haven't heard a key touch with so many changes. He has an inspiration to enable a piano to make the most subtle level of tone, and to achieve a state of pure poem." As is well known, when young, Fu Cong received traditional education from his father Fu Lei that was strict in all aspects, while Poetry and Verse were his major learning content. Extensive and profound connotation of Chinese literature was a cornerstone for his success in expounding music and stimulating inspiration thinking. Fu Cong was good at creating a poetic music environment through exquisite details and processing of tone color. For instance, his performance of Haydn's << Sonata in D Major (HobXVI/33) >> and << Piano Sonata in B minor (HobXVI/32) >>, the former was lively and humorous, while the latter abounded in tension. Fu Cong's performance exceeded the artistic conception of Classicalism. His performance of the late Chopin's Nocturne furthermore led people to appreciating his artistic explanation of Chopin. In his performance of the Nocturne in B Major, he played out recognition of Fu Lei from his first chord, "implication full of rumination, intimate and gentle, and the end is a long sigh." The Epilogue in his performance of the Nocturne in E Major enabled us to hear his description of Verse by Ou Yangxiu, "I inquire the flower with no answer, and it flies over the swing disorderly". Fu Cong compared Schubert's Pianolude to Poem of Tao Yuanming, and he tried to create an artistic conception of Chinese Classical Poem and Verse in music. At the earliest, people called Fu Cong "the Chinese Chopin", and "the Chinese Piano Poet". However, Fu Cong in his late years was more similar to Mozart from the perspective of humanity. He even said, "Mozart is supposed to exist in the soul of Chinese people". In an interview, Fu Cong said, a friend teaching music wrote to tell him about the situation of his music class about Mozart. He said, "in my teaching of Mozart music, I blurt out such eight words: flowering branch, delightful spring, heaven will, full moon. With no further explanation, my students all understood what he was exactly talking about." What Mozart's piano music reflected was exactly the artistic conception of Chinese "flowering branch, delightful spring, heaven will, full moon". Some people remarked that, "Performance of Fu Cong is just like the Chinese Poem and Verse." This makes sense. Literature and Poem have opened a broad road for inspiration thinking of pianists, and have helped upgrade their inspiration thinking. The previous examples tell us that, depth of literary expression has a direct effect on further understanding of pianists in arts, and is a touchstone for differentiation of pianists' art.

### *2.3 Triggered by internal rhythm and external rhythm*

In his talk with Romain Rolland in 1927, Tagore said, "Such artistic starting points as Poem, Painting or music are breath, namely, inherent rhythm within a body... Musicians should often acquire inspiration from the blood circulation and breath." According to Tagore, rhythm can trigger a musical inspiration. The concept of his rhythm approximately contains internal rhythm and external rhythm. People's living rules and their internal reaction to a factor of musical rhythm belong to the internal rhythm, while the external rhythm can be defined as mapping of regular external objects onto musicians. Appropriate integration of internal rhythm and external rhythm is exactly the opportunity for triggering of inspiration.

We often encounter such a situation when a pianist is encouraged and influenced by passionate response from his audience, he tends to make some unexpected effects by chance in his performance, such as change of a certain rhythm, emphasis on a certain tone, or some subtle tone contrast and speed contrast, etc.. All this attributes to a sudden breaking forth of the pianist's inspiration sparkle. For instance, the American contemporary composer and pianist George

Gershwin, drew his inspiration from the rocky musical rhythm of the Negro. In his <<Rhapsody in Blue>>, he opened a new era of classical style with a jazzy charm. Besides, the famous Hungary composer and pianist Liszt got his creation inspiration for <<Hungarian Rhapsodies>> from his obsession to the Gypsy music and his understanding in the rhythm of Gypsies' life. Then an image of Gypsy musical style and life rhythm came into his mind, which allowed rich imagination space in him.

The improvisational rhythm of jazzy elements often triggers inspiration of a pianist. The famous Russian Pianist Scriabin's performance is called "objective improvisational performance filled with inspiration", namely, improvisational rhythm is "flame of combustion in a morning light, while Neuhaus is nicknamed as "a pianist who undertakes a carotic performance". According to most pianists, quite a lot of scales, musical intervals, chords and changing rhythm are significant materials for improvisational performers, so frequent practice of classical piano chapters can enhance the improvisational performance capacity and inspiration of a jazzy pianist. Therefore, the famous American jazzy Pianist Ray Soencer summarized, "a splendid jazzy performance is not that objective as you imagine, 60% from knowledge of music, 20% from inspiration of creation, 10% from response of audience, and 10% from the luck." A large majority of pianists believe that, logical performance with careful thinking is unfavorable, because this approach can't coexist with inspiration of creation and with an exquisite performance. The great Pianist Rubinstein holds the view that, when a pianist selects for his performance chapter, he should keep to the principle of complying with requirements of music from the deep inside one. Some works might seem important to one, but if they can't arouse one's inspiration of performance, then it means that it is not appropriate for one to play it.

Cultivation of an internal rhythm is accumulation of living experience and performance experience. Such a piano performer can't discover his inspiration in the performance who rarely has any social experience, with colorless inner emotion and who can't experience creation intention of a composer.

#### 2.4 Triggered by the Nature

Focus on a natural phenomenon and exploration of mystery of the Nature is not only a matter of scientists. Those musicians who undertake artistic creation are also bound up in appreciating enlightenment of the Nature in a way of music and acoustics. Therefore, the Nature is an endless source of inspiration for creation of artists.

The rural environment of the Nature brings many pianists back to their memories. Then they burst out inspiration and write out an immortal piano works.

The German Composer and Pianist Brahms adopted a particular approach in his << B Flat Major Piano Concerto No. 2>>. He used the infrequent Quartet in the history of Concerto. And the principal piano never occupied an absolutely predominant position. He especially made piano and orchestral music "totally equal". Therefore, this musical composition is called "a symphony presided by piano". In the spring of 1878, Brahms travelled to Italy, in which the local conditions and customs left an extremely deep impression upon the author. Three years later when the author visited Italy once again, beauty of the Nature in the Southern European ancient country aroused his inspiration. Then he finished this musical composition that summer. The third movement is full of romantic atmosphere, which has both a "Kuchen" imperturbable and courtesy style, and an Italian anacreontic and elegant color. The Italian style in the concerto is a reveal of the author's authentic emotion.

The young Pianist Lang Lang has mentioned the concept of inspiration in several interviews. According to him, he often walks into the Nature for relaxing his mind, or just for doing exercise or searching for his inspiration nearby the river after a busy and intense piano recital.

#### 2.5 Triggered by environment and impression

A particular environment and target-oriented impression is likely to trigger a pianist's subconsciousness. However, subconsciousness is often a deep psychological structure of inspiration. Subconsciousness at the advanced level is a world of inspiration, intuition and wisdom.

Subconsciousness can also be named unconsciousness, which is an important theoretical mainstay of the psychoanalysis with Freud as a representative. Unconsciousness system of psychology established by psychoanalysis classifies people's psychological structure into three levels: firstly, subconsciousness (subsurface), or unconsciousness, which refers to repressed instinct and desire not accepted by consciousness and not perceived, and which is illogical and irrational. Secondly, preconsciousness (medial). Thirdly, consciousness (surface), or overconsciousness. Freud said, "art and beauty are nothing more than impression or desire impulse that have been implanted in subconsciousness, have not been realized and that can't go without being realized. Art and beauty are realized in a works in a simulated (modified or sublimated) form by means of imagination, and art is a path from illusion to reality". Characteristics of subconsciousness are as follows: firstly, it has a large potential, and is most likely to have with it a language of strong, positive and affirmative emotion and feeling; then a relaxed environment, an optimal and relaxed psychosomatic condition and slumber are most likely to arouse the subconsciousness; finally, subconsciousness is likely to get stimulated by an image, etc., Fuzziness, irrationality and creation are the primary characteristics of subconsciousness.

Rachmaninoff preferred to create a works in a calm surrounding. He said, "Nothing helps me more than a tranquil solitude." He has received a psychological cure, and each time the Psychiatrist asked him to sit in a pitch-dark room and silently exert an impression in his mind, the Psychiatrist would give him a hint continually, "You will start to create a concerto..., your work will proceed after your own heart..., and your piano concerto should be the best...". Finally, after his psychological cure, Rachmaninoff finished his earthshaking << Piano Concerto No. 2>>. His creation is a process of mutual blend of subconsciousness and overconsciousness, and it is a particular environment and a strong and positive linguistic hint and impression that triggered his inspiration. The <<Polonaise in A Major>> by Chopin brings one back to the image of the ancient Poland Knights, which is a patriotic Pianolude. It is said that, one night after he finished this pianolude, Chopin was playing it, when he accidentally found his door opened, and it seemed to him that a squadron of Poland warriors dressed in ancient costumes lined up and passed. Terrified, Chopin hastened out, and dare not go back to his house for a whole night. As a matter of fact, there appeared an illusion in Chopin's subconsciousness, and his psychological environment terrified him. The first section of the Polonaise is grandeur and martial, and brings one back to the occasion of the ancient knights marching. The second section is more vivid and dramatic, in which one seems to hear the clarion screaming, battle steeds galloping, and weapons claudouring. Therefore, <<Polonaise in A Major>> is called a Polonaise of the army.

The previous examples prove that, a particularly relaxed environment, an optimal physiologically relaxed condition and illusion are most likely to arouse one's inspiration.

There are also some more factors that trigger the inspiration of a pianist, such as a film, image stimulation of painting, imagery stimulation of illusion, and emotional stimulation of love and friendship etc.,

### 3. Conclusions

The author believes that, the above analysis and comments about a pianist's inspiration gives us an important theoretical enlightenment. Firstly, inspiration thinking of a pianist lies under his deep thought, and is a product of mutual interaction between consciousness and subconsciousness. Under stimulation of the subconsciousness, the inspiration thinking of a pianist functions rapidly, and is a fleeting impression, which has the characteristics of sudden and mysterious thought, instaneous comprehension, intuitional and abstract image and action. Therefore, inspiration is usually holographical, and almost embraces the entire space time. Its appearance has many accidental factors, and can't be changed in accordance with one's will since it is a unification of inevitability and chanciness of the thinking process. Then, the inspiration thinking of a pianist is closely connected with living experiences, musical environment, and psychological environment of a subject, with a model structural characteristic of consciousness  $\longleftrightarrow$  subconsciousness  $\longleftrightarrow$  consciousness. Piano music, Literature and poetry, internal rhythm, external rhythm, Nature, environment and impression are significant induction factors to lead inspiration thinking of pianists. Repin said, "inspiration is nothing more than a prize acquired from labor." Emergence of inspiration is "obtained at a moment and accumulated in days", while arduous practice, gifted perception, tough exploration and smart capture are preconditions of inspiration happening in pianists.

Inspiration exists just beside each one of us. Opportunity of its appearance is fair to all, although it is fleeting sometimes, and leaves one perplexed despite much thought. However, those pianists who are in arduous pursuit, alert at any time, and ready to sense keenly and capture the inspiration are successful examples. Baconn said, "Before acting, one should observe the opportunity like a God with a thousand eyes, and in acting, one should grasp the opportunity like a God with a thousand hands." If one consciously intends for the inspiration to appear in his piano performance and creation, it is necessary for him to understand and master particular active rules of piano inspiration thinking. And furthermore, one should often listen to an opera, symphony, and art song. One should keep up an optimistic and enjoyable sentiment, break away from the restriction of a customary thinking, cherish the best opportunity, accumulate knowledge, favor in thinking and create an opportunity for the appearance of the inspiration.

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## Curriculum as an International Text: Evaluation of Global Education from Junior High School Students' Knowledge and Attitude in Taiwan

Su-ching Lin

Associate Professor, Graduate Institute of Education  
National Changhua University of Education, Taiwan  
1, Jin De Road, Paisha Village, Changhua 500, Taiwan  
E-mail: sclin@cc.ncue.edu.tw

Hsin-Yi Kung

Assistant Professor, Graduate Institute of Education  
National Changhua University of Education  
1, Jin De Road, Paisha Village, Changhua 500, Taiwan  
E-mail: hykung@cc.ncue.edu.tw

### Abstract

This study is interested in understanding curriculum as an international text and evaluating the connections between junior high school students' global knowledge and attitudes and the required national curriculum in Taiwan. The study also examines whether the global knowledge and attitudes vary by demographic variables. By using the Global Knowledge Scale and Global Attitudes Scale, data were collected from 1,017 students in central Taiwan and analyzed by descriptive statistics, chi-square and one-way MANOVA. The results of this study revealed that, first, the global knowledge of the junior high school students was insufficient, but their global attitudes were positive. Second, there was no gender difference in global knowledge but there was a difference in global attitudes. Third, ninth graders held significantly the highest knowledge and attitudes than eighth graders and seventh graders. Fourth, there was a socioeconomic status difference in global knowledge and attitudes. Finally, students with overseas travel experience have better global knowledge and attitudes. This study suggests that practitioners and researchers need to find practical ways to improve global education including curriculum design and implementation, teacher preparation, school environment, and students' assessment.

**Keywords:** Global education, Global knowledge, Global attitudes, Junior high school students

### 1. Introduction

The 21<sup>st</sup> Century is the age of globalization which is an ongoing process of intensifying economic, social, and cultural exchanges across the planet. Globalization is about the increasing integration and coordination of markets, production, as well as of consumption and exchanges of cultures that make the old bound-nation-state increasing untenable. These global economic forces are stimulating the migration of people in unprecedented numbers from and to every corner of the earth. They are challenging schools everywhere and in multiple ways. New global realities increasingly define the contexts in which youth are growing up, living, learning, loving, and working. Indeed, globalization in its various manifestations—economic, demographic, socio-cultural—is a quotidian part of the experience of youth today. North and South, East and West, youth are creating and exchanging ideas with people in faraway places; they are wearing similar clothing, sharing tastes in music, following the achievements of today's global sports heroes and gravitating toward the same websites. This is the first generation in human history in which the fortunes of youth growing up far apart will be demonstrably linked by ever more powerful global socioeconomic and demographic realities

(Suárez-Orozco and Sattin 2007).

How is this relevant to education? According to Kirkwood (2001), students today face a new world order and their daily contacts include individuals from diverse ethnic, gender, linguistic, racial, and socioeconomic backgrounds. Moreover, students experience some of history's most serious health problems, inequities among less-developed and more-developed nations, environmental deterioration, overpopulation transnational migrations, ethnic nationalism, and the decline of the nation-state. Wilson (1993) suggests that schools adopt a global or international perspective in their curricula and that the school mission statement should include the goal that students gain a global perspective as an integral part of their education for citizenship in the 21<sup>st</sup> Century. Type (1999) argues that changes in educational program, state guidelines, and textbooks should place more emphasis on world cultures, world history, and geography. It has been a little more than 20 years since the term global education was coined. The goals we associate with global education are an important part of the curricula of many other nations for a variety of reasons. Whatever the reasons, global education is becoming a worldwide movement (Tye and Kniep, 1991).

Globalization has greatly influenced education, economy and politics. Like other countries of the world, Taiwan is zealously working to improve national competitiveness. Taiwan's educational system now needs to take a step towards upgrading the quality of its education. In keeping with the 21<sup>st</sup> Century and the global trends, the government engages in educational reform in order to foster national competitiveness and the overall quality of citizens' lives. The Ministry of Education (hereafter referred to as the MOE), therefore, initiated curricular and instructional reforms in elementary and junior high school education. The current *Curriculum Frameworks for Elementary Schools and Junior High Schools* were revised and promulgated in 1993 and 1994 respectively. The current *Curriculum Frameworks* have been gradually and properly implemented. In the 2002 academic year, all of junior high schools started to implement Grade 1-9 Curriculum. According to the Grade 1-9 Curriculum one goal is to further cultural learning and international understanding which involves appreciating and respecting different groups and cultures, understanding the history and culture of one's own country as well as others', recognizing the trend of the globalization in which countries all over the world are integrated into a global village, and developing a global perspective with mutual interdependence, trust and cooperation. In order to achieve this goal, competence indicators are developed and set in seven learning areas at various learning stages. These competence indicators are related to global education.

Elementary and secondary school levels are critical stages for students to develop the concepts and skills of global issues and culture understanding (Angell and Avery, 1992). In this study, we are interested in evaluating the connections between junior high school students' global knowledge and attitude and national curriculum, Grade 1-9 Curriculum in Taiwan. Moreover, global knowledge and attitude vary by students' gender, grade, family social-economic status, and overseas travel experience. By shedding light on the complex ways in which students learn global knowledge and develop global attitude during adolescence, this paper provides information critical to global education. These findings should stimulate reflection on the curriculum of global education, not only in Taiwan but in any society where global education aims at contemporary relevance through its impact on young people.

## 2. Global Education

What is the global education? There are many definitions of global education. Hanvey (1982) explores education for a global perspective which includes dimensions of perspective consciousness, state of the planet awareness, cross-cultural awareness, knowledge of global dynamics, and awareness of human choices. Global education will enhance the individual's ability to understand his or her condition in the community and the world and will improve the ability to make effective judgments. It includes the study of nations, cultures, and civilizations, including our own pluralistic society and the societies of other peoples, with a focus on understanding how these are all interconnected and how they change, and on the perspective of world issues, problems and prospects, and an awareness of the relationships between an individual's enlightened self-interest and the concerns of people elsewhere in the world. Kniep (1989) has argued that the structure of global education should include four components that are derived from present and historical realities: a) the study of human and universal values, such as human rights, value, dignity, and worth of all human beings; b) the study of global systems, such as economic, political, ecological, and technological systems; c) the study of global issues and problems, such as peace and security issues, developmental issues, environmental issues, and human rights issues; d) the study of global history, such as connections and exchanges among civilizations.

Following Hanvey and Kniep, others have developed the concept of global education. Anderson (1991) defines global education as involving learning about those problems and issues which cut across national boundaries and about the interconnectedness of systems—cultural, ecological, economic, political, and technological. Tye and Tye (1992) point out that global education also involves learning to understand and appreciate our neighbors with different cultural backgrounds than ours, to see the world through the eyes and minds of others; and to realize that all peoples of the world need and want much the same things. Diaz, et al. (1999) define global education as having three kinds of outcomes: cognitive, affective, and participatory. The cognitive dimension is the knowledge which the individual possesses of other cultures and how the world systems operate, the affective is the extent to which the individual

empathizes with the values of other cultures, and the participatory is the willingness to take a stand on issues. Therefore, in order to promote students' cognitive, affective, and participatory outcomes, curricula for the society must include multicultural and international content (Clarke, 2004).

According to Pike and Selby (1999) and Hicks (2003), there are four dimensions of global education. First, the issue dimension embraces five major problem areas (corresponding solutions to them): inequality/equality; injustice/justice; conflict/peace; environmental damage/care; alienation/participation. Second, the spatial dimension emphasizes exploration of the local-global connections that exist in relation to these issues, including the nature of both interdependency and dependency. Third, the temporal dimension emphasizes exploration of the interconnections that exist between past, present, and future in relation to such issues and, in particular, scenarios of preferred futures. Fourth, the process dimension emphasizes a participatory and experiential pedagogy which explores differing value perspectives and leads to politically aware local-global citizenship. Recently, Mansilla and Gardner (2007) recommended the investigation of a conceptual map highlighting four core problem areas that embody globalization's central tensions and dilemmas: economic integration, environmental stewardship, cultural encounters, and governance and citizenship.

Early research on children's cross-cultural knowledge and attitude is often traced to discover how children view their own political and cultural identities at different ages and stages of development, such as in Piaget and Wei (1951). In contrast, many studies administrated in different countries focuses on examining youths' knowledge, attitude, interest, or perception (Asia Society, 2001; Giffin et al., 2002; Osunde, 1996; Pike et al., 1979; RoperASW for National Geographic Education Foundation, 2000; Yu, 2002, Zhao et al., 2006; Zhao et al., 2005). These studies reveal similar findings: that is, that students' global knowledge and attitude are not sufficient. Moreover, there are some studies that have investigated the sources influencing students' global knowledge (Lambert and Klineberg, 1967; Petri, 1988; Davies et al., 2005). Furthermore, several studies (Blankenship, 1990; Roberts, 1994, Giffin et al., 2002) are interested in examining whether the global knowledge varies according to students' gender, grade, and race.

In Taiwan, there are not many studies on global education at the secondary school level, such as examining global education teaching at senior high school level conducted by (Liu, 2008; Wang, 2003). Another research style is document analysis of global knowledge in elementary and secondary school textbooks (Wang, 2003; Wang, 2007; Yang, 2003; Zhang, 2007). Among these studies which were conducted in Taiwan, only one of them (Jian, 1991) probed junior high students' global knowledge and attitude before new curriculum, Grade 1-9 Curricular implementation in Taiwan. In order to respond to the age of globalization, Grade 1-9 Curriculum offers competence indicators as learning objectives related to global education for students' to achieve in each learning areas. However, will the achievement of competence indicators promote better global awareness in junior high school students than the old curriculum system which did not respond to globalization? Nowadays, do Taiwan junior high school students have more knowledge and a more positive attitude toward global education than before?

This study classified global knowledge into four categories by referring and integrating the theoretical frameworks suggested in previous work (Clarke, 2004; Hanvey, 1982; Hicks, 2003; Kniep, 1989; Merryfield, 2002; Pike and Selby, 1999; Tye and Tye, 1992), including a) global correlation systems, b) global issues, c) cross-culture understanding, d) global history and geography. The following are descriptions of each element of global knowledge, also including global attitude:

- a. Global correlation systems: the interdependency and correlation among politics, economy, ecosystem, environmental pollution, social change, sciences, technology, and universal system.
- b. Global issues: international and controversial issues, such as technology, population, ethnicity, energy resources, food, ecological environment, health and hygiene, and globalism.
- c. Cross-culture understanding: understandings and appreciation of different cultural backgrounds, viewpoints, religions, history, and geography.
- d. Global history and geography: refer to the evolution of human being's values, the historical development of a global system, and the background and reasons causing global problems nowadays.
- e. Global attitude: including tolerance and appreciation, life and human rights, global dependence, communication and cooperation, war and peace, global responsibility, global thinking and local action.

### 3. Method

#### 3.1 Research questions

The purposes of this study were to investigate global knowledge and attitude for junior high school students in Taiwan. In particular we intended to explore the following questions:

- a. How is junior high school students' overall global knowledge and global attitude?

- b. Is there a difference among four dimensions of global knowledge as reported by students?
- c. Do global knowledge and attitude vary by students' gender, grade, family socioeconomic status, and overseas travel experience?

A questionnaire containing 60 items was developed by the authors to investigate the knowledge regarding students' global correlation systems, global issues, cross-culture understandings, and global history and geography, and 45 items were developed to examine students' global attitude to tolerance and appreciation, life and human rights, global dependence, communication and cooperation, war and peace, global responsibility, global thinking and local action. During the initial development stage of the questionnaire, teacher educators in social studies, secondary school teachers, and junior high school students were invited by the authors to review the questionnaire content to ensure the validity of global education categorizations.

### 3.2 Samples

The total subjects in the study were 1,017 junior high school students from central Taiwan. There were 485 males and 532 females from eleven junior high schools. The social-economic status of subjects was as follows: 142 high socioeconomic status students (14% of samples), 217 middle socioeconomic status students (21% of samples), and 658 low socioeconomic status students (65%). The grade composition of subjects was as follows: 346 students (34% of samples) were seventh grade; 336 students (33% of samples) were eighth grade; 335 students (33% of samples) were ninth grade. Prior to completing the anonymous questionnaire, students were provided with a brief explanation of appropriate response procedures.

### 3.3 Research Instruments

The study utilized questionnaires to assess junior high school students' global knowledge and global attitude. Students completed a background information form and a 'Global Knowledge Scale (GKS)' and 'Global Attitude Scale (GAS).'

*Global Knowledge Scale.* Based upon the work of Pike and Barrows (1979) and Petrie (1988), and by consulting with teacher educators in the social studies, 60 multiple-choice items were chosen for the scale. These multiple-choice items could be divided into four major dimensions. The first part, consisting of 12 items, assessed students' knowledge of global systems including the interdependence and correlations among politics, economy, ecosystem, environmental pollution, social change, sciences, technology, and universal system. The second part, consisting of 32 items, explored their realization of global issues, including international and controversial issues, such as technology, population, ethnicity, energy resources, food, ecological environment, health and hygiene, and globalism. The third part, consisting of 8 items, investigated their knowledge of cross-cultural understanding and appreciation of different cultural backgrounds, viewpoints, religions, history, and geography. The fourth part, consisting of 8 items, tested their understanding of global history and global geography. Each item rated on bipolar yes-no statements, and students were scored to get one point for every correctly answered item. Estimate of test-retest reliability coefficient for the first and second surveys is 0.90. The estimate of reliability coefficient, utilizing Cronbach's alpha, are 0.88 and 0.92 for 1st and 2nd surveys, respectively.

*Global Attitude Scale.* Based upon the work of Sampson and Smith (1957) and Petrie (1988), and by consulting with teacher educators in social studies, 45 items were chosen for the questionnaire initially. Each item rated on bipolar agree-disagree statements on a 4-point Likert scale (1=strongly disagree, 4=strongly agree), and students were asked to select the one that most accurately describes their global attitude. With additional review of global education, through factor analysis, students' global attitude was categorized into seven main categories with 37 items in total, including tolerance and appreciation (6 items), life and human right (5 items), global dependence (5 items), communication and cooperation (5 items), war and peace (4 items), global responsibility (6 items) and global thinking and local action (6 items). Estimates of reliability coefficient for seven subscales, utilizing Cronbach's alpha, ranges from 0.60 to 0.76. The results are summarized in table 1.

### Insert Table 1 about here

### 3.4 Data processing and analysis

Data analyses were performed using SPSS for Windows 14.0. Descriptive statistics, including mean and standard deviation were conducted for each component of global knowledge as well as for the seven aspects of global attitude. Scale scores were generated using the mean value of the items within each scale. Statistical tests included  $\chi^2$  test, MANOVA analysis, Post hoc comparisons.

## 4. Results

### 4.1 The junior high school students' overall global knowledge and global attitude

Students' overall correct ratio on the scales of the GKS was 60.1% and the mean for global attitude was 3.45. The results indicated that the global knowledge of the junior high school students was not enough, but their global attitude

was positive.

#### 4.2 The differences among four dimensions of junior high school students' global knowledge

Table 2 shows the item numbers and subjects' correct ratio on the scales of the GKS. In general, the four dimensions of correct ratio on global knowledge of junior high school students ranged from 57.6% to 65.9%. In order to further investigate the differences in item responses among four dimensions and within each dimension,  $\chi^2$  tests were administered on GKS; the results are presented in table 2. The non-significant result indicated that there were no differences among four dimensions (i.e., global correlation systems, global issues, cross-culture understanding, and global history and geography) of high school students' global knowledge. Within dimensions, there were significant differences in the global correlation systems of junior high school students' global knowledge.

**Insert Table 2 about here**

#### 4.3 Global knowledge and attitude in different backgrounds of students

Comparisons on the GKS and GAS scores of gender, grade, family socioeconomic status, and overseas travel experience were conducted by MANOVA analysis and post hoc comparisons.

##### 4.3.1 Global knowledge and attitude in gender difference

The results showed that, first, there was no gender difference in global knowledge ( $F=1.96, p>0.05$ ). Second, there was a gender difference in global attitude ( $F=6.698, p<0.001$ ). In order to further investigate the differences in dimension responses between male and female participants, post hoc comparisons were administered on a dimension-by-dimension basis; the results are presented in table 3. The significant results indicated that female students had higher global attitude toward tolerance and appreciation, communication and cooperation, war and peace, and global responsibility.

**Insert Table 3 about here**

##### 4.3.2 Global knowledge and attitude in grade difference

The results showed that, first, there was a grade difference in global knowledge ( $F=20.44, p<0.001$ ). In order to further investigate the differences in dimension responses among grades, post hoc comparisons were administered on a dimension-by-dimension basis; the results are presented in table 4. The results showed that 9<sup>th</sup> graders held significantly higher knowledge about global correlation systems, global issues, cross-cultural understanding, and global history and geography than the 8<sup>th</sup> graders, and that the 8<sup>th</sup> graders held significantly higher global knowledge in four dimensions than the 7<sup>th</sup> graders as well. Second, there was grade difference in global attitude ( $F=3.79, p<0.001$ ). According to a dimension-by-dimension basis, post hoc comparisons were performed and the results are presented in table 5. The significant results indicated that 9<sup>th</sup> graders had higher global attitude toward tolerance and appreciation than did 8<sup>th</sup> and 7<sup>th</sup> graders.

**Insert Table 4 about here**

**Insert Table 5 about here**

##### 4.3.3 Global knowledge and attitude in family socioeconomic status difference

The results showed that, first, there was a SES difference in global knowledge ( $F=7.72, p<0.001$ ). Post hoc comparisons were administered on a dimension-by-dimension basis; the results are presented in table 6. The results showed that high and middle SES students held significantly higher knowledge towards global correlation systems, global issues, cross-cultural understanding, and global history and geography than the low SES students. Second, there was a SES difference in global attitude ( $F=1.82, p<0.05$ ). Post hoc comparisons were administered and the results are presented in table 7. The significant results indicated that, first, middle SES students had higher global attitude toward tolerance and appreciation, communication and cooperation, war and peace, global responsibility, and global thinking and local action than the low SES students. Second, high and middle SES students had higher global attitude toward global dependence than the low SES students.

**Insert Table 6 about here**

**Insert Table 7 about here**

##### 4.3.4 Global knowledge and attitude in overseas travel experience difference

The results showed that, first, there was a difference in global knowledge between students with and without overseas travel experience ( $F=2.93, p<0.05$ ). Post hoc comparisons were administered on a dimension-by-dimension basis; the results are presented in table 8 and showed that students with overseas travel experience held significantly higher knowledge towards global issues, cross-cultural understanding, and global history and geography than did students without overseas travel experience. Second, there was a difference in global attitude between students with and without overseas travel experience ( $F=2.05, p<0.05$ ). The results of post hoc comparisons are presented in table 9. The

significant results indicated that students with overseas travel experience had higher global attitude toward war and peace than did students without overseas travel experience.

**Insert Table 8 about here**

**Insert Table 9 about here**

## 5. Discussions

### 5.1 Global knowledge and attitude

The purpose of this study was to evaluate the connection between junior high school students' global knowledge and attitude and the required national curriculum, Grade 1-9 Curriculum in Taiwan. In addition, this investigation also sought to ascertain the influence of gender, grade, family socioeconomic status, and overseas travel experience on students' global knowledge and attitude. This investigation used a 'Global Knowledge Scale' and a 'Global Attitude Scale' as instruments grounded in literature review as the guiding framework to discern the global knowledge and attitude of junior high school students.

Overall, descriptive statistics suggest that students' global knowledge in Taiwan is insufficient, but their global attitude is positive. The results are similar to the outcome of the studies arranged in different countries (Asia Society, 2001; Giffin et al., 2002; Osunde, 1996; Pike et al., 1979, RoperASW for National Geographic Education Foundation, 2000; Zhao et al., 2006, Zhao et al., 2005). Similarly to Jian's findings (1991), which indicating that students' global knowledge in the 90's in Taiwan was insufficient, the present study also found that students' global knowledge is not sufficient after implementing the Grade 1-9 Curriculum. As mentioned above, although there are many competence indicators of global education in the Grade 1-9 Curriculum, which is the direction to design curriculum, including leaning objectives, selecting teaching materials, learning activities, and learning assessment, Chin (2008) argues that most of the competence indicators cannot properly connect to learning objectives. Additionally, Liu (2008) indicates more than 80% of teachers in Taiwan do not recognize competence indicators very highly as the ideal learning goals due to their vague. Petri's (1988) study indicates that the teacher is the main factor influencing students' knowledge. Asia Society's study (2001) also reveals that most students identified their teachers and schools as not being prepared to help them to learn international knowledge. While teachers recognize competence indicators as vague, it might be difficult for them to transform them into learning objectives and to ask students to achieve. The above findings (Chin, 2008; Liu, 2008) might address why students' global knowledge is still not sufficient after implementing the Grade 1-9 Curriculum in Taiwan. However, this study only involved one measure of students' global knowledge and attitudes, other measures (e.g, classroom observation of curriculum implementation) may have been more information regarding global education.

In light of four major dimensions, the items in the dimensions of global history and geography get the highest correct ratio. According to Zhang (2007) and Wang (2003), global history and geography in the social studies textbooks were presented more than any other subject in the sub-category. Additionally, this might be because of the examination system. Although there are many competence indicators of global education in the Grade 1-9 Curriculum, the contents of curricular and instruction have been dominated by the entrance exam, especially at secondary school level. In Taiwan, the entrance exam consists of five domains: Chinese, English, Mathematics, Social Studies, and Science. The knowledge of global history and geography are included in the Social Studies and junior high school teachers emphasized them. This might address why the sub-category of global history and geography have the highest correct ratio.

We discovered that students' global knowledge was insufficient. Although there are many competence indicators of global education are set in Grade 1-9 curriculum, most grade 1-9 school teachers ignore competence indicators and merely rely on textbooks (Chin, 2008). Textbooks can be used as a curriculum implementation tool that influenced students' global knowledge and attitudes (Zhang, 2007; Chi, 2008; Petri, 1988). Textbooks are major source for students acquiring global knowledge. This study suggests that the systems of textbooks verification should be rigid and examine if the competence indicators transform into learning objectives precisely. From previous study (Holden and Hicks, 2007), traditionally, teacher preparation programs have not focused on preparing teachers to teach their students about the world. We suggest that schools of education are beginning to recognize the need to internationalize their programs and we should offer in-service teachers a professional development initiative to help them integrate international content in all major subject areas. In addition, government should provide technology service to encourage the use of information sources from around the world and help teachers engage in international classroom-to-classroom collaborations. Furthermore, nationwide assessments should be reviewed to include global content, and the analytical and higher order thinking skills that students will need to face the challenges of a changing world.

### 5.2 Demographics

Demographic variables such as gender, grade, family socioeconomic status and overseas travel experience were mostly found to be systematically related to the students' global knowledge and attitude. When examining the gender

difference in global knowledge and attitude, there was no difference in global knowledge. This finding is not consistent with the findings of Jian (1991) and Roberts (1994). These two studies report the similar results that males performed significantly better than females on the global knowledge test. This difference might be due to sample selection, instruments, and locations. However, significant differences were found in that female students held significantly higher attitude towards tolerance and appreciation, communication and cooperation, war and peace, and global responsibility than did male students. This finding is consistent with Jian (1991) and Giffin et al. (2002).

When the impact of participants' grade was considered for global knowledge and attitude, 9<sup>th</sup> graders held significantly the highest knowledge towards global correlation systems; global issues, cross-cultural understanding, and global history and geography; and 9<sup>th</sup> graders had higher global attitude toward tolerance and appreciation than did 8<sup>th</sup> and 7<sup>th</sup> graders. This finding is consistent with Jian (1991) and Giffin et al. (2002). Eicher, et al. (1975) study found evidence of Piaget's stages of intellectual development, with older students possessing a more accurate and realistic view of the world than their younger counterparts.

Considering the differences in family socioeconomic status and overseas travel experience, there was a socioeconomic status difference in global knowledge and attitude. This finding is consistent with Jian (1991). Additionally, there was a difference in global knowledge and attitude between students with and without overseas travel experience. This finding partially concurs with Jian's (1991) finding, indicating that students with overseas travel experience had higher global knowledge. The results might vary by students' cultural stimulus, family environment and parental expectations. Generally speaking, high socioeconomic status families can offer more resources and provide better environment for their children. Coleman (1988) has argued that family background 'is analytically separable into at least three different components: financial capital, such as family income or wealth; human capital, such as the levels of parents' education; and social capital, such as the relations among parents and children (Coleman 1988:109).' Bourdieu (1997) suggests that the concept of cultural capital offers another perspective for understanding varying levels of parental involvement in children's schooling. Cultural experiences in the home facilitate children's adjustment to school and academic achievement. From this perspective, our findings might be reasonable.

The results of this study reveal quite different patterns among the set of variables examined, for example, there was no gender difference in global knowledge but difference in global attitude; 9<sup>th</sup> graders held significantly the highest knowledge and attitude; there was socioeconomic status difference in global knowledge and attitude; students with overseas travel experience have better global knowledge and attitude. This finding is particularly valuable for teachers and school administrators to implement the global curriculum, to provide a valuable learning environment, such as international week, global newsletter, cultural gallery, and to offer students global information in order to increase global knowledge and positive attitude. Additionally, we encourage international exchanges and partnerships in which students can participate individually in order to increase their own international knowledge. For example, schools may sign cooperative agreements with other countries for school-to-school partnerships.

## 6. Conclusions

The 21<sup>st</sup> Century is the age of globalization. Today students face a new world order and their daily contacts will include individuals from diverse ethnic, gender, linguistic, racial, and socioeconomic backgrounds. Moreover, students will experience some of history's most serious health problems, inequities among less-developed and more-developed nations, environmental deterioration, overpopulation transnational migrations, ethnic nationalism, and the decline of the nation-state. These changes are creating a need to acquire a global education. School curricula should respond to global education, which directly influences students' knowledge and attitude. In order to broaden students' global perspectives, we should emphasize a global curriculum not only on individual development but also on the impact of globalization. Our findings contribute to recent calls for more evidence of the effects of global education on teaching practices. Our data provide the disconnections between students' global knowledge and attitude and national curriculum and stimulate reflection on global education, not only in Taiwan but in any society. Our findings also suggest both practitioners and researchers to create suitable textbooks and school systems that would enhance students learning. We believe that when students attain adequate global knowledge and positive attitudes, they are prepared for global citizenship. On the other hand, if students lack of global knowledge and attitude, it is difficult for them to face global challenge and competitiveness. Moreover, students' global knowledge is insufficient and global knowledge and attitudes vary by students' demographic factors. Schools need to find practical ways to help students that are at a disadvantage by stimulating and empowering them.

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Table 1. Cronbach’s alpha values for the instrument of Global Attitude Scale

Dimension	Cronbach’s $\alpha$
Tolerance and appreciation	0.66
Life and human rights	0.75
Global dependence	0.60
Communication and cooperation	0.69
War and peace	0.60
Global responsibility	0.70
Global thinking and local action	0.76
Composite (Seven dimensions)	0.92

Table 2. Subjects’ correct ratio and item numbers of Global Knowledge Scale

Dimension	Sub-category	Correct ratio	Item number	$\chi^2$ ( $p$ -value)
Global correlation systems		57.6%	8	6.52* ( $p = 0.04$ )
	Politics	42.7%	3	
	Economy	61.1%	2	
	Universal system	70.1%	3	
Global issues		59.2%	22	5.73 ( $p = 0.57$ )
	Technology	71.3%	3	
	Population	61.3%	2	
	Race	49.3%	2	
	Energy	52.2%	3	
	Food	58.1%	3	
	Ecological environment	63.7%	2	
	Health and hygiene	64.3%	3	
Globalization	53.7%	4		
Cross-cultural understanding		59.2%	7	0.21 ( $p = 0.65$ )
	Culture	61.9%	3	
	Religion	57.2%	4	
Global history and geography		65.9%	8	0.27 ( $p = 0.60$ )
	Global history	62.8%	4	
	Global geography	69.1%	4	
Composite (Four dimensions)		60.1%	45	0.03 ( $p = 0.99$ )

\* $p < 0.05$ .

Table 3. Gender difference in global attitudes and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Tolerance and appreciation					
Between groups	185.68	1	185.68	27.19***	2>1
Within groups	6931.25	1015	6.83		
sum	7116.92	1016			
Life and human rights					
Between groups	13.82	1	13.82	2.80	
Within groups	5001.61	1015	4.93		
sum	5015.43	1016			
Global dependence					
Between groups	7.20	1	7.20	1.47	
Within groups	4957.87	1015	4.89		
sum	4965.06	1016			
Communication and cooperation					
Between groups	52.81	1	52.81	9.56**	2>1
Within groups	5610.08	1015	5.53		
sum	5662.89	1016			
War and peace					
Between groups	123.50	1	123.50	27.72***	2>1
Within groups	4521.23	1015	4.45		
sum	4644.73	1016			
Global responsibility					
Between groups	89.41	1	89.41	11.63**	2>1
Within groups	7804.09	1015	7.69		
sum	7893.51	1016			
Global thinking and local action					
Between groups	12.15	1	12.15	1.69	
Within groups	7297.00	1015	7.19		
sum	7309.15	1016			

Note : 1=Male      2=Female

\*\*  $p < 0.01$ .    \*\*\*  $p < 0.001$ .

Table 4. Grade difference in global knowledge and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Global correlation system					
Between groups	234.95	2	117.48	43.86***	3>2>1
Within groups	2715.94	1014	2.68		
sum	2950.89	1016			
Global issues					
Between groups	1684.39	2	842.20	50.04***	3>2>1
Within groups	17065.36	1014	16.83		
sum	18749.75	1016			

Cross-cultural understanding						
Between groups	451.13	2	225.57	73.93***	3>2>1	
Within groups	3093.91	1014	3.05			
sum	3545.04	1016				
Global history and geography						
Between groups	331.33	2	165.67	49.22***	3>2>1	
Within groups	3412.68	1014	3.37			
sum	3744.01	1016				

Note : 1=7<sup>th</sup> graders      2=8<sup>th</sup> graders      3=9<sup>th</sup> graders  
 \*\*\*  $p < 0.001$ .

Table 5. Grade difference in global attitudes and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Tolerance and appreciation					
Between groups	1.60	2	0.78	0.11	
Within groups	7115.32	1014	7.02		
sum	7116.92	1016			
Life and human rights					
Between groups	81.74	2	40.87	8.40***	3>2
Within groups	4933.69	1014	4.87		3>1
sum	5015.43	1016			
Global dependence					
Between groups	21.36	2	10.678	2.19	
Within groups	4943.71	1014	4.875		
sum	4965.06	1016			
Communication and cooperation					
Between groups	3.93	2	1.963	0.35	
Within groups	5658.97	1014	5.581		
sum	5662.89	1016			
War and peace					
Between groups	9.93	2	4.966	1.09	
Within groups	4634.80	1014	4.571		
sum	4644.73	1016			
Global responsibility					
Between groups	31.00	2	15.50	2.00	
Within groups	7862.51	1014	7.75		
sum	7893.51	1016			
Global thinking and local action					
Between groups	46.59	2	23.30	3.25*	
Within groups	7262.56	1014	7.16		
sum	7309.15	1016			

Note : 1=7<sup>th</sup> graders      2=8<sup>th</sup> graders      3=9<sup>th</sup> graders  
 \*  $p < 0.05$ . \*\*\*  $p < 0.001$ .

Table 6. Family socioeconomic status difference in global knowledge and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Global correlation system					
Between groups	81.61	2	40.80	14.42***	1>3
Within groups	2869.28	1014	2.83		2>3
sum	2950.89	1016			
Global issues					
Between groups	1026.48	2	513.24	29.36***	1>3
Within groups	17723.27	1014	17.48		2>3
sum	18749.75	1016			
Cross-cultural understanding					
Between groups	115.51	2	57.75	17.08***	1>3
Within groups	3429.53	1014	3.38		2>3
sum	3545.04	1016			
Global history and geography					
Between groups	127.23	2	63.61	17.83***	1>3
Within groups	3616.78	1014	3.57		2>3
sum	3744.01	1016			

Note : 1=high SES status      2=middle SES status      3=low SES status

\*\*\*  $p < 0.001$ .

Table 7. Family socioeconomic status difference in global attitudes and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Tolerance and appreciation					
Between groups	73.72	2	36.86	5.31**	2>3
Within groups	7043.20	1014	6.95		
sum	7116.92	1016			
Life and human rights					
Between groups	15.63	2	7.81	1.59	
Within groups	4999.80	1014	4.93		
sum	5015.43	1016			
Global dependence					
Between groups	61.58	2	30.79	6.37**	1>3
Within groups	4903.48	1014	4.84		2>3
sum	4965.06	1016			
Communication and cooperation					
Between groups	67.89	2	33.95	6.15**	2>3
Within groups	5595.00	1014	5.52		
sum	5662.89	1016			
War and peace					
Between groups	59.549	2	29.78	6.59**	2>3
Within groups	4585.178	1014	4.52		
sum	4644.728	1016			
Global responsibility					
Between groups	91.895	2	45.95	5.97**	2>3
Within groups	7801.612	1014	7.69		

sum	7893.506	1016			
Global thinking and local action					
Between groups	56.875	2	28.44	3.98*	2>3
Within groups	7252.271	1014	7.15		
sum	7309.147	1016			
<i>Note</i> : 1=high SES status    2=middle SES status    3=low SES status					
* $p < 0.05$ . ** $p < 0.01$ .					

Table 8. Overseas travel experience difference in global knowledge and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Global correlation system					
Between groups	5.79	1	5.79	2.00	
Within groups	2945.09	1,015	2.90		
sum	2950.89	1,016			
Global issues					
Between groups	137.88	1	137.88	7.52**	1>2
Within groups	18611.87	1,015	18.34		
sum	18749.75	1,016			
Cross-cultural understanding					
Between groups	34.11	1	34.11	9.86**	1>2
Within groups	3510.93	1,015	3.46		
sum	3545.04	1,016			
Global history and geography					
Between groups	29.31	1	29.31	8.01**	1>2
Within groups	3714.70	1,015	3.66		
sum	3744.01	1,016			

*Note* : 1=students with overseas travel experience

2=students without overseas travel experience

\*\*\* $p < 0.01$ .

Table 9. Overseas travel experience difference in global attitudes and Post hoc comparisons

Source	SS	df	MS	F value	Scheffé
Tolerance and appreciation					
Between groups	5.51	1	5.51	0.79	
Within groups	7111.41	1,015	7.01		
sum	7116.92	1,016			
Life and human rights					
Between groups	0.20	1	0.20	0.04	
Within groups	5015.23	1,015	4.94		
sum	5015.43	1,016			
Global dependence					
Between groups	0.01	1	0.01	0.01	
Within groups	4965.06	1,015	4.89		
sum	4965.06	1,016			
Communication and cooperation					
Between groups	5.74	1	5.74	1.03	
Within groups	5657.15	1,015	5.57		
sum	5662.89	1,016			
War and peace					
Between groups	20.69	1	20.69	4.54*	1>2
Within groups	4624.04	1,015	4.56		
sum	4644.73	1,016			
Global responsibility					
Between groups	1.20	1	1.20	0.16	
Within groups	7892.30	1,015	7.78		
sum	7893.51	1,016			
Global thinking and local action					
Between groups	21.03	1	21.04	2.93	
Within groups	7288.11	1,015	7.18		
sum	7309.15	1,016			

Note : 1=students with overseas travel experience

2=students without overseas travel experience

\*  $p < 0.05$ .



## From American Dreams to American Tragedies — Theodore Dreiser's Ponderation on American Society and Ruination of Morality

Chengcheng Zhang & Hui Zhang

Foreign Language Teaching & Researching Department, Hebei University

Baoding 071002, Hebei Province, China

E-mail: jessicazcc@gmail.com

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### Abstract

Theodore Herman Albert Dreiser is one of America's greatest naturalist writers. He believed that human beings are helpless in the grip of instincts and social forces beyond their control, and he judged human society as an unequal contest between the strong and the weak. Both of his masterpieces *Sister Carrie* (1900) and *An American Tragedy* (1925), which were mostly based on his personal experience, expanded and clarified those themes. By comparing Theodore Dreiser's *Sister Carrie* and *An American Tragedy*, this thesis analyzes the author's exploration of the possibilities of 20<sup>th</sup> century American life with its material profusion and spiritual doubt of the life value.

**Keywords:** American dreams, American tragedies, Comparison, Morality

### 1. Historical background

#### 1.1 About the author

Theodore Herman Albert Dreiser was the ninth of 10 surviving children in a family whose perennial poverty forced frequent moves between small Indiana towns and Chicago in search of a lower cost of living. In 1943, he wrote to one of his friend, "unlike yourself I am biased. I was born poor. For a time in November and December once I went without shoes. ... And for this reason... I regardless of whom or what, am for a social system that can and will do better than that for its members—those that try, however humbly—and more, wish to learn how to help themselves, but are none-the-less defeated by the trickeries of those who believe that money distinguishes them above all others."

Therefore Dreiser's own harsh experience of poverty as a youth and his early longing for wealth and success would become dominant themes in his novels, and the misadventures of his brothers and sisters in early adult life gave him additional material on which to base his characters. He was more concerned with society's effect on a person than with man apart from his environment, and his treatment of the social forces, which produce the murderers and prostitutes, as well as the business successes, is still modern to the society nowadays.

#### 1.2 About America in early 20th century

The decade of the 1920's was a period marked by an exciting acceleration in the tempo of American life. Industrialism produced financial giants, industrial proletariat, the degeneration of morality and distortion of comprehensive philosophy of the world or of human life. And the word "American dream" became a representation of that age. Average Americans believed that, "the possession of money would certainly solve all earthly ills. You could see it in the faces of the people, in their step and manner. Power, power, power—everyone was seeking power in the land of the free and the home of the brave."

And even the author himself "was dreaming of love and power too." The years during and after World War I when Dreiser wrote *Sister Carrie* (1900) and *An American Tragedy* (1920) were troubled ones. The war changed the outlook of all Americans in very significant ways. It took away some of their provincialism, it intensified the pessimism and

disenchantment with what was peculiarly American, and it led to widespread expatriation. The general prosperity characterized the 1920's proved to be insecurely founded, and ended with the stock-market crash, prelude to the serious economic depression in American history. And in this case, "the enduring writing of the first quarter of the 20th century is, more often than not, critical of the quality of American society. Its tone is satirical, the stereo-typed American is made a figure of fun or an object of pathos, the American dream is shown to be illusory."

But Theodore Dreiser did not such a tone in his own novels. He just tried to treat human beings scientifically, rather than intuitively with the poetic insight so much prized by writers of the 19th century. However, when he finished *Sister Carrie* in 1900 and sent it to a publisher Mr. Doubleday who would take a vacation with his wife, Mrs. Doubleday "was horrified at the idea of his firm's being associated with such an immoral book." They only printed a thousand copies and even didn't send them to any bookstores. Dreiser could not accept this and for several years he was unable to write anything. Then Dreiser devoted himself entirely to commercial work for almost six years since 1908, and became very successful. At that time he got a conclusion, "We like realism but it must be tinged with sufficient idealism to make it of a truly uplifting character... We cannot admit stories which deal with false or immoral relations, or which point a false moral, or which deal with things degrading, such as drunkenness."

## 2. The themes of Dreiser's writing

American naturalists, as Dreiser, emphasized that world was amoral and human beings were controlled by the environment. The pessimism and deterministic ideas of naturalism pervaded the works of Dreiser. He offered vivid pictures of the lives of the down-trodden and the abnormal they exhibited frank treatment of human passion and sexuality, and he portrayed men and women overwhelmed by the blind forces of nature. He was deep influenced by social Darwinism and the theory of Zola that man was the product of social processes and forces and of an inevitable kind of social evolution. Dreiser's tone was always serious, never satirical or comic. It was fitting, then, that his best works were based on his own experiences or those of his immediate family, like *Sister Carrie*, or are fictional re-creations of actual happenings, like *An American Tragedy*.

## 3. Comparisons between the two works

### 3.1 The similar settings

Dreiser's first novel, *Sister Carrie* (1900), is a work of pivotal importance in American literature and is the first masterpiece of the American naturalistic movement in its factual presentation of the vagaries of urban life and in its ingenuous heroine, who were unpunished for her transgressions against conventional sexual morality. The book's strengths included a brooding but compassionate view of humanity, a memorable cast of characters, and a compelling narrative line.

In the first chapter of *Sister Carrie*, Dreiser described "She (Carrie) was eighteen years of age, bright, timid, and full of the illusions of ignorance and youth." and "a half-equipped little knight" who was "venturing to reconnoiter the mysterious city and dreaming wild dreams of some vague, far-off supremacy" This young naive rural and lovely girl was just used by men and then learned to use them in turn to realize her ambition to become a successful Broadway actress. At the beginning of the 20th century, the big city in American like Chicago where the story took place were full of people from rural areas and even from overseas. They swarmed into industrial areas in search of jobs. Carrie was among the crowd and together with others longing for their dreams—wealth, success, and satisfaction of original desires.

Quite similar to *Sister Carrie*, *An American Tragedy* (1925), Dreiser's longest novel, also told a story about the life of a young person who was longing for his new life in the metropolis. "The center of this immense novel's thick texture of biographical circumstance, social fact, and industrial detail is a young man who acts as if the only way he can be truly fulfilled is by acquiring wealth---through marriage if necessary." The antihero was named Clyde Griffiths. The novel began with Clyde's shabby background, recounts his path to success, and culminates in his apprehension, trial, and execution for murder. Dreiser's labyrinthine speculations on the extent of Clyde's guilt strengthened his searing indictment of materialism and the American dream of success, and that was also the theme of *Sister Carrie*. The author offered the main characters in these two works a similar living background and social environment because he himself was very familiar with the taste of how a green hand struggled in society. (At the age of fifteen, in Chicago Dreiser once had a series of badly paid jobs as a dishwasher, porter, and shipping clerk.)

### 3.2 Different attitudes

Although the protagonists' background settings are similar to each other, Dreiser took up different attitudes towards his characters. In *Sister Carrie*, the author showed deep sympathy and respect for all human beings, and the essential dignity he had found in even the most ineffectual defeated man or woman. He did not judge people as good or evil seemingly. Though Carrie made use of her lovers and transgressed the standard of sexual morality, which was hard to be accepted by the contemporary women, she was not described as a prostitute by Dreiser. Also set the first chapter as an example, when Drouet paid court to Carrie on the train to Chicago, "the instincts of self-protection and coquetry

mingling confusedly in her (Carrie) brain.” For a young lady as Carrie who had just left home and made her first entrance into a strange world, “there was something satisfactory in the attention of this individual with his good clothes.” Carrie’s behavior was conducted on personal goals. As what Dreiser described when Carrie had found a job in a large wholesale shoe house, “She now felt that life was better, that it was livelier, sprightlier... her blood still flowing pleasantly. She would live in Chicago... She would have a better time than she had ever had before--she would be happy.” She just wanted to live in that city and be happy. She abandoned her poor sister because she did not want to be like her and Drouet could provide a better living condition, again she left Drouet because Hurstwood was much more wealthy than Drouet, later she abandoned Hurstwood after she made her own fortune. All the changes in her lives followed her dreams, her original desires. So it was difficult for readers to get somewhat of a dividing line for what degree of Carrie’s desires was acceptable and what was not, and for when Carrie was still pure and when she became morally depraved. The declining morality of Carrie, is just like Eve. It is too hard to resist the temptation of the apple—the misdirected view of social value—the veneration for power, money, success and luxuries.

Dreiser created Clyde Griffiths in an impersonal, calm, or even cruel way, which is quite different with the attitude of sympathy towards Carrie. From Clyde Griffiths’ whole experiences readers could see that the author treated life as a vicious trap, a cruel game. To be frank and almost clinically direct, Dreiser portrayed human beings as animals driven by fundamental urges ----- fear, hunger, and sex. Such thoughts could be found and proved in his following words, “Of one’s ideals, struggles, deprivations, sorrows and joys, it could only be said that they were chemic compulsions, something which for some inexplicable but unimportant reason responded to and resulted from the hope of pleasure and the fear of pain. Man was a mechanism, undevised and uncreated, and a badly and carelessly driven one at that.” It was also the foundation for Dreiser to shape the image of Clyde in whom the author threw his pessimism on human defects such as greed, selfishness, indifference and depravity. Clyde Griffiths believed in American dreams and in the values promised by American society—comfort, opulence, dignity, and security, that was why he left home to Lycurgus, why he wanted to abandon Roberta who had been pregnant and began to dream of a wealthy and glamorous marriage that would secure for him the life he so desperately wanted. He pursued his success and realization of his dreams without considering how it was won. Here Dreiser expressed a view of the determinism of the inner and subconscious desires, a view of social and environmental determinism by Clyde’s stories.

#### 4. Comparisons of the characters

##### 4.1 Comparison between Hurstwood and Carrie

Readers could also find the author’s ideas that human beings were helpless and governed by their instincts and the forces of environment by comparing Carrie with Hurstwood, another important character in *Sister Carrie*.

Hurstwood was a sharp contrast to Carrie. Through the story, Dreiser showed readers Hurstwood’s fall along with Carrie’s rise. For example, Dreiser wrote about Hurstwood that he was “a very successful and well-known man about town” and he had “a good, stout constitution, an active manner, ... fine clothes, clean linen, jewels...”, all that the poor rural girl Carrie, who went forward to Chicago possessed “a small trunk, a cheap imitation alligator-skin satchel, a small lunch in a paper box, and a yellow leather snap purse”, lacked in and thus longed for. Therefore Hurstwood and Carrie were strikingly defined into different classes---the upper and the lower. However, they each possessed what the other one needed. Hurstwood was eager to get love and enthusiasm of the youth from Carrie, and Carrie was drawn closer to Hurstwood because his dashing outward look and gentle manner were in accord with her conception of a comfortable life. And here, Theodore Dreiser showed readers a social stage on which love, enthusiasm, and even marriage could be used, could be exchanged.

In the view of a certain stratum of society, Carrie had gained what she was longing for—a better living condition and new life style. However, her satisfaction was crashed by what she saw on a new level of her life, which was built up by the money Hurstwood stole from his employer and did not tell her about this. The new world interested Carrie exceedingly. In chapter 31 the author described, “With a start she awoke to find that she was in fashion’s crowd, on parade in a show place -- and such a show place! Jewellers’ windows gleamed along the path with remarkable frequency. Florist shops, furriers, haberdashers, confectioners--all followed in rapid succession.” And such a fashionable place made her feel that she did not belong to it. She began to realize her unfavorable situation and the limitation of what Hurstwood could afford. To those people as young as Carrie, a new situation might mean opportunity and potential success for themselves. She accepted new changes rapidly with excitement and was looking forward of adventuring in the outside world. Carrie’s desire was aroused and stirred tremendously for more fashionable and luxurious life style. In this sense, Carrie was advancing mentally compared with Hurstwood’s stillness or even falling back.

However, the author did not want to discuss who was right and who was wrong. Once he wrote to a contemporary English writer, he said, “they are so serious, so pathetic, so—in the main—somber and so beautiful. They are so full of a genuine understanding of life and of a kind of sane sorrow because of the fact that in general things are so necessitous, so hopeless, and so unrewarded. And yet there is a courageous and hence impressive joy in the amazing and ebullient beauty that informs the necessitous and inexplicable and unescapable business which we know as living.” So there must

be some reasons for everything—self-preservation for different goals determines people's action. Though the balance between Carrie and Hurstwood was upset (Hurstwood began his plummet that would accelerate along with Carrie's gradual social climb), the contrast between them climaxed when Carrie had become the most popular star on newspaper but Hurstwood was just a poor reader, Dreiser did not want to blame anyone of them. The author felt that people only did what they had to do to follow their circumstances. Their behaviors were controlled by external and internal forces, environment or heredity but not by free will. For instance, Carrie's struggle against lowliness, her leaving from Hurstwood, or Hurstwood's being enchantment with Carrie and subsequent defalcation, superficially were determined by their will and discretion, but the will was often enslaved on account of different reasons such as different social status or great disparity in living condition.

Hurstwood was a multi-functional mirror of society. Concerning the development of characters in this novel, Hurstwood was the most changeable one, even more varied than Carrie. He appeared as a successful bar manager at the beginning, then a job hunter, scab driver and street beggar. From the top level of society, he gradually fell down to the lowest layer. Through portraying such a person, Dreiser depicted the social scenes, the modern life in general,

When Hurstwood stayed at his managerial position, he acted the way what a wealthy person did. With steady work, financial security, peaceful family life, plenty of friends, he enjoyed his free life style. Besides, he found new love—-young beauty Carrie, to make his life more colorful and interesting. Dreiser also used him to narrate the extramarital affairs, which was considered especially immoral. Then he played a stealing by chance. Here, he became a criminal at large somehow. In New York, Hurstwood was weak both physically and financially. His experience in managing his business and family belonged to those less competent adventurers in such a metropolis. He wanted to try his best, however, the reality was not so favorable to him. Later, he changed to be a job loser and had to seek jobs as what Carrie did in the past. His suffering this time together with Carrie's, were used by the author to show the difficulties for people to get living into the modern city.

When Hurstwood became scab in a fierce strike, he felt sympathy for the workers at first. But soon he decided to take advantage of this matter—he went to the company and got the job easily. Dreiser spotted light on workers' desperate attempt to improve their living conditions and described how scabs behaved. The striking motormen and conductors claimed that “they had been wont to receive two dollars a day in times past” but “more ‘trippers’ had been introduced which cut down their chance of livelihood one-half”, and “when the rush or busy hours were over, they were laid off. Worst of all, no man might know when he was going to get a car.” With all such situation together with Hurstwood's degeneration into a beggar, his roam in streets for money, his suffering from coldness at winter night and his suicide in a room of a dirty four-story building, what Dreiser wanted to do was to give people various visions of the realities, including the most pain-burning sight. The author didn't mean to criticize this or that, but only wanted to tell the truth, to tell those who had been used to the “complacent, optimistic tone of the popular poets and novelists” what the real American society was. He was writing with mixed feelings because he himself, who had experienced the hardships of earning one's living in the society, was just quite clear of different aspects of the social life. And it also proved Dreiser's theme that was the desire to change one's own living conditions that urges everyone living in this society. Therefore it would not be fair to tell who are right.

#### *4.2 Comparison between Clyde and Carrie*

Carrie's stories are mostly based on the author's own family or personal experiences. However in *An American Tragedy*, the stories of the protagonists are much more complicated. And this time it is based on the facts taken from a contemporary newspaper story, a fact sensitively handled may well blossom into a truth. The sensational murder trial reported in 1906 became a profound revelation of the generally unperceived canker at the heart of American life. And by comparing Clyde and Carrie's last scenes of lives, readers can easily get the full taste of process from American dreams to American tragedies.

In *An American Tragedy*, when Clyde stumbled toward the electric chair, the last thought in his mind was, Would no one ever understand—or give him credit for his human—if all too human and perhaps wrong hungers—yet from which so many others—along with himself suffered? The context of those words was just another evidence of the author's pessimism complex—in the situation that Clyde had been described as a cold-blooded hypocritical seducer and aforethought murderer by public and he could not get away with his guilt and would be sentenced to death at last, there still existed hope for him, that was, if he declared his conversion to the true faith, he will insure forgiveness in heaven. And that was all what he could do at the end of his life. Even so, Clyde felt puzzled about himself, about what he had been searching for in his ephemeral lifetime. and about the world he was trying so hard to live in.

However, this death scene is not the last chapter of this novel. When readers go on with their reading, they will be back in the same place where all the stories began—Clyde's birthplace, the beginning of his dreams (actually of his nightmares and death)—Kansas City. And also the same with Chapter 1, the pathetic family was still singing a feeble hymn. But the old father was frailer, the mother still stood strong but her face was seamed with lines of misery. Instead of their son, the eight-year-old grandson stood beside them asking his grandmother for a dime to buy ice-cream. And the

grandmother gave it to him and thought that they must not be too strict with him—perhaps that was their mistake with Clyde. But readers are quite clear that people would continue pursuing their goals and dreams which are granted by American social value that “nowhere else was the power of money so naked and brutal, nowhere else would young people grow up so without communal ties, cultural traditions or ethical standards which they could oppose to it, nowhere else, ... would they have nothing but the cheap Hollywood films they had seen, to turn to for exemplar or advice in moments of crisis.” And if the value is not changed, Clyde’s tragedy would continue. Watching the view of the little boy’s back, readers will feel that everything has turned back to the very beginning. Here again, Dreiser emphasized the helplessness of human beings and the ineluctable social forces.

In the last chapter of *Sister Carrie*, Carrie was sitting in the Waldorf and looked outside at the snow. She felt sorry for the people who had no places to go. At the same moment Hurstwood was waiting outside a cheap hotel hoping to get a room. The novel returned to Carrie at the end and showed that she was still not satisfied with her life. She was used to think that those luxury gowns and carriage, her furniture and bank account were just what she was dreaming of. Then she thought that she only need the life represented by these luxuries. But finally, “time proved the representation false.” She felt lonely and perplexed that why she could not get her happiness that all what she wanted. She continued to sit in her rocking chair and stared out the window “waiting for that halcyon day when she should be led forth among dreams become real,” though the dreams would become a farther step once and again, “if accomplished, would lie others for her.” Dreiser, in a dramatic shift in the last paragraph, switched from the third person to the second person. This resulted in the author speaking directly to readers. They would feel that they are all like Carrie, desperate for the next best thing, eager to forget the past, and longing for the future that is on the other side of the windowpane. But the author did not blame this kind of endless pursuit. As what he wrote, “If honest labor be unremunerative and difficult to endure, if it be the long, long road which never reaches beauty, but wearies the feet and the heart, if the drag to follow beauty be such that one abandons the admired way, taking rather the despised path leading to her dreams quickly, who shall cast the first stone? Not evil, but longing for that which is better, more often directs the steps of the erring. Not evil, but goodness more often allures the feeling mind unused to reason.” Dreiser showed the readers a seemingly illogical conclusion that it was the goodness of human beings led the degeneration and ruination of morality, and also the goodness tempted the “blind strivings of the human heart” to crave the realization of their ceaselessly changed desires. Men and women with their pure spirits and aspirations for beauties strive for a better life, but lose their way in the metropolis finally, only gain endless discontent and loneliness, and feel vain and weary, just as what Carrie felt in her rocking-chair before she started her new pursuit, and what Clyde thought in the electric chair before he had to end his transitory life.

## 5. Conclusion

*Sister Carrie* and *An American Tragedy* are certainly enduring works of literature that displayed a deep understanding of the American experience around the turn of the 20th century, with its expansive desires and moral ruination. The characters struggled for self-realization in the face of society's narrow and repressive moral conventions, and they often obtained material success and erotic gratification while a more enduring spiritual satisfaction eluded them. These two long novels gave Dreiser the prime form through which to explore in depth the possibilities of 20th-century American life, with its material profusion and spiritual doubt of the life value. Dreiser himself knew how brutal society could be and the truth that what reality was. And he gave plenty of evidence in these two works, where readers could see his compassion and empathy for striving human beings and his ideas of ponderation on the relationship between American society and morality value—a vicious circle started with a temptation from the so-called success based on a flashy social value standard and ended in the vacuity and even perdition of the soul, was controlled by the reality and environment but not one’s will.

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## Sustainable Forest Management Practices and West Malaysian Log Market

Abdul Rahim Abdul Samad

Department of Economics, Faculty of Economics & Management  
Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia  
E-mail: abrahim@econ.upm.edu.my

Zariyawati Mohd Ashhari

Department of Accounting & Finance, Faculty of Economics & Management  
Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia  
E-mail: zariyawati@econ.upm.edu.my

Mohd Shahwahid Hj. Othman

Department of Hospitality & Recreation, Faculty of Economics & Management  
Universiti Putra Malaysia, 43400 Serdang, Selangor, Malaysia  
E-mail: mohdshahwahid@gmail.com

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### Abstract

The global demand for timber products will continue to grow in line with increasing population and economic development especially in many developing countries. Simultaneously, forest ecosystem plays important roles in the environmental services such as carbon sequestration, recreational, water catchments, wildlife reserve and soil protection. Therefore, Malaysia is committed in implementing Sustainable Forest Management (SFM). The forest are harvested in a sustainable manner by adopting the method of reduce impact logging practices. This resulted to diminishing supply of logs to downstream timber industry. The West Malaysian log supply is in deficit since 1995. This has significant impact on major timber products. They have moved from resources surplus to one of deficit in Malaysia. Therefore, it is interesting to know the behaviour of West Malaysian log market with the implementation of SFM policy. The results indicate that full adoption of SFM could lead to substantial reduction of supply. Furthermore, a sustained price increase in the long run does not seem to have significant impact on the demand side. In conclusion, the ongoing adaptation of West Malaysian forestry to the standards of the SFM certification programs could have substantial effects only on the log supply. This will probably influence the scheme of forest plantation establishment in sustaining the West Malaysian forest sector.

**Keywords:** Sustainable Forest Management (SFM), Supply and demand of logs, Autoregressive Distribution Lag (ARDL)

### 1. Introduction

Malaysia has committed to achieving the International Tropical Timber Organization (ITTO) Year 2000 Target of Sustainable Forest Management (SFM). One of the targets is to practice timber certification where Malaysia is committed to managing its natural production forests in a sustainable manner. It is to ensure continuous timber

production, maintain forest multiple functions, conserve biodiversity and control environmental impact (Anon, 1994 and 1996). To achieve some of these aims substantial information and better understanding of the stand growth and stand ecological are required. It is essential in cutting regime management to adopt the practice that best suits the forest stand, site, environment, cutting cycle and expected timber output (Anon, 1994). The sustainable management definition and objectives required maintenance of the forest stand re-generation not only for timber production, also for environmental stability, biodiversity conservation, but recreational values preservation and other forest products and forest components conservation.

Motivated by ITTO target, National Committee Sustainable Forest Management was established in 1994 under the Ministry of Primary Industries. This committee has formulated a total of 92 activities, based on 5 criteria and 27 indicators to implement the ITTO criteria at the national level (Thang, 2002). SFM has led to greater planning and monitoring of the environment. In term of economic, there are indications to incur incremental costs. This is due to additional forest management activities to comply with SFM. Furthermore, in the social aspect, forest concessionaires have an obligation to take into consideration the interest of local residents who are referred as The Orang Asli (or Indigenous Peoples).

To achieve SFM, Malaysia has committed to maintain at least 50 per cent of the land area under forest cover (Woon & Norini, 2002). Furthermore, SFM is typically implemented in the forest which is categorised under Permanent Forest Reserve (PFR). The Malaysian Government has imposed limits on the opening of annual PFR for harvesting, which is normally called annual coupe. This is part of the conservation strategy to ensure sustainable timber production (Mohd Shahwahid & Awang Noor, 2002). In the PFR designated as Production Forests, commercial logging is undertaken on a rotational cycle, under a sustained yield management system. Only mature trees with a ratio (7 to 12, trees per hectare) are marked for felling at each harvesting cycle. This allow the logging area time for recovery and regeneration before subsequent cycle (Thang, 2002). Under this selective logging system, Malaysian forests have the ability to maintain the eco-balance, thereby allowing for better biological functioning of the forests.

In compliance to SFM, the supply of logs has keep on reducing and this scenario has become worse since 1995 when the demand of logs greater than supply. The supply of logs increased gradually with a slight fluctuation from 6.5 million m<sup>3</sup> in 1970 to 13.0 million m<sup>3</sup> in 1992 with an average growth rate of 4.5 percent per year. However, it was decreased to 4.4 million m<sup>3</sup> in 2005 with an average growth rate of -5.1 percent per year (Figure 1). This decline in log production was mainly due to the reduction of annual coupes resulting from the Rio Convention and Malaysia's need to achieve ITTO objectives 2000 and international certification standard in attaining SFM (Lim *et. al.* 2002).

Therefore, the objective of this study is to analyse the log market in moving towards complying with SFM in West Malaysia. This is due to decrease in harvesting level are likely to affect the log production in connection with the implementation of SFM (Schwarzbauer & Rametsteiner 2001). To this consideration, it should be added the potential of a change in the supply and demand of logs through sustainably produced.

From the objective of study, it will help the industries to design strategies in facing the various impacts of SFM practices particularly in log market. Moreover, wood is an essential raw material for local industries such as those manufacturing furniture and building-frame structures, which are heavily concentrated in West Malaysia.

## 2. A Review of Related Literature

In Malaysia, supply of raw material became a serious problem after 1995, when the wood-based industry moved from producing products such as sawlogs, sawntimber and plywood/veneer to manufacturing high value-added products like furniture, joinery/mouldings and rubberwood products in late 1990s (Norini, 2003). This has worsened the supply of primary wood products being the raw materials in meeting the demand of the local factories.

With regards to SFM practices, Schwarzbauer & Rametsteiner (2001) have analysed the potential impacts of SFM certification on forest products markets using a simulation model of the Western European forest sector. The empirical evidence shows that rather modest changes are to be expected from SFM certification in forest products markets. The market impact of timber supply reduction from certified forest would be more distinct than the impact of chain of custody costs. That means, a decrease of harvesting levels in certified forest will affect forest products markets more than the increase costs related to the installation and maintenance of SFM certification in the forest sector.

On the other hand, Eriksson, Sallnass & Stahl (2007) studied the forest certification and wood supply in Sweden with the objective of assessing the likely effect of Forest Stewardship Council (FSC) certification on short and long term supply of roundwood in Sweden. The results indicated that full adoption of the FSC standard on the entire land base, compared to adherence only to the Forestry Act, could result in a substantial reduction in supply. In contrast this could induce a price increase in situation where supplied quantity is maintained at current level. Furthermore, a sustained price increase that used to compensate for lost volume today does not seem to prevail in the long run.

### 3. Methodology and Data

In dealing with the time series analysis, there is a large number of the empirical studies utilised the unrestricted reduced-form model in the Vector Autoregression (VAR) context to investigate the effect on forest-related policy of forest products (Nanang, 2000; Stodal & Nyrud, 2003; Laaksonen *et al.* 1997; and Hanninen 1998). VARs are dynamic systems of equations that examined the interrelationship between economic variables, using minimal assumptions about the underlying structure of the economy. Since the right-hand side of the models consists only predetermined variables and the error terms are the ordinary least square (OLS) method in estimating the VAR model, it is well known from the literature on simultaneous equation estimation that the OLS method yield efficient estimates of the VAR coefficients.

The cointegration techniques like Engle & Granger (1987) or Johansen types cointegration procedures; for example, Johansen (1988) and Johansen & Juselius (1990) are commonly used in the empirical economics to study the existence of long-run equilibrium relationship in levels between variables. These methods involve a pre-testing step for unit roots in order to determine the order of integration of the variables in the model. In particular, they require all the variables under study to be integrated in the same order of one, that is I(1). In practice, however, not all variables have a unit root. Some variables are stationary in level, I(0), while others might have two unit roots, I(2), or stationary in second differences. If the orders of integration of the variable under study are different, it will cast doubt on the accuracy and validity of the estimation results obtained from the above cointegration testing procedures.

Engle & Granger (1987) highlighted that if the time series is non-stationary, one can include lagged dependent and independent variables using a sufficiently complex dynamic specification such as an Autoregressive Distributed Lag (ARDL) model to ensure the residual stationary. As such, in this study, ARDL bounds testing approach proposed by Pesaran *et al.* (2001) is used to allow the regressors to have different order of integration, either I(1) or I(0), in estimating the functions. The bound test which is based on the estimation of an Unrestricted Error Correction Model (UECM) is applicable irrespective of whether the underlying regressors are purely I(0), I(1) or mutually cointegrated. By evaluating the long-run elasticity and short-run causality as well as examining economic factors that contributed to log supply, we hope that our results could provide some useful insights in the implementation of such forest-related policy.

Macroeconomic variables used in this study are: the quantity of log supply (lnLOGSS), the quantity of log demand (lnLOGDD), weighted price of logs (lnLOGWP), the annual logging area (lnLOGAREA), industrial production index (lnIPI) and the royalty of log (lnLOGROY) in natural logarithmic form. We obtained weighted price of logs via summation of price of log by species multiply with ratio of log quantity by species at particular year. Both functions of the analysis are as follows:

$$\Delta \ln \text{LOGSS}_t = \beta_0 + \beta_1 \ln \text{LOGSS}_{t-1} + \beta_2 \ln \text{LOGWP}_{t-1} + \beta_3 \ln \text{LOGAREA}_{t-1} + \quad (1)$$

$$\beta_4 \ln \text{LOGROY}_{t-1} + \sum_{i=0}^p \alpha_5 \Delta \ln \text{LOGSS}_{t-i} + \sum_{i=0}^p \theta_6 \Delta \ln \text{LOGWP}_{t-i} +$$

$$\sum_{i=0}^p \delta_7 \Delta \ln \text{LOGAREA}_{t-i} + \sum_{i=0}^p \varphi_8 \Delta \ln \text{LOGROY}_{t-i} + \varepsilon_t$$

$$\Delta \ln \text{LOGDD}_t = \beta_0 + \beta_1 \ln \text{LOGDD}_{t-1} + \beta_2 \ln \text{LOGWP}_{t-1} + \beta_3 \ln \text{IPI}_{t-1} \quad (2)$$

$$+ \sum_{i=0}^p \alpha_4 \Delta \ln \text{LOGDD}_{t-i} + \sum_{i=0}^p \theta_5 \Delta \ln \text{LOGWP}_{t-i} +$$

$$\sum_{i=0}^p \delta_6 \Delta \ln \text{IPI}_{t-i} + \varepsilon_t$$

where  $\Delta$  denotes a first difference operator;  $\ln$  represents natural logarithmic transformation;  $\beta_0$  is intercept and  $\varepsilon_t$  is a white noise error term.

There are two steps in testing the cointegration relationship. First, the model above is estimated by OLS technique. Second, the null hypothesis of no-cointegration is tested against the alternative by the means of  $F$ -test. Two sets of critical value bounds for the  $F$ -statistics are generated by Pesaran *et al.* (2001). If the computed  $F$ -statistic fall below the power bound critical value, the null hypothesis of no-cointegration cannot be rejected. Contrary, if the computed  $F$ -statistic lies above the upper bound critical value, the null hypothesis is rejected. This implies implying that there is a long-run cointegration relationship amongst the variables in the model. Nevertheless, if the calculated value falls within the bounds, inference is inconclusive.

The general-to-specific procedure by Hendry & Ericson (1991) can be used to obtain a parsimonious UECM by dropping sequentially the insignificant first difference variables. The long-run elasticity of the independent variable is then calculated over the estimated coefficient of one-lagged level of the variable. Whereas, for the short-run elasticity of the independent variable, it is captured by the estimated coefficients of the first differenced variable in ARDL model above. In addition, we can detect the short-run causality through the error correction representation for selected ARDL model.

This study intends to evaluate the impact of SFM on West Malaysian log market using annual data from 1970 to 2005. Publish data on log supply, weighted price of logs, logging area and royalty were made available by the Forest Department of Peninsular Malaysia, the Ministry of Primary Industry publications and Department of Statistics. The MASKAYU provides monthly data on domestic log prices. We used weighted price of logs instead of the average price of logs by species. This is due to the availability of price of logs in various species and to enhance accuracy.

#### 4. Results

The ARDL approach in this analysis involves several steps (see Pesaran & Pesaran (1997) for more detail). For the data analysis, it involves econometric software namely MICROFIT 4. The second step is to estimate the determinant of log market model in West Malaysia. The third step is to estimate the long run coefficient of log supply and lastly to estimate the short run error correction representation for the selected ARDL model of log supply.

##### 4.1 ARDL Bounds Testing

The methods adopted in the literature in previous years mainly concentrated on cases in which the underlying variables are integrated of order  $I(1)$  (Pesaran *et al.*, 2001). The ARDL approach has some advantages over other approaches. First, the series used do not have to be  $I(1)$  (Pesaran & Pesaran 1997). Second, even with small samples more efficient cointegration relationships can be determined (Ghatak & Siddiki, 2001). Finally, Laurenceson & Chai (2003) stated that the ARDL approach overcomes the problems resulting from non-stationary time series data which led to spurious regression coefficient that are biased towards zero (Stock & Watson, 2003).

Table 1 shows the diagnostic test of the log supply and log demand function. Base on the goodness of fit of the ARDL model, both Panel A and B are well fitted as it passes all the diagnostic tests. The diagnostic tests reveal no evidence of misspecification. In addition, we find no evidence of autocorrelation was found. To test for structural stability, we utilised the cumulative sum of recursive residuals (CUSUM) and CUSUM of square stability test and it indicate that the estimated coefficient of the model are stable.

The computation of  $F$ -statistics for supply and demand functions are 3.6218 and 3.608 respectively. Both of the computed  $F$ -statistics are greater than the upper bound critical value at 10% level of significance (Table 2). Hence, there is an evidence of cointegrating relationship on supply and demand functions. This shows the existence of the relationships between the supply of logs with the price of logs, area with open for harvesting and that with royalty. Similarly, the relationship between the demand of logs with price of logs and that with industrial production index are also present.

The estimated coefficients of the long run relationships for these models are explained in Table 3. The lag lengths are determined by Schwartz Bayesian Criteria (SBC) criterion following the suggestion of Pesaran & Pesaran (1997). Panel A reveals only the price of logs is negatively (-0.9067) and significantly (at level 10%) related to log supply. This implies that as price of logs increases, the log supply decrease. It is due to the continuous restriction of annual allowable cutting rate by Malaysian government. Base on the information disclosed by the Forest Department Peninsular Malaysia (FDPM), the annual allowable cutting rate has decline from 71,200 ha in Fifth Malaysia Plan to 36,940 ha in Nine Malaysia Plan. This restriction of production affects the cost of harvesting. Therefore, log supply will drop in the long run even though the price increases. In other words, the production of logs is controlled by the government. This conclusion is derived based on West Malaysian log market only and not on Malaysia log market as a whole. Hence, the result of this analysis cannot represent the full picture of Malaysia log market as West Malaysia log supply covers only 30% of the whole Malaysia log supply (FDPM, 2005). We expect to derive a different result if we take into account the log market from Sabah and Sarawak.

In the context of demand function, Panel B (Table 3) illustrates all variables follow the expected sign. The coefficient of price of logs and Industrial Production Index (IPI) are -0.2920 and 1.2331 respectively. However, they are not

significant in explaining the demand of logs. This means, price and IPI do not play an important role in determining the demand of logs in the long run. This is consistent with the studies by Mohd Shahwahid (1993) and Ahmad Fauzi (2005).

Lastly, the result in Table 4 reveals the error correction representation for selected ARDL model of log supply. This is also known as the short run dynamic coefficient estimation. Similar with long run estimation, Panel A shows only the price of logs is significantly related to log supply in the short run. However, the coefficient (0.2602) is positive at 10 percent significance level. This implies that in the short run, an increase in price of logs will lead to an increase in the log supply. In other words, producers may increase their production in the short run when the price increases but not in the long run as mentioned earlier. This result is consistent with the theory of supply where the rise in price will increase the supply of products (Parkin, 2003)

Panel B (Table 4) explains the short run demand function of logs. It shows that the price of logs is significantly related to log demand in the short run. The coefficient (-2.0921) is negatively significant at 10 percent level. The sign is consistent with the long run estimation and the theory of demand (refer Parkin, 2003). This implies that in the short run, an increase in price of logs will lead to decrease in the log demand. The error correction term (denoted ecm (-1) in Table 5) is found to be negative and statistically significant for both models. This term indicates the speed of adjustment process to restore equilibrium following a disturbance in the long run equilibrium relationship. A negative and significant error correction term implies how quickly variables return to equilibrium. For instance, the model of log supply and log demand implies 21% and 23% of the disequilibrium of the previous year's shocks able to readjust to the long run equilibrium in the current year respectively. This means both models are cointegrated with their own explanatory variables.

## 5. Policy Implications

This study has identified several economic instruments and policies that could improve the West Malaysia log market performance. For example State Governments should give preference to meet the domestic need for logs over that for exports. State Governments also further enhance Federal Government's financial assistance for forest plantation establishment by allocating adequate land with attractive terms to encourage private sector participation. In addition, the Government may provide incentives to encourage overseas sourcing of raw materials to help ease local supply constraints. Thus, State Government through their subsidiary companies and the support from the State Forestry Departments should be actively involved in reforestation programs. Subsequently, it can easily exclude the poor and unproductive state lands or degraded and severely damaged forest reserves for commercial forest plantations. Meanwhile, the essential of industry in assisting and give an element of confidence in planning for the future to ensure the supply of raw materials sustained. Two major categories of raw material are identified as log from forest plantation and rubber plantation.

At the international scene, markets have to be created for timber produced from SFM practices or known as sustainable managed forest. The element of price premium could only be fetched when there is market demand that willing to pay extra for logs that come from forest with sustainable managed. As SFM practices would be maintaining and escalating capabilities to sequester carbon, the element of carbon credit has to see as another incentive of complying with SFM. To this end, Malaysian Timber Certification Council (MTCC) and ITTO have a role to play to promote such incentives. Therefore, it would encourage more producers and land owners to manage their forests with sustainable manner.

## 6. Conclusions

In this study, we have examined the long-run and short-run relationships of both supply and demand models. An ARDL bound testing analysis is carried out to identify the cointegration of the model. The results show that both models are cointegrated by 10 percent significant level. The short run analysis reveals that log supply will increase as price of logs increases. However, the long run analysis indicates that by complying with SFM criteria, it will lead to substantial reduction in the log supply. This is because when the price of logs increase, the log supply tends to decrease due to controlled production by Government. Furthermore, in the long-run, an increase in domestic price of logs would help to compensate for the lost volumes these days. Annual area for logging and royalty show that they are not significant factors to log supply either in the long run or short run. This is due to the fact that SFM practices play an important role in controlling and monitoring the forest utilisation.

On the other hand, the demand side is only significantly influenced by the price of logs in the short run but not in the long run. This implies that, by complying with SFM, the price of logs is no longer an important determinant for the demand of logs. For the IPI, it is not significant in determining the demand of log for both short run and long run.

The total revenue from log harvests is referred to the government revenue from royalty paid by logger companies. In general the reduction in government revenue has been indicated by the shrinking of log supply. In conclusion, the ongoing adaptation of West Malaysian forestry to the standards of the certification programs could have substantial

effects on the timber supply. This will probably influence the scheme of forest plantation establishment in order to sustain the West Malaysian forest sector.

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Table 1. Diagnostic test for West Malaysia log market

<i>Panel A: Diagnostic Tests for Supply Function</i>			
$R^2$	0.9234	Durbin Watson- <i>d</i>	1.9268
$\bar{R}^2$	0.9097	Serial Correlation	0.850
Functional Form	0.1970	CUSUM	Stable
Heteroscedasticity	0.9840	CUSUM <sup>2</sup>	Stable
<i>Panel B: Diagnostic Tests for Demand Function</i>			
$R^2$	0.7031	Durbin Watson- <i>d</i>	2.1839
$\bar{R}^2$	0.6734	Serial Correlation	0.4460
Functional Form	0.3360	CUSUM	Stable
Heteroscedasticity	0.7790	CUSUM <sup>2</sup>	Stable

Table 2. Cointegration result of bounds test for West Malaysia log market

Computed <i>F</i> -statistic for supply of logs function: 3.6218*	Critical Value	
Computed <i>F</i> -statistic for demand of logs function: 3.608*	Lower-bound	Upper-bound
10% significant level	2.618	3.532
5% significant level	3.164	4.194
1% significant level	4.428	5.816

Notes: The bounds critical values are obtained from Narayan et al. (2000), Appendix: Critical values for the bounds test: Case II: restricted intercept and no trend ( $k = 3$ ); \*Significant at 10 percent.

Table 3. Estimated long run coefficient using the ARDL approach of log market

<i>Panel A : Supply Function</i>				
Variable	Coefficient	Standard Error	<i>t</i> -statistic	<i>p</i> -value
lnLWP	-0.9067	0.41431	-2.1885**	0.0370
lnLOGAREA	-0.4148	0.62693	-0.6617	0.5140

lnLOGROY	-0.0919	0.67759	-1.1357	0.8930
C	26.2757	11.5754	2.2700**	0.0310

Panel B : Demand Function

Variable	Coefficient	Standard Error	t-statistic	p-value
lnLOGP	-0.2920	0.1934	-1.5095	0.1420
lnIPI	1.2331	1.0799	1.1419	0.2630
C	12.6313	4.2054	3.0036***	0.0050

Notes: \*\*\*Significant at 1 percent, \*\*Significant at 5 percent and \*Significant at 10 percent

Table 4. Error correction representation for the selected ARDL model of log Market

Panel A : Supply Function

Variable	Coefficient	Standard Error	t-statistic	p-value
dlnLOGWP	0.26023	0.14093	1.8465*	0.075
dlnLOGAREA	-0.08626	0.13961	-0.6179	0.541
dlnLOGROY	-0.01912	0.14351	-0.1333	0.895
dC	5.4637	3.4024	1.6059	0.119
Ecm(-1)	-0.2079	0.075857	-2.7412**	0.010

Panel B : Demand Function

Variable	Coefficient	Standard Error	t-statistic	p-value
dlnLOGP	-0.0681	0.0325	-2.0921**	0.0450
dlnIPI	0.2875	0.2276	1.2633	0.2160
dC	2.9447	1.7182	1.7138*	0.0970
Ecm(-1)	-0.2331	0.0936	-2.4902**	0.0190

Notes: \*\*\*Significant at 1 percent, \*\*Significant at 5 percent and \* Significant at 10 percent

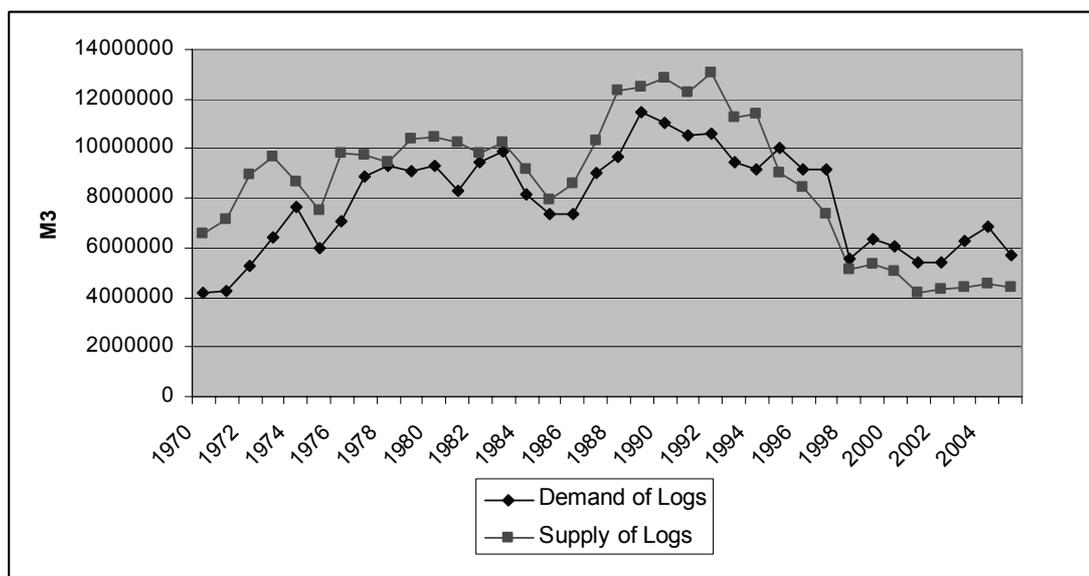


Figure 1. Supply and demand of logs in West Malaysia (1970 – 2005)

Source: Forestry Department of Peninsular Malaysia (Various Issues)



## New Theory on Foundation and Principle in Rural Anti-poverty

Xiaoxia Zhao & Zhaoquan Fan

College of Humanities and Social Science, Sichuan Agricultural University

46 Xin Kang Street, Ya'an 625014, Sichuan, China

Tel: 86-835-288-2345 E-mail: xiaoxzhao@sohu.com

**Funding project:** "social construction in new countryside and strategic research on escaping from poverty in a stable and complete way in rural areas of China (CR0616)" in Agricultural Development Research Center of Sichuan Province

### Abstract

Anti-poverty is a common subject that all countries are facing with today. Amartya Sen defined it as a lack of capability instead of just a low income. According to his theory, combined with great changes in rural management structure since China implemented reform and opening-up policy, the thesis proposes a new concept of anti-poverty to develop communities' capability on the basis of rural communities. The break-ground activities of anti-poverty can begin with the rural communities on the principle of adhering to capability construction rather than material input with the fundamental purpose of developing community capability in rural areas. It is suitable to construct a multi-dimensional anti-poverty system taking governments as the leading part, villagers as the self-managers, and social institutions as the supporting parts and market as the adjustment mean. Thus, capability-oriented anti-poverty mechanism and the development road on inner resources can take shape in china's rural areas.

**Keywords:** Anti-poverty, Rural community, Capability construction, Development based on inner resources

Anti-poverty is a common subject that all countries are facing with today. There are different levels of poverty in both developed countries and developing countries. Examining the anti-poverty practice and experience, many governments and organizations have always adopted the accustomed and traditional way that emphasizes material inputs rather than capability construction to solve the problem, which is also called as "transfusion-oriented" anti-poverty. In 1998, Amartya Sen, the winner of Nobel Economic Prize, defined poverty as a lack of capability instead of a low income. With the help of his theory, this thesis proposes that rural anti-poverty in China has entered a new phase after 30 years since China implemented the reform and opening-up policy. To solve all difficulties in the rural anti-poverty, it is necessary to strengthen capability construction in rural communities and build capability-oriented anti-poverty mechanism.

### 1. Anti-poverty Based on Rural Communities

In fact, China began its reform from the rural areas 30 years ago. The rural reform started from the production group in People's communes to production villages in towns, and then to the self-employed in the household contract responsibility system. Agricultural tax is also changing from partial release to full release. In the process, fundamental management in rural areas has experienced great changes in both the form and the function. Nowadays, the villagers can manage affairs in the villages on their own. Such a structure replaces the People's communes, in which the relation between villages is the relation between guiding and being guided instead of that between superiors and subordinates. Villages and towns are fundamental institutions, while rural communities are the self-managed organization for villagers. The method by which farmlands distributed into villagers makes agricultural production change from production groups to families. Families replace production groups as the agricultural production units. Lives of villagers can be spread from families to villages and other more places, so the living function of villages can be more obvious and become the common link of communications among villagers.

In the past, villages functioned as the units for both agricultural production and villagers' lives. Now it only functions as the units for villagers' lives. The units for farmers' identities and activities are also changing gradually into communities. Villages and towns gradually change from the "production groups" in the past to rural communities. These communities

establish the network of social management, public service and social support in rural areas, which play a practical role in the welfare, social aids, social charity, public security, family planning, the hygienic service, environmental protection, social dispute mediation, the life-support services, and so on.

Due to their importance, rural communities can be the beginning of rural anti-poverty. In fact, rural communities are both a small society and a large family. As a small society, anti-poverty can be carried out in those communities so as to overcome shortcomings in rural anti-poverty effectively, as a large family, anti-poverty carried out in rural communities can avoid difficulties in establishing capability-oriented anti-poverty mechanism. Compared with poor people in cities, social organizations for poor people in rural areas will become weaker as well as the basis of public service and resources offered to the society. Hence, anti-poverty in rural areas can emphasize both individuals and communities instead of individuals. It is urgent to form organization basis and social strength for anti-poverty. In a word, anti-poverty should base on rural communities, which can be regarded as the carrier. Anti-poverty in the whole communities can combine the targets for anti-poverty with the whole community, establish the whole functional system and community supporting network for anti-poverty, overcome shortcomings in individual anti-poverty, such as dispersivity, vulnerability, static condition and casualty, display such advantages as the whole with the intensive, integrity, power, systematic characteristics. In the phase of breaking ground, anti-poverty can only build the effective mechanism in the long term based on the rural communities and their functions in anti-poverty.

In fact, anti-poverty based on rural communities can not only definitely focus on all individuals to fight against poverty, who are the basis of anti-poverty, but also help to build the community supporting network and defense line for the efforts in anti-poverty, which is the guideline for anti-poverty. It doesn't imply the completeness, but means that it can provide the continuous resources from all walks of life for the rural anti-poverty, which is the social guarantee for rural people to completely get rid of poverty. Indeed, the continuous resources come from the capability of the rural community.

## 2. Capability Construction in Rural Communities as the Main Principle

Community capability is the combination of all the related capabilities in the community. Community capability in rural areas contains the following capabilities, such as the capability to enhance all people to be aware to take part in the management of community affairs, the capability to effectively formulate management system in rural communities, the capability to help villagers in trouble and alleviate villagers' difficulties and improve the development of rural communities, and the capability to communicate and exchange with institutions or organizations outside, and so on. All those capabilities can be divided into two aspects: individual faculty of villagers and organizing capability of communities. All the standards for these two aspects can be shown in the following table.

### Insert Table 1 About Here

Awareness of villagers is the requirement for villagers' mental qualities in the capability construction of rural communities, including the awareness of law, the awareness of rights, the awareness of market and modern awareness, and so on. The awareness of law means that villagers should have basic knowledge of laws, should be willing to obey the principle of managing state affairs according to laws and to be good citizens who can observe laws and principles. The awareness of rights is that villagers should have the awareness to safeguard their own rights according to laws. The awareness of market requires villagers to obtain economic rules and regulations in the market, produce and live actively to adapt to the market and be rational citizens with the competitive and cooperative awareness. Modern awareness implies that villagers should get rid of all backward thoughts, advocate modern scientific civilization, display their creativity, seek for freedom and happiness and behave like villagers in the new century.

Villagers' qualities are the requirements for villagers' individual capabilities in the capability construction in rural communities, including morals, modern agricultural knowledge and technologies and competitive capability in markets, and so forth. First of all, villagers are required to become knowledge-oriented villagers with a good command of modern culture and knowledge, and to inherit the fine moral traditions of Chinese nation. Secondly, since modern agriculture needs villagers to have modern agricultural science and technologies, they should know how to carry out the scientific farming and strengthen agriculture through science and technology. Meanwhile, modern villagers should have the awareness of market, because agricultural industrialization requires markets both at home and abroad. Competitive capability is one basic quality villagers should obtain under the circumstance of globalization, and it can show villagers' economic capability well and guarantee the rise of villagers' income. Rural communities should organize local organizations or associations to establish all types of mutual economic cooperation organizations so as to enhance negotiation ability between villagers and markets as well as the ability against market risks, which is one effective measure to realize economic efficiency and profits in rural areas and is also the important manifestation of capability construction in rural communities.

Community activity refers to the capability of communities to participate in social activities as a social role including alleviating villagers' difficulties, coping with emergencies and conflicts, reassigning resources and organizing villagers

to take part in community affairs, and so on. In a word, it means the capability of communities to cope with all related affairs in the community. It has played an important role in the capability construction.

In fact, rural communities are becoming the network of social management, public service and social support in rural areas now. They play more and more active roles in many aspects of rural lives, including welfare, social aid, social charity, public security, family planning, the hygienic service, the judicature rectifies, the environmental protection, the social dispute mediation, the life-support services, and so on. Hence, the community activity is closely related with the stability of rural society and living quality of villagers. It is important and crucial to strengthen activity construction in rural communities under the circumstance of poor basis in rural community construction and low-level of villagers' qualities.

Capability of communities to meet with villagers' needs refers to the supply capability to meet with villagers' material and cultural needs. Community construction takes it as the objective to meet with villagers' needs, which are also the starting point and foothold for the community construction. If a community can provide good infrastructure like shopping, education, sanitation and entertainment, and high-quality public services like social aids for villagers, it has a high-level capability to meet with material and cultural need of villagers. At present, social safeguard system is still not so perfect; the hygienic infrastructure is of low level, so that villagers can't solve a series of problems, like the aging problem and the difficult-for-seeing-a-doctor problem, and so on. Besides these, there are other difficulties in villagers' families, for instance, some villagers go out to work in outside areas and earn money to support the family, so their families confront with the difficulties to take care of old people, the youth and women. Imbalance of rural educational resources prompts rural teenagers to flood into the cities and thus exerts pressure on urban educational resources, which reflects rural teenagers' desire for education equity. The problem of "prostitution, gambling, drugs" is due to the backwardness of cultural construction in rural communities, and the unsatisfied cultural demand of citizens in rural communities. Therefore, improving the community capability to satisfy the citizens' need is an important index of the communities' capability construction.

Diplomatic capability of community. It refers to that community creates a more comfortable external living environment, abundant social resources and public trust for citizens through diplomacy and efforts. Diplomatic capability of community creates a better social support network for community citizens. Communities establish the extensive diplomatic relations through diplomacy with external organizations and individuals and provide social support for citizens to participate in social activities and utilize social resources. A community with good diplomatic capability is able to bring about more social resources and better external living environment for its citizens, make its citizens live in harmony with citizens of other communities, and fulfill the social mobility in a better way.

Rural anti-poverty should develop communities' capability, that is, aid-target's ability, especially community's capability should be developed at the key stage of anti-poverty. Developing capability should be a direct objective and important task of anti-poverty project. Rural community's capability is the guarantee of the solution to the poverty problem in rural areas and also the "source of strength" in the anti-poverty project. The long-term goal of poverty alleviation programme is developing community's capability of poverty-stricken areas.

Rural anti-poverty should develop communities' capability. With the guidance of this idea, developing communities' capability should be the core of anti-poverty programmes in China at the key stage. An multi-dimensional anti-poverty system led by government, self-managed by villagers, supported by social institutions and adjusted by market, and capability-oriented anti-poverty mechanism should be established. The research shows that the key to establish the capability-oriented anti-poverty mechanism is the innovation of anti-poverty mechanism. The innovation of anti-poverty mechanism demands the introduction of new theories, methods and working skills to rural community construction. The working staff should engage in the rural community construction as several roles such as a social broker, mediator, social controller and educator. With the idea of helping people and helping themselves, villagers should be encouraged self-determination, to organize and coordinate the social resources of governmental and non-governmental organizations, to mobilize social capital, technology, information in order to remedy the inconvenience of government and the unsoundness of market. The mechanism led by government, self-managed by villages and supported by social institutions should be established to develop community's capability in a way of inner resources. Then how to develop rural community's capability?

First, human resource input and development in rural areas should be paid attention to. Through involvement, participation, interaction, exchange, negotiation, villagers' diligence, self-help and cooperation can be cultivated, the idea of self-empowerment and self-consciousness can be reinforced as well. Through cultural activities and training, villagers' quality and competence can be enhanced. Developing community's capability must be based on this.

Second, self-management mechanism in rural communities' should be innovated. Villager's self-development, self-administration and self-service should be reinforced; the development of various social groups, associations, mutual economic aid organizations, and other social service institutions should be supported; community villagers should be well organized; supply system of rural public products and public service function should be reconstructed, social

security and service system in rural communities should be established; involvement of various social service organizations including NGO and NPO in rural community construction should be positively supported; rural community's administrative system with high efficiency and low cost should be built, which lays system and material foundation for rural community construction.

Third, specialization level of talents of rural management and service should be promoted. Specialized and professional staff of community management and service is the talent guarantee of resolving contradictions, easing the situation and satisfying the needs of people who are in need of help.

### **3. The Anti-Poverty Concept of Unity of Substance and Function**

Rural anti-poverty project should develop communities capability on the basis of rural communities. Based on the rural communities, it not only helps poverty-stricken individuals eradicate poverty but also accumulates the joints efforts of anti-poverty on the community scale. The research discovers that the final solution to poverty problem largely depends on the capability enhancement of poverty-stricken individuals and the thorough eradication of poverty also depends on the capability enhancement of communities the poor individuals belong to. The weakness of agricultural base, dispersion of rural communities and fragility of individual farmers' ability determines that anti-poverty project should not only focus on the ability enhancement of poor individuals but also organize the farmers to enhance rural ability. Anti-poverty project should adhere to the principle of "Unity of Substance and Function"

"Migrant workers" is related to poverty problem in rural China. As is well known, migrant workers has become a sign of Chinese reform with Chinese characteristics in the past thirty years. The data shows that the number of migrant workers has reached 120 million, which are composed of two generations. It is acknowledged that migrant workers are the result of farmers' emancipation from agriculture due to rural reform in China. Migrant workers have become one active force in the rural reform and have also played a great role in bringing urban economic prosperity, promoting rural economic growth and renewing ideas in rural areas. Meanwhile, migrant workers' qualities have been enhanced in the migrant work. However, the research indicates that poverty problem has not been solved with the enhancement of migrant worker's qualities and material input returning to rural areas. By contrast, issues of agriculture, farmer and rural area have escalated into issues of agriculture, farmer, rural area and migrant workers. The problem of migrant workers has become an important element of poverty-returning, which refers to returning to poverty after poverty eradication. What is the reason for emergence of migrant worker problem? Seemingly, migrant work of farmers has led to rural emptiness of farmers and the problem of stay-at-home children and elders, which aggravates rural poverty and induces returning to poverty. In fact, migrant work of farmers itself is not a problem. The problems concerning migrant workers are caused by that some related issues haven't been properly solved. The inner reason for migrant worker problem lies in the situation in rural and urban areas, unsoundness of social mobility system and system barrier of social policies, as well as a function of rural communities and low ability of farmers. This thesis doesn't deal with the aspects of social mobility system and social policies.

The problem of migrant workers is related to problem of labor-export areas as well as problem of labor-import areas. As for the labor-export areas, the major problem is the problem of stay-at-home children and elders. Farmers go out of the countryside to seek wealth, leaving their families in the hometown. The family members, including women, children and elders, which is called as "386199 phenomenon" in academic field, stay at home. The problem of "stay at home" itself is not a problem. The problem is caused by that rural communities haven't satisfy the needs of stay-at-home families, which results in the problems of stay-at-home children, elders and women. Surveys show that many problems related to stay-at-home families are due to non-feasance of rural communities and inability of stay-at-home families. In rural communities, no mechanism or community force attend stay-at-home families. Although some needy stay-at-home families can benefit from social welfare such as lowest subsistence allowances, they must depend on themselves to rescue themselves. If they fail to rescue themselves, stay-at-home families might fall into poverty or return into poverty. Surveys also show that some organizations of NGO, NPO implement poverty alleviation aid projects and environment-friendly poverty alleviation projects in Sichuan, Yunnan, Guizhou, Gansu, Inner Mongolia, which organize community villagers to develop group capabilities, focusing on cultivating community capability and developing farmers' capabilities. This turns out to be economic profits and social benefits. Scrutinizing the anti-poverty modes of NGO, it can be concluded that anti-poverty programmes implemented by NGO usually focus on developing group capabilities of communities instead of individual capabilities.

Anti-poverty mode of international organizations of NGO—develop community's capabilities rather than material input—has given us valuable enlightenment. Supposing a rural community with good capabilities to take action, satisfy villagers' needs and diplomatize is able to provide better service for stay-at-home families, stay-at-home related problems will decrease considerably and thus secondary poverty and poverty-returning will decrease. If a rural community is able to undertake the social service shifting from government, social public service in rural areas will be provided in a better way. Thus, anti-poverty project should be guided by the concept of unity of substance and function, that is, the break-ground activities of anti-poverty can begin with the rural community on the principle of adhering to

capability construction rather than material input with the fundamental purpose of developing community capability in rural areas. Capability-oriented anti-poverty mechanism and the development road on inner resources can take shape in China's countryside, which will open a new prospect for anti-poverty in rural areas after initiation of reform and opening-up for 30 years.

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Table 1. Rural community capability and social functions

Target names	Nature	Contents	Symbols
Awareness of villagers	Individual	Mental qualities including awareness of law, awareness of rights, awareness of market and modern awareness	X Awareness of villagers
Qualities of villagers		Individual capabilities including morals, modern agricultural knowledge and technologies and competitive capability in markets	X Qualities of villagers
Activity of community	Organizing capability of community	Capability to participate in social activities as a social role including alleviating difficulties, coping with emergencies and conflicts, reassigning resources and organizing villagers to take part in community affairs	X Activity of community
Community capability to meet with villagers' needs		Supply capability to meet with villagers' material and cultural needs	X Community capability to meet with villagers' needs
Capability to deal with affairs with outside world		Capability to provide a comfortable living surroundings and enough social resources for villagers with the efforts in communication with the outside world	X Capability to deal with affairs with outside world
<b>Social function</b>	$Y = f(X_{\text{Awareness of villagers}}, X_{\text{Qualities of villagers}}, X_{\text{Activity of community}}, X_{\text{Community capability to meet with villagers' needs}}, X_{\text{Capability to deal with affairs with outside world}})$		



## Fertility Variation in Southern Thailand: 2002-2005

Pattama Arwae

Department of Mathematics and Computer Science

Faculty of Science and Technology, Prince of Songkla University, Pattani Campus

181 Charoenpradit Rd., Rusamilae, Muaeng, Pattani, 94000 Thailand

E-mail: apateemo@bunga.pn.psu.ac.th

Chamnein Choonpradub (Corresponding author)

Department of Mathematics and Computer Science

Faculty of Science and Technology, Prince of Songkla University, Pattani Campus

181 Charoenpradit Rd., Rusamilae, Muaeng, Pattani, 94000 Thailand

E-mail: cchamnein@bunga.pn.psu.ac.th

Nittaya McNeil

Department of Mathematics and Computer Science

Faculty of Science and Technology, Prince of Songkla University, Pattani Campus

181 Charoenpradit Rd., Rusamilae, Muaeng, Pattani, 94000 Thailand

E-mail: nittaya@bunga.pn.psu.ac.th

### Abstract

This study investigated variations in total fertility by religion and east-west location in Southern Thailand. Four provinces were selected for study (one mostly Muslim and one mostly non-Muslim). Data were obtained from birth certificates include month of birth, age group of mother, district of registration of birth and Muslim majority and Muslim minority locations from 2002-2005. Female population resident counts were obtained from the 2000 Thai Population and Housing Census. Districts were classified according to east-west location and percent Muslim. Logistic regression was used to model the effects of age group, region and period on the fertility in each 3-month quarter. Overall, the fertility rate of women where the percent Muslim was more than 80% was higher than that where the percent Muslim was less than 20%. Muslim mothers on the east coast had a higher fertility rate than those on the west coast, but there is evidence that their fertility decreased over the study period and reached replacement level by 2006.

**Keywords:** Fertility rate, Demographic region, Logistic regression, Southern Thailand

### 1. Introduction

In Thailand the total fertility rate (the average number of children who would be born alive to a woman during her lifetime if she were to bear children at each age in accordance with the prevailing age-specific fertility rates) declined from 6.48 in 1960 to 1.82 in 2000 (Prachuabmoh and Mithranon 2003). The high fertility level in Thailand before the 1960s was facilitated by a pronatalist government policy which included bonuses for large families and incentives for early marriage. Government concern about the high rate of the population growth surfaced around 1960 but it was not until 1970 that an official population control policy was adopted.

Other countries in east and south-east Asia have experienced similar but less dramatic declines in fertility. During the period from 1975 to 2000, China's estimated total fertility rate decreased from 3.57 to 1.80, compared with decreases from 3.23 to 1.48 for South Korea, 2.07 to 1.59 for Singapore, and 1.91 to 1.34 for Japan (Gubhaju and Moriki-Durand 2003). Canada's total fertility rate reached 1.5 in 2000, while in the United States the fertility was 2.1. The fertility rates

in Canada and the United States were different because of the minority populations (Hispanic immigrants) in the United States have a higher fertility rate than the minority population in Canada (Torrey and Haub, 2003).

Estimates of total fertility for Thailand in the year 2000 vary markedly by region, being lowest (1.17) in the Bangkok metropolitan area and highest (2.25) in the southern region comprising 14 provinces (Prachuabmoh and Mithranon 2003). Using data from two large national family health surveys in India, Mishra (2004) found that the total fertility rate declined from 3.39 in 1992-93 to 2.85 in 1998-99, with a difference between Muslim and Hindu total fertility rates. In the 1998-99 Indian survey the rate for Muslim residents was 3.58 compared to 2.77 for the Hindu population, and the author concluded that socioeconomic factors did not explain lower use of family planning and higher fertility among Muslims. One reason may be heavy reliance of India's family planning program on sterilization and Muslims' preference for temporary methods over sterilization. Another reason may be greater opposition to family planning among Muslims, which is indicated in surveys as their main reason for not currently using and not intending to use family planning in the future. Similar differences between Muslim and non-Muslim fertility in India, Malaysia, Philippines and Thailand were reported by Morgan et al (2002), finding that compared to non-Muslim women, Muslim women have more children, are more likely to desire additional children and are less likely to be using contraception when they desire no more children.

In Southern Thailand, where four of the 14 provinces have Muslim majorities, there is also evidence of substantial differences in fertility within the Muslim population. The 2000 Population and Housing Census of Thailand (National Statistical Office 2002) recorded substantial differences in growth rates between the Muslim and non-Muslim populations in the southern provinces. For example, in Pattani province the Muslim population (78% in 1990) increased by 19% in the decade from 1990 to 2000 while at the same time the non-Muslim population increased by only 3%, whereas the Muslim population of Krabi (36% in 1990) also increased by 19% during the decade but the non-Muslim population increased by 23%. Although these population changes are influenced to some extent by migration they are mainly determined by differences in fertility rates and consequent differences in age structures in the resident populations.

Based on a study of religion and reproduction in Southern Thailand, the National Statistical Office (1998) found that Islam exerts an important pronatalist influence on the attitudes and behaviour of Thai Muslims. However, the relationship between religion and reproduction is complex, and the different increases in population growth between Muslim populations in different provinces are a reflection of this complexity. Religion influences reproduction in interaction with ethnicity, culture and the status of minority groups.

Knodel et al (1998) examined the contrast between Muslim reproductive attitudes and behaviour in Thailand and those of Buddhists, focusing on the southern region and interpreting Muslim reproductive patterns from the perspectives of hypotheses invoked in the social demographic literature to explain links between religion and fertility. This study found that fertility among Buddhists had reached the replacement level with contraceptive use virtually universal, whereas Muslims in both the south and central regions had higher fertility levels and preferred to have more children than Buddhists.

This study aimed to investigate the pattern of fertility in Southern Thailand and attempt to account for variations in these patterns based on religion and east-west location. We selected four provinces for study, namely Trang, Satun, Songkla and Pattani.

## **2. Materials and Methods**

### *2.1 Data Source and Sample Selection*

We used cross-sectional data obtained from birth certificates in four southern Thai provinces, aggregated by month of birth, age of mother, and district of registration of birth from January 2002 to December 2005, together with female resident population counts obtained from the 2000 Thai Population and Housing Census (National Statistical Office 2002). The provinces were selected to include each of the east-west locations, Muslim majority (>50% Muslim) and Muslim minority (<50% Muslim). Trang (17% Muslim) and Satun (68% Muslim) are located on the west coast of the Malay peninsula and Songkla (23% Muslim) and Pattani (82% Muslim) are located on the east coast. Birth registration data for 2001 were excluded from the study because for the first seven months of 2001 the age of the father was recorded instead of that of the mother. Age distributions for the Muslim and non-Muslim populations in these provinces (based on the 2000 population census) are quite different (Figure 1), with the Muslim populations much younger than those of the non-Muslim populations, particularly in Pattani.

### *2.2 Variables*

The birth certificate form contains the date and district of registration of the birth and the age of the mother. The district of registration is the district where the baby is born, which may not be the same as the district of residence of the mother. The age of the mother in years, is classified as 20 or less, 21-25, 26-30, 31-35, 36-40, 41-45, and 46 or more.

### 2.3 Data Analysis

The data records comprised the numbers of live births  $B_{ijt}$  classified by registration district  $i$ , age-group and month  $t$ , and the estimated populations of women in the age-group. We estimated this population using the formula

$$P_{jt} = p_t N_j + (\hat{1}p_t) N_{j1}, \tag{1}$$

where  $N_j$  is the female population recorded at the 2000 Population Census in age group  $j$  (where  $j = 1$  for 0-4,  $j = 2$  for 5-9, etc.), which is one year less than the reported age group of the mother, and  $p_t$  is the proportion of the 5-year period elapsed from January 2001 until month  $t$ . This calculation synchronizes the Census population age groups with those used in the birth registration form.

We classified the 45 districts into 8 regions according to east-west location and percent Muslim using four groups (below 20%, 20-50%, 51-80%, more than 80%) as shown in Figure 2.

### 2.4 Statistical Methods

In the preliminary analysis we computed the total fertility ( $TF$ ) for each year and region  $i$  using the standard demographic formula (Pollard et al 1974) for 5-year age groups, namely

$$TF_i = \sum_{j=4}^{10} \left( 5 \sum_t B_{ijt} / \frac{1}{12} \sum_t P_{ijt} \right), \tag{2}$$

where  $t$  is summed over all months within the specified year. Note that the contribution from each of the seven age groups ( $j = 4, 5, \dots, 10$ ) is 5 (the width of the age group in years) times the total number of births in the 12-month period of interest divided by the average number of women in the corresponding age group.

In further analysis logistic regression (Kleinbaum and Klein 2002) was used to model the effects of age group, region and period on the fertility in each 3-month quarter of a year. The observed fertility is the proportion that a woman in a specified age group registers a birth in a specified region and quarter. Asymptotic results using statistical theory provide estimates based on maximum likelihood fitting of the model, together with confidence intervals and p-values for testing relevant null hypotheses (see, for example, Kleinbaum & Klein, 2002).

#### Goodness-of-fit of model

For each cell corresponding to a combination of nominal determinants, the Pearson residual is defined as

$$z = \frac{p - \hat{p}}{\sqrt{\hat{p}(1 - \hat{p})/n}}, \tag{3}$$

where  $p$  is the proportion of outcomes observed in the cell,  $\hat{p}$  is the corresponding probability given by the model, and  $n$  is the total number of cases in the cell. The goodness-of-fit of the model can be assessed visually by plotting these z-values against corresponding normal scores. The fit is adequate if the points in this plot are close to a straight line with unit slope. A p-value for the goodness-of-fit is obtained by subtracting the deviance associated with the saturated model from the model deviance and comparing this difference  $R_g$  with a chi-squared distribution having degrees of freedom equal to  $\tilde{n}_g m$ , where  $\tilde{n}_g$  is the number of cells and  $m$  is the number of parameters in the model.

## 3. Results

### 3.1 Preliminary Analysis

Table 1 shows the total fertility ( $TF$ ) and its age-specific components based on registered births in all four provinces for years 2002-2005. This indicates that the overall fertility in the four provinces appears to be near replacement level.

The estimates given in Table 2 are biased because many women move from their district of residence to give birth in a hospital located in another region where the birth is subsequently registered, so calculating the birth rate in a region based on the number of mothers resident in the region (as in Table 2) yields rates that are biased upward or downward, depending on this flow of movement.

Estimates of the net movement of mothers between regions is shown in Table 3, which lists the numbers of registered births in each region on the bottom line and the population in these regions aged 0-4 years in the right-hand column. The numbers in the body of the table are estimates of the numbers of births registered to residents of the regions, obtained as follows. First, we estimate the total number of births to residents of each region in the 5-year period from 2001 to 2005 by reducing the populations in the age group 0-4 in the 2000 Population Census by the constant 3.05%, the factor needed to match the total number of registered births in the four provinces. If this total is less than the number

of births registered in the region, we simply transfer it to its corresponding diagonal cell in the table. Next, we fill in the remaining diagonal cells using the corresponding totals in the bottom row. Finally, we fill in as many remaining cells as are necessary to make all the row and column totals match, based on assumptions about where mothers are likely to go if they register their births outside their region of residence.

The information in Table 3 forms the basis for recalculating total fertility, by replacing the denominators used to obtain the estimates in Table 2 by weighted sums using the row proportions given in Table 3. Let  $P_{ijt}$  denote the number of women resident in region  $i$  (ordered as in the top row of Table 2) and age group  $j$  in month  $t$ . Then the adjusted estimate of the number of mothers in age-group  $j$  in month  $t$  for the east coast region with percent Muslim less than 20% ( $i = 5$ ), for example, is given by the formula  $0.258P_{2jt} + 0.170P_{4jt} + P_{5jt} + 0.497P_{6jt} + 0.004P_{7jt} + 0.130P_{8jt}$ . Using the method described in Section 2.3 to estimate the total numbers of women resident in any specified month in 2002-2005 based on the numbers of women recorded in the 2000 population census, we thus obtain the numbers of women (in all seven age groups) resident in the eight regions in January 2002 (say) as  $P_1 = 108,767$ ,  $P_2 = 219,004$ ,  $P_3 = 55,578$ ,  $P_4 = 94,040$ ,  $P_5 = 49,021$ ,  $P_6 = 110,448$ ,  $P_7 = 27,714$  and  $P_8 = 107,117$ , respectively. Substituting these values into the above formula, we estimate the total number of women giving birth in the region to be 190,440. In the same way, estimates may be obtained of the numbers of women from each age group giving birth to babies registered in each region in each month, and these numbers provide appropriate denominators for obtaining relatively unbiased estimates of the total fertility.

### 3.2 Estimation of fertility using logistic regression model

Table 5 shows the result of fitting a logistic regression model to the number of registered births in a month by region, age group and period. The denominators (the numbers of women giving birth) are estimated using the method described above.

The result of fitting a logistic regression model to the number of registered births in a month by region, age group and period is statistically significant. However, the fit is inadequate with Residual deviance 902.3 and 381 degrees of freedom. This due to the very large data set (the population data). The model contains coefficients for each combination of age group and region (56 parameters), as well as 8 parameters describing the change from 2002-2003 to 2004-2005 for each region, and a further 3 parameters describing a quarterly seasonal effect.

The coefficients obtained from the model are plotted in Figure 3. It can be seen more clearly from this plot that the fertility rates of the mother in both east and west regions where there is a Muslim majority are higher than where there is a Muslim minority. Fertility among Muslims majority was higher on the east coast.

## 4. Conclusion and Discussion

In this study, data was obtained from birth certificates in four southern Thai provinces, aggregated by month of birth, age of mother, and district of registration of birth from January 2002 to December 2005, together with female resident population counts obtained from the 2000 Thai Population and Housing Census (National Statistical Office 2002). We used graphical and statistical methods to investigate the pattern of fertility in each period and region, and used logistic regression to fit a model for predicting the effects of age group, region and period on the fertility in each 3-month quarter of a year.

Our study found that the fertility of Muslim mothers is higher than that of non-Muslim mothers. This result agrees with other studies in India, Malaysia, Philippines and Thailand (Mishra, 2004; Morgan et al, 2002; Knodel et al, 1998). We also found that the fertility rate in all regions continuously declined and fell below replacement level. The results of this study agree with Prachuabmoh and Mithranon, 2003; Gubhaju and Moriki-Durand, 2003; Atoh M. *et al*, 2004; Chayovan and Tsuya, 2003. In Non-Muslim regions, the fertility rate sharply declined while in Muslim regions it only slightly declined.

Many women travel from their district of residence to give birth in a hospital located in another region where the birth is subsequently registered. Calculation of the birth rate in a region based on the number of mothers resident in the region may therefore yield birth rates that are biased. Thus, we estimate the total number of births to residents of each region in the 5-year period from 2001 to 2005 by reducing estimates of the number of births, by using the populations in the age group 0-4 in the 2000 Population Census.

### Acknowledgement

We would like to express our gratitude to Emeritus Prof. Don McNeil for his great guidance.

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Table 1. Total fertility and age-specific components based on births from 4 provinces

year	age group							TF
	15-19	20-24	25-29	30-34	35-39	40-44	45-49	
2002	0.248	0.481	0.523	0.394	0.212	0.066	0.023	1.946
2003	0.262	0.459	0.507	0.383	0.211	0.064	0.021	1.907
2004	0.285	0.459	0.521	0.389	0.206	0.067	0.015	1.943
2005	0.299	0.458	0.526	0.387	0.202	0.056	0.010	1.938

Table 2. Total fertility by demographic region based on birth registrations

year	% Muslim	west coast				east coast			
		<20	20-49	50-79	80+	<20	20-49	50-79	80+
2002		2.050	1.126	2.187	1.432	2.218	0.942	2.202	2.424
2003		2.053	0.987	1.996	1.450	2.255	0.880	2.141	2.337
2004		2.136	0.951	2.234	1.336	2.391	0.965	2.150	2.116
2005		2.288	0.966	2.181	1.206	2.423	0.878	2.148	2.016

Table 3. Estimates of numbers of births registered in 8 demographic regions classified by region of residence of mother

Region	west	west	west	west	east	east	east	east	estimate	0-4 in
%Muslim	0-19	20-49	50-79	80+	0-19	20-49	50-79	80+	of total	2000
W 0-19	30611								30611	31574
W 20-49	4155	8988			4566				17709	18262
W 50-79			14850						14850	15317
W 80+			1661	5891	1548				9100	9386
E 0-19					51127				51127	52735
E 20-49					13820	13961			27781	28655
E 50-79					156		37072		37228	38399
E 80+					5682			37969	43651	45024
total	34766	8988	16511	5891	76899	13961	37072	37969	232057	239356

Table 4. Total fertility by demographic region based on birth registrations and numbers of mothers in denominator adjusted for region of registration

year	% Muslim	west coast				east coast			
		<25	25-49	50-79	80+	<25	25-49	50-79	80+
2002		1.825	2.217	1.976	2.213	1.613	1.873	2.211	2.786
2003		1.827	1.943	1.803	2.242	1.634	1.750	2.150	2.686
2004		1.900	1.873	2.017	2.065	1.725	1.918	2.159	2.432
2005		2.034	1.901	1.967	1.865	1.741	1.745	2.157	2.318

Table 5. Results of logistic model to outcome monthly birth rate

Determinant	Coefficient	St Error	z-value	p-value
Constant	-5.3715	0.0165	-325.64	0.0000
Age-group.Region:	baseline:	15-19.west<20		0.0000
15-19.east<20	-0.1945	0.0198	-9.85	0.0000
15-19.west20-49	0.2870	0.0335	8.58	0.0000
15-19.east20-49	0.2371	0.0281	8.43	0.0000
15-19.west50-79	-0.0186	0.0283	-0.66	0.5114
15-19.east50-79	-0.0259	0.0230	-1.13	0.2605
15-19.west80+	0.2941	0.0390	7.55	0.0000
15-19.east80+	0.0313	0.0231	1.35	0.1756
20-24.west<20	0.5246	0.0188	27.88	0.0000
20-24.east<20	0.3276	0.0184	17.79	0.0000
20-24.west20-49	0.6892	0.0301	22.87	0.0000
20-24.east20-49	0.5184	0.0263	19.72	0.0000
20-24.west50-79	0.4906	0.0255	19.26	0.0000
20-24.east50-79	0.6266	0.0206	30.40	0.0000
20-24.west80+	0.6075	0.0359	16.93	0.0000
20-24.east80+	0.7282	0.0207	35.25	0.0000
25-29.west<20	0.6683	0.0186	36.02	0.0000
25-29.east<20	0.5286	0.0181	29.21	0.0000
25-29.west20-49	0.6387	0.0312	20.47	0.0000
25-29.east20-49	0.4369	0.0271	16.15	0.0000
25-29.west50-79	0.6377	0.0250	25.54	0.0000
25-29.east50-79	0.6637	0.0207	32.13	0.0000
25-29.west80+	0.6282	0.0365	17.22	0.0000
25-29.east80+	0.8184	0.0207	39.53	0.0000
30-34.west<20	0.2125	0.0201	10.55	0.0000
30-34.east<20	0.2150	0.0187	11.50	0.0000
30-34.west20-49	0.2236	0.0357	6.26	0.0000
30-34.east20-49	0.0719	0.0304	2.37	0.0179
30-34.west50-79	0.2335	0.0275	8.50	0.0000
30-34.east50-79	0.4651	0.0215	21.65	0.0000
30-34.west80+	0.4167	0.0398	10.46	0.0000
30-34.east80+	0.7391	0.0213	34.75	0.0000
35-39.west<20	-0.6542	0.0257	-25.43	0.0000
35-39.east<20	-0.5902	0.0212	-27.78	0.0000
35-39.west20-49	-0.4097	0.0458	-8.94	0.0000
35-39.east20-49	-0.4765	0.0376	-12.66	0.0000
35-39.west50-79	-0.3608	0.0335	-10.76	0.0000
35-39.east50-79	-0.0160	0.0239	-0.67	0.5045
35-39.west80+	-0.1177	0.0509	-2.31	0.0206
35-39.east80+	0.4202	0.0231	18.19	0.0000
40-44.west<20	-1.9960	0.0454	-44.01	0.0000
40-44.east<20	-2.1515	0.0346	-62.24	0.0000
40-44.west20-49	-1.5471	0.0788	-19.62	0.0000
40-44.east20-49	-1.4933	0.0601	-24.84	0.0000
40-44.west50-79	-1.4900	0.0551	-27.06	0.0000
40-44.east50-79	-1.0513	0.0342	-30.74	0.0000
40-44.west80+	-0.9763	0.0788	-12.39	0.0000
40-44.east80+	-0.5259	0.0319	-16.49	0.0000
45-49.west<20	-3.9852	0.1289	-30.92	0.0000
45-49.east<20	-4.3331	0.0999	-43.37	0.0000
45-49.west20-49	-2.2887	0.1229	-18.62	0.0000
45-49.east20-49	-2.4921	0.1043	-23.88	0.0000
45-49.west50-79	-2.5537	0.0985	-25.94	0.0000
45-49.east50-79	-2.2625	0.0625	-36.21	0.0000
45-49.west80+	-2.1703	0.1523	-14.25	0.0000
45-49.east80+	-1.5744	0.0530	-29.68	0.0000

Table 5. Results of logistic model to outcome monthly birth rate (continue)

Determinant	Coefficient	St Error	z-value	p-value
Period.Region:	baseline:	2002-3.all regions		0.0000
2004-5.west<20	0.0763	0.0120	6.37	0.0000
2004-5.east<20	0.0642	0.0080	7.98	0.0000
2004-5.west20-49	-0.0915	0.0240	-3.82	0.0001
2004-5.east20-49	0.0119	0.0192	0.62	0.5355
2004-5.west50-79	0.0562	0.0175	3.20	0.0014
2004-5.east50-79	-0.0064	0.0116	-0.55	0.5827
2004-5.west80+	-0.1134	0.0288	-3.93	0.0001
2004-5.east80+	-0.1303	0.0116	-11.28	0.0000
Season:	baseline:	April-June		0.0000
January-March	-0.0531	0.0067	-7.94	0.0000
July-September	0.0582	0.0065	8.96	0.0000
October-December	0.0120	0.0066	1.83	0.0665
r-sq: 0.0376 df: 38061569 ResDev: 2267542.98 nRecords: 5376 sampleSize: 38061636				
Grouped data (448 cells): df: 381 ResDev: 902.28				

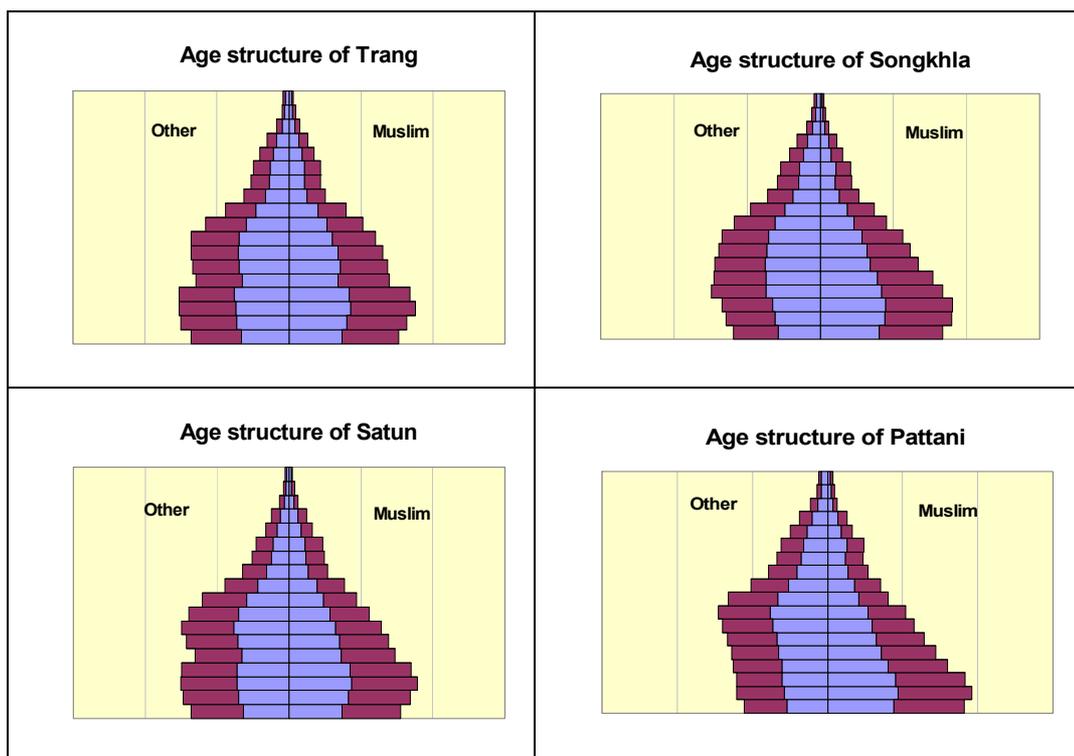


Figure 1. Age pyramids for Muslim and non-Muslim populations in 4 provinces

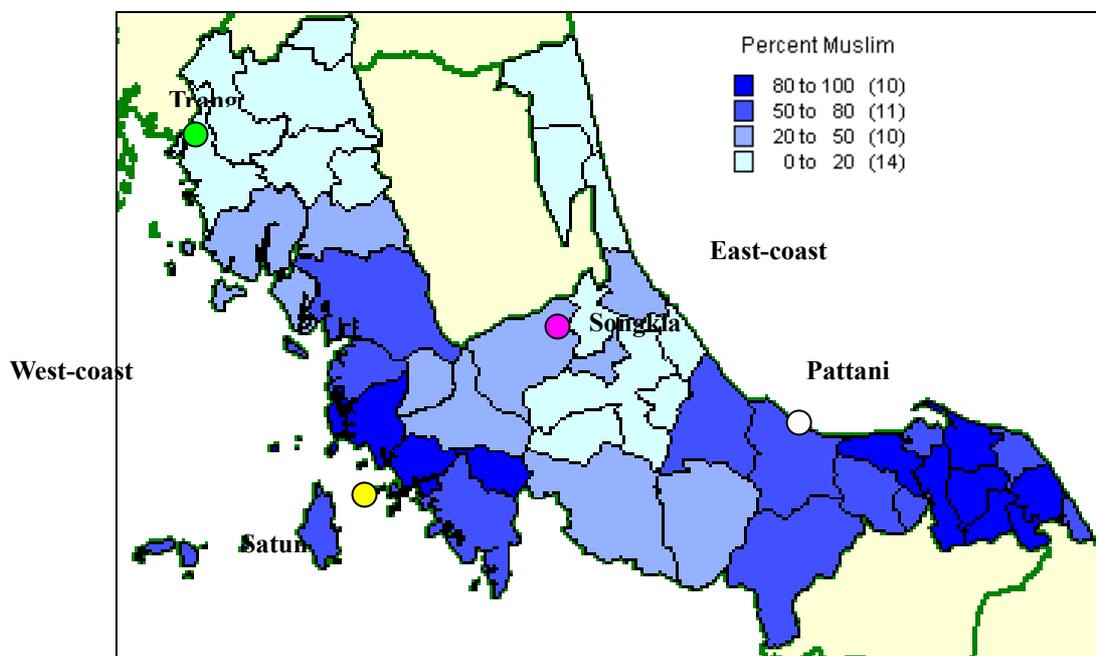


Figure 2. Classification of districts in 4 southern Thai provinces by percent Muslim

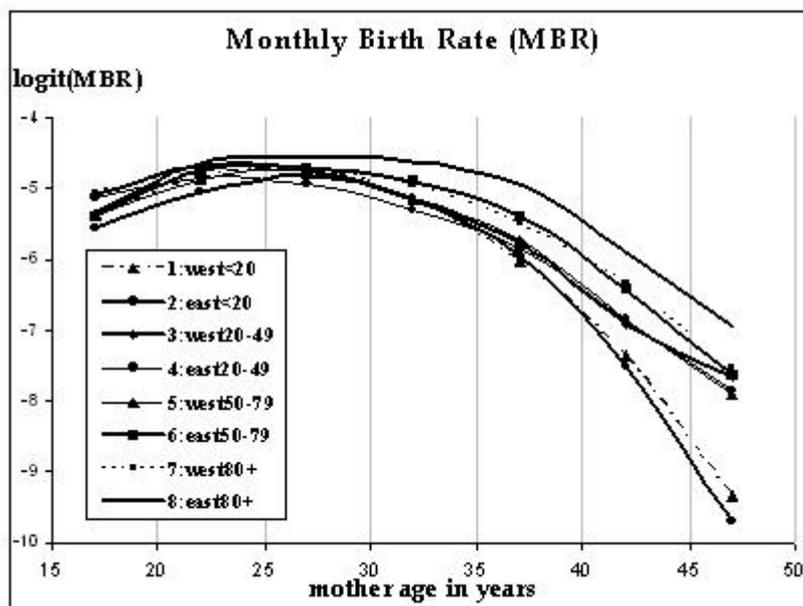


Figure 3. Logits of monthly birth rates based on fitted logistic model



## The Choice of Sustainable Development Model of China's Agriculture

Manghuan Li

College of Economics and Management  
Henan University of Science and Technology  
Luoyang 471000, China  
E-mail: limanghuan@sina.com

### Abstract

Whether China's agriculture can achieve sustainable development, it not only has a great impact on the realization of a harmonious society, but also has an important impact on the realization of 9 million peasants' all-round well-off issues. In this paper, through analyzing the meaning of agricultural sustainable development, the problems within in it are described, and sustainable development model of China's agriculture is explored.

**Keywords:** Agricultural economy, Sustainable, Development model

### 1. The meaning of sustainability of the agricultural economy

The sustainability of the agricultural economy is a rich concept. It can be summed up in the embodiment of the "three sustainability". First, it is sustainability of agriculture production. That is to ensure the stable supply of agricultural products to meet the needs of the society for agricultural products. Second, it is sustainability of rural economy. That is to increase the peasants' income and improve their quality of life. It should be reflected in the rural industrial structure, the extent of rural industrialization and the living standards of peasants. Third, it is sustainability of ecology and environment. That is, mankind's ability to withstand natural disasters and the ability to develop, conserve, and improve the environment. This capability is the foundation of overall agricultural development and economic growth. Without a sound resource base and environmental conditions, the conventional modern agriculture would fall into a difficult position. China is the world's largest developing country. It has a low level of agricultural inputs, operating extensive cultivation and small-scale. Agricultural productivity, per capita share of grain, meat, and per capita agricultural output is only 1/5, 1/3, 1/5, and 1/4 of the developed countries, respectively. Under such circumstances, China should put sustainable development to a prominent position, and take "three sustainability" into account.

### 2. The problems within China's Agriculture Sustainable Development

The sustainable development of the agricultural economy is related to agricultural resources, environment, production, market, consumption, and management etc. However, the key still relies on the substantial development of the agricultural natural resources and the environment. In a rural-based agricultural economy, whether it is a modern industrial-style agriculture, alternative agriculture or traditional agriculture, the key issue is the foundation to achieve sustainable development of agricultural economy.

#### 2.1 *The problems of modern industrial type agriculture*

The industrial type agriculture is capital intensive, specialized and scale production, which based on machinery and agricultural chemical products. The industrial type agricultural evolution resulted serious pollution and breakage in agricultural environment and ecosystem. The main reasons are as follows: First, the residual of chemical fertilizers, insecticides, farming PVC films, and etc, pollute and destroy the soil, water and atmosphere. Second, the shifts of intensive breeding animals, the wastes of agricultural and livestock products processing plants, and the wastes of energy consumption during agricultural production directly get into environment, which result in the pollution and breakage of agricultural environment. Third, the great usage of chemical fertilizers and machine cultivation result in soil's hardening and make agricultural land resource quickly deteriorate. Forth, the unreasonable irrigation results in soil alkalization and shortage of water supply. Fifth, the unreasonable reclamation and excessive exploitation result in desertification and soil

erosion. Sixth, the great usage of chemical fertilizers, and insecticide, etc, result in agricultural chemicals directly remain in plant food and condensable remain in animal food, which increase the risk of food safety. Seventh, the agrochemicals have direct damage to users. Industrial agriculture has already become energy-intensive and capital-intensive type industry. This is in consistent with the requirement of sustainable agricultural development.

### *2.2 Problems with Alternative Agriculture*

During 1960s and 1970s, the alternative agricultural development model was proposed. It negated the industrial type agriculture ignoring environment and resource, but pursuing profit maximization. It emphasized the sense of harmony between environment, quality of food and nature. Furthermore, it attempted to make more use of natural process and biological process, to reduce the intervention to the nature and agricultural ecosystem. Alternative agricultural models include organic agriculture, biological agriculture, natural agriculture, environmental-friendly agriculture and ecological agriculture, etc. Various alternative agriculture models emphasize different principles, and the technique adopted are also different, but they still have some similarity. For example, we should adopt a system of minimum tillage or no tillage, and emphasize alternate tillage and mixed planting, in order to achieve the integration of using the land and improving the land. Talking about agricultural chemical product, we emphasize use less or disuse chemical fertilizers and insecticides, and restore of straws, sugar shells and people and livestock's manures. We also emphasize biological and integrated control of insect pest and plant diseases. Talking about agricultural energy, we should do our best to make use of renewable energy, resources, manpower and animal power, and at the same time try to increase energy efficiency. Although the alternative agriculture lowered output to some extent, but the production of little added value products increase. The pace that agricultural labor productivity and economic returns increased was not fast, but it has a positive impact on sustainable agricultural development in resource and environment aspect.

The problem of sustainable development of alternative agriculture is the limitation of application. It reflects on two aspects: region and technique.

First, although alternative agriculture is regarded as an ideal agricultural development model, and has some superiority in the aspect of resources and environment. However, it was proposed under the background of developed countries, where it has smaller population pressure, development pressure and inequality. Talking about numerous developing countries and region, under the low level of regional development, it is not enough to only consider resources and environment, but has to consider substantial population pressure. It is a difficult position that less developed countries and regions face. Therefore, the ideal alternative agricultural model inevitably has some regional limitations. It is difficult to effectively solve the sustainable development problems of developing and less developed countries, and can only be practiced in certain scope.

Second, alternative agriculture model has some limitations and shortcomings in techniques.

Firstly, agriculture system is an open system, and the crop nutrition needs to be replenished and exchanged. Alternative agriculture depends on alternate tillage and the usage of organic fertilizer. It can solve the supply of nitrogen, but it is difficult to keep the balance of phosphorous and potassium, etc.

Secondly, alternative agriculture claims using biological and combination method to control insect pests and weeds. It must rely on the openness of bioprocess technologies and investment requirement. However, various alternative agriculture models generally have lower economic returns, which hardly to meet the high investment requirement.

### *2.3 The problems of traditional rural economy*

The traditional rural economy exists commonly in less developed region. The characteristics are slow and inactive development of technology, extensively use of natural resources and environment, which lead to extremely low efficiency. The model sharply contradicts with expanding population's requirements of natural resources and environment, and it restricts the substantial development of traditional rural economy.

First, because of the limitation of technology development, the information of traditional rural economy relies on the combination of extensive land and labor production and management. The facts are: The total plantable land continues decrease, the marginal input of land also continues decrease, and the increase of rural economy is maintained by increasing labor input. The result is the expansion of rural population. A vicious circle is therefore formed between the increase of rural population and the decrease of plantable land, which cause sustainable development problem.

Second, under the dual difficult position of increasing population and low production efficiency, it is difficult to reasonable utilize the agricultural resources and environment. In order to earn a living, resources and environment are seriously damaged. For example, forests are cut down, grasslands are cultivated, and lakes and wetlands are also cultivated. The agricultural sustainable development problem is becoming more serious day by day.

## **3. The choice of China's sustainable development model**

Along with knowledge-based economy and arrival of sustainable development era, China's agriculture will face more rigorous situation in 21th century. In order to achieve sustainable development of agriculture, the right sustainable

model must be chosen. The details are as follows:

### 3.1 Green agriculture

The green agriculture based on environment-friendly agriculture, where high technology leads, green production and green food are characteristics, and whole nation's green consciousness is established. 21th century will be the century that the agriculture keeps developing. The green consumption will be a main tend in the century, and the green requirements will become main requirements gradually. The humans need more hygiene, nourishment, and free from pollution agricultural products. They not only require the safety of future development of agriculture and agricultural products, but also require high grade, high quality, and outstanding type green food in order to achieve virtuous cycle between humans and environment. Therefore, carrying out the green agricultural development strategy is the ideal and feasible model of 21th century agricultural development model. After 5-year protection period after China's enter into WTO, the requirements of international market for high grade, high quality, outstanding type, and non-toxic, harmless, pollution free and green trade barrier in international trade have become important trade barriers. Therefore, we have to implement the road of green agricultural development.

### 3.2 Gene agriculture

In knowledge-based economy era, biotechnology will be widely used. DNA recombination technology, clone technology, and application and utilization of new advanced biological process all bring infinite expectations for humans. Because of the birth and development of gene engineering technology, the agricultural biotechnology has changed fundamentally. If gene engineering technology is selectively used, we can active or control certain gens, or transform gens using new method. In this way, we could produce all new and safe food. Along with the fast development of biological technology, gene agriculture inevitably becomes growth engine of China's agricultural sustainable development.

### 3.3 Eenvironmental-friendly agriculture

According to Ministry of Agriculture and other six Ministries, <The Report for Quicken Environment-Friendly Agriculture> pointed that China's environment-friendly agriculture is based on ecology and ecological economics, and applies system engineering. It combines the technology of traditional and modern agriculture, and utilizes advantage of local natural resources to act according to circumstance, plan, design, organize and implement integrated agricultural system. It aims developing greater agriculture as a starting point, and according to the principle of overall coordination so as to practice overall planning of agriculture, forest, herd, auxiliary and fishing. The result is that all industries support each other and reinforce each other in order to promote multi-tier usage and virtuous circle of matter energy of agro-ecosystem. Therefore, continuous, fast, and healthy development of agriculture can be achieved.

### 3.4 White agriculture

White agriculture makes use of microorganism resources, which is one of three largest biological resources in the world and has not been widely used by humans. People use technology to exploit white agriculture and create a new type of agriculture - microbiological industry. The traditional agriculture use sun as direct energy, and green plants through photosynthesis to produce human food and animal feeds. However, white agriculture use man-made energy, and is not restrained by climate and season. A large scale production can be done in the factories all year round. Microbiology industry is land-saving type industrial production. The factory that produces 100 thousand tons single cell protein a year only occupies a little land. The output is equivalent to 130 thousand kilometer squared soy protein, or animal protein from cattle fed by 20 million kilometer squared grassland. It is thus clear that developing white agriculture in China has a bright future.

### 3.5 Network agriculture

In knowledge-based economy era, all kinds of agriculture information are gathered into computer network. People could share the information through internet. For example, the information about all kinds of natural resources: climate, soil, water and spices etc., the information about supply and demand of raw material for production, the information about agricultural production, logistics, price, technology, education, policy and laws, etc. More and more peasants found that internet has a wide range of uses, and is convenient and fun to use. For example, farmers live in Henan and Shandong Province, who plant apples and peanuts, etc. They could not only expand sales through internet, but also sell the products to overseas. The information network makes a breakthrough in agricultural production localization and makes internationalization and globalization possible.

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## Assessing Residents' Quality of Life in Malaysian New Towns

Dasimah Bt Omar

Faculty of Architecture, Planning and Surveying

Universiti Teknologi MARA

40450 Shah Alam, Malaysia

E-mail: dasimah629@salam.uitm.edu.my

### Abstract

One of the ultimate aims of a new town development is quality of life. This paper is based on a perception survey that was carried out to evaluate the level of quality of life experienced by the people living in 13 new towns developed by the State Economic Development Corporations in Malaysia. The analysis sought to uncover information relating to community life which was specifically planned to provide a good quality of life for its inhabitants continuously until the completion of the development. The research showed that from the indicators used in the analysis it can deduced that new towns developed by the State Economic Development Corporations were generally accepted by the residents as providing satisfying living environment. The findings of this research could be used to address the future development of new towns. The findings will be useful in determining the physical planning and quality of life indicators for sustainable development.

**Keywords:** Quality of life, New towns, Living environment, State Economic Development Corporations

### 1. Introduction

The planning and developing a new town is concerned with the human and social elements in relation to the built environment. Quality of life encompasses the fulfillment of all human needs such as a satisfactory standard of material life, health, education, security, the satisfaction of living in a clean environment as well as the enjoyment of the aesthetic and the spiritual. In short, it relates to the general well being of the populace. For governments the responsibility in bringing about a high quality of life is in ensuring that, inter alia, the necessary infrastructure of utilities and amenities, the institutions of social organisation and governance that permits an acceptable level of individual expression and choice, are in place. For the individual, a prerequisite of a good quality of life is an adequate income, sufficient to permit access to the facilities that the city can provide.

### 2. New Town and Quality of Life

The new model of urban residential development known as new towns was brought into the English Planning and Development concept by the 1946 and 1965 New Town Acts (Morris: 1997). New town is design to be self sufficient. After more than fifty years Howard's social cities' size proved valid when the new town committee produced a suggestion that the optimal normal range of population in a new town is between 30,000 to 50,000 people (Danang: 1997). The first generation of new town development in Britain consisted of 15 new towns with 175,000 houses, 35,000,000 sq. ft of factory space, 350 schools, 4,000,000 sq. ft. office space, 100 pubs, public buildings, several thousand acres of parks and arranged with playing fields and open space (Morris: 1997). By 1970 British followers of Howard succeeded in getting government to build new towns. The ideas also spread to United States as early as 1930. In both countries the new town experiments enjoyed modest success in providing a relatively high quality of life (Nancy: 2005). As for Hong Kong, although residential living space in new town is limited, much thought was given to enhancing the quality of life outside the home (Julie and Dinah: 2002).

The concept of "quality of life" can be a useful tool in studying and evaluating the degree of well-being and equity for living in specific circumstances (Giulietta and Paola: 1999). Milbrath (1978) states that "...if quality of life is defined as happiness or wellbeing or satisfaction, it is necessarily subjective. This is further discussed by Marans and Couper (2000). The quality of life in a particular area was a subjective phenomena and that each respondent may have different views or perceptions with regard to subject matter. The concept of "quality of life" represents more than the private "living standards" and refers to all the elements of the conditions in which people live, that is, all their needs and

requirements. This concept has been developed by social scientists to measure and evaluate people's wellbeing, satisfaction and happiness. It demands, amongst other things, available and accessible social and public infrastructure to satisfy the needs of those involved and affected by it as well as an environment (Giulietta and Paola: 1999).

It is of theoretical interest to explore the relationship of the built environment and the satisfaction level of different living areas. Campbell, Converse and Rogers (1976) addressed the concept of quality of life as measuring the people's perceptions, evaluation and satisfaction. Leitmann (1999) listed four reasons for assessing the quality of urban life: a) to make comparisons, b) to identify problems, c) to develop policies and d) to monitor and evaluate the implementation of interventions. For many researchers satisfaction was viewed as more definable, more plausible and more appropriate to measure and compare people's assessments on quality of life experience (Marans and Couper: 2000).

Possibly, decision making processes must consider views from various disciplines such as planners, urban designers, engineers, architects and other related professionals such as sociologists who have knowledge on the human quality of life values necessary for long term satisfaction. To cite, it was found that more creative planning and design elements led to greater satisfaction among residents of Singapore's new town called Tampines (Seik, Yuen and Chin: 1999). Urban planning processes have to involve public participation in creating dream homes within a safe, secure and pleasant environment. Modern urban planning should aimed at improving the conditions and opportunities that urban environment can present wherever possible. Recall that, one of the overriding intentions of new town development is to humanise the urban environment by creating lively locations for a balanced settlement structure with residential areas and an urban diversity of shopping, services, recreational and cultural facilities. Another principle is to provide the best possible urban quality of life for every one to live, work and play.

According to Mercer's 2008 Quality of Living Survey, European cities dominate the worldwide rankings of locations with the best quality of living. Zurich retains its 2007 title as the highest ranked city, followed jointly by Vienna (2), Geneva (2), then Vancouver (4) and Auckland (5). Dublin has a worldwide rank of 25 and 8th place among European cities. On an annual basis Liverpool City Council consults with residents regarding a range of subjects, including satisfaction with council services, usage and awareness of leisure services, and general quality of life issues (Liverpool City Council: 2008).

On the whole, urban planning must respond to social change, demographic trends, economic efficiency, and also user needs. Quality of life should be the common goal of urban planning, more so of new town development (Schewenke: 1999). The physical means of progressing towards a better quality of life is intended by embracing the concept of sustainable development. Social improvements and well being are enhanced through co-operation between all the participants involved in urban planning and urban development with the commitment towards the quality of the total built environment experienced by urban dwellers.

### 3. Quality of Life in Malaysia

The government of Malaysia has attempted to provide a policy to keep pace with the rapid economic growth so as to bring about a better quality of life for the people (Mahathir: 1998). The Economic Planning Unit (EPU), in its report on the Malaysian Quality of Life Index (MQLI) 2002, defines quality of life as *encompassing personal advances, a healthy lifestyle, access and freedom to pursue knowledge, and attaining a standard of living which surpasses the fulfillment of the basic and psychological needs of the individual, to achieve a level of social well being compatible with the nation's aspirations*. The Malaysian Quality of Life Index (MQLI) is intended to be a comprehensive measure of welfare and human well-being, from a broader perspective which includes not only income but other aspects of life such as working life, family life, transport and communications, health, education, and public safety.

The Malaysian Quality of Life 2004 is the third report to describe the progress and for the first time examined the quality of life at the state level. The Malaysian quality of life, as measured by the Malaysian Quality of Life Index improved over the 1990-2004 period, increasing by 10.9 points. This improvement in the quality of life is also reflected in the achievement of all of the Millennium Development Goals ahead of the target date of 2015 (Fong Chan Onn: 2007). In year 2004 Malaysia has gone up 15 positions to rank 36<sup>th</sup> among 101 countries in the New York Economist Intelligence Unit's quality of life index for 2005. As for Quality of Life 2008 ranking by International Living .Com, Malaysia was at 81<sup>st</sup> place with the final score of 58 points among the 202 countries that were ranked. France leads the ranking with 85 points followed by Switzerland with 84 points, while Iraq is at the bottom rung with only 29 points. Singapore is in 79<sup>th</sup> place. The determinant used by included cost of living, leisure and culture, economy, environment, freedom, health, infrastructure, risk and safety and climate.

The overall improvement in the economic development of the nation was also reflected in the increase in the quality of life of the population at the state level. This is attributed to various strategies at the federal and state levels. In line with this, the Ninth Malaysia Plan (2006-2010) sets out to achieve a stronger and more value-added economy, while giving substantial focus to socio-economic issues and uplifting the quality of life for all. The government remains committed towards improving the quality of life of all Malaysians said Deputy Prime Minister Datuk Seri Najib (2008).

#### 4. New Town Development by State Economic Development Corporations

The quality of life indicators have often been used by the community but have not been fully integrated into urban land use planning and new town development process. There is a need to encourage communities to create their own indicators to reflect their needs. This can contribute to the overall strategic direction for sustainable development to make sure the decision makers, town planners and developers know what is expected.

In Peninsular Malaysia, six State Economic Development Corporations for Selangor, Pulau Pinang, Perak, Johor, Pahang and Terengganu were involved in new town development. The emphasis on new town development varied between states. Each of the State Economic Development Corporations planned and developed its new towns so as to meet the policy requirement of the respective state government. There are thirteen new towns developed by six SEDCs including:

4.1 The Selangor State Economic Development Corporation was the most active with six new towns namely Shah Alam, Bangi, Kelana Jaya, Ampang Ulu/Klang, Bandar Sultan Suleiman and Kota Damansara. The new towns were to serve as catalysts for the regions and also to strike a balance between the Klang Valley and other areas in the state.

4.2 The Pulau Pinang Development Corporation developed three new towns, with Bayan Baru on the island, and Seberang Jaya and Batu Kawan on the mainland. These new towns were established to encourage the development of the surrounding areas.

4.3 The Perak State Economic Development Corporation developed its first new town called Seri Manjung with the objective of creating a balanced regional development, as well as achieving the New Economic Policy.

4.4 The Pahang State Economic Development Corporation developed Indera Mahkota as an important new town in the east coast of Peninsular Malaysia.

4.5 The Johor State Economic Development Corporation developed Pasir Gudang as the largest industrial new town in the southern part of the Peninsular.

4.6 The Terengganu State Economic Development Corporation developed Kerteh to cater for oil and gas industries.

#### 5. Aim and Objectives

The aim of this research is to explore and assess the quality of life experienced by the residents of 13 new towns developed by the State Economic Development Corporations in Malaysia

The objectives are as follows:

- (a) To identify the indicators of the quality of life in the new towns
- (b) To compare and demonstrate the quality of life achieved in the 13 different living environments

#### 6. Research Methodology

Data was gathered by self administered questionnaire. The questionnaire was validated by two senior town planners from the Federal Department of Town and Regional Planning, Malaysia and two senior lecturers from the Faculty of Architecture, Planning and Surveying, Universiti Teknologi MARA on the content validity. In order to identify the reliability of the questionnaire, it was pre-tested in a pilot study. The process involved 20 residents of Shah Alam New Town who work as lecturers in Universiti Teknologi MARA.

The questionnaire was divided into two parts. Part A contains the open-ended questions. In Part A the residents were asked to fill their personal profiles such as state of origin, reasons for staying, length of stay and, later asked to write the problems, suggestions or proposals for improvement. Part B consists of 22 closed-ended questions where respondents were required to indicate how they felt about their present stay using a five point scale. The questions were arranged on a single page for quick response by the residents. In order to get the equal chance on the resident participation, the total number of samples required were divided according to the ratio of different types of houses, namely low cost, medium cost and high cost in each new town as shown in Table 1. The questionnaire was distributed in an envelope with a cover letter and a self-addressed envelope of the researcher.

The total number of questionnaires distributed was 4,512. After waiting for about three months the number of respondents who returned the envelope was 436. The number of respondents is enough to meet the 95 per cent level of confident and the acceptable margin of error at five per cent suggested by Lewis (1985). Table 2 shows the distribution of respondents by new town. Data were analysed applying the Statistical Package for Social Science. Perceptual evaluation of the indicators was tabled to illustrate the quality of life dimensions. The ranking of the individual new town was calculated by multiplying the score on each dimension by the appropriate weighting. The same approach was applied to rank the indicators.

## 7. Analysis

### 7.1 Background of respondents

Although these data were on general aspects, there were unique aspects of new towns environments that need to be determined and addressed. The results from 436 respondents to the survey questionnaire are discussed. Majority of the respondents were male which formed 69 per cent with a frequency of 301. This probably indicated that the principal or the head of the household family members responded to the questionnaire. The respondents were dominated by the active group with the largest group between 36-45 years old 33.5 per cent with a frequency of 146 out of 436. The majority of the respondents which formed 51.6 per cent with a frequency of 225 were staying due to employment. This figure implied that there were employment opportunities created in new towns or in the surrounding areas. The largest group of them (51 per cent) did not work in there but working outside the new towns. About 40 per cent of the respondents were employed by the private sectors and the research found that they were engaged in administrative and managerial work. In terms of respondents' home, the majority of them, or 65 per cent, reported that they owned their homes and 61 per cent of these houses were medium cost type. It was found that the most frequently owned homes were the single storey houses.

### 7.2 Problems faced and suggestions by respondents

The question on the problems faced in the new towns was an open-ended item. Respondents were required to write down the problems experienced in the particular area. A similar type of question asked for the suggestion for an improvement of their living environment. The open-ended questions were intended to gather as much as possible the related answers from respondents. There was a variety of problems listed, however, for the analysis they were grouped so as to have the general assessment for all new towns.

The survey showed that the largest group of respondents (23 per cent) had no problem staying in the new towns. Others with problems including 20 per cent public facilities, 11 per cent social, 11 per cent environment, 9 per cent transportation, 7 per cent economic and 6 per cent safety.. This shows that the majority of residents of the new towns developed by the States Economic Development Corporations are living in a satisfactory environment. As for the suggestions, the largest group of them (24 per cent) requested for the improvement in the public facilities where some stated the need for bigger schools and more classrooms to accommodate the population. About 19 per cent did not answer this question. Other suggestions include 11 per cent for social improvement, 9 per cent for environment, 7 per cent for transportation and 5 per cent for safety.

### 7.3 Residents' Perceptions

In this part, the analysis is focused on Section B of the original survey questionnaire which retrieved information on the residents' perceptions. This is concerning the community facilities, infrastructure services, commercial facilities open space and surrounding areas, feeling safe in the living area and safety of property, feeling about living in the particular new town, sense of neighbourhood community, adequate comfort in housing, house price or rental value, and mobility and public transportation service. Their perceptions are assumed to be an important indicator for a particular new town being an ideal or unsatisfactory place to live. The residents had freedom to make choices regarding their own living environment. The residential environment is important in the analysis of quality of life because of the role it plays in human experience. The objective of this research was to identify the quality of life in new town developments.

The research attempts to measure the effect of new town environment on the residents' life and to compare the quality of life achieved in all the 13 new towns. The findings from residents' perceptions may become one of the ways for getting people involved in ensuring the continued success of their community. The survey questionnaire asked whether the respondent's perceptions were completely satisfactory, satisfactory, average, unsatisfactory and completely unsatisfactory to quantify their living environments' quality. The quality of life would increasingly play a significant role in various planning dimensions and would likely to a complex one (Dissart and Delier: 2000).

Table 3 shows the overall findings on respondents' perceptions towards the list of variables. In some cases the variables were grouped together based on their characteristics and functions. There were ten groups to summarised the indicators used in the survey. The average percentage was according to the satisfaction level for the particular group.

There were five variables listed as community facilities namely Primary School, Secondary School, Higher Learning Centre, Place of Worship and Entertainment Centre. The average percentage for community facilities was 31.7 per cent with satisfaction level of satisfactory. However, among five community facilities listed, places of worship were rated as completely satisfactory, while higher learning centres and entertainment centres were of average satisfaction level.

Both primary school and secondary school were at satisfaction level of satisfactory in the State Economic Development Corporations' new towns development. Referring to shopping facilities, the average was at the satisfactory level though the centre for higher order goods was at the level of average. As for infrastructure services, these were also at the satisfactory level, but only electricity services was found to achieve the level of completely satisfaction. The

environment and open space was rated average, with all the elements including esthetic, cleanliness, open space and children's playground were rated with the same satisfaction level by majority of respondents.

The next group titled safety of self and properties was also at the satisfactory level of average. However, majority of respondents were satisfied about the safety of self and properties as compared to traffic safety. The respondents were satisfied about living in the new town, sense of community and comfortable space in the house. House price and rental was of average satisfaction level. As for mobility and public transportation facilities the average satisfaction level was satisfactory. However, rail service had the highest percentage of completely dissatisfied responses while bus services and taxi services were at the level of average.

The summary of findings shows that only places of worship and electricity services achieved the satisfaction level of completely satisfied while only rail services was rated as completely dissatisfied. However, referring to the ten groups in Table 3, overall none of them achieved the completely satisfied level, eight were rated as satisfied, the other two as average and none was rated as dissatisfied or completely dissatisfied. The research showed that from the indicators used in the analysis it can deduced that new towns developed by the State Economic Development Corporations were generally accepted by the residents as providing satisfying living environment.

#### *7.4 Respondents' Quality of Life by New Towns*

The purpose of this section is to elaborate on the majority of respondents' level of satisfaction by percentage on the quality of all the 13 new towns. Each of these new towns was compared to each other by means of the 22 variables of their residential environment, which were related to their satisfaction as well as to the characteristics of the social environment. The variables were assessed by the respondents from the 13 new towns were rated. For the purpose of this research, an important outcome is satisfaction with the 22 listed variables as an indirect indication of the general outcome of quality of life in these new towns. The majority of respondents being satisfied with those variables is important because it demonstrated the ability of the physical design and planning for a particular new town to fulfill the expectations of the community.

The discussion began with the highest score new town which was Ampang/Ulu Klang based on the weight given. For every variable, a mark was given based on the highest percentage of satisfaction level from respondents' perceptions for each new town. The satisfaction levels were given weight to enable comparison on the score among the new towns. The weight given was '5' for completely satisfied, '4' for satisfied, '3' for average, '2' for dissatisfied and '1' for completely dissatisfied. The scoring weight for each item therefore was reversed and the total score was based on the sum of all the weightings for each new town. Then each of the variables was examined and a weighting was given for evaluation and comparison purposes. The maximum score for each new town was 110. Measuring the quality of life in towns was by giving weight to each variable and adding to weights assigned to other variables for the particular area. The total score provided an overall ranking for the area and was intended to represent its overall quality. The areas were then rank ordered. Similar approaches have been used for other cities (Marans and Couper, 2000; Brown, 1999). Based on the above statement, the same principle was applied in this analysis. After all the lists of variables were completed, the weight for each new town was totaled up.

The results demonstrated the ranking of the 13 new towns. Ampang/Ulu Klang scored the highest score of 90, followed by Kelana Jaya with 87. Shah Alam, Bayan Baru and Pasir Gudang were in the third place having scored 82. Bangi together with Indera Mahkota scored 81 points on fourth place. Seri Manjung the fifth place with 78 points. Seberang Jaya on sixth place with 75 points, Kota Damansara was in seventh place with a total points of 74 while Batu Kawan was in eighth position with 71 points. Bandar Baru Sultan Suleiman was in ninth position with 70 points. Kerteh in Terengganu was in the last position with 65 points.

It was found that there was a difference of 25 points between Ampang/Ulu Klang which was top of the list compared to Kerteh in the last place of the 13 State Economic Development Corporations new towns studied. Each of these new towns was listed in the order of Ampang /Ulu Klang with the best quality of life and ended with Kerteh having the poorest quality of life to compare the achieved satisfaction levels responded by the largest group of the survey respondents.

## **8. Conclusion**

The role of the State Economic Development Corporations in new town development appeared to vary and the results of the residents' perceptions survey were able to demonstrate the quality of life of each new town. These findings indicated that there was a relationship between the physical characteristics and the quality of life in new town development. These new towns were ranked based on the score points from the survey analysis. Kelana Jaya and Ampang/Ulu Klang had achieved the status of 99 per cent completion and these two new towns were ranked at the top of the list based on the analysis of the survey. The same relationship was also reflected in the findings for Kerteh which was the smallest size, with a population far below the minimum requirement, and had been ranked last with the lowest score.

The ranking of the new towns was as follows:

1. Ampang/Ulu Klang
2. Kelana Jaya
3. Shah Alam, Bayan Baru and Pasir Gudang
4. Bangi and Indera Mahkota
5. Seri Manjung
6. Seberang Jaya
7. Kota Damansara
8. Batu Kawan
9. Bandar Baru Sultan Suleiman
10. Kerteh

The research was also able to rank all the 22 variables based on the residents' perceptions so as to demonstrate the comparison between them.

The result was as shown in the following list:

1. Religious centres
2. Electricity supply
3. Telephone service
4. Primary schools
5. Water supply
6. Commercial service for lower order goods
7. Secondary schools; Mobility to work place
8. Feelings about living in new towns; Sense of neighbourhood
9. Feeling safe and safety of property; Adequate comfort in housing
10. Beauty of the surrounding area; Cleanliness; Traffic safety; Bus services
11. House price/ rental value
12. Open space facilities
13. Children's playgrounds
14. Entertainment centres
15. Taxi services
16. Commercial services for higher order goods

Among the 22 variables the research found that religious centres were to be the most well provided facilities in the State Economic Development Corporations' new towns with the highest score. All new towns studied were also well served by infrastructure facilities including electricity, telephone service and also water supply and had achieved high satisfaction responses from the residents. However, surprisingly, primary school facilities were ranked as number four which was lower than the religious centres, electricity service and telephone service. The young working age of the respondents who formed the majority of the residents of these new towns were assumed to have children of primary school age and they felt that the primary school requirements needed to be improved. Commercial service centres for lower goods were ranked as number six. However, commercial service centres for higher order goods were ranked second last in the list. This reflected the fact that the development of these new towns was focused on the provision of the basic commercial centres for the communities.

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Table 1. Distribution of Sample on Residents' Perceptions Survey by Study Area at 95 % Confidence Limit.

STATE	NEW TOWN	LOW COST		MEDIUM COST		HIGH COST		TOTAL
		UNITS	NO. OF SAMPLE	UNITS	NO. OF SAMPLE	UNITS	NO. OF SAMPLE	
SELANGOR	Shah Alam	6,395	69	25,113	261	6,672	66	38,180
	Bangi	1,250	53	6,251	264	1,574	67	9,075
	Kelana Jaya	544	31	4,924	282	1,103	63	6,571
	Ampang/Ulu Klang	2,672	130	4,896	237	265	13	7,833
	Bandar Baru Sultan Suleiman	3,340	356	-	-	-	-	3,340
	Kota Damansara	900	114	1,812	230	44	6	2,756
PULAU PINANG	Bayan Baru	1,779	65	7,650	279	1,149	42	10,578
	Seberang Jaya	2,091	115	4,140	228	599	34	6,830
	Batu Kawan	395	156	216	85	-	-	611
JOHOR	Pasir Gudang	7,528	254	3,274	110	651	22	11,453
PERAK	Seri Manjung	989	71	2,785	199	1,437	103	5,211
TERENGGANU	Kerteh	-	-	192	130	-	-	192
PAHANG	Indera Mahkota	2,114	116	2,793	154	1,940	107	6,847
<b>TOTAL</b>		<b>29,997</b>	<b>1,530</b>	<b>64,046</b>	<b>2,459</b>	<b>15,434</b>	<b>532</b>	<b>109,477</b>

Table 2. Distribution of Respondents on Residents' Perceptions Survey.

STATE	NEW TOWN	NO OF SAMPLES DISTRIBUTED	NO OF RESPONDENTS	PERCENTAGE OF RESPONDENTS
SELANGOR	Shah Alam	396	49	11.2
	Bangi	384	62	14.2
	Kelana Jaya	376	30	6.9
	Ampang/Ulu Klang	380	49	11.2
	Bandar Baru Sultan Suleiman	356	16	3.7
	Kota Damansara	350	33	7.6
PULAU PINANG	Bayan Baru	386	35	8.0
	Seberang Jaya	377	17	3.9
	Batu Kawan	241	8	1.8
JOHOR	Pasir Gudang	386	11	2.5
PERAK	Seri Manjung	373	55	12.6
TERENGGANU	Kerteh	130	8	1.8
PAHANG	Indera Mahkota	377	63	14.4
<b>TOTAL</b>		<b>4,512</b>	<b>436</b>	<b>100.00</b>

Table 3. Overall Findings on Residents' Perception Survey

Satisfaction Level (%)	Completely Satisfied	Satisfied	Average	Dissatisfied	Completely Dissatisfied
<b>Community Facilities</b>					
Primary Schools	34.6	48.4	12.6	2.3	1.4
Secondary Schools	26.1	40.6	17.2	4.4	5.5
Place of Worships	48.9	33.3	8.3	3.9	3.0
Entertainments Centers	2.1	14.7	37.4	18.8	10.8
<b>Shopping Facilities</b>					
Centre for higher order goods	8.5	18.8	31.2	18.6	17.6
Centre for lower order goods	23.6	39.4	25.7	8.5	2.3
<b>Infrastructure Services</b>					
Electricity	45.6	45.0	7.6	1.6	0.2
Water	40.4	41.7	13.3	3.4	1.1
Telecommunications	37.4	42.2	12.8	3.2	3.4
<b>Environment &amp; open spaces</b>					
Aesthetic of the area	8.0	33.5	40.6	12.6	5.0
Cleanliness of the area	4.1	33.0	40.1	15.6	6.4
Open space	14.0	24.0	32.8	16.5	11.5
Children's playground	10.3	23.2	31.0	20.0	13.5
<b>Safety of self and Properties</b>					
Self and property	6.2	38.8	35.3	14.9	4.8
Traffic safety	3.4	33.9	40.4	16.1	5.7
Feeling about living in the area	24.1	46.8	22.2	3.9	2.3
Sense of Community	13.1	40.8	31.7	9.6	4.1
Comfortable space in the house	12.6	41.3	33.5	8.3	4.1
House price/ rental value	4.4	28.7	42.2	14.0	6.9
<b>Mobility &amp; Public Transport</b>					
Mobility to work	12.8	44.7	26.8	10.6	2.3
Bus services	10.1	29.6	30.0	17.9	11.0
Taxi services	7.6	25.5	31.4	21.8	12.2



## Research Raising the Bilingual Teaching Level of Chinese in College

Jing Sun

School of Business Management, Shenyang University

Shenyang 110041, China

E-mail: sunjing9819@yahoo.com.cn

### Abstract

China's admission to the World Trade Organization (WTO), compounded by the rapid global economic growth – over the last decade – had created exuberant need for skilled manpower in China. This is evident by the demand for skilled talent in inter-disciplinary fields related to foreign language training. Mastering foreign language is considered a scarce resource in China as these specialist skilled persons will provide an important trans-culture bridging link with the Western World. The need for such niche skilled manpower had created challenges to Chinese universities to develop accelerated bilingual training programs to cater for such a demand. China's Education Authorities recognize this requirement and had set priorities to administer the local universities to provide such bilingual courses. This article has discussed the professional course bilingual education necessity, analyzes concrete questions which Chinese universities bilingual education exists, and proposed the measures and the suggestions which raises the standard of bilingual education level.

**Keywords:** Bilingual education, Professional course, Inter-disciplinary talent

### 1. Correct understanding “bilingual education” meaning

“Bilingual”, the direct meaning is: “Two Languages”, refer to, in some country or some area there are two (or above two) nationality in some country or some area and under there are two kinds (or above two) culture historical perspective condition, possible or must utilize two languages to carry on exchange scene. In these two languages, usually one kind is the mother tongue or the native language, but another language often is the second language or is a foreign language. For example, in the U.S., bilingual mainly refers to can use skilled in English and Spanish; In Canada, mainly refers to can use skilled in English and French; In Singapore, Hong Kong, Macao area, mainly refers to can use skilled in English and Chinese and so on. That is, in fact, bilingual refers two languages which can be carried skilled on human relations, the work and study. Without a doubt, usually says “bilingual” refers to Chinese and English in China.

Bilingual education is containing in-depth surface connotation. “Bilingual education” cannot be understood simply “attends class with the foreign language”, what its emphasis that carries on the foreign language of teaching in the non-language class discipline. Bilingual education is not only refers to the student to listen to teacher to attend class with the foreign language, what stressed is that between the teachers and students carries on the foreign language exchange and interaction in the classroom study.

### 2. The necessity for implementing bilingual education in Chinese universities

#### 2.1 Bilingual education is knowledge that provides a pathway for economic globalization.

With global competition, English is the standard norm to enhance cross culture, scientific and technical exchanges. Grasping English language skills is of utmost importance as it is the facilitator for China to link with the Western World. Simultaneously, China must continue to pursue the publications of academic achievements, internationally. This will enhance international standing, acceptance and recognition of Chinese research publications.

#### 2.2 Bilingual educations are quality education inevitable trend

China tradition' applying exam education pattern that pay attention on the grammar teaching and neglect application ability, some students have studied English more ten years, actually cannot use English exchange, cannot understand the specialized material. The bilingual education has broken the original foreign language educational pattern and the

professional course educational model, caused the student to have a good command of the discipline expression and English expression characteristic, could read and translate English specialized material, raised the student English power of thought gradually, caused to handle skillfully in the discipline specialized English. Therefore, through the bilingual education, train the high quality inter-disciplinary talents who both are skilled in the specialized knowledge, and understands English, it is an imperative duty.

### *2.3 Implementing bilingual education is China education's internationalization need*

Speaking of the worldwide scale, bilingual education was already well-established in many national and the local. Some countries according to own country reality, have also implemented "bilingual", "four languages" teaching. Aspects and so on education specification, teachers accomplishment, classroom management, studies appraisal already formed a theory system to suit own country condition, these are worth for China studying and referencing. After China Joins WTO, education modernization and education internationalization has become the university teaching level important manifestation. The bilingual education takes one brand-new teaching way, has taken China and the West culture collision and fusion, the university can have an outstanding bilingual teacher group of have the language and the discipline specialized teaching ability through implementation bilingual education simultaneously, enhances its international competitiveness effectively. In addition, bilingual teaching can also enhance the teacher group' teaching horizontal and the academic level, accelerates the teaching material to renew, plays role of promotes the school specialized construction and the educational reform. At the same time, the bilingual education not only can train native place talented person who has the international competitiveness ability, and but also can attract more international students, then enhanced China educates international competitiveness effectively.

### *2.4 Bilingual education is an effective measure which trains high-level inter-disciplinary talents*

2.4.1 The pedagogy research indicated that if a language course's content closer students functional need, the language teaching more possibly makes the best progress. The bilingual education is precisely lets the student "contact" some special profession, has a good command of English expression rule through comprehensive familiar English in this profession's performance. Bilingual education take the language application as the motive in the beginning, the study process simultaneously is the language application process, may raise the language application ability effectively.

2.4.2 Looking from the discipline teaching, the former discipline teaching takes medium language by the mother tongue; its result is that the specialized knowledge which the student grasps can only apply by mother tongue's way; it is very different with training international talented person goal. The bilingual education caused the medium of teaching to change as the discipline and the topical glossary take the mother tongue as a standard norm

## **3. Existing questions of bilingual education practice in the Chinese Universities**

### *3.1 Unreasonable curriculum*

3.1.1 In the curriculum establishment, the ordinary university had finished the general English teaching in university's second grade; this has the extremely bad influence to university student's English study. Because there are lacked enough English curriculum, what English study are more depends upon student's self-consciousness. Before bilingual curriculum start, the student should have enough English application ability, prepares for full for the bilingual class's start. This set a higher request actually to student's English ability, namely: Not only need be able to spell out over English literature, to understand the professional course which teaches with English, but must be able to use English discussion and reply specialized question, expresses own thought and viewpoint accurately. Looked from this significance that the bilingual curriculum should be better opened after the public English has studied in the fourth semester, thus guaranteed effectively the student completes transition from English learning phase to English operational phase ,make the students to regard English is to gain effectively each kind of knowledge tool, this is e English study real sense.

3.1.2 Classroom population establishment is not too reasonable. It is well known, the language study effect is usually in reverse proportion with the student population. Especially bilingual education curriculum, if more excessively population, the student accepts the specialized English ability not to be high, interactive not strong in classroom teaching, causes bilingual education quality not to be impossible to be too high.

### *3.2 Selecting the bilingual teaching material is not suitable*

Looked from the present situation, quite part of universities direct use English first-edition teaching material in the bilingual education early time stage; Along with bilingual education's unceasing development, some universities already started to compile the teaching material themselves. First-edition educational material's content has manifested theory foresightedness, it is also advantageous in the student learns the front theoretical knowledge and the newest practice development tendency, choice first edition English teaching material may guarantee that the student understands the original knowledge, has built a comprehensive engagement English environment for the student, including use the topical glossary accurate, express the specialty , West's specialized teaching mentality and to the knowledge cognition

procedure, lets the knowledge which the student learns, regardless of form and content can with the world mainstream technology and the thought connection. But often with difficulty that found the depth suitable teaching material in the overseas first-edition educational material, even if found one to be more satisfied, maybe there are some different of the standard or the rule, but could not use; or maybe there are some different in the teaching material compilation style and the order, but was inappropriate.

### *3.3 Classroom instruction method is unitary, not nimble, and cannot transfer enthusiastic which the student studies*

Because the bilingual curriculum involves specialized class numerous diverse, and lacks the unification teaching material and system's management, in addition the study period is limited, causes the bilingual education method obsolete monotonous, the teachers follow the traditional pattern of "writing generation saying" the form are unitary, the unusual interaction, the classroom is tasteless, the student accepts teacher's full house to fill from beginning to end, teaching effect difficult entirely as desired.

### *3.4 The teacher's strengths are deficient*

The teacher is the most direct executor of bilingual education, teacher's language proficiency and the quality of teaching direct relation bilingual education success or not. Looking from the bilingual education practice, the university carries on the bilingual education and achieve the bilingual education goal through the bilingual education development, the teachers is the key. Bilingual education's highest level request the teacher to be able to achieve that transition skilled between the bilingualism in the classroom, expresses the specialized knowledge accurately. Thus, there are higher request to teacher in the bilingual education, not only they have specialized profound and English is good, but also requests teacher to carry on English indication specialized knowledge, analysis topical glossary simultaneously to have the good education, teaching management ability. Therefore, speaking of the bilingual education, the bilingual teacher must have the foreign language and the special disciplines two knowledge at least. But the actual situation is actually, the teacher understands the foreign language but unable to be competent the specialized discipline, either the teacher understands the specialized discipline, but the foreign language proficiency is unsatisfactory, this will affect the bilingual education development. Therefore, enhances the bilingual education teachers troop level is the key.

## **4. Raise the Chinese university professional course bilingual education level measures**

### *4.1 Adjust curriculum system*

4.1.1 Designation appropriate curricula to carry on the bilingual education. The curriculum should deference the principle of "from shallowly to deep, proceeds in an orderly way", launches first in the specialized knowledge shallow curriculum, after student's langue skill has certain enhancement, then gradually to specialized knowledge deep curriculum transition. Generally, the specialized strong curriculum is not suitable to develop bilingual education too early, because when student study specialized knowledge, usually will feel the pressure, difficult accept specialized knowledge, if will implement bilingual education again, maybe will affect the student to study the specialized knowledge. But the specialty technology base curriculum is the curriculum which situated between the basic course and the professional course, it is suitable for to implement the bilingual education.

4.1.2 Pay great attention to the student's specialized knowledge engagement. Bilingual education's introduction is to the existing curriculum system's revolutionary innovation, this reform both must be advantageous to the specialized knowledge transmission, and must be advantageous in the student studies efficiency enhancement, this request bilingual education curriculum full consideration specialized knowledge engagement question. This engagement, both includes the engagement with studies the curriculum in the earlier period, and with the following start special course engagement. That is, before student study bilingual professional course, should preliminary understand to this professional field elementary knowledge, can comprehends the specialized knowledge which teaches using English through well preparing and reviewing, and builds the solid foundation which no matter is the mother tongue professional course or the bilingual professional course. The teacher should accord to the curriculum characteristic and the difficulty degree, gradually and target-oriented organizes or adjustment course content. But must emphasize a spot is that the bilingual curriculum is not to the mother tongue curriculum simple repetition, it should be in the entire curriculum system indispensable organic composition part, it is playing the important role which other curricula substitute with difficulty. Therefore, when teaching department establishment bilingual curriculum, they must avoid to present redundant or the fault phenomenon in the entire curriculum system.

### *4.2 Appropriate engagement Chinese and English teaching material*

Selects the appropriate teaching material is precondition that smooth development the bilingual education, implementation bilingual education, must let the student feel true English, therefore, bilingual education must use advanced, can reflect the discipline development advanced English first-edition educational material. The bilingual teacher should act according to the present domestic related specialized English first-edition educational material shortcoming actual situation, carries on to Chinese teaching material and English first-edition educational material compares and analysis repeatedly, the expedient measure should be comprehensive use the Chinese and English

teaching material, this is the prerequisite that guarantee to achieve the bilingual education initial period goal. In order to organic and reasonably use the Chinese and English teaching materials in the bilingual education, in view of the existing condition, it is the correct choice which carries on "bilingual" preparing a lesson and teaching that according to Chinese teaching material's content, order and style, the English teaching material's influential role is that provides English expression method of specialized knowledge and the teaching reference book. Prohibited take the bilingual education to become that the specialized English curriculum according to English teaching material. Simultaneously requests the student take to study Chinese material as the basis, points out the key reading chapter in English teaching material to the student. At the same time, should compile the specialized curriculum English teaching material that fellow Chinese standard and rule that according to the related first-edition educational material.

#### *4.3 Prominent interactive and use of various teaching form*

Teacher's inspiration function lies that through information stimulation induces in proper order, causes student's positive thought and realizes the teacher and student thought resonance in the teaching process. looked from the scientific and linguistic characteristic of bilingual education, should take strengthen the teachers and students interaction as the principle, uses in administrative levels teaching, multimedia and so on many kinds of teaching methods to achieve that enhances the bilingual education quality.

4.3.1 Administrative levels teaching. As the common university, the bilingual education reaches one's goal instantly with difficulty. The school should embark actually from the teaching, carries on administrative levels and stage teaching form from easy to difficult. Bilingual education separable three levels: First is the simple seepage level, namely by Chinese primarily, alternates English teaching in the classroom. If teacher may use English to narrate the important theorem and the key word and so on in the attending class time, the student may have many opportunities to contact foreign language; Second is the conformity level, when teacher teaching, uses the Chinese and English alternately, lets the student learn how to use English expression Chinese content; Third is the bilingual thought level, lets the student learn to use Chinese and English thought and explanation question. In light of the present circumstances, promotes to the first level, to the majority of students is not the difficult problem, but must further enhance to the second, third level, but also needs to have the very long time and unceasing endeavor, this will be the process which proceeds in an orderly way.

#### *4.3.2 Implantation the multi-dimensional teaching media*

In the teaching media aspect, should abandon the sole stereotypical classroom teaching way, construction multi-dimensional teaching platform which melts the classroom instruction, the multimedia teaching, and on-line teaching. In the classroom, the teacher uses succinct as far as possible, pronunciation correct English language and auxiliary by physique movement, direct-viewing and visualization prompts and helps the student to understand the course content. At the same time, uses the computer aided teaching method fully, manufacturing bilingual CAI courseware, it has bilingual characteristic, the key word and the primary coverage English to Chinese comparison; and has the standard English pronunciation. Using courseware, on the one hand it facilitates to the teacher, reduces written English difficulty; On the other hand, it is easy to understand the knowledge that student studies. Speaking of the Chinese students, their hearing ability is not good compares with reading and understanding ability, when the captions appear, the student will understand as soon as looked. Moreover, to establish the good study independently environment, should construct the bilingual education network of the study platform. It is advantageous for the student to study independently.

#### *4.4 Utilize each way to enhance bilingual teacher teaching level*

To strengthen the bilingual teacher troop construction is the teaching key, in the bilingual education process, teacher's foreign language proficiency, the teaching level and the knowledge level influence bilingual education's effect, selecting and trains the bilingual teacher, is the bilingual education sustainable development core question. The first choice object is those teachers who familiar foreign language disciplines, but also may select foreign language teacher who has certain discipline foundation, especially humanities teacher. In the language application aspect, the foreign language teacher has superiority compared to the discipline teacher, but discipline teacher's specialized ability exceeds than the foreign language teacher. More realistic actions are following: First, depends on the existing personnel who going abroad to study personnel, PhD, master and so on foreign language level high of discipline teachers, plays their leading function fully. Second, selects and raises some outstanding youth foreign language from the school who have the discipline foundation skills, specially these teacher who study English specialty in undergraduate course stage and studied for other specialized in master and PhD stage, expands to the bilingual education teachers troop. Third, introduces multi-skill teacher who attain proficiency in English and discipline knowledge and returning personnel from the overseas, send the young teacher to study short-term to abroad, establishes domestic and foreign university interflow and cooperation relations, shares the teachers resources, forms the bilingual teacher's second echelon.

During construction bilingual education teachers troop's, must urge the teacher to transform teaching consciousness, let the teacher have the crisis feeling, namely only renew the knowledge as soon as quickly, raise English proficiency, could base on the rostrum. May adopt the suitable bilingual teacher qualifications admittance system, namely teacher who pass the test (PETS, TOEFL or GRE), then has the qualifications to carry on bilingual teaching, thus guarantees bilingual teaching quality.

#### *4.5 Carry out the foreign cultural exchange event positively and build the good bilingual environment and atmosphere*

In China, many people studied many years of English, but still unable use very well, a substantial cause was the lack in the study and use of English environment. The environment is very important to grasp language. According to the psychology research, studies one language effect mainly to be decided by the environment. If cannot practice, study directly to the target language country, if wants to obtain the success, how much mainly lies in how much contacts this language time quantity and how much use target language. Therefore, the bilingual education was in itself has provided an environment which contact target language for the student, but only depended on the environment which the bilingual education itself provided is insufficient, the university might through cooperation with the foreign university, carry out the foreign cultural exchange event positively, built the good bilingual environment and atmosphere, promoted bilingual education development quickly.

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## Gender as a Moderator of the Relationship between OCB and Turnover Intention

Shaiful Annuar Khalid

Faculty of Business Management, Universiti Teknologi Mara (UiTM)

02600, Arau, Perlis, Malaysia

Tel:60-12-514-0436 E-mail:shaiful@perlis.uitm.edu.my

Hj.Kamaruzaman Jusoff (Corresponding author)

Faculty of ForestryUniversiti Putra Malaysia

43400, Serdang, Selangor Malaysia

Tel: 60-3-8964-7176 E-mail: kjusoff@yahoo.com

Hassan Ali

Faculty of Business Management, Universiti Utara Malaysia

06010 Sintok, Kedah, Malaysia

Tel: 60-19-454-1162 E-mail:hassan@uum.edu.my

Mohammad Ismail

Faculty of Business Management, Universiti Teknologi Mara (UiTM)

02600, Arau, Perlis, Malaysia

Tel: 60-4-986-1001 E-mail: mohammadismail@perlis.uitm.edu.my

Kamsol Mohamed Kassim

Faculty of Business Management, Universiti Teknologi Mara (UiTM)

02600, Arau, Perlis, Malaysia

Tel: 60-19-550-5432 E-mail:Kamsol@perlis.uitm.edu.my

Norshimah Abdul Rahman

Faculty of Business Management,Universiti Teknologi Mara (UiTM)

02600, Arau, Perlis, Malaysia

Tel: 60-4-986-1001 E-mail:shima70@perlis.uitm.edu.my

### Abstract

This paper examines the relationship between OCBs and turnover intention. The sample consisted of 557 non manager employees across 63 hotels in Malaysia. Managers' ratings of employees' OCBs were collected and matched with 557 employees' self ratings of turnover intention and demographic. Factor analysis of OCB items revealed a new dimension of OCB, labeled as patience, together with four common dimensions - helping behavior, conscientiousness, sportsmanship and civic virtue. Consistent with cognitive consistency theory, the results show that helping behavior,

conscientiousness, patience and civic virtue were significantly and negatively related to turnover intention. Moreover, the OCB dimensions explained a meaningful portion (25%) of the turnover intention measure. The results indicated that gender moderated the relationship between helping behavior and turnover intention and this relationship was stronger for females than males. These results point to the importance of considering behavioral factors in effort to predict and manage employee turnover.

**Keywords:** Organizational citizenship behavior, Turnover intentions, Hotels, Gender

## 1. Introduction

Due to the assumption that organizational citizenship behavior (OCB) enhances teams and organization effectiveness (Organ, 1988; Bateman & Organ, 1983; Podsakoff, Ahearne, & MacKenzie, 1997), antecedents of OCB have been the focus of substantial research attention. Although we have gained a substantial understanding of the underlying reasons for OCB, significantly less research effort has been given in estimating the effects of OCB on organizational effectiveness or some other measures of organizational effectiveness such as employee turnover. This situation represents one of the empirical gaps in the current OCB literature. Although over 160 studies have been reported in the literature to identify the factors influencing OCB, only a few studies have attempted to investigate whether these human behaviors contribute to organizational effectiveness (Podsakoff, Mackenzie, Paine and Bachrach, 2000; Pelozo, Hudson and Hassay, 2009). For example, Pelozo et al., (2009) state that employee volunteerism can be an effective strategy for increasing the value of corporate philanthropy. Likewise, review of the current literature revealed that studies investigating the effects of OCB such as on employee turnover are relatively sparse. To our knowledge, only a few studies have explored the relationship between OCB and employee turnover (e.g., Chen, Hui & Sego, 1998). Limited research of this nature conducted to date does not permit much generalization thereby warranting further exploration and validation of the research findings. A reason for looking at turnover outcome is that turnover is also a criteria for organizational achievement or regarded as surrogate of organizational effectiveness (Angle & Perry, 1981). Turnover describes lasting removal, voluntarily or involuntarily, of an employee from the organization. Voluntary turnover is considered the most detrimental as it usually takes the organization by surprise (Boshoff & Mels, 2000). Ample evidence shows that employee turnover influences hotel performance. Turnover increases separation costs, replacement costs and training costs (Koys, 2003). A great number of researches have been conducted to understand factors contributing to turnover. Despite over 1500 studies in the turnover literature (Shaw, John, Jenkins & Nina, 1998), previous research on this dysfunctional behavior have focused on such antecedents as job satisfaction, commitment, cognitive process and demographic factors and have not paid much attention to the role of behavioral antecedents. The nature and types of turnover have been described elsewhere. Turnover intention is the focus of this study. Koh and Goh (1995) stated that turnover intention is under employees control to a greater extent as compared to actual turnover. Moreover, the best predictor of behavior (e.g., actual turnover) is behavioural intention (Ajzen & Fishbein, 1980).

The objectives of this study are to: (1) investigate the effects of OCBs on turnover intention of non manager employees in hotel industry and (2) examine the moderating effect of gender on the relationship between OCBs and turnover intention. The knowledge of OCB dimensions affecting or not affecting turnover intention can help hotels manage employee turnover intention better by focusing on the critical OCB elements.

## 2. Literature Review

### 2.1 OCB and Turnover Intention

OCB refers to extra role behaviors exhibited by employees that are discretionary and go beyond formal task obligation. OCB is more of a matter of individual option and may not be officially required of employees. Organ (1988) defines OCB as: "individual behavior that is discretionary, not directly or explicitly recognized by the formal reward system, and that in the aggregate promotes effective functioning of the organization." (p. 4). A good citizen is an employee who offers support to the organization, even when such support is not verbally demanded (Moorman & Blakely, 1995). Even though, there is no clear agreement within the literature on the number of OCB dimensions, there are five categories of OCB that are commonly identified and examined in research which are altruism, conscientiousness, sportsmanship, courtesy and civic virtue (LePine, Erez & Johnson, 2002). Why OCB should be related to employee turnover? To better understand these effects, we must examine the nature of OCB and turnover. Since the practice of citizenship behavior is optional, a good organizational citizen can be considered as an all-around contributor – the ones who are not only good in accomplishing formal duties but also assist those around them by helping others, being good sport or exhibiting high levels of civic virtue and conscientiousness. Moreover, an active behavioral participation in a social group (e.g., helping co-workers and supervisors, always willing to cooperate or tolerating inconvenience at work) should also reflect the employees' constructive attitudes in various aspects and a strong organizational attachment. On the other hand, withdrawal behavior such as employee turnover is regarded as detrimental or dysfunctional (Pelted & Xin, 1999) and is potentially destructive to one's coworker, work group and organization. Since, OCB reflects voluntary behavior that is beneficial to organization, whereas withdrawal behavior is considered as resentment toward the organization, we would expect that OCB and withdrawal behavior to be adversely related consistent with the cognitive consistency theory.

Cognitive consistency theory claims that individuals are inclined to experience psychological discomfort when they behave in ways incoherent with their values and moral standard (Shengming & Jiping, 1997). Peoples are motivated to act congruent with their beliefs and values or maintain agreement between their behaviors, beliefs and attitudes. When an individual decides on something or forms an attitude, the person then tends to behave in line with the formulated attitude (Coon, 1983). In applying cognitive consistency theory, we proposed that employees' OCB are systematically related to the subsequent turnover intention. Specifically, as an individual's OCB at work decreases, that individual's tendency to withdraw from job will increase. Although other factors should also influence turnover, it is likely that employees with higher levels of OCB would then report lower levels of turnover intention so as to preserve linkages to the organization. Moreover, Chen et al., (1998) indicated that OCB reflects employees' readiness to be actively involved in or to be part of the organization. Levels of OCB imply the space an employee would like to keep between him or her and the organization. Given the relative support for cognitive consistency theory across a variety of situations (see, for example, Ward, 1986; Green & Holeman, 2004; Faulkner & Reeves, 2000), it is predicted that this theory would provide a support for the OCB and employee turnover intention linkages. Empirically, Chen et al., (1998) confirmed that levels of altruism, conscientiousness and sportsmanship were higher among employees with no turnover than among employees who left the organization.

Based on the above-mentioned studies and theoretical discussion we can reckon that OCB might have an influence on employees' turnover intention.

### *2.2 Gender as a Moderator*

A number of previous studies have investigated the relationship between gender and turnover intention. It has been suggested that females are more likely to turnover because they have more sporadic work histories, lower tenure and lower pay (Arnold & Feldman, 1982) and weak attachments to their job (Chaudhury & Ng, 1992). Studies by Cotton and Tuttle (1986) and Weisberg and Kirschenbaum (1986) found that females were more likely than males to quit. The relationship between gender and OCB, however, has not been given much attention in previous studies. Lovel, Aston, Mason and Davidson (1999) stated that elements of OCB such as kind, understanding, devote self to others, and supportive to others are congruent with feminine behaviors. In the context of working environment, women favored job attributes that offer interpersonal orientation which include opportunities to work with others, making friends, and kindness (Konrad, Ritchie, Lieb & Corrigan, 2000). Theory of prescriptive stereotypes, does advocate that women have higher collective attributes than men and these differences reflect how social roles of women and men differ (Eagly, 1987). Most articles in OCB, however, did not report a gender analysis (Kidder & Parks, 2001). A limited study has documented empirical support that women have higher level of altruism and helping behavior than men (e.g., Lovel et al., 1999; Morrison, 1994).

Given the above, we propose that gender will moderate the relationship between OCB and turnover intention.

## **3. Methodology**

### *3.1 Sample*

This study was carried out among a sample of non-manager employees drawn from 63 different hotel properties in the northern region of Peninsular Malaysia. There were 834 pairs of subordinate questionnaires and manager questionnaires distributed within the period of five months from January to May 2004. These questionnaires were administered and collected with the help of human resources departments of each hotel. List of employees name and their manager were obtained for the purpose of coding the two sets of questionnaires. The name of employees were placed on the manager questionnaires for OCB evaluation and a code number representing each employee was placed on each employee questionnaires for self ratings of turnover intention and demographic information. Analysis related to the hypothesis required the matching of manager's responses with specific subordinates. In some cases, manager ratings were obtained but subordinates responses were not obtained. In other instances, subordinates responses were obtained but no manager ratings to match. Thus usable sample for correlating variables could not include all managers and subordinates responses. A total of 624(74.8%) subordinate questionnaires and 631(75.7%) manager questionnaires were returned respectively. Thirty six subordinates did not receive ratings from manager, and they were excluded from the analysis and 43 manager questionnaires without the subordinate responses to match were also excluded, resulting in 588 matched subordinates-manager cases. After deleting incomplete responses, a total of 557 subordinates-manager cases were available which covered a broad range of non manager occupations. Fifty-five percent of the respondents indicated that they were male and 45% identified themselves as female. In term of ethnicity, 77% indicated they were Malays, 13% Chinese, 8% Indian and 2% others. Respondents ranged in age from 18 to 56 years with a mean of 29 years. The average employees had been with the hotels for 4 years. In term of marital status, 50% of the respondents were married, 48% were single, 2% were widowed and the remaining 1% was others. In total, 287 managers or heads of department were involved in the evaluation of their respective employees' levels of OCB. In the present study, managers rated between one to five employees each but the majority rated only two employees.

### 3.2 Measurement

A five dimensions scale developed by Podsakoff and Mackenzie (as cited in Niehoff and Moorman, 1993) was used in the present study. Managers were asked to indicate the extent to which their subordinates typically demonstrated the various citizenship behaviors at work using a 5-point Likert scale format from (1) strongly disagree to (5) strongly agree. A sportsmanship item “Constantly talk about wanting to quit my job” is dropped since this item overlapped with an item measuring turnover intention – “I often think of leaving the organization” and replaced by an item from Podsakoff and Mackenzie (1994) that is “Always find fault with what the organization is doing”. Overall, there are 42 items measuring OCB; 20 items adapted from Podsakoff and Mackenzie (as cited in Niehoff and Moorman 1993) and 22 new items. The new items were generated in an effort to capture broader citizenship behaviors among hotel employees. Initially 26 new items were generated based on Organ (1988) conceptualization of OCB and presented to several hotel human resource officers as well as hotel managers to make sure that the items capture those behaviors that are not part of employees’ formal job description but are considered important for hotels organizational functioning. After discussions, 4 items were deleted because from the view points of hotel management, those items were not applicable across job levels and not considered as extra role. Minor modification was made to the questionnaire to suit with study sample. The words “organization” and “company” were replaced by the word “hotels”.

Turnover intention was measured with 3 items adapted from Camman, Fichman, Jenkins and Klesh (as cited in Chen et al., 1998). The reported internal consistency coefficient for this scale was .78. The items are: (1) If I may choose again, I will choose to work for the current organization (reversed coded), (2) It is very possible that I will look for a new job within the next year and (3) I often think of leaving the hotel’. Respondents rated their level of agreement with each item on a 5-point scale with anchors strongly disagree and strongly agree. The three items were averaged to form a single scale for the subjective measure of turnover intention. Although each respondent possessed English ability to some extent, the entire instrument was translated into Malay using back translation method, and respondents were given both English and Malay versions to facilitate comprehension of the items.

### 4. Data Analysis and Results

Data analysis in this study was performed using SPSS computer package. Three cases were identified as multivariate outliers. These outliers when removed from the analysis did not affect the results and so were retained. Evaluation of assumption of linearity, normality and homogeneity of variance revealed no treat to multivariate analysis.

Principal components factor analysis using varimax rotation was conducted on the initial 42 items to determine which items grouped to form dimensions. There is a widespread use of component analysis which is suitable if the number of variables exceeds 30. Furthermore, varimax rotation seems to give a clearer separation of factors (Hair, Anderson, Tatham & Black, 1998). Twelve items were deleted because of low communalities and some of these items loaded significantly on two factors. These analyses resulted in a five-factor solution with 3 to 14 items loading on each dimension. The results of this analysis are outlined in Table 1. The five factors derived were clearly defined and highly interpretable, except for the lack of courtesy and altruism factors. The first factor consisted of 14 items (seven altruism items, six courtesy items and one civic virtue item). It is worth noting that, previous research have not been able to consistently recognize some of the finer distinctions between altruism and courtesy and tending to lump these into one broad helping construct (Podsakoff & Mackenzie, 1994). Accordingly, in the present study, the first factor was labelled helping behaviour. Nine items loaded on factor two and factor four and the majority of these items were the sportsmanship items. Of the six items loaded on factor two, four of these items were sportsmanship items together with one courtesy item and one conscientiousness item. The four sportsmanship items loaded on factor two were those items adapted from Podsakoff and Mackenzie (as cited in Niehoff and Moorman, 1993). For reason of consistency with the previous research, the label of sportsmanship is used for factor two. The three newly developed items initially tended to measure sportsmanship loaded on factor four. It was felt that these three items reflect the employees’ ability to persevere with something inconvenience or hardship at the work place. This factor was labelled patience. Four conscientiousness items loaded on factor three. Three civic virtue items loaded on factor five. Among the five dimensions of OCB derived from factor analysis, helping behavior is considered as individual-oriented OCB or OCBI, whereas, sportsmanship, conscientiousness, patience and civic virtue are considered as organizational oriented-OCB or OCBO. The responses were summed to form a single score of OCB as well as an index for each dimension.

#### INSERT TABLE 1

Internal consistency estimates and zero-order correlations among the continuous study variables were calculated and can be found in Table 2. The pattern of correlation is about what would be expected based on the literature. The intercorrelation was also inspected for multicollinearity. All correlation coefficient between manager ratings of OCB dimensions were below .70, therefore variable redundancy did not appear to be of concern (Nunnally, 1978). As can be seen, turnover intention was significantly correlated with all the five OCB dimensions as well as the OCB composite score. More importantly, the relationships were in the direction predicted by the study hypothesis. The strength of the relationship ranged from -.23 to -.43. Sportsmanship ( $r=-.42$ ,  $p<.01$ ) and patience ( $r=-.43$ ,  $p<.01$ ) were significantly

more highly correlated with turnover intention. Gender did not significantly correlate with OCBs and turnover intention.

#### INSERT TABLE 2

To test the main effects of OCB domains, gender and the five interactions terms, we performed a stepwise multiple regression analysis (Table 3). First, we entered the main effect of OCB dimensions and then the moderator. Finally, we entered interaction terms between the five OCB dimensions and gender. A significant interaction term would be taken as an indication of a moderating effect. In order to reduce the multicollinearity associated with the use of interaction terms, the independent variables were centered before interaction terms were created (Aiken & West, 1991). As can be seen in Table 3, OCB dimensions which were entered in the first step, explained a highly significant ( $p < .001$ ) 25% of the variance in turnover intention. Consistent with theoretical expectations, helping behavior ( $\beta = -.21$ ,  $p < .01$ ), sportsmanship ( $\beta = -.31$ ,  $p < .01$ ), patience ( $\beta = -.28$ ,  $p < .01$ ) and civic virtue ( $\beta = -.15$ ,  $p < .01$ ) are related to turnover intention. However, conscientiousness was not significantly related to turnover intention ( $\beta = -.05$ , n.s). The demographic variable of gender, entered in the second step, did not account for a significant incremental change in R-square. The five interaction terms, entered in the third step increased explained variance by a significant 8% ( $p < .05$ ), although only helping behavior x gender ( $\beta = .12$ ,  $p < .05$ ) was responsible for the incremental change.

#### INSERT TABLE 3

The significant interaction is depicted in Figure 1, in which helping behavior and turnover intention relationship is plotted separately for females ( $n = 250$ ) and males ( $n = 307$ ) with low and high helping behavior. Group membership was assigned by median split on the helping behavior index ( $Mdn = 3.79$ ). As illustrated, an increase in the level of helping behavior for all employees was associated with a decrease in turnover intention. However, the line for females shows a larger negative slope, suggesting that this relationship was much more pronounced for females, as predicted in hypothesis 2. This effect was also evidenced through split regression analysis (Sharma, Durand & Gur-Arie, 1981). The results revealed that, there was a stronger significant and negative relationship between helping behavior and turnover intention among females ( $\beta = -.26$ ,  $p < .001$ ) and a borderline significant negative relationship for males employees ( $\beta = -.11$ ,  $p = .05$ ).

#### INSERT FIGURE 1

### 5. Discussion and Conclusions

To summarize the results, we found that four of the five facets of OCB included in this analysis were found to be significantly related to turnover intention. The model also accounted for a meaningful amount of variance. These results are comparable to the findings of other industry by Chen et al., (1998) and Chen et al., (2002). The difference in this study was the inclusion of broader OCB dimensions and the moderating effect of gender. The possible short coming of common method variance can be ruled out since OCB dimensions were rated by managers whereas turnover intention were operationalized through self-report measured. As employees exhibited helping behavior, sportsmanship, patience and civic virtue, turnover intention was lower. It is worth noting that OCB dimensions that benefited the organization as a whole (sportsmanship and patience), appear to have more salience for respondents. However, the current finding that the conscientiousness was not related to turnover intention contrast with those of Chen et al., (1998) who found that conscientiousness significantly and negatively predicted turnover. These contrary findings may have to do with the differences in the measures of conscientiousness. In comparison to the measure used in this study, Chen et al., (1998) used a more general measure of conscientiousness such as 'is one of my most conscientious employees' and 'believes in giving an honest day's work for an honest day's pay'.

The first contribution of this study was the two way interaction between helping behavior and gender. The present result goes beyond providing empirical evident to the main effect of helping behavior, but also suggesting that the negative relationship between these variables is contingent on employees' gender. Second, in addition to supporting the existence of common OCB dimensions such as helping behavior, sportsmanship, civic virtue and conscientiousness in the Eastern culture, the present study identified a new dimension of OCB in the Malaysian context, that is patience which is probably unique to the Malaysian context and had not been explicitly measured and studied in the Western literature. Third, this study helps to bridge the gap in OCB literature in the context of Eastern culture. Although researchers have extensively studied organizational citizenship behavior (OCB) in the U.S. context, OCB measurement has received relatively limited attention in other contexts (Pascal, 2009). The fourth contribution of the study is that it recasts the frequently studied concept of OCB. Previously, OCB has been viewed as a consequence of attitudinal and dispositional variables (Organ & Ryan, 1995). This study took another direction by examining a possible outcome of OCB. The finding that OCB is related to turnover intention should complement the previous research findings that demonstrate that OCB are related to organizational effectiveness, because turnover intention is also related to organizational effectiveness. Fifth, the results from the present study indicate support for the notion of the theory of cognitive consistency. The applicability of this theory which was previously found across a variety of situation now is extended to the OCB and turnover intention linkages. Last but not least important, respondents for this study were selected from

several departments, positions and more than 60 hotels. Such a sample increases the external generalizability of the results.

Whereas this study provides some insight into the importance of organizational citizenship behavior, several limitations of the research, both conceptual and methodological, are notable. First, limitation was generated by the use of Western measures. However, efforts were taken to reduce potential problems by back-translation, double-checking, and discussion of each questionnaire item with the hotel managers. New items were also developed to capture a broader citizenship behavior. As a result of this procedure, it is believed that the items were both appropriate and relevant to Malaysian respondents. Another limitation is that the results are based on non managers' employees, sample may not be generalized to managerial level positions in the hotel industry. Another issue is that other potentially important variables beyond facets of OCB especially job satisfaction and organizational commitment was not controlled in the model. The importance of OCB may have been reduced if these variables had been included. Finally, this study is based on cross-sectional data and thus, causality cannot be firmly established.

With these limitations in mind, the current results suggest several avenues of future research worthy of pursuit. To begin with, given the specific sample of the present study, expanded at replication to other forms of organization and industries would help the validation process. Second, the present research focuses on the relationship between OCB and turnover intention at the individual levels of analysis. An important avenue for future research is to explore this relationship at the group or organizational levels of analysis. It can be argued that the group with higher level of OCB may foster group cohesiveness and eventually decrease employees' turnover. This is consistent with suggestion by Schnake and Dumler (2003) that OCB occurs at the individual level, however it is OCB in the aggregate that impacts organizational effectiveness. Future research empirically testing this proposition would contribute to our understanding of the effect of aggregate OCB on turnover intention. The findings of the present study suggest that future research should also examine the effects of OCB on other forms of withdrawal behaviors such as absenteeism, lateness, tardiness and social loafing. Research of this nature could further our understanding of the relationship between OCB and a broader range of withdrawal behavior. Future research should also continue to examine the role of demographic factors as moderators. Study by Kuehn and Al-Busaidi (2002) for example found that level of OCB varied with age. His may suggest that OCB may interact with age in predicting withdrawal behavior. Additional research in this area seem not only warranted, but critical to advancing theory and practice regarding the field of OCB and withdrawal behavior.

The findings of the present study may convince practitioners of the importance of citizenship behavior. Hotel operators experiencing problems with work force turnover may be particularly interested in this study. Traditionally, turnover rates have been shown to be influenced by many factors such as availability of job, economic conditions, management style, opportunity to leave the present job and non-work factors. This study, however, provides initial evidence that withdrawal behaviors can also be predicted based on behavioral factor that is OCB. Offering competitive salaries and wide opportunity for promotion may be somewhat difficult for many hotels or may not be adequate to sustain good employees. However, hotels can promote loyalty by enhancing such things as citizenship behavior among employees. To encourage OCB among employees, managers may become role models by exhibiting high level of OCB. Podsakoff et al., (2000) indicated that "Supportive behavior on the part of the leader was strongly related to OCB and may underlie the effects of perceived organizational support on OCB" (p. 532). Additionally, hotel management should also look into employees' job satisfaction as well as commitment. On the human resource side, several steps are possible such as selecting job candidate which is based on their level of organizational citizenship behavior, improve policies and procedures concerning performance evaluation in such a way to include certain dimensions of citizenship behavior, and hire employees with high OCB by determining whether applicant have performed beyond minimum standard in their previous working experience or during schooling.

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Table 1. Summary of Factor Analysis for Manager Ratings OCB Items

Organizational Citizenship Behaviour Items	Component				
	1	2	3	4	5
1. Consults you or other individuals who might be affected by his/her actions or decisions.	<u>.716</u>	.052	.201	.007	.184
2. Helps others who have heavy work loads	<u>.688</u>	.166	.091	.325	.062
3. Willingly gives his/her time to help others who have work-related problems.	<u>.680</u>	.181	.071	.300	.128
4. Informs you before taking any important actions.	<u>.677</u>	.163	.349	-.020	.058
5. Takes steps to prevent problems with other workers.	<u>.673</u>	.324	.243	.143	.157
6. Helps others who have been absent.	<u>.664</u>	.143	.111	.333	.079
7. Is always willing to cooperate with others to get a job done.	<u>.650</u>	.411	.185	.211	.119
8. Is willing to share his/her knowledge and expertise to help others improve their work performance.	<u>.640</u>	.348	.143	.205	.151
9. Helps new people to get accustomed to work environment.	<u>.629</u>	.242	.160	.309	.246
10. Help others with demanding work assignment.	<u>.610</u>	.202	.155	.243	.263
11. Does not abuse the rights of others.	<u>.608</u>	.277	.269	-.031	.131
12. Helps train new people even though it is not required.	<u>.605</u>	.222	.170	.297	.243
13. Pay attention to hotel memos or announcements.	<u>.567</u>	.228	.318	.058	.297
14. Concerned with the effects of his/her actions or decision on others.	<u>.552</u>	.228	.171	.192	.142
15. Tends to make a "mountain out of molehills"(R)	.124	<u>.805</u>	.119	.204	.135
16. Always finds faults with what the hotel is doing( R ).	.192	<u>.760</u>	.147	.173	.128

17. Always focuses on what’s wrong with his/her situation, rather than with the positive side of it (R )	.326	<u>.707</u>	.221	-.006	.091
18. Consumes a lot of time complaining about trivial matters.(R )	.331	<u>.673</u>	.213	.141	.053
19. Is always neglectful in coordinating his/her work with others. (R )	.351	<u>.655</u>	.068	.098	.072
20. Puts in less effort than other members of his/her work group. (R )	.113	<u>.649</u>	.091	.327	.204
21. Never takes long lunches.	.169	.151	<u>.844</u>	.185	.124
22. Does not take extra breaks.	.184	.176	<u>.838</u>	.179	.071
23. Is always punctual at work.	.383	.163	<u>.590</u>	.037	.061
24. Always maintain a tidy work area.	.386	.172	<u>.546</u>	.085	.089
25. Is the kind of person who can tolerate occasional inconvenience at work.	.294	.217	.090	<u>.730</u>	.131
26. Does not feel disappointed if others disapprove of his/her ideas or suggestions.	.169	.174	.215	<u>.645</u>	.108
27. Is the kind of person who is willing to face any difficulty with the organization.	.332	.272	.105	<u>.638</u>	.263
28. Attend and participates in formal and informal hotel meetings.	.210	.232	.104	.143	<u>.818</u>
29. Attends functions that are not required, but help the hotel’s image.	.260	.074	.096	.165	<u>.817</u>
30. ‘Keep up’ with developments in the hotel.	.434	.304	.141	.241	<u>.530</u>

Kaiser-Meyer-Olkin(KMO)=.952; Bartlett’s Test of Sphericity-Chi Square=10233.234; Degree of freedom=435; Sig.=.000

Table 2. Intercorrelation between study variables

Variable	Mean	SD	1	2	3	4	5	6	7	8
1. Gender	-	-								
2. OCB	3.59	.59	.05	-						
3. HB	3.66	.64	.08	.95**	(.94)					
4. SM	3.57	.81	-.01	.82**	.66**	(.88)				
5. CT	3.66	.72	-.04	.72**	.63**	.50**	(.82)			
6. PT	3.45	.73	.06	.74**	.64**	.56**	.44**	(.76)		
7.CV	3.32	.75	.06	.72**	.64**	.51**	.41**	.55**	(.81)	
8. TI	2.48	.94	-.08	-.44**	-.38**	-.42**	-.23**	-.43**	-.34**	(.75)

Note: N=557 for turnover intention; N=522 for self-reported absenteeism; \*p<.05; \*\*p<.01

No alpha coefficient exist for self-reported absenteeism because it consisted of only one question. Reliabilities on diagonal in parentheses

OCB – OCB Composite Score; HB – Helping Behavior; SM – Sportsmanship; CT – Conscientiousness; PT – Patience; CV – Civic Virtue; TI – Turnover Intention.

Table 3. Summary of Multiple Regression Analysis for OCB on Turnover Intention

Variables entered in the equation	Change in R <sup>2</sup> (%)	Sig. of F (Overall)	$\beta$	Sig. of F (for individual variance)
Step 1				
Helping Behavior			-.21	.00
Sportsmanship			-.31	.00
Conscientiousness			-.05	ns
Patience			-.29	.00
Civic virtue	.25	.00	-.15	.00
Step 2				
Gender	.3	ns	.05	ns
Step 3				
Helping Behavior x Gender			.12	.02
Sportsmanship x Gender			-.00	ns
Conscientiousness x Gender			.07	ns
Patience x Gender			.01	ns
Civic Virtue x Gender	.8	.02	-.06	ns

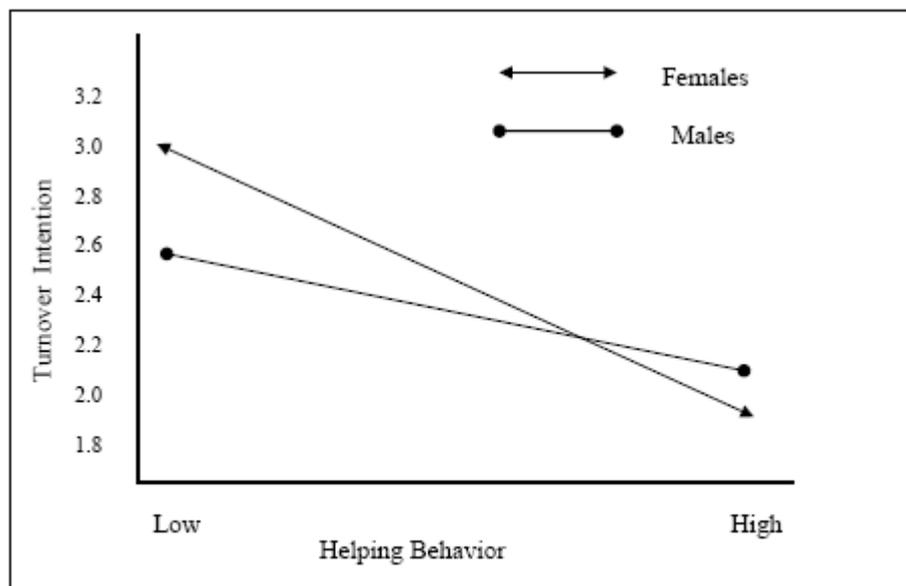


Figure 1. The effect of gender on the helping behavior - turnover intention relation.



## Stylistic Analysis of “40-Love” Written by McGough

Meihua Xu

School of Foreign Languages and Literature, Chongqing Normal University

Chongqing 400047, China

E-mail: meihua852032.student@sina.com

### Abstract

The aesthetical form has always been stressed in poetry. Efforts have been exerted on the skillful combination of rhythm and structure to create numerous great works all over the world. This article tries to analyze the unique features in structure, words, phonology, syntax and rhetoric in the poem of 40-Love by British poet Roger McGough in order to have a deeper understanding of the content and form of a poem.

**Keywords:** McGough, 40-Love, Love, Style

### 1. Introduction

It is well known that in a variety of literary genres, the form of poetry has been stressed most. Efforts have been exerted on the skillful combination of rhythm and structure to create numerous great works all over the world. Modern American poet E. E. Cummings (1884-1962) is a good case in point. He is famous for odd style, novel and unique form in the poetic world. His “l (a)” has been regarded as the “the most elegant and beautiful structure of the literature created by Cummings”. (Kennedy, 1980). Therefore, his poems are renowned as “poem picture” or “visual poetry”, or the concrete poetry that we are quite familiar with. The features of it is that vivid visual images of words coming from irregular syllables, letters, punctuation, syntax, format and print strengthen the internal imagination of poetry, deepen the artistic conception, convey and enrich the connotation. (Abrams, 2005). Coincidentally, besides E. E. Cummings, contemporary British poet Roger McGough (1937- ) is another master in writing concrete poems. His 40-Love can be considered as one of the greatest concrete poems.

McGough is the second of the three in Liverpool Group. The other two are Henry Adrian Henri and Patan Brian Patten. McGough, born in 1937, 5 years younger than Henry, is always in naughty mentality. His poems are full of secular fun and display more profound life from the perspective of a child. This article, from the viewpoint of stylistics, analyzes the features of structure, words, phonology, syntax and rhetoric in the poem of “40-Love” in order to gain a deeper understanding of this poem.

### 2. Stylistic Analysis

Greek poet Simonides once said, “Poetry is the picture with sound while the pictures are the silent poems.” (Zhu, 2005). That is to say, the content of a poem must be combined with its form to achieve its perfection, namely, the combination of form and spirit, what we often cherish. Here we will try to find how McGough do it in his “40-Love”. The poem tells that a middle-aged couple is playing tennis. Then they go home. But the net is still between them. It reflects the gap between middle-aged couples. I will quote the poem here to help to explain my opinion.

40-Love (Peng, 2000)

middle	aged
couple	playing
ten-	nis
when	the
game	ends
and	they
go	home
the	net

will	still
be	be –
tween	them

### 2.1 Structure

As a whole, the poem has a total of 20 words. But the two words “tennis” and “between” are separated by hyphens to be symmetric in structure. The words in the poem are set in two sequences, like two sides of the couple. The middle blank or empty is like a net to separate the two. There are only two words in each line to symbolize the bouts of the ball. The title of 40-love, the top of the net, is right on the top of the poem, signifying the scoreboard. This poem looks like a tennis court with a net being used to separate the words. It is like a tennis game. This side serves and the other side hits back. Many bouts form the poem. The invisible net is like the barrier between the middle-aged couple. Even if they finish the tennis game, they still have the net, which still exists invisibly. However, it is this net that they can depend on to handle their marriage and have the responsibilities not to break the rules. There is a net in tennis and there are rules to obey. With the net, there are more difficulty and more interests. So, accordingly, more training and attention is a must. Imagining that, when playing tennis with no net or rules, people would feel difficult to last their games for longer period. In addition, only the letter of "L" of "Love" in the title is capitalized and the rest is de-capitalized, which shows that, to some extent, the couple has not been in the pursuit of the perfect details again, because love between the middle-aged couple has faded away. Furthermore, there is no punctuation in the whole poem, indicating that life of marriage is closed and uninteresting. Since there is no end, gap appears.

### 2.2 Words

The poet pays special attention to the words in the poem. First of all, the title “40-Love” one of interests embodied in the poem. The figure of 40 stands for the age of middle-aged people. And 40-Love is a scoring term in tennis. Tennis scoring is love, 15, 30 and 45 in sequence. Love here means zero. Three goals scores 40. No goals, no score. Thus, the title is of pun with two meanings. One refers to be 40-year-old love and the other is 3:0. Whether 40-year-old love is vain or not depends on attitudes of the two parties. Let come to two words of “middle” and “aged” in the first line. “Middle-aged” means people are in their midlife. The poet deliberately separates it to achieve the reunification of form and others. It also symbolizes that middle-aged husband and wife can not be integrated again. The two important words of “tennis” and “between” are placed in two vertical columns to get a metaphorical meaning that there is an invisible net in the emotional world of the man and the woman. They are not intimate any longer. “Game” in the fifth line can be referred as either play game or sport. The scoring in tennis competition is more complex. Tennis game has games and sets. In a game, those who win 15, 30 and 45 will get one point. And the player who gets 6 points will win one set. In the poem, the couple does not finish even one game and go home since they have a deep estrangement. “Still” in the ninth line shows that the middle-aged husband and wife have ineffable anguish and can not get rid of their unpleasantness and gain relaxed though they make concessions as far as possible.

### 2.3 Phonology

Words in the poem are basically monosyllabic. They are mechanical and boring to read and easy to suggest that the life of the couple is dull and lack of amenities. From the perspective of phonology, the short vowel such as /i/, is used for many times in the poem to leave the pressing impression to the readers to realize the urgent emotional crisis of the middle-aged couple. But there is slowness in the urgency. The diphthong /ei/ and /əu/ are employed to slow down the speech rate and demonstrate that the middle-aged people have become calm and unhurried when dealing with things. Especially, the long vowel / i: / in “tween” in the last line leaves enough time for the middle-aged couple in crisis to think over the issue. In addition, there are rhymes in the poem, such as, middle and couple, ten and when, game and they, go and home, will and still. Rhymes here give the readers boredom, and symbolize the dull life of the middle-aged couple. Moreover, the alliterations of be and be-, tween and them, make the two words close and imply that the middle-aged husband and wife still have the ties that can not be cut off although there is a gap between them.

### 2.4 Syntax

For the convenience of analysis, I rearrange the order of the whole poem: middle aged couple playing ten-nis when the game ends and they go home the net will still be be-tween them. First of all, from the angle of tense, the plain and flat present tense, used from the beginning to the right end of the poem, indicates the dull or prosaic marriage life of the middle-aged couple. Nevertheless, “playing” is used unconventionally. If “plays” is used here, readers will know that the couple play tennis often rather than occasionally. There will be not much gap between them. “Playing” indicates that there is absence of regular communication between the husband and wife. It stresses that it is just at this moment that they are playing tennis. In sentence structure, there is a time adverb “when” to combine the sentence. As usual, however, there is no conjunction of “and” between the main clause and the subordinate clause. Thus “and” is added here to deliberately create a loose state, suggesting that there is no close contact between the husband and wife. And there should be an adversative conjunction of “but” in front of the next sentence “the net will still be be-tween them”. As we

all know, an adversative conjunction word usually give people an unexpected, rising and falling impression. The word "but" is omitted here to inevitably imply that life of the middle-aged couple is no longer full of ups and downs, great happiness or sadness.

### 2.5 figure of speech

Poets often use figure of speech because, as Emily Dickinson once said, the mission of a poet is to "speak the truth, but to put it in an implicit way" in order to seize the readers' interest and stimulate their imagination. In the poem of "40-love", the poet employs the figure of speech, e.g. metaphor. On the one hand, in form, the blank along the net is like a net to suggest the gap between the middle-aged couple. On the other hand, everyday life is like playing games. Everybody hit the ball to the others. Such routine game results in no passion at last. Moreover, in my opinion, the writing technique of understatement is employed in this poem. The tone of the whole poem is calm, without any fluctuating. However, it is the deliberate understatement that discloses the theme of the poem incisively and vividly.

### 3. Conclusion

This poem written by McGough with unique style has rich connotation in its unique form. In this poem with perfect combination of the spirit and form, the emotional gap of the middle-aged couple can be discerned and expressed by the stylistic techniques in the structure, words, phonology, syntax and figure of speech. In *Mending Wall*, a poem written by American poet Robert Frost, the neighbor is intransigence and stubborn. Even at the last line of the poem, he still murmurs that "good fences make good neighbors" (GU, 2005). Every couple, therefore, especially the middle-aged couples, should pull the fence between them down, believing "good communication makes good couples".

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## Predicting Knowledge Creation Behavior in Organizations: A General Systems Theory Perspective

Mostafa Jafari

Department of Industrial Engineering, Iran University of Science and Technology (IUST)

Narmak, PO box 1684613114, Tehran, Iran

Tel: 98-21-7391-3000 E-mail: jafari@iust.ac.ir

Atieh Bourouni (Corresponding author)

Department of Industrial Engineering, Iran University of Science and Technology (IUST)

Narmak, PO box 1684613114, Tehran, Iran

E-mail: bourouni@ind.iust.ac.ir

Roozbeh Hesam Amiri

Department of Industrial Engineering, Iran University of Science and Technology (IUST)

Narmak, PO box 1684613114, Tehran, Iran

Tel: 98-912-5356-487 E-mail: amiri\_r@ind.iust.ac.ir

### Abstract

Knowledge creation has been widely recognized to be strategically important for organizational learning and innovation. The lack of empirical work in this area has limited our understanding of this important phenomenon. Previous studies have focused on limited aspects of the overall knowledge creation process, such as inter-organizational knowledge transfer, knowledge flows within the firms and the interplay of tacit and explicit knowledge. In developing countries, there is a sense that rich countries have failed to create knowledge that is appropriate to local needs. This study is a comprehensive analysis of the knowledge creation behavior by using general systems theory and HIV/AIDS epidemic which can help us to better understand of this process.

**Keywords:** HIV/AIDS epidemic, Agent based modeling, Knowledge creation, Social behavior and General Systems Theory (GST)

### 1. Introduction

The concept of knowledge is as old as the history of human civilization (Pillania, 2008a). In addition, Knowledge management has emerged as an important research topic for information systems and management researchers since the 1990s (e.g., Alavi and Leidner, 2001; Davenport and Grover, 2001; Hahn and Subramani, 2000; Nonaka, 1991, 1994).

New knowledge creation has received increasing attention, recognition and importance in recent past in the business world. Knowledge has emerged as the most important strategic resource for organizations (Toffler, 1990; Nonaka, 1991; Barney, 1991; Bartlett and Ghosal, 1993; Drucker, 1993; Stewart, 1997; Pillania, 2005, b; Pillania, 2008b). It is not only the big organizations; new knowledge creation has increasingly become critical for small and medium-size enterprises (SMEs) also. The need for knowledge renewal is particularly acute in SMEs (Pillania, 2006; Martin et al., 2002).

While knowledge creation is fundamental to the survival of a business, it has not been extensively researched beyond organizational theory (Chen, 2005). Alavi and Leidner (2001) consider the firm's ability to create knowledge and to take action upon it as the basis for competitive advantage.

The enormous amount of studies and research carried out on the process of knowledge creation in organizations in

recent years is an indisputable reality (Choo and Bontis, 2002; Crossan et al., 1999; Holmqvist, 2003; Leonard and Sensiper, 1998; Nonaka and Takeuchi, 1995; Wikström and Normann, 1994).

The propose of this article is better understanding of knowledge creation process by using of general systems theory as a powerful tool to linkage different area of science and using simulation without creating a separated model for this field. Therefore we can predict the behavior of knowledge creation by playing with AIDS epidemic parameters in the manner which is adapted by their organizational parameters.

In this article, we will introduce general systems theory in a nutshell, and then describe an agent-based approach to HIV/AIDS epidemic. For that purpose, at first AIDS epidemic will be presented, then agents and agent based modeling will be surveyed, after that HIV/AIDS will be modeled by using of agent based model and at the last, the behavior of knowledge creation will be predicted.

## 2. General Systems Theory

Ludwig von Bertalanffy gave us the General Systems Theory (GST). He did not merely give birth to a new field but also nurtured it and projected its future possibilities as an epistemology and ideology.

The time of GST's raise – the middle of the century – was the “hour of triumph” of science (particularly in nuclear physics, electronics and molecular biology). That partially explains Bertalanffy's choice to look for the solutions on complexity problems, wholeness and so on in the exact sciences: “GST is a logico-mathematical science of wholeness” (Skyttner, 1996). Bertalanffy, in his famous paper, described that (Bertalanffy, 1955):

*“There exist models, principles and laws that apply to generalized systems or their subclasses, irrespective of their particular kind, the nature of their component elements and the relations of forces between them. It seems legitimate to ask for a theory of universal principles applying to systems in general; not of systems of a more or less special kind.”*

Therefore, a first consequence of this theory is the appearance of structural similarities or isomorphism in different fields. There are correspondences in the principles which govern the behavior of entities that are intrinsically, widely different (Bertalanffy, 1955).

By summarizing and totaling the researchers in this article, the aims of general systems theory are (Bertalanffy, 1955; Skyttner, 1996; Boulding, 1964; Mulej et al, 2004):

- 1) There is a general tendency towards integration in the various sciences.
- 2) Such integration seems to be centered in a general theory of systems.
- 3) Such theory may be an important means for aiming at exact theory in the non-physical fields of science.
- 4) Developing unifying principles running vertically through the universes of the individual sciences, brings us to the goal of the unity of science.
- 5) This can lead to a much-needed integration in scientific education.

## 3. An agent-based approach to HIV/AIDS epidemic

Since AIDS was first discovered, mathematical models of the transmission dynamics of HIV have been developed to determine the drivers of the epidemic. It has become apparent that the most profound factor in the proliferation of this disease is the aggregate effects of individual behavior and perception of risk. Agent-based models (ABM) allow one to simulate the social and sexual interactions which may describe the societal context in which HIV may spread.

Ultimately, the purpose of HIV transmission models is to hypothesize about drivers of the epidemic which will then shed light on appropriate interventions and prevention measures. ABMs facilitate the development of network-based public health interventions. Such interventions, like home-based care programs, may have great promise in anywhere.

## 4. The AIDS epidemic

UNAIDS estimates more than 60 million people have contracted HIV/AIDS worldwide in the past two decades and 25 million have died as a result - it is the fourth-leading cause of death in the world (Hein and Wilson, 2002).

Currently, Sub-Saharan Africa is the most seriously impacted region in the world – with 9% of all its inhabitants between the ages of 15 – 49 infected with HIV. Eurasia, however, is expected to be the next major area of infection, and the region includes three of the world's largest nations, China, Russia and India. The toll, in terms of human suffering will be tremendous, but, combined with the potential economic, social and political impacts, the epidemic will have staggering implications inside and outside the region (Hein and Wilson, 2002).

The HIV/AIDS model has two key modules: the disease progression module and the economic module, but the approach consists of a collection of integrated analytic solutions. The disease module is primarily a model of heterosexual transmission that incorporates multiple risk groups. In the economic module models specific industrial segments: information technology, financial services, and automotive. Economic impact of HIV/AIDS was captured

through worker morbidity and mortality. There were a variety of program and policy options that were incorporated into our model. Programs included both prevention and treatment options. Prevention programs were modeled both at the industry and national levels and consisted of: general education and wellness, voluntary counseling and testing, condom distribution, and mother to child transmission prevention programs (Markus, 2004).

### 5. What is an agent?

Up to now, no general agreement on the term agent has yet been established (Tripathi et al., 2005). Parunak et al. (1998) define an agent as being a software entity with its own thread of control able to execute operations without being externally invoked, while Jennings et al. (1998) define an agent as a self-contained, problem-solving entity. The Merriam web dictionary defines “agent” as an entity that produces or is capable of producing an effect for an active or efficient cause (Web: Merriam-Webster online dictionary, 2009).

Agents exhibit certain characteristics which explain the functions that agent can perform. Some common characteristics of agents are (Malik, 2007; Jennings, 2000a; Jennings, 2000b; Jennings, 1996; Shehory, 1998): Reactive, Communication richness, Goal-oriented, Autonomy, Temporal Continuity, Proactive, Concurrency, Distribution and Adaptability.

The agents perceive the state of the environment, and then act according to the information they possess. They may change either some objects in the environment or themselves, for instance by moving relative to the other agents (Laine, 2006).

The simulation of agent and their interactions is known by several names, including agent based modeling, bottom-up modeling and artificial social systems (Axelrod, 1997a). This type of modeling was introduced below.

### 6. Agent based modeling

Many social systems such as organizations are inherently nonlinear. That is the effects of independent variables representing policy decisions on dependent variables or outcomes are not proportional and directly predictable. It is difficult to model such nonlinear systems because they cannot be understood analytically (Gilbert N, 1999). The behavior of the system cannot be predicted from a set of equations. The only effective way of exploring the behavior of nonlinear systems is by building and running simulation models. Two different approaches to modeling nonlinear systems have been developed; system dynamics and agent based modeling (Anderson, 2007). Forrester’s (1969) early studies represent efforts within the systems dynamics field to simulate the growth of urban areas and systems dynamicity continue to explore social system and organizational dynamics (Richardson, 1996). In contrast, ABM represents a new paradigm in modeling and simulation of dynamic systems distributed in time and space (Jennings et al., 1998; Lim and Zhang, 2003). It examines the global consequences of interactions among individual agents (Wakeland, 2004). The ABM approach is highly appropriate for these types of systems (Lim and Zhang, 2003; Nilsson, 2005; Wakeland et al., 2004). There is a growing interest in using ABM in several business-related areas, such as manufacturing (Chun et al., 2003; Kotak et al., 2003; Lim and Zhang, 2003; Zhou et al., 2003) and logistics and supply chain management (Gerber et al., 2003; Kaihara, 2003; Knirsch and Timm, 1999; Santos et al., 2003; Schieritz and Grossler, 2003). ABM is considered important for developing industrial systems (Davidsson and Wernstedt, 2002; Fox et al., 2000; Karageorgos et al., 2003) and it provides a pragmatic approach for the evaluation of management alternatives (Swaminathan et al., 1998).

In ABM the focus is on agents and their relationships with other agents or entities (Axelrod, 1997b; Cicirello and Smith, 2004; d’Inverno and Luck, 2001; Jennings et al., 1998). The state of agents making up the environment varies as the simulation moves through time. Thus, an agent based model consists of two distinct parts: An environment and agents.

### 7. Modeling HIV/AIDS by agent based model

Alisa Joy Rhee (2006) in her thesis, inspected AIDS epidemic by using of agent based modeling. She supposed three scenarios which has different epidemic probabilities which are shown in table1. She also ran her model with 2000 as its population size and 0.005 per day as probability of epidemic. The model was run at one hundred 9000 time step Monte Carlo realizations. Suppose that  $k_3$  is described to quantify the amount of partnerships in a network and mathematically is approximated by:

$$\frac{\sigma^2}{\mu} + \mu - 1 \quad (1)$$

Where  $\sigma^2$  and  $\mu$  are the variance and mean of the number of relations per person observed in the network.

Scenarios 1-3 are ordered by degree of concurrency: scenario 1 has the greatest proportion of agents in monogamous partnerships, and the lowest proportion of multiple concurrent partnerships; scenario 3 has the greatest amount of concurrency, with a greater proportion of individuals in multiple concurrent partnerships.

The epidemic curves of the three scenarios are plotted in Figure 1.

The epidemic begins the slowest in scenario 3 because the scale-free network also has the highest proportion of singles of all three scenarios; the epidemic is slow to spread immediately after HIV is seeded in the population. In Figure 1, HIV prevalence begins to increase more rapidly in scenario 3 than the others at the end of 30 months.

As shown in Figure 2, after one year, the prevalence in scenario 3 increases faster than scenarios 1 and 2 which have fewer concurrent partnerships. Therefore prevalence is growing fastest in scenario 3 and slowest for scenario 1.

### 8. Similarities between AIDS epidemic and knowledge creation

There are some similarities between AIDS epidemic and knowledge creation which can help us to use general systems theory to link their behavior to each other. Therefore in Table 2, we have proved that the properties of knowledge creation in an organization and AIDS epidemic are similar and according to general systems theory we can claim that their behavior under specific situations are the same.

### 9. Results

As shown above, the properties of AIDS epidemic and knowledge creation are the same and we can predict the behavior of knowledge creation in an organization by using of general systems theory and the agent model of HIV/AIDS epidemic. Therefore, we can predict that whether employees in different departments can have interactions with each other and share their knowledge, the process of knowledge creation becomes faster and is performed better (scenario 3) because proportion of individuals is greater and amount of concurrency is at the greatest level but in those situations whose proportion of individuals in monogamous partnerships is greatest, and proportion of multiple concurrent partnerships is at the lowest level (scenario 1 and 2) the process of knowledge creation is slower and don't perform as well as the process in scenario 3.

We can infer that the work groups in an organization should contain different experts in various fields who have great agreement with each others. In these group types, we can have the highest level of knowledge creation with better quality. We should notice that, each organization have their own situation and parameters and these result can be quite different in some organizations. They can play with HIV/AIDS model's parameters and gain their suitable results.

### 10. Conclusion

As a result, our understanding of knowledge creation is limited to certain micro-level aspects, rather than understanding the process in its entirety. Therefore, having a model which can predict knowledge creation behavior is very important. Whereas building a suitable model for each organization with their own situation is a too hard work, in this article we applied one of the most applicable models of epidemic to our research. As we look further back into the knowledge creation process we see that informal networking is crucial. However, senior managers are uncomfortable with things that cannot be managed. Hence, it is important to understand that although informal networking is critical there is a link between formal and informal networking. The used agent based model of HIV/AIDS epidemic considers the both formal and informal factors and by using of general systems theory, we deduced the knowledge creation behavior in organizations.

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Table 1. Distribution of concurrency for Scenarios 1-3

Distribution of concurrency	Scenario 1	Scenario 2	Scenario 3
Network type	Random	Random	Scale-free
$k_3$	0.263	0.442	0.672
No partners	0.41	0.46	0.51
One partner	0.51	0.43	0.34
Two partners	0.0681	0.0951	0.1156
⋮	⋮	⋮	⋮
Over five partners	0	0.00002	0.00006

Table 2. Comparison of knowledge creation and AIDS epidemic

<b>AIDS Epidemic</b>	<b>Knowledge Creation</b>
HIV virus	Knowledge
Ways of widespread disease	Ways of knowledge sharing
Probability of AIDS epidemic after full peril behaviors	Probability of sharing knowledge in a relation
Population of models	Number of organization's employees
Number of patients	Number of knowledge workers
Incubation period for HIV	Needed period for catching shared knowledge
Duration of acute HIV phase	Needed period for creating knowledge from shared knowledge
Duration of latent HIV phase	period of using and sharing new knowledge by new knowledge workers
Duration from AIDS diagnosis to death	Duration which in knowledge is useable and not expired.
Death patient	Knowledge workers whose knowledge was expired
Age	Years of service
Level of education	Level of employees' education of knowledge sharing
Type of belief system of the agent	Culture of employees for knowledge sharing
Methods of AIDS prevention	Wrong beliefs to not sharing knowledge
People who observe AIDS prevention methods	People who don't share their knowledge
People who have full peril behavior	People who share their knowledge

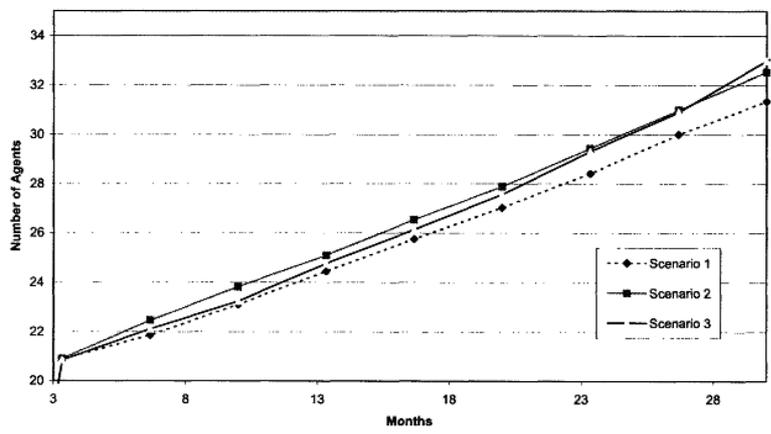


Figure 1. HIV/AIDS prevalence first 30 months

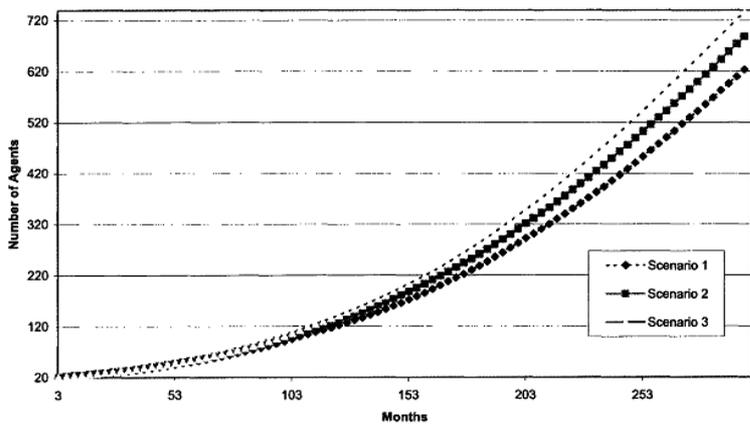


Figure 2. HIV/AIDS prevalence 20 years



## Recycling Economy and Ecological Economy

Chunyan Shao

School of Accounting, Shandong Economic University

Jinan 250014, Shandong, China

E-mail: haichangli@126.com

### Abstract

Recycling economy is a kind of economy that melts clean production and the comprehensive utilization of waste. Its nature is a kind of ecological economy. Ecological economy is a kind of economy of sustainable development. It emphasizes the co-adaptation and mutual promoting and coordination of recycling economy and ecological economy. By analyzing the difference and relation of recycling economy and ecological economy, the article points out that it is necessary to develop recycling economy in order to realize ecological economy.

**Keywords:** Recycling economy, Ecological economy, Sustainable development

Recycling economy is a kind of economy that melts clean production and the comprehensive utilization of waste. Its nature is a kind of ecological economy. The law of ecology is required to guide the economic activity in human society. It follows the 3R principle of minimization, reuse and recycling. Ecological economy is a kind of economy of sustainable development. It can not only meet the needs of contemporary people, but also meet the needs of future generations and is not a crisis for them. It emphasizes the co-adaptation and mutual promoting and coordination of recycling economy and ecological economy. Recycling economy and ecological economy have both difference and relation.

### 1. The distinction of recycling economy and ecological economy

#### *1.1 Recycling economy is the basis of realizing ecological economy*

The nature of ecological economy is to develop the economy on the sustainable basis of ecological environment and to expand the reproduction of economy in the premise of reproduction of nature in order to achieve the "win-win" situation of economic development and ecological protection and establish the compound ecosystem of the virtuous circle of economy, society and nature. Eco-economy includes ecological agriculture, ecological industry, ecological tourism and so on. Recycling economy is a mode of economic operation in which material and energy flow in accordance with the natural ecosystem. It guides the economic activity in human society with the law of ecology. The repeatedly cycle of material of "resources - products - renewable resources" is formed in the process of production and consumption in order to achieve the result of "low production, high-use, low-emission". Recycling economy is a basic requirement for ecological economy and one of the models of implementation of ecological economy. For example, the implementation modes of ecological agriculture include ecological large-scale pattern, ecological renovating mode, ecological improving mode, ecological farming mode, ecological cultivation mode, recycling economy mode as well as ecological economic mode of courtyard. Recycling economy is a mode of economic development which can maximize the use of resources and protect the environment. Its purpose is to minimize resource consumption and waste emissions mainly through the technological transformation of traditional industries so as to eliminate radically the acute conflict between Environment and Development for a long time.

#### *1.2 Ecological economy is the upgrading of recycling economy*

At the macro level, ecological economy emphasizes the symbiotic harmony of economic system and natural ecosystem, emphasizes to pay equal attention to the use of zoology and ecological construction, and demands for the restoring and strengthening construction of ecological environment, in order to keep and increase the stock of the favorable ecological environment and maintain and upgrade the carrying capacity of ecological environment. While the essence of recycling economy is the eco-turn of economic development, recycling economy is a specific mode of implementing ecological economy. The relation of ecological economy and recycling economy is content requirement and forms realization. Recycling economy is more specific in content, more clear in means and hierarchy and more feasible compared to the

ecological economy. Therefore, the connotation of ecological economy is wider than the recycling economy and ecological economy is the upgrading of recycling economy.

## **2. The contact of ecological economy and recycling economy**

### *2.1 Both recycling economy and ecological economy are means to achieve sustainable development*

Sustainable development is the need of the three-in-one development of sustainable ecology, economic development and social progress. Ecological economy is to shape a mode of sustainable development in the ecosystem. It uses the theory of ecological economics and the approach of systems engineering in order to change the patterns of production and consumption, to excavate all potential of the resources available, to develop the economically developed and ecologically efficient industries, to establish an environment with a reasonable system, social and harmonic culture, ecological health and appropriate landscape. Consequently the mode of sustainable development is shaped in which both the development and protection are paid attention to, both material and spiritual are developed, both nature and human have a high degree of unification. Recycling economy pursues the harmonious development of society, economy and environment. Recycling economy is a new mode of economic growth put forward in developed countries to coordinate the contradiction between economic growth and resources and environment and then to achieve sustainable development. It advocates the economic development mode which is established on the basis of constant recycling use of substance. Recycling economy alleviates the problems of shortage of resources and environmental pollution through the efficient use of resources, the recycling use and the reasonable disposal of wastes so as to promote the sustainable development of ecology; produces more products and services of high quality with the same consumption of resources to meet the needs of the people through constructing the closed-loop production process of "resources - products - renewable resources", the industrial structure and the development of non-material economy so as to promote the sustainable development of economy; Increases the opportunities of job through elongating the chain of industries in order to contribute to the sustainable development of society. Therefore, both recycling economy and ecological economy are means to implement the strategy of sustainable development and an inevitable choice and an important guarantee for sustainable development.

The relationship of sustainable development and recycling economy is that of goal and means, but recycling economic can not achieve all the requirements of sustainable development.

### *2.2 Ecological Economics is the theoretical basis for recycling economy*

In the final analysis, recycling economy is a mode of economic development. It can not only achieve the sustainable development of environment and human but also improve the ability of economic activities of human. The mode of recycling economy is guided by ecological theory and strives to bring the production activities of human into the natural circulation system in order to achieve coordination with each other and positive interaction between economic development and environmental protection. Therefore, the theoretical basis of recycling economy is ecological economics. Ecological economics is the edge of an emerging discipline which has cross-developed between ecology and economics. It is based on theory of ecology, led by the theory of economics and centered by the economic activity of human. It researches the relation between the economic activity of human and the ecological environment of nature from the broadest range in order to reveal the inner relations and laws between the nature and the social economy.

### *2.3 The nature of recycling economy is ecological economy*

The nature of ecological economy is to develop economy on the basis of the affordability of ecological environment, to expand the reproduction of economy in the premise of ensuring the natural reproduction in order to achieve the "win-win" of economic development and ecological protection and then establish the compound ecosystem of economy, society and nature. While recycling economy is the economy that fuses cleaner production into the comprehensive utilization of waste. It is required to organize the economic activities into a repeating flows of material of "resources - products - renewable resources" in accordance with the mode of natural ecosystems. Then the whole economic system and the process of production and consumption basically do not produce or only produce very little waste, so recycling economy is essentially an ecological economy. It is required to use the law of ecology to guide economic activity of human society so as to realize the eco-turn of economic activities by use of natural resources and environmental capacity.

## **3. Developing recycling economy and realizing ecological economy**

With the concept of sustainable development embedding in the hearts and minds of people, the development of recycling economy has become a kind of consensus, which is bound to bring a new round of economic growth. However, the development of recycling economy is a complicated systematic project and it needs the common effort of society as a whole.

### *3.1 Emancipating the mind and establishing the awareness of ecological*

The deeper the degree of understanding of the employees on recycling economy is, the deeper the degree of supporting

on and participating in the implementation of recycling economy themselves is, the better the effect of the implementation of recycling economy is. We should start with propaganda, education and training, further deepen the understanding on recycling economy of the cadres and the masses in enterprise, and then fuse the concept of recycling economy into the corporate culture. We should further clarify the ideas of development and update the concepts of development, understand dialectically the relationship between economic growth and economic development, change the concept of equating the growth simply with the development. At the same time, we should understand dialectically of the relationship between man and nature and change the concept of simply using and conquering nature. Leaders at all levels and various departments should enhance the understanding of the importance and the urgency on developing recycling economy. It is necessary to be vigilant in peace time and strengthen the sense of resources and the global awareness. It is necessary to mobilize the National People to foster ecology as productivity and protect ecological environment as the environment of investment, to speed up ecological construction and develop ecological economy.

### *3.2 Optimizing the industrial structure*

At present the economic growth in China is still dominated by the mode of extensive growth. The extensive mode of development stimulated the rapid development of economy in China, but it also led to a waste of resources and the continues deteriorating of environment because it is an linearly industrial mode at the cost of high-consumption and high pollution. According to the "the Tenth Five-Year Plan of national economic and social development", by the year 2010, China's GDP will be double that in 2000. If the traditional mode of development is continued to be followed to spur the high growth of economy, the sustainability of the social and economic development in China will be continually undermined. Therefore, we must vigorously develop the environmental industry and develop and utilize fully the renewable resources. It is shown by the trend of economic development in the world and the research of the OECD that the environmental industry based on the concept of recycling economy is surely to be the new growth point of economy and become side by side the most potential three area with information technology and bio-technology and one of the world's leading industries in 21 Century. Through developing the environmental industry, strengthening the comprehensive use of "three wastes" and developing and utilizing fully the renewable resources and new energy, the industrial chain is extended, the new areas of production are opened up and the employment opportunities are increased. At the same time the environmental industry assumes the functions of the decomposition and deals innocuously with the pollutants that can not be recycled again.

### *3.3 Practicing Technical Innovation*

Nowadays the wave of green is emerging and spreading in the globe and the green economy is booming, it is necessary to develop recycling economy for China to synchronize with the rest country in the world. The development of circular economy must be support by related technology, so it is necessary to carry out technical innovation and develop the green technology. Institutions specializing in science and technology-related research and development should be set up in China. Relying on scientific and technological progress and innovation, we should increase investment in key technologies of resource conservation and recycling research, promote the use of new technologies, new equipment and new materials on resources-saving, and take efforts to reduce the consumption of raw materials and energy, and then build the technical support system of resource-saving and recycling economy.

### *3.4 Carrying out Management innovation*

Recycling economy is a new, advanced economy and it stresses the coordinated development of the economic system, the social system and the environmental system. Recycling economy is systems engineering that integrate economy, technology and society in a set. Not only advanced technology but also scientific management is needed. So we must carry out management innovation and establish the green management philosophy that adapts to the requirements of the development of recycling economy. The green management is an important trend of operation and management in future. Enterprises should strengthen the concept of green consumption and market competition market, raise the level of science and technology, and improve the operation through building a green management system, so that the efficiency of the resource utilization in enterprise is maximized, the discharge of "three wastes" and environmental protection are optimized, and the production of the products is green. At the same time, the whole process of product life-cycle should be carried out environmental management, that is, fuse the environmental factors into the design of the entire product and process, implement the environmental control in the life-cycle stage of product, so that the adverse impacts on environment reach to the minimum and achieve the sustainable development.

### *3.5 Implementing innovation of Laws, regulations and systems*

The development of recycling economy is related with the society, economy and environment and so on and its development can not be achieved simply relying on market economy. The system of policies and regulations needs to be built to provide the guarantee for the development of recycling economy according to the law. The comprehensive laws and regulations separate on the development of recycling economy should be instituted, or related departments further enrich the relevant provisions of laws and regulations that promote the development of recycling economy in the

related laws and regulations in China. Related departments adopt related departments to guide and regulate recycling economy in order to ensure that there are laws and rules to follow. At the same time, the related financial and taxation systems should be reformed. The financial and taxation policy can influence the economic benefits and economic decision-making of the economic subject in order to achieve the direct and indirect regulation and control on micro-economy. The related departments can also study on the establishment of the economic policy that is conducive to establish the eco-industrial network in line with the requirements of recycling economy and then promote the development of recycling economy.

### 3.6 Executing innovation of invigorative and supervisory mechanism

In view of the identities of recycling economy such as large investment and long-term returns, the traditional incentives cannot attract much interests of developing recycling economy in enterprise. Therefore invigorative mechanism of developing recycling economy should be established and improved to enhance the enthusiasm of developing recycling economy in enterprise. China should establish and improve the financial and taxation policies in favor of the development of recycling economy, promote the practice of recycling economy in enterprise with more effective means such as economic incentives and other incentives, establish the economic compensation mechanism of ecological recovery and environmental protection with such means as price, tax and credit, and guide enterprises to develop recycling economy voluntarily. At the same time, the evaluating index system of recycling economy in enterprise should be established to play the role of supervision and management.

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## Anthropometry Dimensions of Older Malaysians: Comparison of Age, Gender and Ethnicity

Rosnah M.Y., Mohd Rizal H. & Sharifah\_Norazizan S.A.R.

Institute of Gerontology, Universiti Putra Malaysia, MALAYSIA

E-mail: rosناه@eng.upm.edu.my

### Abstract

Studies have indicated that body dimensions differ for various populations. To determine whether there are differences in the anthropometric data of the elderly population in Malaysia, the anthropometric data collected from a previous project was used. These comparisons can give some indications of the relative sizes between age, gender and ethnicity in Malaysian elderly populations. The results showed that some anthropometric dimensions were influenced by age, gender and ethnicity. Regression analysis showed that age and ethnicity were significant predictors ( $p < .01$ ) of Malaysians elderly BMI's. The analysis has provided important information in designing and planning of facilities and products for elderly populations.

**Keywords:** Anthropometry dimensions, Older Malaysians, BMI's, Demographic background

### 1. Introduction

The population of today's world is rapidly ageing. Elderly populations have grown because of worldwide improvements in health services, educational status, and economic development (Kinsella & Victoria, 2001). The number of persons aged 60 years or over is estimated to be 688 million in 2006 and is projected to grow to almost 2 billion by 2050 (United Nations, 2006). Even though Malaysia's population is not currently aged, this will change over the next two decades. Malaysia is expected to increase its percentage of older persons to more than 7% in 2010 and 9.8% in 2020 (Pala, 1998).

With increasing ageing trends, it is necessary to consider older people's cognitive strengths, capabilities and physical limitations in the planning or design of products for daily use. Therefore, their anthropometric characteristics must be quantified. Besides, anthropometric measurements are also important indicators of an individual nutritional status. The ageing process involves modifications in nutritional and physiological status, such as a decrease in body weight and height (Dey et al., 1999) and also a declining in fat-free mass associated with an increase in fat mass. Body composition changes occur differently in males and females and in the various phases of ageing, influencing anthropometry. Consequently, the anthropometric standard values derived from adult population may not be applicable to the elderly.

There is very little information about anthropometric data of older persons, especially in developing countries. Only more recently have population studies included specific data on individuals 75 years of age and older (Kuczmarski et al., 2000; Perissinotto et al., 2002; Velasquez-Alva et al., 2003; Santos et al., 2004). Fozard (1981) and Stoudt (1981) have pointed out that older people differ anthropometrically with inter-individual variance increasing with age. Hence anthropometric data available for younger generation cannot be used even with allowances for the age-related changes for the elderly population. Another complicating factor is the ethnic mix, which could be very different in the elderly population compared to the young adult population.

Since Malaysia is a multi-racial, multi-ethnic country, comparison of the anthropometric dimensions between its populations is useful. Age, gender and ethnicity differences of anthropometric dimensions of the Malaysians elderly will not only help to explain the ageing process of each group, but also to determine the group at risk and thus, attention can be directed to this group.

### 2. Methodology

In this study, 39 body dimensions of 230 older Malaysians comprising males (N=129) and females (N=101) and Malays (N=174) and non-Malays (N=56) were obtained from an earlier study entitled 'An Elderly Friendly Housing Environment for Older Malaysians' by the Institute of Gerontology, Universiti Putra Malaysia. Body mass Index (BMI,

weight/height<sup>2</sup>) was calculated and categorized from same data into four groups (underweight, normal, overweight and obesity) using the World Health Organization (WHO) standard method. The BMI represents the easiest and most frequently used index to identify subjects at risk for under-or over-nutrition. Data was analyzed using Statistical Package for the Social Sciences (SPSS). Level of significance used for the data was set at  $p < 0.05$  (two-tailed).

### 2.1 Comparisons were made for anthropometry and Body Mass Index (BMI) between:

- i. Males(m) and females (f)
- ii. Malays(ma) and non-Malays(nma)

T-Test analysis was performed to identify gender and ethnicity differences in anthropometric dimensions. Male and female or Malay and Non-Malay were treated as two independent groups and the null-hypothesis tested the difference in the mean of each anthropometric dimensions between older women and older men or older Malay and older Non-Malay ( $H_0: \mu_{1(m/rma)} - \mu_{2(f/nma)} = 0$ ).

Chi-square analysis was used to measure the level of relationship between gender and ethnicity in BMI categories. Use of chi-square deals with the situation in which we have two variables (gender and BMI categories or ethnicity and BMI categories) and to determine whether these variables are independent of one another ( $H_0$ : Independence between two variables).

### 2.2 Correlation between Age and Anthropometric dimension

To compare whether there is a significant correlation between age and the anthropometric dimensions of the Malaysian elderly, the null-hypothesis ( $H_0: \rho = 0$ ) to test the significance of the relationship between the two variables was performed.

### 2.3 Relationship between Age and BMI Category

ANOVA test was used to identify the relationship between BMI categories and age. The null-hypothesis is ( $H_0: \mu_1 = \mu_2 = \mu_3 = \mu_4$ ) was tested.

### 2.4 Relationship between age, gender and ethnicity with BMI

As for correlation, regression is also used to study relationships between interval-ratio variables in which a single dependent (criterion) variable is regressed with one or several independent (predictor) variables.

## 3. Results and Discussions

### 3.1 Comparison between Male and Female Anthropometric Dimensions

The results of anthropometric dimensions (mean value, standard deviation and t-test) for males and females were presented in Table 1. Analysis showed that there were significant differences ( $p < 0.01$ ) in all anthropometric measurements between elderly men and women except for standing hip breadth. This finding was supported by a previous study by Haitao et al. (2007) where there is no significant difference between male and female elderly in the hip area dimension. For all measurements, the male dimensions exceeded the females except for hip breadth and standing chest depth.

### 3.2 Comparison between Malay and Non-Malay Anthropometric Dimensions

Analysis in Table 2 shows significant differences between Malay and Non-Malays in term of weight ( $t = 2.819$ ,  $p < 0.01$ ), kneecap height, standing ( $t = -4.021$ ,  $p < 0.01$ ), eye height, standing ( $t = -2.260$ ,  $p < 0.05$ ), elbow height, standing ( $t = -3.183$ ,  $p < 0.01$ ), sitting height ( $t = -3.254$ ,  $p < 0.01$ ), eye height, sitting ( $t = -3.049$ ,  $p < 0.01$ ), shoulder height, sitting ( $t = -2.652$ ,  $p < 0.01$ ), popliteal height, sitting ( $t = -2.185$ ,  $p < 0.05$ ), hip breadth, standing ( $t = 2.703$ ,  $p < 0.01$ ), buttock-popliteal length, sitting ( $t = 2.771$ ,  $p < 0.01$ ), shoulder-elbow length, sitting ( $t = -2.861$ ,  $p < 0.01$ ), span horizontal ( $t = -2.035$ ,  $p < 0.05$ ), thigh thickness, sitting ( $t = 2.911$ ,  $p < 0.01$ ) and foot breadth ( $t = 2.179$ ,  $p < 0.05$ ). Comparison between Chinese (Beijing) and Japanese elderly also showed that the anthropometric dimensions differences were found between this two groups (Haitao et al., 2007). It is observed that in almost all the measurements, the Non-Malays showed a higher reading compared to the Malays except for weight. The Malays are heavier and shorter. The significant differences in many of the measurements clearly indicate that ethnicity should be taken into consideration when designing within the Malaysian population.

### 3.3 Comparison between Male and Female Body Mass Index (BMI)

BMI differences were also found between gender in the four groups ( $\chi^2 = 13.260$ ,  $df = 3$ ,  $p = 0.004$ ). About 50% of the male elderly were in the overweight and obesity group compared with the female elderly of 60%. The problem of obesity was more frequent in elderly women (26.7%) (Table 3). Based on Lenore (1996) in his study, women had a higher mean BMI and standard deviation than men. This clearly indicates that those belonging to these categories are at risks, with elderly females having higher risks. Probably as female aged, they become more sedentary. Thus, the lifestyles and nutrition of this group has to change.

### 3.4 Comparison between Malay and Non-Malay Body Mass Index (BMI)

Table 4 shows a significant relationship ( $\chi^2=16.580$ ,  $df=3$ ,  $p=0.001$ ) between Malays and Non-Malays with the BMI category. Even though, this relationship seems very low (Cramer's  $V=.268$ ), most Malay elderly have obesity and overweight problems than Non-Malays. Finding from a previous study also showed that there was a significant difference between ethnicity and BMI. The range of overweight among elderly women in Hong Kong was 2.5% compared to 53.5% in Barbados elderly women (Lenore, 1996). The reasons for the greater health risks posed by the Malays in this category, though maybe contributed by the unhealthy lifestyle including diet have to be studied further.

### 3.5 Correlation between Age and Anthropometric Dimensions

There were significant relationships between age and weight ( $r=.171$ ,  $p=0.009$ ), kneecap height, standing ( $r=.210$ ,  $p=0.001$ ), chest depth, standing ( $r=.153$ ,  $p=0.02$ ), hip breath, sitting ( $r=-.136$ ,  $p=0.04$ ), thigh thickness, sitting ( $r=-.146$ ,  $p=0.027$ ) and grip strength ( $r=-.151$ ,  $p=0.022$ ) (Table 3). An assumption can be made from this result is that the changes of body dimension are also related with increasing age. The negative correlation values showed that as age increases, these measurement decreases. A study by Bryna et al. (2001) on anthropometry changes among elderly Canadians found that body weight and stature declined with aging, particularly in the very old and those with dementia. Perissinotto et al. (2002) also showed that weight significantly decreased with age among elderly Italian population.

### 3.6 Relationship between Age and Body Mass Index (BMI)

Table 6 shows significant differences in age between the different BMI category ( $F=3.811$ ,  $p=0.05$ ). Most of young elderly have health problems in term of obesity and overweight (figure 1). These findings were similar to the results stated by Jeffrey (2005) where individuals aged 75 and older were the least likely to be overweight or obese as compared with other lower age groups.

### 3.7 Relationship between Age, Gender and Ethnicity with Body Mass Index

Three predictor variables accounted for 6.7% of variance in the Body Mass Index Category ( $F=10.918$ ,  $df=3$ ,  $p=.000$ ). Regression shows (see Table 7) that age and ethnicity are significant predictors ( $p<.01$ ) of BMI. Increasing age will reduce BMI values among the elderly. In ethnicity, overweight and obesity mostly tend to happen among Malay than Non-Malay. Otherwise, gender has no significant influence on Body Mass Index among older persons.

## 4. Conclusion

This study has shown that the anthropometric dimensions and Body Mass Index (BMI) is closely linked with some demographic background. Age and ethnicity remains the best predictor for elderly BMI in Malaysia. Considerations on these factors are very important when designing products, facilities or tools to meet the needs and wants elderly population. Therefore, by providing this empirical data it can be useful for dietitians, clinicians and other groups whose work are related to ageing and elderly. The study reinforces the findings of some other studies that showed elderly women are more at health risks due to overweight and obesity compared to elderly men. The study also clearly identified that the Malays were at higher health risks as compared to the non-Malays. This call for a change of lifestyles and diet as these are the two most common causes of overweight and obesity among populations.

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Table 1. Mean, standard deviation and t-test for anthropometric dimensions of older Malaysians males and females aged 60 and above (n=230)

Dimensions (cm)	Male, N=129		Female, N=101		Independent t-test	
	Mean	Std.Dev	Mean	Std. Dev	t	p
1.Weight (Kg)	66.6	11.3	60.0	13.8	4.002	0.000
2.Height	162.3	7.5	149.0	5.8	14.724	0.000
3.Coat Height, Standing	139.2	6.0	127.3	5.4	15.695	0.000
4.Shoulder Height, Standing	134.7	5.8	122.0	5.3	17.221	0.000
5. Waist Height, Standing	94.1	5.6	88.4	4.5	8.310	0.000
6.Crotch Height, Standing	71.0	4.0	65.9	4.3	9.399	0.000
7.Kneecap Height, Standing	50.0	3.3	44.3	2.9	13.579	0.000
8.Eye Height, Standing	149.9	6.1	136.4	5.8	17.100	0.000
9.Elbow Height, Standing	97.1	5.8	89.2	4.4	11.333	0.000
10.Sitting Height	83.1	4.3	76.4	3.8	12.335	0.000
11.Eye Height, Sitting	71.6	5.6	65.0	3.8	10.266	0.000
12.Shoulder Height, Sitting	56.7	3.5	50.6	5.7	9.993	0.000
13.Knee Height, Sitting	49.8	2.9	45.1	2.1	13.682	0.000
14.Popliteal Height, Sitting	39.6	2.4	36.5	1.7	10.961	0.000
15.Arm Reach Upward, Sitting	126.6	5.7	108.4	10.7	16.636	0.000
16.Hip Breadth, Standing	31.5	2.4	32.0	3.1	-1.313	0.191
17.Chest (Bust) Depth, Standing	23.1	2.6	25.9	3.6	-6.607	0.000
18.Shoulder Breadth, Sitting	41.9	3.4	37.0	3.0	11.491	0.000
19.Hip Breadth, Sitting	35.0	3.5	33.3	4.0	3.506	0.001
20.Forearm-Hand Length (Elbow-Finger Tip Length), Sitting	45.5	2.0	42.2	2.6	10.595	0.000
21.Buttock-Knee Length, Sitting	53.7	3.6	52.4	2.8	2.872	0.004
22.Buttock-Popliteal Length, Sitting	45.5	2.7	42.4	2.8	8.476	0.000
23.Shoulder-Elbow Length, Sitting	35.7	1.9	32.9	1.8	11.182	0.000
24.Arm Reach Forward, Sitting	76.2	5.6	69.7	5.2	9.060	0.000
25.Shoulder Grip Length, Sitting	63.5	4.2	57.8	4.5	9.837	0.000
26.Upper Limb Length	72.3	3.7	66.6	3.7	11.641	0.000
27.Span Horizontal	169.1	7.9	156.4	7.3	12.515	0.000
28.Elbow Span	90.8	4.1	82.0	5.2	13.881	0.000
29.Thigh Thickness, Sitting	14.6	2.2	12.8	2.3	6.046	0.000
30.Hand Length	17.8	1.2	16.4	1.1	9.286	0.000
31.Palm Length	10.3	1.0	9.4	1.1	6.731	0.000
32.Hand Breadth	8.6	0.5	7.7	0.4	15.064	0.000
33.Foot Length	24.6	1.1	22.4	2.0	10.695	0.000
34.Instep Length	18.4	1.3	16.4	1.1	12.536	0.000
35.Foot Breadth	10.2	0.7	9.0	0.6	13.715	0.000
36.Heel Breadth	6.5	0.7	6.1	0.6	4.764	0.000
37.Thumb Strength (Kg/N)	7.9	1.7	4.5	1.4	16.759	0.000
38.Grip Strength (Kg/N)	31.5	7.7	17.5	5.9	15.487	0.000
39.Arm Reach Upward, Standing	247.4	9.9	227.8	8.2	15.990	0.000

\*\* significant at the 0.01 level (2 –tailed)

\* significant at the 0.05 level (2 –tailed)

Table 2. T-test for anthropometric dimensions and ethnicity among older Malaysians (male and female) aged 60 years and above

Dimensions (cm)	Malay, N=174		Non-Malay, N=56		Independent t-test	
	Mean	Std. Dev	Mean	Std. Dev	t	p
1. Weight (Kg)	64.998	13.074	59.511	11.302	2.819	.005**
2. Height	155.782	9.550	158.600	8.881	-1.953	.052
3. Coat Height, Standing	133.365	7.959	135.884	8.840	-1.899	.061
4. Shoulder Height, Standing	128.529	8.324	131.018	8.563	-1.933	.055
5. Waist Height, Standing	91.534	6.095	91.833	5.232	-.329	.742
6. Crotch Height, Standing	68.582	4.650	69.330	5.367	-1.006	.316
7. Kneecap Height, Standing	46.891	4.097	49.416	4.058	-4.021	.000**
8. Eye Height, Standing	143.224	8.997	146.311	8.549	-2.260	.025*
9. Elbow Height, Standing	92.895	6.586	96.023	5.759	-3.183	.002**
10. Sitting Height	79.509	5.187	82.082	5.027	-3.254	.001**
11. Eye Height, Sitting	68.054	5.405	70.766	6.857	-2.260	.025*
12. Shoulder Height, Sitting	53.553	5.614	55.618	4.881	-3.183	.002**
13. Knee Height, Sitting	47.483	3.324	48.425	3.978	-3.254	.001**
14. Popliteal Height, Sitting	38.056	2.489	38.921	2.839	-3.049	.003**
15. Arm Reach Upward, Sitting	118.053	12.691	120.420	10.549	-2.652	.009*
16. Hip Breadth, Standing	32.011	2.750	30.895	2.475	-1.756	.080
17. Chest (Bust) Depth, Standing	24.530	3.557	23.664	2.801	-2.185	.030*
18. Shoulder Breadth, Sitting	40.034	4.085	38.909	3.767	-1.261	.208
19. Hip Breadth, Sitting	34.545	3.493	33.473	4.579	2.703	.007**
20. Forearm-Hand Length (Elbow-Finger Tip Length), Sitting	44.104	2.682	43.963	3.099	1.661	.098
21. Buttock-Knee Length, Sitting	53.298	3.321	52.584	3.367	1.903	.060
22. Buttock-Popliteal Length, Sitting	44.491	2.952	43.166	3.568	1.844	.067
23. Shoulder-Elbow Length, Sitting	34.241	2.328	35.236	2.055	.332	.740
24. Arm Reach Forward, Sitting	73.494	6.258	73.033	6.448	1.396	.164
25. Shoulder Grip Length, Sitting	61.068	5.154	60.718	5.125	2.771	.006**
26. Upper Limb Length	69.717	4.494	69.986	5.263	-2.861	.005**
27. Span Horizontal	162.747	9.440	165.816	10.922	.475	.635
28. Elbow Span	86.640	6.627	87.916	5.253	.444	.658
29. Thigh Thickness, Sitting	14.086	2.455	13.021	2.124	-.373	.709
30. Hand Length	17.172	1.253	17.156	1.561	-2.035	.043*
31. Palm Length	9.916	1.230	9.952	.8983	-1.314	.190
32. Hand Breadth	8.204	.630	8.084	.561	1.269	.206
33. Foot Length	23.644	1.903	23.695	1.907	-.175	.861
34. Instep Length	17.506	1.582	17.670	1.566	-.677	.501
35. Foot Breadth	9.717	.899	9.414	.917	2.179	.030*
36. Heel Breadth	6.341	.670	6.247	.679	.911	.363
37. Thumb Strength (Kg/N)	6.266	2.213	6.777	2.663	-1.426	.155
38. Grip Strength (Kg/N)	25.298	9.484	25.446	11.000	-.098	.922
39. Arm Reach Upward, Standing	237.940	13.230	241.480	13.768	-1.690	.094

\*\* significant at the 0.01 level (2 –tailed)

\* significant at the 0.05 level (2 –tailed)

Table 3. Relationship between Body Mass Index (BMI) category and gender (n=230)

Gender	BMI Category				Total
	Underweight (Below 18.5)	Normal (18.5-24.9)	Overweight (25.0-29.9)	Obesity (30.0 and over)	
Male	5	60	51	13	129
	3.9%	46.5%	39.5%	10.1%	100.0%
Female	7	33	34	27	101
	6.9%	32.7%	33.7%	26.7%	100.0%
Total	12	93	85	40	230
	5.2%	40.4%	37.0%	17.4%	100.0%

$\chi^2=13.260$ ,  $df=3$ ,  $p=0.004$

Table 4. Chi-square analysis of BMI Category between Malay and Non-Malay (n=230)

Ethnicity groups	BMI Category				Total
	Underweight (Below 18.5)	Normal (18.5-24.9)	Overweight (25.0-29.9)	Obesity (30.0 and over)	
Malay	7	62	66	39	174
	4.0%	35.7%	37.9%	22.4%	100.0%
Non-Malay	5	31	19	1	56
	8.9%	55.4%	33.9%	1.8%	100.0%
Total	12	93	85	40	230
	5.2%	40.4%	36.9%	17.5%	100.0%

$\chi^2=16.580$ ,  $df=3$ ,  $p=0.001$  Cramer's V = .268

Table 5. Correlations-test for anthropometric measurements of older Malaysians males and females and age (n=230)

Anthropometric Dimensions	r	p
1. Weight (Kg)	-.171**	.009
2. Height	.025	.708
3. Coat Height, Standing	.023	.725
4. Shoulder Height, Standing	.020	.759
5. Waist Height, Standing	.064	.331
6. Crotch Height, Standing	.021	.746
7. Kneecap Height, Standing	.210**	.001
8. Eye Height, Standing	.035	.597
9. Elbow Height, Standing	.024	.716
10. Sitting Height	.018	.787
11. Eye Height, Sitting	.014	.828
12. Shoulder Height, Sitting	.036	.584
13. Knee Height, Sitting	.063	.338
14. Popliteal Height, Sitting	.037	.572
15. Arm Reach Upward, Sitting	.049	.462
16. Hip Breadth, Standing	-.118	.075
17. Chest (Bust) Depth, Standing	-.153*	.020
18. Shoulder Breadth, Sitting	-.090	.173
19. Hip Breadth, Sitting	-.136*	.040
20. Forearm-Hand Length (Elbow-Finger Tip Length), Sitting	.053	.423
21. Buttock-Knee Length, Sitting	-.066	.319
22. Buttock-Popliteal Length, Sitting	.006	.926
23. Shoulder-Elbow Length, Sitting	.063	.340
24. Arm Reach Forward, Sitting	.008	.906
25. Shoulder Grip Length, Sitting	-.032	.630
26. Upper Limb Length	.036	.583

27. Span Horizontal	-.018	.787
28. Elbow Span	.037	.578
29. Thigh Thickness, Sitting	-.146*	.027
30. Hand Length	.031	.641
31. Palm Length	.066	.320
32. Hand Breadth	.080	.227
33. Foot Length	.072	.277
34. Instep Length	.124	.060
35. Foot Breadth	.058	.380
36. Heel Breadth	.007	.917
37. Thumb Strength (Kg/N)	-.035	.599
38. Grip Strength (Kg/N)	-.151*	.022
39. Arm Reach Upward, Standing	.036	.590

\*\* Correlation is significant at the 0.01 level (2 –tailed)

\* Correlation is significant at the 0.05 level (2 –tailed)

Table 6. One-Way Analysis of Variance (ANOVA) for Body Mass Index (BMI) category and age among older Malaysians (male and female) aged 60 years and above

Source	df	SS	MS	F
<b>Between Groups</b>	<b>3</b>	<b>299.383</b>	<b>99.794</b>	<b>3.811*</b>
Within Groups	226	5918.465	26.188	
Total	229	6217848		

\* p < .05

Table 7. Summary of Regression Analysis for Variables Predicting Elderly Body Mass Index (n=230)

Variable	B	SE B	β	p
F=10.918, df=3, p=.000 (Constant)	4.471	.672		.000
<b>Age</b>	<b>-.031</b>	<b>.010</b>	<b>-.195**</b>	<b>.002</b>
Gender	-.192	.104	-.116	.066
<b>Ethnicity</b>	<b>.491</b>	<b>.119</b>	<b>.256**</b>	<b>.000</b>

Note: R<sup>2</sup> = .127

\*\* p < .01

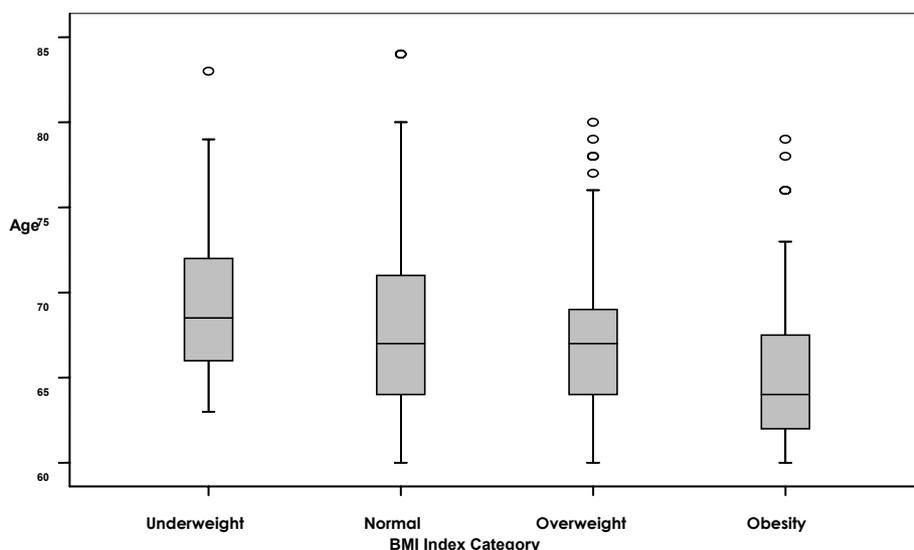


Figure 1. Box-and-Whisker Plot for Body Mass Index (BMI) category and age among older Malaysians (male and female) aged 60 years and above



## A Study of Pronunciation Problems of English Learners in China

Fachun Zhang

Foreign Languages School, Ludong University  
186 Hongqizhonglu Road, Yantai 264025, China  
Tel: 86-535-492-3230 E-mail: timothyzfc95@sina.com

Pengpeng Yin

Foreign Languages School, Ludong University  
186 Hongqizhonglu Road, Yantai 264025, China  
Tel: 86-535-669-3555 E-mail: crystal0506@sina.com

### Abstract

This paper analyzes some frequently occurring problems concerning pronunciation of English learners in China. Factors leading to these problems are interference of Chinese, learners' age, attitude, and their insufficient knowledge of phonology and phonetics systems of the English language, etc.

**Keywords:** Interference of Chinese, Pronunciation, English learner Introduction

### 1. Introduction

Language is a means of communication in everyday life. Common people have little regard the speaking ability as significant as linguists do. They just take it for granted and think that speaking and understanding is as natural as breathing. So many English learners prefer learning "DUMB ENGLISH" to paying attention on studying English pronunciation, the results being that learners are shocked whenever they meet difficulties in oral communication. Among many other factors, the most prominent is phonetics, which, to a large extent, weakens the learner's confidence both in speaking and listening. In the case of some senior students at the university, a reasonable accuracy in the pronunciation of individual sounds should certainly have been achieved, however, many students still fail to attain perfection. Xu Li Hua (1991) pointed out: "The Chinese students are comparatively quiet and shy, which works to their disadvantage in speaking. They are afraid of making mistakes. They feel uncomfortable in their first attempt at speech in English and they are afraid of failure, laughter and ridicule". This comment is very true. Observations that limited pronunciation skills can undermine learner's self-confidence, restrict social interaction, and negatively influence estimations of a speaker's credibility and abilities are not new (Morley, 1998).

The ability of speaking English embodies the correctness of pronunciation and intonation and directly affects the appropriate communication in conversation. This paper explores some factors influencing English pronunciation from the objective factors and analyzing two sounds systems by comparing English and Chinese pronunciations, and then provides some practical suggestions for teaching and learning it.

Pronunciation instruction tends to be linked to the instructional method being used. In the grammar-translation method of the past, pronunciation was almost irrelevant and therefore seldom taught. In the audio-lingual method, learners spent hours in the language lab listening to and repeating sounds and sound combinations. It became popular in the 1950s. This involved a systematic presentation of the structures of the second language, moving from the simple to the more complex. This approach was strongly influenced by a belief using of a lot of practice mechanically and repeatedly. At the time, "foreign-language learning is basically a mechanical process of habit formation." (George, 2002).

Nowadays, it would be hard to find a linguist who would agree with the statement, yet versions of the audio-lingual method are still very commonly used in language learning. With the emergences of more holistic, communication methods and approach to ESL instruction, pronunciation is addressed within the context of real communication. Although there are different versions of how to create 'communicative' experiences in the L2 classroom, they are based on a view that the functions of language (i.e. What it is used for) should be emphasized rather than the forms of the

language (i.e. correct grammatical structure).

## 2. Factors Influencing Pronunciation

There are several factors influencing the pronunciation of the L2 learners. That is, the first language interference by interference of mother language, learner's age, learner's attitude and psychological, prior pronunciation instruction, and the insufficient language knowledge of English phonology and phonetics.

### 2.1 Interference of Chinese to English

Most researchers agree that the learner's first language influences the pronunciation of the target language and is a significant factor in accounting for foreign accents. So called interference or interference from the first language is likely to cause errors in aspiration, stress, and intonation in the target language. Some Chinese students tend to have difficulty with English sounds because they are deeply influenced by similar Chinese sounds. However, they are very different from each other. A particular sound which does not exist in the native language can therefore pose a difficulty for the second language learners to produce or some times to try to substitute those sounds with similar ones in their mother tongue. These sounds include both vowels and consonants. For example, there are no vowels like /æ/, /au/, and /εə/, etc. or no such consonants as /ð/, /θ/. Therefore learners have trouble first of all in perceiving these sounds, and consequently try to find nearest equivalents to substitute those new sounds. A typical example will be the substitution of /s/ or /z/ for the English /ð/, /ai/ or /e/ for the English /æ/ as in the word 'that'.

A sound does exist in the native language, but the place of articulation and the manner of articulation of the sound in two languages are quite different. The erroneous substitution takes place here as well. For instance, the English /r/ and /ʃ/ are very different from the Chinese /sh/ and /r/. Therefore it is not surprising when the words 'English', 'pronunciation', 'rose' and 'rise' are uncomfortably heard when they are produced by ESL learners.

A sound does exist in the native language, but not as separate phonemes: that is to say, the learner does not perceive it as a distinct sound that makes difference to meaning. In Chinese the sound /i/ exist, but whether the vowel is long or short does not make any difference in meaning, while the English phonemes /i:/ and /i/ differs a lot in meaning as in the word 'sheep' and 'ship'. The result is that Chinese learners are not naturally aware of the difference in English and Chinese and may not even hear that difference.

On the whole the two problems are more difficult. A totally new sound is often easily perceived as alien, and once you can hear a sound you are well on the way to being able to pronounce it. But if you cannot hear it then you cannot even attempt to pronounce it, and the problem of perception needs to be overcome before any progress can be made.

The combination of different phonemes differs in the two languages. In Chinese morphemes are generally made up of a consonant plus a vowel with no consonants cluster and usually ending with a vowel. Negatively transferring this character of Chinese phonological rules to English, learners would commonly pronounce words 'book' and 'bed' as /bukə/ and /bedə/, and have problems in pronouncing words 'prompt' and 'thousandths'.

Chinese is a syllable-timed language while English is a stress-timed language and therefore they have a great deal of differences in stress and rhythmic patterns. The basis for Chinese rhythm is the number of syllables, and the production of every syllable virtually takes the same amount of time, while the basis for English rhythm is that of stresses and the stressed syllable takes more time to pronounce. With no knowledge of this significant feature, Chinese learners of English often clearly articulate every English syllable and word in speeches. This results in a foreign-sounding accent, and possibly misunderstanding.

Another difference between Chinese and English is that Chinese is a tone language while English is an intonation language. Intonation transfer from the second language learners' L1 to L2 is a natural phenomenon. A number of studies have found that English spoken by different Chinese dialect groups have different accents (Bolton & Kwok, 1990). The distinctive system of pronunciation and intonation of Chinese as compared to English may cause Chinese to be perceived as rude and inconsiderate. More serious intonation transfer may even affect comprehension.

Chinese learners of English must be aware of this distinction in order to avoid making errors in intonation. Of course utterances in Chinese have intonation as well and the intonation also falls on the ending words. However, every Chinese word has a fixed tone thus the intonation of the whole sentence must be greatly constrained, and the intonation is actually a slight variation on the basis of the word tone. While for English, intonation can mean life and death. Some phoneticians vividly compare vowels and consonants as the body of English and intonation as the spirit of it. Some linguists claimed that the important thing is not what you say but how you say it, thus placing much emphasis on intonation. The knowledge of intonations and the perception of functions of different intonation patterns will facilitate learners' acquisition of the target language phonological system in great measure.

There are many dialects in China, and different local accents will cause trouble in learning English. For example, students from Yunnan province often have trouble in distinguishing /æ/ with /e/ in the words 'bad' and 'bed' and /ŋ/ from /n/ in 'thing' and 'thin'. It is often difficult for a Sichuan student to distinguish /n/ and /l/ in words as 'life' and

'knife'.

### 2.1.1 Stress Factor in the Target Language

Learners make mistakes in the stress of words and rhythm of sentence, unlike many other languages, English requires that one syllable in each word be stressed more than others. The importance of putting the stress on the right syllable in English words cannot be underestimated; putting the stress on the wrong syllable is more likely to make a word unintelligible than is mispronouncing one of its sounds. The result can be certainly attributed to the mother tongue interference. For many students whose pronunciations are especially hard to understand, misplaced syllable stress is one of the main problems. A change in the stress pattern of a word will change its sounds as well. One word that is stressed differently would have different grammatical functions and different meanings. For example, the word 'subject' has the stress on the first syllable when it is a noun, on the second when it is a verb, and this makes a noticeable difference to the sound of the vowels as well as the meanings of the word. English speech rhythm is characterized by tone-units: a word or a group of words, which carries one central stressed syllable (other syllables, if there are any, are lightened). In English sentences, not all words are given equal emphasis. Key words (usually the words that contain new or important information) are stressed and pronounced more slowly and clearly than other words. Take for example, the question "Are you going to go to Boston?" If the focus of the question is on where the listener will go, the sentence will sound something like "Ya gonna go ta Boston", the word "Boston" will be pronounced clearly with more emphasis. If, in contrast, the emphasis is on who is going, the sentence would sound like "Are you gonna ta Boston?" While students don't necessarily need to learn to reduce the unimportant words in sentence, they should learn to stress key words. Other words should receive less strength since they are only the words used to link the sentence together. However, learners may stress on whatever word of a sentence, without the knowledge of which words should be stressed.

### 2.1.2 Intonation Factor in the Target Language

Intonation, the rises and falls in tone that make the 'tune' of an utterance, is an important aspect of pronunciation of English, often making a difference to meaning or implication (Chen, 1983). Stress, for example, is most commonly indicated not by increased volume but by a slight rise in intonation.

Intonation patterns in English sentences primarily indicate the degree of certainty of an utterance, i.e. whether is a statement, questions, or suggestion. Most questions in rising intonation, however, Wh- questions (who, what, where, when, why, and how) end with falling intonation. It is important for students to learn these patterns not only in order to communicate meaning, but also in order to avoid unwittingly sounding rude or indecisive.

### 2.2 Learners' Age

Children seem to pick up accents very quickly; and the ability to do seems to diminish with age and the knowledge of their native language to a large extent acts as annoying interference while to their second language learning. Meanwhile, Pronunciation is considered to be the most difficult parts of a language for adult learners to master. Why is it that the younger the learner is, the easier it is to learn the foreign language? One important reason is that, younger learners are able to learn the sound system more effectively, while the learning process of adult learners may be more likely to be hindered because of their age.

The debate over the impact of age on language acquisition and specifically pronunciation is varied. Some researchers argue that, after puberty, lateralization (the assigning of linguistic functions to the different brain hemisphere) is completed, and adults' ability to distinguish and produce native-like sounds is more limited. Others refer to the existence of sensitive periods when various aspects of language acquisition occur, or to adults' need to re-adjust existing neural networks to accommodate new sounds. Most researchers, however, agree that adults find pronunciation more difficult than children do and that they probably will not achieve native-like pronunciation. Yet experiences with language learning and the ability to self-monitor, which come with age, can offset these limitations to some degree.

### 2.3 Learners' Attitude and Psychological Factors

Attitude towards the target language learning can influence achievement in pronunciation. It is not common to find that quite a few students resist coordination with teachers in phonetics classes. Sometimes some other students pronounced separate phoneme uncorrected, these students laughed at them. That needs a correct attitude to learn English pronunciation. A number of researchers have claimed that work on pronunciation should need to be tied in with on the individual's value set, attitudes and socio-schemata (Pennington, 1994). Sometimes, motivation for learning can accelerate the learners' attitude formation. Attitude for learning can either support or hinder pronunciation skills development.

Similarly, the way an individual pronunciation has much to do with his or her personality and psychological or emotional state at a given time. Acton (1984) sees "preparing students psychologically as a necessary correlate to improving their pronunciation. Phonology, he says, has both 'inside-out' and 'outside-in' dimension which function in a kind of loop: 'Not only does personality or emotional state show in pronunciation ... but the converse is also true:

speakers can control their nerves or inner states by speaking properly". This is the basic tenet of successful programs in voice training and public speaking.'

#### 2.4 Prior Pronunciation Instruction

Prior experiences with pronunciation instruction may influence learners' success with current efforts. Learners at higher language proficiency levels may have developed habitual, systematic pronunciation errors that must be identified. As we know, the first impression is very important in every occasion. Some students failed to pronounce some words correctly from the beginning. As they become accustomed to their own version of pronunciation, they would be more likely to mis-comprehend when these words are not correctly pronounced. It is also worth of noticing that the most often misunderstood words are those pronounced similarly. Such as, sheep, ship and house, horse etc. So learners must have a good habit of learning correct pronunciation at the beginning.

### 3. Presentation of Distinctions between Chinese and English Phonological System

The contrastive analysis of the target language and learners' native language can greatly facilitate the second language acquisition. It is necessary to make learners know the differences between the two languages and consciously compare the two languages themselves during the learning process.

#### 3.1 Phonology

The vast difference in phonology between English and Mandarin gives rise to difficulty in pronunciation of words for Chinese students. The "Common Speech" is a kind of modern Chinese spoken in Northern China. The phonetic system of this modern Chinese is called "Hanyu Pinyin". The phonological system of Mandarin consists of 23 consonant sounds and 36 vowel sounds, while in English there are 24 consonant sounds and 20 vowel sounds. The most distinctive difference between Mandarin and English phonetically is that Mandarin is a tone language and English is an intonation language. In Mandarin, there are 4 different tones for every syllable; the sounds are (1) high level (-), (2) high rising (/), (3) low rising (∨) or low dipping, and (4) high falling to low (∩). The majority of words that differ only in tone are quite unrelated. "-fei (fly); fei (fat); fei (bandit); fei (waste, spend)". (from World Book Encyclopedia). In English, sound variation for different words is affected by varying the vowel and consonant sounds. These fundamental differences make it difficult for the Chinese students to master the English sounds. Usually, the Chinese students will use the mono-syllabic sounds with the tone closet the one he hears to code the pronunciation of new words. This results in a typical accent when he reads or speaks, which further discourages him from speaking.

##### 3.1.1 Differences in Phonemes

According to the contemporary phonetician A.C.Gimson, there are 44 English phonemes – 20 vowels and 24 consonants, and there are 47 phonemes if /tr/, /dr/ and /hW/ are counted as English consonants .

However, it is hard to determine Chinese phonemes since every Chinese morpheme has a fixed tone. A better way is to consider morphemes with tones as minimal units to contrast meaning in Chinese. According to Modern Dictionary of Chinese, there are 1382 morphemes in mandarin Chinese, while in General Phonetics, Chinese is said to contain 1644 morphemes.

Each of these two languages has its peculiar phonemes. Many English phonemes have equivalents in Chinese, but some English phonemes do not have Chinese counterparts. For example, there are no Chinese counterparts to English vowels /i/, /u/, /au/ and /æ/ and consonants /ð/, /θ/ and /r/, etc. More example, /b/, /d/and /g/ in English are unaspirated, voiced sound, while in Chinese are unaspirated, voiceless sounds; English /w/ is bilabial but not in Chinese pinyin.

The place of articulation and manner of articulation function are different in Chinese and English. A distinctive feature in English may not distinguish one phoneme from another in Chinese, and vice versa. For instance, each phoneme in 8 pairs of consonants in English (/p/,/b/;/t/,/d/;/k/,/g/;/s/,/z/;/θ/,/ð/;/f/,/v/;/ʃ/,/ʒ/;/tʃ/,/dʒ/) distinguish itself from the other by being either voiced or voiceless. That is to say, voiced and voiceless are distinctive features in English. However only /sh/ and /r/ in Chinese is a pair of voiceless and voiced sounds, while a most striking distinction between the two is /sh/ is aspirated while /r/ is unaspirated. Other pairs (/p/,/b/;/t/,/d/;/k/,/g/;/z/,/s/) are all voiceless and they only contrast in aspiration. Therefore aspiration is a distinctive feature in Chinese. That is the reason why Chinese learners of English often neglect the differences between voiced and voiceless sounds in English and native English speakers often overlook the feature of aspiration for it does not contrast meaning therefore non-distinctive.

The position of phonemes and the way of combining them are not the same within the two languages. English consonant clusters do not occur in Chinese as Chinese consonants are always followed by a vowel. Macleish (WWW.melta.org.my/ET/1992/main6.htm/) said: "Consonant clusters present high frequency problems to any speaker who is learning English as a foreign language. This is so because clusters are often combinations of problem sounds; or combinations of familiar consonants does not occur in the native language in clusters." Groups of consonants within one syllable that occur before or after a pause are called "clusters" and those that occur inter-vocally at syllable or word boundaries are called "sequences"(Bowen, 1983). A clear/l/ usually appear before a vowel in Chinese, but very

often the vague /l/ occur at the end of a word in English. In Chinese, only /n/ and /ŋ/ can be ending syllables, but in English all consonants can appear at the end of words except /h/, /w/and/j/.

### 3.1.2 Differences between Tone Language and Intonation Language

Chinese is a language with musical word stress (or tonic word stress). In such a language, prominence is mainly achieved by variations in pitch level, the main acoustic parameter being fundamental frequency. The meaning of the words in Chinese language depends on the pitch levels of their syllables. Every syllable in Chinese has an essential component tone, which is the pitch pattern of the voiced part of the syllable. The pitch and change in pitch of a syllable makes for a difference in meaning. For example, 'mai' (to buy) is the third tone; 'mai' (to sell) is the fourth tone. Both syllables (and, words) have the same initials and vowel sounds, but because their tones are different, their meanings are also different. The same phoneme with four different tones can mean four different things in Chinese. Tones in Chinese can contrast meanings, therefore Chinese is considered as a tone language by modern phoneticians. Tones cannot change the meanings of English phonemes. English utterances must have particular intonation patterns to express different meanings, in this way; English is labeled as an intonation language. However, intonation is not so important for Chinese as for English. It is not uncommon that some English speeches produced by Chinese learners do not sound English; many learners are not able to use intonation to achieve their communicative purposes. Therefore this difference must be clearly pointed out to learners.

### 3.1.3 Differences in Juncture

Chinese and English differ in the juncture between syllables and that between words and consequently differ in their pronunciation. It is very much different between hearing a Chinese speech and an English speech. Using terms borrowed from music, Chinese belongs to staccato, that is to say there are breaks in the continuous flow of speech, while English should belong to legato, and the flow of speech goes smoothly without breaks. The differences of two languages in juncture should be made clear to learners. Chinese speeches sound like tone clusters of piano, and the boundaries between syllables are quite obvious; English speeches sound like gliding tones of violin, and the boundaries between syllables are hard to notice. Another metaphor used to illustrate the difference is that Chinese sentences are like a number of beads strung together, which makes listeners easy to distinguish one phoneme from another; while English sentences are like water streams which flow smoothly though they have ripple on the surface. It is no wonder that one who knows no English at all cannot tell the bounds between syllables and those between words, and the only bound he can perceive is the pauses between two clauses.

It is very likely that Chinese learners make mistakes like stressing every syllable in word or even worse, clearly producing every syllable in a sentence. They are not accustomed to read the sentences smoothly or to use liaisons, thus speak English with a very strong Chinese accent. On that account, differences in juncture require deliberate teaching.

### 3.1.4 Phonetic Differences vs. Phonological Differences

The distinction between phonetics as the general science of speech sounds and phonology as the sounds systems of particular languages has helped to clarify what it is we have to deal with when we learn pronunciation: that is, the physiology of producing speech sounds on the one hand, and on the other, the specific system of distinctive sound features which characterize the target language (Fromkon & Rodman, 1993). Both disciplines have a contribution to make to pronunciation teaching. But the distinction between them has made it clearer that the learning of new sounds requires relearning movements of the vocal tract and that learning a new pronunciation is to a large extent physiological and learning a new pronunciation is to a large extent physiological and neuromuscular. Is this respect pronunciation teaching is 'more like gymnastics than linguistics' (Streven, 1997). However, because of the fluidity of the speech movements themselves and the different proportions of the vocal tract utilized in different individuals, the movements that create the sounds cannot be described with absolute precision, let alone prescribed in detail. The postures demanded for each segment should be regarded as an idealization of real speech movements, which are made differently by different individuals. What we learn in learning the pronunciation of the target language is a system of relationships among different sounds.

Traditionally, the focus of early stages of pronunciation teaching is the isolated phonemes. The consequence of this focus is that learners still do not pronounce correctly in words or sentences even if they have acquired those phonemes accurately in isolation. In fact, isolated sounds are abstraction, and in actual speech, sounds are produced in a continuous chain in which each individual sound is influenced by proceeding as well as subsequent movements. For example, in English the [-nasal] value of phonemic vowels is changed to [+nasal] phonetically through a spreading process when the vowels occur before nasals.

## 4. Conclusion

In order to learn English well, the second language learners should pay attention of the importance of the English pronunciation learning.

The factors mentioned above influencing Chinese students pronounce English, which is the first language interference by interference of mother tongue in learning English pronunciation, learners' age, attitude, psychological factor and prior pronunciation instruction and the learners' insufficient knowledge of phonology and phonetics to a large extent affecting the acquisition of the English pronunciation. On the other hand, the presentations of distinctions between Chinese and English phonological systems may raise our awareness of the differences of the two sound systems to avoid errors in pronunciation. Imitation, listening and speaking, Reading aloud are good suggestions for pronunciation improvement of English learners. Certainly, there's a long way for learners of English pronunciation to go.

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## The Effect of Three Test Methods on Reading Comprehension: An Experiment

Feng Liu

School of Foreign Languages, Qingdao University of Science and Technology

Qingdao 266061, China

Tel: 86-532-8895-8959 E-mail: liufeng7079@163.com

### Abstract

This study carries out an experiment to find out the effect of three test methods—multiple-choice questions, gap filling and short answer questions—on reading comprehension. It is found that the three test methods have a significant effect on reading comprehension, gap filling is the most difficult, while multiple-choice questions and short answer questions are easier. Both the low-proficient and high-proficient students are affected by test method, there is no interaction effect. It is also found that it takes the longest time to complete short answer questions and the shortest time to complete multiple-choice questions.

**Keywords:** Test method, Language proficiency, Reading comprehension

### 1. Literature Review

Many researchers have done a lot of studies on the effect of test methods on test performances. Bachman (1990) presents a framework for characterizing the facets of test methods that affect performance on language tests. These facets can be grouped into five sets: (1) the testing environment, (2) the test rubric, (3) the nature of the input the test taker receives, (4) the nature of the expected response, and (5) the relationship between input and response. He argues that test performance is affected by the characteristics of the method used to elicit test performance, and that constructed response types are generally more difficult than selected response types.

Shohamy (1984) found that test methods influenced how readers performed on a test of reading comprehension, and that multiple-choice questions were easier than open questions, and the effect was stronger on low-proficient readers. Wolf (1993) carried out a similar experiment, he also concluded that multiple-choice questions were easier than open-ended questions.

Samson (1983) used multiple-choice questions, open-ended questions, and summary tests in a reading comprehension test. The results showed there was no significant difference among the three test methods, so she concluded that the three test methods all tested the same ability or trait of the subjects. But she did find that multiple-choice questions were the easiest, and summary test the most difficult.

In China, much research has been done on testing reading comprehension. Chen & Cao (1999) argue that short answer questions are more effective than multiple-choice questions in testing reading comprehension.

Liu (1998) used multiple-choice questions, true or false questions and short answer questions in his reading comprehension test. The results showed that test methods affected the subjects' performance on reading comprehension tests, and that high-proficient students were more easily affected than low-proficient students. There were significant differences among the scores elicited by the three different test methods, short answer questions were the most difficult.

However, using the same three test methods in a reading comprehension test, Sun (2001) drew different conclusions. Sun did her test on Grade Two Junior Middle School students (Note that Liu's subjects were Grade Three English majors in university), she found that there were no significant differences among the three test methods.

In China, multiple-choice questions, gap filling, and short answer questions are widely used in many large-scale English tests, such as CET-4, CET-6, TEM-4 and TEM-8. Though the term "cloze" is used in the CET tests, for the reasons presented in Chapter 3, the so-called cloze tests in CET should be labeled gap filling tests. As discussed above, there are no conclusive ideas about the effect of test methods on reading comprehension.

## 2. Methodology

### 2.1 Research Questions

(1) Are there any significant differences among the reading comprehension scores measured by the three test methods (i.e. multiple-choice questions, gap filling, and short answer questions)?

(2) Is the effect of test methods affected by language proficiency or is there an interaction effect between test method and language proficiency?

### 2.2 Subjects

The subjects are 96 Grade-two English majors selected randomly from six classes in the English Department, Qingdao University of Science and Technology (There are seven classes in Grade Three, with about 30 students in each class. One class has taken the pilot test).

The ninety-six students are assigned randomly to three test groups, Test Group One, Test Group Two, and Test Group Three, each group with 32 students. Based on the students' final English exam scores, each test group is divided into two sub-groups: the high-proficient group and the low-proficient group.

The one-way ANOVA of the final English exam scores shows that there are no significant differences among the three test groups ( $F=20.75$   $p < .01$ ).

### 2.3 Instrument

#### Research tools

Three different test papers are used in the experiment, all of them contain the same four reading passages. Several days before the formal experiment, a pilot test is done. One class is selected from the seven Grade-three classes, and then the students are divided into three groups and are given the three test papers separately. After the pilot test, modifications and changes are made in Paper Two and Paper Three where necessary. Paper One remains unchanged as all the passages and multiple-choice questions are taken from the original CET-4 test papers.

In Paper One, the four reading passages and the five multiple-choice questions after each passage are taken from CET-4 examination papers. Paper Two contains the same four passages, and there are fifteen blanks in each passage (the blanks are created by deleting the original words selectively). For each blank, there are four choices after the passage. In Paper Three, each of the four passages is followed by five questions or incomplete statements, which are converted from the multiple-choice questions in Paper One.

#### Variables

Independent variable: test method

Dependent variable: reading test scores

Moderator variable: language proficiency

The statistical package SPSS 11.0 for windows is used to analyze the data in this experiment.

### 2.4. Procedures

This experiment is done about one week after the TEM-4 test. Paper One is given to Test Group One, Paper Two is given to Test Group Two, and Paper Three to Test Group Three. All the three test groups take the test at the same time.

In Paper one, two marks are given for every correct answer, and zero if wrong, the total score is 40. In Paper Two, one mark is given for every right answer, and zero if wrong, so the total is 60 (raw score), the students' raw scores in Paper Two are converted into the final reported scores by multiplying 2/3. All the scores of Paper Two mentioned below are the converted scores. In Paper Three, a mark from zero to two is given to each answer, depending on the ideas and meaning provided by the students. Grammatical errors and misspellings are not considered as long as they don't affect understanding. The total score is also 40.

According to Wood (1993), the correlation between the marks awarded to the same script by the same examiner on two different occasions is usually greater than that between different markers. Therefore, the students' answers in Paper Three are marked by the same rater (the author in this case) twice. The average score for each item is calculated, which is the student's final score. In marking, the rater writes his marks on a separate piece of paper, not on the answer sheet, to avoid any interference.

## 3 Results

### 3.1 Reliability and Validity

Reliability is one of the main criteria when assessing a test. Kuder-Richardson formula 21 and Cronbach's alpha are used here to assess the three test papers. The results show that the three tests are reliable:

**Insert Table 1 About Here****Insert Table 2 About Here**

The concurrent validity of the three test papers is also computed. The subjects' scores in this experiment are compared with their scores on the reading part in TEM-4. The results show that the three test papers have high concurrent validity:

**Insert Table 3 About Here***3.2 The Difficulty of the Test*

Table 4 displays the mean scores and standard deviations of the three test papers. It shows that gap filling has the lowest mean score (25.503), i.e. it is the most difficult of the three test methods, while multiple-choice questions and short answer questions are roughly at the same difficulty level (28.938 and 29.287 respectively). At the same time, multiple-choice questions has the highest standard deviation (4.7379), which indicates that the scores are more widely spread.

**Insert Table 4 About Here***3.3 The Effect of Test Methods*

Table 5 shows that test methods have a significant effect on test scores, there are significant differences among the scores elicited by the three test methods ( $F=16.021$   $p<.01$ ), but it doesn't tell which method differs from which.

**Insert Table 5 About Here**

Table 6 gives a detailed analysis of the method effect (As there are equal subjects in each test group, Tukey HSD is more appropriate). It can be seen that gap filling is significantly different from the other two methods, while there is no significant difference between multiple-choice questions and short answer questions.

**Insert Table 6 About Here**

The effect of test methods can be more easily shown in Table 7. In the subset columns, the factor levels that do not have significantly different effects are displayed in the same column. In this case, the first column contains gap filling, and the second column contains multiple-choice questions and short answer questions.

**Insert Table 7 About Here***3.4 The Effect of Language Proficiency*

As described earlier, each test group is divided into a high-proficient group and a low-proficient group. According to Table 4, in each test group, the mean score of the high-proficient group is higher than that of the low-proficient group. Table 5 shows that the scores are significantly different ( $F=47.084$   $p<.01$ ).

*3.5 The Interaction Effect*

If we look at Table 8, we find that there might be no interaction effect, as all the scores in each test group follow the same pattern (the mean score of the high-proficient group is higher than that of the low-proficient group by about 4 or 5 marks).

There are two parallel lines in Figure 1, this shows that there is no interaction effect.

**Insert Figure 1 About Here**

And this is further confirmed in Table 5 ( $F=.048$   $p>.05$ ).

**4. Discussions**

As can be seen from the results, different test methods affect students' scores in reading comprehension. Gap filling test is the most difficult, while multiple-choice questions and short answer questions are easier. Both the high-proficient and the low-proficient students are affected by the test method, there are no interaction effects.

In this gap filling test, the students are asked to choose the correct answer from four options provided by the test constructor. The mean score of gap filling (25.503) is significantly lower than that of the multiple-choice questions and short answer questions (28.938 and 29.287 respectively). In a gap filling test, the words are not deleted mechanically, but are deleted on the basis of the test constructor's rational and subjective judgement.

Numerous research has been done on cloze tests, in which the deletions are made mechanically, from every fifth to eleventh word. Research has shown that cloze test is a reliable and valid test of reading ability as well as overall language ability. However, many people doubt that it can test reading comprehension at a higher level, since it seems to test reading comprehension only at a sentence level. Many cloze items are not constrained by the context above the sentence, but by the immediately adjacent words or phrases. Some researchers (e.g. Alderson, 1978, cited in Weir, 1990) even claim that cloze is essentially sentence bound.

Gap filling test is not without this problem. The two examples below are taken from the original "cloze" test in CET-4

(January, 2002):

...sitting in the theatre I had to look through the 72 between the two tall heads in front of me. ...I just heard the 81 of the popcorn crunching between my teeth...

72 A) crack      B) opening      C) break      D) blank

81 A) tone      B) voice      C) sound      D) rhythm

These two items can be answered without referring to the rest part of the passage as long as the reader understands the two sentences.

Sometimes even if students understand the main ideas of a passage, they are still unable to answer some items which are based on vocabulary differentiation, this may account for the low mean score of the gap filling test in this experiment. One day after the experiment, several students who have taken the gap filling test are asked for an interview. They say that although they can understand the main ideas of the passages, they still find it difficult to complete some of the items. Most of them give the following example to show that even they know the meaning of the sentence they still can't make the correct choice:

...Shrinking land 11 and rising costs for burying and burning rubbish are ...

11 A) room      B) place      C) space      D) spot

Multiple-choice questions and short answer questions are considered to be qualitatively different by many language constructors. Many believe that multiple-choice questions test only recognition knowledge. Students may get an item right even if they don't understand it, while in short answer questions, students have to understand the text before they can correctly answer the questions.

In this experiment, the multiple-choice questions and the short answer questions have nearly the same mean scores (28.938 and 29.287 respectively). Contrary to the intuitive thinking, short answer questions are not necessarily harder than multiple-choice questions. This may be due to the fact that in a multiple-choice test, candidates are presented with four choices, but they might have not thought of some of the choices. Candidates have to make a choice among the four options, sometimes this may make the task difficult. In short answer question tests, candidates usually can answer the question correctly if they understand the text.

There is also the factor of guessing in multiple-choice questions, so a high-proficient student might get a higher score than would otherwise in the other two methods (not all the high-proficient students), similarly a low-proficient student might get a lower score than would otherwise in the other two methods (not all the low-proficient students). In this experiment, the highest score (36) and the lowest score (18) all appear in the multiple-choice question test. Due to this fact, the multiple-choice test has a higher standard deviation (4.7379) than gap filling (2.8098) and short answer questions (2.8827).

In this experiment, it is found that it takes the longest time to complete short answer questions and the shortest time to complete multiple-choice questions. In short answer questions, the students first need to understand the text, they spend most of the time reading the text, then they write down their answers, while what the students need to do in multiple-choice questions is to choose one answer, they focus more on the provided options. In making the choice, some test-taking strategies or skills, such as guessing, deduction, also play a part.

This study shows that the three test methods have a significant effect on reading comprehension test scores, both the high-proficient and low-proficient students are affected by this effect. In large-scale tests, multiple-choice questions are widely used because they can be marked reliably and economically, but at least this kind of test lacks face validity. Short answer questions are less widely used in reading comprehension tests, critics say it's hard to achieve high rater reliability and marking is not economical, especially in China with millions of candidates taking a test. But as is shown in this experiment and as is indicated by many others (e.g. Heaton, 1988), high rater reliability is still possible.

But just as Alderson (2000) notes, it is inadequate to measure the understanding of text by only one method, and that objective methods can be supplemented by more subjective evaluation techniques. Good reading tests are likely to employ a number of different methods. Given the monopoly position of multiple-choice questions in reading comprehension tests particularly in China, it is hoped that the understanding of the test method effect will help improve this.

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Table 1. Internal Consistency

KR-21		Cronbach's alpha
Paper One (multiple-choice questions)	Paper Two (gap filling)	Paper Three (short answer questions)
.89	.81	.83

The intra-rater reliability of Paper Three is also calculated. Table 2 shows that the rating is reliable ( $r = .948$   $p < .01$ ).

Table 2. Intra-rater Reliability

		first rating	second rating
first rating	Pearson Correlation	1	.948**
	Sig. (2-tailed)	.	.000
	N	32	32
second rating	Pearson Correlation	.948**	1
	Sig. (2-tailed)	.000	.
	N	32	32

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

Table 3. Concurrent Validity

Test paper	Pearson validity correlation coefficient
Paper One (multiple-choice questions)	$r = .81$ $p < .01$
Paper Two (gap filling)	$r = .76$ $p < .01$
Paper Three (short answer questions)	$r = .75$ $p < .01$

Table 4. Mean Score and Standard Deviation

Dependent Variable: test scores

test method	language proficiency	Mean	Std. Deviation	N
multiple-choice questions	high	31.125	3.3441	16
	low	26.750	5.0000	16
	Total	28.938	4.7379	32
gap filling	high	27.463	1.6260	16
	low	23.544	2.3415	16
	Total	25.503	2.8098	32
short answer questions	high	31.350	1.2469	16
	low	27.225	2.5583	16
	Total	29.287	2.8827	32
Total	high	29.979	2.8552	48
	low	25.840	3.8141	48
	Total	27.909	3.9445	96

Table 5. Two-way ANOVA

Dependent Variable: test scores

Source	Type III Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Corrected Model	691.985 <sup>a</sup>	5	138.397	15.844	.000	.468
Intercept	74777.588	1	74777.588	8560.828	.000	.990
METHOD	279.882	2	139.941	16.021	.000	.263
PROFICIE	411.268	1	411.268	47.084	.000	.343
METHOD * PROFICIE	.835	2	.418	.048	.953	.001
Error	786.137	90	8.735			
Total	76255.710	96				
Corrected Total	1478.122	95				

a. R Squared = .468 (Adjusted R Squared = .439)

Table 6. Multiple Comparisons

Dependent Variable: test scores

(I) test method	(J) test method	Mean Difference (I-J)	Std. Error	Sig.	95% Confidence Interval		
					Lower Bound	Upper Bound	
Tukey HSD	multiple-choice questions	gap filling	3.434*	.7389	.000	1.674	5.195
		short answer questions	-.350	.7389	.884	-2.111	1.411
	gap filling	multiple-choice questions	-3.434*	.7389	.000	-5.195	-1.674
		short answer questions	-3.784*	.7389	.000	-5.545	-2.024
	short answer questions	multiple-choice questions	.350	.7389	.884	-1.411	2.111
		gap filling	3.784*	.7389	.000	2.024	5.545
Tamhane	multiple-choice questions	gap filling	3.434*	.9738	.003	1.030	5.839
		short answer questions	-.350	.9804	.979	-2.770	2.070
	gap filling	multiple-choice questions	-3.434*	.9738	.003	-5.839	-1.030
		short answer questions	-3.784*	.7116	.000	-5.531	-2.038
	short answer questions	multiple-choice questions	.350	.9804	.979	-2.070	2.770
		gap filling	3.784*	.7116	.000	2.038	5.531

Based on observed means.

\*. The mean difference is significant at the .05 level.

Table 7. Homogenous Subsets

test method	N	Subset	
		1	2
Tukey HSD <sup>a, b</sup> gap filling	32	25.503	
multiple-choice questions	32		28.938
short answer questions	32		29.287
Sig.		1.000	.884

Means for groups in homogeneous subsets are displayed.

Based on Type III Sum of Squares

The error term is Mean Square(Error) = 8.735.

a. Uses Harmonic Mean Sample Size = 32.000.

b. Alpha = .05.

Table 8. Mean Score Pattern

Dependent Variable: test scores

test method	language proficiency	Mean	Std. Error	95% Confidence Interval	
				Lower Bound	Upper Bound
multiple-choice questions	high	31.125	.739	29.657	32.593
	low	26.750	.739	25.282	28.218
gap filling	high	27.463	.739	25.995	28.930
	low	23.544	.739	22.076	25.012
short answer questions	high	31.350	.739	29.882	32.818
	low	27.225	.739	25.757	28.693

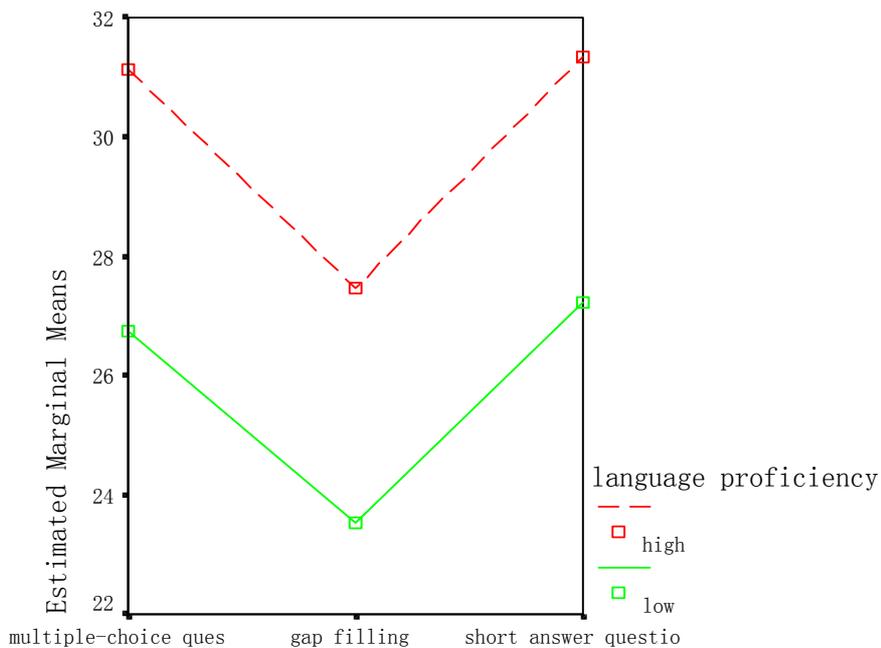


Figure 1. Profile Plot



## Cultural Differences of Politeness in English and Chinese

Lu Yin

Foreign Language Department, Hebei Polytechnic University

Tangshan 063000, Hebei, China

Tel: 86-315-229-8170 E-mail: wxx\_1015@126.com

### Abstract

Politeness, as a universal phenomenon in society, is a reflection of specific cultural values, which can be observed in all languages and cultures. This thesis attempts to make a comparative study of politeness behavior between English and Chinese on the contrastive analyses on such linguistic behaviors as addressing, greeting, complimenting. Owing to different beliefs and values, and different cultural backgrounds, these cultural differences of politeness are of great importance in cross-cultural communication. Therefore, in language class, such differences, especially those concerning the basic aspects of daily life, should be introduced to students, and this can be done in different activities effectively and efficiently.

**Keywords:** Politeness, Cultural differences, Intercultural communication

### 1. Introduction

For a long period of time, the focus of EFL class in China has been on grammatical knowledge and vocabulary. There has been great neglect about the teaching of using the foreign language appropriately. As a result, students are engaged in specific lexical and grammatical items, far from being equipped with sufficient knowledge, or rather, competence to communicate. However, the ability to communicate with native speakers is far more than to know the English grammatical system. Cultural differences are one of the main causes that give rise to pragmatic failures. Many teachers and linguists have realized the importance of cultural teaching and there is no way to avoid teaching culture when teaching language (Hinkel, 1990).

As a universal phenomenon in all societies, politeness is what people of different cultural backgrounds all try to observe for the purpose of increasing communicative competence. Being an important element in intercultural communication, politeness helps establish, maintain or consolidate harmonious interpersonal relationships, and reduces conflicts and misunderstandings. Therefore, principles of politeness in different cultures should be realized by students. This thesis intends to discuss the exhibition of cultural differences on politeness to help Chinese learners have a better understanding of different principles of politeness in English. Besides, this paper is to explore efficient means to teach students to use English in the polite way in order to communicate effectively and efficiently.

The present thesis is composed of five parts. Part 1 is an introduction to the thesis. Part 2 is a contrastive analysis of politeness in English and Chinese manifested in everyday conversation concerning addressing, greeting, complimenting.

### 2. Cultural Differences of Politeness between English and Chinese

Cultural differences in everyday conversation refer to the differences in habits and rules in communication between different cultures (Liang Jinghong, 2005). Customs are influenced and shaped by the beliefs and values of people in a certain community. People are brought up in community and they are so accustomed to their ways of doing things that they cannot accept different actions for achieving the same goal. Therefore, in this part, differences of politeness such as addressing, greeting, complimenting between English and Chinese are to be discussed.

#### 2.1 Addressing

In English, people are usually addressed according to the gender: Mr. (for adult males), Mrs. (for married women), Miss (for unmarried women), Ms. (for women whose marital status is unknown) with surname, while in Chinese people are

addressed by surname with title or occupation such as “wang xiao zhang” (Principal Wang) and “li yi sheng” (Doctor Li). Sometimes the two terms “tong zhi” (comrade) and “shi fu” (master) can be used independently to address strangers or together with surnames to address acquaintances.

In Chinese, children usually use “shushu” (uncle), “a yi” (aunt) to address adults. There are no equivalent addresses in English. To address strangers, English speakers sometimes use “sir” or “madam”.

The kinship terms are used both in English and Chinese. Terms of family relationships are only used for relatives in English. But in Chinese, they are not only used for relatives, but also for non-relatives. In addition, kinship terms in Chinese are more complicated than those in English. In Chinese, “da bo” (eldest brother of father), “er jie” (second elder sister), “san ge” (third elder brother) are often used, while in English, “sister”, “uncle”, “grandma” are used alone or even before their first names.

## 2.2 Greeting and Farewell

Important as greetings are in daily lives, they are not conducted in the same way in different cultures. In English, when people meet each other for the first time, they usually say “How do you do?” and “Nice to meet you!” In Chinese, “ni hao” is used instead. When westerners meet an acquaintance, they often greet each other with “Hello”, “Hi”, or “How are you?” But a Chinese will say “chi le ma?” (Have you eaten?), “qu na li ?” (Where are you going?). When a native English speaker hears these sentences, he or she may interpret it as an invitation to dinner or interference in his or her personal affairs. So when interacting with foreigners, Chinese should avoid such greetings. In English, the common ways of greeting are “Good morning”, “Good afternoon”, “Good evening”, “Hi”, “Hello”, “How are you?”, and “How is everything going?”. What’s more, the English people like to begin their conversation by talking about the weather, like “What a lovely day!” “A bad day, isn’t it?”

When acquaintances part, the English people may say “Goodbye”, “See you”, “So long” and “Good luck”. Differently, in Chinese, when a guest leaves, the host will show the guest to the door and say “man zou” (Walk slowly.), “zou hao” (Take care.), or “yi lu shun feng” (Have a nice trip.). But none of these can be directly translated into English.

## 2.3 Compliments and Responses

It’s common for people to exchange compliments both in English speaking countries and in China. Expressions such as “hen hao, bu cuo, hen bang” in Chinese are often used, which mean “great, good, terrific” in English. However, there do exist some cultural differences in compliments between English and Chinese. One difference lies in who can be complimented. It is usual for an American woman to praise her husband, talking about how hard he works and how well he has done. She might do the same about a son or a daughter of hers. In the English-speaking countries, one can praise one’s family members. But we Chinese people seldom compliment our family members in front of others. The Chinese are polite rather than honest while the westerners tend to be frank and direct. The other difference lies in what can be complimented. It is quite common for a male English speaker to compliment females on her good looks. But in China, praising a man on his wife’s looks will be regarded as indecent, and even a taboo.

When responding to compliments, westerners tend to accept the compliments naturally by saying “Thank you!” In contrast, Chinese generally murmur something implying that he or she is not worthy of the praise in order to show modesty, because modesty is considered as a kind of traditional virtue. In China, modesty is the best policy, but to westerners, honesty is the best policy (Luo Ningxia, 2000).

## 2.4 Apologies

Both Chinese and English have expressions for apologies. For example, there are “dui bu qi”, “bao qian”, “hen yi han” in Chinese and “I am sorry”, and “Excuse me” in English. But generally speaking, English speakers apologize more often than the Chinese people by saying “Excuse me” preceding a request or an interruption. When they want to push their way out of the crowd, leave a dinning table to the toilet, stop a stranger to ask for direction, and even when they need to answer the phone, they would usually say this. But in China, “dui bu qi”, “hen yi han” are very often used only when they feel sympathetic or when they need to bother others. In English, “Excuse me” can also be heard when someone sneezes or hiccups. This is quite different from Chinese culture.

## 2.5 Taboos

Taboo expressions exist in nearly all cultures, and inappropriate use of taboo language will cause obstacles in communication. Expressions concerning some phenomenon are considered as taboos in both Chinese and English cultures such as human’s excreta and death. But generally speaking, there are more taboos in English than in Chinese. English-speaking people place a higher value on privacy. Therefore, some topics would be considered as privacy and it is impolite to mention these topics. For instance, asking others about age, especially a woman’s age, is regarded as impolite in western cultures. Besides age, other topics such as income, marital status, and religion are also sensitive topics which may likely cause offense. Chinese sometimes talk about health and express their concern by giving some advice such as “Have a rest.”, “Put on more clothes and drink more water.” However, English speakers will feel

uncomfortable on hearing these words. According to English culture, they are independent adults and are supposed to be able to take care of themselves. Such expressions as “Put on more clothes” seem to deny their ability of taking care of themselves. On this occasion, expressions such as “Look after yourself.”, “Hope you will be better soon.” sound better to them.

### 3. Conclusion

Politeness is what people of different cultural backgrounds all try to observe and maintain. This thesis makes a study of politeness in the EFL classroom by analyzing different linguistic behaviors of politeness between English and Chinese based on various politeness theories. This paper holds the view that politeness indicates different meanings in different cultures. It is hoped that English learners will attach great importance to the communicative functions of the target language so that they will realize the importance of using polite language appropriately, and then their pragmatic competence of target language will be greatly improved.

This paper does not aim to cover all aspects of politeness in EFL teaching. Its ideas and arguments are far from mature. But it is our sincere hope that through a careful study of politeness in FL classroom, we can achieve a more effective teaching and improve students’ communicative competence.

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## Paradox of the Sense of Time

Suna Luo

English Language College of Qingdao University of Science & Technology

69 Songling Road, Laoshan District, Qingdao 266061, China

E-mail: suna-luo@hotmail.com

### Abstract

In a study of *Gatsby* it is found that "time" is the trigger to reveal the myth of *Gatsby*. This paper aims to explain how time figures itself as a paradox in the greater context of the novel. Time, in its most general lexical meaning, is a continuous measurable condition from the past through the present and into the future. In *Gatsby*, Fitzgerald evokes a feeling of restlessness of time, which leaves the main character in a state where divisions between periods of time are so vague as if past, present and future were congealed into one condition. Concurrent with this condition, Fitzgerald treats time with the effect of simultaneous detachment and involvement. Through Fitzgerald's manipulation of time, the reader can see a mysterious connection between Gatsby, the protagonist of the story and Nick Carraway, the narrator of the story. Gatsby's story, the core of which is to bring the past into the future, has parallels to Carraway's experience. With not fewer combinations of opposing ideas and facts, the novel is distinguished with conflicts and paradoxes, which is based upon the concept of time, suggesting some intricate themes.

**Keywords:** Gatsby, Paradox, Sense of time

The sense of time, which the advanced Western countries have been involved with since the Renaissance period, is considered as a distinctive feature in the twentieth-century literature.<sup>12</sup> Ricardo J. Quinones, in *Mapping Literary Modernism*, makes a profound study of the literary flowing of the age, whose historical center of gravity extends from 1900 to 1940, the decade prior to World War I into the early years of World War II. Quinones charts Modernism's departure, which is the "time-complex" inherited from the Renaissance, and traces its course of development. He records the "given" of the Modernist's time and their experience, and points out its destination, which is "something of a pullback, / a revived sense of the reality of history, of the event and of time itself" (Quinones, 1985, pp. 9-11). Quinones' research provides us with appropriate footnotes to *The Great Gatsby* as well as to any other works of the "high" Modernists.

As with other Modernists, a kind of double dialectic operates in Fitzgerald whereby sets of terms receive twofold evaluations. *Gatsby's* sense of time is as acute as it is ambiguous. By means of dualizing the versions of time and morality—the center of gravity of the novel—Fitzgerald experienced a transformation of recapture of the past into the transcendental discovery of realities of the present. Paradox of time is effected through an objective depiction of the scenes and a subjective initiative embedded in the characters' view of time.

### 1. A state in flux and in stagnancy

To heighten the consciousness of time, Gatsby presents a sense of continual, restless movement of time. Fitzgerald makes a fragmented arrangement of time in *Gatsby's* structural narrative. Nick Carraway comes East in the spring of 1922 and finds "great bursts of leaves growing on the trees, just as things grow in fast movies" (Fitzgerald, Penguin Books, 1950, p.10). Time seems accelerated. The scenes, in which are set the principal backgrounds of the three distinctly separate social spheres, move quickly through the three opening chapters: Nick's social call by his cousin Daisy's invitation, where he meets Jordan Baker, a charming girl rumored to have been a golf champion with dishonesty; Nick's observation of the valley of ashes from where the omniscient blind eyes are brooding over, which is a transition from great wealth to bare subsistence; and Nick's experience at one of the fabulous parties given by his neighbor Great Gatsby. Nick narrates the story of Gatsby with time moving forward like movies, suggesting only a vague vision of Gatsby. At the Plaza Hotel in Chapter IV, the forward movement of time is interrupted by a brief change of narrators and a dropping back in time, as Jordan Baker relates the events of October 1917, when she witnessed a fragment of the affair between Daisy and Gatsby. Then pass the scenes where Gatsby reunites with Daisy, with whom he had been in love in 1917 before her marriage with Buchanan; where Gatsby gives a show-off party that Daisy and her rich and burly

husband Tom attend; where the car is driving towards death. Each scene seems like a peak of a wave and in between the scenes there is a flash-back, a narration of the past that appears like a valley between waves. After the reunion is Nick's narrative of Gatsby's notoriety; the story of James Gatz's past spread around by those who have accepted his hospitality. After that beautiful but garish party, Nick narrates Gatsby's recall of Louisville and an autumn night when Daisy becomes the embodiment of his naive dream. The death of Myrtle, who is Tom's mistress, is followed by a retelling of Gatsby's first meeting with Daisy. Waves follow valleys, valleys follow waves and there in forms the continual movement of time. The continual agitated motion of the sea is an apt metaphor for the unsettled and restless nature of their society.

The continual movement of time can be felt not only in its structural connection but in some particulars as well. Robert Emmet Long calls it "the miniaturized effect" (Long, 1979, 140) in his study of *Gatsby*. Using the miniaturized effect, Fitzgerald reinforces the sense of movement. At Gatsby's first party, a large orchestra plays Tostoff's "Jazz History of the World". In this "tossed-off" scrambling of time and experience, "the medium of existence is motion" (*Ibid*) A guest list in chapter IV is another example. The list is written down by Nick on the empty spaces of a time-table. "It is an old time-table now, disintegrating at its folds, and headed 'This schedule in effect July 5th, 1922'." The names suggest almost no personal distinctness—all cacophony and oddity — as ephemeral as time itself. Another particular that reacts the unsettled and restless nature of the time further is an attention to vehicles throughout the novel. Hydroplanes, yachts, sailboats, ocean liners, automobiles, commuter and continental trains help create the idea of movement of time and motion. Even the clothes Tom wears (riding clothes) are associated with movement. That many of the characters are identified with their cars only reinforces this idea.

The continual movement is absolute and the way in which it flows is also absolute. Everything, except dreams, is surely bound by time. Time flows in one-way without turning back just as we cannot unscramble an omelet or burned wood. Nick knows this law of nature clearly. "You can't repeat the past," he warns Gatsby. Robert Lan Scott expresses the phenomenon with the second law of thermodynamics. The law observes that entropy, the measure of the unavailability or disorganization, is increased by any transport of heat within the system (OED, *entropy*) or in Scott's words, "entropy increases as time goes by." Scott finds that the law is made concrete in *Gatsby*. He illustrates that *Gatsby* proves in three ways that those who want to save hopeful moments and chances now lost in flowing time from entropy of confusion, death can only get entropy (Scott, 1975, pp.81-82). Time's one-way flow is irreversible. Money and dreams are not enough to alter it.

*The Great Gatsby's* world is built like Gatsby's boat-like house in a circumstance of continual, restless movement of time, nevertheless, its inhabitant does not seem to develop with the flow. Fitzgerald takes pride in recording his generation, his society, his time, which is the synthesis of unsettledness, restlessness and vitality, but he constructs a halt in time's movement that stops the character and confines it to the time passed. In the aspect of time, *Gatsby's* another side of the dualized vision is a static state of time parallel to the state in flux. In the scene of Gatsby's reunion with Daisy, Ewing Klipspringer plays the hit tunes of "The Love Nest" and "Ain't We Got Fun?" on piano and the words in the latter: "In the meantime / In between time—" (102; *ch.V*), suggest an emptiness in time. The past is revealed like dreams in fragmented narratives and the present is exposed as a vulgar reality. Then, what is that in-between time? There appears a hole of five years in time's continual movement and Gatsby remains in that hole, the static state between the very start point and time now. It is static, because it does not seem that the five years belong to the continual movement of time which the nature of the book has presented. Man cannot stop time, but man can cut time off. The cut-off of that five years disappears from Gatsby's social life and becomes a separated water in which the unknown young man keeps a part of the past for himself. Fitzgerald doesn't permit the narrators to describe that mysterious part of Gatsby's life. He intends to make those five years a vacuity that traps the main character: The past is extending to the present and time now seems to melt into five-years-ago, with those five years somehow deleted.

Another fact is that time in flux breaks bounds of the sun and the moon, constringing the past and present, night and day into one state. When Gatsby first encounters Daisy at Nick's house, they are so nervous as to be stiff. "Luckily the clock took this moment to tilt dangerously at the pressure of his head, whereupon he turned and caught it with trembling fingers and set it back in place" (93; *ch.V*), as if their meeting sets the clock back to the time when Gatsby possessed Daisy five years ago. "It's an old clock, I told them idiotically. I think we all believed for a moment that it had smashed in pieces on the floor" (93; *ch.V*). Nick announces a moment in stagnancy, not as a recapture of the past but as a repeat or a stretch of that, since it is still that "old clock". When they imagine that the clock, which has recorded the old time, is smashed into pieces, so is the hole of five years. The situation is that as if momentary time stood still. Kenneth Eble has noticed the static state is based on time confusion. He says that Chapter V, being at the center of the novel, "is the most static in the book.... Gatsby holds past and present together" (Eble, 1964, p.323). Time confusion arouses, so does nature's order. Some critics point out that Daisy is allied with Day. For instance, Stallman exemplifies Daisy's identity with day and sunshine in his another essay that demonstrates Gatsby's time theme (Stallman, 1955, pp.59-62). Daisy rejects the four candles prematurely lighted when sunset glows upon Buchanan's porch. At Myrtle's place, Tom smashes Myrtle's nose because she screams hysterically "Daisy! Daisy! Dai—" (43; *ch.II*). Daisy that represents Gatsby's dream

of beauty and wealth turns into Day, in opposition to Night when man dreams. Thus the circumstance confuses those who dream. To deliver further this paradoxical ambience to the novel, Nick mentions Gatsby's day-in-night parties where "the lights grow brighter as the earth lurches away from the sun" (46; *ch.II*). Gatsby is often seen and imagined by Nick to be left in the moonlight: Gatsby's emotional and intellectual state.

Gatsby's story achieves the form of intellectual intensity, the result of the radical movement of time. The scenes change so fast like movies, but the characters are not developed. They are relatively ideographical figures in the time flow. Not only is Gatsby treated as a vague figure who grows only in the understanding of the narrator, but others as well are treated "as if they were ideographs" (Trilling, 1945, p.20). Using this method of economy, Fitzgerald delivers the wealthy and brutal Tom, surprisingly haunted by his "scientific" vision of the doom of civilization, the dim Wolfsheim, the man who fixed the World Series of 1919, and the "valley of ashes" surveyed by the eyes of the oculist's advertising sign. Most of all, the method casts an air of mystery over Gatsby.

The paradoxical conditions of time presented in temporal time and spatial time, time in flux and in stagnancy, serve as an objectivity well equipped for the subjective consciousness of time. In face of confused time, the characters are provided with a subjective initiative to deal with time.

## 2. An effect of simultaneous involvement and detachment

Having absorbed nourishment from Modernists, Fitzgerald is labeled as the spokesman of the time. His sense of time-complex commits *Gatsby* to time, meanwhile his historical consciousness functions to search after timelessness, a transcendence over the spatial time. Trying to hold the two together, Fitzgerald treats time with a paradoxical effect of simultaneous involvement and detachment.

There is an inescapable sense of time permeated in the novel. Nick, whose narratives vein Gatsby's story, is wary of emotional expression, but haunted by the inevitability of time. Nick remembers that the Buchanans' party is held in early June, because Daisy refers to the longest day. He narrates that Myrtle's death happens in early September when it is too hot, and Henry C. Gatz comes to Gatsby's funeral. He tells us he leaves the East after shaking hands with Tom in late October. Nick represents the traditional moral of the American middle class. He needs regularity in his life. His schedule for the study of bond, his keeping the old clock, his writing of a list of the guests in Gatsby's party on a time-table, all these indicate Nick's dependence on time. It is significant that the old clock, on the edge of being broken by Gatsby, belongs to Nick. Nick is fated to continue committing himself to the clock, the "conscientious hour" (63; *ch.III*), though he is attracted by Gatsby's romantic dream. There is another schedule, which is made by young Gatz and has been preserved for sixteen years by his father. Stephen Matterson points out: Nick and Gatsby's father obey time, because they have recognized that time cannot be defeated and that they preserve what would otherwise be forgotten (Matterson, 1990, p.55). Yes, Nick and Henry Gatz obey time, while Gatsby disobeys time. But Gatsby also preserves the old thing—that old dream for five years. It is because there exists in these old things a promise for future. The old clock is associated with the regularity of the middle class. Nick possesses it because it gives him promise that he can retreat to his safe and comfortable middle West, where he wants "the world to be in uniform and at a sort of moral attention forever" (8; *ch.I*). When Gatsby's father shows Nick his son's schedule, he is proud that "Jimmy was bound to go ahead. He always had some resolves like this..." (180; *ch.IX*). Gatsby preserves his old romance, for the nature of his love transcends the object of that love and what really attracts him is a promise beyond that love. The reason why they preserve something old, something that would otherwise be forgotten is that some promise for future is held in them.

The Americans are frivolous—Fitzgerald shows it cynically. Everyone clutches at the small score of years, flowing with time of jazz and cocktails, which presented an American demeanor, youthful, frank, uncommitted and quick, with the extremes of high-spiritedness and glum disappointment. Everyone is restless, everyone is looking for fun—the post-war reactions. The Buchanans, with the sundials on their lawn, are absolutely obedient to time's passing. They and many uninvited guests at Gatsby's jazz-and-cocktail parties indulge themselves in every beautiful, youthful, joyful moment. They sometimes find themselves empty, but they do nothing, only waiting "for the longest day of the year and then miss it" (18; *ch.I*). Those who intend to rebel against clocks, like Gatsby, who had been obedient to time before he was taken to Daisy's house, and like Myrtle, who waited in Ash-Valley for ten years, are doomed to destruction.

For Gatsby, the past is more than the source of the present; it is the womb to conceive dreams for the future. Confusions with time make him fail to distinguish the future from the past. The past is immortal, that equals to the present, even to future. In Kermit W. Mover's words, "the future has become simply an avenue leading back to the past—or, more specifically, leading back to the glittering possibilities the past once seemed to offer" (Moyer, 1972, p.34) In spite of defying time's one-way flow, Gatsby is forced to mind time while confronting its realities.

'And she doesn't understand,' he said. 'She used to be able to understand. We'd sit for hours—'

He broke off and began to walk up and down a desolate path of fruit rinds and discarded favors and crushed flowers.

"I wouldn't ask too much of her," I ventured. "You can't repeat the past."

"Can't repeat the past?" he cried incredulously. "Why of course you can!"

He looked around him wildly, as if the past were lurking here in the shadow of this house, just out of reach of his hand (117; *ch. VI*).

He finds himself at a loss for Daisy's insensitiveness after those five years. Gatsby, nevertheless, always refuses to accept the fact that his early dreams are worthy of nothing. Daisy used to be an extraordinary "nice" girl, Nick judges, only because Gatsby "didn't realize just how extraordinary a 'nice' girl could be" (155; *ch. VIII*). Nick understands that Gatsby was betrayed by his illusions. Even at the very beginning what overwhelmed Gatsby was his awareness "of the youth and mystery that wealth imprisons and preserves, of the freshness of many clothes, and of Daisy, gleaming like silver, safe and proud above the hot struggles of the poor" (155-56; *ch. VIII*). Gatsby is eventually forced to accept the inevitability of time. His involvement in time differs from that of Nick. Nick is involved in the routine of time, the principals of time. While Gatsby, being forced to care about time, is involved in the lost five years which have become a gap dividing time into a promising past and a corrupt present. Gatsby tells Nick his consciousness of it.

"His life had been confused and disordered since then, but if he could once return to a certain starting place and go over it all slowly, he could find out what that thing was... " (117; *ch. VI*).

In order to reinstate the past in the future, Gatsby has arranged for five years. In imagination, he wants to recapture the past; in actuality, he desires to repeat the past. "I'm going to fix everything just the way it was before" (117; *ch. VI*). Gatsby says. Moyer gives a penetrating comment on the substance of Gatsby's quest: What he wants to recapture is not only Daisy, but the very Daisy "as she was five years ago, before she married Tom Buchanan" and "the ecstatic instant when she suddenly embodied for him all of life's wonder and possibility" (*ibid*).

In taking an attitude of involvement in time, Fitzgerald gives a consciousness of detachment from time. The effect is embodied in Nick's objective distance of time's movement and Gatsby's sense of timelessness. Nick, though he is the person who involves most in time, gives a relative point of view in his "within and without" position. Nick is "within and without, simultaneously enchanted and repelled by the inexhaustible variety of life" (42; *ch. II*). The ability to be both "within and without" qualifies him as a fair narrator. Critics such as Troy think it one of the great achievements of the novel:

But in *Gatsby* is achieved a dissociation, by which Fitzgerald was able to isolate one part of himself, the spectatorial or aesthetic, and also more intelligent and responsible ... from another part of himself ... (Troy, 1945, pp.189-90).

Nick's judgment is based on this ability. Being within, he gives an exhaustively revelatory account of the waste land, where the rich are uncommitted and careless, and the Wolfshiem's have made chances by every means. Being without, he discovers the spiritual ideal land, which is built on the waste land. Through dislocation of time in narrative, Nick, taking the place of god's eyes, observes mythic, immaterial Gatsby and humane, real Gatsby. His being distant about time's movement shows his realistic attitude to time.

As mentioned above, Gatsby is different from Nick. His attitude toward time is something like negativism in psychology, but like positivism in philosophy. Recognizing that time has changed Daisy—who used to, but now does not understand him—Gatsby utters the famous words quoted above, showing his anxiety about time, simultaneously suggesting his very denial of history. Gatsby is assigned to devote his life to the project of mending the clock, which he did in his childhood to make the most of time and continues in his youth to fix time and to reinstate the past in the present. The problem is time in between, during which there were things between Daisy and Tom that Gatsby would never know, during which Gatsby's life was confused, disordered and corrupted. That is why he wants that time to be wiped out forever, "Just tell him the truth—that you never loved him—and it's all wiped out forever" (138; *ch. VII*). There are multiple folds of paradox in Gatsby's vision of time. It lies in: Gatsby is involved in mending the clock and resetting it in that instant of the past, but this involvement leads to transcendentalism to neglect time and to deny history; his transcendentalism is revealed as a circle, since it seeks to recapture and freeze that moment in the past. However, by embracing the future. In mending the clock, Gatsby desires to transcend time and reality through recapturing the past and canceling out the present.

The effect of simultaneous involvement and detachment, allied with atmospherical conditions of time, constructs the intersection of timelessness and time, where man examines oneself and identifies a real self with a point of time. It is a process of rediscovery of the reality of self. Gatsby's main concern, like that of *The Waste Land*, "is to achieve a convincing portrayal of the self as it exists in the one moment of its present consciousness" (Lynen, 1969, p.345). The one moment of self's present consciousness means the reality of self, the human experience in limited spatial time that is a drop of the eternal time. *Gatsby* desires to find the real self through moral judgment, using the scale of time, the moment of an immediate present and that of a transcendental eternity.

Fitzgerald, announcing himself the spokesman for the Jazz Age, had a high sensitivity to time, especially to time passing, like the other Modernists. In *The Great Gatsby*, which is deeply concerned with time, we feel Fitzgerald's desire to discover human worth adequate to his time. Confronting all the confusions as the aftermath of the war, the

author was in a dilemma whether to identify himself with the present when human worth is measured by wealth, or to preserve the traditional value which represents the past. The conflict between the past and the present, and between the reality and the ideal reflects Fitzgerald's outlook of the world, which is a contradiction between romanticism and cynical realism. Fitzgerald tried to dissolve the contradiction by keeping in balance the two ideas, since he believed that "the test of a first-rate intelligence is the ability to hold two opposed ideas in the mind at the same time, and still retain the ability to function"(Fitzgerald, *Vol. III*, p.388)

As a proof of this ability, Fitzgerald succeeds in expressing a double-visioned self in *Gatsby* with honesty of imagination. In his introduction to the Modern Library edition of *The Great Gatsby* in 1934, Fitzgerald says that the easy judgment excised in *Gatsby* "had nothing to do with criticism but was simply an attempt on the part of men who had few chances of self-expression to express themselves" (Fitzgerald, 1934, pp.108-09), and that the expression is an intimate exploration of a young writer who has lived deeply in the world of imagination and has a pride akin to a soldier going into battle alone (*ibid*). Then in "The Crack-Up" of 1936, he writes:

I had a strong sudden instinct that I must be alone. I didn't want to see any people at all. I had seen so many people all my life—I was an average mixer, but more than average in a tendency to identify myself, my ideas, my destiny, with those of all classes that I came in contact with (*Fitzgerald, Vol. III*, p.390).

These are the expressions of the romantic egotism, which is so celebrated in his first novel, *This Side of Paradise*. But a more important fact is that there is a maturity in *Gatsby*, as he sees the limitation of the romantic egotism which, however, he remains faithful to. Holding two minds together in the same time, Fitzgerald expresses his romanticism through *Gatsby*, the hero breaking up the time's limit in order to find the self's identity in time; simultaneously, he lets Carraway, another aspect of himself, judge the material world with his cynical realism and measure *Gatsby's* conduct with a clear consciousness of time. *Gatsby*, as David Parker discovers, is depicted as the hero of the synthesis of the two types: "an idealist, loyal to some transcending object", but he is compelled by circumstances "to explore his own being, to discover, and perhaps to modify, his own identity"(David Parker, 1973, p.29). Carraway is another sort of hero, whose experience of morality is advanced as much as to discover a human value in time of sterility, and in the meantime, to retain the ever-present awareness of man's mortality.

To express the two opposed ideas in the same time, the man of the first-rate intelligence presents conflicts and paradoxes, which put a remarkable construction upon his view of life. Paradox of time gives the explanation for his ambivalence to time, which is a desire to escape from time, but also an attachment to it. In searching for a new moral style in time of uncertainty, he renders the paradoxical moral judgment through a self scrutiny and shows the paradoxical discovery as well. The capacity for romantic wonder, for faith, embodies a human value, which invests meaning in life. But, it is just the same qualities that blind man and divest man's life of meaning. Giving a revelation to the paradoxical relationship between love and wealth, he delivers his tragic sense through the witness of the tragic hero *Gatsby* whose pursuing illusions rooted in the past and self awareness of it evoke our pathos, but in terms of the tragic hero himself, it is the loss of the illusions that casts the tragic over the novel. From all the paradoxes of the concepts presented in *Gatsby*, the final paradox that *Gatsby's* self-destruction leads to his self-fulfillment, is realized by Carraway, in whom the real pathos resides.

Nietzsche had a famous saying, "Truth has never yet hung on the arm of an absolute". Living in a time of uncertainty when traditional beliefs and absolute standards have disintegrated, and give way to relativism, man has to search for a new set of values and make sure of his new identity with time. It is the impulse to discover an identity in eternities of time that tunes the theme song of *Gatsby*. Nevertheless, the great composition reaches a climax when *Gatsby's* failure of self-discovery realizes the fulfillment of Carraway's self-discovery. The new value Carraway discovers in *Gatsby* actually has its root in their old warm world. Carraway's discovery, which provides the whole story of *Gatsby* with a paradox, is concluded in the ending of the novel: not only the corrupt *Gatsby*, but the absurd *Gatsby* who desires to repeat the past as well, "turns out all right at the end" (8; *ch. I*), because "we beat on, boats against the current, borne back ceaselessly into the past" (187; *ch. IX*).

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## Brief Discussion on the Use of New Fabrics in Home Clothing Design

Chunna Li

College of Art and Apparel, Tianjin Polytechnic University

Tianjin 300387, China

E-mail: naande@sohu.com

Dali Ma

College of Art and Apparel, Tianjin Polytechnic University

Tianjin 300387, China

### Abstract

This paper discusses the relationship between fabrics and clothing and advances the fabric factor in home clothing design. Considering the specific characteristics of new fabrics, this paper analyzes the uses of new fabrics in home clothing design, aiming at promoting the use of new fabrics in home clothing. This paper serves as a reference and direction for home clothing design in a sense.

**Keywords:** New fabric, Home clothing, Color cotton, Bamboo fiber, Modal

Along with the development of the time, most citizens pursue for the quality of family life. Accompanied with this pursuit, home clothing keeps in changing. It shows a splendid future. Many fashion brands enter this field gradually. And home clothing tends to be more fashion. Modern apparel design theory agrees that fabric is an important element in apparel aesthetics. Apparel design, in a sense, is to develop the aesthetic characteristics of fabrics completely. Apparel development history also proves that the reform of materials usually brings about new chances and vitalities, causing the change of fashion and promoting the development of apparel industry. The home clothing design is not an exception. Therefore, to take advantage of fabrics turns into a weapon of home clothing design.

### 1. The relationship between apparel and fabric in apparel development

Pierre Cardin, who pursues for new clothing fabrics and new fashion, has said: "During the history development of apparel and textiles, there is always a closely associated relationship."

#### *1.1 The reform of apparel concept causes the update of clothing fabrics*

The improvement of clothing fabrics and the creative master is the key for apparel design. From the ancient time to now, as people change their apparel aesthetics, the clothing fabrics will be affected more or less. Japanese fashion designer Issey Miyake who has a unique eye toward apparel determines to get rid of restrictions from the western culture and explore new inspirations from the eastern culture. He firstly applies a fabric with tiny, ordered, and closely-pleated fabric to the design. The application of this fabric becomes the symbol of deconstruction fashion popular in the world. The apparel made of fabrics with pleats has a special appearance, which is fitting and loose, brightening all people's eyes. It soon becomes a symbol of people pursuing for freedom and coziness. From Issey Miyake's designs, we can notice not only the new thought of apparel design but also the changes of clothing fabrics caused by new apparel design idea.

#### *1.2 The appearance of new clothing fabrics drives the change of apparel style.*

The fast development of science and technology brings about unprecedented changes. Many countries develop new fibers based on the rich fiber resources. New textile fabrics appear frequently. Sorts of fabrics update the apparel, offering material bases and guaranty for the prosperity of apparel. Every excellent apparel designer pays attention to the latest change of clothing fabric, identifying and grasping the wider design spaces originated from new fabrics.

As the world famous Dupont produced the elastic fabrics with Lycra, the flexibility of fabrics has been improved greatly. In design, a fit tailoring will be more appreciated. Meanwhile, new assistant clothing fabrics impact the style of apparel to a great degree. The thinner and lighter fabrics are gradually changing traditional western apparel's strong appearance, becoming more soft and comfortable.

## **2. The fabric factor in home clothing design**

Due to the shortening of fashion cycle, the improvement of science and technology, and the severe competition between industries, clothing fabrics tend to be more colorful, which offers a wide space for designers. The primary precondition for home clothing is the comfort. It should make people feel comfortable. Secondly, a market survey shows that although traditional pure cotton serves as the main fabrics for home clothing, they mostly crowd in low and middle market. To take the high-grade market, it is necessary to master the fashion trend of fabrics.

### *2.1 The comfortable factor of fabrics*

Home clothing is for a special family atmosphere. The coziness is the fundamental factor. As people are in home clothing, they want to enjoy the special pleasure and relaxation at home. Therefore, in choosing fabrics for home clothing, we usually prefer to skin-friendly type. And knitting fabric is better than woven fabric. Elastic fabric is better than non-elastic fabric. Although home clothing is not necessarily close to the skin, as the underwear, it has a higher requirement for hygiene than other type of clothing. The anti-virus, water-absorbing, and fast-drying fabric can satisfy this need to a great degree. Along with the constant upgrade of fabrics, people pursue for products endowed with new technologies more and more. Pure cotton fabric could not satisfy people's needs. The cotton woven fabric, the green environment-friendly fabric, and the functional fabric have already become the new favorites of apparel designers.

### *2.2 The popular factor of fabrics*

The apparel popularization and the fabric popularization are one united body. Fabrics' popularization change is one aspect of apparel style, and also an irreplaceable motive for apparel design. An apparel designer should pay attention to latest fabric information, understanding the fashion trend inside and outside, including the clothing fabrics, in time, and judging and adjusting the design according to the fashion of clothing fabrics. As fashion predictors discuss the popular color of next season, they always take colors, patterns, and other clothing fabric factors into consideration. Under some circumstances, the popular apparel reflects the update of clothing fabrics and the change of techniques. For example, as we design summer home clothing for ladies, we should know that the natural color cotton, clean silk, and new green fiber fabric are popular fabrics for home clothing now. The fabrics should have the cotton pattern, the warm small flowers, and classic flower pattern. To design based on these popular fabric, designers will grasp the fashion trend easily.

## **3. The use of new fabrics in home clothing design**

### *3.1 The use of bamboo fiber fabric in home clothing design*

The bamboo fiber is one of re-produced fiber. It is made of bamboo by means of high technologies. The bamboo fiber can endure hard rubs, without fluff, with moisture absorption and permeability. It feels soft and cool. People in clothes made of bamboo fiber will be more comfortable. Besides, the bamboo fiber is anti-virus and environment-friendly, with bright colors, satisfying people's needs today. The home clothing made of bamboo fiber can offer a comfortable feeling and defend virus, preventing skin diseases.

Considering these characteristics, the bamboo fiber is right for the spring and summer home clothing. Colors should be plain, inheriting bamboo's nature. Woven, knitted, or jacquard fabrics are better choices. The design should be simple and in good taste. Different tailoring can make the clothing fabrics and the clothing style in a great harmony. In designing the home clothing made of bamboo fiber, designers can adopt pleats or waves and other designs, adding comparisons to the work, making it more attracting.

### *3.2 The use of natural color cotton in home clothing design*

Color cotton is from the natural color cotton, without man-made colors. Color cotton is not only pure natural fiber but also pure natural color. Color cotton follows strict production standards from planting, to knitting, to product. In detail, the planting is based on high biological techniques, without any poisons, such as fertilizer or pesticide. The knitting is free from traditional technological process, such as blanching, refining, or dyeing. The fiber and the clothes are "zero pollution". Therefore, color cotton meets for people's "green revolution", reducing the environmental pollution. Color cotton is pure green and environment-friendly product.

In design, it is better to maintain the natural feature of color cotton, which will make the cotton cloth more fashionable and beautiful. Because of the few colors of color cotton, the home clothing may not be colorful. Designers can show their talents in style. Separation and connection can be used for designing the style. Based on satisfying people's basic needs for comfort, it can realize a harmony of beauty and utility. The separation can be achieved by beeline, arc, and curve. The beeline conveys a sense of purity, stability, and strength, being a male taste. The arc tends to be smooth and

stable. The curve, such as parabola and helix curve, is moveable, soft, and gentle. Lady clothing should be fitting, displaying the body beauty. In special, to integrate the seamless structure and the style design together will achieve an unexpected result. Considering the few colors of color cotton, we can mix two colors in one design. The mixed color design is one of separation. Two colors form different forms in structure, generating a balanced effect in sight and conveying a sense of beauty.

### 3.3 The use of Modal in home clothing design

Modal is a kind of cellulose fiber. It can be processed into a thread longer than silk, which is a best choice for super thinner fabric. Modal can be mixed with sort of fibers. It is changeable. With Modal, cotton will be softer. Bast fiber will be smoother. Wool will be more elastic. Silk will be easier to control. Synthetic fiber will be felt more natural. Modal home clothing is soft and gentle with elegant colors. It can absorb moisture well and has nice permeability. Modal fabrics are colorful and without static in body. After being washed many times, it still keeps bright color and soft. Therefore, it is an ideal fabric for home clothing.

Modal can be knitted with many other fibers. It is changeable. Therefore, with modal, we can develop many products in home clothing design. The light and thin Modal fabric can be used for skirts, one-piece dresses or dresses, and trousers with different matches. In design, we can add many different decorations, such as buds, pleats, and small bowknots, conveying a sense of pleasure, free, and warm. The Modal fabric can also used for winter clothes, especially for coats and trousers. The better elasticity makes it right for sports home clothing.

## 4. Conclusion

Along with the increasing pressure of life and work, more and more people would like to pursue for a warm, free, and relax home life. As a result, the needs for home clothing are rising gradually. They demand for high-quality home clothing. In designing home clothing, the reasonable use of apparel fabrics is vital for the whole clothes. It is a key factor for the home clothing brand conquering and mastering the market.

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## Romance and Prejudice --- Comment on Contemporary University Students' Personality Value Orientation

Dejie Jiao

Dezhou University

Dezhou 253023, Shandong, China

Tel: 86-534-898-5655 E-mail: dzxyjdj@sina.com

### Abstract

This essay makes a survey on contemporary university students' personality orientation combined with changes of times. The main features of contemporary university students' personality orientation are multivariate and romance, utility and prejudice. Some suggestions about cultivating healthy personality are made in this essay.

**Keywords:** University students, Personality, Value orientation, Romance, Prejudice

Since 1990s, as a result of China's further opening to other countries, degree of freedom in choice of economic development forms has been on the increase, and there has gradually emerged the characteristic of diversification in social culture. Political and cultural concepts youth undergraduates contact and feel have presented a tendency of diversification. In the 21<sup>st</sup> century, penetrability influences of Internet on psychology and personality value orientation of university students are being more and more tremendous. In combination with changes of the times, the author in this article makes a survey on contemporary university students' personality value orientation, and proposes his own views about cultivation of a healthy personality in university students.

### 1. Multivariate and romance

Personality is a comprehensive concept with combination of physiological, psychological and social behaviors, etc, a sum of inner quality and outer behavior, and a particular self formed in the socialization process. Personality has its relative stability, and meanwhile its plasticity, which decides soundness of a personality and which lasts through all one's life. A sound personality is a kind of state attained by the natural instinct bestowed by biological evolution in its sufficient development, and is a value goal people should pursue.

As is well known, personality development of university students has obvious variability, and its changing motives are owing to two aspects. On one hand, it is affected by economic, political and cultural backgrounds of the society. On the other hand, it is confined by the level of knowledge they accept, concepts, aesthetic assessment and understanding of things. It is a product of objective and subjective combination. The process of its changes fully proves that, the process of the social development is actually the process of humans' gradual development, a process of their liberation, and a process in which human nature is gradually released, their personality gradually stands out and they go toward comprehensive development step by step.

From the foundation of the PRC to 1980s, such dominant values as "being selfless", "non-egocentricity", "for others' interests", and "serve for the people whole-heartedly" had a decisive impact upon university students. At the same time, China then hadn't been completely opened to the outside world, so university students' understanding of the outside concepts and thinking was a total blank. Therefore, they couldn't or dare not go one step beyond the social dominant concepts of that time. Their personality was always displayed as being uni-directional, undisturbed, and conformity. As for those unwilling university students, it was easy to implement social mobilization on them, which always ended up with an effect of going into action in their hundreds.

Since 1990s, as a result of China's further opening to the outside world, degree of freedom in choice of economic development forms has been on the increase, and there has gradually emerged the characteristic of diversification in social culture. Political and cultural concepts youth undergraduates contact and feel have presented a tendency of diversification. This characteristic of diversified tendency indicates that university students are able to choose their behaviors and socially adaptive ways according to their understanding of the times. They belong to a group who can

adapt to social changes at the soonest, and their behavioral choice, psychological changes, and value changes can best reflect social realities of their times. Either they recognize the interest principle of the market economy, and go towards an extreme utility, or they approve the ideological absolutization of Plato and Hegel, and wish to realize spiritual aloofness through books. Either they agree with value standard of the Internet world, and respect scenery of the virtual world, or they identify the otherworldly happiness publicized by religions and convert their souls to delusion. Either they advocate challenges and thrill of life and promote risks, or they recognize value assessment of the knowledge economy, and select scientific innovation as their target. Either they advocate helpful belief of charity, and select to be volunteers as their profession, or they go towards personality distortion because they are not able to better adapt to social changes.

In the 21<sup>st</sup> century, penetrability influences of Internet on psychology and personality value orientation of university students are being more and more tremendous. In this virtual world of Internet, what is presented to university students is a colorful kingdom. In this world, degree of an individual's freedom can be played to its perfection, and even the dominant ideal belief, moral standardization, and value assessment norm lose their meaning to them. They can select their thinking and concepts according to their will and emotion, so the dominant ideal belief, moral standardization and value norm etc are seen as one of cultural diversifications by them, without any particularity. Then when confronted with choices they have never met, they might make a judgment based on their existing value assessment standard, aesthetic sentiment, knowledge experiences, understanding ability, emotion and will, as well as psychological habit. That is, by that time, they have stepped into a more independent, free and liberal period, but meanwhile, people usually feel that there exists a flitting relation between them and the dominant core value norm of the society.

There is another key word in the characteristic of personality value orientation of contemporary university students, namely, "romance". Imagination is one of the major psychological characteristics among university students. Their value orientation or life choice is, without exception, brimmed with romanticism. Oscillation and lingering between idealism and realism are the most "romantic" among all choices. Romance is the performance form of personality in idealism. It's not specific, and it's both a style and a personality. Positive romanticism results in an ideal personality, while negative romanticism tends to result in distortion of a personality. Subjectively, all intelligent elites have been full of responsibility and mission towards the society. This inner motion forces them to reflect over and study on newly born theories and realities. In the 21<sup>st</sup> century, the contemporary university students are no longer trapped in "tower of ivory", and are not bookworms who "are regardless of external trivialities, but engrossed in books by the lofty and sagacious". They have already regarded as the highest target in their university life stepping into the society, participating in social practices, strengthening a close contact with the society so as to train their comprehensive capacity, and improving their overall quality. Therefore, there is nothing new in it that university students begin an undertaking or take a part-time job. There is no doubt that, a part-time job plays a significant role in training of their capacity in all aspects, and is helpful to improve their comprehensive quality and development. Especially, education in the 21<sup>st</sup> century calls for talents with capacity in all aspects. More and more university students attach great importance to and pursue their value dignity and interest requirement, and their self-consciousness, aggressiveness, achievement desire and self-responsibility are strengthened obviously.

## 2. Utility and prejudice

Personality value choice of university students is usually made in a conflict of seity and sociality, self-regard and altruism, individualism and collectivism, demand and contribution, personal standard and social standard. The keystone carried forward by the socialism dominant values is a value orientation of collectivism. However, development and open-door to the outside world of market economy have brought value ideology of humanism, which, in turn, intensifies the self-made and self-struggling consciousness of university students, and which also causes their value concepts to divert from social standard to personal standard. Therefore, some of them merely pay attention to assurance and satisfaction of their personal interests, personal desire and emotional requirement, indifferent to collectivism values, national consciousness and responsibility consciousness. Some individuals are even biased toward extremely personal standard, centering with themselves, regardless of national interests, collective interests and interests of others.

Since 1990s, reform and opening-up of China has entered a fast lane, and its social economy has been rapidly developed. However, at the same time, extreme utilitarianism, fickleness and mammonism also gradually become evident, whose impacts are widely reported and speculated. Driven by economic interests, a large number of scholars, teachers and university students plunge into the commercial sea. Even some specialized fields in universities also begin to cater to the social atmosphere of utility, which are changed into such hot majors as economic management, computer technology, advertisement project, and secretary, etc.,. What are laid in bookstores and on bookshelves in universities are all books about investment, speculation in the stock market, successful experiences of Carnegie, rich fathers and poor fathers, etc.,. Employment choice of university students is transferred from administrative units into enterprises, especially foreign-investment enterprises, which indicates fully that, utility, practicability and fickleness are penetrated in the willing personality of university students.

Part of university students have no clear idea of their position in the society, their responsibility towards the society and the expectation of the society on them. Therefore, either they have high expectation upon themselves, blindly conceited, or underrate themselves, so once confronted with frustration, they are unable to recover themselves. On the other hand, there lacks a kind of master spirit among lots of university students, which is mainly manifested in the fact that, whether in their choice of the career, their grasp of knowledge or their communication with others, there exist utility of value concept, practicability of the value orientation and short-termism of value target. As for them, reading is just for making money, and making a fortune is their unique target, believing in the philosophy of “earning money desperately”, “spending money desperately”, “working desperately”, and “playing desperately”. They believe that what exists between people is merely monetary relation, and backscratching relation. They respect those wealthy tycoons and top notches, and set them as an example for themselves. Therefore, they are quite indifferent to collectivism concepts, and to the prospects and the country as well as to the ideal of human kind. There lacks a basic responsibility and mission in them, because they merely focus on realization of their own interests and their personal value. Therefore, they do business in the campus, work for others outside the school, with their school work dilapidated, or they are addicted to online games all day.

Many university students have a serious tendency of double personality. The so-called double personality refers to the two different attitudes and methods adopted on the same matter in the presence of different subjects, and also inconsistency of words and deeds. What is manifested in university students is the general phenomenon that they say they will comply with disciplines and public morality in the presence of others, but once not supervised, they are not able to consciously abide by disciplines and social public morality. For instance, when in a bus, they don't offer their seats to the old, the weak, the young and the disabled, and they throw litter about in public places, etc, especially the phenomenon of cheating in taking an exam can't be inhibited, because their cheating means are continually updated, and some students even make use of high-tech equipment to cheat, without any psychological burden.

Besides, most of contemporary university students are an only child in their family, so their socialization process lasts relatively long. Some even enter the university without finishing this process, so such bad qualities as capriciousness, arrogance and effemination still exist. The personality formed thereby is actually a reliance on the family, school and teachers. Whenever confronted with problems, difficulties or frustrations, what they choose is to pin their hope on others to resolve issues, but not to try their best to resolve them by themselves. The defect personality development produced because of dependence is mainly reflected as follows: wishing to get help from others; wishing to get affirmation from others; dependence on others; muddleheaded behavior when encountering difficulties, unable to make a decision independently; having no ideas of themselves, just following others blindly; afraid to get refused and sensitive to criticism from others, etc.. It is reported that, a university student who is the only child in his family enters the university, and his parents put her luggage on the bed, leaving and forgetting to make the bed for him. When it's time for bed, this student unexpectedly weeps against a pile of luggage. It is only after his roommates ask for they reason that they realize he can't fall into sleep just because he is not able to make the bed. And the reason why he utters a stifled cry is that he feels aggrieved.

From primary school until the university, exam performance has always been the major standard for selecting the best student and for assessment on them. Without a good exam performance, it is useless even if one is good at others aspects; with a perfect exam performance, one can still enter a university as long as he/she is not too bad in other respects. This wrong idea causes students only to make efforts in their study, but neglect their self-cultivation in conducting themselves and in their thinking and morality. In the university, although the pressure is not so much as in the elementary and secondary school, the ideology of intellectual education being the first is still serious. In some universities, they only focus on education of major courses, and such public courses as virtue education have become dispensable. These harmful trends and wrong doings finally bring about such phenomena: some students are self-centered, and lack a consciousness of caring about others as well as a collective consciousness; some are lacking in basic social and public morality. As for part of postgraduates and Ph. D candidates, their humanistic cultivation, etiquette cultivation and cultivation of ethic thought even don't coincide with their educational backgrounds.

Prejudice of the personality value orientation in the contemporary university students is also reflected in their understanding and reflection of Chinese politics and history, and in the reverse direction of their value orientation, which emerges a personality of “rebellion”.

On one hand, understanding of the facts enables university students to get mature in politics, in which they can analyze policies and political matters of the Party and look upon political leaders and cadres of the Party starting from corresponding social and historical conditions, making impartial and fair assessment. On the other hand, the fact that the former idealized worship gradually fades away, together with incessant corruption in reality, enables university students not to falsely believe in authority any more, and not long for perfection. Therefore, some psychological tendency evolves into a rebellion personality. As a matter of fact, the rebellion personality refers to the fact that one balances his personal vexation and sentiment caused by loss of a perfect target through opposite direction from the society. If not attached great importance, and not prohibited, the rebellion personality might result in harm to the social order.

### 3. Observation and leading

Different times and societies have different requirements on personality of people. In ancient Greece, people regarded wisdom, bravery, temperance and justice as the connotation of a noble personality. The ancient Confucianism in China believed that benevolence, righteousness, propriety, wisdom, and faithfulness were perfect reflection of personality. Sun Yat-sen also mentioned in the Chinese Revolution period that faithfulness, piety, kindheartedness, good faith and peace were personality requirements of Chinese people. Contemporary university students bear a heavy cross-century historical burden, so they should strengthen their personal quality and perfect their personality.

Connotation of personality should coincide with progress of social development, and the greatest ideal of personality is necessarily all-round development of human beings. According to relative comments by Marx and Engels, all-round development of personality refers to the fact that each one should be fully developed and all their attributes should be developed. All-round development of humans includes that of their essence, demand, and quality. All-round development of the essence refers to enrichment and development of social attribute and social relations. All-round development of demand refers to unification of natural demand and social demand, unification of material demand and spiritual demand, and unification of individual demand and group (social) demand. All-round development of quality refers to coordinated development of the physical strength and intelligence, all-round development of social quality, capacity and quality as well as personality, namely, free development of the personality.

Shaping of an ideal personality in university students is a common responsibility of all educators in colleges. A perfect university education should provide a positive, united and synergic cultural atmosphere for individuals, activate underlying will of self-development in students, and lay a foundation for shaping of an ideal personality. University education should bring into full play the advantages of classroom teaching, and strengthen vigor of psychological health education. It is proved that, level of psychological health influences level of the personality development, and popularization of psychological health knowledge plays a significant role in training capacity of psychological adjustment and developing a perfect personality quality in university students. Furthermore, colleges should establish and make sound counselling institutions of psychological health, and train professional psychological counsellors, so as to provide professional counselling for various problems. This, not only can make target-oriented corrections on part of students with various personality problems, but can develop a supporting system among students by means of team counselling so as to help them establish an environment that is more helpful for personality development.

In addition, colleges should strengthen educational leading of interpersonal emotion among university students, and train their skills in handling interpersonal relations. During education and teaching, they should offer some opportunities of interpersonal communication by various means, and promote formation and improvement of their interpersonal communication skill through appropriate leading. In teaching, group cooperative learning, group discussion, role performance, and inquiry learning etc can practice their skills in communication with teachers and classmates. In spare time, extracurricular activities and extramural social practical activities can enable them to learn how to get along with others on various occasions. For example, a majority of students should be assigned a position, so that they can learn to come into contact with all kinds of people when fulfilling their own responsibility; more collective activities may create an opportunity for each student to communicate with others, which not only broadens their eye reach and practices their capacity, but also enables them to grasp the skill of interpersonal communication.

Thirdly, formation of a healthy personality can't be realized by mere learning in the university and the closed thinking of a saddhu. Man is a social animal, so a university student can't develop a sound and healthy personality without going out of the narrow environment of the university and throwing themselves into the tide of socialism market economy. Of course, we should pay attention to the duality of society in the formation and development of a personality. On one hand, gradual construction and perfection of the socialism market economic mechanism creates a favorable cultural atmosphere for shaping of a healthy personality in university students, and provides an active mechanism. Such trends as talent concept, justice concept, and benefit concept, etc, affect the positioning of their personality value, and promote them to care about the national and social progress. Their consciousness of supporting the policy of reform and opening-up, participation consciousness and competitiveness consciousness are largely intensified, and their internal vitality such as learning initiative and creativity is stimulated. They eager for independence, self-reliance, and they have strong maturity consciousness. They are in pursuit of self-perfection of life value, not only focusing on material interests, but worshipping spiritual civilization and concentrating on moral cultivation. They not only lay stress on development of personality, but care about destiny of the nation. On the other hand, social transformation and disbenefit of market economy also push part of students into perplex and confusion. They come into conflict with social development, and unconformity between behaviors and concepts emerges, and also such phenomena as personality distortion, etc,. Therefore, in social practice, teachers should pay attention to their observation, and conduct positive leading. We should strengthen concentration on thinking conditions of the social elite group, grasp accurately changing situations of their personality development, lead correctly their value orientation, and lay a reliable talent foundation for establishing a harmonious society and creating a perfect human environment.

In a word, cultivation of university students' personality includes leading the core value judgment, establishing a farseeing ideal, and practicing a positive and healthy personality. This not only embodies a unified directivity of social progress, but also reveals diversity of personal development of the subject, which is the necessary direction of human social development.

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